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Description of document: Two Bureau of Safety and Environmental Enforcement (BSEE) PowerPoint presentations: BSEE Strategic Organizational Assessment - Briefing for Assistant Secretary - Land and Minerals Management, 2017 and Offsite Brief #2: BSEE Gap Analysis, (undated)

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United States Department of the Interior
BUREAU OF SAFETY AND ENVIRONMENTAL ENFORCEMENT
WASHINGTON, DC 20240-0001

In Reply Refer To:
Mail Stop VAE-BSEE FOIA

April 4, 2017

Sent via Electronic Mail

The Bureau of Safety and Environmental Enforcement (BSEE) FOIA office received your Freedom of Information Act (FOIA) request, dated March 19, 2017 and assigned it control number **BSEE-2017-00110**. Your request seeks “A copy of each PowerPoint presentation provided by the National Academy of Public Administration in connection with its Organization Assessment Contract to the Bureau of Safety and Environmental Enforcement.” Please cite this number in any future communications with our office regarding your request.

We are writing today to respond to your request on behalf of the BSEE. We have enclosed two documents consisting of 24 pages, which are being released to you in their entirety.

Conclusion

For your information, Congress excluded three discrete categories of law enforcement and national security records from the requirements of FOIA. *See* [5 U.S.C. 552\(c\)](#). This response is limited to those records that are subject to the requirements of FOIA. This is a standard notification that is given to all our requesters and should not be taken as an indication that excluded records do, or do not, exist.

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Please note that using OGIS services does not affect the timing of filing an appeal with the Department's FOIA & Privacy Act Appeals Officer.

Because your entitlements as an "other-use requester" (See 43 C.F.R. § 2.39) were sufficient to cover all applicable FOIA charges, there is no billable fee for the processing of this request. This completes our response to your request.

If you have any questions concerning your request, please contact me at BSEEOFIA@bsee.gov.

Sincerely,

/s/ Dorothy Tinker

Dorothy Tinker

Government Information Specialist (FOIA)

BSEE FOIA Office

Electronic Enclosure:

As stated

Bureau of Safety and Environmental Enforcement

Strategic Organizational Assessment

**Briefing for Assistant Secretary – Land and Minerals
Management**

February 21, 2017



Contents

- **About the National Academy of Public Administration**
- **Project Scope, Methodology, and Approach**
- **Findings**
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About the Academy - Independence and Expertise

The Academy's unique mix of independence and expertise has made it a trusted advisor to Congress and federal agencies.

- **Independence**

Chartered in 1984, the Academy is a non-profit organization chartered by Congress to provide objective, non-partisan expert advice on public management issues.

- **Unparalleled access to leaders and experts**

The Academy's over 800 Fellows include individuals with distinguished careers at all levels of government, in the private and non-profit sectors, and in academia. Many Fellows have both expert knowledge of, and hands-on experience in applying, management best practices and organizational change management strategies.

About the Academy - A Strong Track Record

We have developed a strong track record with virtually every federal department and some state/local governments:

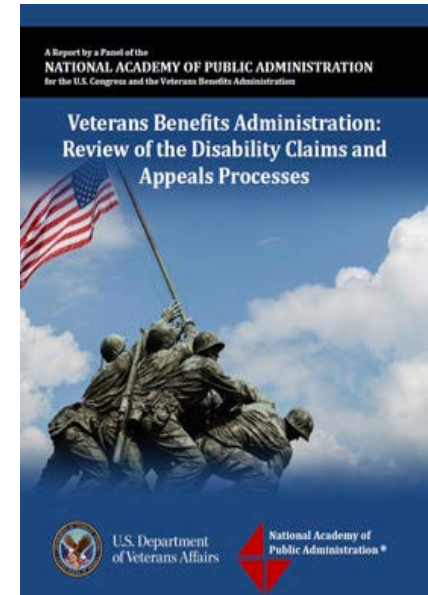
*Organizational assessments and strategy development
Implementation support
Strategic plans and performance measures
Stakeholder outreach and collaboration services*



*United States Secret Service:
Review of Organizational Change Efforts*



*AGRICULTURAL RESEARCH SERVICE:
REVIEW OF ADMINISTRATIVE AND FINANCIAL
MANAGEMENT SERVICES*



The BSEE Strategic Organizational Assessment

- BSEE contract with the National Academy of Public Administration (the Academy) to conduct an organizational assessment of its organization, strategic direction, policy and process, infrastructure, systems and technology in order to evaluate:
 - BSEE's efforts to “stand up” the bureau;
 - How well BSEE is progressing in institutionalizing the systems, policies and processes that have been put in place since establishment in October 2011;
 - What is needed to ensure BSEE is a functioning and sustainable organization; and
 - Where areas of critical need remain to be addressed.

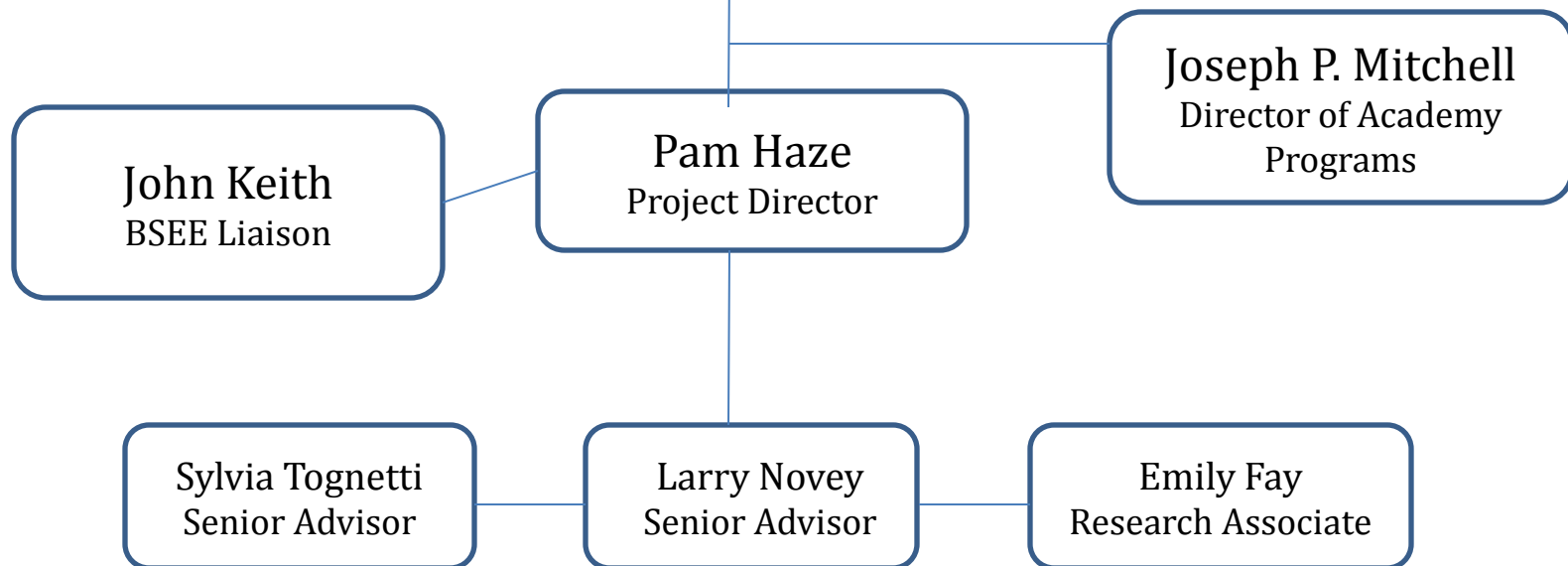
Timeline for the Project

Activities/Deliverables*	Timeframe
Project Kickoff Meeting	<i>August 23, 2016</i>
Presentation of Assessment Approach	<i>September 13, 2016</i>
Initial Assessment Findings and Presentation	<i>October 21, 2016</i>
Gap Analysis Draft Roadmap and Presentation	<i>November 14, 2016</i>
Gap Analysis Roadmap and Context and Report	<i>December 20, 2016</i>
Draft Report Briefing	<i>January 23, 2017</i>
Full Detailed Report of Findings, Recommendations and Roadmap Implementation Plan	<i>No Later Than March 15, 2017</i>

BSEE Expert Advisory Group and Project Team

Expert Advisory Group

Dan Blair, Former NAPA President and CEO
Dr. Barry Rabe, University of Michigan



Scope of the Project

- The Academy study team assessed BSEE's organization, processes, people, technology, and culture.
- The findings and recommendations are based on:
 - Evaluation of the original documentation provided by BSEE and extensive additional documentation.
 - Reviews of GAO, OIG, Presidential Commission, and other audits, reviews, and analyses of DOI's OCS program before and after the Deepwater Horizon incident.
 - Consideration of best practices and other relevant case studies and examples.
 - Interviews of 40 BSEE headquarters and regional officials and employees and stakeholders, e.g. GAO and OIG.
 - Ongoing dialogue with the bureau in order to gather further data and context, evaluate possible causal factors, and test hypotheses.

Findings

- BSEE's creation strengthened DOI's OCS management.
- For the first time since OCS development was authorized in 1953 there is a program dedicated to ensure industry compliance with federal requirements for worker safety, environmental protection, and conservation of resources.
- BSEE has:
 - Stood-up a new federal entity
 - Strengthened inspection and permitting
 - Enhanced relationships with other federal entities – e.g. USCG
 - Modernized and addressed gaps in regulations and policy
 - Established partnerships with academia, standards setting entities (API), and industry to promote technical competencies and stay current with industry innovation

Findings - Operational Excellence

- BOEM and BSEE balance interdependent roles and closely coordinate
- BSEE:
 - Is responsive to GAO and OIG reviews and operates under high levels of scrutiny
 - Applied more flexible, performance-based regulatory concepts
 - Implemented organizational risk management and piloting risk-based inspection
 - Launched a data stewardship initiative for accurate, consistent, and transparent data
 - Deployed IT systems to facilitate BOEM, BSEE, and industry access
 - Exercises an expanded role in decommissioning

Findings - Organizational Excellence

- A second Strategic Plan (2016-2019) guides multi-year initiatives and with regular reviews
- The Foresight Initiative anticipates future changes and challenges
- The Human Capital Strategic Plan guides human capital management
 - BSEE nearly attained hiring goals
 - BSEE secured competitive salary rates
 - BSEE created new and expanded training – for leadership, technical competencies and investigatory process and procedures
- BSEE is completing an inventory of guidance, updating, and automating access for internal use and for industry
- BSEE completed a realignment for improved clarity and consistency in roles and to advance safety investigations and enforcement

Recommendations – High Priority and High Impact

Require Involvement and Support from DOI and Others

- BSEE should continue to operate as a separate entity
- AS-LMM should lead regular, institutionalized reviews of BOEM and BSEE
 - To facilitate high levels of collaboration and stability for industry
- DOI and others should be aware/act on decommissioning program policy issues related to risks associated with potential bankruptcies
 - BSSE's mandate to enforce removal of structures
 - Unfunded liabilities
- Action needed to resolve budgetary challenges due to declining revenue collections and limitations on inspection fees

Recommendations – High Priority and High Impact

Require a Significant Level of Effort

- Transfer renewable energy compliance and enforcement responsibilities from BOEM to BSEE
- Improve alignment of people and processes with national program manager model
- Complete an environmental compliance program design and implement
- Implement a change management strategy - *links to national program management model recommendation*

Recommendations – High Priority and High Impact

Require a Moderate Amount of Effort

- Revise or supplement BOEM-BSEE environmental compliance operating agreements and procedures
- Conduct targeted succession planning
- Budget for renewable and decommissioning programs
- Complete inventory and updating of bureau guidance
- Leverage data stewardship with knowledge management
 - Strategy, pilot, and communities of practice
- Continue Foresight Initiative

Recommendations – Medium Priority and Impact

Require a Low to Moderate Amount of Effort

- Improve utilization of the Engineering Technology Assessment Center
- Reactivate the strategic planning working group
- Conduct multi-year planning
- Expand understanding and support for enterprise risk management
 - Pilots and communities of practice
- Increase integration of training programs

Report and Next Steps

- Next Steps
 - Complete draft report
 - Review by BSEE for edits and corrections
 - Finalize report
 - Issuance by the Academy
 - Posting on web site
- Discuss
 - Timeframe and details of release
 - Additional briefings

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BSEE ORGANIZATIONAL ASSESSMENT ROADMAP

Number	Recommendation	Priority	Impact on Mission	Level of Effort	Timeframe
Mission for Safety, Environmental Protection, and Conservation					
3.1	Maintain an un-conflicted mission - BSEE remains a separate bureau	Very High	High	Low	One-time Determination
3.2	Complete the inventory and updating of bureau guidance	High	High	Medium	Long-term process that needs finite timeframes
3.3	Support for the environmental compliance mission - revise or supplement MOA and SOPs that BOEM and BSEE operate under	High	High	Medium	Short-term action that should be revisited periodically
3.4	Transfer renewable energy compliance and enforcement responsibilities	High	High	High	One-time process with long-term requirements to establish the program
3.5	Maintain alignment with BOEM - institute regular reviews with AS-LMM	High	High	Medium	Quarterly event with preparation and follow-up needed
3.6	Elevate decommissioning policy issues to DOI and others	Very High	High	Medium	Long-term process to inform and determine policy positions and actions needed
Strategic Alignment of the Organization					
4.1	Improve alignment with the national program management model	High	High	Medium	Long-term process including bureau-level coordination and actions tailored to each program
4.2	Complete an Environmental Compliance Program design	Very High	High	High	Short-term process to design and long-term to implement
4.3	Improve utilization of the Engineering Technology Assessment Center	Medium	Medium	Low	Short-term process to develop governance and long-term maintenance
4.4	Leverage data stewardship with knowledge management	High	High	Medium	Localized short-term process to establish communities of practice and pilot with long-term requirements to implement more broadly
Operational and Organizational Excellence					
5.1	Reactivate the Strategic Planning Workgroup	Medium	Medium	Low	Low level of effort to maintain an active workgroup
5.2	Continue the Foresight Initiative	High	High	Medium	Ongoing function
5.3	Conduct multi-year planning	Medium	Medium	Medium	Initial effort to establish centralized process with long-term maintenance
5.4	Expand understanding and use of enterprise risk management	Medium	High	Medium	Ongoing effort to inform, educate, and adapt to broaden use
Overcoming Human Resource Challenges					
6.1	Conduct targeted succession planning	High	High	Medium	Short-term process to create pool of qualified employees
6.2	Increase integration of training programs	Medium	Medium	Medium	Initial effort to identify actions and broaden governance with ongoing maintenance
Adequate Resources for Safety, Environmental Protection, and Conservation					
7.1	Increase fees and offsetting collections	High	High	High	High level of effort to identify revenue options and inform and educate DOI, OMB and Congress
7.2	Budget for renewable energy compliance and enforcement	High	High	Low	As part of ongoing budget process
7.3	Budget for decommissioning	High	High	Low	As part of ongoing budget process
Facilitating Organizational and Cultural Change					
8.1	Implement a change management strategy	High	High	High	Initial effort to develop and implement strategy high with ongoing support

APPENDIX A: BSEE ORGANIZATIONAL ASSESSMENT ROADMAP

Gaps	Strategies and Actions	Timing	Type/Level of Effort	Description
Organizational Maturity				
	Seek support from incoming leadership for BSEE continuity	At beginning of new Administration	Moderate effort for short duration	Propose new Administration announce support for continuity of BSEE as independent bureau
	Establish, fill or request additional executive slots to support National Program Manager Model and Succession	At beginning of new Administration	Moderate effort for short duration	Seek approval to fill additional SES slots for NPMM implementation and balance in the organization and to support succession and knowledge transfer
	Merge training programs, now in 3 separate offices, instituting shared governance	Begin 3rd quarter of 2017	One Time Change/Significant Level of Effort to plan and prepare	Develop plans, prepare for merger and secure approval during FY 2017 and 2018. Implement Oct. 1, 2018 (FY 2019)
	Staff Integrity and Professional Responsibility Advisor, communicate role as ombudsman	As soon as practicable	Moderate effort for short duration	Add staff capacity and designate as bureau ombudsman, to advise and council employees
Full implementation of National Program Manager Model				
	Complete implementation guidance for NPM Model, defining roles, responsibilities, protocols and performance expectations, highlighting examples of success already achieved in selected programs	Already underway	Level of Effort varies by program	The realignment was completed in FY 2015 - recommend additional implementation in some areas. Build on success in SIID and data stewardship
	Define functions and roles for Environmental Compliance Program, consistent with NPM model, communicate the rationale, and complete staffing decisions (program review)	Continue efforts underway	Intensive effort done in conjunction with establishing National Program Manager Model for EC	National Program Manager-led effort to map out processes and protocols for policy development and input, governance structures (teams) and processes, decision-making, communication, collaboration and consultation, and reporting. Use the effort to develop common HQ and regional views as to roles and responsibilities for BSEE.
	Establish Safety Enforcement National Program Manager Model	Continue efforts underway	Intensive effort	National Program Manager-led effort to map out processes and protocols for policy development and input, decision-making, communication, collaboration and consultation, and reporting
BOEM/BSEE Alignment and Coordination				
	Institutionalize regular review/calibration with BOEM and Assistant Secretary for Land and Minerals Management* to ensure alignment and high levels of coordination	As soon as practicable	Establishing the schedule and process is a one-time effort/Ongoing support should be a moderate level of effort	Quarterly review with AS-LMM to discuss issues, make decisions, ensure ongoing alignment and agreement on priorities
	Refresh MOAs and Interdependent Touchpoint Procedures for Environmental Compliance to address areas of divergence among the two Bureaus	Conduct after completion of program review	Intensive effort for short duration	Work with BOEM to modify and update based on current BOEM and BSEE policies, processes
	Define information needed from NEPA process to support environmental permitting and enforcement decisions, and process for recourse when it is not adequate.	As soon as practicable	Ongoing moderate effort	Address in MOA, based on review of Environmental Compliance program review to implement NPMM
	Complete the transition of renewable energy regulatory responsibilities including updating MOAs and procedures	Timing dependent on the assumption of responsibilities by BSEE	Continuing level of effort leading up to program assumption for program operations in 2019	Work with BOEM to ensure a smooth transition and adequate resource levels for new roles and responsibilities
Culture of Collaboration				
	Develop and communicate a compelling vision and justification for change, and a change management strategy that supports it.	Efforts underway to design and define - can be strengthened if aligned with NPMM, ERM, KM	Moderate level of effort to define and communicate	BSEE designing change management program to support, sequence and prioritize efforts underway. Change management, knowledge management and enterprise risk management are inter-related and share common strategies and could reinforce development of a culture of collaboration.
	Use change management tools to enable employee engagement and collaboration in order to achieve cultural cohesiveness across the organization including proposed actions from the employee engagement survey.	As soon as practicable - Align with NPMM implementation, KM, ERM	Intensive effort to plan and target based on assessment of areas of greatest need. Ongoing moderate effort to maintain.	The change management strategy should identify appropriate tools for communication and collaboration, which might include personnel rotations, mentorship, targeted coaching, communities of practice composed of cross-program/interdisciplinary teams, crowdsourcing input on employee ideas for improved management and risk, approaches to risk management and implementation challenges. Evaluate tools used by DHS for employee input/business improvement for applicability.

Gaps	Strategies and Actions	Timing	Type/Level of Effort	Description
	Pilot the change management strategy for selected critical areas where change is needed that can deliver short-term wins, and help make the case for change.	Pilot initially for ECD, SED	Moderate level of effort - model based on SIID and adaptively manage	Model efforts using BSEE successes - SIID and Data Stewardship. Pilots allow for testing and refining the change management strategy.
Strategic Planning and Foresight				
	Use strategic plan as basis for multi-year work plans and priority sequencing	In preparation for FY 2018, supported by change management strategy	Moderate level of effort	Sequence annual initiatives based on strategic plan, goals, risk assessment
	Use results of the Foresight process to engage employees in considering and providing input on diverse visions and potential pathways for the future, and as input to strategic planning	As soon as practicable	Low level of effort - use existing Strategic Planning Working Group to assist	This process may also reveal conflicting visions that will need to be reconciled or accommodated.
	Re-activate the Strategic Planning Working Group	As soon as practicable	Low level of effort	Working group to inform strategic alignment, promote collaboration and communication
Sequencing Rules and Regulations/Policies, Processes and Guidance				
	Prioritize and develop sequenced timelines for completion and update of regulations and implementation guidance	As soon as practicable	Offices already schedule and plan for these efforts	Align with Strategic Planning and Foresight Effort
	Continue efforts to complete and automate bureau guidance	Ongoing - needs emphasis	Low level - some areas require higher level	Identify areas for focused effort
Governance Structure and Processes				
	Establish a subgroup to the Management Council (MC)	As soon as practicable	Moderate level of effort for participants, staff support	Establish council/committee to formulate strategic, policy, program positions in preparation for discussion by MC, appoint senior leader to lead (rotate on a regular basis)
	Restore decision making role to Management Council	Sequence with prior action	Minimal effort	MC will be BSEE senior governance body and decision making entity to resolve issues that are not decided at subordinate levels
	Develop governance for bureau shared functions - aviation management, regulations	Pilot in 2016	Low level of effort	Pilot use of governance for improved collaboration using these two areas
Knowledge Management				
	Complement Data Stewardship with the development of a knowledge management strategy aligned with ERM	Begin as soon as practicable	Moderate level of effort	A review of existing Knowledge Management Frameworks in organizations with similar missions may identify an existing KMF that can be tailored to BSEE. Steps include: assessment of potential benefits (priorities) and gaps conducted through workshops, interviews and employee surveys; identify tools and processes, establish communities of practice and training (leverage NPMM); appoint Chief Knowledge Officer to manage and oversee program; conduct pilots to demonstrate benefits, fine tune approach, and gain buy-in; develop change management plan with communication and roll-out strategy.
Risk Management Approach				
	Expand support within BSEE For ERM and develop a broader understanding and support for its use. Improve the organization's commitment and use to assess organizational risk and as the basis for decision-making	As soon as practicable	Moderate level of effort	Communities of practice can pilot new approaches and provide input based on lessons learned. The same CoPs should also be responsible for knowledge management for their areas of strategic risk, incorporating the common lexicon.
	Develop and implement risk communication strategy	As soon as practicable	Moderate level of effort	The risk communication strategy should include but not be limited to the development of internal and external educational materials.
Decommissioning Responsibilities				
	Strengthen ability to estimate decommissioning costs	Already underway	No additional effort	Academy Study Team underscores the importance of BSEE's efforts
	Elevate potential unfunded liabilities related to decommissioning to AS-LMM	As soon as practicable	Moderate level of effort for short duration	Inform AS-LMM and assist in briefing DOI leadership about the issue
Addressing Budgetary Challenges				
	Assess resource needs related to renewable energy	As part of the 2018 budget	Moderate level of effort for short duration	Formulate estimated needs to support a renewable program beginning in FY 2019 that cannot be supported with existing resources
	Identify Options to Address Collections Shortfall	As part of the 2018 budget	Moderate level of effort	Formulate proposal to fund shortfall

Gaps	Strategies and Actions	Timing	Type/Level of Effort	Description
	Develop BSEE process for budget governance	In preparation for 2018	Moderate level of effort	Involve senior managers in decision making and propriety setting for budget allocations and staffing
	"Potential to expand to include periodic reviews with AS-PMB and ONRR			

BSEE Gap Analysis

Elevate Issue
Decommissioning*
Calibrate BOEM/BSEE
BSEE Authorization?

Tools

Data Stewardship
Risk Management
Knowledge Management

People

Collaboration
Communication
Human Capital/Training
Change Management

Structure

Governance
Strategy/Budget
National Program Model/Organization

Ongoing Processes

External Reviews
Rules and Regulations
Policies, Interpretation and Guidance

* National Policy Issue

BSSE Gap Analysis

- Structure
 - Governance
 - Strategy/Budget
 - National Program Model/Organization
- People
 - Collaboration
 - Communication
 - Human Capital/Training
 - Change Management
- Tools (Frameworks)
 - Data Stewardship
 - Risk Management
 - Knowledge Management

BSEE Gap Analysis

- Ongoing Processes
 - External Reviews
 - Rules and Regulations
 - Policies, Interpretation and Guidance
- Elevate Issues
 - Decommissioning (National Policy)
 - Relationship with BOEM
 - BSEE Authorization??