NOS INTEGRATION TEAM

Recommendations To The Assistant Administrator For The National Ocean Service

Report Prepared By:
NOS Staff to Integration Team
and
Lynne Carbone & Associates, Inc.

I. ACKNOWLEDGEMENTS

We would like to thank the many NOS employees at all levels of the agency who took the time to participate in the input sessions, the charter process and the strategic planning meetings. Their enthusiasm and candor reflect the commitments and interest the workforce has in strengthening NOS to accomplish its mission and to better deliver NOS's specific products and services. The work done previously by the Coastal Stewardship Task Force (CSTF) provided an excellent springboard for the effort. The designation of NOS by Dr. Baker to lead NOAA's implementation of the CSTF recommendations provided the motivation for NOS to look past its former boundaries to explore uncharted roles and responsibilities.

II. EXECUTIVE SUMMARY AND BACKGROUND

The National Ocean Service (NOS) has an unique opportunity to become the national leader in Coastal Stewardship. Given the mix of programs and capabilities within NOS and the potential for substantive relationships with coastal related programs with the rest of NOAA and other agencies, NOS can articulate a vision of a national coastal stewardship ethic and work with a broad range of partners to achieve this vision. The NOS Integration Team embraced the opportunity to provide Dr. Foster, the new Assistant Administrator of Ocean Services and Coastal Zone Management, with a fully integrated cross program viewpoint for positioning NOS to lead this Coastal Stewardship charge.

This report summarizes the work and recommendations of the Integration Team supported by Lynne Carbone and Associates, Inc. The Team consisted of 10 employees (Appendix 1) representing a cross section of the NOS workforce and two external consultants.

This effort evolved from Dr. Baker's appointment of Dr. Nancy Foster as the Assistant Administrator for NOS with the lead in implementing the Coastal Stewardship Task Force (CSTF) recommendations. NOS was charged to make the necessary cultural, operational and structural changes to its organization (Appendix 2).

The Integration Team embraced the opportunity to provide Dr. Foster with a fully integrated cross-viewpoint for positioning NOS to lead this Coastal Stewardship charge. Drawing upon the results of employee input sessions, the CSTF report and recommendations, charter reports and other internal NOS strategic planning efforts, the Team analyzed the current organization's culture, operations and structure and formulated a series of recommendations for positive change in NOS (Appendix 3).

Key Gaps or Impediments

The Team quickly realized that a number of gaps or impediments exist in the current organization that might prevent NOS success. Deliberations affirmed or uncovered key issues (Appendix 4) including:

External Perspectives

- Fragmentation of coastal programs - uneven coordination across NOAA.
- Absence of a single NOAA or NOS voice externally.
- Need for a consistent scientific basis for resource management decisions.
- Confusing and uncoordinated regional NOS coastal presence.
- Poorly organized NOS constituencies.
- NOS science and information not easily accessible or in useful form.

- Unclear <u>NOS</u> Identity, direction, agenda and subsequent plans/programs.
- Inadequate cross program coordination, integration, and duplicate capabilities of efforts.
- Need for coordinated corporate systems for planning, budgeting, information management, performance management and accountability.
- Ineffective field/headquarters interactions.
- Non-corporate approach to customer service - external and internal.
- Ineffective corporate management behaviors and practices.
- Inconsistent leadership at all levels.

Change Strategy

After the Team discussed key gaps and impediments, a clear focus and new direction for NOS emerged. The overarching recommendation is for NOS to develop and execute a strategy that creates an integrated coastal stewardship capability. This capability must be highly responsive and adaptable to meet customer needs and to ensure a balance of environmental and economic objectives.

The Integration Team identified many external factors that facilitate and/or compel NOS to seize the leadership opportunity in coastal stewardship. These include: increasing pressures on coastal resources, technology advances, higher customer expectations, a changing Federal role, NPR streamlining objectives, increasing competition for service, and the ever increasing importance of partnerships in day-to-day work.

Based on the information reviewed, analysis done and the ensuing discussions, the Integration Team recommended changes in NOS: (1) Culture, (2) Structure, and (3) Operations. The cultural area is deemed most critical and emphasizes leadership and behavior changes that must be made if NOS is to assume the lead as NOAA's coastal stewardship agent, nationally and globally. The operational and structural changes are intended to facilitate, support or promote necessary behavior changes within and across NOS. An overall approach of evolutionary change achieved through a "learning by doing" model is a key theme of the proposal (Appendix 5).

The significant shift in NOS culture (attitudes, behaviors and belief systems) must move toward corporate identity and recognition of program interdependency. Historically, the "holding company" model has prevailed. The Team provided specific suggestions for leadership, cross NOS teams, formal training and development, a system for succession planning, customer service practices, and performance management.

The structure component offers groupings of major lines of business and proposes to clarify NOS key products and services into Science, Response, Management, Navigation, Positioning and Technical Services. The intent is to promote synergy of like products and services and minimize duplication of effort. It highlights a more formalized regional presence and emphasizes cross-program mechanisms for decision making, managing across programs and planning. Highlights of the line office products/services are provided. The structure proposal is highly dependent on changes needed in the culture and day-to-day operations.

The proposed changes in day-to-day operations are heavily focused on instituting mechanisms to promote cross-program interaction, coordination and synergy. Furthermore, efficient systems for corporate decision-making, planning, performance, accountability, information management, customer interaction and infrastructure support are required. The proposed model offers a tiered process for NOS decision making where different levels are empowered to manage appropriately across levels at headquarters and in the field.

Principles
The key messages for successful change in NOS are embodied by a set of summary principles:
- Achieving the coastal stewardship mission requires a <u>marshaling</u> of <u>all NOS capabilities</u> with an integrated, cooperative and synergistic spirit.
- NOS products and services are <u>shared</u> in order to achieve the stewardship mission.
- Maintaining a <u>balanced view</u> of stewardship on behalf of the environment <u>and</u> economy is critical.
- NOS leadership and its ability to achieve coastal stewardship is <u>dependent on</u> <u>all forms of partnerships</u> and key relationship internally and externally.
- The <u>customer service</u> ethic applies equally to internal NOS customers as well as to our external customers.

Implementation
A preliminary implementation strategy for Year One begins on Page 25. It requires a <u>major</u> dedicated effort of leadership, time, staff and funds. The Integration Team envisions an initial track of change activities which moves alongside and eventually merges with current organizational commitments, evolving to a crossover between the current and desired states. The Team enthusiastically volunteers to lead the change effort in support of reshaping the NOS organization.

III. VISION, OPPORTUNITIES, IMPEDIMENTS AND GAPS

The Integration Team articulates a vision for NOS in Coastal Stewardship as: (Appendix 6)

> *Based on a foundation of sound science, <u>provide leadership</u> to advance the sustainable use of coastal systems* to support the nation's economic prosperity and environmental well being.*

The message is that *NOS will aggressively seize the Coastal Stewardship leadership role* on behalf of NOAA, nationally and globally. This vision explicitly reflects the proper balance between use and protection.

The Integration Team also developed a coastal stewardship goal statement:

> *Our goal is that the Coastal Stewardship ethic be embraced by individuals and institutions in all sectors of society with an emphasis on those residing in or using coastal areas.*

NOS has a real opportunity to advance this goal by:
- Holding the national coastal stewardship dialogue on coastal use and protection. (This could ultimately result in NOAA/NOS providing leadership in an equivalent effort to the Stratton Commission and in drafting national legislation.)

Furthermore,
- To define and implement the coastal stewardship national agenda, NOS needs to recreate itself to:
  - Create and sustain partnerships to enable or empower coastal stewards.**
  - Provide world class science relevant to coastal stewardship.
  - Set national and global standards.
  - Provide technical advice, products, services and tools.
  - Advocate the agenda within NOAA, nationally and globally.

And ultimately, NOS needs to be accountable for results.

---

*   Coastal Systems - natural and institutional systems
**   Coastal stewards include individuals and institutions in the public, private, not-for-profit, academic and stakeholder sectors of the coastal community.

The Integration Team recommends that NOS set the agenda, tone, and expectations, and deliver its specific products and services in a style and manner to foster a coastal stewardship ethic, nationally and globally (Appendix 7).

Is NOS Up To The Challenge?

Considerable time was spent inventorying and characterizing NOS products and services. This step was necessary to give the entire team a common level of understanding and to ensure that core products and services were addressed in the report. Issues, such as duplicate capabilities, potential synergies and linkages, were discussed and cataloged. Significant follow-up work to evaluate, expand, and ultimately finalize the inventory of NOS's products and services is recommended. (Appendices 8 and 9).

The inventory activity made it clear that NOS does have the core capabilities and resources to take the leadership role in coastal stewardship. However, *its challenge is to integrate the independent products and services into a suite of integrated and interdependent NOS stewardship capabilities.*

NOS must begin the evolution from a holding company, metaphorically depicted as a track team with individual stars, to a metaphorical basketball team, where interdependence is required for team success.

The Integration Team identified specific actions needed for NOS to evolve into an effective leader for Coastal Stewardship. With respect to influence and conduct of national and global leadership, a number of issues need to be addressed:

- A *national* Coastal Stewardship dialogue has not been held since the Stratton Commission.
- Federal *interagency coordination* does not consistently flow from a central NOS philosophy.
- *International* and *national interactions* occur in an uncoordinated manner across governments, within NOAA and within NOS.
- The *nation's laws* that govern the coastal regions often work at cross-purpose and prevent a coherent, strategic approach to Coastal Stewardship.

With respect to NOS positioning itself to lead NOAA into a major coastal stewardship role, the following issues must be addressed.

- The Agency must begin to *visualize* itself in this *new integration role.*
- A *new* set of *cultural values* must be embraced that emphasize teamwork, cooperation, program coordination and customer relations.
- *Strategic, operational* and *financial* planning and *human resources* systems need to be modified to reflect the new emerging culture.

- *Cross-program* development and execution *mechanisms* must be developed and institutionalized.
- Field and *regional presences* need to be linked and coordinated.
- Policy and program formulation and execution need to become more *proactive.*
- Greater emphasis needs to be placed on using *science* and technology in formulating and *executing decisions.*
- *Customers* must become *more involved* in the formulation and execution of program and delivery of products and services.

The deliberations of the Integration Team focused on understanding these issues and then formulating recommendations designed to build on NOS's strengths, to remove the impediments and to fill in the gaps. The following section entitled "NOS Evolutionary Change Strategy" contains recommendations to strengthen NOS in its lead role.

IV. NOS EVOLUTIONARY CHANGE STRATEGY

Introduction
The change model developed by the Integration Team is depicted best by the following venn diagram. It represents the interdependencies of any/all changes that may be implemented in the organization.

NOS Evolutionary Change
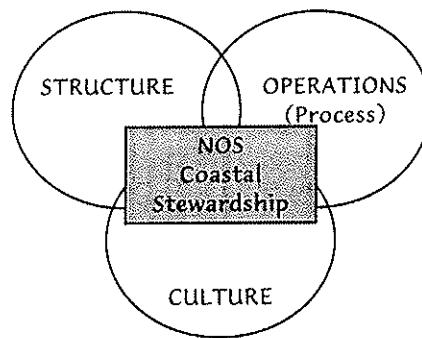
NOS as a Learning Organization

Several key premises comprise the change strategy:
- Change must be evolutionary and approached from a "learning as we are doing" model. NOS employees will best understand the value of integrated efforts by <u>doing</u> integrated programmatic work.
- The changes to NOS in its culture, operations and structure are highly interdependent and must be achieved through a pragmatic, simultaneous approach in all 3 target areas. A change in one part of the system will impact the other parts and requires clear orchestration, coordination and interdependency.
- The culture component of this change strategy is the foundation to achieving <u>all</u> desired changes. However, it is possibly the most difficult piece to achieve since it essentially involves reshaping human behaviors, beliefs and attitudes. On the positive side, many of the cultural changes can be addressed without formal NOAA approval.
- An overarching concept of <u>change</u> as a <u>constant</u> and NOS's ability to be adaptable and flexible as an organization is a theme presented throughout the recommendations.

In summary, NOS has an opportunity to start the new millenium as the national and global coastal stewardship change agent.

9

Success will follow if NOS:
- Boldly seizes the leadership role on behalf of NOAA (which will quickly clarify NOS's corporate identify).
- Modifies its culture and systems to become more efficient and business-like.
- Focuses all efforts and resources on maintaining credibility as a national and global player in coastal stewardship and fostering the coastal stewardship ethic.
- Supports all actions, products and services with a robust science base.

a. Culture

The culture change strategy for NOS includes components in leadership, learning by experience, training and development, succession planning, customer service and performance management. Specifically, NOS components must move to practices of:
- Developing a clear coastal stewardship national agenda through a corporate decision and planning process.
- Maintaining a flexible approach to change in NOS, modifying efforts "as we go", based on experience.
- Accepting NOS's sharing of resources and delivery of products and services and moving from a metaphorical track team behavior and individual performance to one like a basketball team of <u>interdependent performance</u>.

The following points highlight the desired new culture:

Core Values: Holds the stewardship mission above all else; is customer focused - external and internal; is trustworthy; and insists on mutual regard and respect for others.

Corporate Focus: Concerned about the balanced mission; understands and uses the breadth and depth of NOS capabilities to achieve coastal stewardship; values the NOS team above individual programs; and is proactive - wants to lead in making things happen.

Behaves With: Trust toward one another and delivers on commitments; exhibits leadership attributes; is the catalyst to make things happen; and is adaptable to change.

Supports and Values: Innovation and creativity; risk taking; learning from each other; sharing experiences; partnering at all levels; being open with information including best practices and success/failure; and being broad minded and fair.

Leadership

Leadership throughout the organization must provide the example, both inside and outside NOS. Leadership efforts must include: (Appendix 10)

- Defining and exemplifying core values and organizational operating principles, including ongoing involvement, communications and outreach to employees.
- Achieving major changes by *cross organizational experiences*, which will have to be orchestrated and supported by top leadership.
- Building an environment which instills the leadership spirit and behaviors through modeling, training, and performance management and accountability.
- Developing inspirational and well skilled managers and leaders through succession planning, peer support, empowering employees, engendering trust and managing for results.
- Tying corporate values into specific operational devices such as performance plans, strategic plan and annual operating plans.

Learning by Doing

Changes in human behavior, attitude and belief systems will be most successfully achieved through positive experiences which demonstrate the positive results and value of integration and teamwork. Therefore, key components of the recommended culture change include learning experiences such as:

- Specific cross-cutting initiatives proposed in the structure section of this report (e.g., remote sensing, hazards).
- Rotational assignments tied to a career development/progression system which requires cross NOS experiences to move forward in the organization.
- Infusion of team skills, leadership behavior, and interpersonal effectiveness while working on a NOS cross-cut team, special project, etc.

Training/Development

A formal system of training and development must be designed and implemented for all NOS employees. It should be tiered for executives, managers/supervisors and employees. The system must result in the following outcomes:

- NOS goals and values serve as a basis for training experiences, recruitment and retention activities.
- A clear career path and companion requirements for reaching each level in NOS are prescribed and linked to training.
- Team skills and NOS leadership attributes are provided through:
  - Formal courses
  - Project specific process support

11

- Adaptability and responsiveness to change skills will be fostered through formal training and on the job experiences.
- Empowerment opportunities are provided to employees as part of career development and day-to-day work experiences.
- Managers and supervisors are provided the "tools" to effectively mentor and to coach employees in achieving the leadership role.
- Key senior managers are selected to attend programs such as The Center For Creative Leadership.
- The infrastructure to support training and development is responsive and accessible to all employees, lending to an eventual virtual training model. (To be further developed.)

Adequate funding, staff, time and effort must be given to the development of NOS's most critical resource - its workforce.

Succession Planning

Placing the right people in the right jobs in NOS needs to be done as an ongoing process within a clear system. NOS must build a succession plan for management and leadership, linking needs of the organization to individual skills and abilities. A progression plan must be designed, requiring key assignments and experiences to be achieved in order to become a manager or supervisor in NOS. Emphasis will be on achieving a horizontal and cross program experience base.

The system envisioned will be closely linked to a career planning system, based on the NOS core competencies and suite of stewardship capabilities.

Customer Service (External/Internal)

The customer focused orientation needed in NOS has external and internal paths.

External

Key initiatives must be undertaken to improve our external customer service, including:
- Cataloging and clarifying NOS customers.
- Selecting and using key feedback targets and mechanisms.
- Initiating a standard customer satisfaction survey to begin tracking NOS's impact in customer terms and to build responsiveness to changing needs.
- Providing customers with easy access to NOS products, services and/or knowledge of what is available.
- Tailoring NOS's approach to customers to address differences and meet special needs.

Internal

For NOS, one of the most important changes in culture is to understand ourselves as customers and suppliers to each other. We must recognize our dependence on each other to deliver our suite of products and services that further Coastal Stewardship.

- Implementing an internal mechanism for obtaining goods and services from each other.
- Appreciating key interdependencies by working together as teams on projects, programs and joint activities.
- Addressing internal customer satisfaction through individual performance plans and ratings.
- Placing high value and weight on mutual support and teamwork within NOS and NOAA.

This effort is high priority in helping to achieve the necessary shift in employee behavior.

Performance Management Systems

Changing behavior is facilitated by changing what is measured and expected of people. The Integration Team believes the performance system must be revamped, with ties directly to expected results. The new system features should include:
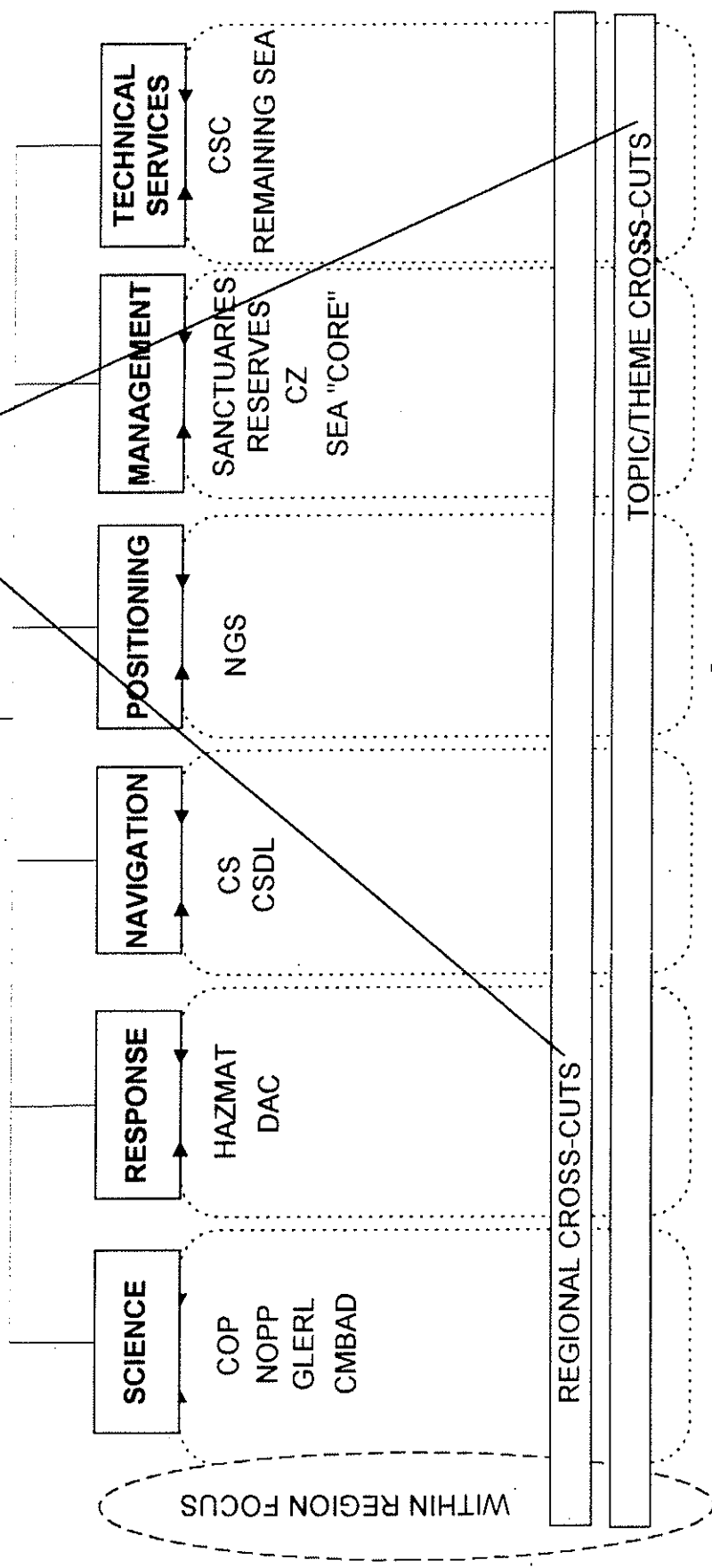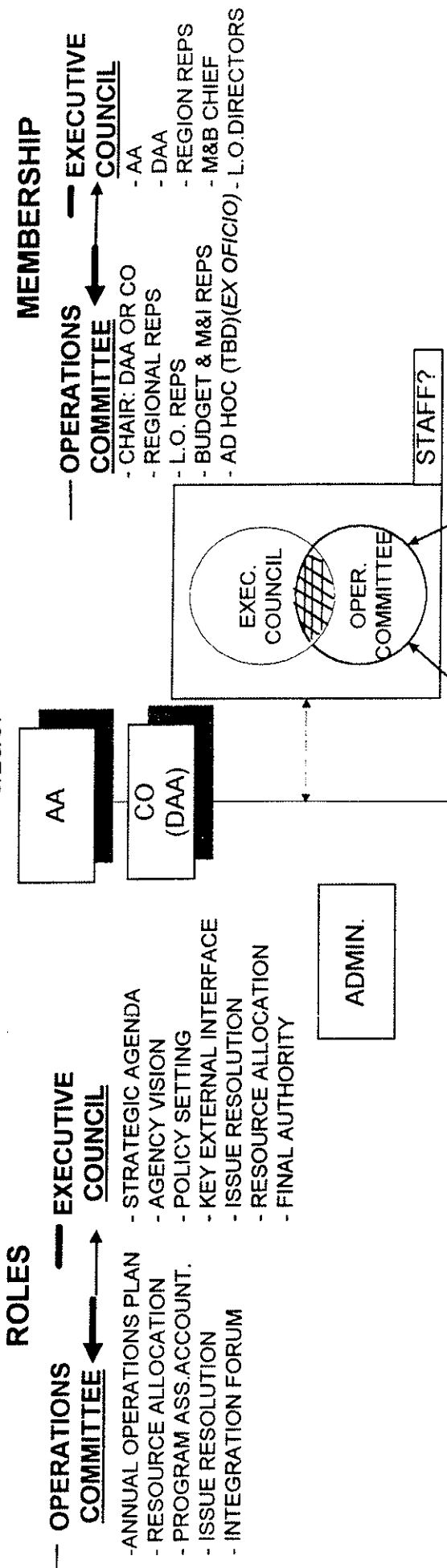
- Results based measures tied to program commitments (NOS Strategic Plan).
- Supervisory, peer, employee feedback formally linked to final performance rating.
- Incentives to achieve desirable performance.
- Mechanisms for using all NOS employees productively.
- Report to the nation on NOS impact on Coastal Stewardship goals (Annual Report).

B. Structure

The extensive discussion of NOS products and services led to considerations in organizational structure to promote more effective delivery of products and services, enhance integration of activities in NOS, minimize duplication of effort, promote synergy among like products and services, and support the strengthening of NOS's overall image. In addressing the structure component, the Integration Team considered the information presented in the charter papers.

PROPOSED STRUCTURE OPTION
8/28/97

ROLES

OPERATIONS COMMITTEE ← → **EXECUTIVE COUNCIL**

- ANNUAL OPERATIONS PLAN
- RESOURCE ALLOCATION
- PROGRAM ASS. ACCOUNT.
- ISSUE RESOLUTION
- INTEGRATION FORUM

EXECUTIVE COUNCIL
- STRATEGIC AGENDA
- AGENCY VISION
- POLICY SETTING
- KEY EXTERNAL INTERFACE
- ISSUE RESOLUTION
- RESOURCE ALLOCATION
- FINAL AUTHORITY

MEMBERSHIP

OPERATIONS COMMITTEE ← → **EXECUTIVE COUNCIL**

OPERATIONS COMMITTEE
- CHAIR: DAA OR CO
- REGIONAL REPS
- L.O. REPS
- BUDGET & M&I REPS
- AD HOC (TBD)(EX OFICIO)

EXECUTIVE COUNCIL
- AA
- DAA
- REGION REPS
- M&B CHIEF
- L.O. DIRECTORS

AA

CO (DAA)

EXEC. COUNCIL — OPER. COMMITTEE

STAFF?

ADMIN.

SCIENCE	RESPONSE	NAVIGATION	POSITIONING	MANAGEMENT	TECHNICAL SERVICES
COP NOPP GLERL CMBAD	HAZMAT DAC	CS CSDL	NGS	SANCTUARIES RESERVES CZ SEA "CORE"	CSC REMAINING SEA

REGIONAL CROSS-CUTS

TOPIC/THEME CROSS-CUTS

WITHIN REGION FOCUS

14

Key features of the structure proposal include lines of business responsible for developing and delivering various clusters of products and services, regional "nodes" as designated locations of focused NOAA presence, corporate decision mechanisms and cross organizational thematic or topical activities. Option descriptions and the Team votes are included in Appendix 11 for issues and options which were unresolved or where no consensus was reached.

NOS Lines Of Business

The key proposed "business" lines responsible for the suite of NOS products and services include Science, Response,[1] Navigation, Positioning, Management and Technical Services. These major offices, coupled with appropriate culture changes and integrated business processes, should promote NOS's ability to effectively deliver the Coastal Stewardship mission and leadership role. Like products and services have been placed under the same business line in an effort to promote synergy, enhance ease of customer interface and minimize duplication of efforts. Each is briefly described below. Several structure proposals were presented, but the Team agreed to further discussion the model proposed on Page 14.

Science

The Integration Team addressed the mandate to provide a scientific basis for NOS decisions and programs and the need to ensure scientific integrity and integration of Coastal Stewardship activities. The Team, for the most part, believes (voted 9 to 1) that a strong cross-NOS-NOAA science coordination role, coupled with the functions, programs and activities identified as givens provides the most appropriate format. The programs included in the Science Office are:
- Coastal Ocean Program
- National Oceanographic Partnership Program
- Great Lakes Environmental Research Laboratory
- Coastal Monitoring and Bioeffects Division of NOS
- NMFS Habitat Research Laboratories

Given the range of opinions and proposals in response to the Science Charter however, the Team recommends that Dr. Foster gather D. Scavia, D. Kennedy, D. Basta, A. Robertson and M. Davidson to:
  a. Thoroughly address outstanding issues and concerns outlined in Appendix 12.
  b. Develop an operating agreement for day-to-day interaction of the Science Office with other NOS lines of business.

1/ The Team used the term 'Response' to describe the current Hazmat IDAC functions. As the concept for this office is refined, however, we expect new elements would be added and the label changed to more accurately reflect the office's product line.

Response

Response would initially consist of the Hazardous Materials Response Division and the Damage Assessment Center. Activities such as restoration and habitat, located elsewhere in NOAA, were suggested for possible inclusion later; the name of the function would eventually change to incorporate these activities in a more expansive role. A potential office name would be "Response, Assessment, and Restoration". Integration Team members are prepared to develop this proposal further, if requested.

Navigation

A majority of the Team believed that the Coast Survey Development Laboratory (CSDL) would remain as part of the Coast Survey instead of being moved to the Science Office. There was a minority argument put forward that CSDL as a research program would best fit with the Science Office.

The Team discussed the Oceanographic Products and Services Division (OPSD), to determine the best location for its program to achieve Coastal Stewardship. One alternative discussed was for OPSD to remain in the Office of Coast Survey, where the program could have proximity to others engaged in supporting navigation services. Another argument was presented that OPSD could provide better cross-NOS support in another office connected to the response function. During these discussions a third alternative was developed which suggested that OPSD continue to report to the Assistant Administrator for a 9 month period, during which the program could be further developed as a cross-NOS program and evaluated at the end of this time for the best placement. As no consensus was reached (see attached Option Description Appendix 11), brief papers highlighting the Team's discussion are attached for consideration.

Positioning

Based on NOS's continuing roles and responsibilities in this area, the existing Positioning function within NOS would remain in the National Geodetic Survey. As changes are made in culture and operations, more effort would be made to include its programs in a NOS context and to leverage its products and services in a broader approach and delivery system. NGS's high potential for contribution to the integrated NOS suite of capabilities is envisioned as fundamental to the growth and development of all NOS programs.

The Integration Team saw no particular "value added" to merging Coast Survey, NGS and OPSD under one office at this time. If the NOS integration mechanisms are effective, appropriate overall coordination and linkage among these product/service lines will occur.

Management

The Management product and service line would focus on the existing programs which provide NOS the authority, either directly or indirectly, to manage coastal areas. They include the Coastal Management Program, National Estuarine Research Reserves, National Marine Sanctuaries, and for the present, the Evaluation activities.

- A majority of the activities in the Strategic Environmental Assessments Division (SEAD) were proposed to move into the "Management" function to more closely support management activities.
- Further discussion will be held on the evolution of the evaluation function found in the Policy Coordination Division. Many team members felt that changing/improving this function and eventually broadening it to help in evaluating all NOS programs could provide a needed way of assessing program achievement in NOS.
- The team also agreed that if the Management Office is approved, the internal functions should be realigned to better support achievement of their goals and management responsibilities. Discussions about this office included the idea that the Office Director position should be re-classified as a career position rather than a political position.
- Early in the workshop, the Team discussed "business" lines for NOS. The Sanctuary Program was proposed as one of the lines under the concept of "protection", but the concept was not endorsed. The proposal was put forward again later in the process. While the group did not feel it was appropriate to discuss the idea again, most agreed to allow a brief discussion of the idea to be appended to this report. The Team did not consider including the proposed structure in the Option Diagram.

Technical Services

The Technical Service capabilities in NOS, if consolidated, will be better able to provide the necessary support for other functions in NOS as well as to support various other coastal resource programs.

- This function would consist of the Coastal Services Center and parts of the Strategic Environmental Assessments Division, especially its remote sensing and GIS activities.
- The preferred (not consensus) option for SEAD is to split it between the Management and Technical Services functions (with the possibility of moving another part of SEAD into a habitat program if NOS develops that capability). If SEAD is not split, there was no clear consensus on where it should be placed. The preferred options were to move it as a whole into either the Technical Services or the Management functions.

Regional Presence

NOS will foster Coastal Stewardship through the synergy of NOS collaborative programs and activities at regional scales. The term "Regional scales" is used throughout this text to include regions as large as biogeographic provinces to regions as small as individual watersheds. Through regular communications and coordination among NOS components, especially those involved with field or other distributed efforts, NOS will be able to demonstrate the ways in which it maximizes its responses to mission requirements, provides the scientific and technical foundation and demonstrates leadership through strategic alliances internally and externally. Developing a mechanism for regional coordination and delivery will expand our ability to effectively fulfill our national responsibilities. The Team began to develop a more specific plan for a regional presence including coordination functions and site-specific and cross-cutting projects, but believes more needs to be done on the regional issues.

NOS will designate a "node" site for each region to facilitate regional communication and coordination. Site determination will be based on several factors:

- Ability to provide facilities and staff for regional coordination, communication and administrative services on an "as needed" basis.
- The presence or proximity of other NOS/NOAA facilities.
- Ease of access.
- Ability to conduct an initial assessment of needs, opportunities, and existing relationships within the region.
- Opportunities the site presents to foster alliances with other Coastal Stewardship partners.

Regular (not frequent) meetings would be scheduled within the region for NOS, NOAA and NOAA affiliates to meet and share information about current and proposed programs and activities. The goal of these meetings will be:

- To provide a forum for improved communication and awareness of NOS and NOAA involvement within the region.
- To seek opportunities to maximize NOS responsiveness and/or capabilities through collaborative programs and activities.

Proposed criteria for identifying proposed regional programs and activities will include:

- Degree to which proposed programs and activities foster Coastal Stewardship.
- Degree to which they demonstrate NOS multi-functional capabilities, products or services.
- Degree to which there are significant opportunities for supporting regional leadership and commitment towards national and regional Coastal Stewardship.
- Ability to enhance NOS constituent and customer satisfaction with NOS programs and activities.

18

Eventually, after the "fine tuning" has taken place, the discussions that are held at the regional level should be "open" and should include, at a minimum, NOAA affiliates (e.g., state coastal zone, state marine fish and state Sea Grant). A potential future "picture" appears in Appendix 14 as well as a map of the NOS human resources in field locations.

International Function

The Integration Team views the international work as a cross-cutting NOS activity. Oversight of NOS international work should include:
- Clear policy and decision criteria for NOS international work.
- Decisions made through a corporate planning and decision process.

A small staff function is envisioned with an evolutionary process for developing a NOS international agenda through the corporate decision process

Infrastructure Support Function

The Team identified capabilities needed to support all program activities. There were specific needs identified for enhanced service in: information management, contracts, legislation, cost/benefit analysis and personnel. Overall, a vision of a program support capability that keeps pace with service demands was articulated.

Cross-Cutting Initiatives

The organization chart shows horizontal lines that cross cut all NOS levels of business. There are many examples of additional issues categorized in Appendix 17.

A number of cross cut pilot teams were proposed where NOS already has a strong interest or the Integration Team proposes relevant capability. They are Remote Sensing, Hazards and Habitat. The standard operating mode envisioned for managing these efforts is to designate a lead organization (generally technical lead), identify NOS team members (for synergy or interest) and articulate a charter and expected schedule. These initiatives will be generated generally through the Operations Committee process. The cross-cutting pilot initiatives can be accomplished regardless of any structural changes. The membership is identified by present organizational names. The proposed pilot projects are:

Remote Sensing
The lead for this pilot is the Coastal Service Center. Membership would include: CS, Hazmat, SEA, the Science Office, OCRM and NGS.

> *Charter:*
> - Broaden the application of remote sensing in Coastal Stewardship and expedite its application.
> - Coordinate efforts to build in synergy with other NOS entities in our interfaces with others.
> - Formulate a strategy for addressing national technical means.

Expected outcomes include: needs requirements, key internal and external contacts, a strategy and schedule.

Hazards:
The lead for this pilot team is the Coastal Services Center. Membership would include: CS, NGS, OCRM, Hazmat, the Science Office and SEA.

> *Charter:*
> To develop a specific suite of products and services that mitigate coastal hazards through NOS's current and proposed activities.

Habitat:
This topic is seen as providing great potential opportunities not only within NOS but also across NOAA, especially with NMFS. The Team suggests that Dr. Foster work with a small team to aid in determining the role and opportunities for Habitat activities in NOS, in light of the incoming NMFS laboratory and other related work, such as Essential Fish Habitat.

Key Infrastructure Features

Tiered Decision Making
The Integration Team recommends a number of changes in the structure that promote corporate decision processes throughout NOS. The team proposed two key groups: An Executive Council and an Operations Committee. The operational framework and cultural underpinnings of these two groups will allow them to make a difference in the way NOS does business. The structural context must also be appropriate for them to be successful.

NOS Executive Council
The NOS Executive Council is the highest level of authority in NOS and would primarily serve as the enabling mechanism for the rest of NOS to accomplish its mission and goals. Core roles of the Council are:
- Setting and promulgating the NOS strategic agenda and vision.
- Setting broad NOS policies.
- Serving as key external interface.
- Resolving high level issues.
- Final authority in resource allocation.

Membership of the Council includes:
- AA (Chair)
- DAA
- Line Office Directors
- M&B Director
- Regional Representation (To be determined)

The Assistant Administrator is the final decision maker for the agency and uses the Council members as key advisors in providing an integrated system view for NOS decisions.

Operations Committee
The Operations Committee's main mission is to serve as the NOS integrator. Its role will be further developed if the concept is adopted. Its core roles could focus on stewardship through:
- Strategic planning and annual operating planning.
- Program assessment and accountability.
- Unplanned (NOS) level issue resolution (with NOS wide impact)
- Forum for problem solving with integrated solutions.

Membership of the Committee would include:
- Regional representation
- Line Office representation
- One Staff Office representative
- Ad hoc members (To be determined - ex officio)
- Chair: DAA (Chief Operating Officer)

Below the Operations Committee, the system could have cross-cutting committees with the right cross functional membership. Appendix 15 is a diagram of the initial thinking of the Integration Team on the tiered decision system.

Success criteria for the total decision system are dependent on many factors. A description of the desirable features as well as attributes for potential member selection criteria are provided in Appendix 16.

The Team agreed a staff was needed to aid the Council and Committee by coordinating, completing staff work and communicating on behalf of the council. There was discussion on the size and function of such a staff. Clearly, a small core staff size is recommended initially with potential to evolve to something larger, if necessary.

Unresolved Options

The unresolved options of the Science Office and OPSD are presented, with strong discretion given to the Assistant Administrator. Integration Team members have volunteered to support further thinking and deliberation for Dr. Foster's decision making.

C. Operations (Day-To-Day Mechanisms To Promote Integration)

NOS business and management practices currently operate and are structured to support an organization functioning as a holding company of independent sub-units. These practices present a myriad of issues to be resolved as NOS evolves to a fully interactive integrated organization positioned to lead NOAA's Coastal Stewardship effort. New challenges are highlighted below:

- A *tiered decision making* process needs to be established to organize NOS planning, policy, budgeting, resource management, program implementation and program integration into a corporate system.
- Mechanisms and *operating agreements* need to be developed to provide for the exchange of, and support for, developing products and services. (Internal customer service)
- *Customer* interactions need to be managed corporately.
- *Human resources* activities need to be enhanced to prepare individuals and units to meet the agency's new challenges. Programs and policies need to be made uniform across NOS (e.g., training, leadership development, evaluations, career development, personnel actions, etc.).
- The use of *science and technology* needs to be enhanced in development of all NOS products and services.
- Increased use of *partnerships* and cross-cutting programs is critical.
- More *information and data* must be managed corporately.
- Interactions with *externals* must be carried out corporately (e.g., international activities, Congressional exchanges, interagency, intra NOAA, etc.).

Tiered Decision Making

The Team recommends that a small staff be established to support the Executive Council, the Operations Committee and the AA in formulating and implementing a corporate decision making system. (This feature was outlined in the Structure Section.)

Features of the decision system include policy formulation, resource allocation, operation plans, assignment of responsibility, performance measures and accountability mechanisms.

The Team envisioned that policy issues would flow from the Executive Council and the Operations Committee would develop plans of operation in concert with the NOS Staff. (Appendix 15)

Internal Customer Service (Within NOS)

NOS culture and program efforts will shift to include more partnering and cross-cutting activities. This change requires more formal and institutionalized processes for obtaining internal NOS assistance and procuring internal goods and services.

The Team recommends that the Executive Council establish a policy and charge the Operations Committee to develop a process for internal customer service. The Team also believes this is an essential step in implementing a change in culture and would replace an existing system of relying on "friends" to help and/or verbal agreements that are not always fulfilled.

Corporate decision making and internal contracting will reflect corporate priorities, with schedules, delivery on commitments and links to accountability mechanisms.

The Team also recommends that this mechanism be used between the Science Office and other line components.

External Customer Interactions

NOS should create and maintain public and private sector partnerships as a cornerstone for mission accomplishment (state/local government, other Federal agencies, universities, private sector, and other line or staff offices in NOAA and not-for-profit organizations).

The Executive Council should establish a customer interactions policy and charge the Operations Committee to develop operating procedures and protocols. This item was also addressed under Culture Change.

The Team believes some key outcomes must be:
- Dispel old misconceptions of NOS (e.g., NWS Data Buoy Center).
- Convince other line offices in NOAA that NOS is changing.
- Build new relationships with NOAA support offices.
- Portray NOS as a partner rather than "feds here to help you".
- Convey NOS as a corporate operation rather than sub-units.

Science And Technology Use In Decision Making

The Team has recommended in the structure section that the AA move quickly to resolve the role and outstanding issues regarding integration of the Science Office into NOS.

In addition, the Team recommends in this section that internal operating agreements be used to establish and manage relationships between the Science Office and other line components.

Such formal mechanisms should result in an infusion of the scientific basis desired in all NOS programs. Such day-to-day practices will emphasize this essential need to all implementors.

Human Resource Development

The Team believes a number of activities, which could be classified as human resource issues, should be reviewed and administered corporately. Specific recommendations appear in the structural change section, but it should be emphasized that day-to-day accountability should be tied to specific goals and objectives and program results.

Major changes and pilot efforts are recommended to be tested, when feasible, on the Executive Council and Operations Committee before general implementation.

Partnerships And Cross-Cutting Programs

The Team fully endorses the "givens" that partnerships and cross-cutting activities need to be enhanced in NOS. Their value to NOS is recognized and acknowledged as essential if the lead role in Coastal Stewardship is to be successful.

The Team recommends that the Executive Council establish a clear policy and that they charge the Operations Committee with developing guidelines and protocols for formation and operation of cross-NOS, NOAA and external NOS teaming program and projects. (Appendix 17). The Team expects that the policy and processes developed will have (1) due regard for base programs, (2) provision for conflict resolution and (3) incentives to encourage and establish such efforts.

Internal Information Management

The Team acknowledges that NOS is exploring opportunities and issues that must be addressed in improving information management.

Corporate policy needs to be established and a program development plan prepared guiding the evolution of NOS's information management into a corporate system and single database.

The Team believes the Operations Committee should assist in this effort.

New Capabilities

The Team recommends that specialized resources be obtained for communications and marketing of NOS's leadership role, corporate identity, mission, strategies, and availability of product and services.

Tools are needed for:
- Top-down communications.
- Implementing mechanisms for ongoing dialogue, feedback and learning.
- Procuring professional dedicated communications and marketing capabilities.
- Providing accessibility to information on NOS products and services.

An investment analysis capability must be established to meet GPRA requirements and allow NOS to make trade-off and cost/benefit decisions.

D. Implementation – NOS Plan Of Action

Preliminary Plan Of Action

The following strategy summarizes Integration Team recommendations and prioritizes major change activities into 3 timeframes:
- Three to Six Months
- Six to Nine Months
- Nine to Twelve months

NOS has to act quickly to implement these planned changes. The responsibility to carry out these recommended actions should be assigned to several different groups in, and levels of, the organization in order to be effectively accomplished.

The Next Three to Six Months

- Commission the Integration Team to create a NOS *Transition Plan* for the planned changes with specificity and resource requirements.
- Review overall resource requirements for this process and *make* NOS *resource commitment* for people and dollars.
- Establish a *corporate NOS decision making process* and planning system to support an integrated NOS program.
    - Clearly define responsibilities of the Operations Committee to manage integration issues and begin creating mechanisms for horizontal integration and a corporate resource allocation process.
    - Structure NOS product delivery system to adapt to a changing agenda and revamp the role of the NOS Executive Council.
    - The concept of mini-operating integration councils should also be developed to capture communications at the local, regional and national level across NOS programs.
    - By the end of six months, the Operations Committee should be fully functioning in order to link all decision activities.
    - NOS should formulate a results based strategic plan and begin implementing an annual internal planning process with results based measures. The annual operating plan should reflect an integrated NOS program.
    - Measures for program and personal accountability must be established.

- Promote cross-program and vertical communications with pilot efforts in *remote sensing* and *hazards.*
- "Flesh out" concept of *regional presence.*
- Organizational Structure:
    - Review and where appropriate, redefine the internal organizational *structure/functional descriptions* of the proposed line offices with special emphasis on the details for the Science, Response, Management and Technical Services line offices.
    - Clarify roles and interactions of the NOS Science Office and its integration with the rest of NOS.
    - Review the activities of NOS staff offices and develop a plan to increase their support of this overall plan.

Six to Nine Months

- Develop leadership and career development training activities for managers and employees:
    - Within the next 9 months, NOS needs to establish leadership training to support the framework for NOS culture changes.

26

- Bring on-line an internal training capability for developing leadership, cross-program capabilities, adaptability to change.
  - Develop a training catalog and widely disseminate it to NOS employees to encourage them to update their skills.
  - Provide training to make the shift to a more integrated workplace culture including rotational assignments.
  - Implement the 360° review process for managerial/supervisory development for top levels.
- Build an improved *customer service framework* for serving our internal NOS customers:
  - NOS should establish baseline measures and a system for measuring impacts/results of NOS work internally as well as externally.
  - NOS should also create an internal customer contracting system for goods and services mechanisms and process.
- Improve overall internal systems and infrastructure to support a more integrated and focused NOS.
  - Human Resources - NOS leadership must make decisions to put the right leaders in the right jobs and begin a formal succession planning system.
  - Information Management - Expand CSC's customer contact database for all of NOS. Compile a "who's doing what" directory.
  - Administrative Services - Enhance NOS administrative services to include information management, financial management, contracts, legal, evaluation, planning, human resources and investment analysis.
  - Business Planning - Procure investment analysis and develop (GPRA) tools or capability to support program decision-making.

Nine to Twelve Months
- Tools, Expertise, Products and Services:
  - Develop an *inventory of tools and skills* expertise needed for Coastal Stewardship. Identify/resolve gaps and excess.
  - Inventory NOS products and services to develop core competencies.
  - Determine duplicative/superfluous capabilities and identify synergy potential.
  - Begin building a single information database.
  - Make NOS systems easily accessible for customers.
- Legislation:
  - Review and begin to modernize all NOS legislation.
  - Begin process to establish coast stewardship legislation.

- Refocus our *relationships* with our NOAA partners and *customers* and with all of our external constituents (partners, customers, stakeholders, etc.) to reflect our better integrated approach to coastal stewardship:
    - Feedback/Involvement - Request and draw upon feedback from the externals on our change management strategy.
    - Definition of NOS customers - Clearly define and catalog our customers.
    - Create a contact database for NOAA.
    - Marketing - Design a formal marketing program to market NOS internally and externally.
    - Provide scientific/resource/economic baseline data and projected targets of opportunity.
    - Create customer feedback and satisfaction mechanisms.
    - Outreach – Take steps to optimize our regional, state and local presence.
    - International Program - Develop a policy statement and decisive criteria for international work. Solidify an international program focus/direction.
    - Create people independent customer access mechanisms.
    - Partnerships within NOAA - Create formal operating agreements with the National Marine Fisheries Service and the Office of General Counsel to facilitate interaction as first priority.
- Overhaul our *performance management* practices to better reflect an integrated coastal stewardship approach:
    - Revise the evaluation system to include accountability for integrated program results and for support to others working within an integrated NOS activity.
    - Develop a system to provide incentives, awards and recognition for accomplishments based on corporate performance and behavior.
- Create a positive mechanism for better use of employees:
    - NOS should develop a plan to best use all NOS human resources including a NOS succession planning process.
    - Create a mechanism for fully using under used employees.
    - Create a NOS Candidate Development Program and a system for identifying high potential employees for future agency leadership.

SUMMARY OF CHANGE INITIATIVES

Timeframe: Three to Six Months

OPERATIONS	CULTURE	STRUCTURE
• Establish NOS decision making and planning system and infrastructure: ~ Executive Council ~ Operations Committee ~ Regional processes	• Implement cross-program initiatives on Remote Sensing and Hazards.	• "Flesh out" the lines of business.
• Create an effective operating agreement between the Science Office and other NOS components.	• All SES personnel report to AA until final positions filled.	• Set up a parallel new organization effort to begin change and not disrupt current work.
• Procure expert communications and marketing support. Begin an internal effective information dissemination system.	• Formalize/fund/staff change initiative. Commission Integration Team to formulate a transition plan and "flesh out" parts of its proposal.	• Select "right people for right jobs".
	• Implement the 360° performance rating system.	• "Flesh out" the regional presence concept and pilot 2 regions - NOAA coastal program coordination role.
	• Leadership team establishes core values and operating norms.	• Establish an administrative organization to include contracting, information management and investment analysis.

29

SUMMARY OF CHANGE INITIATIVES (*Continued*)

Timeframe: Six to Nine Months

OPERATIONS	CULTURE	STRUCTURE

• Establish baseline measures for:
  ~ The resource
  ~ The economy
  ~ Internal teamwork
	• Create a NOS succession planning system tied to a career development program.	• Administrative support services - streamlined, responsive, targeted, new functions and investment analysis.

• Internal information dissemination and management system definition.	• Provide key leaders and diagonal slice training events for adaptability, teamwork, and customer service. Need NOS role models. Select key leaders for Center for Creative Leadership courses.	
• Produce NOS results based strategic and annual plans.		
• Create an internal customer/supplier contracting system for goods/services mechanisms.	• Training and development program for all levels tied to performance management.	
• Create external customer satisfaction survey mechanism for baseline and progress information.		

SUMMARY OF CHANGE INITIATIVES (Continued)

Timeframe: Nine to Twelve Months

OPERATIONS	CULTURE	STRUCTURE

• Partnerships:
  ~ Definition of NOS customers
  ~ Feedback/involvement in NOS changes
  ~ Focus on GC and NMFS internally
	• Overhaul performance management system:
	  ~ Incentives for results,
	  ~ Teamwork rating
	  ~ Mechanism to optimize use of all employees
	
	• Establish a formal cross-training program tied to career development, succession planning and performance management.
		• Legislation overhauls - create coastal stewardship legislation.
		
		• Product/service inventory - solidify core NOS competencies.
		
		• International program - policy/program definition.
		
		• Formal marketing/outreach effort designed and begins implementation.

V. SUMMARY AND CONCLUSIONS

This report culminates more than two years of effort by NOS to reshape its mission and products and services. Yet just 6 short months ago the rare challenge of instituting a major new mission was given to NOS - the NOAA lead in shaping national and global Coastal Stewardship.

This report offers numerous cultural, operational and structural recommendations for change that are necessary for NOS to undertake this new role.

The Integration Team does not believe that success requires all recommendations be formally implemented for NOS to be an effective leader. Although implementing all recommendations is desirable, much can be done without formal action.

Perhaps the biggest impact would occur if all individuals and existing units simply embrace the new role and change their attitudes, behaviors and actions accordingly. In the final analysis, success really resides in this domain. Nevertheless, the operational and structural recommendations are necessary to facilitate cultural shifts and ultimately make the delivery of products and services more efficient and effective. The important recommendations are the establishment of the management, coordination, integration and accountability mechanisms.

NOS is the correct choice to lead NOAA in Coastal Stewardship. The employees' talent, skills, overall capabilities and resources reside in NOS to do the job effectively.

V. APPENDICES

1   Integration Team Members

2   NOS Planned Change Process

3   Change Mandates

4   Organizational Change Worksheets

5   Evolution Change

6   Mission and Role

7   Vision Diagram - Stewardship Flow

8   NOS Tools and Toolbox

9   Product and Service Inventory

10   Leadership Attributes and Role

11   Option Descriptions

12   Science Office Issues

13   OPSD Options

14   Sanctuaries Option

15   Regional Presence Map - Regional Future Option

16   NOS Planning System Flow

17   Success Criteria for Operations Committee
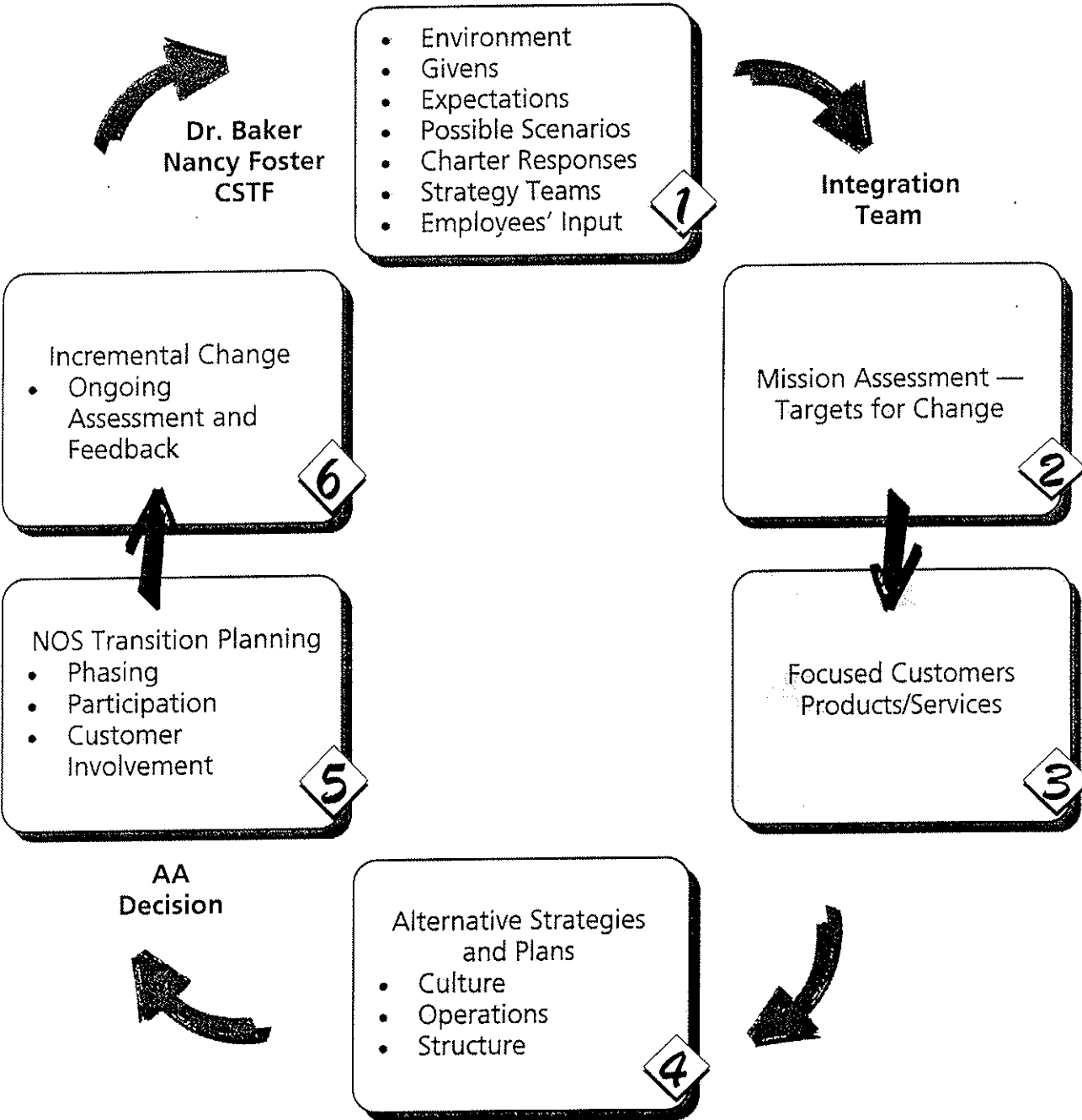
18   Cross NOS Issues

APPENDIX 1

Integration Team Participants

Name	Phone Number	E-Mail Address	Mailing Address
Bob Kifer	301-713-3074 x141	bob.kifer@noaa.gov	National Ocean Service SSMC 4, Station 13409 1305 East West Hwy Silver Spring, MD 20910
Dan Basta	301-713-3000 x128	dbasta@seamail.nos.noaa.gov	SEA N/ORCA1 SSMC 4, Station 9531 1305 East West Hwy Silver Spring, MD 20910
Margaret Davidson	803-974-6220	mdavidson@csc.noaa.gov	Coastal Services Center 2234 South Hobson Ave Charleston, NC 29406
David Enabnit	301-713-2724 x102	dave.enabnit@noaa.gov	Office of Coast Survey SSMC3, Station 7360 N/CS2X1 1315 East West Hwy Silver Spring, MD 20910
David Kennedy	206-526-6317	kennedy@hazmat.noaa.gov	7600 Sand Point Way Northeast Building 3 Seattle, WA 98115
John King	301 713-3121 x188	jking@coasts.nos.noaa.gov	CPD/OCRM SSMC4, Station 11205 1305 East West Hwy Silver Spring, MD 20910
David McKinnie	206-526-6950	mckinnie@hazmat.noaa.gov	7600 Sand Point Way Northeast Building 3 Seattle, WA 98115

Andy Robertson	301 713-3032 x162	andrew.robertson@noaa.gov	CMBAD SSMC4. Station 10110 1305 East West Hwy Silver Spring, MD, 20910
Linda Thompson	301-713-3070 x130	lthompson@ocean.nos.noaa.gov	N/SPA SSMC 4, Station 13521 1305 East West Hwy Silver Spring, MD 20910
Stephanie Thornton	301 713-3125 x110	stephanie.thornton@noaa.gov	SRD/OCRM SSMC4. Station 11523 1305 East West Hwy Silver Spring, MD 20910
Dave Zilkoski	301-713-3191 x101	dave.zilkoski@noaa.gov	NGS SSMC3, Station 8752 1315 East West Hwy Silver Spring, MD 20910
Lynne Carbone	301-365-0071	lynnecarb@aol.com	7013 Fawn Trail Ct Bethesda, MD 20817
Becky Smyth	301-713-3070 ext 134	rsmyth@ocean.nos.noaa.gov	N/SPA, NOS SSMC4, Station 13446 1305 East West Hwy Silver Spring, MD 20910
Marta Nammack	301-713-3074 x129	nammack@ocean.nos.noaa.gov	N/SPA, NOS SSMC4, Station 13346 1305 East West Hwy Silver Spring, MD 20910

NOS Planned Change

**Dr. Baker
Nancy Foster
CSTF**

- Environment
- Givens
- Expectations
- Possible Scenarios
- Charter Responses
- Strategy Teams
- Employees' Input

1

**Integration
Team**

Incremental Change
- Ongoing Assessment and Feedback

6

Mission Assessment —
Targets for Change

2

NOS Transition Planning
- Phasing
- Participation
- Customer Involvement

5

Focused Customers
Products/Services

3

**AA
Decision**

Alternative Strategies
and Plans
- Culture
- Operations
- Structure

4

Non-Negotiable — Change Mandates

Overarching Expectations

♦ NOS has been assigned the lead for NOAA Coastal Stewardship Task Force recommendations.

♦ Changes in structure, operations and culture need to be made in NOS to enhance its ability to implement the Coastal Stewardship Task Force recommendations and most effectively achieve its mission.

♦ A robust science program will be established in NOS.

♦ Ties and working relationships will be enhanced within NOS and NOAA with an emphasis on cross program integration within and across NOS and NOAA, respectively.

A. Culture	B. Structure	C. Operations
1. *Science* is the *basis* of NOS decisions. 2. *Integration* of programs *across NOS* is essential to effective delivery of NOS products and services. 3. *Employees* are our most *valued asset.* 4. *Empower* employees to the maximum. 5. *Teamwork* is essential for mission accomplishment. 6. Draw upon *synergy* potential in NOS. 7. *Commitment to NOS* above individual programs is critical.	1. *Establish* new *office* of science reporting to the AA. The office Director is the NOS *Senior Scientist.* (a) COP, NOPP, GLERL transfer to NOS. (b) CMBAD transfer to the science office from ORCA. (c) NMFS Charleston Lab and Habitat Research and Restoration Labs transfer to NOS Science office. 2. *Consolidate* into single office (SPA, MB, EA) reporting to AA/DAA. (a) An office of information management will be established.	1. Establish an *intra-NOAA Coastal Council.* 2. Establish *inter-agency Coastal Council.* 3. Meet *NPR* and *streamlining* objectives for increased efficiency. 4. Coastal stewardship requires *close working ties* to our customers, university, state, local, other federal and private sector partners. 5. Leverage *external relationships* and partnerships. 6. Improve *accountability* with NOAA for coastal programs. 7. Assure *scientific integrity.* Improve science/management links. 8. Implement effective *internal/external communications* mechanisms are critical to success.

Organizational Change Worksheets

Problem Statement: What are we trying to fix?	Potential Causes	Potential Solutions: Culture, Operations, Structure
1. Absence of a focused, integrated, prioritized resource/ economic agenda and/or program	• Lack of vision/leadership • Stovepipe structure • Culture doesn't support horizontal work • Absence of corporate system for planning, budgeting, resource allocation or decision-making • Absence of "corporate" leadership • Absence of baseline data and systems for measuring impacts/ results • Internal competition for resources/clients • Lack of trust • No focused way of involving customers in setting the agenda • Variable external support • Highly variable program needs, emphasis by regions, state, localities	• Inculcate the leadership vision into the culture • Formulate a results based strategic plan • Communications/marketing internal capability • Create internal corporate decision processes • Establish baseline measures and system for measuring impacts/ results • Put the "right" leaders in the right jobs • Provide national stewardship results based goals • Create mechanisms for horizontal integration • Involve customers in the agenda — partners, stakeholders, etc. • Create effective internal/external communications mechanisms • Create customer feedback mechanisms and database

Problem Statement What are we trying to fix?	Potential Causes	Potential Solutions
		Culture · **Operations** · **Structure**
1. Absence of a focused . . .		• Provide resource/economic baseline data and projected targets of opportunity • Structure the product delivery system to adapt to a changing agenda • Manage priorities and create systems of accountability • Create legislation for coastal stewardship; modernize all legislation • Solidify an international program focus/direction
2. Lack of balance between environmental and economic stewardship needs.	• Perceived conflict of mission by some • Lack of data • Changing political agendas • Void of expertise in NOS • Lack of customer needs assessment • Absence of database on the environment/economy • Absence of strategic plan or planning • Absence of priorities • Unable to reach/respond to all customers	• Provide investment analysis (GPRA) tools or capability • Provide baseline scientific data on the environment and economic data (create or procure capabilities) • Ensure a participative planning process internal/external intra NOS, NOAA, outside

2

| Problem Statement: What are we trying to fix?	Potential Causes	Potential Solutions: Culture · Operations · Structure

3. NOS programs perceived or experienced as confusing, uncoordinated and difficult to access.	• Absence of single agenda/mission
	 • Lack of leadership
	 • Absence of standards for operating with customers
	 • Internal competition for funds
	 • Structured to be "separate"
	 • Current culture supports separatism
	 • Inadequate communications, marketing, outreach by NOS
	 • Infrastructure for easy customer access "thin" and variable by organization
	 • Absence of an NOS team and single voice/direction
		• Single vision/agenda
		 • Get marketing capability
		 • Build communications infrastructure
		   — single database
		   — easily accessible systems for customers
		 • Create teaming incentives/arrangement
		 • Better utilize cross program capabilities
		 • Optimize regional, state, local NOS presence
		 • Put in customer responsive mechanisms
		 • Create a *NOS* culture
		   — cross training
		   — cross team projects
		 • Peer rating system leading to 360° system

3

Problem Statement: What are we trying to fix?	Potential Causes	Potential Solutions Culture Operations Structure
4. It is difficult to access NOS products/services — Internal — External * Science/information not available or in useful form	**INTERNAL** • Stovepipe culture/structure • Lack of value/priority on internal customers • No single delivery system • Core products not viewed as NOS owned/shared • NOS resources used on NOAA initiatives over programs **EXTERNAL** • Absence of a single NOS delivery system • Highly variable delivery systems (technology, people, etc.) • No single database or system for resource/service information • No coordinator in each region	• Create mechanism to contract for goods and services internally • Put peer rating system in for support evaluations • Formalize internal dependencies • Put in place a fair resource allocation process • Develop/monitor set of indicators for coastal ecosystem health* • Create an NOS database • Optimize regional, state, local presence or create a customer responsive service directory and interactive mechanism • Provide broader NOAA representation in the field • Optimize partnerships for delivery • Create people independent customer access mechanisms • Assess-/know external competition • Level out NOS resources — technology, etc. • Provide workforce with leadership tools to support "accessibility" objective • Create SWAT Team for reactive work

4

Problem Statement What are we trying to fix?	Potential Causes	Potential Solutions Culture Operations Structure
5. Lack of (or perceived lack of) scientific basis or application or science to resource management decisions	• Lack of resources • Absence of agreed upon decision protocol for resource management • Program specific agenda, priorities and use of resources • Not perceived by NOS as a void • Current scientific capabilities resides within most programs • Lack of internal customer needs clarity • Lack of understanding of current scientific activities	• Establish science office — clarify roles' • Create clear operating agreements with programs that integrate science into the operation • Provide scientific databases for the national resource Provide targets for stewardship opportunities based on the data • Create expert capability and participation on all program teams • Instill a learning organization model for NOS • Create a needs/requirements assessment process for internal customers • Inventory current activities
6. NOS products are expensive	• Inadequate NOS/NOAA support systems • Internal duplication of effort • Internal difficulty in accessing NOS core products	• Provide effective infrastructure administrative support — streamline time/processes • Eliminate duplicative efforts • Set internal contracting for goods/services process

5

Problem Statement What are we trying to fix?	Potential Causes	Potential Solutions Culture Operations Structure
7. Stewardship information availability, timeliness, relevance depth are lacking	• Absence of single, integrated NOS database • Not optimizing regional, local resources • Systems don't keep pace with change	• Create single information database • Design adaptable systems (use experts to meet system requirements) • Get customer needs up front
8. NOS does not work well with other NOAA components	• Absence of integrated efforts with NMFS — essential fish habitat • Ineffective relationship with GC • Lack of synergy with NWS • NOAA leadership not well informed/interested in NOS	• Create formal agreements with NMFS • Create operating agreement with GC • Put formal ongoing marketing program in place for NOAA leadership
9. NOS is not effective at mobilizing its constituents	• Highly variable across programs • Lack of clarity by all of customer base • No customer outreach formal strategy • Variable political support • Relationships are individual dependent • There has been an absence of a single NOS	• Disseminate and market the vision and goals • Involve constituents in planning activities • Put the customer *IN* the delivery system • Create customer feedback and satisfaction mechanisms

EVOLUTIONARY Change Approach

STRUCTURE

OPERATIONS (Process)

NOS
Coastal
Stewardship

CULTURE
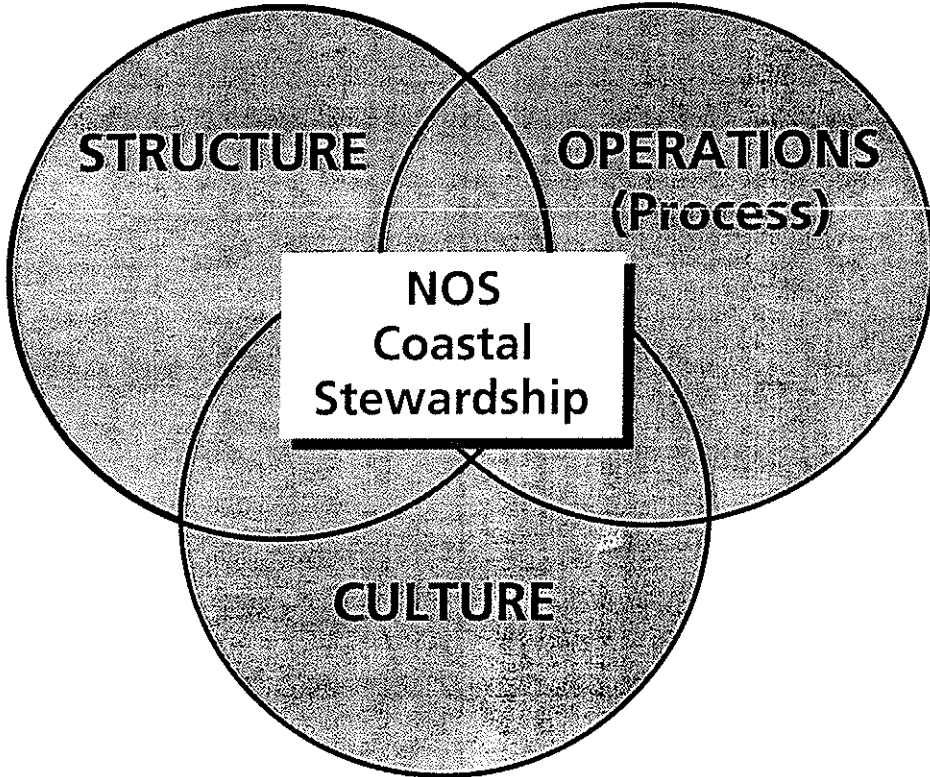
CHANGE is viewed as a constant.

NOS as a Learning Organization.

NOS Coastal Stewardship Mission

Based on a foundation of sound science, *PROVIDE LEADERSHIP* to advance the sustainable use of coastal systems* to support the nation's economic prosperity and environmental well being.
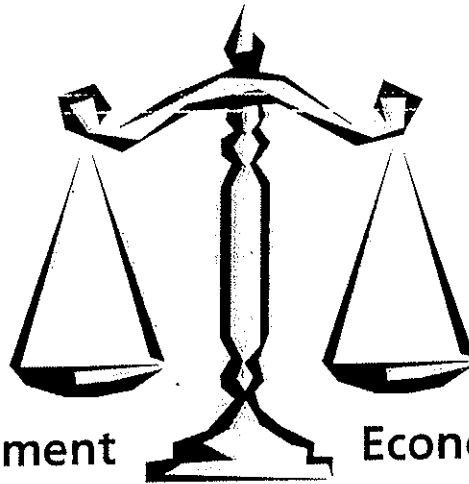
Environment   Economy

OUR GOAL IS THAT COASTAL STEWARD ETHICS WILL BE EMBRACED by individuals and institutions in all sectors of society with an emphasis on those residing in coastal areas.
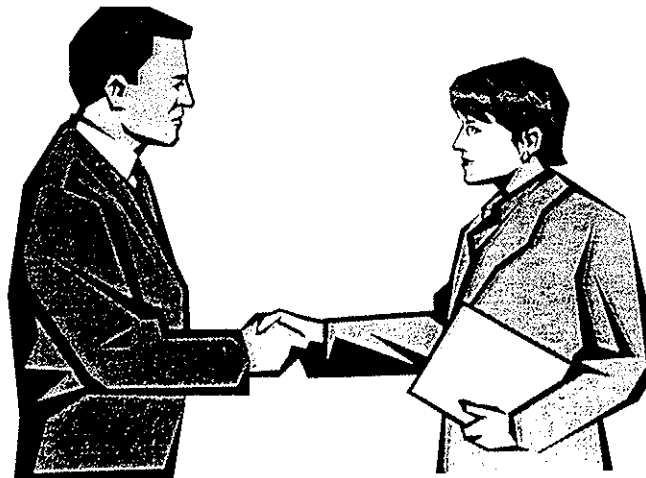
*   Coastal Systems — natural and institutional systems

NOS Coastal Stewardship LEADERSHIP Role

☆ Hold the national coastal stewardship dialog on coastal use and protection.

☆ Define and implement the national coastal stewardship agenda. In defining and implementing the national agenda, NOS will . . .

— Create and sustain partnerships to enable or empower coastal stewards*
— Provide world class science relevant to coastal stewardship.
— Set national global standards.
— Provide technical advice, products, services and tools.
— Advocate the agenda.

☆ Be accountable for results.
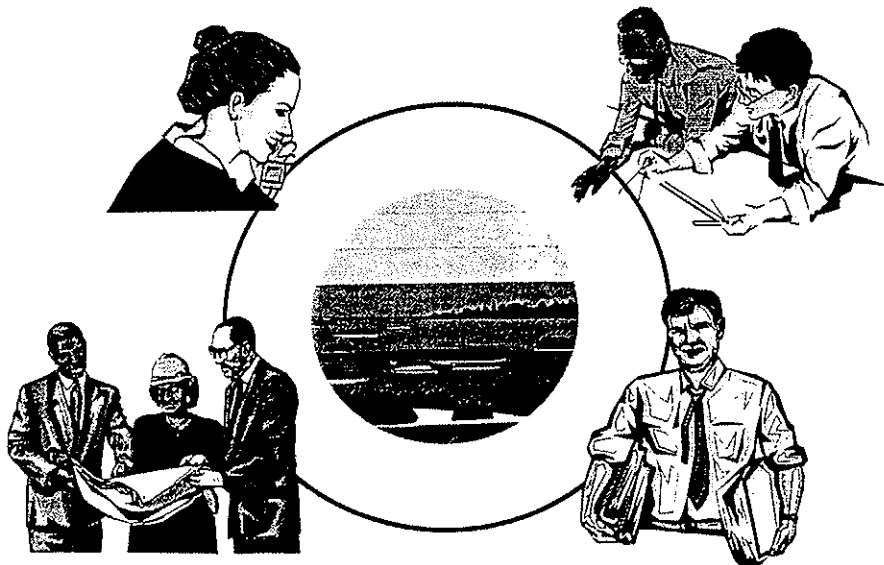
* Coastal Stewards potentially include: Individuals and institutions in the public, private, not-for-profit, academic and stakeholder sectors of the *COASTAL* community.

2

NOS Coastal Stewardship

The National Agenda

National Global Standards

ENSURING SUSTAINABLE ECONOMIC GROWTH & ENVIRONMENT

People Institutions Government

BEHAVIOR

Economic Development and Prosperity

Ecosystem Health and Use

Partnerships to Empower

ALONG THE NATION'S COAST

Products Services & Tools

World Class Science

Coastal Stewardship Flow

COMMUNITY　　　　PROVIDERS　　　　COMMUNITY

Needs/Information
Identification

Legal Authorities
Plans
Science
Technology
Products
Services
Technical Assistance

Solutions
Strategies

Dialog　　　　　　　　　　　　　　　　　Implementation

Tools

Evaluation, Feedback, Assessment
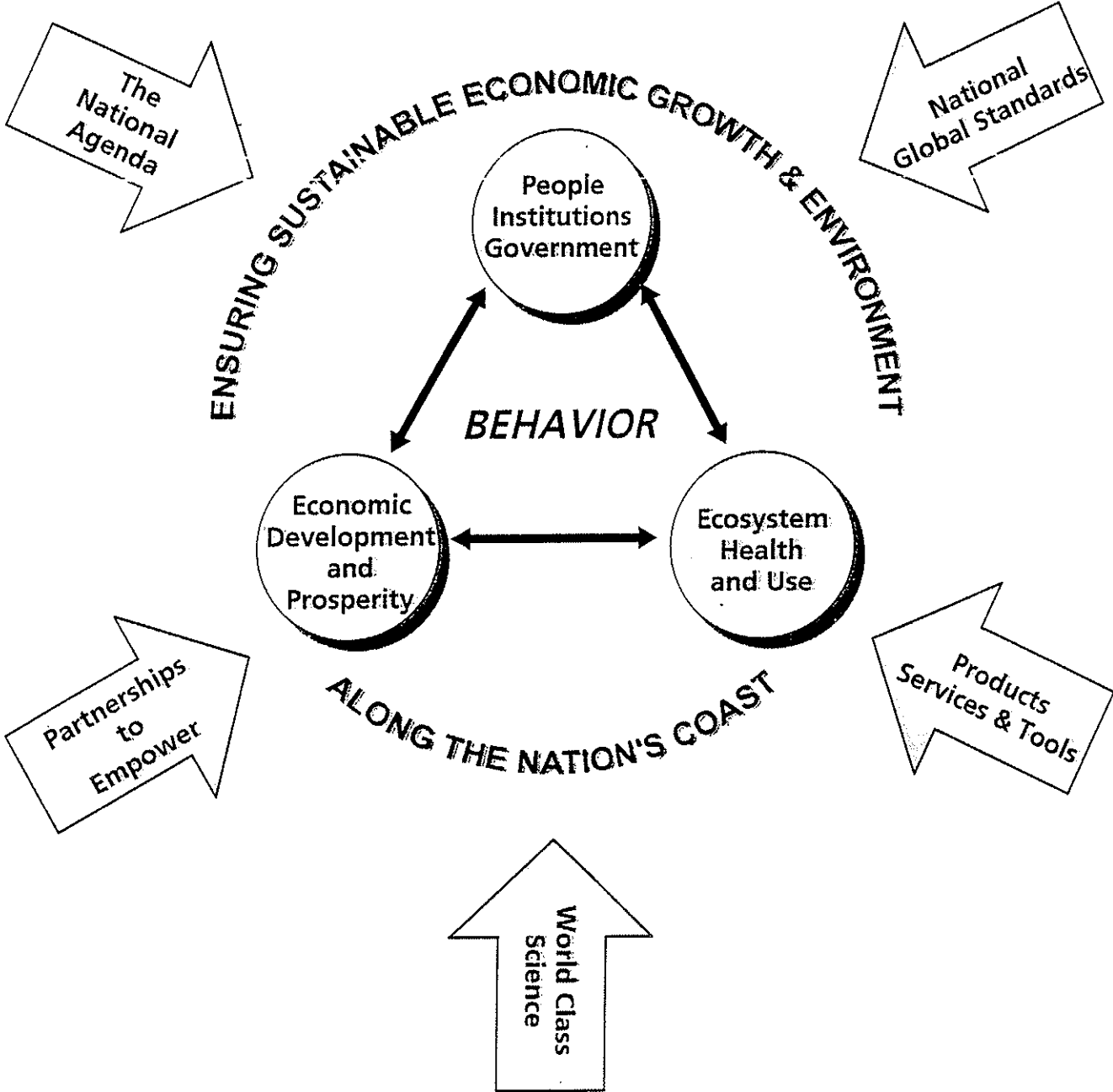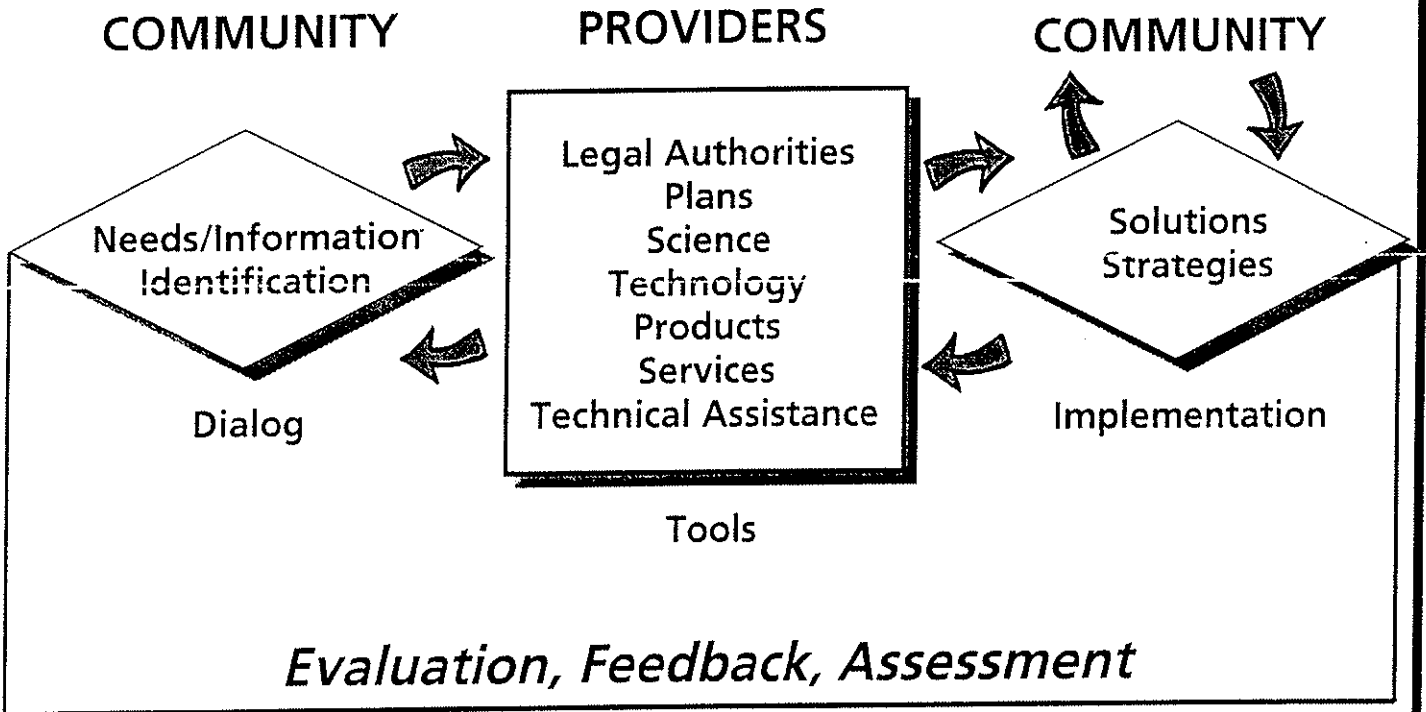
Geographic Scale: LOCAL ⟹ GLOBAL

Community — Users, stakeholders, all levels of Government
Providers — Public and Private

NOS Nurtures the Flow

NOS Core Products and Services

Key Organizational Processes Tools/Methods	Core Products/Services
• Data/Collection/Analysis	• Data
• Regulation	• Information
• Technology Transfer	• Research
• Modeling	• Charts/Maps
• Partnerships	• Standards and Guidelines
• Planning	• GIS/GPS
• Facilitation	• Trusteeship
• Problem-Solving	• Assessments
• Systems Development	• Facilitation
	• Training
	• Grants
	• Education
	• Models, Methods and Tools

Coastal Steward Tool Box

🔨 Data

🔨 Information

🔨 Sound Decision-making

🔨 Technology

🔨 Standards and Guidelines

🔨 Charts and Maps

🔨 Legislation

🔨 Regulation/Enforcement
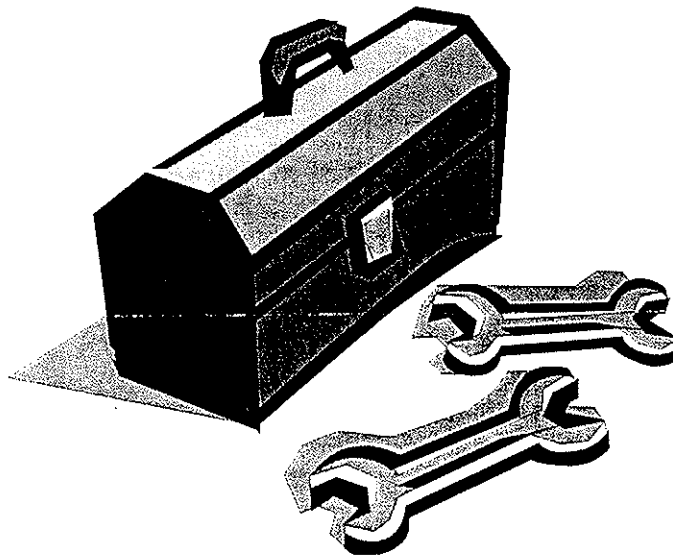
🔨 Research

🔨 Technical Models, Methods, Tools

🔨 Problem Solving

🔨 Facilitation/Collaboration Skills

🔨 Cost/Benefit Analyses

🔨 Conflict Resolution/Mediation

🔨 Financial Assistance

Product and Service Inventory

Organization	Core Products/Services	Outgrowth Activities, Products, & Services	NOS Function		Formal Linkages	Regional/Field Presence
Coast Survey	Acquire & maintain baseline data sets	bathy/hydro	x		OPSD	Survey parties
		tides	x			
		currents	x			
		real-time data	x			
		shoreline		x	NGS	
	Integrate data into products	charts	x		private printers	4 regional reps that link customer with program re: needs, changing reqs., etc.; Norfolk and Seattle offices; Hydrographic field parties
		surveys	x		OPSD	
		databases	x			
		tide tables	x			
		current tables	x			
		datums	x			
		boundaries	x			
		survey adjustments	x			
		Coast Pilot	x			
		Notice to Mariners	x			
	Product distribution	product distribution		x	ACC	
		manufacturing		x		
	Tech development		x			
	R&D	reports	x		NGS OPSD	
		tech development	x		OPSD	
	Standards/ Guidelines		x		OPSD	
	Advice/ Consultation	P.O.C. for marine transportation	x		OPSD	
		National & NOAA representation	x			

Product and Service Inventory

Organization	Core Products/Services	Outgrowth Activities, Products, & Services	NOS Function	Formal Linkages	Regional/Field Presence
National Geodetic Survey	Standards/ Guidelines	Geodetic/photo guidelines & standards	x x	state DOI's County surveyors CS	Off-site offices - Seattle/Norfolk
	Data/Information	Geospatial database - Natl. Spatial Ref. System GPS CORS GPS Orbits Photogrammetric database-shoreline Photo library T-sheets Airport obstructing data	x x x x x x	GLERL OPSD CS	
	Advice/ Consultation	Geodetic Advisor Program Provide guidance material & technical advice on geodetic/photo topics	x x	50% by states	NOS advisors - states' link to national standard to the state
	Training/ Education	Training/workshops on geodetic/photo activities	x	surveying & mapping community pays travel expenses	

Product and Service Inventory

Organization	Core Products/Services	Outgrowth Activities, Products, & Services	NOS Function	Formal Linkages	Regional/Field Presence
	Tools/Methods	Evaluation of new surveying/positioning techniques	x	Industry provides equipment/personnel	
		Position navigational aids (FAA)	x		
		GIS	x		
		Remote sensing techniques	x		
		softcopy techniques	x		
		SAR	x		
	Technology Development	Development of new surveying/ position techniques	x	CS GPS industry Communication industry	
National Marine Sanctuaries	"Mechanism"	Places	x	GC	Each sanctuary
		Fishery reserves	x	All NOS entities	
		Regulatory enforcement programs	x		
	Management Plans	DEIS/EIS documents	x		
		Restoration strategies	x		
		MPA mgmt. models	x		
		Conservation plans	x		
		Vessel mgmt. schemes	x		
		WQ protection program	x		
		Mgmt. policy coordination			

Product and Service Inventory

Organization	Core Products/Services	Outgrowth Activities, Products, & Services	NOS Function	Formal Linkages	Regional/Field Presence
	Education/Outreach	Special events	x		
		Archaeology documents	x		
		Public volunteer programs	x		
		Educational materials	x		
		Outreach materials	x		
		Education plans	x		
		Partnerships	x		
		Pier 1 Marine Learning Center	x		
	Tech Assistance	MPA tech assistance	x		
	Research	Applied research programs	x		
		Research plans	x		
	Monitoring/Assessment	Habitat assessments	x		
		Environmental monitoring reports	x		
		Risk/injury assessments	x		
		Damage assessments	x		
National Estuarine Research Reserve System	Funding	Cooperative research grants	x	SRD	partners, field extension units, regional identity
		Graduate research fellowships	x	PCD	
				Grants	
	"Mechanism"	Places	x		
		Integrated state/Fed/mgmt plans	x		
	Facilitation	Estuarine use guidelines	x		
		UNH Coop. Inst.	x		
		Partnerships	x		

Product and Service Inventory

Organization	Core Products/Services	Outgrowth Activities, Products, & Services	NOS Function	Formal Linkages	Regional/Field Presence
CMBAD	Research	Research reports	x		Seattle, Charleston
		Scientific assessment	x		
	Monitoring/ Assessment	Monitoring reports	x		
		Data	x		
		Resource characterization	x		
	Funding	Grants	x	Grants	
	Standards/ Guidelines	Quality assurance	x		
	Advice/ Consultation	Regulatory tech expertise	x		
		Expert assistance	x		
	Tools/Methods	Decision-making technology	x		
		Methods development	x		
DAC	Trusteeship		x	GC, Contracts, NMS, NMFS, Rest. Center, Hazmat	4-NE, SE, SW, NW (St. Ptrsbg, NY, LA, Seattle)
	Advice/ Consultation	Contingency planning	x		
		Regulatory tech expertise	x		
	Monitoring/ Assessment	Models	x		
		Resource characterization	x		
		Scientific assessment	x		
		Socio-economic assessment	x		
	Tools/Methods	Methods development	x		

Product and Service Inventory

Organization	Core Products/Services	Outgrowth Activities, Products, & Services	NOS Function	Formal Linkages	Regional/Field Presence
Hazmat	Trusteeship		x	DAC	Cstal. Resource Coordinators- NY, Phila, Boston, Charleston, Norfolk, Cleveland, Dallas, New Orleans, SF, Anchorage
	Advice/ Consultation	Contingency planning	x		SSC-9
		Regulatory tech. expertise	x		
		Expert assistance	x		
		Preparedness			
		Response			
	Monitoring/ Assessment	Models	x		
		Resource characterization	x		
		Resource protection			

Product and Service Inventory

Organization	Core Products/Services	Outgrowth Activities, Products, & Services	NOS Function	Format Linkages	Regional/Field Presence
	Training/Education	Workshop planning, conferences	x	OCRM, FEMA,	
	Technology Commercialization	Reports Jobs created	x	DOC	
	Conflict Resolution	Self, training	x		
	Data/Information	Data networking Database management	x	NESDIS SEAD	
		Information networking	x		
	Restoration Plans		x	NMFS, ACOE	
	Communications/ Outreach		x		
	Funding	Fellowships, grants	x	SGA, CSO	
OPSD	Data/Information	NWLON (tides & water levels)	x	CS	21 Norfolk 10 Seattle
		National database	x		
		Real-time capital PORTS system	x		
		Meteorological & oceanographic data	x		
	Technical services	Direct support to CS and NGS	x	CS, NGS	
	Technical products	water level, tides, currents information	x	CS	
	Tools/Methods	Datum definition	x	CS	

NOS
Leadership Attributes and Behaviors

Communicator —
Informer & Listener

Enabler

Catalyst

Mediator

Facilitator

Director
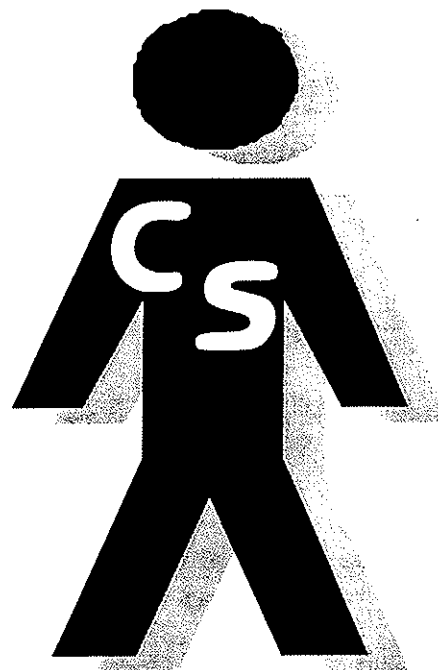
Role Model
Standard Setter

Promotor

Expert

Integrator

Supporter

Implementor

Collaborator

Customer Focused

Consultant/Advisor

C S

Product/Service
Provider

LEADERSHIP ROLE

- Sets Vision/Direction/Tone
    - ~ Inspire others
    - ~ Focus efforts/priorities
    - ~ Mobilize resources
    - ~ Advocate stewardship

- Expert Problem-Solver
    - ~ Anticipate problems
    - ~ Bring all forces together
    - ~ Promote collaboration
    - ~ Get the job done! ... Ensure results

- Is Recognized Technical Expert
    - ~ Set the standard
    - ~ Serve as role model
    - ~ Provide tools, methods, products
    - ~ Stay on cutting edge

- Provides Total System Participation
    - ~ Is customer focused
    - ~ Ensure balance in decision-making
    - ~ Foster collaboration
    - ~ Empower employees

- Communicates and Markets
    - ~ Advocate balanced stewardship
    - ~ Conduct education and outreach
        - Internal
        - External
    - ~ Listen to customers and employees

Option Descriptions

APPENDIX 11

Option Variants	Description	Votes		
		For	Against	No opinion
CS and NGS	Combining CS and NGS into one line office	2	8	0
Integration Unit	Basic concept that an integration unit exists with a very small staff (2) to support the activities	10	0	0
	A staff function (8-10) that plans, coordinates and communicates in support of the integration function	8	2	0
	An actual line office function that would perform integration programs	1	9	0
HAZMAT-CRC	Discussion of the CRC program being more effective elsewhere in the organization	1	9	0
PCD	Leave the evaluation function permanently connected to the coastal and research reserve program	2	8	0
	Leave the evaluation function connected to coastal programs presently with an evolution towards expanding the concept into the integration function to evaluate NOS program effectiveness	7	2	1
	Move the evaluative function to the integration function now to start evaluation concurrently	1	9	0
CSDL	Keep the lab in Coast Survey	7	1	2
	Move the lab to the science office	1	7	2
OPSD	Move to Coast Survey 'now'	2	6	1
	Move to Response 'now'	0	6	3
	Continue to report to AA for 9 months, develop collaborative approach, learn about managing in an integrated way, then assign	5	3	1
	Move into Coast Survey, evaluate in 9 months, and assign then	3	5	1
	Shared ownership through special team	2	4	3

Option Variants	Description	Votes		
		For	Against	No opinion
SEA	Move in total to Technical Services	4	5	1
	Move in total to Management	3	7	0
	Move in total to Science	1	9	0
	Move to an integration office	0	10	0
	Split the office into a number of functions (see report for option details)	10	0	0

2

Science Office Issues

Foundation Points

1. What is the mission of the Science Office?
2. What is the role of coastal stewardship?
3. What is the best way to build the scientific foundation for coastal stewardship with NOS, NOAA and beyond?
4. What is the relevance of the Science Office to the rest of NOS?
5. How do basic and applied research apply to the Science Office role?
6. What is the difference between program science and strategic science?

Customer Focus

7. Who are the Science Office's primary customers - internal and external?
8. What will the "path" to the clients be? Will it be in line with those avenues we are designing for the new NOS?

"Operationalizing" Science In NOS

9. How will the Science Office relate its work to existing NOS programs?
10. Will the Science Office agenda be "driven" by the NOS planning and corporate decision-making proposed system? What is the actual agenda?
11. How will project priorities and funding decisions be made? Are resources going to be applied?
12. What is your delivery system and with whom will you work to delivery products and services?
13. How will the Science Office play a proactive assessment role in science useful to the rest of NOS?
14. What will be the evaluation and feedback mechanisms for peer review?

General

15. Will the philosophy for operating as an NOS organization developed by the Integration Team be applied to the Science Office?

16. How will you address the lack of receptivity of most of NOS to the new Science Office presence?

OPSD OPTION #1

The rationale for including the Oceanographic Products and Services Division (OPSD) with Hazmat and the Damage Assessment Center to form a new organization focused on prevention, preparedness, response, and restoration is described in the 'Observation, Response and Assessment charter. The Coast Survey charter argues for an alternative, to house OPSD in Coast Survey. During the Integration Team discussions, a third alternative emerged: to use OPSD as an integration 'test bed' for an interim period or about a year, then reassess where in NOS the organization most logically fits. This summary briefly sets out the rationale for this third alternative.

The Observation, Response, and Assessment charter identified OPSD and its Physical Oceanographic Real Time System (PORTS) as key to integrating NOS navigation and coastal management missions and a vital element of the agency's regional efforts on the west coast.

    -- A 'prevention, preparedness, response, and restoration' mission would require an ORA organization to relate directly to all of NOS' constituents and to bridge the traditionally segregated coastal protection and navigation services programs as a part of its daily operations. OPSD's PORTS provides an example for how the new organization would reach to NOS maritime commerce and coastal stewardship missions.

    -- Developed primarily for navigation purposes, PORTS is only now beginning to realize its full potential to support a wide range of other applications, such as oil spill response, circulation modeling, sediment transport, fisheries habitat, and the other areas that comprise the agency's coastal stewardship mission. As a key component of NOS' regional projects on the west coast, PORTS has emerged as a tangible locus for bringing together NOS clients, promoting internal linkages, cross-NOAA collaboration, and interagency cooperation.

    -- A traditional view of PORTS is that it allows vessel operators to manage ship transits through a waterway. The reality realized through the San Francisco Bay Project is that: vessel transits using PORTS impact dredging plans and port development; PORTS is valuable for oil spill response; and the system should be developed to serve a range of needs for information about the ocean and estuarine environment. In short, PORTS applications for oil spill response and other coastal stewardship needs are as significant as they are for navigation services.

Central to the ORA mission was a regional effort to engage NOS and NOAA clients through cross cutting projects that integrate support for safe and efficient maritime commerce and sound coastal management. In the course of Integration Team discussions, the group adopted these two operational approaches as core to a new NOS. The group also agreed that NOS resources resident in one office should be available across the agency in a systematic, negotiated, rational way. Individual offices or programs would not 'own' these resources; instead they would be treated as assets for NOS as a whole. Hydrography, for example, would continue to be collected primarily for charting purposes, but would be readily available under re-arranged conditions, to other NOS programs. Other such resources (or 'production inputs') include shoreline and other photogrammetric products, water levels, and PORTS.

When the Integration Team adopted these three tenets and proposed the other cultural, organizational, and structural changes, it became possible to envision regional projects that incorporated PORTS as a bridging technology between NOS coastal management and maritime commerce responsibilities without a requirement that OPSD and the PORTS program be housed with Hazmat and the Damage Assessment Center as proposed in the ORA charter.

Nevertheless, members of the Team recognized that its recommendations would be implemented in the future; until such time as the regional cross cuts and the cultural and operational changes were made, it would not be possible to determine where OPSD best fit. Accordingly, the group considered a proposal for OPSD to continue to report to the Assistant Administrator for the next year. In the meantime, PORTS would be used as a 'test-bed' for integration concepts, to develop its applications beyond maritime commerce fully, and to demonstrate how a subunit of the operations committee might operate. At the end of the one year period, a new assessment of where OPSD should be housed would be conducted in the context of new changes in culture and organization.

This alternative allows PORTS to continue to develop oil spill response and coastal management applications, to gain experience with sharing resources, capabilities, and expertise across NOS, and to anchor regional projects without precluding organizational options. It provides expanded opportunities to develop constituent support for PORTS and to ensure PORTS supports a broader, but targeted user community of NOS clients. Finally, it offers a needed test case for NOS integration and cross cutting activities at little risk to on-going programs.

OPSD OPTION #2

Moving the Ocean Products and Services Division into the Office of Coast Survey

These organizations operate in a similar manner to produce 2 halves of one product suite for the same principal customer. Their merger puts like activities together in order to capitalize on synergies, to better integrate the product suite and to provide a single voice to customers and other federal waterways management agencies. The growth path of these organizations and their product suites is through tighter integration towards a single, real-time navigation information service not through continuing separately which has resulted in flawed service, disorganized representation and the withering of OPSD.

To elaborate, the product suite of these organizations are critically interrelated. For example, OPSD provides tide control support for hydrographic surveys and shoreline mapping, and tide correctors for acquired data. They provide tide boxes, tide tables, and current tables for OCS' nautical charts and Coast Pilots. Likewise, OCS provides a distribution means for OPSD data through the charts, performs circulatory surveys for OPSD currents tables, installs and provides data from secondary tide stations and completes the shoreline definition. The organizations perform joint or joint-use research and development. OCS markets OPSD products and represents their products to sales agents and at trade shows. OCS regional representatives also represent OPSD programs and perform field work for OPSD.

Further, the principal customer for both OCS and OPSD is marine navigation -- especially the commercial shipping industry which has been highly supportive of NOS navigation programs. OCS and OPSD together provide the suite of navigation publications required by federal regulation aboard commercial ships. Most OPSD programs, including PORTS and CORMS, are publicly justified on the basis of this constituency. This customer base should not receive fragmented service and have multiple points-of-contact as is presently occurring. Additionally, OCS is the principal NOS representative in the federal waterways management community and needs to be able to speak for both organizations..

Finally, the basic operation of the organizations is highly similar. The principal mission of both is to provide baseline data for use of a wide range of customers. Both operate largely in a production mode and have similar operational, administrative and financial requirements. Their daily problems, staffing characteristics, customer service needs and product delivery are much alike. The business community has long recognized that consolidating organizations with highly similar operations results in efficiencies and is standard business practice. That lesson applies in government too.

Separate operation of these programs has been tested for 15 years. The result is a weakened OPSD which is only marginally meeting many needs and who's survival is threatened. Only OCS recognition of the program's criticality to navigation and OCS' contribution of $1M in FY97 (plus $732K for PORTS) avoided a 20% reduction-in-force which would have mortally wounded the program. The concept of reintegrating OCS and OPSD has also been considered and endorsed by NOS, NOAA, Commerce, OMB and Congress via the recently approved reorganization package.

A reintegration of these programs presents the strongest positioning for growth. Both organizations are deeply committed to providing real-time navigation information, especially for commercial shipping. The necessary technical, policy and financial integration can be achieved most effectively by program integration. Also, a single programmatic face will be necessary to

bring together the political coalition of users whom this service would benefit.

Allowing the OPSD to stand alone in its weakened condition will continue to leave it at risk and will serve the customers less well than by integrating it with OCS. Merging it with any other part of NOS would be allying it with a marginal user of a portion of its products. Concerns that OPSD data would not be available for other uses if it were merged with OCS is unsubstantiated speculation.

SANCTUARIES OPTION

Add the National Marine Sanctuary Program as a stand alone NOS Line Office.

Basis for Recommendation:
The recommendation is not based on what we can not do as part of the Management Line Office or that there aren't important programmatic linkages with other coastal management programs, but rather this proposal is about elevation of a program that has the potential to play a crucial role in positioning NOS in its coastal stewardship leadership role. For example, the Sanctuaries are specific places where NOS can apply its coastal stewardship objectives to solve large-scale marine management problems (balancing marine resource protection with economic activities).

Meeting expectations of Congress and constituents. The Potter Report recommended that "the Sanctuaries Program should be elevated within NOAA...". This is an opportunity for NOS to make a statement to the external community that it commits to a stronger and higher level of coastal stewardship.

NOS Line Office structure was determined by function (products and/or services). While the argument was made that the Sanctuary's primary function is management of discrete designated areas, and should therefore continue to reside in the Management Line Office; another argument can be made for the unique NOS "ownership" function of the Sanctuary program. With the "ownership" function, come specific responsibilities and needs that do not exist with NOS's role in Coastal Zone Management or the National Estuarine Research Reserve Program. These additional "ownership" responsibilities include such activities as permitting/enforcement, restoration activities from damages, or cultural resources conservation. As a stand alone line office, the Sanctuary Program would have a higher profile in NOS policy and decision-making. In some ways NOS could look at the Sanctuary Program as it's "real estate" function.

The Sanctuary Program is the only federal marine protected area program. No other federal agency maintains "ownership" of specially designated coastal ocean areas like NOS. NOS is not merely a landlord for special areas, but is the property owner. As such, NOS maintains unique capabilities to manage with creative and effective approaches. For example, where resources are at risk, NOS has direct authority and the capacity to utilize responses such as zoning as a means of managing conflicts. As a stand-alone line office, the Sanctuary Program would be better positioned to aggressively respond to the growing national and global interest in marine protected area management, as well as the recommendations of the recently released report on Marine Area Governance (NRC/Marine Board report, 7/97).

Cost/benefit. A relatively small investment of resources (the Sanctuary budget) is producing enormous returns in the form of model resource protection systems (models of Coastal Stewardship). In addition, the Sanctuary Program is one of the few NOAA programs positioned for growth, substantial constituent support, and high visibility over the next few years. As a stand alone line office, the Sanctuary Program would be better able to directly contribute to NOS's visibility and growth.

APPENDIX 15

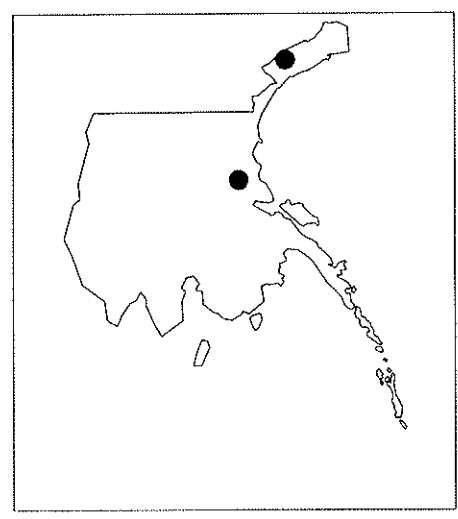## REGIONAL PRESENCE MAP - REGIONAL FUTURE OPTION
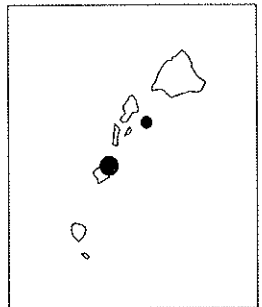
National Ocean Service (NOS)
Field / Regional Activities

NOS Offices
● NOS Employees (no office)
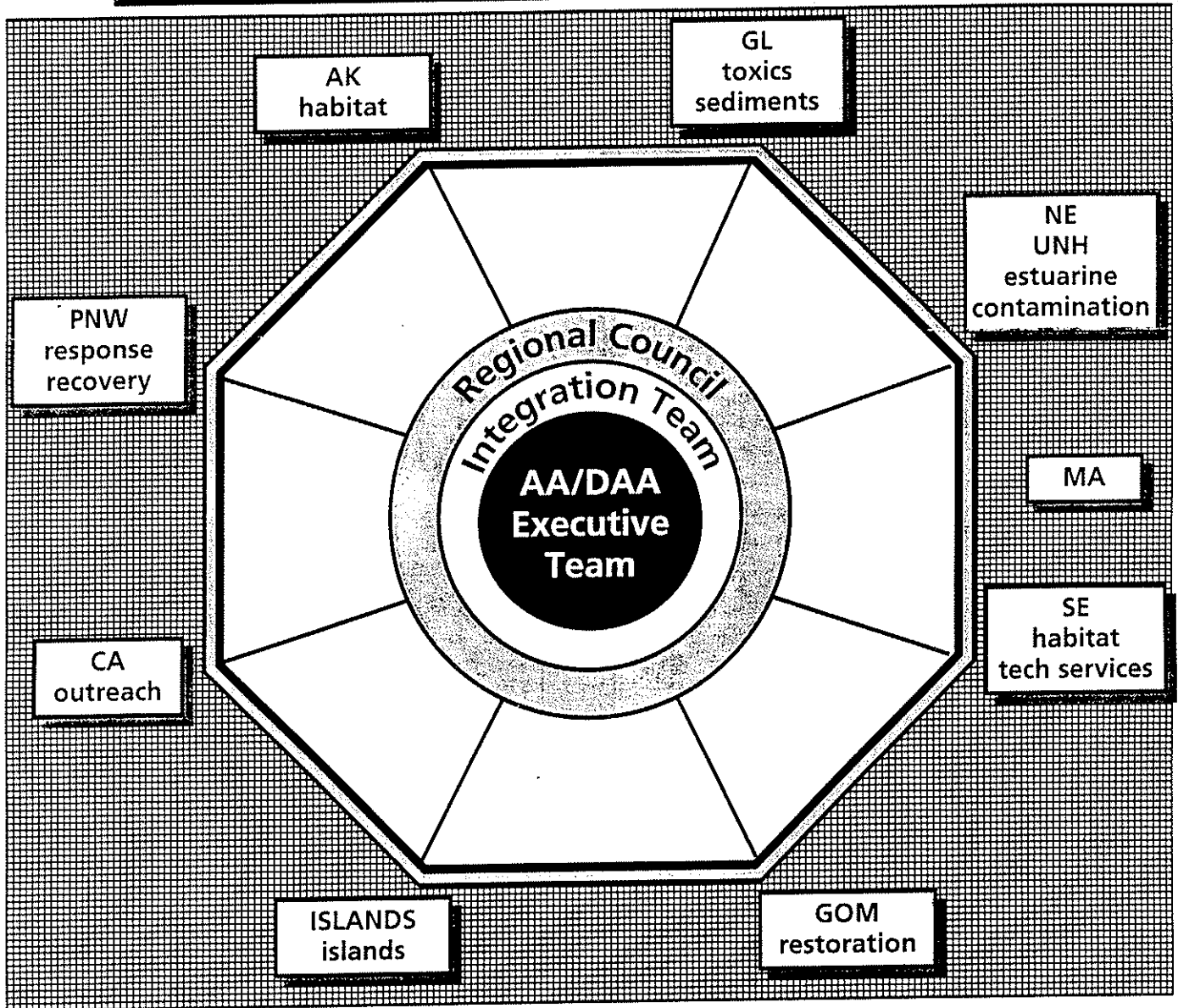● State/Program Reps (non-NOS employees)
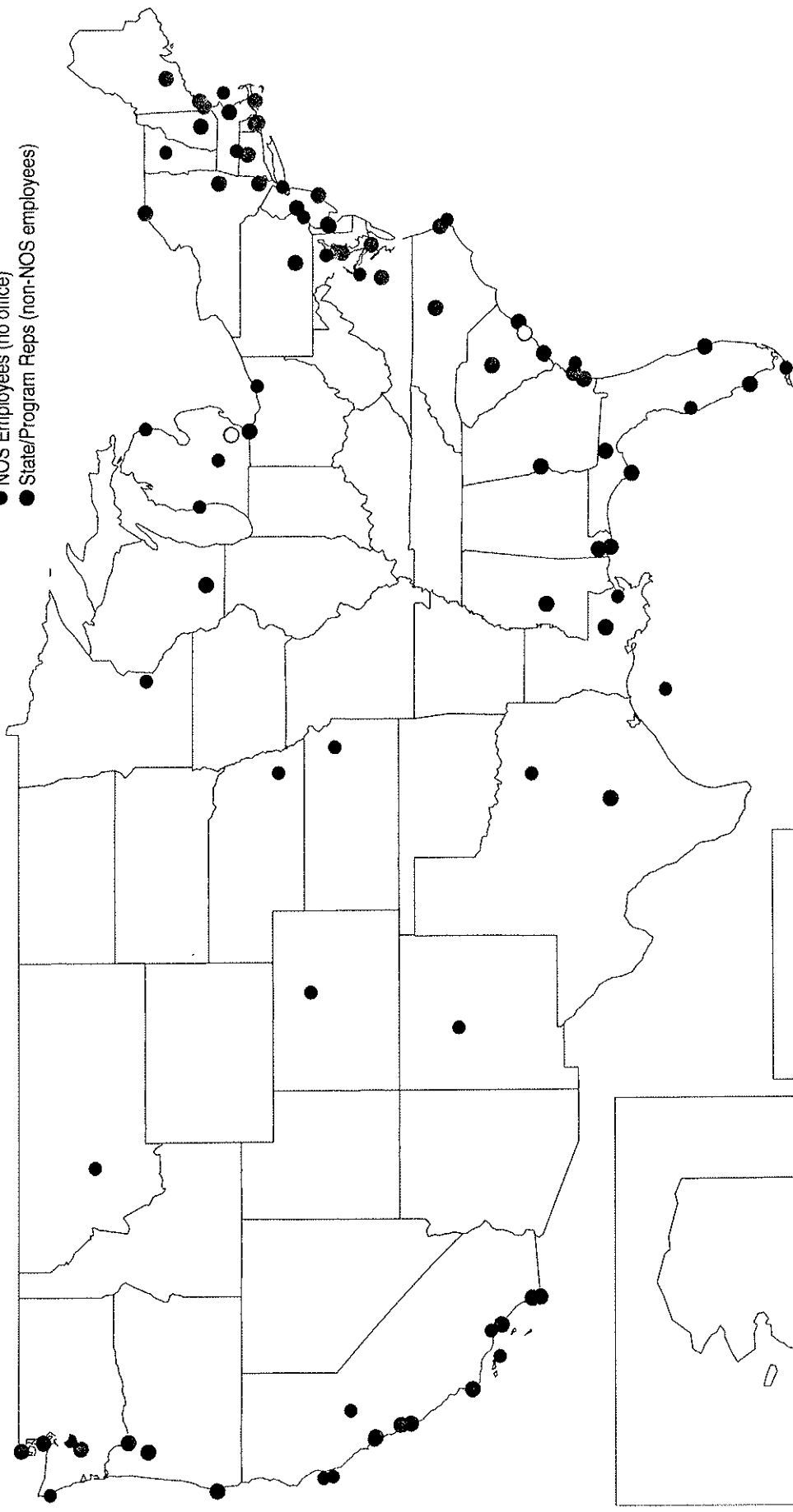
Territories

● St. Croix, USVI
Puerto Rico
Pago Pago, Am. Samoa
Agana, Guam

● American Samoa

National Integration Planning and Evaluation Regional Distributed with Focus

AK
habitat

GL
toxics
sediments

NE
UNH
estuarine
contamination

PNW
response
recovery

Regional Council
Integration Team

**AA/DAA
Executive
Team**

MA

CA
outreach

SE
habitat
tech services

ISLANDS
islands

GOM
restoration

THEME TEAMS — Protection, Management, Maritime, Sustainable Communities

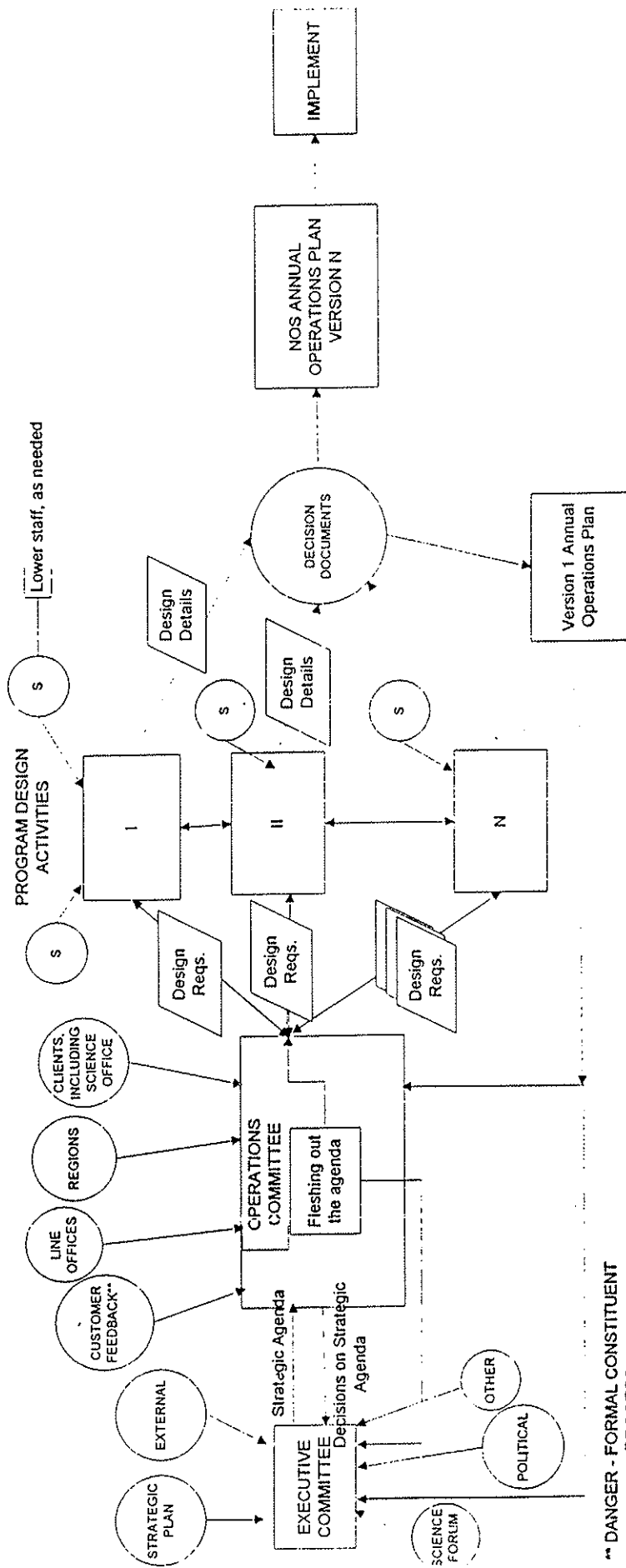PROCESS TEAMS — APE, Science, Recovery/Response, Tech Services

OPERATING TEAM — DAA (chair) + IT + RC: APE + Resource Allocations

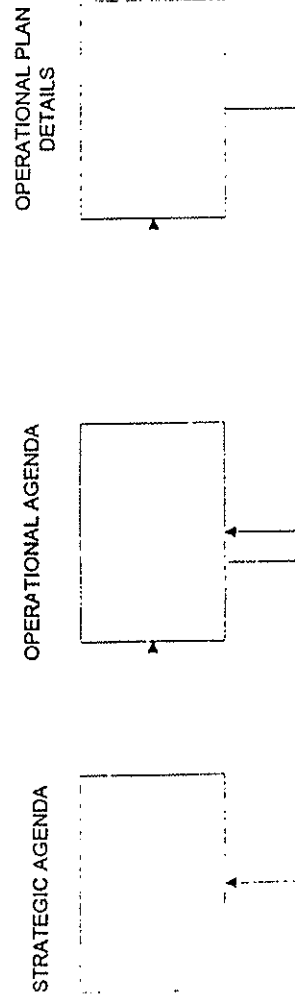INTEGRATION TEAM — Drawn from NOS LOs (SC, NGS, RZ, CPD, SRD, CSC, SCI)

REGIONAL COUNCIL — Drawn from Hubs

HUBS — Communicate, coordinate, host

Customers

APPENDIX 16

IMPLEMENT

NOS ANNUAL
OPERATIONS PLAN
VERSION N

DECISION
DOCUMENTS

Version 1 Annual
Operations Plan

Lower staff, as needed

Design
Details

Design
Details

PROGRAM DESIGN
ACTIVITIES

S

S

S

S

I

II

N

Design
Reqs.

Design
Reqs.

Design
Reqs.

CLIENTS,
INCLUDING
SCIENCE
OFFICE

REGIONS

LINE
OFFICES

CUSTOMER
FEEDBACK"

OPERATIONS
COMMITTEE

Fleshing out
the agenda

Strategic Agenda

EXTERNAL

Decisions on Strategic
Agenda

OTHER

POLITICAL

EXECUTIVE
COMMITTEE

STRATEGIC
PLAN

SCIENCE
FORUM

" DANGER - FORMAL CONSTITUENT
PROCESS

OPERATIONAL PLAN
DETAILS

OPERATIONAL AGENDA

STRATEGIC AGENDA

FLOW CHART FOR NOS DECISION-MAKING
DRAFT, 8/27/97

Decision Making System Effectiveness Criteria

Operations Committee Desirable Features

- The "right" membership. *
- Corporate view with ability to cross functional lines; balanced regional concerns with national agenda.
- Personal accountability for results and performance.
- Clear flow of process, data from all levels, customer input, evaluation, feedback, schedule integrity.
- Infrastructure support:
    - ~ Administrative Support
    - ~ Process support - "team tools" for integration and collaboration.
    - ~ Articles of incorporation (Bi-laws)
    - ~ Line office support of tasks for decision making.
- Forum for dealing with corporate issues, best practices and peer support.

* Desirable Member Attributes
    - Effective team player - strong interpersonal and collaborative skills - respectful, listens.
    - Corporate focus - NOS vision, strategic approach, cross-NOS knowledge/competency.
    - Respected by others - honest, trustworthy, has integrity, poised and confident, able to say "no".
    - Results oriented - meaningful contribution.

NOS Issues - Categorized

1. **Business Practices**
   a. Planning
   1. Coastal stewardship definition and its implications for the economic side ... <u>BALANCE</u> – where in the mix of our programs will we address the economic prosperity – cultured change issue.
   2. Line item current budget allocations and how the Resource should be applied ... what we have Done ... what we should do with it? - Coastal stewardship.

   B. Resource Management
   1. How stewardship translates to delivery of our products/ services – decisions about use of resources.
   2. <u>When</u> we accept a request has evolved into "standard" service. Need mechanism to bring new source on – proactive (managers need a way to "rack up" and justify future resources and new <u>service</u>/product line).
   3. "New business" forum corporately and implications for resource allocation.

   C. Contracting
   1. Reimbursables as a constraint.

   D. Customer Service
   1. Internal customer service mechanisms – requirements, satisfaction – future needs, potential opportunities if ...
   2. PORTS – placement in NOS – best positioning vis a vis NOS product/service line.
   3. Who are our clients and how we fulfill our stewardship mission? Use of charting/mapping capabilities not utilized for <u>all</u> involved in the system – <u>Philosophical</u> and organizational issues (Public resources, use of public data for other public functions)

   E. Information Management
   1. All doing web pages – appropriateness?

   F. Measures (Perf.) Results
   1. Measures of effectiveness for sanctuaries ... and for the rest of us. Sanctuaries has geographic specific nuances.

G. **Administrative Support**
   1. Efficiency and expertise of <u>contracting</u> and how we do it - <u>internal service</u>.
   2. Look at JIT data/printing done at CS.

H. **Program Management**
   1. Should we structure "ad hoc" help/advise as a dedicated NOS (program specific) business approach or leave it ad hoc – resource utilization.
   2. Integration mechanisms example: PAC, partnership programs.
   3. GiS model for cross-program synergy.
   4. Nationwide monitoring needs an integrated approach.
   5. Management Program – uncoordinated, competition, duplication:
      ~ OCRM
      ~ SEA
      ~ CSC
      ~ DAC
   6. Problem/issue driver may be program integrator (e.g., oil spill, traffic, uncoordinated.
   7. What <u>is</u> coastal stewardship leadership? What is the <u>band</u> within which we philosophically operate ± <u>influence</u>
   8. Internally – we <u>do not</u> know what <u>all</u> we are doing – we are tripping on each other – not aware of coordinated efforts – <u>NOAA Single Voice!</u>
   9. How do we determine who has the lead – expertise, delivery, Complementary, etc.

2. **Coastal Stewardship Roles**
   1. Changing <u>Federal</u> role in stewardship … <u>How</u> NOS <u>affects</u> change in behavior on behalf of the coastal environment.
   2. "NAIL DOWN" the philosophy of transfer versus resident expertise and "doer" mode.
   3. How to work with the private sectors; do versus hand off? Implications for our contracts management approach, aging workforce, training.
   4. Coastal mapping – is it part of the core for coastal leadership?
   5. Look at business relationship – create solution to need (Philadelphia).
   6. Role of each of us in our priority/thinking.

3. **Regional Presence**
   1. Use of regionalized concept for NOS framework – need for "Sate" specific nuances.
   2. Look at all field/regional services that operate separately and how to network them more effectively.
   3. Regional administrative support – variable and key dependency.

4. **Data Issues**
   1. Historical data and access, transformation (processing) across product lines. Identify customers – new/potential.
   2. Regional sensing.
   3. GIS.
   4. Data – The NOS database – distributed database philosophy and how it should work.
   5. NOS site license for data.
   6. Digital shoreline – uses – having it, resource.
   7. Digital bathymetry, shallow water bathymetry.

5. **Culture/People**
   1. <u>Investment</u> – training, developing, retaining our troops.
   2. Training and <u>design capability</u>/expertise for all programs to access.
   3. Cultural shift for measures and implications especially for SRD folks.
   4. "Higher calling" attitude in our culture and the conflict when we <u>overlay</u> business principles. We are trying to create a <u>third</u> culture.
   5. Energy response in the coastal zone (tap into/broadening of Hazmat culture).
   6. Line item current budget allocations and how the resource should be applied... what we have done ... what we should do with it? Coastal stewardship.
   7. Maintaining entrepreneurial spirit (e.g., CSC) and have a clear coastal stewardship agenda.
   8. Internal NOS – n some cases does not encourage cooperation. <u>Disincentive</u>.
   9. NOS Training capability.
   10. NOS "protocol" on customer contact – ownership, one voice.

6. **Technology Transfer and Training**
   1. Technology transfer is truly what a lot of our training is changing/evolving Federal role.
   2. Criteria for training and/or whether it is our job or there is a hand-off.
   3. How to develop a technology but be transferable (approach) across NOS? How to bring customer into the R&D?
   4. Technical Assistance – putting learnings together and disseminating.

7. **Philosophical Issues**
   1. Who are our clients and how we fulfill our stewardship mission? Use of charting/mapping capabilities not utilized for all involved in the system – Philosophical and organizational issues (public resources use of public data for other public function).
   2. Fundamentals = making choices or trying to please/serve everyone and not very effective.
   3. Given trustee responsibility, why weren't sites (SRD) given high priority in the agency? Goes both directions, should look inside before going outside?
   4. How do we optimize the NERRS framework on behalf of the stewardship mission? Look at education mode/methodology.
   5. How we do coastal management – different philosophy/approach – confusing to outside (SEA, CPD).
   6. Customer service contract/contact approach, philosophy and practice.

8. **Products/Services**
   1. Building of CS success but expanding the application and use of CS products/services.
   2. What in each sanctuary production line would be of value to us corporately.

9. **External Relationships**
   1. SRD relationship with NMFS – variable, site specific – broader issue for all of NOS.
   2. Legal issues and NOS agreements with partners, customers – external experiences of GS. (DAC) Threat of legal action impedes partnerships or potential for partnerships. NOS historically has allowed GC to be heavily "playing".
   3. Internal NOS, external NOS/NOAA play off the NOS operating units against each other.