The National Academy of Public Administration (the Academy) is an independent, non-profit, and non-partisan organization established in 1967 to assist government leaders in building more effective, efficient, accountable, and transparent organizations. Chartered by Congress to provide non-partisan expert advice, Academy possesses a distinguishing feature in its 840+ Fellows — including former cabinet officers, Members of Congress, governors, mayors, and state legislators, as well as prominent scholars, business executives, and public administrators. The Academy helps the federal government address its critical management challenges through in-depth studies and analyses, advisory services, technical assistance, Congressional testimony, forums and conferences, and online stakeholder engagement. Under contracts with government agencies, some of which are directed by Congress, as well as grants from private foundations, the Academy provides insights on key public management issues, as well as advisory services to government agencies. Our diverse practice areas include: organizational assessment and design, strategy development and implementation, program evaluation and performance measurement, business process transformation, change management, and stakeholder outreach and collaboration. In addition to client-driven work, as an elected member organization the Academy provides opportunities for its Fellows to exchange and develop ideas on a variety of government management and policy issues. The Academy holds an annual meeting of its Fellowship and supports six Standing Panels that provide input into the Academy’s agenda of studies and serve as collegial forums for Fellows to exchange ideas and interact with experts outside the Academy, including senior government officials. Typically 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 and networked solutions.
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FOREWORD

Just over a year ago, a group of Academy Fellows, all of whom had participated in previous Presidential Transition efforts, met to discuss the coming Transition of 2016. We agreed that starting early and working in an intentionally collaborative way was essential for the Academy to bring the full benefit of its knowledge and experience to bear in the Transition.

Several major transition-related efforts are underway at the Academy:

- **The Political Appointee Project**—Following the trail first blazed by the *Prune Book*, the *Political Appointee Project* (www.politicalappointeeproject.org) highlights the toughest management jobs in government. The new main feature of this site is our list of the *40 Toughest Management Jobs in Government*, which will be accompanied by several other smaller, more targeted lists throughout the summer. Additionally, the website features the latest news in the appointments process, commentaries from our Fellows, a library of relevant studies from years past, an appointments tracker, and advice to political appointees. The *Political Appointee Project* is part of the Academy’s longtime partnership with Ernst and Young.

- **Advising Leaders**—In partnership with the American Society for Public Administration, the Academy is producing a series of very specific policy memos intended to inform the incoming Administration on a wide array of management issues, ranging from budget reform to healthcare administration.

- **American University Transition Forums**—The Academy and the American University School of Public Affairs are holding a series of public forums to discuss and outline key issues and recommendations regarding critical issues facing the incoming Presidential Administration, including cybersecurity, accountability, and professionalism in government.

Lastly, the Academy is presenting to the new Administration a combined intellectual effort of numerous Academy Fellows, which is reflected in this report. This initiative, the Transition 2016 Panels, is discussed below:

- **Transition 2016 Panels**—In order for the incoming Administration to successfully achieve its policy goals, it must put in place high-performing government programs and people. The Academy, as part of its goal to help the new Administration, surveyed its Fellows to get their ideas on what initiatives would be most valuable to a new Administration. The four major initiatives identified through the survey form the basis for the Academy’s four T16 Panels, which aim to issue concrete recommendations in their respective areas to the Presidential candidates and incoming Administration.

The purpose of this report is to transmit the initial recommendations of these Panels. Members of the Panels are listed along with the recommendations. While the recommendations were not unanimous, they reflect the distinct sense of the members of the Panels about the kinds of issues that will face an incoming administration.

Panel members stand ready to provide more detail about the recommendations. The Panels will continue to meet throughout the Transition and will be part of the engagement process with campaigns and transition teams as well.

Thanks to our Senior Advisors and Steering Committee who have guided the work of the Panels.

Sincerely,

David Chu, Co-Chair, Transition 2016
Ed DeSeve, Co-Chair, Transition 2016
**SENIOR ADVISORS**

**Thomas M. Davis** currently serves as a Director of Federal Government Affairs at Deloitte, and previously represented Virginia’s 11th Congressional District from 1994 to 2008. Throughout his 14 years in Congress, Mr. Davis was widely recognized as a skilled legislator and an honest broker. At Deloitte, Mr. Davis continues his effort to bring effective, common sense solutions to government. Mr. Davis has also served in the U.S. Army and the Army Reserve and has held multiple governmental positions for Fairfax County in Virginia. Mr. Davis is a Fellow of the National Academy of Public Administration.

**Stephen Goldsmith** is currently the Daniel Paul Professor of the Practice of Government and the Director of Innovations in American Government Program at Harvard’s Kennedy School of Government. He previously served as Mayor of Indianapolis and Deputy Mayor of New York City, where he earned a reputation as one of the country's leaders in public-private partnerships, competition, and privatization. Mr. Goldsmith was also the chief domestic policy advisor to the George W. Bush campaign in 2000. Mr. Goldsmith is a Fellow of the National Academy of Public Administration.

**Sean O'Keefe** is currently the Howard and Louise Phanstiel Professor of Strategic Management and Leadership at the Syracuse University Maxwell School. Previously, O'Keefe served as CEO of the Airbus Group US subsidiary, a company officer of General Electric, and chancellor of the Louisiana State of University. On four separate occasions, O'Keefe was a Presidential appointee as Secretary of the Navy, NASA Administrator, OMB Deputy Director, and DOD Comptroller and CFO. He is a Fellow of the National Academy of Public Administration.

**Alice M. Rivlin** is a Senior Fellow in the Center for Health Policy at the Brookings Institution and a visiting professor at the McCourt School of Public Policy at Georgetown University. Ms. Rivlin has served in several prominent government positions throughout her career, including Vice Chair of the Federal Reserve System, Director of the Office of Management and Budget, and founding Director of the Congressional Budget Office. Ms. Rivlin is a Fellow of the National Academy of Public Administration.

**Donna E. Shalala** is the President of the Clinton Foundation, and previously served as the president of the University of Miami. Prior to her time at the University of Miami, Ms. Shalala served as the Secretary for Health and Human Services under President Bill Clinton from 1993-1999. In 2008, President Bush presented her with the Presidential Medal of Freedom, the Nation’s highest civilian award. Ms. Shalala is a Fellow of the National Academy of Public Administration.

**Paul A. Volcker** currently serves as the Chairman of the Volcker Alliance and has almost 30 years of federal government experience. During his time in government, Mr. Volcker served two terms as the Chairman of the Board of Governors of the Federal Reserve System from 1979-1987, a critical period in bringing a high level of inflation to an end. Prior to his time at the Federal Reserve, Mr. Volcker served as the Undersecretary of the Treasury for Monetary Affairs. Mr. Volcker is a Fellow of the National Academy of Public Administration.
STEERING COMMITTEE

David S.C. Chu (T16 Co-Chair) serves as President of the Institute for Defense Analyses (IDA). Dr. Chu served in the Department of Defense during the George W. Bush Administration as Under Secretary of Defense for Personnel and Readiness, and as Assistant Secretary of Defense and Director for Program Analysis during the Reagan and George H.W. Bush Administrations. From 1978-1981, he was the Assistant Director of the Congressional Budget Office for National Security and International Affairs, following service in the Army from 1968-1970. Additionally, Dr. Chu is a member of the Defense Science Board and a Fellow of the National Academy of Public Administration.

G. Edward DeSeve (T16 Co-Chair) brings to the table a wealth of experience in federal management and Presidential transitions, having served in both the Clinton and Obama Administrations, and as a member of President Obama’s 2008 transition team. Mr. DeSeve has held senior posts at all three levels of government, as well as in the private sector. He has served as Chief Financial Officer of the U.S. Department of Housing and Urban Development, Controller of the Office of Management and Budget, and Deputy Director for Management at OMB, the highest management position in the federal government. In the public service area, Mr. DeSeve is a lecturer at the Brookings Institution and a former board member of the National Science Foundation Board of Business Advisers. Mr. DeSeve is a Fellow of the National Academy of Public Administration.

Dan G. Blair, the current President and CEO of the National Academy of Public Administration, is a recognized expert and prominent leader in public service management, having served in top leadership positions in the Executive and Legislative branches, as well as the regulatory sector. Most recently, he served as the first Chairman of the independent Postal Regulatory Commission from 2006-2009, and as Commissioner from 2009-2011. Mr. Blair also served as Deputy Director of the U.S. Office of Personnel Management (OPM) from 2002-2006, and was Acting Director of OPM for five months. Prior to joining OPM, Mr. Blair worked 17 years on Capitol Hill.

Janice R. Lachance is the Interim President for the Better Business Bureau Institute for Marketplace Trust. Nominated by President Bill Clinton and unanimously confirmed by the U.S. Senate, Janice is the former Director of the U.S. Office of Personnel Management (OPM), the federal government’s independent human resources agency. A leader in her profession, an expert in governance, and a dedicated community volunteer, she is a Fellow of the American Society of Association Executives (ASAE), a past Member of the Board of Directors of ASAE and The Center for Association Leadership, and former Chair of its CEO Advisory Board. Ms. Lachance is also a Fellow of the National Academy of Public Administration.

Paul L. Posner is the MPA Director in the Department of Public and International Affairs at George Mason University, and currently serves as the Chair of the National Academy of Public Administration Board of Directors. Mr. Posner served a long and distinguished career in the U.S. Government Accountability Office, holding such positions as Manager Director of Federal Budget Issues, Assistant Director of the Intergovernmental Relations Group, and Associate Director for Tax Policy and Administration. He is the former Director of the Federal Program Review of the New York City Budget Bureau.

Robert J. Shea currently serves as a Principal of the Global Public Sector practice at Grant Thornton, where he leads the Communications, Public Policy, and Performance Management teams. Mr. Shea currently serves as a Member of the National Academy of Public Administration Board of Directors. Mr. Shea was formerly the Associate Director for the U.S. Office of Management and Budget (OMB). Additionally, Mr. Shea has held several important positions in the U.S. Legislative Branch and Executive Office of the President, where he worked to improve performance and operations of the U.S. Government. He managed OMB’s internal affairs and led the President’s Performance Improvement Initiative, an integral component of George W. Bush’s President’s Management Agenda.
The cornerstone of the Academy's expertise is undoubtedly its group of over 840 Fellows, who bring to the table unrivaled experience in all areas of government, from heading up large agencies, working to pass critical pieces of legislation, to overseeing the transition of power across administrations and parties. The Transition 2016 Steering Committee convened four special Panels to tackle the management issues determined to be most critical to the success of the new Administration. To lead these Panels, the Steering Committee selected four Fellows, recognized experts in their respective fields, to deliver actionable recommendations to the incoming Administration. The Panels and their chairs are as follows:

**Panel 1: Collaboration Across Boundaries**

Chair: Donald F. Kettl

The first year of a new Administration is typically when a President looks to make his or her mark by promoting a groundbreaking initiative or law, making it an ample time to institute a structure that encourages collaboration, both across the federal government and with state and local governments.

**Panel 2: Strategic Foresight**

Chair: John M. Kamensky

At a time where technology is constantly changing the landscape of the federal government—in such areas as communication, healthcare, and national security—it is important to be proactive in preparing for the unintended consequences of these shifts. Strategic foresight is not predicting the future, but rather planning ahead to mitigate risks and obstacles to achieving an agenda. The timeframe of strategic foresight is much longer than that of strategic planning, and it informs both strategic plans and enterprise risk management plans.

**Panel 3: Evidence-Based Approaches**

Chair: Robert J. Shea

Communicating the value of using evidence-based approaches to improve program performance is a far less daunting task than actually institutionalizing the initiatives launched by the federal government in this area. In order to ensure that the government runs effectively and efficiently, the new Administration must work to establish and maintain a government-wide structure for measuring performance against goals, using the knowledge and experience that has been gained through rigorous evaluation.

**Panel 4: Recruitment and Retention**

Chair: John C. Salamone

In order to compete with the salaries and flexibility of the private sector, the federal government must devise a way to more efficiently recruit and, more importantly, retain the nation's top talent. As the backbone of our country's operation, the federal government cannot afford to move forward with unqualified, unprepared, and unmotivated individuals at the helm.
Collaboration Across Boundaries

Panel Members

Donald F. Kettl (Chair)
Thad W. Allen
Earl E. Devaney
Diane M. Disney
Parris N. Glendening
Jocelyn Johnston
Rosemary O’Leary
Robert J. O’Neill
Barry G. Rabe
Barbara Romzek
Joseph S. Wholey
INTRODUCTION

The next president will enter office with ambitious visions to execute and many promises to keep. No agenda that matters fits any longer within individual government agencies or, for that matter, any single level of government or any specific sector of the economy. Therefore, the Administration will need a fresh approach to collaboration across boundaries—among federal agencies, across levels of government, between government and the private and nonprofit sectors, and across global boundaries. Collaboration across boundaries will help the new Administration to implement policies and results well beyond the power of any one agency.¹

At a minimum, the failure to collaborate across boundaries would limit what the new Administration could accomplish.² At worst, the new Administration would risk falling into catastrophic traps like those that captured past administrations from both parties: the George W. Bush Administration’s struggles with Hurricane Katrina; and the Obama Administration’s difficulties with the launch of the Affordable Care Act. In both cases, the failure to collaborate across boundaries brought enormous costs in dollars, lives, time, political capital, and trust in America’s governing institutions. The lessons are clear: success depends on building strong alliances and treating those partners as genuine collaborators.

The new Administration faces legislative imperatives it can transform into collaboration opportunities. In particular, the Government Performance and Results Act of 1993 and the Government Performance and Results Modernization Act of 2010 require that the new Administration must identify its most important strategic goals; define a limited number of cross-agency priority goals and individual agency priority goals; and regularly report on progress toward those goals. The new executive budget, the congressional budget resolution, and the Budget Reconciliation Act provide other opportunities for strengthening collaboration across boundaries and achieving administration priorities.

There are many examples of how effective collaboration can improve policy implementation and government performance. The upside of more collaboration is better use of resources and better results. The downside? Missed opportunities.


RECOMMENDATIONS

Advancing the President’s Highest Priority Goals

1. Use the GPRA Modernization Act to promote collaboration.

Discussion: Several aspects of the GPRA Modernization Act foster collaboration, including the Cross Agency Priority Goals (CAP Goals) and the Performance Improvement Council, which consists of the Deputy Director for Management as chair and Chief Improvement Officers from each agency.

2. The new President should propose a revised FY18 budget and use the FY18 Budget Resolution, the FY18 Budget Reconciliation Act, and the FY18 appropriations bills to promote collaboration and help achieve the Administration’s highest priority goals.

Discussion: Passage of the Budget Reconciliation Act could change existing laws and create new performance partnerships.

Administrative Collaboration

3. Establish approaches whereby multiple agencies or sectors contribute to a cause (in dollars, ideas, staffing, facilities) to improve the chances of success.

Discussion: When more entities have a stake in the game, more “resources” are incentivized to ensure the success of their respective investment. Some program designers build efforts requiring grant or contract recipients to provide matching funds to trigger federal participation. Others, who miss the point, think an unfunded mandate will produce the desired results, which not only is far from collaborative, but can be seen as an act of mere coercion.

4. Fully utilize the experience of civil servants.

Discussion: These federal employees have spent decades learning how to make a large bureaucracy work and how to further the mission of their particular agency, department, division, or cause and will provide valuable insight to the new Administration. It is imperative that each transition team spend some time understanding the federal system and preparing appointees to work effectively with civil servants, particularly in high-grade positions.

5. OPM should build cross-unit collaboration into criteria for annual bonuses for all high-grade employees and should build cross-sector, cross-division, and cross-department collaboration into the qualification criteria (ECQs) for the Senior Executive Service (SES).

6. OMB should assign a pool of funds—perhaps similar to joint VA-DoD fund in 2003—to provide resources to cross-agency collaborations on significant national issues involving three or more federal agencies or single federal agencies with multiple state, county, and local agencies.
7. **GAO should more widely publicize its Action Tracker.**

**Discussion:** The Action Tracker identifies areas of fragmentation, overlap, and duplication, and publicizing this would lead federal employees to take more corrective actions and citizens to insist on added accountability.

**Accountability and Collaboration**

8. **Reinforce formal accountability systems (reporting and oversight) by instituting informal dynamics such as shared norms, trust, and facilitative behaviors.**

**Discussion:** These can include reports of interactions, facilitative information sharing, and mutual feedback among collaborators about progress toward goals. This has the potential to reduce competition, turf battles, and staff turnover. Additionally, these actions build trust, which reduces the cost of operating in collaboration.

**Lessons from the Recovery Act**

9. **When dealing with large-scale spending efforts that span multiple states and counties, utilize lessons from the Recovery Accountability and Transparency Board (RATB) to ensure effective collaboration.**

**Discussion:** The actions and strategy of the Recovery Accountability and Transparency Board helped demonstrate that collaboration among federal, state, and local governments, as well as among federal agencies themselves, allows for the effective implementation of complex systems that maximized transparency on government spending.

The Digital Accountability and Transparency Act (DATA Act) of 2014 requires the U.S. Treasury to expand the amount of data that agencies must provide to the government website, USASpending.gov. This law is intended to improve the transparency of federal expenditures and the ability of Americans to track how the government is spending their tax dollars. This builds upon the foundation laid by FederalReporting.gov, an inbound site for recipients of Recovery Act contracts and grants, and Recovery.gov, which was a public-facing site that utilized geospatial technology to allow citizens to see exactly where government funds were being spent in their own neighborhoods, and served the dual benefit of promoting collaboration across governments and establishing a system of accountability amongst those governments.

**Environmental Policy Collaboration**

10. **Utilize E-Enterprise as a more efficient method of environmental enforcement.**

**Discussion:** Traditional methods of environmental enforcement through on-site inspections, fragmented approval of permits across environmental media, and spot checks to test compliance tend to waste scarce resources and leave sizable gaps in environmental protection. E-Enterprise options make greater use of modern technology and new techniques such as remote sensing, continuous emissions monitoring, and geographic information systems. The National Environmental Information Exchange Network was established in the 1990s to explore these possibilities, has gained momentum through a robust partnership between the Environmental Council of the States (ECOS) and the U.S. Environmental Protection Agency (EPA), and has evolved into a formal collaborative partnership between these organizations and other intergovernmental partners.
11. **Leverage E-Enterprise to revitalize environmental performance partnership programs of the 1990s and 2000s.**

**Discussion:** These programs featured federal incentives for state, tribal, and local partners to introduce ways in which they could achieve environmental performance outcomes superior to those that would be expected through adherence to existing routines. The federal government can then approve and support the proposals through more flexible oversight and use of grants to state and local governments.

**Additional Recommendations for Enhancing Collaboration**

12. **Develop a robust engagement strategy.**

**Discussion:** While state and local governments don’t always agree on issues, involving them early will both improve the development of policy and reduce the risk of implementation failures. Engagement between federal partners and state and local governments is often paternal, directive, without shared goals, and one-way. Some lessons for success in developing strong relationships with the intergovernmental partners include:

- Focus on what to achieve, not how;
- Develop options for flexibility on the how;
- Agree up front on the metrics of success; and
- Leverage the resources of the national associations representing state and local governments, such as NGA, NCSL, CSG, USCM, NLC, NACo, ICMA and GFOA.

13. **Create institutional capacity to work with intergovernmental partners.**

**Discussion:** There is no longer any institutional capacity to judge the “health” of the intergovernmental system or to understand the complexity of the federal, state, local, and nonprofit interaction in delivering national policy. Developing an advisory panel of state and local experts within the Domestic Policy Council and recruiting staff to OMB who have significant experience across the intergovernmental system would be helpful steps.

14. **Realize that if results count, management matters.**

**Discussion:** Regardless of the domestic policy, most of the risk is not about bad policy but poorly executed implementation. Investing in the capacity of federal agencies and the intergovernmental partners to manage complex, multi-disciplinary and multi-sector strategies is an important investment. These skills can be developed and should be recognized as the new Administration thinks about appointees and the Senior Executive Service.

**CONCLUSION**

Collaboration is a powerful antidote to stagnation. When government collaborates with other organizations – within or outside of government – the payoffs can be invaluable. But like any payoff, collaboration needs early investments. Spending time and other resources on clarifying expectations of roles and responsibilities in advance and subsequent investments in relationship-building, laying a foundation of trust, and finding ways to celebrate individual and collective achievements early on, will almost certainly pay off in the next Administration.
STRATEGIC FORESIGHT

Panel Members

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Jonathan D. Breul
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Observers

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Mark Bussow
Chris J. Mihm
**INTRODUCTION**

The Panel recommends that the new President and his/her Administration frame their strategic decisions in the context of their impact on the future.

**What Is Strategic Foresight?**

Strategic foresight is a necessary frame for making decisions in an increasingly complex world so as to reduce the risks of unanticipated consequences. Foresight differs from traditional strategic planning. Foresight is longer-term and attempts to take into account alternative scenarios, using different premises as to how unknown factors or risks might influence future actions, such as changes in policy or new technological or biological developments. Both approaches are needed by policy-makers.

Fully grasping the short-term, let alone long-term, potential effects of decisions in a dynamic environment is a difficult task. Foresight is not only a necessary method in the decision making toolkit, but increasingly a critical component of national competitiveness, as other countries race to include the use of foresight and risk management in their own long-term calculations.

**Why Does It Matter Now?**

Why should strategic foresight matter to a new president? Looking back at the decision to create the Interstate Highway System in 1956 might be helpful. President Eisenhower set in motion a construction effort that was not completed until 1992. The interstate system serves to tie our country together, but there were other consequences that may not have been envisioned at the time that might have benefited from the use of strategic foresight. The system was focused on civil defense and did not properly anticipate the creation of, and flight to, the suburbs; the shift from shipping via rails to trucks; and the division of city neighborhoods by highways.

The nation faces many similar policy impacts in areas such as bioengineering, cybersecurity, climate change, nanotechnology, cognitive computing, the internet of things, and many other technology-driven fields. A 2010 law requires a new Administration to develop four-year strategic plans within each agency for what it intends to accomplish during its term in office. These plans should be developed in the context of broader strategic trends in order to assure that the choices made are based on the best available information.

**Where Has It Been Used?**

More recently, several agencies have applied foresight tools – such as scenario planning, the application of systems approaches, and uncertainty modeling – and have found them to be useful in improving decisions made:

- **The U.S. Coast Guard’s** Project Evergreen has used future alternative scenario planning for nearly two decades, and these efforts helped position the Coast Guard for the opening of Cuba; anticipating the advent of non-state actors which contributed to its Maritime Domain Awareness strategy; and its assessment of climate change which affected its approach to the deployment of its Artic resources.

- **The Intelligence Community’s** Long Range Analysis Unit highlighted the potential national security consequences of climate change more than two decades ago. This helped them position analytic resources to assess related on-the-ground activities.

- **Federal Emergency Management Agency’s** Strategic Foresight Initiative set out to understand the factors driving the world of emergency management over a 20-year period, resulting in a report on response and disaster resilience in 2030. The report focuses on capabilities, tools, and partnerships needed to be effective.
**RECOMMENDATIONS**

1. **Charter a 100-day government-wide Foresight Test Taskforce.**

   **Discussion:** The first 100 days of an Administration is a heady, and often chaotic, period of maximum disorganization – and maximum creativity. The Panel recommends that the President-Elect charter a Foresight Test Taskforce to begin during the Transition period and conclude no later than 100 days into the new Administration, so its results could help guide the development of agency strategic plans that will formalize the Administration’s goals and priorities.

   The Taskforce:
   - should conduct a foresight-risk assessment to identify five to 10 future challenges that could derail the new President’s key priorities;
   - should undertake a review and synthesis of existing foresight activities that have been recently undertaken in both the private and public sectors – including those conducted by other governments; and
   - should also include the results of agency-produced Strategic Risk Profiles, where available.

   The Taskforce’s final assessment could be either confidential, for the Administration’s use in its internal deliberations and serve as input into its planning efforts, or it could be a public document that is widely distributed – or it could have aspects of both.

   It is anticipated that the Office of Management and Budget (OMB) will direct agencies to prepare inventories of key enterprise-wide risks the new Administration will face when it takes office. However, there is no mechanism in place to view these in a strategic light. The Task Force could do this. In addition, by law, agencies are required to develop four-year strategic plans, due to Congress in February 2018. Drafts will be due to OMB in the summer of 2017. The new Administration should use the results of the Foresight Test Taskforce to quickly put the Administration’s strategic mark on how agencies should frame their plans.

2. **Systematically integrate foresight into policy development.**

   **Discussion:** Unlike some other countries, the U.S. does not have an institutional mechanism or office at the top of government to methodically scan the horizon or generate alternative future scenarios. The military, the international affairs community, and homeland security each have fairly robust offices to do this for their respective domains, but there is not something like this for the federal government as a whole.

   The Panel recommends the creation of a formal, institutional strategic foresight capability that has access to the top of government and is embedded in agency planning and risk management efforts, but detached from day-to-day crises.
Integrating foresight into policy development should consist of several dimensions:

- **Create a White House-level capacity for strategic foresight to inform key policy decisions.** The new White House Chief of Staff should designate a White House-level position or create a unit possibly modeled after the Council of Economic Advisors, which would promote the use of macro-strategic foresight in policy decisions.
  
  - This function should report to the Chief of Staff’s office, with actual staff via detailees from agencies, Federally-Funded Research Development Centers, foundations, think tanks, or university affiliations. Placing this function in the White House would likely make its results more policy-oriented in nature.
  
  - The person leading this function would serve as a neutral convener and broker between the foresight and risk functions vs. the policy development and decision functions, at the White House, and would ensure the questions about “what’s next” get asked.

- **Create an expectation that the OMB Deputy Director for Management, via the President’s Management Council (PMC), would champion the creation and use of foresight capacity in their respective agencies to inform policy, management, and implementation decision-making.**
  
  - The OMB Deputy Director for Management should lead the systematic development and use of foresight capacity across the government, given that he/she already oversees the implementation of agency strategic plans and other functions integral to strategic foresight.
  
  - The PMC should sponsor government-wide foresight efforts that would be more mission and implementation-oriented rather than targeted to the needs of White House policy makers.

**3. Leverage existing interagency networks to help agencies develop and use foresight in decision making.**

**Discussion:** When it comes to the development and use of strategic foresight, the goal should be to create a culture of long-term thinking and cascade this way of thinking throughout the agencies at the political and career levels.

- **The new Administration should encourage foresight units in agencies.**
  
  - Based on the results of an upcoming Toffler Associates survey of existing agency foresight capacities the new Administration’s foresight champion should determine the extent to which agencies already have foresight capabilities.

- **The new Administration should encourage communities of interest across and within agencies.**
  
  - Engage the existing Federal Foresight Community of Interest.
  
  - Establish continued involvement of those participating in the ongoing NAPA-Booz Allen Hamilton Strategic Foresight exercises as well as a wide range of non-profit and academic resources.
CONCLUSION

It is impossible to anticipate every adverse event, but strategic foresight offers a disciplined process for identifying and analyzing uncertainties with the potential to significantly affect policy objectives—negatively or positively. Strategic foresight employs scenarios to consider how different trends and developments may come together in unexpected ways to put policy objectives at risk or create opportunities for more effective action on these objectives.

To borrow a term from the financial world, alternative scenarios can be used to stress test proposed policies and implementation plans to identify critical weaknesses. Such a process can alert leaders to needed adjustments to policies and plans to manage risks to performance. Leadership can also use foresight to stress test policy areas that may not be a priority, but where adverse events could potentially derail effective action in other policy areas.

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The Atlantic Council (2014) Strategic Foresight Initiative

The Dialog (2015) Database of Reports on Global Trends and Future Scenarios (The Dialog and the Inter-American Development Bank)
EVIDENCE-BASED APPROACHES

Panel Members

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Lawrence S. Cooley
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INTRODUCTION

Government’s performance should be judged primarily by the achievement of important outcomes. Simply measuring effort isn’t enough to ensure government is making a difference. Over the last several decades, the Federal Government has launched a series of initiatives aimed at improving its performance. Federal agencies have struggled to leverage the benefits of several important efforts, such as setting goals, measuring and improving performance, evaluating programs, reporting, and learning from what works. With each new Presidential administration, new initiatives are launched, old ones are tossed, and much of the progress gained in the past is lost. These recommendations attempt to reverse this trend and give the new administration the benefit of lessons learned from past attempts to improve government’s performance through the adoption of evidence based approaches.

BACKGROUND

For the last several months, a panel of public and private, federal, state, and local performance management and evaluation experts under the auspices of the National Academy of Public Administration have met with officials involved in every facet of the government’s performance management and evaluation efforts. The consultations were an effort to pinpoint what was working and where there were gaps. That investigation revealed that despite a number of major milestones in the performance management journey (e.g., the Government Performance and Results Act, the Program Assessment Rating Tool, High and Cross-Cutting Priority Goals, the Evidence Agenda), federal managers still aren’t using evidence in decision making to the extent they should. We believe that doubling down on some current practices, and taking steps to address obvious gaps, could substantially strengthen evidence-based decision making in government, dramatically improve performance, and make a meaningful contribution to enhancing the public’s confidence in their government.

RECOMMENDATIONS

The NAPA panel focused its efforts on developing a shortlist of operational recommendations to improve government performance by strengthening the use of data, evidence, evaluation, and innovation by government leaders, managers, front-line employees, those involved in service delivery, and other stakeholders in the allocation of resources and management of programs. Based on many hours of deliberation and debate, the group developed ten recommendations.

1. Consolidate existing evidence-based decision making systems into a government-wide framework, led by the Office of Management and Budget, which integrates performance management, program evaluation, futures planning, and budgeting. Incorporate benchmarking and regular performance reviews as central features.

Discussion: There is today a Performance and Personnel team at the Office of Management and Budget (OMB) overseeing the federal government’s performance improvement efforts. This team also has responsibility for coordinating the cross-agency efforts of agency Performance Improvement Officers through the interagency Performance Improvement Council. But it has not always coordinated closely enough with the OMB’s Evidence Team; and there are many other performance improvement initiatives across government (e.g., Open Data, Challenges, Performance Partnership Pilots) that could benefit from closer coordination. That’s why it’s important to define a framework and locus of responsibility for driving and coordinating initiatives designed to improve performance and evidence-based decision making across government. The use of benchmarking and 21st Century tools to measure what’s working and share best practices could significantly accelerate the adoption of what works.
2. Appoint agency deputies/Chief Operating Officers and other political appointees with capacity and commitment to driving performance improvement and enhancing evidence-based decision making.

**Discussion:** Use of evidence to make decisions begins at the top and absent strong leadership, it is unlikely to succeed. Choosing an agency Chief Operating Officer, usually the agency’s Deputy Secretary, based in part on his or her comfort with metrics and a successful history of evidence-based management of large organizations is critical. This should be an explicit requirement in the job description of agency deputies and/or their Chief Operating Officers, and should be reflected in the questions asked of prospective appointees during confirmation hearings.

3. Empower strong Performance Improvement Officers with adequate resources to support agency Deputies/Chief Operating Officers. Where the Performance Improvement Officer has other duties, ensure there is a strong Deputy Performance Improvement Officer devoting full attention to the adoption of the integrated performance management framework.

**Discussion:** Congress and the President established in each agency the position of Performance Improvement Officer to accelerate adoption of evidence-based decision making and effective performance management practices across government. The law requires that the individuals appointed to that position shall, among other things, “advise and assist the head of the agency and the Chief Operating Officer to ensure that the mission and goals of the agency are achieved through strategic and performance planning, measurement, analysis, regular assessment of progress, and use of performance information to improve the results achieved.” In many agencies today, the Performance Improvement Officer has a variety of other duties. Some Performance Improvement Officers are also Chief Financial Officers, for example. Agency heads should ensure that their Performance Improvement Officers have the financial and human resources necessary to drive performance improvement and evidence-based decision making. If the designated Performance Improvement Officer has additional duties, there should be a strong Deputy Performance Improvement Officer with the qualifications and responsibilities of a Performance Improvement Officer.

4. Continue to drive the conduct and use of appropriately tailored, independent evaluations to improve programs. Support this effort by establishing and funding a robust evaluation and data analytics capacity in every department responsible for overseeing rigorous program evaluations and for a range of other analytical exercises related to, and useful for, performance management.

**Discussion:** Independent, rigorous evaluations of programs are the best way to find promising program practices. Over the last decade, government investment in rigorous program evaluation has grown. This trend should continue and should employ, in addition to experimental methods, a full range of evaluation methodologies to meet different program or performance management needs. Agencies should employ experts who can design and oversee a meaningful evaluation portfolio as well as a cadre of analysts who can leverage evidence of all kinds, including the growing amount of available data, and help the agency’s managers integrate it into decision making.

5. Enhance the accessibility, transparency, and usefulness of performance information by simplifying Performance.gov, showing clear trends in government’s progress, and linking it to other, relevant sources of information about the government’s performance.

**Discussion:** The key to strengthening accountability for performance improvement is transparency. Today, finding out how well an agency or program is performing is harder than it should be even though the sophistication of available data analytics and presentation capabilities have ballooned. The next Administration should build on the statutorily required Performance.gov by making trends in performance clearer. Though it will never include all relevant information about an agency’s or program’s performance, Performance.gov should increasingly become the gateway to other important sources of information of that kind.
6. Collaborate with Congress (i.e., authorizers, appropriators, and overseers) more closely at every stage of the performance management process to facilitate more debate about the performance of programs and about performance management.

Discussion: Many agencies already engage their Congressional committees of jurisdiction in robust discussions about their performance (e.g., the appropriations process, oversight hearings). But getting those committees more involved – from engaging them in the strategic planning process to soliciting support for robust program evaluation – could go a long way to institutionalizing an evidence-based decision making culture in agencies and an enriched dialogue between Congress and the Administration.

7. Use incentives in the grant making and contracting processes to encourage adoption by state and local government, other partners, and stakeholders of the performance management framework.

Discussion: Federal agencies don’t achieve their goals without engaging state and local governments, other partners, and stakeholders in their mission. Too often, though, federal agencies simply set requirements and require burdensome oversight and reporting from their partners. Models like the Performance Partnership Pilots, where relaxed compliance reporting requirements and the ability to pool resources from multiple federal funding sources are incentives for recipients to invest in proven or promising practices, aim to alter the federal government’s compact with state and local government. The new Administration should inventory and build on these innovative approaches, including in the contracting arena, and do more collaborating and sharing with partners to accelerate learning and the adoption of proven practices.

8. Institute annual OMB spring reviews to assess and accelerate progress on strategic goals. Enhance OMB quarterly priority goal reviews to assess progress and identify opportunities to improve.

Discussion: Today, annual Office of Management and Budget-led reviews bring together a variety of agency and other officials to assess progress on goals and consider ways to improve. The experts consulted by—and participating in—the NAPA working group agreed that this process showed enormous promise and evidenced more substantive OMB/agency collaboration. Quarterly priority goal reviews should continue, but be strengthened to focus on improvement opportunities. In addition, an annual “spring review” should be launched, modeled on OMB’s annual budget reviews and led by the OMB Director. This review should be focused on the performance of the agency and its programs rather than just on the budget. This is not to suggest that discussion of performance be removed from the budget process but rather to suggest the addition of a distinct, regular meeting with senior level participation focusing specifically on agency performance.

9. Ensure OMB is driving the development, adoption, and implementation of cross-agency priority goals.

Discussion: Most important government objectives require the collaboration of multiple agencies. Yet even when they share goals, agencies often miss important opportunities to collaborate and measure progress differently. OMB is the natural coordinator for cross-agency collaboration on common initiatives or objectives. It should redouble efforts to do this for a focused set of goals that enjoy high national priority and that depend on performance by multiple agencies.
10. Develop a clear and concise performance management and evaluation curriculum for agency and other professionals. Enlist front-line employees, through employee forums or other means, to identify ways to improve performance and strengthen the adoption of the performance management framework.

Discussion: Surveys show agency employees aren’t taking up the charge to adopt more evidence-based practices. A curriculum that imparts to agency managers a common, government-wide performance management and evaluation taxonomy and methodology would help. Soliciting front-line employees, through town halls, employee forums, and collaborative technology, for advice and help in performance improvement would do a great deal to enrich these insights and to engage more people in the quest to adopt evidence-based approaches in government.

CONCLUSION

We believe that these recommendations should constitute the Evidence Agenda of the next Administration. If implemented, we believe this Agenda will build on the progress and lessons from performance improvement initiatives of the past and accelerates progress in institutionalizing an evidence-based culture in government—extending and sharing knowledge of what works, improving government’s performance, and enhancing its credibility with the American people.
RECRUITING, PREPARING, AND RETAINING CAREER AND APPOINTED OFFICIALS

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Find more information about Transition 2016 at www.napat16.org
INTRODUCTION

To meet mission critical strategic goals and objectives, federal departments and agencies must recruit, develop, engage, and retain top talent. While it is important to focus on these critical talent management activities on a continual basis, the importance of having solid human capital practices in place is most vital during times of Presidential transitions. Between election day and inauguration, career executives and employees face increasing pressure to lead, guide, and direct programs amidst an exodus of political appointees. At the same time, career executives and employees are preparing to onboard and educate newly appointed political officials as efficiently and effectively as possible. It is important to recognize that new appointees face a tremendous learning curve. Therefore, selecting the right candidate with the appropriate qualifications required for a particular appointment can make the difference between early success and failure for the incoming Administration. Successful appointees understand the nuances and challenges of governing, they have a respect for career executives, and ultimately know how to establish a vision and achieve results.

BACKGROUND

This Panel addresses just a few of the many human capital issues that occur heading into and beyond the Presidential transition, including the importance of appointing the right candidate to key positions, strengthening accountability among government leaders, demonstrating a commitment to building a strong and sustainable workforce through employee engagement, and the importance of driving innovation to resolve complex issues. While these issues will not resolve all of the challenges that career and appointed officials will face into 2017 and beyond, certainly having the right person in the right job will ensure that our government is poised and positioned to establish and execute strategic goals and mission objectives.

In forming our recommendations we wanted to ensure that our determined issue areas afforded the possibility of practical insights and solutions to complex problems. In the event that a particular topic area has been popularized by other groups, we took steps to bring a fresh perspective that may not have been apparent or considered. Second, our Panel also felt that it was critical to identify issues that rise to the level of strategic importance for the candidates (and transition staff) to know now while heading into the election and beyond.

Lastly, it needs to be noted as to why it is that the recommendations herein should be seriously considered. NAPA has many Fellows who have served in the highest levels of government for both parties across multiple Administrations. They include many current and former agency leaders who have survived every sort of circumstance. Through many Presidential Administrations, NAPA has been called upon by Congress and other agencies to study and report on ways to improve the appointment process and other topics: this has led NAPA to make subsequent recommendations for next steps and progressive improvements. Unlike many consultants and advisors, we can offer unique real-life experience and support that cannot be found anywhere else.
RECOMMENDATIONS

1. **Reassess the importance of government’s C-Suite.**

**Discussion:** To ensure the successful execution of the law, an incoming Administration must build a strong management team that recognizes and fosters the importance of cross-agency collaboration in the design, development, and implementation of strategic goals and objectives. Departments and agencies covered by the Government Performance and Results and Modernization Act of 2010 (GPRA) now have designated Chief Operating Officers (COO) who must direct the Chief Financial Officer, Chief Human Capital Officer, Chief Acquisition Officer, Chief Information Officer and other key management leaders that are collaborating to develop strategic goals and achieve key objectives.

**Rationale:** GPRA Modernization also requires that agency heads develop and deliver new strategic plans no later than the first Monday in February one year following the President’s inauguration. Since the COO is responsible for the management strategies of the agency, it is imperative that an incoming Administration immediately ensure that it has the capacity at the C-Suite level to design, implement, and deploy a strategic planning that captures the important priorities that the President wants to achieve from a government-wide and agency-specific level.

2. **Appoint a strong OPM Director.**

**Discussion:** Selecting a strong leader as OPM Director is essential to making the partnerships between the White House/Office of Management and Budget (OMB) and OPM work well. The ideal Candidate would have perspective gained from central and public administration management experience, some legislative background, and previous executive agency leadership experience.

**Rationale:** As the central-management agency responsible for implementing the personnel policies and practices set forth by the Congress and the President, OPM will play a significant leadership role in supporting the new Administration’s management initiatives across agencies. In addition, OPM plays an important ministerial role in supporting the Office of Presidential Personnel to manage the smooth administration of political appointees’ employment.

3. **Identify leaders with change management experience to lead troubled agencies.**

**Discussion:** A transition team’s personnel operation should make a concerted effort to identify and recruit experienced public and private sector managers who have a record of managing change successfully in the organizations that they have led. It will be particularly important to select talent with the temperament necessary to withstand withering—sometimes unfair—criticism, to acknowledge needed improvements, and at the same time to support the workforce on which one must depend to achieve needed results.

**Rationale:** Incoming appointees will be expected to lead and change troubled agencies where problems and counter-productive cultures may be entrenched.
4. Reinforce federal executive accountability.

Discussion: Several alternatives are worth considering to make accountability protocols simpler, faster, and most importantly, more effective.

- **Option 1: Status Quo** — It is possible to separate SES members for cause. It takes patience, as well as knowledge of the title 5 USC adverse action appeals system as well as MSPB case law, but one can argue that it should take time and effort to fire a senior executive...given that they often interface directly with political appointees, they deserve the protections that they are afforded under current law. However, a number of pending legislation proposals suggest that Congress may continue attempts to alter those protections.

- **Option 2: Revise the Standards and/or Procedures for SES Appeals** — This approach would require legislation to actually change the factors or procedures by which MSPB adjudicates executive-level adverse action appeals, to reflect the fact that senior executives should be held to a higher standard by virtue of their leadership responsibilities. Any attempts to revise the SES appeals process would have to overcome constitutional challenges identified during the implementation of reforms for the Department of Veterans Affairs.

- **Option 3: Administrative Review of SES Adverse Action Appeals** — This approach would require legislation to remove executive adverse action appeals from MSPB jurisdiction altogether, and have them adjudicated (likely under revised evidentiary and adjudicatory standards) by an administration body to include a ‘jury of SES peers.’ Pending legislation would apply to a variation of this approach to VA.

- **Option 4: Move SES Members to ‘At Will’ Status** — Under this alternative, legislation would be required to eliminate executive adverse action due process and appeals rights altogether, except for allegations that an executive adverse action was based on a prohibited personnel practice. This approach could be seen as a return to the ‘spoils’ system and may also present significant constitutional flaws.

Rationale: Congress is putting increasing pressure on VA, the IRS, and the executive Branch to hold senior level executives ‘accountable’.

5. Utilize the FEVS to improve federal employee engagement.

Discussion: Harness the data that the Federal Employee Viewpoint Survey (FEVS) gives the Federal Government. There are 35 million unique responses that can be categorized and organized by agency, organization, and specific demographic means (e.g. gender, race, tenure, employee grade level, education level, occupational field, etc.).

- Consider utilizing predetermined indices to organize the data quickly prior to creating original ones, such as the Office of Personnel Management’s (OPM) indices: (1) Engagement Index, (2) Global Satisfaction Index, and (3) New Inclusion Quotient (New IQ) Index.

- Understand the disparities in the way supervisors and leadership are regarded (e.g. by referencing a 5-year trend analysis chart of the FEVS Engagement index — differing employee perceptions are evident for the categories of Leadership, Supervisors, and Work Experiences).

- Be cognizant of the recent Executive Order on the Senior Executive Service, whereby agencies are now being asked to improve their recruitment, development, and retention activities for executive level talent.

Rationale: FEVS continues to serve as the single most important data source for capturing federal employee perceptions of their work experiences, their agencies, and their leaders. Incoming leaders can use the survey results to understand employee engagement trends for particular program areas/offices, especially those that align with strategic priorities of the president and the new Administration.
6. The White House must display strong interest and leadership in building a robust cybersecurity workforce.

Discussion: The new Administration should take clear steps to sustain the momentum that current initiatives have achieved to improve the recruitment and retention of the federal cybersecurity workforce. Early, strong interest and leadership from the White House will be important for establishing accountability for continued leadership and for executing roles and assignments. Capitalizing on the bipartisan support this subject receives should help deter a natural tendency to reinvent the wheel.

Rationale: The Executive Branch and Congress have considered increasing the quality, quantity, and level of expertise of the government’s cybersecurity workforce across the government.

7. Encourage Executive Branch innovation.

Discussion: Establish an “Innovation Laboratory” devoted to reviewing, reworking, lightening, and making more effective the system of regulations and procedures that supports discharge of an agency’s public responsibilities. Simply stated, the innovation lab gives agencies a “safe space” for testing ideas and concepts through facilitated discussions with staff members who are trained to stimulate rapid decision making.

- Look to OPM for an example of an innovation lab in action.
- Employ the Director of the OPM to convene a group of stakeholders hosted by the agency’s innovation lab in a series of discussions to create a roadmap for civil service reform, with the main focus on how best to enact meaningful change.

Rationale: Our democracy is experiencing a crisis of doubt and skepticism about its most distinguishing feature: the institutions and procedures of self-government. To be responsive, accountable, and efficient, government now needs to be able to change and improve itself in continual cycles. That requires a new internal dynamic and new institutions and techniques to carry it out.

CONCLUSION

Human capital issues are pervasive throughout the federal government, but a case can be made that the root of most of these issues lies in the government’s ability to recruit, prepare, and retain high quality officials, both career and political. Given the government’s inability to compete with the soaring salaries of the private sector, it must be innovative in how it develops and implements its recruitment and personnel management systems. While these recommendations certainly do not address all of the human capital issues that continue to plague the federal government, they offer a solid foundation upon which to build.
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