

U.S. OFFICE OF MANAGEMENT AND BUDGET

Establishing a Government Effectiveness Advanced Research (GEAR) Center

In Response to a Request for Information

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THE NEED AND OPPORTUNITY

The federal government delivers a wide array of critical services that Americans use daily, from national security to environmental protection to college access. With over 2 million civilian federal employees, as many or more contract employees, and a \$4 trillion financial footprint, the management of the federal apparatus is a mammoth task of the utmost importance. The growing scope and complexity of federal responsibilities makes it increasingly challenging to meet the high standard that Americans deserve from their government.

Moreover, federal agencies responsible for delivery of core services face operational and strategic challenges that many of their leaders have neither the incentive nor bandwidth to address. Agency management challenges are long-standing and engrained; large bureaucracies are the antithesis of nimble; outdated systems and business processes are common; and most agencies are perpetually under-resourced. Leadership and staff teams scramble in responding to unpredictable crises of the day, leaving little time to “think big” or focus on understanding the root causes of inefficiencies, delays, or process gaps.

While all federal agencies often face similar management challenges, they lack a systematic mechanism to facilitate enterprise-level problem solving. To address agency-level management problems, federal leaders typically engage outside contract help from the private sector, who come in for a time-limited period to assess problems and design solutions. Solutions that do emerge are rarely shared across agencies.

To successfully execute today and prepare for tomorrow, federal leaders would benefit from a robust pipeline of applied, rigorous research and analysis into government management and operations. This applied research and learning can help government generate new, innovative solutions for persistent enterprise-wide problems, build capacity and efficiencies within government, support implementation of tailored solutions, share lessons learned, and help monitor ongoing progress.

This is the role that we believe the Government Effectiveness Advanced Research (GEAR) Center can fill, and we applaud OMB for leadership in meeting this core challenge head-on. The information we provide in response to this Request for Information (RFI), described herein, seeks to lay out key success factors and potential models for the GEAR Center that could provide unique benefits not presently available to federal leaders. Our approach seeks to leverage expert resources outside of government and bring their high-quality, rigorous analysis to bear to address federal challenges, in a way that is public-spirited and outcomes-focused. This strategy would engage a broad network of universities, non-profits, and private sector partners to work with government, exceeding the capacity that any individual organization might provide. We seek to provide for flexibility in matching the best talent to address urgent issues in a cost-effective, insightful manner.

A successful GEAR Center would:

- Provide the infrastructure to solve cross-cutting, enterprise level problems;

- Bring in the best minds—across disciplines and experience—to address some of the most intractable management problems and make government systems run better;
- Reduce reliance on one-off engagements that can be expensive and non-transferable or replicable across agencies;
- Enable collective, thoughtful prioritization of the problems most in need of new solutions;
- Save money; and
- Most importantly, offer better service to citizens.

If designed thoughtfully, with start-up support from committed partners and buy-in from federal leaders, the GEAR Center has the potential to be transformational in its impact on our nation's government and its important work for all Americans.

RESPONSES TO RFI QUESTIONS

What should be the GEAR Center’s strategic approach and operating objectives? (Q1)

The GEAR Center’s success should be judged by whether it accelerates the adoption of leading-edge management practices that improve service delivery, save costs, and effectively address challenges faced by federal agencies.

The Center should serve as the channel or platform through which top-tier management expertise from the academic, nonprofit, and private sectors, as well as from federal agencies themselves, is brought to bear on large management challenges facing the government. The Center would be an intermediary organization driving the development of responsive, scalable solutions to improve federal agency service delivery and effectiveness.

To do so, the Center would provide a conduit to a robust, on-call consortium of leading-edge organizations and individuals, who readily leverage rigorous methods to support the development and effective deployment of practical management solutions. Research efforts would draw upon tested models and from the experience of other large organizations that have yielded sustained gains in performance. Methods would also draw upon human-centered design and civic innovation strategies. The Center would be keenly focused on the formidable challenges associated with developing solutions implementable in the distinctive management environment of the federal government.

As discussed more fully in response to question 2, Center priorities could be set on an annual basis by an interdisciplinary governing body (referred to here as the “GEAR Center Steering Committee”). Ideally, the Center would pursue short-term wins that could be agency-specific, and tackle longer-term enterprise-level issues. Areas to focus on might include:

- How to deploy and integrate capabilities that address the core transformation drivers in the President’s Management Agenda (PMA): technology, data, and people;
- How to accelerate progress in achieving the PMA’s broadest goals: improving mission delivery, delivering citizen services, stewardship of public resources; and
- How to help government develop strategic foresight capabilities to inform priorities for a long-term strategy to increase capacity in performing missions and better serving citizens.

To succeed, the GEAR Center must integrate closely with government leaders who will ultimately implement new business processes or solutions—the Center would be a partnership across government and network partners, not a satellite operation. Regular communications among the Center and both its federal and non-federal partners will be essential, including convening periodic in-person and on-line forums that bring together key stakeholders and experts.

Overall, we believe that to maximize productivity and success in accomplishing its purpose, the GEAR Center’s operating objectives should include:

- Providing government fast access to leading-edge solutions to its biggest management challenges;
- Developing actionable recommendations to address those management challenges;
- Supporting agile deployment of recommended management changes by prototyping solutions—being unafraid to try and pilot new ideas, and then to adapt them based on emerging experience;
- Designing and supporting a dissemination and continuous learning process to transfer models that work to other federal agencies facing similar challenges;
- Creating an incentive structure that encourages participation by government, industry, and researchers;
- Establishing a governance structure/approach that promotes collaboration among potential partners;
- Building financial sustainability, including appropriate models to allocate risk and rewards from experimentation and innovation; and
- Ensuring follow-through and commitment to build on, learn from, sustain, and scale successful solutions.

Multiple approaches could meet the operating objectives listed above. We focus below on a “hub and spoke” approach as having high potential, and also include perspectives about alternative approaches.

How should the GEAR Center be operationalized? What models should be used to establish the GEAR Center? How should the GEAR Center be funded? (Qs 2, 5, 6)

Operationalizing the Center involves multiple aspects, and our response is structured around three core design elements required for effective operations:

- Design element 1: A governance framework that sets direction, priorities, and ensures problem solvers and implementers are working closely and effectively together;
- Design element 2: An operational model following a hub-and-spoke or similar strategy that allows for nimble response and reliable, game-changing outputs; and
- Design element 3: A revenue model that ensures sustainability beyond start-up seed funding.

Design Element 1: Governance Framework

A governing body would oversee the work of the GEAR Center (the “GEAR Center Steering Committee”). The Gear Center Steering Committee’s core responsibilities might include:

- Setting GEAR’s research agenda and defining priority questions to be investigated;
- Attending quarterly meetings to review progress, provide strategic guidance, and offer insights pertaining to implementation downstream;
- Approving Center standards and methodologies for various parts of its work, including the launch of pilots, proofs of concept, assessments, and approaches for dissemination and scaling; and
- Providing implementation oversight when new strategies or processes are rolled out, offering real time feedback to inform refinements.

The Steering Committee could be comprised of approximately 15-18 leaders. The Office of Management and Budget (OMB) should be represented on the Steering Committee, perhaps serving as co-chair with the Administrator or Deputy from the General Services Administration. Other members could include agency leaders with a strong appetite to drive change in their organizations. Legislative branch representation on the Steering Committee may also be fruitful.

GEAR Center staff would work closely with the co-chairs of the Steering Committee to set meeting agendas and confirm decision-points for discussion and resolution. Center staff would document Steering Committee meetings, including action steps and responsible parties.

Design Element 2: Operational Model

The best organizational locus for the Center may be as the hub of a consortium of organizations that have access to well-established networks of scholars and practitioners representing the key experts in the corporate, government, academic, and non-profit sectors.

The *hub* of this organization might be constituted as a non-profit 501(c)(3), and have a small, nimble staff with a central management role. The Center's staff would liaise with appropriate governmental partners (OMB, agencies, co-chairs of the Steering Committee, as described) to scope out individual research priorities or build an agenda for broad cross-cutting domains. For example, early in its operations the Steering Committee might prioritize federal reskilling as an area of focus. With priorities set, the Center's staff would then engage and route research projects with relevant partners in the consortium—the *spokes*.

To succeed, this hub would require certain internal capacities, including: a dedicated staff; strong applied understanding of federal data security and information sharing regulations; familiarity with the federal-wide management apparatus; strong relationships with the “spoke” network organizations; and robust project management acumen.

The hub organization would also require experience managing decentralized research projects, collaborating with government agencies, and driving complex, multi-sectoral projects to completion. The hub organization would be best positioned as nonpartisan and independent, and able to help address and mitigate potential conflicts of interest among partners.

With respect to the “spokes” or partner consortium, each organization would bring to the table a set of capabilities needed to address a management challenge faced by numerous federal agencies. Institutions might be grouped by functional roles (budgeting, training, data analytics, or operations) or policy verticals (health administration, environmental management, or infrastructure).

The spokes would be institutions with expertise to tackle individual projects or a specific project domain. Universities, non-profits, think tanks, good government groups, or private sector partners provide a stable of intellectual and technical resources that could toggle up or down depending upon capacity and need. These institutions would bring strong applied research capacity, an investment in collaboration with the GEAR Center at the senior leadership level, ability to develop prototypes in an agile and iterative fashion, and experience in partnering with governments in researching and transferring management solutions to the public sector. An interesting parallel to this model exists in the Department of Homeland Security Centers of Excellence program, which sponsors the National Consortium for the Study of Terrorism and Responses to Terrorism (START) at the University of Maryland (see <http://www.start.umd.edu>)

The GEAR Center hub could be responsible for matching priority problems with logical “spoke” partners to help solve them. A grouping focused on approaches to sharing federal data might, for example, be composed of a school of public affairs with a strong research agenda, a private firm with data analysis capacity, and a good government group concerned with privacy.

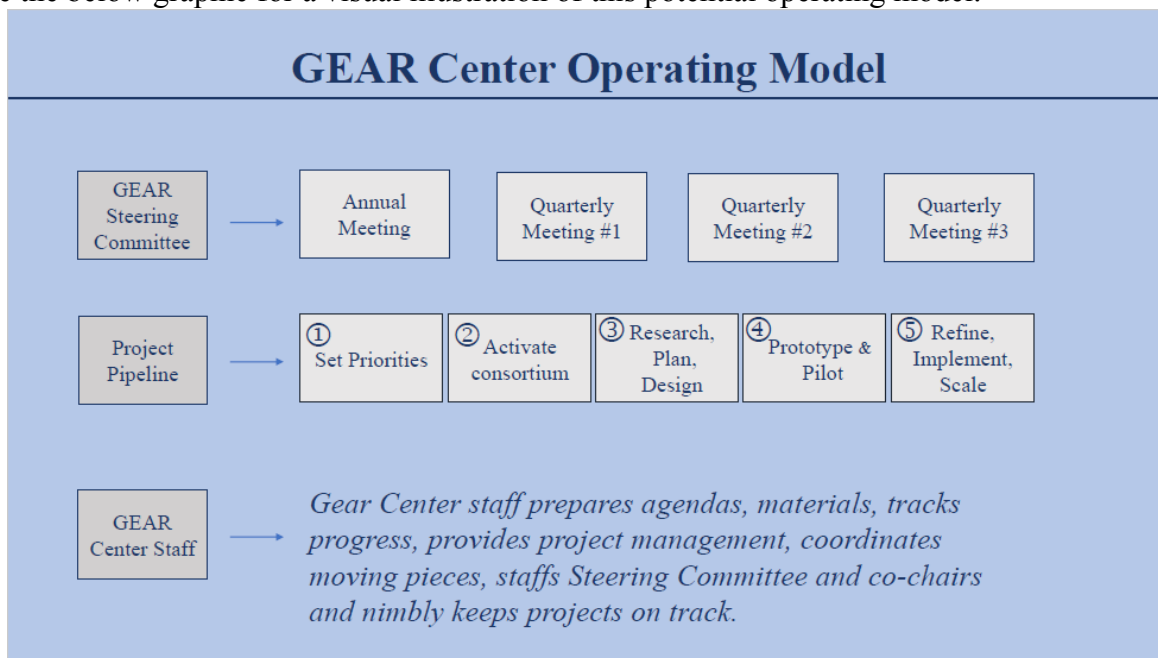
The Center's ability to mobilize requisite expertise will depend on how well it addresses the incentives of different sources. Government will participate if it sees rapid response with credible

and practical innovations and solutions. Academics will participate if they gain access to new data sets and the opportunity to work jointly with agency staff on piloting an initiative. Foundations will participate if they feel the GEAR Center effectively drives process improvements and service delivery to improve citizen’s lives. Corporate partners will invest as project-based sponsors if they can see a downstream benefit by helping create an addressable market.

Our broad list of co-submitters—representing a deep network of talent, resources, and experience—illustrates what such a consortium might look like when it is brought to life. (See the “Our Consortium Members” Section at the end for a description of the partners behind this effort.) Each organization is enthusiastic about the GEAR Center’s potential impact— reflecting the power and appeal of OMB’s idea to develop GEAR. Given its ability to attract capable partners, and the preparedness of these partners to dive in, we believe the GEAR Center could come to life quickly despite the inherent complexities involved in start-up operations.

Specifically, GEAR partners could commit in-kind support by potentially providing office space, fundraising assistance, back office administrative operations, or other necessary support, including the potential to recruit or detail staff, to help get the GEAR Center off the ground expeditiously. Such a consortium should also work closely with the GEAR Center Steering Committee to develop operational procedures for analyzing and scoping potential projects, developing budgets, recruiting project partners, developing a project management system that would support a diverse and disparate set of project partners, supporting initial meetings of the Steering Committee, and standardizing a feedback and input process with the Steering Committee. We would anticipate the use of “backdrop” or “standing” contracts that indicate a willingness of partners to participate at the ready in relevant projects, without needing to cross additional administrative hurdles before beginning work.

See the below graphic for a visual illustration of this potential operating model.



Strengths of the Hub and Spoke Model	
<ul style="list-style-type: none"> Centralized management hub makes transmission of findings into government more tenable. 	
<ul style="list-style-type: none"> Relatively “light” nature of the hub eases resourcing demands during start-up phase and can shift overhead costs to large, pre-existing partners. 	
<ul style="list-style-type: none"> Opportunity for a very broad of network of spoke partners. 	
<ul style="list-style-type: none"> Spoke partners can opt for consistent or intermittent engagement, lowering the required commitment level and potentially broadening network. 	
<ul style="list-style-type: none"> Decentralized spoke network enables greater national footprint for >80% of federal workforce outside of Washington, DC. 	
<ul style="list-style-type: none"> Independent hub can fundraise under its own name. 	

Drawbacks of the Model	Potential Ways to Address
<ul style="list-style-type: none"> Small hub and large network of spokes will require demanding mix of capacities for hub (management, analytical, governmental-liaison). 	A strong start-up partner or set of partners, potentially members of this consortium, can help the GEAR Center climb this learning curve and develop these capacities more quickly.
<ul style="list-style-type: none"> Diffuse, decentralized research and technical partners will require many MOUs and contracts which demand administration. 	Strong management capacity in hub; groups of partners that collaborate consistently can lessen this load.

Alternative Organizational Models

The hub and spoke approach described above is a promising approach to operationalizing the GEAR Center. Other pathways may prove beneficial as well, including the platform and free-standing models. Both options are described below.

Multiple Hubs Model

This option provides no central hub, but rather envisions temporary collaborative bodies operating under the umbrella of a single government-run governance council. Similar to the discussion above, this governing council should include OMB, GSA, and other federal representatives. It would set research and development priorities relevant to federal management challenges. A separate, non-federal advisory committee might include researchers, data scientists, former federal executives, and private sector leaders who would provide insights to the governing council on research methods, tools, and capacity.

This model would reflect characteristics of the “platform” distributed operating model used by commercial businesses such as Uber and Airbnb, where the GEAR Center creates the architecture to connect problems with problem solvers in a decentralized way. This “platform” based approach would match demand and supply, for example:

- The demand would reflect problem definitions and questions from government. A key task of this network could involve helping to define problems or developing a new science of problem definition that allows for better engagement with distributed expertise.
- The supply would reflect expertise within academia. An example network for this would be “The Conversation,” a network for sharing academic knowledge with a wider audience in an accessible manner (see <https://theconversation.com/us>, and the description in the “Models” section). This network currently connects over 10,000 academic experts who could be leveraged to match demand.

So long as there is relevant information on accessible “exchanges,” the GEAR Center could aggregate the solutions and look for patterns across the federal government, in a manner similar to how the Department of Energy coordinates and aggregates across its National Labs network.

The Center could also work with partner “intermediary” organizations to match demand and supply in innovative ways and enable ideation, prototyping, experimentation and evaluation. Resources that could inform such intermediaries include:

- Canvas to develop a more rigorous problem definition: <http://canvas.govlabacademy.org>
- Case studies on matching demand with supply in new ways: <http://www.thegovlab.org/smarterstate.html>
- A Network of Innovators to identify expertise among and engage academia: <https://networkofinnovators.org>
- The Governance research network: <http://opening-governance.org/>

Initiative-specific task forces comprised of people from multiple disciplines would be established for a short-term, time-bound period, each focused on a specific management challenge prioritized by the governing council. These task forces would develop a longer-term research agenda for their defined initiative, including refining the research questions, methods, data and tools, and options for generating useful results.

Based on the results of a task force’s work, a longer-term research hub would be chartered by the governing council to act on that agenda. The government-run governing council would solicit bids for a research hub to bring together a staff of researchers, organizational experts, and others to develop and test pilots. The charters would be for a defined period.

- If non-governmental partners develop a project or propose an innovation, they would be expected to find a “sponsor” inside government that would commit to using the results before the research hub would agree to support and affiliate with the project.

- OMB could create a quasi-license for any consortium partners of a research hub that wanted to play and that met a certain set of criteria, such as:
 - each research hub consortium constitutes itself as a 501(c)(3) to independently raise and spend money;
 - OMB agrees to lay out problems identified by agencies in need of answers (so everyone knows where to aim their energy); and
 - OMB agrees to take part in forums conducted by a licensed research hub/consortia (to ensure internal buy-in and translation into government).

This decentralized operational model would avoid political problems for OMB in having to pick a winner, and logistical problems if there were no federal financing to fuel the effort. A “more-the-merrier” approach might produce some useful tension in the process and force participants to enhance quality.

Strengths of the Multiple Hubs Model	
Decentralized hubs enable a broad network of external research and technical partners.	
Low overhead and operating costs and the potential for “licensing” revenue lessen financial strain.	
Partners can opt for consistent or intermittent engagement, lowering the required commitment level and potentially broadening network.	
Decentralized spoke network enables greater national footprint for >80% of federal workforce outside of Washington, DC.	

Drawbacks of the Model	Potential Ways to Address
Lack of centralized hub presents coordination and management challenge within and between GEAR Center initiatives.	Robust engagement from governing council or administrative support from a leader of each task force.
Multiple hubs may increase difficulty of coordinated transmission of learnings to federal partners.	Federal partners could construct a formal process to “onramp” learnings, with which each task force could then align.
Lack of a single core may make knowledge transference and learning-by-doing between hubs more difficult, extending startup period.	Parallel task forces would need to be in constant contact with each other, sharing best practices for managing partners and disseminating findings to government.

Free-Standing Enterprise Model

The Center could be an independent free-standing non-profit, or a free-standing joint enterprise between government and non-government entities. It might function as an off-site applied research center or think-tank focused on governmental management issues and strongly integrated with federal needs.

As a free-standing, self-created 501(c)(3), the Center would be empowered to independently perform its functions as knowledge broker, solution designer, advisor to federal agencies, and storehouse of systematic knowledge on government performance improvement. Independent status would help it identify a network of talent, create a mix of talent needed for different projects, ensure quality of end products, and better communicate results to other agencies.

This arrangement would allow the Center to set its own agenda but ensure that its findings are disseminated across government. Advantages of this arrangements are that the Center:

- Would not be seen as a competitor by the various partners;
- Would have close ties with the government executive sponsors of research projects; and
- Could be located within an existing institution (which could provide space, access to editing, design, and print resources, etc.).

In this model, the GEAR Center could provide support to bring products and services to the federal agencies. For example, many small start-up firms elect not to enter the government market because the costs of navigating the federal procurement system are so high. The GEAR Center could provide technical assistance for small firms navigating the process, as well as develop recommendations for making procurement and acquisition easier.

Alternatively, the Center could be formed as a free-standing joint enterprise between government and non-government entities.

Strengths of the Free-Standing Enterprise Model	
Single, centralized institution is simpler from a management and logistical perspective.	
Co-location of routing and decision-making role, and research and technical capacity, would eliminate information lags and ensure close alignment of GEAR Center resources and governmental partners' needs.	
Strong opportunity to develop institutional expertise and brand recognition.	
Independent institution can fundraise under its own name.	

Drawbacks of the Model	Potential Ways to Address
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Very high startup and overhead costs for a stand-alone research center.	Considerable financial support from a foundation or corporate supporter may be required to reach operations.
Bringing technical and research assets in house diminishes flexibility to scale up and align with research priorities, and limits size of resource pool.	Use of short-term contracts and sabbaticals from universities, non-profits, or private sector partners, and use of IPAs from federal leaders organized around time-delimited projects.

Design Element 3: Revenue Models

Consistent with OMB’s guidance in the RFI and on the webinar, we recommend a combination of seed funding to launch the GEAR Center’s operations paired with a variety of different models of sustaining funding to cover ongoing initiatives.

Start-up Support

We assume that initial seed funding for the GEAR Center would be provided by the federal government to establish and help sustain the Center’s operations during its first years. As discussed in Design Element 2, it will be critical for the Center to recruit and hire staff who serve as the critical link between government and research/technical expertise, and who help establish and cement a network of partners. Non-governmental supporters of the GEAR Center assisting in its launch, such as members of this consortium, can provide in-kind support to launch the hub in the form of operational assistance, networking, and analytical capacity.

With an eye toward securing continued operational support from philanthropies and individual donors, it will be important to demonstrate “quick wins” during the start-up phase of the work, and to illustrate the efficacy of the operation with concrete performance metrics.

An instructive precedent for this can be found in initial seed funding of the “National Strategy for Trusted Identities in Cyberspace,” created in 2011 by the federal government to improve the privacy, security, and convenience of sensitive online transactions through collaborative efforts with the private sector, advocacy groups, government agencies, and other organizations. The federal government catalyzed a steering group led by the private sector to administer the development and adoption of its framework. The group received a grant to establish an administrative body (<https://idesg.org/>). The federal government funded several pilot projects, but left overall leadership and direction to the private sector steering group. Lack of a driving federal guidepost meant that private sector investments did not scale to replace the initial seed funding. With this in mind, and with the benefit of our collective experience, we posit a range of options for sustainable revenue below.

Sustaining Funding

Following the start-up period, the GEAR Center could pursue sustaining funding via myriad channels. In all cases, project-specific funding would be managed by GEAR Center staff with oversight from the Steering Committee (or a similar governance body). The Center would disperse funds to the appropriate research or technical partners once selected. To assure rapid transmission, the GEAR Center might establish “backdrop” contracts with its network of research and technical partners, and then move funds through targeted task orders.

Competitions and prizes

The COMPETES Act provides agencies the authority to undertake public-private competitions to identify solutions to discrete problems and provide a prize to the winner(s). 26 agencies provided funding for and sponsored 109 challenges in FY 2016.

Annual 2017 report: <https://www.challenge.gov/toolkit/files/2017/07/FY2016-Implementation-Federal-Prize-Authority-Report-and-Appendices.pdf>

Sample from HHS: <https://www.federalregister.gov/documents/2017/09/26/2017-20535/competes-reauthorization-act-challenge-competition>

Co-investment, joint funding and crowdsourcing

The Center might employ a variety of innovative joint funding or co-investment models with non-governmental partners, in which funds would be raised for the most promising solutions and/or generated through subsequent budget savings generated by successful implementation. See for example:

<https://www2.usgs.gov/usgs-manual/200/205-13AppendixA.pdf>

<https://en.wikipedia.org/wiki/Crowdfunding>

<https://payforsuccess.org/learn/>

Federal Agency Membership Subscription Model

A federal agency membership model would entitle federal agencies and other members or subscribers with access to a range of Center products and services. For example, members might be eligible and/or have priority to participate in forums to share problems and potential solutions, have priority for piloting innovative solutions, and receive executive training in new management models integrating advanced IT, data analytics, and reskilling of managers and others.

Members would pay a fee to join and, in return, receive benefits and services, including participation in forums focused on particular management challenges and potential solutions.

If OMB were to encourage or even mandate major agencies' participation, this model could resemble the current "pass the hat" approach used within the government to fund cross-agency initiatives, such as the CXO councils. Annual membership fees could be scaled based on agency administrative budgets or staffing. Alternatively, subscriptions might be offered for particular sets of Center services or products.

In addition to Federal agency memberships, individual memberships might be offered at a lower rate to:

- Federal evaluation and program leaders;
- Leaders of the OMB Management and Evidence teams;
- Academic and nonprofit researchers with expertise and interest; and
- Private individual consultants committed to developing shared knowledge.

The emphasis of the membership model would be to create a “test and learn” network including experts from industry, academic institutions, and organizations representing government partners and stakeholders. Its strength may be capacity to accelerate learning among key government personnel about operational innovations and policy changes.

Impact investing

A growing array of private capital investment vehicles has been established to support high social impact projects for purposes other than profit maximization. These funds are likely to be attracted to the purposes and innovative services and products of the GEAR Center. See for example:

<https://www.forbes.com/sites/jaycoengilbert/2017/10/09/putting-the-impact-in-impact-investing-28-funds-building-a-credible-transparent-marketplace/#13f179fe3e5f> .

In-kind support

Support for core overhead administrative expenses could be provided apart from support for individual projects. This could come from government, industry, academic, or nonprofit partners interested in sustaining the Center’s work. It might take the form of details of government personnel through Intergovernmental Personnel Act (IPA) assignments,

<https://www.opm.gov/policy-data-oversight/hiring-information/intergovernment-personnel-act/>.

In the first years of the Center, as its portfolio of services and products is being developed and its reputation established, one or more of its non-governmental sponsoring organizations might provide in-kind administrative support.

Intellectual property licensing

The Center’s prototype solutions could be a source of revenue through subsequent dissemination and licensing for use. This would require that the Center retain exclusive ownership of certain products of its work for a limited period.

National Academies Model

Project-based funding is used to sustain the work of the National Academies (National Academy of Sciences, of Medicine, and of Engineering) and of the National Academy of Public Administration, each congressionally chartered to provide policy advice and independent analysis to government and the public. Both are organized as 501(c)(3) nonprofit organizations and do not receive regular appropriations.

Project-based funding or grants

The Center could secure funding streams for a specific project or stream of projects. Federal agencies or agency consortia might contract directly with the Center to support identification, testing/piloting, evaluation, and replication of promising solutions for a particular problem or project plan. Foundations interested in a particular aspect or application of the Center’s work could support that interest through grants. The Center would retain independent responsibility for the particular solutions and their subsequent uses, including applications for the government. Funding also might come through project sponsorships by other private companies, who could form a Corporate Advisory Group. Corporate partners may be incentivized to invest if they can see a downstream benefit by helping create an addressable market.

Share in savings

The Center could offer its services to agencies at no initial cost but would receive a share of federal budget savings resulting from efficiency gains through successful implementation. See for example: <https://medium.com/@ccairns/bootstrapping-the-modernization-of-federal-legacy-systems-through-agile-share-in-savings-a1294b0f9877>

Tuition for specialized training

Training for federal executives and managers would help develop the advanced skills needed to apply management solutions developed by the Center and by others. Agency personnel could receive training assignments similar to the IPAs used by Defense for active duty personnel.

What models of public-private partnership should inform the GEAR Center? What examples already exist that serve a similar purpose to the GEAR Center? (Qs 3, 4)

Definitions for public-private partnerships vary depending on the policy arena. For the purposes of the GEAR Center, we think the definition developed for a 2016 report by the Administrative Conference of the U.S. (ACUS) is appropriate:

“A joint-venture between the U.S. government and non-government parties, including for-profit and non-profit organizations, in order to address public problems. The goals, structure, and governance of the partnership as well as the roles and responsibilities of each partner, are mutually determined and in accord with public interest. Though the partnership may encompass traditional binding legal agreements, it, itself, is not necessarily legally binding.”¹

Established models of public-private partnerships focused on public management problems can inform the design of the GEAR Center. We describe some especially promising models below, followed by a longer list of instructive models and organizations that may warrant further research and exploration. These models provide access to expertise for research, innovation, and prototyping solutions that rely on internal or public-private sector partnerships. The organizations we highlight demonstrate three common characteristics:

- Collaboration across sectors;
- The completion or transmission of rigorous research to improve practice, policy or performance; and
- Verifiable results for citizens.

Examples of Existing Operating Models

(Co-submitters to this RFI response are noted with an asterisk.)

Federally Funded Research and Development Corporations (FFRDCs)

FFRDCs are a network of 42 public-private partnerships that conduct research for the federal government on contract; a prominent example is the Los Alamos National Laboratory’s affiliation with the Department of Energy. They are non-governmental organizations sponsored by federal agencies that work exclusively for the government, and they retain highly-trained,

¹ Alissa Ardito, Public-Private Partnerships, Administrative Conference of the United State (2016), p. 11. <https://www.acus.gov/sites/default/files/documents/Partnership%20Report%20Draft%209.7.0.pdf> This ACUS report outlines several basic types of public-private partnerships, including aligning public and private investments, co-sponsoring events or studies, private gifts, and cooperative agreements. The report also outlines existing statutory authorities held by selected agencies and describes legal and ethical issues that need to be considered when developing a joint memorandum of agreement to form a partnership.

highly-specialized technical staff aligned with the particular governmental function that each services.

<https://www.nsf.gov/statistics/ffrdclist/>

The GEAR Center might look to FFRDCs for best practices in developing an organizational hub external to government while retaining close mission-alignment, and lock-step implementation support with federal agency partners.

Abdul Latif Jameel Poverty Action Lab (J-PAL)

The Abdul Latif Jameel Poverty Action Lab (J-PAL) is a global research center working to reduce poverty by ensuring that policy is informed by scientific evidence. Anchored by a network of 168 affiliated professors at universities around the world, J-PAL conducts randomized impact evaluations to answer critical questions in the fight against poverty. Uniquely, J-PAL serves a “match-making” function, linking academics and researchers with leaders in government who seek research or evaluation support.

<https://www.povertyactionlab.org/about-j-pal>

The GEAR Center could learn from J-PAL’s approach to building a decentralized network of researchers from a variety of disciplines, and how the organization connects research network members to specific civic sector leaders who seek research support and expertise.

University-based research and technical assistance centers

Colleges and universities establish applied research centers focusing on a single policy domain. These centers often draw faculty expertise from a variety of disciplines and schools, and tend to prioritize engagement with practitioners as a core metric of success. Their deliverables might include research for a scholarly or non-scholarly audience, technical assistance to governments or industry, and convening ability. Funding sources can include government, industry, in-kind support from the university, and foundation and philanthropic support.

- New York University’s GovLab*: <http://thegovlab.org/about/>
- Harvard University’s Government Performance Lab: <https://govlab.hks.harvard.edu/gov-lab>
- The University of Massachusetts’ Collins Center: <https://www.umb.edu/cpm/about>
- The Massachusetts Institute of Technology’s Media Lab: <https://www.media.mit.edu/>
- University of Chicago Urban Labs: <https://urbanlabs.uchicago.edu/about>

These organizations could help inform the GEAR Center’s approach to building an interdisciplinary stable of researchers, engaging with external partners to set priorities, and working along-side government partners to drive implementation.

Center for Technology in Government, State University of New York at Albany*

This applied research institute focuses on transforming public service through innovations in management, policy, and technology, with a socio-technical perspective. The current portfolio includes: IT governance, strategic planning and road mapping, data management including governance, data analytics and visualization, smart cities, open data and government, and blockchain. <https://www.ctg.albany.edu/about/>

The GEAR Center could take lessons from CTG's experience working with Federal, State and local government to develop and deliver innovation.

Metro 21: Smart Cities Institute

Housed at Carnegie Mellon University, the Metro21: Smart Cities Institute seeks to research, develop, and deploy 21st century solutions to the challenges facing metro areas. Leading researchers affiliated with the university conduct research on critical urban issues and work with government, the private sector, and non-profits to implement proposed solutions. Current collaborations focus on incubating technology systems to improve safety, enhancing mobility, fostering citizen engagement, promoting efficiency in government operations, and addressing pollution, and include partnerships with the City of Pittsburgh, Allegheny County, Pittsburgh International Airport, GM Labs, the National USDOT University, and the MetroLab Network. <https://www.cmu.edu/metro21/>

The GEAR Center could learn from Metro21's experience building similar interventions and supports for municipalities.

Innovation Labs

The last several years have seen the proliferation of innovative policy laboratories—organizations that conduct applied research and human-centered design methodologies to develop more effective programs, processes, and service delivery strategies. Some labs are constituted as 501(c)(3)s or housed within a university, while others are established independent offices within governments.

- Rhode Island's Innovative Policy Lab: <https://riipl.org/> and https://en.wikipedia.org/wiki/Rhode_Island_Innovative_Policy_Lab
- DC's Lab@DC: <http://thelab.dc.gov/>
- Nesta: <https://www.nesta.org.uk/government-innovation/our-work-government-innovation/>

The GEAR Center could look to various innovation labs to understand how cutting-edge analytic and civic design techniques can be leveraged to solve large management problems and improve government service delivery.

Additional relevant models

The following organizations or models may also inform design and implementation of the GEAR Center, or serve to expand innovation networks available to the Center. Most if not all of these organizations are not covered by the Federal Advisory Committee Act, an important transparency statute; OMB may wish review whether a similar non-covered status would be appropriate for the GEAR Center. If helpful we would be pleased to offer additional details. (Again, co-submitters to this RFI response are noted with an asterisk.)

Individual organizations or models

Center for Open Data Enterprise

A non-profit research organization that collaborates with private sector, public, non-profit partners to expand the use of government data by focusing on users.

<http://opendataenterprise.org/about>

Cooperative Research and Development Agreement (CRADA)

A CRADA is an agreement between a government agency and a private company or university to collaborate on research and development to speed commercialization of federally developed technology. Research results can be kept confidential for up to 5 years. Private companies can file patents to retain rights; the government gets a license to the patents.

<https://www2.usgs.gov/tech-transfer/what-crada.html>

DCODE

A private sector technology accelerator for government that helps emerging technology firms break down barriers to work with the federal government.

<https://dcode.co/>

Defense Advanced Research Projects Agency

DARPA is a fully government-funded organization that hires researchers on term appointments and commissions research from private, nonprofit, and academic sectors.

<https://www.darpa.mil/about-us/about-darpa>

Delivery Units

First launched in the UK by Michael Barber and expanded around the world, delivery units are policy research offices situated near the center of government that engage with public agencies and make recommendations on public service delivery and effective management.

<http://www.worldbank.org/en/news/feature/2016/03/02/driving-for-delivery-energetic-innovation-through-delivery-units>

HUD Research Roadmap

HUD identifies high-priority areas in which additional applied research would be valuable. External sponsors, including philanthropy, provide financial and technical support.

<https://www.huduser.gov/portal/pdf/ResearchRoadmap-2017Update.pdf>

*IBM Center for The Business of Government**

The IBM Center has a small staff and a large network of research partners from academia, who receive support via a competitive stipend process. The Center is fully funded by IBM, but is independent from the business and operates like a nonprofit. It produces reports on management issues identified through forums convened periodically among government, academic, and nonprofit stakeholders. The Center's role is to help identify research priorities relevant to practitioners to ensure quality and readability by practitioners.

<http://businessofgovernment.org/about>

IRS Research Conference

IRS staff define research needs and describe them at an annual research conference with non-federal participants. The IRS grants academics access to anonymized tax data for research purposes.

<https://www.irs.gov/statistics/soi-tax-stats-irs-research-conference>

Joint Venture Partnerships (JVPs)

The Department of Commerce and the National Technical Information Service use an authority granted by Congress in 1988 to enter into JVPs. The JVPs enable shorter time to solutions for federal agencies for data analytics, machine learning, and artificial intelligence projects. Using a competitive process, NTIS pre-qualified 35 companies, nonprofits, and research groups who can now compete for projects defined by federal partners. NTIS manages the relationship between the federal agency and the JVP partner.

<https://classic.ntis.gov/assets/pdf/sample-jvp-final072816.pdf>

Membership- or Subscription-based Research Organizations

American Council for Technology and Industry Advisory (ACT-IAC)

A membership-based organization with two primary segments, one comprised of federal representatives, the other comprised of industry representatives from over 450 member companies. Prepares white papers, provides training, and recognizes leadership in government technology.

<https://www.actiac.org/about-us>

Association of Federal Enterprise Risk Managers

A non-profit membership-based organization, providing member training, research, and advocacy work around risk management.

<https://www.aferm.org/>

C40

A coalition of the world's largest cities committed to driving meaningful, measurable and sustainable action on climate change. It seeks to accomplish collectively what no individual member could do on its own. C40 has a 501(c)(3) hub, a rotating steering committee, and considerable appeal to foundations and private donors.

<https://www.c40.org/about>

CEB/Gartner

A research company that develops commercial best practices case studies of member organizations, primarily focused on the private sector.

<https://www.gartner.com/en>

CAM-I: Consortium for Advanced Management – International

A non-profit entity that brings together industry, government, and researchers to develop practical and effective management tools, techniques and methods to advance the way organizations manage costs, processes and performance.

http://www.cam-i.org/docs/CAM-I_Overview_310.pdf

*National Academy of Public Administration**

NAPA is a management advisor to government, operating under a congressional charter. More than 850 NAPA Fellows have federal, state-local, and academic expertise. Conducts government funded contract studies for Congress and agencies, as well as studies and thought leadership supported by state and local governments, international entities, and foundations. Permanent staff of about 20, supported by additional project-specific temporary staff and Fellows. Uses panels of Fellows and other experts, via contract consulting arrangements for specific studies.

Congressional authority allows a streamlined version of FACA applicability.

<https://www.napawash.org/about-us/who-we-are/>

The Conversation

An on-line vehicle to bring the expertise within academia to a wider audience in an accessible manner. Currently over 10,000 academic experts are in a database that could be leveraged to match research demands.

<https://theconversation.com/us>

The National Academies of Sciences, Engineering, and Medicine

The National Academies is an umbrella organization for three quasi-independent non-profits that serve as scientific advisors to government. It operates under congressional charter and has global members and partners. It is comprised of the National Academy of Sciences, the National Academy of Engineering, and the National Academy of Medicine. The National Research Council serves as their administrative arm that is jointly governed by the three Academies. It, for example, publishes 200 publications a year produced by the Academies.

<http://www.nationalacademies.org/>

The Opportunity Project

Focuses on transforming federal data into digital tools for use by American people. Brings together government, technologists, and communities to address challenges in a number of social and economic development initiatives. Coordinates a set of agile sprints by industry and non-profit partners collaborating with agencies to develop pilot and prototype capabilities that address specific agency challenges. Managed by the Census Bureau and works across agencies who have identified a challenge in the form of a problem statement. Program management is funded through appropriations, and no money changes hands with industry – rather, non-government sprint participants invest their time and effort with the hope of spurring future market interest, and retain the IP they create during the sprint.

<https://opportunity.census.gov/>

*The Volcker Alliance**

A small staff with an implementation, execution, and relationship management focus that builds networks of university partners, subject matter experts, and government officials to conduct research and drive change on cross-cutting policy domains, including budgeting, regulation, and public service issues.

<https://www.volckeralliance.org/about-volcker-alliance>

Treasury Office of Financial Innovation and Technology

OFIT engages with other federal agencies to commission research or prototypes from private sector and non-profit organizations on their behalf. It possesses a rapid contracting authority to move quickly on high-impact issues.

https://www.fiscal.treasury.gov/fsservices/gov/fit/fit_home.htm

US Digital Service

The US Digital Service seeks to: transform critical, public-facing services; bring top technical talent into public service; expand the use of common platforms, services and tools; and rethink how the government buys digital services. USDS recruits technologists for “tours of duty” in the federal government, in so doing it creates vital linkages between high-skilled workers, cutting-edge businesses, and the public sector.

<https://www.usds.gov/>

How would GEAR approach potential early areas of focus, including federal workforce reskilling and using federally-owned data for society and the economy? (Qs 7, 8)

The models presented in Design Element 2 above could be applied to a variety of initial projects, including those identified by OMB as potential high-value early engagements, such as approaches to federal workforce reskilling and commercializing federally-owned data. We discuss a workflow that reflects the hub and spoke model below; this could be adapted for other operating models as well.

We envision that on a regular basis, OMB, and federal agencies would propose areas of high-need research and analysis on federal management issues which the GEAR Center could address. Under this model, a Steering Committee would consider the full range of areas of high need identified by federal leaders and help set priorities for the GEAR Center over some time horizon.

If the Steering Committee, in consultation with federal leaders and GEAR staff, identified federal workforce reskilling as a key priority, the staff of the GEAR Center would assume management responsibility for the initiative alongside federal partners who could help obtain necessary data, make intergovernmental connections, advise the project, and integrate findings back into government. The staff would scope the project, conducting due diligence and identifying key deliverables, timeline, and proposed budget. In the case of federal workforce reskilling, this might include obtaining relevant data on the status quo of workforce capacity at some group agencies, completing a gap analysis of critical needs, identifying barriers and opportunities for upskilling the current workforce, and assessing leading practices in workforce retraining.

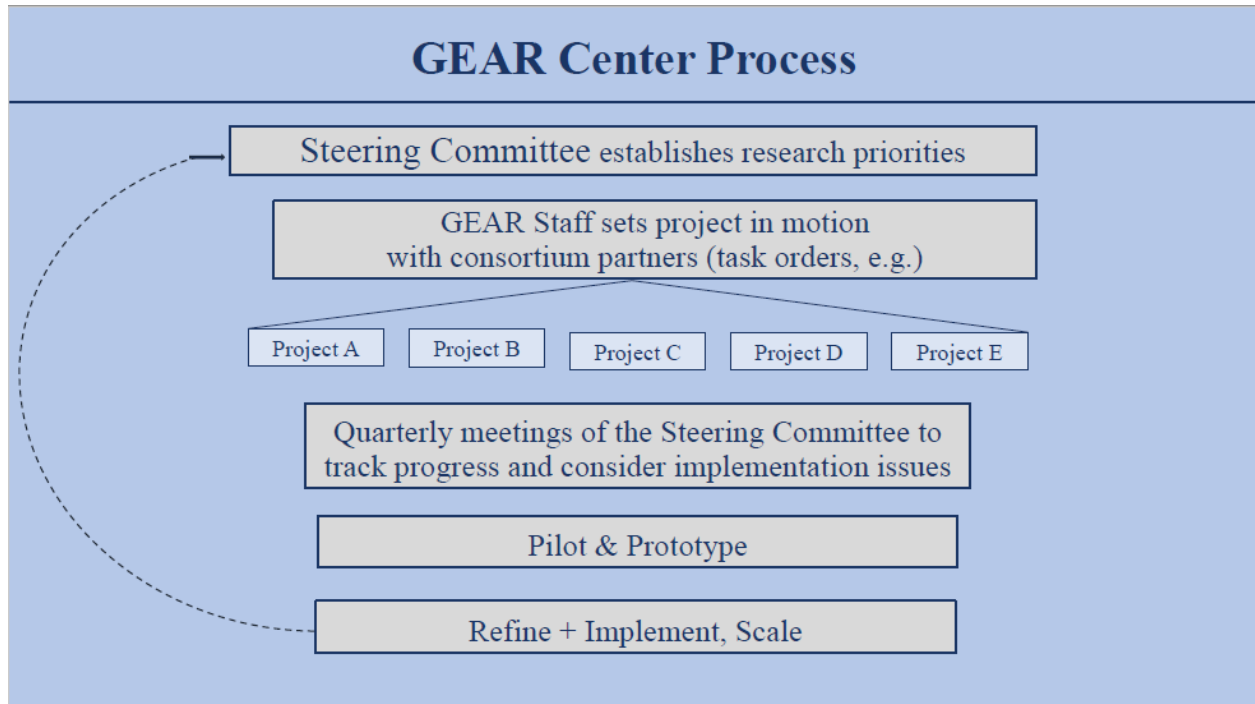
With this general framework, the GEAR Center would then consult the network of research and technical partners to identify university, non-profit, or private sector resources with deep subject matter expertise in the relevant policy area, whose capabilities match core deliverables. The stable of partners would be assembled and continuously expanded by the Center to have ready partners for all manner of future work. The GEAR Center staff could select the partner or group of partners to provide the research, analysis, and technical assistance required for a given project. In the case of workforce reskilling, this might include a university recognized as a leader in pedagogical innovation, and a workforce development-focused non-profit organization.

Together, the GEAR Center staff, research and technical partners, and federal partners, in frequent consultation with the Steering Committee, would study the relevant problem, propose actionable solutions, and design pilots to test these solutions. With the staff in a project managerial role, this cohort would work towards a recommended enterprise-wide solution. The GEAR Center would provide a roadmap to help deploy solutions across government, and the Steering Committee and federal leaders would assist them in ensuring implementation.

In the case of workforce reskilling, the GEAR Center staff and its research and technical partners might develop an upskilling program for existing federal employees in a key functional role, pilot that program with a subgroup of agencies and assess outcomes, and work with agency

leadership to determine if and how it should be expanded. The learnings from this project cycle would inform future decisions by the GEAR Center Steering Committee and staff.

Exhibit 1: Project Route Map



OUR CONSORTIUM MEMBERS: MISSION AND AREAS OF EXPERTISE

Center for Technology in Government State University of New York at Albany

CTG UAlbany is an applied research institute focusing on transforming public service through innovations in policy, management, and technology. Founded in 1993 as a first of its kind public private partnership focused on government information strategy and management, CTG UAlbany, an Innovation in America Government award winner, works closely with multi-sector and multi-disciplinary teams from the U.S. and around the world to carry out applied research and problem-solving projects focused on the intersections of policy, management, and technology in the governmental context. With funding from organizations such as the U.S. National Science Foundation, Ford Foundation, U.S. Department of Justice, United Nations, World Bank, U.S. Library of Congress, U.S. National Archives and Records Administration, SAP, Microsoft Corporation, and New York State, among others, CTG's work has broken ground in information and knowledge sharing, open government and open data, e-government, social media policy, and mobile technologies and human services delivery.

IBM Center for The Business of Government

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

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

Since its creation in 1998, the Center has awarded research stipends to public management researchers in the academic and non-profit communities that have resulted in nearly 380 reports - all of which are available on the Center's website: www.businessofgovernment.org

John Glenn College of Public Affairs Ohio State University

The John Glenn College of Public Affairs at the Ohio State University is a comprehensive, degree granting public affairs program that educates and trains undergraduate and graduate

professional students and working professionals for public service, and generates knowledge to aid public decision makers in solving public problems. The College follows Senator John Glenn's founding vision to "inspire citizenship and develop leadership".

The Glenn College has core expertise in public and nonprofit management and leadership, public policy analysis and evaluation, and public budgeting and finance. The Glenn College's faculty members also bring expertise in public-private partnerships, public sector contracting and acquisition, and performance measurement and program evaluation.

The Glenn College serves as a hub at The Ohio State University, bringing together the university's 14 other colleges (including arts and sciences, six other professional colleges, and seven medical colleges) and other campus units around public management and public policy issues. The College integrates these university assets and connects them to public decision makers at the federal, state and local levels to develop and execute solutions to public problems.

Lyndon B. Johnson School of Public Affairs, University of Texas at Austin

The LBJ School, one of the nation's top public affairs schools, makes a difference, not only within the walls of academia, but also in the public and social dialogue of the world. Contributing viable solutions to society is the LBJ School's legacy and its benchmark. Its effectiveness in channeling the purpose and passion of students into professional careers is evident in the success of more than 4,000 graduates who are the living legacy of President Johnson's bold and fearless action. For more, visit <http://lbj.utexas.edu/>.

Maxwell School of Citizenship and Public Affairs Syracuse University

The Maxwell School of Citizenship and Public Affairs is Syracuse University's home for innovative, interdisciplinary teaching and research in the social sciences, public administration, public policy, and international relations. It is consistently ranked among America's top graduate schools of public affairs (*U.S. News & World Report*), offering highly regarded professional degrees alongside advanced scholarly degrees in the social sciences. It is also home to Syracuse University's undergraduate programs across the social sciences.

Maxwell scholars conduct wide-ranging research through nine interdisciplinary centers, each focused on a topical area within public affairs, such as governance, social and economic policy, conflict and collaboration, public wellness, aging, energy and environment, national security, regional studies, and more. For more information, please visit www.maxwell.syr.edu.

National Academy of Public Administration

The National Academy of Public Administration is an independent, non-partisan institution chartered by the Congress with the mission of assisting agencies with significant public management challenges and recommending timely actions. Since its establishment in 1967, the

Academy has responded to numerous requests for assistance from the Congress and federal departments and agencies, as well as state and local governments, international entities, and foundations, on issues of importance. The core of the Academy's expertise is its membership, which includes over 850 current and former Cabinet officers, members of Congress, governors, flag officers, business executives, city and county officials, public managers, and scholars who are elected as Fellows because of their distinguished contributions to the field of public administration through government service or scholarship. The Academy's membership includes Fellows with outstanding leadership experience in cross-agency, agency-specific, and intergovernmental management challenges.

Rockefeller College of Public Affairs and Policy University at Albany, State University of New York

The University at Albany's Rockefeller College of Public Affairs and Policy is New York State's premier public option for undergraduate and graduate students that wish to study politics, policy, or public administration. Through its Departments of Public Administration and Policy and Political Science, Rockefeller College serves more than 1,300 students and boasts a global alumni network of over 10,000 graduates. Nationally ranked by US News and World report in the fields of information and technology management (5th), nonprofit management (10th), public finance and budgeting (14th), and public management (15th), the college is also known for its expertise in public law, terrorism and homeland security, public policy, and international development. The College offers two undergraduate degrees (Political Science and Public Policy and Management), several graduate certificate programs, three master's programs (Master of International Affairs, Master of Public Administration, and Master of Arts in Public Science), and PhD programs in Political Science and Public Administration and Policy. In addition to strong academic programs, Rockefeller College has a dedicated Office of Career Development that provides a variety of professional support to our students.

School of Public Affairs American University

Established in 1934, American University's School of Public Affairs (SPA) is top-ranked by US News and World Report – offering undergraduate, graduate and executive-level programs to build and enhance careers in public service. The school combines access to Washington, DC with world-renowned faculty and transformational research that drives progress in policy, politics and public administration.

Over the last 80+ years, SPA has cultivated a culture of excellence. Our personalized teaching and experiential education transform the student experience. We empower those who seek knowledge to conduct and produce research. Our multifaceted, interdisciplinary approach encompasses the analytical reasoning, contextual knowledge, effective communication, and comprehensive understanding our students need to lead with distinction in organizations that

serve the public good. And we promote engagement to build a bridge between academic thought and policy planning - inspiring change in the world.

Through the School's Key Executive Leadership Program, offering an Executive MPA and Certificates to develop extraordinary leaders with a passion for public service. Initially established to serve the federal sector, our program has grown to include executives from the state and local levels - along with their peers in the nonprofit and private sectors who partner with, and influence, the federal government.

Today, with 1,800 current students and 23,000+ alumni, SPA continues to tackle complex issues with applied research that educates, informs, and promotes change across a multitude of fields.

The Center for Government Effectiveness Johns Hopkins University

The Johns Hopkins Center for Government Excellence (GovEx) helps governments use data to make decisions and improve people's lives. We support governments in building internal capacity to improve or initiate sustainable analytics practices that drive performance through a full range of outcomes-centered services.

Since its launch in 2015, the Center for Government Excellence has;

- Assessed over 130 governments on how leaders and external stakeholders manage and use data
- Provided technical assistance to 98 cities in the United States and 8 international cities
- Trained over 2,400 civil servants with in-person and online courses on performance management, open data, and analytics

GovEx's unique approach to technical assistance focuses on providing government partners with the necessary resources and training to build capacity and continue improving its data practices long after its engagement with GovEx ends. GovEx data management expertise helps government partners:

- Treat data as a strategic asset
- Create buy in among key stakeholders
- Connect data management to organizational goals
- Deliver data from those who have it to those who need it
- Aggregate and organize data for analysis and dashboarding
- Enhance the reliability and security of data across the enterprise

GovEx's work with governments to build performance management routines and structures with an eye toward outcomes. GovEx provides deep expertise in helping government:

- Create cohesion between goals, metrics, and timelines
- Enhance line of sight between staff, programs, departments, and the enterprise
- Help staff become better consumers of data
- Strengthen collaborative relationships between stakeholders
- Publish analysis of key issues and progress on priorities

- Improve data analysis for presentations to leadership and the public
- Turn analysis and discussion into concrete action

The Governance Lab New York University

The Governance Lab is an action research center at New York University. Our mission is to improve people's lives by changing the way we govern. Our goal at The GovLab is to strengthen the ability of institutions—including but not limited to governments—and people to work more openly, collaboratively, effectively, and legitimately to make better decisions and solve public problems. We believe that increased availability and use of data, new ways to leverage the capacity, intelligence, and expertise of people in the problem-solving process, combined with new advances in technology and science, can transform governance. We approach each challenge and opportunity in an interdisciplinary, collaborative way, irrespective of the problem, sector, geography, and level of government. For more information, visit thegovlab.org

The Volcker Alliance

The Volcker Alliance advances effective management of government to achieve results that matter to citizens. The nonpartisan Alliance works toward that objective by partnering with other organizations—academic, business, governmental, and public interest—to strengthen professional education for public service, conduct needed research on government performance, and improve the efficiency and accountability of governmental organization at the federal, state, and local levels.

The Volcker Alliance was launched in 2013 by former Federal Reserve Board Chairman Paul A. Volcker, who served in the federal government for almost thirty years. Mr. Volcker is known for his commitment to effective government for the public good. The Alliance's work is inspired by his legacy of public service and grounded in a set of beliefs about what constitutes effective government.

The Volcker Alliance is steadfastly nonpartisan in our selection of issues and partners and in our approach to seeking solutions. Learn more at www.volckeralliance.org.