



MAKING GOVERNMENT WORK **FOR THE** **AMERICAN PEOPLE**

A Management Roadmap for the New Administration

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PARTNERSHIP FOR PUBLIC SERVICE



IBM Center for
The Business of Government

The Partnership for Public Service is a nonpartisan, nonprofit organization that works to revitalize the federal government by inspiring a new generation to serve and by transforming the way government works. The Partnership teams up with federal agencies and other stakeholders to make our government more effective and efficient. We pursue this goal by:

- Providing assistance to federal agencies to improve their management and operations, and to strengthen their leadership capacity
- Conducting outreach to college campuses and job seekers to promote public service
- Identifying and celebrating government's successes so they can be replicated across government
- Advocating for needed legislative and regulatory reforms to strengthen the civil service
- Generating research on, and effective responses to, the workforce challenges facing our federal government
- Enhancing public understanding of the valuable work civil servants perform

The IBM Center for The Business of Government connects research to practice, applying scholarship to real world issues and decisions for government. The Center stimulates research and facilitates discussion of new approaches to improving the effectiveness of government at the federal, state, local, and international levels.

The Center's publications focus on major management issues facing governments today, including the use of technology and social media, financial management, human capital, performance and results, risk management, innovation, collaboration and transformation. Our intent is to spark creativity in addressing pressing public sector challenges—crafting new ways of improving government by identifying trends, ideas and best practices in public management that can help government leaders respond more effectively to their mission and management priorities.

Since its creation in 1998, the Center has awarded research stipends to public management researchers in the academic and non-profit communities that have resulted in nearly 350 reports—all of which are available on the Center's website, at www.businessofgovernment.org.

FOREWORD

The next occupant of the Oval Office will need to transform campaign promises and a long list of priorities into real policies and programs that produce positive outcomes for the American people.

The success of an administration can rise—and fall—based on its competence in managing the government. As history demonstrates, strong management can enable rapid and positive results, while management mistakes can derail important policy initiatives, erode public trust and undermine confidence in the government.

During the past year, the Partnership for Public Service and the IBM Center for The Business of Government joined together in sponsoring a series of day-long discussions to inform the next president and the new administration about critical management issues and actions that can strengthen government’s capacity to address the challenges facing our country.

Participants included current and former political and career leaders from the executive and legislative branches, subject-matter experts from the public and private sectors, and representatives from good-government organizations and the academic community. Each of the discussions focused on a key theme: Leadership Talent, Enterprise Government, Driving Innovation, Enhanced Decision-Making and Getting Things Done.

Through these discussions, accompanying reports and related research, we have developed a management roadmap for the next administration. We hope this report will help the new administration successfully transition to power and improve the federal government’s performance throughout the next president’s term.

Sincerely,



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President and CEO
Partnership for Public Service



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INTRODUCTION

A CALL TO ACTION

DELIVERING ON PROMISES, RESPONDING TO CHALLENGES AND ACHIEVING RESULTS FOR AMERICA

Our next president will face many formidable challenges, from fighting terrorism and dealing with economic insecurity to curtailing health threats such as the Zika virus, and improving relations between citizens and the law enforcement community.

The American public will expect the president to solve these and numerous other pressing issues. Many will involve promises made during the campaign, while others will stem from new or unexpected problems. The agenda also may include big ideas, just as Dwight Eisenhower launched construction of the interstate highway system and John F. Kennedy boosted the space program that led to the moon landing and so much more.

Whether it's solving difficult challenges or pressing forward with bold new plans, the difference between success and failure lies in implementation. Presidents and political appointees generally focus on the details of the policies and navigating the legislative process, giving less attention to how the agencies will implement and manage their initiatives. Meaningful change, and results that matter, require both a vision for what is possible and a management roadmap to get there.

Ideas and solutions start with imagination, but achieving them requires good management

American ingenuity has contributed to many significant advances in modern knowledge, understanding and achievement—the eradication of disease, the social safety net, space and undersea exploration and an agricultural system that feeds people at home and across the globe, just to name a few. These achievements and more have required imagination, cooperation and operational know-how across and among all sectors and all levels of government. In other words, achieving big things starts with an idea, but someone has to manage it to get it done.

Optimism about our nation's continued ability to “go big” or even get the job done, however, is waning. With public skepticism running high, trust in government at historic lows and challenges becoming bigger by the day,

the new administration must elevate the importance of the effective operation of government. Inattention to government management has consequences, and history has shown that there is a heavy political price to pay when things go wrong.

In 2005, for example, the inadequate government response to Hurricane Katrina led to unnecessary suffering and hardship for the people of New Orleans and the Gulf Coast. It also lowered President George W. Bush's public approval ratings and raised doubts about the government's ability to handle a crisis.

Similarly, the initial problems with the 2013 roll-out of Healthcare.gov, the online portal for President Barack Obama's signature domestic policy initiative, reinforced the perception that the government and its leaders cannot get things right, and slowed down the launch of the program until new leadership and systems were put into place.

Leadership starts at the top

Government is big, complex and fragmented, and navigating this enterprise requires a management roadmap designed to turn the president's agenda into accomplishment.

The president is uniquely qualified to provide the vision and leadership and hold administration officials accountable for results. This will require a strong commitment from the president and active coordination by the White House, a task that can be driven by the Office of Management and Budget and the President's Management Council, the organization of departmental deputy secretaries who serve as the chief operating officers within their agencies. But the PMC, chaired by OMB's deputy director of management, needs to be properly resourced and given a firm, consistent role in the management arena, something that has not always occurred in the past.

As a central federal agency within the Executive Office of the President, OMB combines budget, management and policy and oversight functions. It can play

a critical collaborative role by removing barriers and bringing agencies together to promote improved delivery of government services.

Success will start with the appointment of highly capable leaders who have strong management skills and can work together with experienced career government executives—and making sure those leaders are in place early in the president’s term. These leaders in turn need to collaborate with multiple agencies and stakeholders to tackle problems collectively, define clear decision-making processes and find innovative ways to achieve agency missions. In addition, success will require the White House to improve specific functional components of government, including human resources, financial management and acquisition, while creating performance goals tied to strategic priorities and holding leaders accountable.

Integrating the management roadmap into transition planning is critical

To get a head start, policy and management should be integrated in all phases of the presidential transition planning. If our next president expects to turn ideas into action, the transition is where that work begins.

Management also is an area where constructive bipartisan engagement is possible. On a host of issues, from providing quality care to veterans to ensuring the best balance of security and service at airports, there is strong bipartisan agreement about the need for effective government. Congress can be a powerful ally in creating alignment within and across agencies. The transition team and the new administration’s leaders should actively engage Congress in the development and rollout of the president’s management initiatives. Likewise, state and local governments, through which many federal services are actually delivered, need to be included as active partners in devising the management plan.

Recent administrations have taken steps to improve government management and performance, and on the legislative front, Congress has passed laws to reform financial management, make better use of data and focus on cross-agency initiatives. The administration should build on successful initiatives of its predecessors, take fresh ownership of the agenda with new ideas, and elevate the importance of effective management in meeting the needs of the American people.

A presidential management strategy is in many ways as significant as the president’s budget because it is the foundation for policy success and for translating budget priorities into effective results. In this report, we provide a roadmap for creating a robust management roadmap that includes four basic themes:

LEVERAGE THE GOVERNMENT’S EXECUTIVE TALENT

Use federal senior leadership, including joint teams of political appointees and career executives, to drive the administration’s priorities and manage government operations effectively.

TREAT GOVERNMENT AS AN INTEGRATED ENTERPRISE

Achieve presidential priorities by managing government in a cross-agency, coordinated fashion versus a set of separate, disconnected agencies with disparate policy priorities, administrative functions and operational processes.

HARNESS THE POWER OF INNOVATION

Create, sustain and integrate disciplined and replicable models of innovation by using data and technology to drive better customer service and improve outcomes.

ORGANIZE DECISION-MAKING TO ACHIEVE RESULTS

Articulate and implement a defined approach to decision-making within agencies and between agencies and the White House that covers routine decisions, new initiatives and unanticipated events. Use regular evidence-based reviews as a framework for driving decisions, and focus not only on what needs to be done, but even more importantly, on how best to do it.

Creating a management roadmap and making it a priority will be critical to the success of the new administration, especially given the mounting and complex challenges facing our government, the speed with which change is taking place and the need to govern effectively. Both in terms of government operations and political leadership, playing catch-up is always an ineffective strategy.

Lessons from the History of Government Reform

MAKE MANAGEMENT A PRIORITY AND START BY BUILDING ON WHAT ALREADY WORKS

During the past quarter-century, numerous reforms aimed at improving how government operates and manages its people and resources have been put into practice as a result of legislative mandates from Congress and executive actions by presidents Bill Clinton, George W. Bush and Barack Obama.

The laws and presidential initiatives have centered on financial management, human capital, acquisition, information technology, data, performance improvement, cost savings, customer service and government-wide approaches to solving problems—factors that the new administration in 2017 will find critical to operating a well-functioning government.

These management initiatives were preceded by a long history of government reform and reorganization—some successful and some falling short—dating back more than 100 years. These earlier efforts collectively asked hard questions about how government is organized, whether it has the right processes in place, where it is devoting its resources, whether it has the information needed to make smart choices and how the American people can know what they are getting for their money.

The Hoover Commissions, which operated from 1947 to 1949 and then from 1953 to 1955, examined ways to increase government’s efficiency following World War II and the Korean War. The recommendations resulted in numerous executive and legislative actions designed to make government more effective, including creation of the Department of Health, Education and Welfare and the General Services Administration.

In 1978, President Jimmy Carter’s reorganization project led to the passage of the Civil Service Reform Act, which created the Office of Personnel Management, the Merit Systems Protection Board, the Federal Labor Relations Authority and the Senior Executive Service.

In the early 1980s, the Grace Commission, chartered by President Ronald Reagan as the Private Sector Survey on Cost Control, brought together private sector executives who offered recommendations based on commercial practices to control costs in the federal government. Some recommendations were adopted, but the most significant recommendations required congressional action and were not implemented.

EXECUTIVE BRANCH REFORM INITIATIVES: 1993 TO THE PRESENT

President Clinton

In 1993, President Clinton launched the National Performance Review, placing Vice President Al Gore as its leader. A “reinventing government” task force of career civil servants, supported by the Office of Management and Budget, focused on reducing mission support costs, largely through staff reductions, serving customers better, cutting red tape and modernizing operations through technology. The review resulted in more than 1,200 recommendations. The effort saved billions of dollars, mostly from a workforce reduction of 426,200 employees by making government leaner. But the job cuts also resulted in some un-

intended consequences, such as weakening the acquisition workforce and diminishing the expertise and capacity of professionals in federal human resources and other management roles. To create accountability and elevate the importance of management, Clinton designated departmental deputy secretaries as chief operating officers, and convened them as the President’s Management Council. Under the leadership of OMB’s deputy director of management, they worked together on cross-agency priorities, such as improving customer service and creating the first government-wide web portal.



President Bush

In 2001, President Bush announced his President's Management Agenda, a set of five initiatives to improve the management operations of federal agencies. Implementation was led by OMB staff, which used a scorecard to track agency progress. One of the five initiatives focused on integrating performance information with budget planning and execution, and led to the Program Assessment Rating Tool, which OMB used to assess the performance of more than 1,000 government programs. The overall initiative focused largely on operational improvements in areas such as information technology; financial management, including timely financial statements; leveraging commercial best practices to modernize government services and operations; and human capital, including strategic plans for future skill needs. The agenda de-emphasized

cost savings as an objective, but encouraged public-private sector competition for products available in the private sector, which produced cost savings. Bush utilized the PMC as the lead for implementing his management agenda, and created the role of agency performance improvement officers, convened as a government-wide Performance Improvement Council. Both the agency performance improvement officers and the council have since been codified into law. To create accountability, incoming political appointees had to commit to supporting the management agenda. The deputy director for management at OMB convened appointees on a regular basis to assess progress, and the president raised the management agenda on occasion as an item in Cabinet meetings and in his one-on-one sessions with agency heads.



President Obama

In 2009, President Obama launched his Open Government initiative to increase transparency, citizen participation and collaboration across government agencies and with the private sector. These efforts were overseen by the White House Office of Science and Technology Policy as well as OMB. In his second term, Obama announced a four-part management agenda that focused on cross-cutting initiatives to improve governmental effectiveness, increase efficiency, promote economic

growth and improve federal employee engagement and culture. These efforts were linked to the implementation of new legislation requiring OMB to develop cross-agency priority goals. The administration's goals included doubling the number of students pursuing science, technology, engineering and math degrees, and doubling the value of U.S. exports. In addition, the administration undertook a major effort to encourage the systematic use of evidence in policy-making decisions.



CONGRESSIONALLY INITIATED MANAGEMENT REFORMS

In parallel to and sometimes in conjunction with executive branch reform initiatives, Congress enacted a series of statutes that mandated government-wide management functions and processes.

While many of these processes such as procurement, grant making, regulatory review, personnel and finance could be perceived in some quarters as an impediment to action or a compliance-focused exercise, in the hands of effective leaders, they can be powerful levers for action. Because the requirements are statutory, civil servants are familiar with how to use them to achieve programmatic results. Incoming political appointees can and should benefit from the insight of career executives and learn how to use the existing statutory framework to drive change.

These numerous laws, outlined in the appendix, include the Government Performance and Results Act of 1993, which requires agencies to create strategic plans, annual performance plans and annual performance reports. This was followed by the Government Performance and Results Modernization Act of 2010, which established a government-wide performance management framework, cross-agency priority goals, agency priority goals and the roles of chief operating officers and performance improvement officers. It also required the creation of a government-wide strategic plan that could serve as the cornerstone of a new management roadmap.

Don't reinvent the wheel—build on what works

The next administration would be wise to identify what is working well and start from there, achieving quick wins on the way to a more robust management agenda that builds on the successes of the outgoing administration and that includes some of the constructive concepts from our most recent presidents. These concepts include:

Strong White House leadership

The president has the opportunity to put senior leaders in charge of devising and implementing a set of management priorities to signal the importance of good management and ensure there will be political clout to drive change. Clinton understood this concept when he appointed his vice president to lead the reinventing government initiative.

Coordinate management across the government

Both Presidents Clinton and Bush used OMB, a central agency with reach across the government, and the PMC, with top leaders from the Cabinet departments, to help promote and implement management changes.

Scorecards

Bush used publicly reported scorecards showing how well agencies managed a variety of functions, such as financial management, personnel, information technology, competitive sourcing and operational performance. Although the scorecard was simple, it was easily understood, put a spotlight on agencies that were not meeting management goals and created a sense of accountability at the highest departmental levels.

Cross-agency processes

The Obama administration made strides in implementing cross-agency priority goals, such as improving customer service, engaging employees to improve mission success and promoting efficiencies like shared services. There is much to gain by taking this endeavor to the next level.

Taken together, the multiple efforts to improve the management of the executive branch during the past few decades laid a solid foundation, with the new administration now having the opportunity to devote additional emphasis on improving government performance, measuring results and holding agencies and leaders accountable.

Leverage the Government's Executive Talent

Presidents shape the direction of our nation, but seldom appreciate the strong link between the success of their administrations and the critical need for capable leaders with management experience to implement their programs and policies.

New administrations too often prioritize policy expertise over operational and leadership skills, particularly when selecting political appointees. This may make sense for policy roles, but every administration needs a healthy mix of policy, management and operational experience in both political and career roles to make our government work.

It is not unusual for an administration to recognize the importance of management talent only after a program or policy failure, costing valuable time, resources and political

capital. In addition, new administrations do not always take full advantage of the knowledge and experience of seasoned career executives, unwittingly or deliberately excluding those with the most expertise from agency leadership teams.

Work should begin during the presidential transition and be carried over into the White House to identify, recruit and place executives with strong management experience in key operational jobs throughout the government, and ensure that they engage career executives to form effective senior leadership teams within the departments and agencies.

Creating these joint political and career leadership teams that work closely together, have a shared sense of purpose and shared ownership for mission outcomes and man-

agement priorities will be critical for the new administration's success.

Faced with so many consequential decisions, managing executive talent and melding the political and career executives into highly effective teams may not always rise to presidential attention. However, when implementing policy, responding to unexpected events or operating the government effectively, the quality of this joint executive leadership matters from the first day forward—so it deserves the president's acknowledgement and the active attention of the administration's most senior advisors.

Besides achieving important policy priorities, the administration and its politically appointed leaders also should see part of their role as agency stewardship. They should strive to build the talent and capabilities of the institutions they have been asked to lead. By taking responsibility for developing talent at all levels, political leaders can strengthen organizational capacity, efficiency and effectiveness, and benefit from a workforce better equipped to implement the administration's priorities.

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TRANSITION CHALLENGES AND RECOMMENDATIONS

Identify key management jobs and qualified people to fill them

The president must fill about 4,000 political positions across the government, including more than 1,000 presidentially appointed, Senate-confirmed jobs and some 625 non-career positions in the Senior Executive Service.

These appointees will serve in key leadership and management positions, and will work with the approximately 7,200 senior career executives to direct and oversee more than 2 million civilian executive branch employees and millions of contractors supporting the work of federal departments and agencies.

The transition's political appointments team should begin the process of identifying the political jobs in government departments and agencies that have important management and operational responsibilities, from deputy secretaries and assistant secretaries for management to critical positions in areas that include financial management, human resources, acquisition and information technology.

The search for executive talent should transfer seamlessly from the transition team to the White House Office of Presidential Personnel after the inauguration. The focus should be on finding individuals from diverse backgrounds with leadership quali-

ties and experience managing large organizations, and then matching them with the critical jobs that require managerial competence.

Transition personnel teams and the White House personnel office also should focus on building leadership teams within departments that possess a range of complementary skills. By using a team-based approach to identifying and selecting appointees, personnel operations can increase the effectiveness of the administration.

Some positions, such as chief financial officers or general counsels, should be recruited from dedicated candidate pools of individuals with functional expertise. The benefit of this approach is that it supports a baseline subject-matter competency in appointees.

Besides identifying political appointees with significant management and operations responsibilities, the administration, acting through the Office of Management and Budget and the Office of Personnel Management, should enlist the support of career executives who have operational responsibilities and who will be important contributors to the administration's management success.

Create a strong central management team starting in the transition

An experienced management executive who is close to the president should be brought into the transition team early to work with the appointments team and coordinate with the policy teams.

Within the first wave of appointees, the president-elect should select the senior management team. This should include a senior-level White House champion who can focus on the president's most important management priorities and serve as the liaison to OMB; the director, deputy director and deputy director for management at OMB; and the heads of OPM and the General Services Administration.

Getting this core team in place from these central government agencies and working with the career staff early in the administration will accelerate the incoming president's ability to execute policy priorities and a management agenda. Not having these key positions filled early on can be problematic. For example, the eight-month delay in confirming the Obama administration's first deputy director for management in OMB stalled action on a range of government management and operations initiatives.

Ensure continuity in the personnel operations between the transition and White House

Managing the demands of the appointments team requires steady and stable leadership from the transition and through the first year of an administration.

Disruptions in presidential personnel operations can hinder the ability of a new administration to get people in place, particularly when the head of appointments changes hands during the first 12 months after the election. Moreover, getting a quick start on new appointments significantly reduces the risks of a backup of the appointment process later in the administration when early appointees transition to new jobs.

The incoming president should get a commitment from the director of the personnel office and senior deputies to stay on the

job long enough to create stability and ensure there will not be lapses in the appointment process. The lack of continuity in the early stages of the Obama administration contributed to delays in the naming and ultimately the confirmation of appointees, handicapping the president's ability to implement his agenda.

The director of the Office of Presidential Personnel needs to be someone who has the president's trust and understands the chief executive's preferences and priorities. The personnel operation also should have at least one senior deputy who comes from the world of talent acquisition and is familiar with best practices for executive search.

Start early to vet potential appointees and work with Congress to accelerate the confirmation process

New administrations routinely begin the appointment process by selecting nominees for Cabinet positions, the heads of agencies and other high-level jobs, with the nomination of other positions lagging far behind. For confirmed positions, it is easy to blame the Senate for delays in getting people in place, but analysis shows that about 70 percent of the time spent filling political appointments is under the control of the White House.

Quite frequently, these delays are due to slow internal administration selection and vetting processes, or because prospective appointees may not be timely or accurate in completing their paperwork. In other cases, the holdup of nominees has been a matter of politics. Whatever the reason, vacancies in key roles slows decision-making and the implementation of a new president's agenda, and the arduous process discourages many highly qualified individuals from serving in government positions.

In order to meet an ambitious confirmation timetable, the transition teams should identify and vet candidates for politically appointed positions, including key management jobs, prior to the inauguration. This will allow the president-elect to announce personnel choices before taking office, with the goal of filling 100 top jobs shortly after the inauguration and 400 by the August congressional recess.

The transition teams also should consult with the Senate leaders, committee chairmen and ranking members to establish relationships, set expectations and coordinate so that the committees are prepared for a surge in nominations at the beginning of a president's term.

POST-INAUGURATION CHALLENGES AND RECOMMENDATIONS

Build joint political-career leadership teams

New presidential administrations and their appointees can learn a great deal from career civil servants, but often exclude them from key decisions out of concern that they are loyal to the prior administration or not on board with the new president's policies. This can impede cooperation, information sharing and progress on the president's agenda.

Political and career executives often go through a cycle of accommodation that, in most cases, eventually leads to teamwork and trust, but this takes time. The new administration should aim to shorten this cycle, especially by creating departmental and agency leadership teams jointly comprising both political appointees and career executives.

Political appointees, by definition, have limited tenures in office. In contrast, career senior executives often work for their entire management careers in the service of one agency or within one functional specialization. Neither group singularly possesses the broad policy, political, programmatic and organizational knowledge necessary to manage their agencies, but together they can possess the combined skills needed for exceptional management and results. The earlier these two groups forge relationships of trust and respect, the sooner their agencies can act on the administration's priorities.

In high-performing leadership teams, the members share ownership for the mission outcomes and work across departmen-

tal and functional boundaries. When focused on shared goals, problems, missions and outcomes, these teams can capitalize on the power and potential of political and career leaders.

The administration should manage its top leaders—appointee and career—as a government-wide or an enterprise resource. From among the political appointees and career executives, administration leaders should identify a subset of those positions and individuals with significant managerial responsibilities and experience. The administration should actively manage and coordinate this talent pool across government, providing them with opportunities to meet, develop a shared understanding of priorities, work on cross-agency initiatives, and network among themselves to serve as models and resources for their colleagues.

The president and his staff also should understand that the political and career leaders will have obligations to their agencies as well as government-wide missions and operations, and that there will be many competing priorities for their time and attention. The administration will need to determine how it will make decisions about the allocation of this talent. For example, the Obama administration has frequently used senior OMB officials as deployable resources to deal with emerging crises like the massive cyber breach at OPM in 2015. The next administration will face similar decisions, and would be wise to think ahead about how limited senior talent is deployed and under what circumstances.

Prepare political appointees for federal service

Incoming appointees will enter government with tremendous energy and enthusiasm. The transition team and Office of Presidential Personnel can help these appointees to be ready to lead great teams from day one through robust orientation and training programs.

Political appointees should receive targeted orientation on management priorities, the government's management apparatus and management issues facing their agencies. Once on the job, appointees should be involved in joint training and orientation exercises with senior career executives.

Political appointees, even those who may have served in government before, would benefit from advice on navigating the challenges that are unique to the federal environment. This

could include working with the White House, OMB and other agencies; how to navigate the budget process; federal hiring dos and don'ts; working with career civil servants; common ethics violations and how to avoid them; working with Congress, the media and stakeholders; and understanding acquisition, information technology and other complex issues on which they may be asked to make a decision. Appointees also should be offered advice on how to deal with the "tyranny of the urgent" in which daily crisis management undermines the ability to achieve long-term strategic goals.

This preparation will help politically appointed leaders avoid missteps and go a long way toward improving the quality of government.

Use performance plans to drive alignment and hold executives accountable

Both political and career executives should have individual written performance plans to measure their progress and success. There should be department-wide consistency in measuring performance outcomes, and evaluations should be aligned to mission and management goals. Both of these aspects should create stronger linkage of mission outcomes and accountability with regard to program performance.

To drive alignment through and across organizations, performance plans for career executives should contain elements that are common to the performance agreements of appointed leaders.

The White House and its personnel office have an important role in setting clear expectations for incoming appointees about goals, objectives and how performance will be measured, as well as the importance of joint appointee-career leadership teams in agencies.

The creation and management of these performance plans will necessarily involve departments and agencies as well as OMB and the White House personnel office. The new administration should provide guidance on how to identify and establish responsibility for the creation and periodic review of these performance plans.

Strengthen the talent in the Senior Executive Service

The incoming administration's political leadership team will be supported by the 7,200 members of the Senior Executive Service—the career leaders who provide continuity and expertise in government. Career senior executives lead the federal workforce, develop and implement nearly all the government's programs and policies, and provide essential continuity and mission focus during times of political transition.

The president should meet with the members of the SES during the first three months of the administration to emphasize the importance of their role in managing the government and serving the American people. The SES is part of the administration's executive management team; the president should lay out the administration's goals, energize the executives to help achieve these goals and connect the management agenda to their jobs so they own this agenda and drive it forward.

In addition, the new administration should prioritize a talent management strategy for the SES that includes more rigorous leadership development; improvements in the recruiting and hiring process; changes in performance management to create greater accountability; and increased emphasis on recognition for stand-out performers and on making the SES a highly desirable position for aspiring federal employees. Several initiatives are underway to strengthen the SES, including making greater use of rotational assignments to broaden the experience of the senior executives, and simplifying the current cumbersome selection and hiring process. These can serve as quick wins and build a foundation for further action.

Ensure leaders take responsibility for employee engagement

The *Best Places to Work in the Federal Government*[®] rankings, which are based on an annual survey of federal employees conducted by OPM, show that employee attitudes toward their leaders are a major influence on job satisfaction and commitment. This in turn has a significant effect on performance and the ability of agencies to fulfill their missions.

One of the challenges of running government is the lack of real-time, government-wide performance information. Measurement is difficult when the goals are public goods rather than financial objectives, making employee views a strong proxy for performance.

While the day-to-day management of the workforce falls to the career executives, senior political leaders should study the *Best Places to Work* data and examine the more detailed agency-level employee survey data from OPM. This will help identify issues that need to be addressed to foster a healthy, productive work environment.

The White House also should set clear expectations that senior political appointees and career leaders are responsible for improving employee job and workplace satisfaction and commitment. The leaders should be held accountable for improving workplace satisfaction scores as part of their individual performance plans.

Treat Government as an Integrated Enterprise

The federal government is structured so that each department and agency has its own mission, budget and authorities, but few of today's critical challenges, from food safety to cybersecurity, can be solved by any single agency acting alone. With increasing frequency, the problems facing our government require coordinated interagency collaboration.

Achieving many of the new administration's priorities will require an enterprise management approach—having the government operate as an integrated entity instead of acting as a set of separate, disconnected agencies when it comes to both implementing policies and managing a variety of internal administrative functions.

This requires making use of the resources and expertise of multiple agencies to achieve a common goal, an approach that can increase efficiency, save money and limit unnecessary duplication that has become a significant problem in the federal government.

The Government Accountability Office has reported on extensive fragmentation, overlap and duplication in government missions such as agriculture, defense, health, homeland security, information technology, international affairs, science and the environment.

In one instance, the GAO cited 15 agencies that have overlapping responsibility for administering at least 30 food safety laws. All have different

officials in charge, different chains of command, different budgets and different overseers in both the executive and legislative branches despite their shared, common mission.

Effective solutions to this fragmentation requires stronger collaboration among these agencies and with the network of congressional committees that oversee them.

The intelligence agencies have gone a long way toward solving this problem. After the 9/11 terror attacks, they began sharing information and working together more closely, a model that has paid big dividends. And in the aftermath of Superstorm Sandy in 2012, the Federal Emergency Management Agency coordinated a massive response involving multiple agencies, and the Department of Housing and Urban Development later led a coordinated, multi-agency, multi-billion-dollar effort to support the rebuilding of the devastated coastal communities. Enterprise government works, but it has been the exception, not the norm.

With increasing frequency, the problems facing our government require coordinated interagency collaboration.



Another aspect of enterprise government centers on mission-support activities, and involves agencies integrating or sharing common administrative services in such areas as finance, acquisition, human resources and information technology. This approach can improve internal agency operations, lead to better services for citizens, and facilitate execution of mission-focused enterprise goals. It also makes it easier to work across agency boundaries.

The GAO, for example, said the Department of Defense could save tens of millions of dollars annually by identifying opportunities to centralize its procurement of commercial satellite communications services instead of each individual unit making purchases on its own.

The enterprise concept is embedded in the Government Performance and Results Modernization Act of 2010, which directs the Office of Management and Budget to develop and implement government-wide priorities in the form of cross-agency priority goals, along with a government-wide performance plan for those goals.

The Obama administration has pursued a number of cross-agency goals that include such issues as climate change, job creation, STEM (science, technology, engineering and mathematics) education, and cross-agency administrative goals such as security clearance reform. It also has initiated changes in the purchase of goods and services, and shared services focused primarily

on financial management and human resources.

The new administration will have a unique opportunity to build on the Obama administration's experiences, extending what works and developing its own set of cross-agency goals that are to be launched in 2018 under the terms of the 2010 law. The presidential transition team should lay the groundwork for this enterprise approach, and the new administration should quickly follow through with the development of a strategic plan that identifies the broad array of missions and functions, including the top presidential priorities, that can best be achieved by coordination and cooperation among multiple agencies.

The new administration will have a unique opportunity to build on the Obama administration's experiences, extending what works and developing its own set of cross-agency goals.

TRANSITION CHALLENGES AND RECOMMENDATIONS

Designate a senior White House champion to support mission-focused cross-agency

Many of the administration's most important policy priorities will require cross-agency coordination. As a White House staff is named in the post-election period, a senior-level champion should be designated to provide sustained attention to achieve these policy objectives. There is currently a White House deputy chief of staff for operations and another for policy implementation. Either could be reimagined to drive the administration's top cross-agency initiatives. Two of the past three administrations have had vice presidents oversee government-wide initiatives: Vice President Al Gore led the Clinton administration's National Performance Review (commonly known as the "Reinventing Government" initiative) and Vice President Joe Biden was tasked by President Obama to oversee implementation of the American Recovery and Reinvestment Act. In the next administration, the Office of the Vice President will be occupied by an individual who has been a governor—a seasoned executive who has the capabilities and savvy to successfully work across agencies.

Whether this responsibility is vested in the vice president, the office of the chief of staff or another individual, the senior-level White House champion would collaborate with OMB's deputy director for management, who would retain the responsibility for developing and executing government-wide management capacity policies and processes. These include areas such as information technology, financial management, procurement, performance and talent management.

Working with the OMB deputy director for management, a support team within the White House and the President's Management Council, the senior-level champion should serve as a catalyst for formulating the administration's cross-agency priority goals, develop an implementation strategy and identify the management capacity needed to achieve each goal. This person also can play an important role in working with the various policy councils that have a role in furthering enterprise initiatives.

Focus on enterprise management during the transition

Just as presidential transition teams lay out policy priorities and legislative strategies, they should devote attention to how government is managed and how management considerations factor into achieving the president's goals.

The transition should identify which of the president-elect's priorities are cross-agency and which are single-agency initiatives, and help determine the appropriate management capacity that will be required. Activities during the transition to prepare policy implementation plans, select personnel and conduct agency reviews should all occur with an enterprise or cross-agency approach in mind. As part of this effort, there should be a team focused on the cross-agency policies. This enterprise manage-

ment team could serve as the connector among various transition policy, personnel and agency teams to ensure a cross-cutting, enterprise approach to governing. Members of the enterprise management team could be dual-hatted members of policy and agency teams to ensure this coordination occurs.

The Government Performance and Results Modernization Act of 2010 serves as a foundation for the White House to create a set of strategic cross-agency goals in the second year of the president's term. The transition teams will want to use the law's goal-setting mandate to further administration priorities, much like past transition teams have leveraged the existing statutory budget process to advance policy priorities of the new administration.

POST-INAUGURATION CHALLENGES AND RECOMMENDATIONS

Use the President's Management Council to drive enterprise initiatives

The President's Management Council, chaired by OMB's deputy director for management, comprises the chief operating officers of the executive departments and agencies who are typically deputy secretaries and deputy administrators, plus the heads of central management agencies such as the Office of Personnel Management and the General Services Administration. As a result, the PMC is well-suited to oversee the development and implementation of enterprise initiatives in coordination with the White House champion and OMB.

The PMC can play a critical role in turning the enterprise plan into reality through regular performance reviews for each cross-agency priority, mission and management function. Routine strategic reviews of priority initiatives by deputy secretaries of the Cabinet departments can provide perspective, consistency and a means of tracking progress and informing decisions. The PMC should be adequately resourced with the capability to provide the White House and OMB with a meaningful, senior-level forum to address government-wide challenges and opportunities collectively.

Early in the administration, the president should issue an executive order formally constituting the PMC and its membership, and describing the president's expectations regarding how it will operate. The PMC should determine how cross-agency gov-

ernance and decision-making processes will occur, and embed them in guidance to agencies, possibly through OMB Circular A-11. This circular provides guidance on both the budget process and implementation of the GPRA Modernization Act of 2010.

By taking this approach, the White House, the PMC and OMB will send an unmistakable signal that interagency collaboration on cross-agency goals needs to become the standard operating procedure, and that agencies will be held accountable for acting in the interests of the larger federal enterprise.

The administration also should make full use of the organizational capacities of the GSA Office of Executive Councils, which provides analytical, management and administrative services to federal interagency management councils.

These organizations are the Chief Acquisition Officers Council, the Chief Financial Officers Council, the Chief Information Officers Council, the Performance Improvement Council, the President's Management Council and President's Management Advisory Board. In addition, the expertise and help of other councils should be enlisted, including the Chief Human Capital Officers Council. The new administration should establish a governance framework across these councils to ensure coordination across functions that are supported by agency leadership.

Assume every big challenge requires an enterprise solution

Achieving important policy objectives invariably will require coordinated action by multiple agencies that operate with their own budgets, laws and cultures that reinforce an independent approach to addressing national problems. In addition, agencies are likely to have personnel who have not experienced working in other agencies and other sectors because of the lack of opportunities for rotational assignments.

The new administration should develop policy and implementation plans using an enterprise approach that integrates the work of executive departments and agencies to tackle problems that the individual organizations cannot solve on their own. The enterprise approach can reduce duplication and overlap, with potentially significant costs savings.

For example, the departments of Housing and Urban Development and Veterans Affairs have collaborated successfully on a goal of ending homelessness among veterans, coordinating the use of housing vouchers and VA services such as health care,

mental health counseling, substance abuse treatment, vocational assistance and job placement. Since the Obama administration program started in 2010, the estimated number of homeless veterans nationwide has declined 47 percent to just under 40,000, according to a nationwide survey taken in January 2016.

In implementing the American Recovery and Reinvestment Act of 2009, President Obama put Vice President Joe Biden in charge of overseeing the law's implementation. The White House created a small, central team to coordinate the delivery of the estimated \$787 billion in tax benefits, grants, loans, contracts and entitlements across more than 250 appropriation accounts in more than 25 federal agencies. They used new technologies that allowed direct reporting by thousands of funding recipients and financial information reporting in nearly real time. This provided the American people with unprecedented access to information on how, when and where the money was spent, creating greater accountability and likely contributing to a low incidence of waste, fraud and abuse.

Set ambitious shared service goals to drive efficiency

The next president will have the opportunity to reshape and improve the operations of the federal government by sharing common administrative services across agencies, including information technology, financial management, acquisition and human capital.

Under a shared services approach, an agency purchases common administrative services such as payroll or human resources from another government agency, which performs those services for multiple agencies or agency units. The goal is to improve service delivery and reduce fragmentation, duplication and overall costs through standardization, economies of scale and continuous business process improvements. For example, the National Finance Center, located in the Department of Interior, provides human resources services to more than 170 diverse agencies and payroll services to more than 650,000 federal employees.

Historically, many agencies have preferred managing administrative services in-house rather than through purchasing arrangements with other agencies or outside entities, partially because of a lack of trust in the quality and responsiveness of the shared services providers, and partly because the business case is not always clear. Agencies have an opportunity to free up

considerable capacity and resources for mission goals if they can shed responsibility for managing some administrative functions.

To advance this approach, the Obama administration in 2016 created a Shared Services Governance Board, led by OMB, to serve as the decision-making body for the implementation and management of shared services. The administration also established the Unified Shared Services Management Office within the General Services Administration to assist agencies in understanding and adopting shared services.

Large agencies such as the Department of Housing and Urban Development, Department of Homeland Security, Department of Veterans Affairs and others have been migrating to shared solutions for financial management and human resources, with Treasury helping to drive progress in the financial management arena and OPM doing the same in the human resources space.

The next administration can accelerate agency adoption of shared services by supporting development of a clear strategy, common processes and methods to document the financial and operational benefits of moving in this direction.

Focus on making enterprise systems work instead of reorganizing government

While pursuing a new agenda and fulfilling campaign promises, the new administration should build on current organizational structures and cross-agency initiatives that align with its objectives and have demonstrated success.

Getting multiple agencies to work together in a coordinated fashion on major national priorities is far preferable to restructuring the government, a politically charged and expensive process that consumes enormous energy and resources, and diverts attention from other priorities. Reorganizations seldom attack the root causes of a problem and often create problems of their own.

Engage Congress as a partner in creating an integrated enterprise government

Congress plays a significant role in the ability of the executive branch to manage across agencies, for good and for ill. Congress has a keen interest in addressing overlap and duplication, yet the committee process and the diffusion of responsibilities between oversight, authorization and appropriations committees contribute to the fragmentation.

The new administration should engage with Congress to build support and funding for cross-agency goals. The Government Performance and Results Modernization Act of 2010 requires consultation between OMB and Congress, but a requirement in law is only a partial solution; real progress toward cross-agency solutions requires communication and an openness to new

approaches. An encouraging step was congressional passage of the Consolidated Appropriations Act of 2016, which included a provision allowing up to \$15 million government-wide to be transferred from agencies to a central account for implementing cross-agency priority goals.

This effort can be aided by the Digital Accountability and Transparency Act of 2014, which will increase transparency by establishing government-wide financial data reporting standards for all federal funding. This can be helpful in ensuring accountability to legislators and enhancing confidence in funding cross-agency projects.

Harness the Power of Innovation

The next administration will have a powerful tool at its disposal for delivering policy priorities, improving public trust and reducing duplication and unnecessary costs.

That tool is innovation—the process of improving, adapting or developing a product, system or service to deliver better results and create value for people. New business models, process improvements and technology improvements are all forms of innovation, and can be a powerful catalyst for delivering administration priorities.

The private sector is an important source of ideas, inspiration and expertise. While government is not the private sector and has unique constraints, government can certainly benefit from private sector experience.

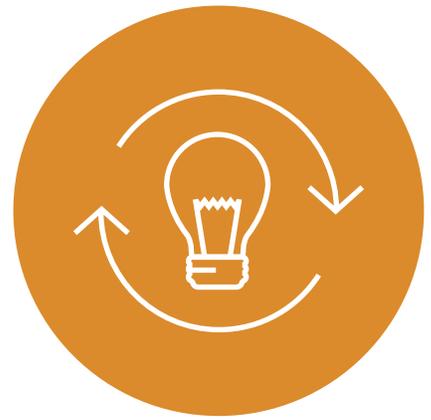
Innovation in government can come in three forms.

1. Improving something already being done to deepen an agency's impact on people's lives

The new administration might create incentives for employees to simplify a core business process, redesign customer service systems or make information and programs more accessible to citizens through online services. For example, applicants for college financial assistance can now easily populate their federal student aid application with income data from their most recent tax return thanks to collaboration between the Department of Education and the Internal Revenue Service. In another instance, a team from the National Weather Service has saved countless lives by developing a fast and geographically targeted cell phone alert system for weather emergencies such as tornadoes and flash floods. While other weather alert systems had been in operation, the new system of using mobile devices and targeting very precise geographic areas represented a significant breakthrough.

2. Adapting a tried-and-true idea to a new context

As part of a system with tremendous breadth and scale, the new administration can encourage employees to identify great ideas, borrow those ideas from other agencies, and share those ideas government-wide. After anthrax was sent via U.S. mail in 2001, the U.S. Postal Service adapted existing irradiation technology to kill any anthrax bacteria in mail sent to federal buildings. At the Department of Homeland Security, an employee adapted NASA technology that now allows first responders to detect the heartbeat and respiration of individuals trapped beneath the rubble of fallen buildings after an earthquake. This easy-to-use, low-power radar tool enables victims to be rescued more quickly than previous technology, even if the individuals are unconscious or unable to walk or talk.



3. Developing something entirely new to achieve an agency's goals

Agency leaders may implement a new service, process, policy or tool—the possibilities are endless. The Obama administration, for example, created a central location to assist agencies in finding entities that can provide them with administrative services ranging from financial management and human resources to information technology and acquisition. Sharing administrative services with other agencies achieves economies of scale, leverages proven solutions and reduces duplicative investments. At the Air Force Research Laboratory, two research engineers created and deployed a new aerial sensor system to help Army and Special Forces units detect and destroy deadly improvised explosive devices before they can harm American soldiers.

The use of innovative processes, methods and tools—including technology—to improve government effectiveness has been increasing, but is not the norm. A major question facing the next administration is how to systemically institutionalize a range of innovations to improve government operations, support important policy priorities, enhance the customer experience and increase engagement of citizens and businesses.

New business models, process improvements and technology improvements are all forms of innovation, and can be a powerful catalyst for delivering administration priorities.

TRANSITION CHALLENGES AND RECOMMENDATIONS

Embed innovation into the transition

The presidential transition represents a unique opportunity to lay the foundation for long-lasting change. By encouraging an innovation mentality into the activities of the transition teams, the next administration can get a fast start implementing policy goals and improving government operations. The transition teams should:

- Convene an innovation and government reform working group that can connect innovation with the administration's policy goals
- Include technologists and data scientists among transition team members, and engage them in the planning process to help take stock of the technology infrastructure and readiness of departments
- Make innovation an explicit aspect of planning substantive policy agendas
- Consider innovation related skills in the selection of appointees and the creation of department and agency teams

POST-INAUGURATION CHALLENGES AND RECOMMENDATIONS

Designate leaders at the White House and in agencies to set clear goals and outcomes for innovation

Leadership is the essential ingredient for innovation. To make innovation a priority and a reality, the White House needs to send a signal through its early actions and appointments. To support innovation and sustain it over time, the government as a whole and each individual agency needs an executive-level champion who has responsibility and accountability for innovation initiatives.

These leaders should establish shared and individual innovation goals and outcomes. Innovation in the absence of clear measures runs the risk of being a wasteful pursuit. When the goals are directed at improving the lives of citizens, however, they motivate employees and become the fuel for innovation.

Leaders should take the pulse of their workforce as they devise their plans. The *Best Places to Work in the Federal Government*[®] data are a good starting point, providing a window into employee perceptions regarding their motivation for promoting change and the support and rewards they believe they receive for coming up with new and better ways of doing their jobs.

Understanding the views of the workforce along with identifying promising practices and replicating successes of other agencies will help set the stage for change.

According to the 2015 *Best Places to Work* data, however, only 34.5 percent of federal employees across the government believe that creativity and innovation are rewarded. The data also show that just 55.5 percent feel encouraged to come up with new and better ways of doing things, compared to 76 percent in the private sector. This suggests federal leaders have much work to do in this regard.

The *Best Places to Work* data also includes an innovation score for the government as a whole—60 out of 100—and scores for large, medium-size, small agencies and agency subcomponents. The innovation scores measure employee motivation to promote change and the support and rewards they receive for promoting new ideas.

There have been pockets of innovation within government in the past few years. The Department of Health and Human Services, for example, created Idea Lab, a program that provides funding, space and time for individuals and teams to explore unconventional solutions around the biggest problems in health services. One Idea Lab project helped the Food and Drug Administration streamline and digitize the collection of samples to be tested for foodborne bacteria, doing away with a paper-based process that was time-consuming and cumbersome.

The U.S. Digital Service, an initiative led out of OMB, has brought in private sector web designers, engineers, product managers and digital policy experts to help agencies improve online services and internal operations. The group has worked with the Department of Veterans Affairs to build Vets.gov, a simple, easy-to-use website that consolidates information for veterans, and has assisted the U.S. Citizenship and Immigration Services in digitizing the review process for more than 7 million annual immigration applications and requests.

USDS, along with other innovation initiatives such as GSA's 18F, the Presidential Innovation Fellows program, and agency-level digital services teams, all contribute elements that could be integrated in a governance framework and coordinated with agency chief information officers and the private sector.

Embrace appropriate risk, protect innovators and recognize results to create a culture of innovation

Leaders should create an environment where prudent risk-taking and experimentation are encouraged, not punished. Public recognition for success—and appreciation for failure—send important signals across organizations.

NASA, for example, gives out yearly innovation awards that are composed of two categories which recognize, encourage and celebrate the spirit of innovative behavior. One award encourages individuals to lean forward, in spite of risk, and consequently learn from their experience, and a second is for supervisors and managers who build a culture of appropriate risk-taking, and who support and encourage creative and innovative behavior from their employees.

At the Intelligence Advanced Research Projects Activity, which conducts scientific research and develops technologies for national intelligence, Director Jason Matheny said risk-taking is part of the job, and much can be learned from failure. “Not everything is going to work, and if everything does work, then you’re going after problems that are too easy,” he said in a 2016 interview published in the Washington Post.

Innovation is the backbone of any effective private sector organization’s long-term business success. As a result, businesses treat innovation quite differently than the public sector. As a general rule, innovations are prototyped and tested with minimal investments and in safe spaces so that deficiencies and bugs can be worked out before investing more substantially in a new product, service or tool.

In the public sector, legal and procurement offices are where many innovative concepts have died. Taxpayer dollars are at stake, and these entities try to eliminate unnecessary risk. Their actions, regrettably, often end up stifling badly needed innovation or discouraging program offices from seeking the benefit of their counsel because they believe they will be told “no.”

Incoming leaders should meet early with senior career executives to develop a deeper understanding among legal, contracting, grants and personnel officials about how innovation can help their agencies improve mission delivery, and how they can support rather than impede innovation while still safeguarding the public interest.

Ensure public servants have the skills and tools to innovate

Innovation and technology skills remain in high demand and short supply across the federal enterprise. Incoming leaders should quickly identify their innovators, assess skill gaps and focus on increasing the supply of talent.

Government innovators require a combination of attributes: resilience to overcome structural, procedural, cultural and political barriers; vision, self-awareness and an appetite for continuous learning to remain focused on outcomes; relationship-building and collaboration skills to work effectively across boundaries; the know-how to navigate complex government rules, processes and practices; and perhaps most importantly, the ability to build a strong, diverse, optimistic team capable of solving problems.

More employees need to be trained in methods such as human-centered design, data science, data visualization, crowdsourcing and other new ways of working, and more people with these skills need to be brought into government to inspire people with fresh ideas and thinking.

There currently are some initiatives that help connect employees with the needs of their agencies. The Environmental Protection Agency launched the Skills Marketplace, for example,

where managers can advertise projects and employees can find those that match their skills, even if the job is in another part of the agency.

In addition, the Presidential Innovation Fellows program brings talented, diverse innovators and technologists from the private sector into government, and pairs them with top civil servants to tackle difficult problems. Other programs, such as the United States Digital Service, rely on top private sector talent to improve the usefulness and reliability of our government’s information technology.

Building off existing successes, new administration leaders can work closely with data scientists and other managers to explore how to use personnel data, other analytics and new technology to help identify the skills and skill gaps within the workforce; help employees identify projects on which they might work and to which they can contribute their knowledge; expand open innovation efforts to crowdsource good ideas from employees; and develop more effective ways to organize teams to solve problems faster and more effectively.

Prioritize evidence-based innovations

In order to better direct government investments around innovation, technology and data analytics, leaders need clarity on what works and what does not. Developing better insight requires evidence and the analytic capability to turn data into information.

The government spends tens of billions of dollars each year on funding research in the private sector, but the results of that research rarely lead to changes in how government works. The National Science Foundation, for example, has funded cloud computing research, but that research did not shape the strategy by which the federal government and its agencies shifted operations to the cloud.

The next administration should design programs to include funding for testing, evaluation and data analysis. It should also invest in creating the analytic capability within agencies to be able to manage with data effectively.

The new administration also has the opportunity to reach out more effectively to the public at large, to outside experts and to talented individuals already in government to widen the pool of expertise and knowledge on public problems. The federal government has made some advances in this regard, but it can do much more.

One current program, Challenge.gov, is an online competition that allows entrepreneurs, innovators and the public to compete for prestige and prizes by providing the government with novel solutions to tough technical, scientific and social problems. A challenge from the Federal Trade Commission led to new technology for consumers to block annoying automated telephone calls or robocalls that deliver recorded messages. Another challenge involving the EPA led to the development of new, portable sensors that provide near real-time, location-specific monitoring and reporting of air pollutants

Improve the customer experience

Citizens have seen tremendous customer service improvements in many aspects of their lives, such as online banking, retail shopping and information consumption, but government-provided services have struggled to follow suit.

The fallout from poor service has many ramifications, from veterans with serious health problems waiting months for care due to flawed scheduling, to small businesses waiting to get loan guarantees or meet regulatory requirements because of unclear, slow or low-quality assistance.

The new administration can take a number of steps, including improving the customer experience by making citizens' needs, rather than the needs of the bureaucracy, the driving force behind design and delivery services.

Strengthening customer service will require agencies to collect and use customer data and feedback more effectively. The new administration could adopt a customer experience dashboard that tracks performance on key metrics and compares the customer experience across agencies that deal most frequently with the public.

The new administration also could improve federal services by removing barriers to innovation. For example, it could work to revise the Paperwork Reduction Act, a decades-old law which restricts federal agencies from collecting voluntary feedback from citizens on how to improve services.

APPROACHES TO INNOVATION IN RECENT ADMINISTRATIONS

Presidents have promoted innovation within government during the past several decades using different names and approaches. This report’s recommendations build on their foundation.



President Bill Clinton’s innovation efforts were largely supported by his National Partnership for Reinventing Government. This initiative had a central team reporting to the vice president comprising of representatives from a wide range of federal agencies. The team served as a catalyst for agency innovations through a network of more than 350 reinvention labs that piloted different approaches to improving various government processes. These ranged from streamlining the resolution of equal employment opportunity complaints to reducing costs in federal energy laboratories. The innovation efforts of these teams and independent innovations by other teams, such as the creation of the first federal one-stop website, were often recognized with a “Hammer Award,” a distinction bestowed by the vice president. More than 1,300 teams received such recognition.



President George W. Bush focused on technology, using a more centralized approach operated out of the Office of Management and Budget. Early in his administration, Bush chartered what was dubbed the “Quicksilver” e-government initiative to identify promising uses of technology to improve government interactions with the public, businesses, states, localities and other federal agencies. This resulted in 24 specific initiatives, such as grants.gov, which created a single web portal where agencies could manage applications for their programs. This meant states, localities, universities and nonprofits would not have to search multiple websites for grant programs. Much of this strategy was codified in the E-Government Act of 2002 and furthered through integration of e-government and cybersecurity.



President Barack Obama emphasized technology solutions, beginning with a call for the Open Government, which encouraged agencies to post data on the websites via data.gov for use by the public. Each agency was required to develop its own Open Government plan. The administration also created the Presidential Innovation Fellows program to attract talent from the private sector, the U.S. Digital Service team hosted by the Office of Management and Budget, and the 18F technology team in the General Services Administration. These initiatives have allowed agencies to call on centralized expertise for targeted programs. In addition, individual agencies have created their own versions of the digital services team, and in a number of instances appointed chief innovation officers to lead agency-level technology-oriented innovation initiatives.

Organize Decision-Making to Achieve Results

Appointees from the new administration will want to act quickly on the president's agenda, but they will find that many of the existing processes for making decisions and getting them to stick can be maddeningly frustrating.

Decision-making in government is rarely linear and invariably involves multiple stakeholders. Absent a clear framework defining who makes what kinds of decisions and when, and how existing decision processes are interdependent with each other—including those around budget, acquisition, personnel, capital investment and cross-agency priorities—a new leader can easily become trapped in a circular loop

where problems are discussed but never solved.

Incoming leaders in the White House and across federal agencies will be flooded with information, advice and suggestions for new programs and priorities. They will face an urgency to act, especially on presidential priorities and budget choices.

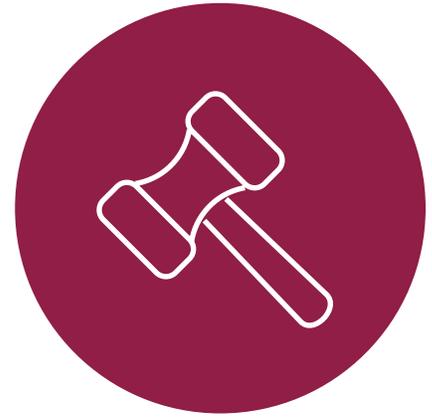
People outside government will look to the White House as the natural focal point for decisions large and small, especially in times of crisis. Yet the best decisions are made when the president selects talented people and empowers them to make decisions independently based on sound data. There have been analo-

gous situations within the departments where decisions are sent to the secretary when they ought to get made earlier and by others within the organization who are closest to the situation.

On some critical issues, there has been a tendency to centralize decision-making in the White House to maintain control and reduce risk. As a result, some decisions do not get made in a timely way, may lack input from those who may have important insights or get made only when a once-minor problem has become a crisis.

To succeed, the new White House and political appointees in the departments and agencies need to articulate a defined approach to making well-informed and timely decisions. Ideally, this approach will be rooted in the use of evidence-based information, rely on input from those closest to the situation and leverage existing processes and associated governance frameworks, to guide the rapid development and execution of policies and programs.

The new White House and political appointees in the departments and agencies need to articulate a defined approach to making well-informed and timely decisions.



TRANSITION CHALLENGES AND RECOMMENDATIONS

Leverage the March 2017 budget release to inform high-level decision-making and implementation strategies

Every transition team is focused on implementing the new president's policy agenda. Fortunately, the incoming president has an immediate opportunity to reframe spending priorities through the existing budget process.

Typically, a new president takes office and inherits a budget that already has been passed and spending that has been set for the remaining nine months of the fiscal year. The first budget the next president will influence will start on Oct. 1, 2017. By law, that budget is supposed to be submitted two weeks after the inauguration. A new president usually does not meet that schedule and submits a broad outline of budget priorities in March. The transition policy teams should aim to embed their proposals in that March budget release—or they will have to wait a full 18 months before being able to gain traction on their priorities.

Implementing the new president's policy agenda will be most successful if the transition teams learn the existing government budget, management and performance frameworks, and how to harness them in support of achieving administration priorities. Transition teams and the new administration should use these frameworks to design decision-making processes with clear lines of authority and engagement.

The Obama administration, for example, used the framework included in Government Performance and Results Modernization Act to identify 15 cross-agency priority goals—some mission and some management—in a collaborative process involving multiple stakeholders, and then used the president's budget request to drive progress. While the law is a welcome development that drives enterprise-wide decision-making, it introduces complexity for leaders unaccustomed to working outside of agency stovepipes.

Developing a holistic framework and a shared understanding among the president's joint leadership team of how decisions will be made within this framework, a process that should begin in the transition, will be an essential element for effective action on the president's priorities.

The transition appointments team should look for individuals with demonstrated experience in decision-making in multi-stakeholder environments to staff the most critical management positions in government. It would be helpful for the outgoing administration and career staff to document existing decision-making processes and evidence-based initiatives, and provide this information to transition teams after the November election.

Build the decision-making foundation for well-functioning leadership teams

Today's government leaders are asked to solve a daunting array of problems while launching new initiatives and preparing for the unexpected. Decisions about how that work gets done begin with the transition's senior leadership team. Transition teams are working at lightning speed in constantly changing

conditions. Preparing to govern successfully requires that senior leaders function as a real team—committed to working together as a cohesive unit with clear lines of decision-making responsibility and accountability, and a conscious commitment to create and uphold the values and culture that define the team.

POST-INAUGURATION CHALLENGES AND RECOMMENDATIONS

Establish and strategically manage decision processes

Early in the administration, leaders from the White House and the departments and agencies need to define and communicate how decisions will be made in three common situations.

Routine decisions: Budgeting decisions proceed through a regular, structured and well-established routine. Leaders need to understand timelines and when they do—and do not—need to engage in these processes either to advance administration priorities or for oversight of regular operations. These routines often are embedded in statute or directives from OMB or other central management agencies. But even the budget process has important nuances for new leaders since they will have to simultaneously deal with three sets of budget decisions—the current year, the coming year and the following year—and these may require different meetings and timetables with different stakeholders. Some elements of the process are required by statute, while others are not.

New initiatives: Action on new policy initiatives may contain a mix of regular processes such as regulatory and budget actions

as well the need to enlist key stakeholders, obtain and analyze data, create options, and engage the White House and possibly other agencies. By working with senior career staff, incoming leaders can develop decision-making approaches that will support strong policy development and implementation, and avoid process pitfalls that can derail initiatives.

Unanticipated events: A crisis presents a third decision-making environment. Incoming leaders will very likely have to deal with crises at some point during their tenures. Some crises, such as natural disasters, have defined procedures that are understood by the career staff who will advise incoming political appointees. Other crises, such as a scandal or court order, do not. By working with senior career executives, leaders can develop crisis protocols that significantly improve the ability of the organization to respond effectively and protect the ability of the organization to conduct its normal business. If not managed well, crises can quickly swamp leaders, taking all of their time, attention and energy. Good risk management processes can help to foresee or forestall such events.

Articulate how decisions will be made in different situations and what information will be needed

New leaders need to share their view of “how the world works” with their joint leadership teams and develop a common understanding and approach to applying this view in different decision-making contexts. They also need share their vision, mission, goals and objectives, as well as the roles that different organizational units play in achieving those goals and objectives. These should be consistent with cross-agency priorities developed in conjunction with the White House, other agencies and stakeholders.

Establishing decision processes needs senior leadership thought, discussion and resolution. Senior transition leaders need to put decision-making processes on the agenda during November transition planning and use the weeks leading to inauguration to refine and test their approach.

Within the White House, the new chief of staff should define protocols for how different types of decisions will be made and

how information will be managed and presented to the president. The chief of staff, executive secretary, secretary of the Cabinet and policy council leadership should all be in alignment on these decision processes.

At the agency level, transition teams and incoming leaders should look closely at the role of the agency chiefs of staff, White House liaisons and the department’s executive secretariat. These often overlooked roles are critical to the success of senior level leadership because they are the key points through which information flows and decision processes are established. The transition teams should model the types of decision-making approaches that will be used within the White House. This includes elevation and escalation approaches that inform leaders of emerging issues, prevent small problems from snowballing and ensure key decisions are made at the appropriate level.

Leverage and expand capacity for evidence-based analyses

President Obama continued the development and use of evidence-based analyses that began in the George W. Bush administration. Bush set an ambitious expectation that performance assessments would be conducted for every program in the government, through his Program Assessment Review Tool managed by OMB. While this tool was discontinued, the basic strategy—that programs would be assessed based on rigorous evidence—expanded.

Early in the Obama administration, momentum developed to promote the use of “evidence-based” approaches in government. This is sometimes popularly referred to as “moneyball for government” or “investing in what works.” In general, the administration’s effort initially focused on social policy, but it gradually has been applied in other policy areas such as public infrastructure, environmental programs, energy and national security.

The guiding principle behind the Obama initiative, as outlined in a 2012 OMB memo to the heads of the executive departments

and agencies, was, “Where evidence is strong, we should act on it. Where evidence is suggestive, we should consider it. Where evidence is weak, we should build the knowledge to support better decisions in the future.” This has gained bipartisan support in Congress and among a wide range of non-governmental organizations.

This emphasis should be continued by the next president and serve as the touchstone for how it will make decisions. An initial step should be to catalog existing initiatives. For example, the fiscal 2017 budget includes proposals to expand the availability of federal administrative data in different agencies for policy development, program evaluation, performance measurement and transparency efforts. A catalog of what has been done to date would be helpful to the transition team and new agency leadership. This will allow them to see where the development, analysis and use of evidence is already well-embedded in an agency’s operating culture, and where capacity for the development and use of evidence needs further development.

Use regular evidence-based reviews to drive implementation of priorities

One of the areas in which new administration leaders should invest time is actively participating in consistent, regular reviews of the progress of strategic priorities. Circumstances change; new data, different resources and people, and other factors may require revisiting earlier decisions. Such reviews focus the attention of the leadership and present periodic deadlines that can spur and support action. Such reviews began about a decade ago and have been used at all levels of government. Today, all federal agencies have such processes in place, some more effective than others, according to the Government Accountability Office.

During the Obama administration, two types of reviews evolved. The first set, held at least quarterly, focus on implementation of agency-level priority goals. They are overseen by the

department's chief operating officer, who is typically the deputy secretary. They explore what works and what doesn't and redirect future actions to better achieve intended results. These types of reviews were subsequently mandated by statute.

In addition to the quarterly reviews, the Obama administration put in place annual strategic reviews to assess agency progress toward broader strategic objectives. These reviews include senior-level departmental staff and insights from other agencies. OMB reported that agencies have completed three annual cycles of such reviews covering about 350 strategic objectives. These reviews, typically held in the spring, have helped inform agency leaders in the development of their coming year's operational planning and budget development.

Seek a range of perspectives when making decisions

Leaders should fear being in "the bubble." When leaders become isolated, they are more vulnerable to making poor decisions. Leaders who receive a wide range of perspectives have a better chance of making decisions that are sounder and more sustainable. The public, Congress, and the state and local governments that often deliver federal government services are all important stakeholders who can inform good decisions.

So are agency employees, who often have a front-line perspective that leadership may lack. They can provide insights into how programs and policies are working, and they know the flashpoints and trouble spots. Agency cultures, however, often prevent employees from speaking freely or alerting leaders to signs of dangers. The *Best Places to Work in the Federal Government*¹ data, for example, show that just 58.4 percent of employees who took the 2015 Federal Employee Viewpoint Survey said they felt they could disclose a suspected violation of any law, rule or regulation without fear of reprisal.

Many agencies also have strong analytical capabilities available to their leaders, but they are often diffuse or isolated, and may not be connected to decision-making processes. As a result, their insights may not be timely or, even worse, may never be heard. Most agencies have five analytic management processes that support decision-making, with different levels of maturity: strategic foresight and planning; performance and results management; enterprise risk management; resilience and response; and program evaluation and analysis.¹

To bridge the different disciplines supporting these management processes, incoming leaders should consider creating a central data analytics function within their agencies that can access, integrate and analyze information from across multiple disciplines. By integrating such diverse functions, senior leaders and their joint leadership teams can leverage a broad spectrum of analytical perspectives to enhance decision-making. Some agencies, such as the Federal Emergency Management Agency, have pioneered such a function.

In addition to leveraging the capabilities of various analytic functions, new leaders need to similarly engage the owners of existing decision support systems, including the office of general counsel; the performance management office; the personnel, technology and financial management functions; the agency grants and contract managers; regulatory affairs staff; and other agencies.

Leaders also need to maintain an agency and program focus as well as a government or enterprise focus when making decisions. Sometimes, an optimal decision for a specific agency or program may be sub-optimal for the whole of government, resulting in higher costs, duplication and reduced effectiveness.

¹ Partnership for Public Service and IBM Center for The Business of Government, *Enhancing the Government's Decision-Making: Helping Leaders Make Smart and Timely Decisions*, April 2016, 25-26. Available at <http://bit.ly/2bMaUUW>

Reviewing regulations at the beginning of the administration

One of the most powerful and readily available tools for any administration is the regulatory review process. The next administration, and the transition team before it, should be actively prepared to take control of the federal government's regulatory apparatus and make key decisions on how to proceed.

The first instinct for new administrations is to freeze the process on January 20 and undertake a laborious review of all regulations in development. However, the vast majority of regulations that pass through OMB's Office of Information and Regulatory Affairs are non-controversial—freezing all rules can slow down processes that would support a new administration's priorities. Instead, the administration should set up a triage system to identify which rules to freeze, which to review quickly and

which to allow to move forward—and to use the transition to plan for an effective regulatory review process. The transition should create a team to design a regulatory review function that allows non-controversial regulatory actions to proceed while also achieving priority goals and preventing unwanted regulatory actions.

A transition regulatory team should bring together a diverse set of views—legal, policy, management and academic—with people who have direct prior experience with the regulatory apparatus. Because regulations are a tool for policy implementation—and not an end to themselves—the regulatory team necessarily needs to be closely linked with the policy team, management team and agency review teams during the transition.

CONCLUSION

GETTING IT DONE IN GOVERNMENT

Washington is a town that likes to talk—about politics, about people, about policy. But management and implementation? Not so much, and that’s a problem. Policy is only valuable if it gets done—and how it gets done is an important conversation. Otherwise, we risk only feeding the conversation about government’s troubles in delivering results to its citizens.

The president we elect in 2016 will have an agenda to implement and promises to keep. The new chief executive will be surrounded by incoming appointees eager to make a mark on government and public servants who know what makes agencies tick. Congress will have a role to play; outside stakeholders, too. And the American people will be watching. What will they see? An administration that is all talk but little action? Or an administration that marshals the tools at its disposal to do big things and solve big problems?

Whether the next president succeeds will depend on great people working across government and on making smart decisions with ever-improving information. It’s both that simple and that complex. It’s never too early to start laying the foundation for policy and management success. With this report, we have offered a roadmap to help the new administration get started, even before the election.

As President Obama noted in a memo to federal career executives several years ago, “When government does not work like it should, it has a real effect on people’s lives—on small business owners who need loans, on young people who want to go to college, on men and women in our Armed Forces who need the best resources when in uniform and deserve the benefits they have earned after they have left.”

A management roadmap is crucial

The new president needs a management roadmap planned well in advance of the inauguration that speaks to how the administration will get its policies and programs implemented. The building blocks are clear: leadership teams at the government-wide and agency levels that include experienced political and career management executives; managing the government as an integrated enterprise; innovation to more effectively deliver

services to citizens, businesses and local and state government partners; and clarity on how decisions get made.

A plan that includes these and other elements will be of value only with a strong public commitment from the next president to make management a priority and a determination to hold Cabinet members and senior leaders accountable for producing results.

Choose qualified leaders

Having qualified leaders in place and using them effectively is critical to achieving policy and management success. This will require using the presidential transition to identify the jobs that demand managerial expertise, filling those positions with capable people who know how to manage large organizations and preparing appointees to leverage the processes in the unique government environment. It also means getting the political and career executives to work in tandem within their agencies and across the federal enterprise.

Engage Congress

The transition teams and later senior administration officials also need to make it a priority to engage early and often with the Senate to get appointees confirmed and on the job as quickly as possible, and to work with the congressional authorizing, oversight and appropriations committees to address both government-wide and agency-specific management challenges. Such early and frequent engagement can speed progress on appointments and key management initiatives, and reveal hidden challenges that can be addressed before they grow into larger problems.

OMB and other central agencies and councils can play a critical role

Besides great people, an administration needs to use the processes and organizations at its disposal to drive change. To keep a focus on management and bring together the fragmented parts of government, the president and his leadership team should make full use of the White House policy councils and the Office of Management and Budget to coordinate policy and drive it to the agency level through the “center of government” entities.

These entities include the President's Management Council, which is composed of the deputy secretaries or chief operating officers of the major departments; the management councils that cover a broad range of government activities from human resources, acquisition, financial management and information technology; and the agencies that reach across the entire government, such as the General Services Administration (which manages technology, real estate and acquisition) and the Office of Personnel Management (government's talent management agency).

OMB, in particular, could be used even more effectively to connect the White House policymaking apparatus with the agencies' execution responsibilities. OMB has a unique ability to bring many facets of the executive branch together given its wide portfolio involving the budget and federal management. This portfolio includes oversight and coordination of the administration's procurement, financial management, e-government and information technology, performance and personnel management, and information and regulatory policies. The administration should define and recognize the relationships between the center of government organizations and the departments and agencies, and deliberately use these central entities in furtherance of its policy and management priorities.

Good management is not an end unto itself; it is the means by which ideas become accomplishments and broken systems become well-oiled machines.

Starting a new administration with a management roadmap will increase the chances of early policy success and begin restoring the public's trust in government's ability to get things done. The next president's management roadmap should build on the frameworks and processes that are already working so the new administration will be ready for prime time on day one, not six months or a year after the new chief executive takes office.

The American people deserve the best from our government and its leaders. Real action to make government better managed, more effective and more innovative is a good place to start, and will help build a lasting legacy for the next president.

PROMINENT GENERAL MANAGEMENT LAWS**FINANCIAL MANAGEMENT**

- The Chief Financial Officers Act of 1990. Established the role of chief financial officers and created two new positions within the Office of Management and Budget for federal financial management.
- Federal Financial Management Improvement Act of 1996. Directed that financial management systems provide accurate, timely information to managers and required the publishing of audited financial reports.
- Debt Collection Improvement Act of 1996. Enhanced debt collection authority and mandated electronic funds transfer of federal payments.
- Digital Accountability and Transparency Act of 2014. Required agencies to track spending and publish financial data into open, machine-readable formats.

INFORMATION TECHNOLOGY

- Information Technology Management Reform Act (Clinger-Cohen Act of 1996). Established the role of chief information officers in agencies and streamlined agency information technology procurement policies.
- Electronic Government Act of 2002. Established the role of CIO in federal agencies and expanded use of the internet by agencies to improve citizen access.
- Federal Information Technology Acquisition Reform Act of 2014. Gave CIOs greater control of their agencies' IT budgets, established a collaboration center to coordinate the acquisition of IT products and required additional reporting and analysis by government agencies.

HUMAN CAPITAL

- Civil Service Reform Act of 1978. Created the Office of Personnel Management, Merit Systems Protection Board, Federal Labor Relations Authority and the Senior Executive Service.
- Federal Workforce Restructuring Act of 1994. Set caps on the total number of federal employees and granted temporary authority to agencies to allow voluntary separation payments.
- Chief Human Capital Officers Act. Established chief human capital officers in agencies and the CHCO Council.

ACQUISITION

- Office of Federal Procurement Policy Act of 1974. Established the Office of Federal Procurement Policy within the Office of Management and Budget.
- Federal Acquisition Streamlining Act of 1994. Lowered procurement barriers.
- Federal Acquisition Reform Act of 1995. Streamlined procurement processes.

REGULATORY

- Paperwork Reduction Act of 1980. Established the Office of Information and Regulatory Affairs in the Office of Management and Budget and sought to reduce information collection and reporting requirements of the federal government.
- Government Paperwork Elimination Act of 1998. Required agencies to offer e-filing, electronic forms and electronic signatures.

PERFORMANCE MANAGEMENT

- Government Performance and Results Act of 1993. Required agencies to create strategic plans, annual performance plans and annual performance reports.
- Government Performance and Results Modernization Act of 2010. Established a government-wide performance management framework, quarterly reporting, cross-agency priority goals, agency priority goals, and the roles of chief operating officers and performance improvement officers.

BUDGET

- Anti-Deficiency Act of 1884. Restricted agency spending authority beyond appropriated amounts.
- Budget and Accounting Act of 1921. Governed the role of the executive branch in the budget process, creating the Bureau of the Budget and the Government Accountability Office and requiring the president to submit an annual budget proposal.
- Congressional Budget and Impoundment Control Act of 1974. Governed the role of Congress in the budget process, creating standing budget committees in both the House and Senate, establishing the Congressional Budget Office and moving the fiscal year to October 1.

OTHER GENERAL MANAGEMENT LAWS

- Inspectors General Act of 1978. Established federal Offices of Inspector General responsible for investigating and combatting waste, fraud and abuse.
- Federal Records Act of 1950. Provided the legal framework for federal records management, including record creation, maintenance and disposition.
- Hatch Act of 1939. Limited the political involvement of federal and some state and local employees.
- Ethics in Government Act of 1978. Established the Office of Special Counsel, the Office of Government Ethics and the Office of Senate Legal Counsel, and created mandatory, public disclosure of financial and employment history of public officials.
- Federal Advisory Committee Act of 1972. Established requirements for management and oversight of federal advisory committees, and instructed that these committees be objective and accessible to the public.
- Freedom of Information Act of 1966. Outlined mandatory disclosure procedures and provides the public the right to request access to records from any federal agency.

APPENDIX TWO ADDITIONAL RESOURCES

CHAPTER 1

Partnership for Public Service, IBM Center for The Business of Government, Douglas A. Brook and Maureen Hartney, *Managing the Government's Executive Talent*, October 2015. Available at <http://bit.ly/2bzOqp2>

CHAPTER 2

Partnership for Public Service, IBM Center for The Business of Government and Jane E. Fountain, *Building an Enterprise Government: Creating an Ecosystem for Cross-Agency Collaboration in the Next Administration*, March 2016. Available at <http://bit.ly/2bGDOIE>

Partnership for Public Service, *Helping Government Deliver II: The Obstacles and Opportunities Surrounding Shared Services*, March 2015. Available at <http://bit.ly/2bTyocz>

Partnership for Public Service, *Building a Shared Services Marketplace: Recommendations from the Shared Services Roundtable*, March 2015. Available at <http://bit.ly/2bzPIWD>

Partnership for Public Service, *Helping Government Deliver: Transforming Mission and Support Services*, February 2014. Available at <http://bit.ly/2c2Cnml>

Partnership for Public Service, *Building the Enterprise: Nine Strategies for a More Integrated, Effective Government*, August 2013. Available at <http://bit.ly/2bY0d4W>

CHAPTER 3

Partnership for Public Service, IBM Center for The Business of Government, Beth Simone Noveck and Stefaan Verhulst, *Encouraging and Sustaining Innovation in Government: Technology and Innovation in the Next Administration*, August 2016. Available at <http://bit.ly/2bGG9Sa>

CHAPTER 4

Partnership for Public Service, IBM Center for The Business of Government and G. Edward DeSeve, *Enhancing the Government's Decision-Making: Helping Leaders Make Smart and Timely Decisions*, April 2016. Available at <http://bit.ly/2bXZbpm>

IBM Center for The Business of Government, *A Guide to Data-Driven Performance Reviews*, September 2011.

GAO, *Practices for Effective Agency Strategic Review*, GAO-15-602, July 2015.

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