

# Appendix 4-1

## Facilities Management Process

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Facilities issues were among the primary concerns reflected in employee input to the Program Review. They provided the following suggestions:

- Address shortfalls and inadequacies in facilities repair and maintenance, new construction, and major acquisition strategic planning and prioritization.
- Address maintenance and repair problems at specific locations, i.e., NCEP and WASC.
- Implement a Working Capital Fund to support capitalization of investments and improved overhead management.
- Infrastructure should be a high-priority, mandatory budget item.
- NCEP and WASC have critical repair and maintenance requirements.
- Line Offices should be required to set aside annual amounts for repair and maintenance. Currently, there is a 300-item, \$55-65M+ unfunded or deferred maintenance and repair list—and many are safety-related. These Line Office funds should supplement current CIP program.
- Consolidate Facilities Management Functions. Create and adequately resource the Major Projects Office. Centralize facilities long range planning, budget initiative development, policies and procedures, and management of maintenance program and construction projects.
- PAC funding should be more focused. Should concentrate on procurement of capital assets, systems and construction, not “ordinary expense” items.
- All facilities and platform maintenance activities, to include budget requests, appropriations, and implementation, should be decentralized and fall under the purview of the Line Offices.

The following are possible short-term and long-term options for action suggested by OFA:

### Short Term

- Restrict new construction and renovation initiatives pending completion of a needs assessment
  - Develop additional expertise in construction/lease management
  - Centralized management (OFA or single line office)
  - Decentralized (line office)
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- Line Organizations manage own construction and renovation programs
- OFA—Major Projects Officer & contractors focus on facilities prioritization and Master Facilities Plan

#### Long Term

- Conduct a NOAA-wide needs assessment using DoD base closure model
- Develop a NOAA-wide Master Facilities Plan
- Establish a line item in each line office's budget for maintenance and repair of owned facilities

The Director of the Central Administrative Center (CASC) presented a discussion of the Infrastructure issues, along with some possible options. This briefing is included as Attachment 1 to this appendix.

**Please refer to attachment 1: “NOAA Facilities—These are the best of times, these are the worst of times.”**

## Safety and Compliance

Employees suggested that:

- NOAA should establish an agency-wide Safety and Compliance Program with appropriate staffing and funding.
- NOAA should provide the staff and resources necessary to achieve the professionalization of its Safety and Compliance staff.

The PRT noted that safety issues are being addressed in NOAA's FY 2004 Budget formulation process. The PRT also noted that Safety is a high priority issue for the Department of Commerce.

There was also concern that Safety and Compliance would be housed in the same office—NOAA Facilities Office—that would have responsibility for many of the most serious problem areas. The potential for conflict of interest, or at least contradictory missions, was recognized, as well as the need for continuous formal oversight and periodic reporting to agency management.

As of this writing, the Infrastructure Team has forwarded approximately \$20.8 million in nine separate initiatives for consideration in the formulation of the FY 2004 NOAA Budget. This includes three of the top five initiatives in priority order, and represents nearly 12 percent of the total Infrastructure recommendation.

## **Attachment 1, Appendix 4-1**

The following presentation was given by the Director, Central Administrative Service Center, to the Program Review Team.

# Facilities



“These are the best of times” . . . . .

“These are the worst of times” . . . . .

*Martha McBroome  
Director, Central Administrative Support Center*

March 28, 2002

# “These are the worst of times” ....

Over 500 installations consisting of ~800 NOAA owned buildings

~ 6 million sq ft

~ 50% of the buildings over 30 years old

~\$65 million (316 projects) in backlog maintenance and repair

\$25 million health and safety

Maintaining current funding profile (FY02 - \$3.2M & FY 03 - \$6.3M) will reduce backlog ~ 40% by 2010

Doesn't compete well with budget initiatives

FY 02 - \$29.5M identified .... \$700K applied

FY 03 - \$25.0M identified .... \$6.7M in President's Request

# “These are the worst of times” (cont.)....

## NMFS GALVESTON, TX

### Deteriorated Condition of Buildings 301,303,305,306 & 307



# “These are the worst of times” (cont.)....

Center for Coastal Fisheries and Habitat Research  
Beaufort, NC.



Hildebrand Building

“Typical” condition lack of maintenance/upkeep



Hildebrand Building

Bare Insulation – NEC 230-41 violation

## “These are the worst of times” ....

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# “These are the worst of times” (cont.)....

OAR – Great Lakes Environment Research Laboratory  
Muskegon, MI



Non compliant with National Fire Protection standards (i.e., dry pipe automatic sprinkler system, fire alarm system, emergency lighting, etc)

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# Manpower Resources - Historical Perspective

## Resources

1986 Reprogramming on engineering

+19 FTE and \$860K from NWS to OFA

-14 FTE and \$439K from OFA to NWS

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Net 5 FTE and \$421K for FMR&S and Major Project support

2002 Engineering resources available 17 FTE

4.47 Engineers funded by OFA for Major Projects

6.62 Engineers funded by Line Office Project funds for Major Projects

5.91 Engineers funded by OFA for FMR&S

# “These are the best of times” ....

Over half a billion dollars in construction received or anticipated  
28 major construction projects (\$417.1M) in various states  
of completion

Hollings Marine Laboratory  
Charleston, SC



# “These are the best of times” . . . .

## Demographics of Major Projects

### OFA HQ

- NWS – NOSC
- OAR/NWS – Norman
- NESDIS – NSOF
- NMFS – Gloucester
- NMFS/OAR – Miami
- NMFS - St Petersburg
- NESDIS – Fairbanks

### WASC

- NOS/OMAO – Seattle
- NMFS - La Jolla
- NMFS – Juneau
- NMFS – Honolulu
- NMFS – Newport
- NMFS – Santa Cruz Lab
- NMFS – Santa Cruz Seawater
- Provides real Property Support to NWS projects*
- NWS – Alaska Rehab
- NWS – Tsunami Warning Ctr
- NESDIS - Fairbanks

### MASC

- Provides real Property Support to NWS projects*
- NWS – Tallahassee
- NWS – Key West

### CASC

- NWS – Key West
- NWS – Alaska Rehabs
- NOS – Kasitsna Bay
- NOS – Key West
- NMFS – Pascagoula Lab
- NOS – Hollings Marine Lab
- NOS – Hollings Lab Exp.
- NWS – Tallahassee
- NMFS – Pascagoula Dock
- NWS – AK Tsunami Warning Ctr.
- NOS – Beaufort
- NWS – HVAC Upgrades

### EASC

- NWS – Caribou
- NOS – Coastal Svc. Ctr

# What are the Issues?

No Methodology in place to identify and prioritize NOAA-wide construction and renovation needs

PDAM process still elusive

Major Projects Office – still unresolved after 12 years

No NOAA-wide Master Facilities Plan

No NOAA-wide policies

No construction estimating primer (supports DUS & Task Force concerns for project costing methodology)

NOAA’s Facilities Oversight Committee inactive

Congressional “ear marked” projects may not be most critical need for NOAA’s mission (e.g., Estuarine Habitats and Coastal Fisheries Center, Lafayette, LA)

# What are the Issues (cont.)?

Construction Management (Estimating commissioning, design, final inspection, etc.) inadequate.

Appropriated dollars are for “bricks and mortar” little or no funds for construction management

Carryover funding delays (process issue)

Intra-Agency agreements w/Line Offices

Pricing Policy – Insufficient to provide adequate construction management oversight

Many IA’s are never signed and funding for adequate construction management never materializes

Construction competes with new mandates

Environmental Compliance

Safety

Homeland Security

# What are the Issues (cont.)?

## Capital Improvement Program

Woefully under funded – backlog maintenance and repairs continues to grow \$65 million 16+ years to resolve based on funding experience (~\$4 million per year).

## No Master Facility Plan

Flat funding or no funding for operation and maintenance of facilities (e.g., largest NOAA owned facility, Western Regional Center, Seattle WA, flat funded for 12 years)

# Recommendations



## Short Term –

Restrict new construction and renovation initiatives pending completion of a needs assessment

Develop expertise in construction/lease management

### Centralized management (OFA or single LO)

Require increased staffing and expertise not in OFA or LO

HQ Facilities Office & LO – reorganization/realignment/skill mix problem

Field Organizations (ASC & LO) – increased staff and contractor support

### Decentralized (LO)

Line Organizations manage own construction and renovation programs

OFA – Major Projects Officer & contractors focus on facilities prioritization and Master Facilities Plan

# Recommendations



Short Term (cont.) –

If centralized option is chosen -

Finalize NAO's on PDAM, Construction pricing and workload

Direct bill Line Offices for labor and G&A noted on Intra Agency Agreements

Re-activate the Facilities Oversight Committee to oversee the process

# Recommendations



## Long Term -

Conduct a NOAA-wide needs assessment using DoD base closure model

Renovation versus new construction

Lease versus own

Consolidate facilities

## Develop a NOAA-wide Master Facilities Plan

Consider future changes in science

Consider return-on-investment

Establish minimum facilities maintenance standards

Develop “get well” plan and resource “set aside”

# Recommendations



## Long Term (cont.) -

Establish line item in each Line Organization's budget for maintenance and repair of owned facilities



# Appendix 4-2

## Administrative Services

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Employees provided the following concerns and recommendations in the general area of Finance and Administration (including Administrative Support Centers):

- Consolidate and reorganize the Administrative Support Centers (ASCs). Standardize services, policies, procedures and practices. Review and realign state and organization boundaries. The ASC physical boundaries or areas of responsibility vary by Line Office. Consider establishing centers of expertise for administrative functions and locate centers based on mission and customer need.
- There are 16 offices or units providing support to the five line services. In each line office, there is a repeat of this same structure of ancillary offices, although to a lesser extent. This is not an efficient structure could be more efficient. Complexity in administrative structure does not equate to efficient government operations. Human resources should be shifted. Headquarters staff is too large.
- Ensure consistent policy implementation in Human Resources, Procurement, and Finance operations at the ASCs by placing each under the direct supervision of a senior manager in NOAA headquarters. While the ASC concept of distributed services closer to customers is good and has led to streamlined delivery of many administrative services, many instances of varying interpretation and inconsistent application of policy, especially in the Human Resources arena, have occurred nationwide.
- NOAA's support structure needs to be looked at—from the CFO to the administrative support centers to public and legislative affairs. Are the lines satisfied with the performance of the ASCs? The regional support system was implemented many years ago. Is consolidation a viable option to increase performance? Public (and constituent?) affairs are accomplished differently within each line office. A consistent policy should be implemented throughout NOAA.
- The budget rollout needs improved coordination among the Budget Office, Legislative Affairs, and Public Affairs.
- Need better financial management and administrative support for HQ staff offices— OFA's support of these functions has diminished.

The PRT representative from the Office of Finance and Administration (OFA) presented the following as possible options:

1. All administrative services—with supporting staff and resources—currently performed by the ASCs will be reassigned to the individual Line Offices. NOAA Headquarters will be serviced by the administrative service staff currently at Headquarters.

2. The ASCs will be reconfigured as “Centers of Excellence,” with each ASC specializing in a particular service.
3. The ASCs will be consolidated, eliminating one or two, in order to provide more focused and consistent service.
4. Each Line Office will have its own ASC, which will provide service only to that Line Office. Under this option, the servicing Line Office would also service the headquarters element of the Line Office.
5. A full-service “tag team” approach will be established, whereby each ASC will support some but not all Line Offices. Under this option, the headquarters element of the Line Office will be serviced by the headquarters administrative service staff.
6. Action will be deferred until completion of the on-going Activity Based Cost study and establishment of the Business Management Fund. Under this option, Line Offices would “purchase” services, and would be able to change providers, if service was not satisfactory. It will be two to three years before this option can be fully implemented.

The above options would not be without cost. Some of the considerations that would have to be taken into account include:

1. Many of the above options would involve office closures and/or moves, which would require the consent of Congress. This has been a major stumbling block in past attempts to restructure administrative services.
2. Many of the above options would require relocation, retraining, or possible release of employees. In similar actions, disruption of morale and adverse impact on quality of service has been shown to last for three to five years before complete recovery. There would also be the potential for union objections.
3. In locations such as Seattle, Silver Spring, and Boulder, many customers have indicated that they do *not* favor centralization of services.
4. Through arrangement with the Department of Commerce, as well as other agreements, the ASCs provide services to DOC and Federal agencies other than NOAA. Any option that changes the ASCs from providing a full suite of services would impact on those agreements.

OFA made the following recommendation to the PRT:

Several major studies have been conducted during the past several years—among the most recent, the Hagemeyer study in February 1996 and the Kammer report in June 2000—that address many, if not all, of the issues raised by the employees and PRT. Also relevant are some of the recommendations from the March 2000 National Academy of Public Administration (NAPA) report, *Improving the NOAA Budget and Financial Management Processes*. Copies of these studies were provided to the PRT. In view of the change in Administration, as well as recent advances in technology, it would be appropriate to take another look at these studies and their recommendations. Further, in view of the implications of many of the options and considerations listed above, it is obvious that this is a very important and sensitive issue, and one that should be given a far more detailed examination. Therefore, OFA suggested that the PRT recommend that these issues be referred as a follow-on project. A completion date of December 1 2002, would be appropriate, in order to allow the recommendations of the follow-on project to be incorporated in the FY 2005 NOAA Budget request.

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## **Relevant References:**

*Improving the NOAA Budget and Financial Management Processes*, A Report by a Panel of the National Academy of Public Administration to the Director of Budget, National Oceanic and Atmospheric Administration, March 2000

*NOAA Customer Service—A Paradigm Shift*, An Action Plan of the Administrative Services Reinvention Study Group, February 1996 (the Hagemeyer report)

*OFA Strategic Planning Status*, report and briefing presented by J.T. Kammerer, NOAA Chief Financial Officer/Chief Administrative Officer, September and October 1997



# Appendix 4-3

## Grants Management Process

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**Background:** In FY 2002, NOAA will administer a grants award program of more than \$800 million; awarding approximately 1,300 grants per year, and administering over 3,000 grants in the post-award process. NOAA is relatively unique in the diversity of its customers (universities, States, tribes, private industry, etc.), and in the large number of its earmarked grants. To further complicate the process, NOAA also uses cooperative agreements and contracts, in support of its mission requirements, in addition to grants. The NOAA grants functions are administered by the NOAA Grants Management Division (GMD), a part of the Office of Finance and Administration (OFA). There are currently 12 Grants Management Specialists in GMD, who perform the central office functions of the grants process. Other grants management actions are performed at the line offices and program offices that actually administer the individual grants.

### **Synthesis of Relevant Employee Inputs and Suggestions:**

Most comments from employees spoke to the Grants processing time, but others also addressed areas such as Grants Adjustments to Base (ATBs) and the role of grants in directing research. The recurring themes and highlights included:

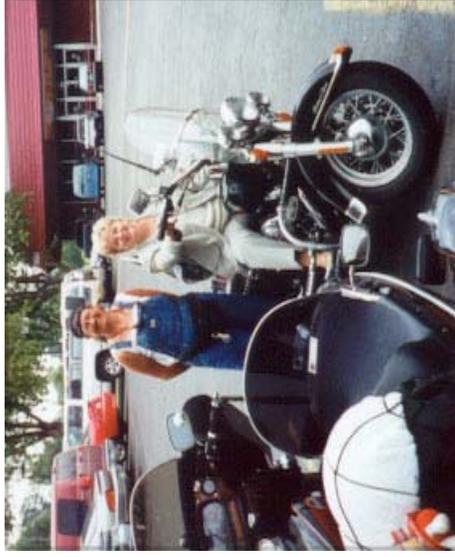
- a. The consensus of input was that the Grants processing time is too long.
- b. Several comments recommended adoption of the Grants On Line and other automation augmentations.
- c. The lack of ATBs for grants has adversely impacted the effectiveness of grants. NOAA should study and follow the NIH model.
- d. Having to rely on grants for operational funding of NOAA laboratories has influenced the direction of much of NOAA's research. Is this what the organization wants?
- e. Other comments concerned the staffing and funding of the Grants Management Division, as well as adequacy of standards, training, professionalization, and consolidation.

## **Attachment 1, Appendix 4.3**

“Grants—Faster, Better, Cheaper,” a briefing presented by Jolene Lauria Sullens, NOAA DCFO, on March 1, 2002



# GRANTS FASTER, BETTER, CHEAPER



National Oceanic and Atmospheric Administration

**Jolene Lauria Sullens**  
**Deputy Chief Financial Officer**  
**Budget Director**

March 1, 2002



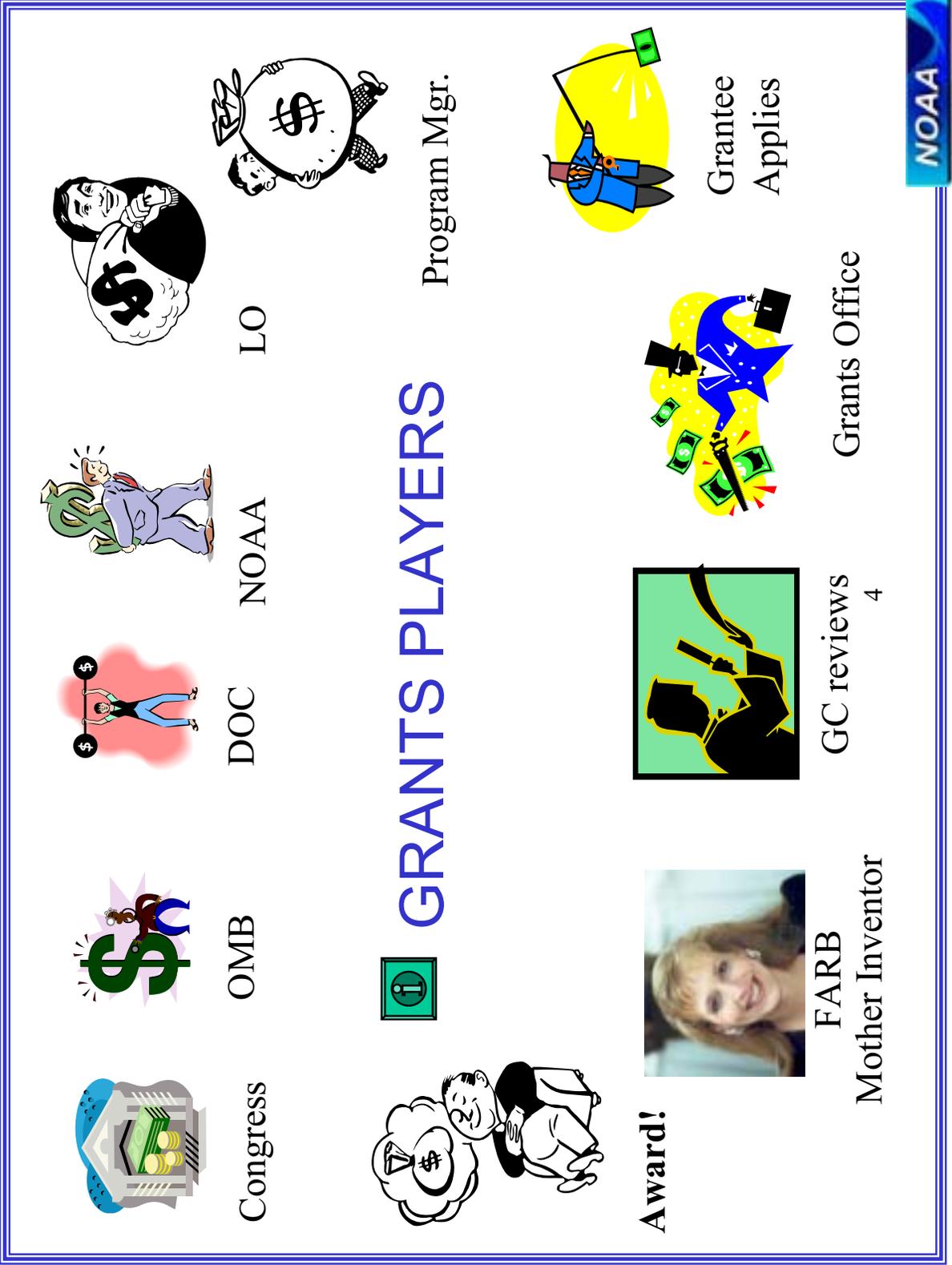
**PROBLEM STATEMENT:**

- **Why does the process take so long...**



## Givens about process today...

- At best, on average it takes seven to ten months to get a grant awarded following an appropriation.
- A myriad of individuals touch the grants process, few have cycle times performance standards.  
- The NOAA Grants office on average, represents is 69 days of the time, and most of their work doesn't hit then until June-Aug.
- Longest part of the cycle follows Allowance Advice to the Line Office's (LO's) generally, it's 3 months with the LO's and 2 months with grants.
- In addition to the number of players in the “end-to-end” process, the division of labor between the Program office and the Grants office creates a dual management system whereby neither are accountable to each other but merely react to workload requirements.
- The NOAA Grants office is in a reactive mode with regard to Grants workload--which shows up in their office all at one time and delays their ability to process expeditiously.



# GRANTS PLAYERS



## CYCLE TIME STANDARDS

Congress - no standard - mostly by Dec.

NOAA - 2 days after Appropriation, prepare apportionments to DOC

DOC - 5 days to review and send apportionments to OMB

OMB - 15 days after receipt of apportionments

DOC - 1 day to NOAA, after apportionment signed

NOAA BUD - 15 business days following appropriation, to send out  
Line Offices Allowances

LO BUD - no known NOAA-wide standard

Program Manager - no known NOAA-wide standard

Grantee - no standard, unless competitive grant

Grants Office - 69 days to process, goal 30 - 35 days to process

General Counsel - no standard, generally 3 - 4 days

FARB - 48 Hours

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## Recommendations

- 1) Do Pre-work by August 1st prior to Appropriation.
- 2) Immediately following Appropriation, meet with Hill on clarifications.
- 3) Streamline distribution of funds.
- 4) Set upper limits/cycle times for Program Managers, General Counsel, and Grants Office.
- 5) Facilitate Grantee application by GRANTS-ON-LINE and grants workshops.

## Recommended Steps

### 1) Pre-work before Appropriation:

- List Grants, by category (competitive, non-competitive, formula & Congressional Earmarks), prior to appropriation, so NOAA budget can prepare separate allocations and program managers can begin writing requirements. Also to identify other actions that need to occur (i.e. spend plans, matching funds, etc) **Due February (along with the President's submission of the budget).**

### 2a) Grants Office & Program Managers:

- 10 business days following Appropriation, prepare a revised list of Grants, based on final decisions. Also identify other actions that need to occur (i.e. spend plans, matching funds etc.) .

### 2b) NOAA Budget Office:

- 5 business days from receipt, NOAA Budget meets with Hill staff to finalize list.

## Recommended Steps

### 3) Streamline distribution of funds:

- NOAA Budget a prepares separate Grant allotment for base grants along with target allowance (Oct 1st) to LO Budget or Program Managers.
  - Grant Allotment prepared 15th day from Appropriation to Program Managers - 5% reserved in central fund for indirect costs, Bill language earmarks go out in full.
- OR**
- Grant Allotment prepared 15th working day from Appropriation to LO Budget, with time LO limit to distribute grants to program offices within 5 business days for competitive, non-competitive and formula grants. NOAA Budget would direct fund bill language earmarks.

## Recommended Steps

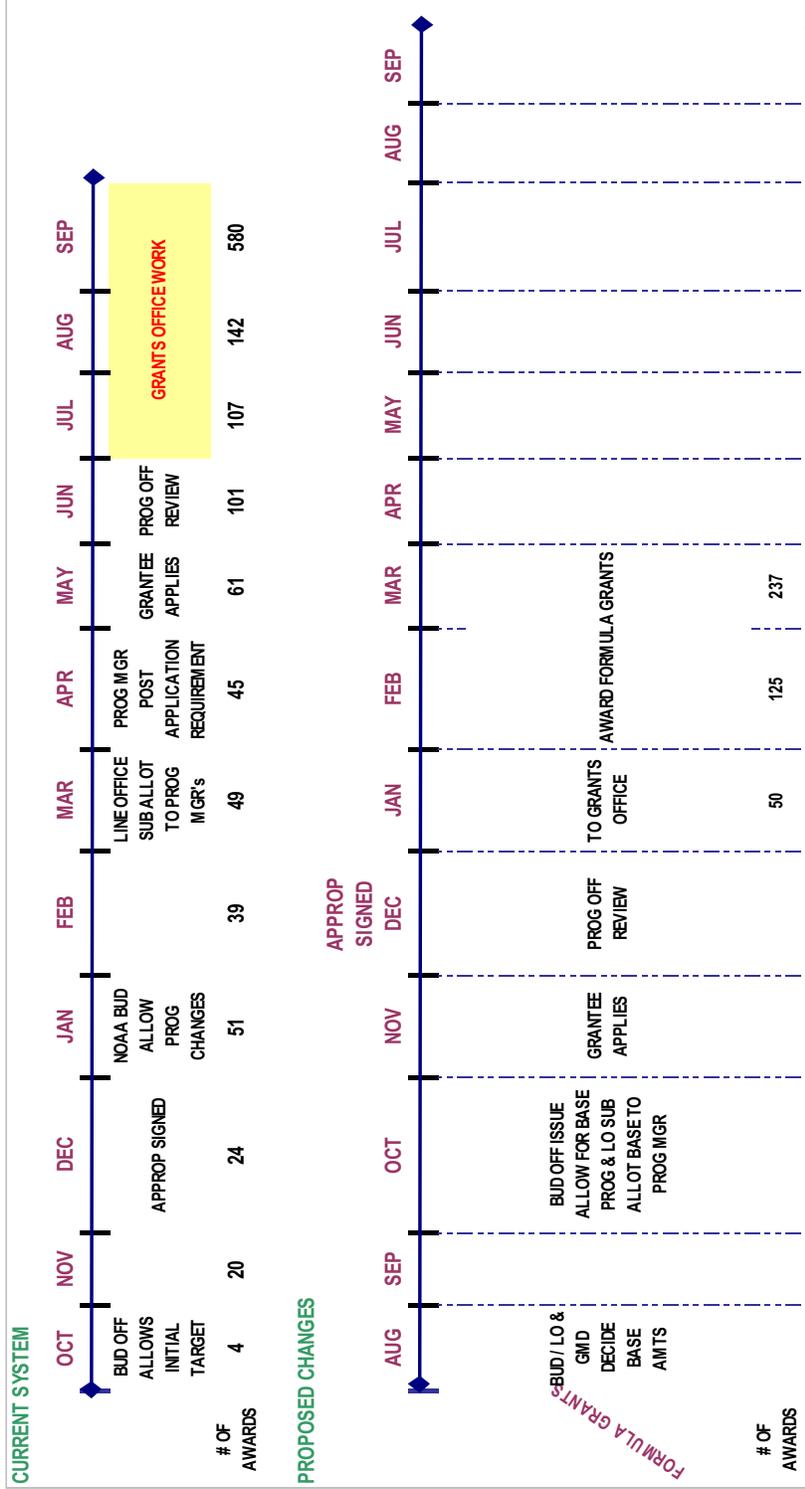
- 4) **Set upper limits/cycle times:**
  - **LO Program Managers:**
    - Set cycle time 10 business days from receipt of fund, Federal Register Notices and contacts to grantees can be done for non-competitive in advance of funds.
    - Line Office Program Review of Grant Application - 30 days
  - **Grants Office:**
    - Set cycle time 30 - 35 business days from grantee application.
  - **General Counsel:**
    - Set cycle time 3 - 4 business days from receipt of documentation.
  - **FARB**
    - Keep cycle time at 48 hours.

## Recommended Steps

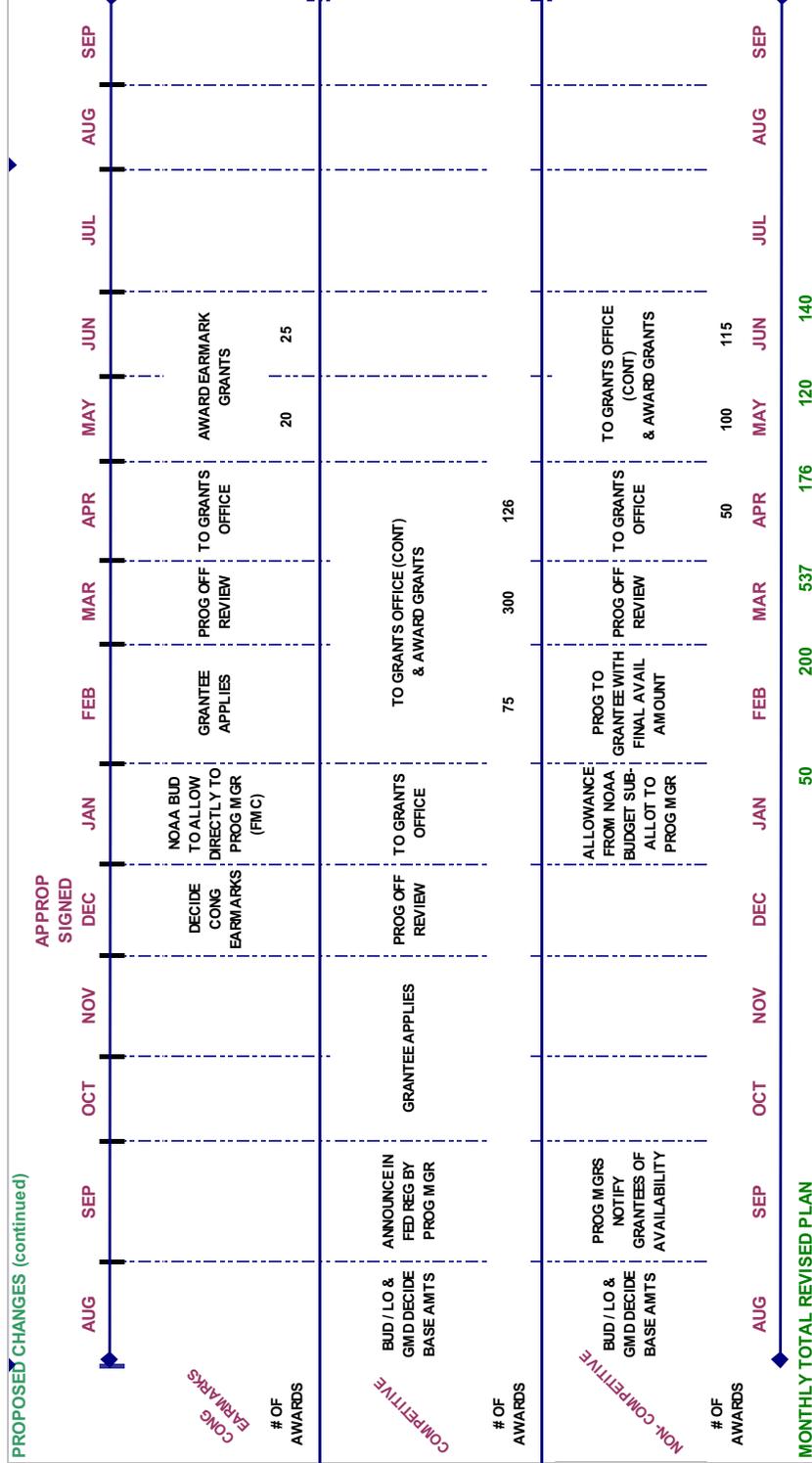
### 5) Grants-On-Line and Workshops:

- **Grants-On-Line**
  - NOAA CIO has action to develop automated system
- **Grants workshops**
  - Increase frequency

# TIMELINE



# TIMELINE - continued



TIME SAVINGS  
 4 - 5 MONTHS FOR BASE GRANTS - 2 MONTHS FOR CONGRESSIONAL EARMARKS - 1 - 2 MONTHS FOR OTHERS  
 W/ NOAA TO PROGRAM 3-4 MONTHS



## Other Discussion Points

- 1) Do we want a bifurcated process where LO's do some work, then sequentially Grants Office follows.
- 2) Are there opportunities to work jointly with Program Managers and Grants?
- 3) The whole process could use the “so what” test. Why do we do what we do? (i.e. signatures must be in blue ink)
- 4) Other Grant Agencies has the Grants Office involved throughout the entire process, versus “reactive” to submitted final grant, (i.e. Cancer Institute, NIH, Social Security).



# Appendix 4-4

## Information Technology

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The employee comments and recommendations that were received relating to information technology (IT) issues in NOAA ran a wide gamut, indicative of the importance and breadth of the impact that IT has in the daily operations of the NOAA. IT supports almost every aspect of the agency's mission and, not surprisingly, IT expenditures represent a significant part of the budget.

Some recommendations can be addressed by the complete implementation of existing legislation and DOC policies establishing Chief Information Officers (CIO). Implementation of the Clinger-Cohen Act (Information Technology Management Reform Act), 41 U.S.C. § 1401, *et seq.*, will, among other results, lead to improvements in operations and service delivery using IT systems, promote effective use of IT to accomplish NOAA's mission, and shape an effective strategic and operational planning process. In addition, the Department of Commerce has required the implementation of the Department of Commerce IT Restructuring Plan (June 13, 2001) that sets forth the roles and responsibilities of DOC operating unit and major NOAA line office CIOs. Another relevant reference is the memorandum from Secretary of Commerce Donald L. Evans to Secretarial Officers and Heads of Operating Units, "Strengthening Commerce Information Technology Management," (June 13, 2001).

The employee comments included recommendations to: empower the NOAA CIO; develop and implement agency-wide data management policies; create a paperless organization; manage Federal fisheries permits via the Internet; establish an IT infrastructure fund; standardize electronic document production; consolidate archiving and distribution of electronic documents; provide support for web services and networking; and provide employee training.



# Improve the Efficiency of IT Use

## Sample Success – IT Security Software

	NOAA	LO sum	Savings
Security Awareness Training	\$40	\$448	\$408K
Anti-Virus	\$218	\$341	\$123K
IT Security Planning	\$200	\$1428	\$1228K
Intrusion Detection	\$43	\$65	\$22K

**Total Savings: \$1.8M**



# Appendix 4-5

## NOAA Ship and Aircraft Allocation Process

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The issues identified by employee input generally fell under these themes:

- Fleet and Aircraft allocation process
- “Winter in Port” and ship crew issues
- Budgeting and planning for fleet and aircraft
- Small boat and other safety issues

Employee suggestions included the following:

1. NOAA needs to implement an enhanced augmentation and/or crew rotation program to increase retention and reduce lost days at sea due to inadequate staffing.
2. Review “Winter in Port” practice. Presently, there is little savings as staffing costs continue. Consider outsourcing.
3. Need better planning for replacement of personnel and infrastructure.
4. Reduce days at sea for older NOAA vessels.
5. NOAA should revamp its fleet/aircraft allocation process based on a more rigorous review of program objectives, prioritization (short- and long-term) of programs, and integrated, multi- mission cruises.
6. Light aircraft should be included in base funding, especially maintenance and upgrades.
7. Should have a NOAA Administrative Order requiring all requests for fleet and charter aircraft go through OMAO program services. Would allow tracking, compliance with GSA and FAA policies, and improve safety and training.
8. Implement and enforce NAO 217-103, Management of NOAA Small Boats.
9. Decentralize responsibility and funding for maintenance and platform support services, rather than centralize with OMAO.

The following discussion is derived from the briefing given by the PRT representative from the Office of Marine and Aviation Operations:

## **NOAA's Allocation Process**

- The NOAA Administrative Orders that define and describe the NOAA Allocation Process are logical, corporate, and democratic and will work well if used as intended
- The OMAO has a vote on the Council however, they are a neutral service provider to NOAA programs and should not set program requirements for platform use.

## **OMAO's Preferred Allocation Process**

- NOAA should:
    1. clearly articulate NOAA program priorities
    2. ensure platform allocation plans and activities reflect NOAA program priorities
    3. develop a long range ship and aircraft replacement and acquisition plan beyond the Fisheries Research Vessel (FRV) replacements and surplus vessel replacements, and support the plans in order to meet NOAA program requirements
    4. promote the exploration of new ship technologies such as fuel cells, hybrid power plants, architecture for roll-on roll-off scientific packages, ship operating systems that reduce complements, etc., and similarly for aircraft replacements
  - The Fleet Allocation Council should:
    1. be aware of current NOAA program priorities and ensure allocation plans reflect NOAA priorities
    2. ensure that programs which have been supported through the budget initiative process have priority in scheduling, and mandated requirements for platform time are also met through a mix of fleet and charter
    3. discuss fleet issues, policy, and fleet future beyond current scheduling and conflict resolution
  - Line Offices should:
    1. form an internal body of senior managers that meet on a regular basis to discuss research platforms with regard to current and future program requirements
    2. discuss Line Office program priorities for platform requirements for the current allocation and provide direction to the Fleet Working Group representative
    3. ensure platform requirements are represented in new budget initiatives
    4. discuss whether current NOAA fleet capacity or charter capacity will meet requirements and if not, begin discussion in NOAA on how to meet those requirements
    5. discuss accountability i.e., has a program demonstrated effective use of platform time and capability, what are the results?
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- OMAO should:
  1. develop with the Line Offices the allocation plans in accordance with the NAO and execute the plans
  2. facilitate discussion with and between Line Offices to resolve allocation conflicts
  3. facilitate discussion with and between Line Offices on fleet requirements and capabilities
  4. develop long term plans to meet platform requirements

### **Alternative Allocation Process**

- Develop allocation plans two years out in advance of the budget process so the budget process develops initiatives that will support the allocation plans
  - This has been tried in the past but was found to be too unwieldy and out-of-sync with the other cycles of activities going on that affected platform scheduling

## **Attachment 1: Appendix 4-5**

### **NOAA Ship/Aircraft Allocation Process: Proposed Operating Principles**

1. The Allocation Board should provide vision and guidance at the front end of the planning process.
2. Each year should start with a “clean slate” regarding requirements and resources requested by Line Offices. It should be timed to link to the NOAA budget formulation process.
3. Allocations must be directly linked to clearly articulated long range and annual agency priorities provided by the Administrator and the Executive Leadership Council.
4. The allocation of resources should be based on tangible justification and relevance to NOAA’s missions and priorities.
5. A process is used for allocation that has clear criteria for rating and ranking. (Consider the ESDIM model)
6. The Director of OMAO plays a strong role in oversight, management and decision-making in allocations. The Director’s role must be more than a process facilitator.
7. An external review of proposals or a similar independent review process is part of the annual process. The question of “why do we have a fleet?” should be answered each year.
8. NOAA should emphasize the use of private sector assets, e.g., UNOLS ships, where appropriate.

# Appendix 4-6

## Regional Coordination

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In the search for ways to improve intra-NOAA coordination and to build a unified NOAA, one significant proposal is the institution of a system of regional coordinators. These coordinators would have an intimate knowledge of all NOAA programs, activities, and facilities in their area of responsibility. Their duties would be wide-ranging—from program integration to public relations.

Input received by the PRT spoke to the following concerns:

1. The need for building a more unified NOAA with a stronger corporate identity, which has already been identified and discussed at length.
2. The need for more and better cross-program and cross-office coordination has also been well-documented and much-discussed.
3. At the moment, NOAA does not have field personnel with a knowledge and understanding of all NOAA programs in a given area, making it difficult for constituents and potential customers to contact the correct person within the agency. This issue was raised by an employee who said that their office had become the de facto local NOAA contact in his area, but that constituents were not always well served because neither he nor his colleagues had much knowledge of other local line office programs.

Among the services regional coordinators could provide are:

- Single point of contact for the public and for NOAA employees
- Elimination of duplication and identification of other efficiencies
- Identification of synergies
- Identification of new cross-program opportunities
- Single voice for NOAA promotion and advocacy and for consistency of response to inquiries

Following are several of the options for implementation of a regional coordination system that were discussed by the PRT:

*Option 1:* Appoint coordinators on an ad hoc, as-needed basis to cities or other areas where several NOAA facilities from different line offices are located.

Benefits: Very flexible, less bureaucracy

Drawbacks: Less institutionalized, lower standing in organization

*Option 2:* Appoint coordinators on a state-by-state basis. States which have no NOAA facilities or facilities from only one line offices would not require a coordinator

Benefits: States provide a ready-made subdivision of the country

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Drawbacks: Could result in too many coordinators for optimum effectiveness and efficiency

Regional Coordinators in key states or cities will provide opportunities for NOAA to accrue better recognition. This will also facilitate development of a focal point for NOAA employees to look to for assistance in developing regional projects with other NOAA programs. Through improved use of the NOAA facilities nationwide as outlets for information about NOAA and its programs, the PRT believes that NOAA will be able to reach its users and constituents in a more coordinated way.

The PRT believes that the implementation of a strategic Education and Outreach program (see Appendix 4-7), use of regional directories of services, and identification of a NOAA employee to coordinate the awareness of NOAA activities internally, as well as to be a focal point for external entities, will benefit constituents and users, and will develop an improved recognition and appreciation of corporate NOAA's activities that are available to serve them.

# Appendix 4-7

## Education and Outreach

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“ NOAA Education is a proactive communication imparting the value of NOAA science, products and services; promoting environmental stewardship and public safety; and fostering a sustainable economy”

—NOAA Education White Paper

In order to accomplish its missions, NOAA needs a focused education and outreach strategy. For example, we must ensure that the public understands the meaning of watches and warnings, and the importance of NOAA measures to protect the Nation’s natural resources. In order to gain recognition and support, we must also distinguish our products and services from those provided by other Federal agencies, the private sector and non-governmental organizations. In the long run, the ability to recruit our future workforce also depends on an effective education and outreach strategy.

There are many ways to establish and strengthen the “NOAA Brand.” However individual programs have sometimes developed alternate logos; NOAA’s vision and mission statements may not be “snappy enough”; and the Department of Commerce periodically reminds NOAA that it is “one of their Bureaus,” further complicating establishment of a strong NOAA Brand.

### Education

NOAA’s history of dealing with Education is reflected in the way it has established Education within the organization. Over the years Education has been successively centralized and then decentralized.

Currently, there is interest in re-establishing a headquarters office to facilitate intra-agency coordination. Employees have volunteered their time (i.e., taken on collateral duties) to staff a NOAA-wide *ad hoc* Education Task Force, which is a subcommittee of the NOAA Science Advisory Board. The Task Force has catalogued a diverse set of activities across NOAA that amount to approximately \$61.7 million of education expenditures with unspecified amounts of in-kind support.

An Education element also has been included in SES performance plans to reinforce Senior management’s commitment to education. The referenced Education white paper and List of Activities suggest that full-time staff should be dedicated to this program, along with establishing an Office of Education at NOAA headquarters.

## Outreach

All of NOAA's line and staff offices are involved in some form of outreach, including webpages, posters, brochures, and public service announcements. VADM Lautenbacher and all of the Assistant Administrators are personally engaged in education and outreach of NOAA activities. NOAA Headquarters offices such as Legislative Affairs, Budget and Finance, Public and Constituent Affairs, International Affairs, and Sustainable Development play a critical role in disseminating the NOAA brand and message.

The proposal to develop geographically-based regional coordination nodes could serve to refine education and outreach messages for local audiences. Partnerships with other Federal agencies and academia also provide an opportunity to ensure that NOAA's contributions are well documented.

## Potential Tools to Enhance Education and Outreach

- Improved coordination at NOAA HQ among Office of Public and Constituent Affairs, Office of Legislative Affairs, and Office of Budget regarding Congressional and media relations.
- Development of outreach strategies during program planning versus adding them during program implementation.
- Develop standards for NOAA graphics and exhibits.
- Develop new employee orientations at all levels on NOAA.
- NOAA items (watches, shirts, action toys, etc.).
- Maximize events such as "Open Houses" to NOAA facilities, ships, aircraft tours, "Bring your Child to Work Day" as a platform for multi-media exposure.
- Use of rotational assignments at GS and SES levels, similar to NOAA Corps.
- Establish NOAA Science Center (education, ships).
- Use future core missions and new Strategic Plan to help focus NOAA messages to constituents.
- Institute regular meetings with heads of other agencies focused on specific themes (i.e., science, climate, etc.).
- Wider use of VTC and web-based research briefings.
- Develop strategic relationships with media and trade publications such as CNN, Discovery Channel, National Geographic, Weather Channel, and their Anchors.
- Establish clauses in each NOAA grant requiring funding attribution to NOAA; grants should ensure that "commitment to education and outreach" is included in its standard clauses, where appropriate.
- Incorporation of requirement in interagency agreements and joint activities to ensure attribution to NOAA funding and/or in-kind support.

The following issues and opportunities were synthesized from employee comments:

- **NOAA is a service organization:** NOAA can't market its mission and programs in a vacuum and in many cases is not the sole owner of many activities it is involved in. Critical NOAA support to Environmental Protection Agency, US Coast Guard, US Department of Agriculture, Department of the Interior, Federal Aviation Administration goes unacknowledged. For example, NOAA provides weather forecasts and outlooks while Federal Emergency Management Agency and US Forest Service are the users and implementors of the data products. NOAA provides flood warnings, local state emergency managers, US Army Corps of Engineers, USGS are the actors. NOAA's challenge: to clearly state what role it plays without seeming to be opportunistic and duplicative.
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- **Helping our Partners help us:** NOAA funds many programs through grants and contracts to academia (Joint Institutes, Cooperative Institutes) and private organizations that are not publicly acknowledged. NOAA's challenge: To ensure it gets credit for funding provided.
- **What is NOAA's Brand?** NOAA provides a wide variety of services and products. Sometimes they are compatible with each other and sometimes they are not. For example, Estuary Awareness Day, Turtle Excluder Devices - natural resource management and protection provide easier connection to the public than NOAA's solar-terrestrial forecasts of electric grid brown-outs. Challenge: What does NOAA market? How can it deliver the message without confusing the audience?
- **Who's on first?**

Scenario 1: LO's and individual programs develop education and outreach activities that promote their program with NOAA as deep background. Sea Grant, NMS, Ocean Exploration, Coastal America all do their own thing.

Pro: Allows development of "retail" and "boutique" opportunities that promote local constituencies.

Con: External partners are often given "higher billing" than NOAA.

Scenario 2: NOAA is promoted up front, with line offices and programs as examples of NOAA activities.

Pro: Strong NOAA image

Con: "Which part of NOAA is this?" for programs with multiple line office involvement

- **Stove piped activities lead to missed opportunities:** Improved coordination could realize multi-fold benefits. For example, better coordination among Public Affairs, Budget Office, and Legislative Affairs for budget roll-out activities; Improved Congressional notification of Grants sent in garbled language. Challenge: Translation of technical jargon into plain English with sound bites.
- **Increasing NOAA's priority on Education and Outreach:** Annually, NASA steals NOAA's thunder on the ozone hole. USGS encroaches on areas that are traditionally NOAA's by getting out first. Challenge: Timing of releases.
- **Build it ... and then tell them.** Programs may develop an education program but the outreach component is an after-thought. This extends to the development of Congressional and Constituent outreach strategies. Challenge: Incorporate and fund activities early in the program development process.

The PRT also recognized that evaluation of NOAA's improved education and outreach strategy could be undertaken using the seven point Public Engagement Test adapted from the Kellogg Commission and cited by the February 2000 National Sea Grant Extension Review Panel.

## **Relevant Background Material:**

1. NASULGC White Paper (July 1998), “Recommendations for the Future of the National Oceanic and Atmospheric Administration”
2. A Regional Approach for the National Ocean Service.: Report, Recommendations, and Proposed FY1999 Implementation Plan. November 1998.
3. NOAA External Affairs Unit. Six Month Plan of Action. January–June 2002
4. A Mandate to Engage Coastal Users. A Review of the National Sea Grant Extension Program and a Call for Greater National Commitment to Engagement. November 2000.