



# Update on Strategic Planning

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NSF Strategic Planning Group

Engineering Advisory Committee  
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# Strategic Planning Group

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# Requirements for a Strategic Plan (From OMB Circular A-11)

- ❑ **NSF is required to develop a 5-year strategic plan every 4 years, tied to the Presidential term.**
  - » New plan will span 2014-2018
- ❑ **Plan is high-level description of and rationale for NSF activities.**
- ❑ **Prescribed components:**
  - » Mission/Vision
  - » Strategic Goals
  - » Strategic Objectives (comprehensive in scope)
  - » Performance Goals, including Agency Priority Goals
  - » Indicators
  - » Challenges/Risks
  - » Strategies and Means
  - » Program Evaluations



# How Will The Plan Be Used?

- ❑ **Communication**
- ❑ **Program and budget planning**
- ❑ **Accountability in staff performance plans**
- ❑ **GPRA Modernization Act of 2010 and OMB A-11**
  - » Performance.gov (**new**)
  - » Strategic Objective Annual Review (SOAR, **new**)
  - » Performance reporting



# Process and Timeline

- ✓ Sept. 2012 – Strategic Planning Group charged
- ✓ Sept. to Dec. 2012 – Draft Plan structure/topics
- ✓ Jan. to Feb. 2013 – 1<sup>st</sup> Senior Management review
- ✓ Feb. 20, 2013 – Brief NSB Committee on Strategy and Budget
- Mar. to Apr. 2013 – Solicit NSF staff comments via IdeaShare, Poster Sessions, Town Hall Meeting, direct to SPG, anonymous email and finish draft narrative
- ❑ May 2013 – Draft (through SO's) sent to NSB for May meeting
- ❑ June 2013 – Draft plan (through SO's) due at OMB
- ❑ July to August 2013 – Brief Congress/external input
- ❑ Sept. 2013 – Final draft to OMB with FY2015 budget request
- ❑ Feb. 2014 – Plan published on Performance.gov at release of FY2015 President's budget



# NSF Mission/Vision

## Strategic Goal 1

## Strategic Goal 2

## Strategic Goal 3

SO



PGs

SO = Strategic Objectives must be comprehensive in scope, reviewed annually in SOAR.  
PG = Performance Goals used for annual performance planning/reporting.  
■ = Agency Priority Goals (subtype of performance goal)



# Draft Top-Level Content

- ❑ **MISSION** – The NSF Act of 1950 (Public Law 81-507) sets forth a mission: “*to promote the progress of science; to advance the national health, prosperity, and welfare; to secure the national defense; and for other purposes.*”
  
- ❑ **VISION:** *NSF envisions a nation that capitalizes on new concepts in science and engineering and provides global leadership in research and education*
  
- ❑ **Strategic Goals**
  - ❑ **Transform the Frontiers across all Fields of Science and Engineering**
  - ❑ **Stimulate Innovation and Address Societal Needs through Science and Engineering**
  - ❑ **Perform as a Model Organization**



# An Example of Drilling Down

**Strategic Goal 1: Transform the Frontiers Across All Fields of Science and Engineering**

***Strategic Objective 2: Provide world-class research infrastructure to enable major scientific advances.***

**Performance Goal Topics:**

- **Large Facilities (MREFC)**
- **Midscale Instrumentation**
- **Cyber tools**
- **Public access**



# Measuring/Assessing Performance

## ❑ Established Methods

- Independent Merit Review
- Portfolio Metrics
- Performance Metrics (facilities, staff)
- COVs (programmatic, financial, etc.)
- Benchmarking
- Advisory Committees
- Other Reviews and Evaluations (NRC, STPI, etc.)

## ❑ New Approaches

- Strategic Objectives Annual Review (SOAR)
- NSF Evaluation Initiative
- Logic Models



## Strategic Goal 1 (G1): Transform the Frontiers across all Fields of Science and Engineering

*Strategic Objective 1 (G1/O1): Invest in frontier research to ensure a continuing stream of advances across the NSF science, engineering, and education portfolios.*

*Strategic Objective 2 (G1/O2): Integrate education and research to produce a diverse STEM workforce with cutting-edge capabilities.*

*Strategic Objective 3 (G1/O3): Provide world-class research infrastructure to enable major scientific advances.*



## Strategic Goal 2 (G2): Stimulate Innovation and Address Societal Needs through Research and Education

*Strategic Objective 1 (G2/O1): Strengthen the links between foundational research and societal needs through investments at the nexus of investigator-driven research, private enterprise R&D, and long-term national S&E challenges.*

*Strategic Objective 2 (G2/O2): Develop partnerships across the S&E research community with other agencies, private-sector and international collaborators.*

*Strategic Objective 3 (G2/O3): Provide for the generation and dissemination of authoritative information and analysis on the S&E enterprise for decision and policy makers and the public.*

*Strategic Objective 4 (G2/O4): Build the capacity of the Nation's citizens to address societal challenges through science and engineering using a suite of formal, informal, and broadly available educational mechanisms.*



## Strategic Goal 3 (G3): Perform as a Model Organization

Strategic Objective 1 (G3/O1): Enhance decision-making and performance toward the NSF mission by strengthening linkages across all levels of planning and execution.

Strategic Objective 2 (G3/O2): Build an increasingly diverse, engaged, and high-performing NSF workforce by fostering excellence in recruitment, training, leadership, and management of human capital.

Strategic Objective 3 (G3/O3): Achieve high levels of customer service, and enhance efficiencies by encouraging a culture of sustained creativity and innovation.



# Issues to be Discussed in Narrative

- ❑ **NSF's unique role among federal agencies**
- ❑ **Relationship of basic and early applied research to the *innovation ecosystem*** (similar discussion in Nov. 2012 PCAST Report on Future of US Research Enterprise)
- ❑ **Education, diversity, workforce, and science literacy**
- ❑ **Interdisciplinary research**
- ❑ **High-risk/high-payoff research**
- ❑ **Infrastructure**
- ❑ **Growing global competition**
- ❑ **Partnerships**
- ❑ **Access to results of NSF-sponsored research**
- ❑ **Methods of evaluating performance**
- ❑ **Organizational excellence**



# Questions?



# FAQ's

- ❖ Don't we have a fairly recently published plan?
- ❖ How are they different?
- ❖ Who will read/react to the input?
- ❖ Will it really matter what I say?
- ❖ When can we see a draft plan?
- ❖ Did the input from the poster session lead to any changes?
- ❖ How will comments be judged?
- ❖ By whom?
- ❖ Will the Plan set priorities?
- ❖ How does the Plan impact choice of initiatives?
- ❖ Will the Plan keep NSF from seizing unforeseen opportunities?
- ❖ How will the NSF Plan stack up against the other 23 agencies that must post their plans on Performance.com
- ❖ Does NSF have a unique/important role among federal agencies?