25 October 2017

Board of Advisors
NPS Subcommittee Meeting

Ms. Jaye Panza, Designated Federal Official, welcomed the BOA members and convened the meeting at 0830 hours on Wednesday, October 18, 2017 at CNA, 3003 Washington Blvd., Arlington, Virginia.

VADM (Ret) David Frost, Subcommittee Chairman, asked members to introduce themselves, gave opening remarks and instructions, and turned the time over to President Ron Route. President Route provided updates since the last meeting, including follow-up on issues addressed at the April 2017 sub-committee meeting. President Route also provides board members with a copy of his monthly email updates he sends to the VCNO.

President Route provided the board a listing of Secretary of the Navy Guest Lecturer (SGL) series visits. SGL's are an important part of the NPS experience for students, giving them insight outside the curriculum and the opportunity to listen to (and ask questions of) experienced leaders. Also during his presentation, he discussed accomplishments including the number of degrees conferred; an update on the Center of Executive Education (CEE); Leadership in Cyber Efforts; OPNAV/NPS Coordination; Community Engagement; Command Climate Survey Results; and NPS Foundation Relationship.

Dr. Katherine McGrady asked for a breakdown of the STEM vs the non-STEM degrees.

President Route indicated the CEE has gotten broader with its mission to include tailored support for new Flag Officers in areas such as managing change, leadership growth, and development in a climate of change. SES leaders attend as well.

NPS/NWC BOA Chairman Lee Gunn asked if the CEE has integrated into the overall Leadership Continuum with the NWC? Presidents Route and Harley indicated the two schools work together, however each curriculum stands alone.

Dr. Pate-Cornell asked if the programs include a spectrum of technology that students will face (role of space; role of information technology). She stressed the importance of exposing students to technology. President Route indicated an "All Hands Cyber Course" was developed and covers a baseline into technology.

Chairman Gunn asked if there is coordination between both schools on Cyber? Yes, both institutions share a core curriculum.

Chairman Frost commented that NPS has different kinds of outreach that go beyond in-residence education. Cyber is a perfect example. Future senior leaders need to be provided with a foundation and on-going education. He suggested thought be given

regarding more creative ways to accomplish this for those who don't have time to come to NPS to get a Masters.

NWC Chairman Chris Jehn commented on the under-filled quotas in STEM and asked about STEM career progression. Officers are responding to signals and incentives the Navy gives. He asked how STEM background and education is rewarded by promotion boards? Perhaps this needs to be changed?

President Route continued his brief providing updates on Full Ship Shock Trials, where an NPS Team completed a CNO directed review of benefits & options for ship shock trials. An NPS team also coordinated with NAVAIR and NAWC TSD Orlando to survey aircrew and maintenance personnel and analyze databases on an F/A-18 and T-45 Hypoxia Initiatives.

President Route described the Crew Endurance Study done by NPS Professor Nita Shattuck. NPS is sharing results with the US Marine Corps. He indicated that VCNO is working a 90-day review on lessons learned on ship collisions. Two NPS professors have been selected to be part of a SECNAV review panel.

NPS is adapting education and providing certificate programs. Certificate programs are the wave of the future and NPS is receiving many demand signals from OPNAV.

President Route discussed the Improved Business and Financial Management aspects at NPS. Most of the financial authority has been given back to the NPS President. NPS is now allowed to manage its people and money. The extraordinary controls that were imposed have been removed.

There are continued acquisition process improvements at NPS. All work that was not 51% compliant has transitioned out of NPS. The school has lots of flexibility as long as 51% is done in-house. NPS now has reimbursable FTE to grow reimbursable activities into areas that are most relevant to the Naval Service and can now address a broader range of naval needs.

President Route provided a command climate comparative chart (2016 – 2017) and indicated good improvement in many areas. NPS is still working on diversity management and have been hiring more women and minorities. Faculty promotion boards are taking diversity into consideration while looking for unconscious biases. NPS continues to also embrace diversity with our search committees. Exit interviews for departing faculty have been implemented, but there are very few data points so far.

The NPS Foundation support and relationship has never been stronger. Foundation Strategic Plan Vision includes growth to a $25M Foundation in five years. The Foundation is still considered a prohibited source. The issue is being worked by the OPNAV staff. Dr. Elisabeth Pate-Cornell asked if there was a document that spelled out the rules for prohibited sources that would apply to the NPS foundation. The board intends to address this issue in more depth at the next meeting in Monterey.

Provost Lerman discussed the guiding principles of the NPS Strategic Plan. NPS faculty are being consulted and are engaged. He also discussed the process of drafting the new strategic plan. This includes conducting stakeholders meetings to identify the challenges, identify NPS strengths, and evaluate any weaknesses. The process includes development of key strategic areas. Provost Lerman noted the initial list of these changed as he consulted with the faculty and staff.

Board members had a discussion on the core mission description and asked if it needed to be changed to include international and defense-related students.

Provost Lerman discussed the key strategic areas needed in our education and research programs to best respond to both opportunities and needs. He is discussing focus areas with entire NPS faculty/staff crossing disciplinary boundaries. After the meetings are held he will produce a draft that will be boiled down into an actual plan. Chairman David Frost stressed that NPS needs to clearly define goals as the first step in developing a strategy.

Dr. Elisabeth Pate-Cornell suggested adding Energy and Space to the listing of strategic areas. Mr. Frank DiGiovanni suggested adding three additional major areas: Data Analytics/Data Science; Symbiotic relationship between automation/robotics and human domain of defense (link between those two); and Absorptive capacity of the navy to take on new things. Chairman Frost commented that more emphasis is needed on technology education for senior leaders—navy is very dependent on space, for example, yet exposure to the technical realities of space is not easily available.

Provost Lerman discussed next steps after meetings on the strategic plan, together with possible actions. He indicated the plan will not only identify what NPS will do, but will identify what not to do.

Once the major areas are decided, NPS will identify potential resources, such as reorganizing priorities within the existing NPS budget; possible NPS Foundation support; garnering new reimbursable funding in areas that are aligned properly with strategic priorities; and the POM process.

Provost Lerman's timeline is to have a working draft by end of calendar year. President Route indicated he would like to present at next AERB in early December.

Provost Lerman provided a Faculty Update brief which focused on hiring, losses, and provided reasons why they left.

NPS is losing considerably more faculty than hiring. Reasons include recent hiring freeze, previous travel/conference restrictions; sequestration, previous furlough, reimbursable funding that expired, and realignment of activities (SMART program gone).

Provost Lerman highlighted reasons for leaving by tenure track and non-tenure track. Biggest reasons faculty stay are because they are committed to the mission and because of love of the students. He indicated that NPS will be facing four retirements in the Computer Science Department in 2018. The issue of faculty recruitment, retention, and morale has been a concern for some time. The subcommittee will review again at the April meeting in Monterey.

President Route announced that there are 80 – 100 hiring actions currently in process for positions throughout the school. He indicated that conference travel approval has been given back to the command and that faculty are relieved.

Dr. Katherine McGrady commented that is very good data and suggested NPS continue to monitor. Chairman Frost asked NPS to continue to accumulate data through the exit interview process.

The Board Chairman requests an Accreditation Update at the next meeting, April 25 – 26, 2018.

The DFO asked if there were any comments from the public. Being none, meeting was adjourned at 12:30pm.

Approved.

David E. Frost
Vice Admiral, U.S. Navy (Retired)

Meeting Attendees:

= Parent Board Member
= NPS Subcommittee Member
= NWC Subcommittee Member

Board Members:

VADM (Ret) Lee Gunn, USN /
Dr. Katherine McGrady
Dr. M. Elisabeth Pate-Cornell /
VADM (Ret) David Frost, USN
Honorable G. Kim Wincup
Dr. Robert Fossum
Honorable Christopher Jehn

Ex-officio Members:

Mr. Frank DiGiovanni and Mr. Dave Menzen, for N1 / /
Dr. James Anderson, for TECOM /
Dr. Jim Breckenridge, for AWC
Dr. Walter F. Jones, for ONR
Dr. Sritharan Sivaguru, for AU

NPS Staff:
President Ron Route
Provost Steve Lerman
LT Jeff Steiner

NWC Staff:
President Jeff Harley
Provost Lewis Duncan
LT Robert Notari

Honored Guests:
Honorable Richard V. Spencer
Mr. Robert L. Woods

Prospective Board Member Observers:

Mr. Don Dixon
Dr. Gwen Hall
Dr. David Chu

Designated Federal Official:
Ms. Jaye Panza
Dr. Thomas Gibbons, Alternate

Board of Advisors to the Presidents of the Naval Postgraduate School and the Naval War College

Meeting Agenda

October 18 & 19, 2017

Purpose of Meeting: *Annual Board meeting of the NPS/NWC Board of Advisors and its two subcommittees to elicit the advice of the boards on the Naval Service's Postgraduate Education Programs; Leader development continuum, and any other matters relating to the operations of the NPS and NWC as the board considers pertinent.*

Host and Meeting Location: *CNA Building, Dr. Katherine McGrady, President and CEO of CNA*
(for all events) *3003 Washington Boulevard, 2nd Floor Board Room, Arlington, VA 22201*

Parking: *3001 Washington Boulevard (Underground) – Daily Max $10.00 – Closes at midnight*

Lodging: *Residence Inn Arlington Courthouse*
1401 North Adams Street, Arlington, VA 22201 (703) 312-2100

Shuttle Service: *American Chauffeur Services, LLC (202) 294-3434*

Navy Uniform: *Khaki (Service Equivalent)*
Civilian Dress: *Business dress (tie optional)*
For Dinner Event: *Jacket/Tie optional*

Action Officers/Designated Federal Official:
Ms. Jaye Panza (831) 656-2514 (office) or (831) 402-0587 (mobile)
Alternate Designated Federal Official: *Dr. Thomas Gibbons (401) 841-4008 (office) or (401) 662-3297 (mobile)*
Aide to NPS President Route: *LT Jeff Steiner (815) 263-3032 (mobile)*
Aide to NWC President Harley: *LT Robert Notari (845) 721-4760 (mobile)*

Time	TUESDAY, October 17, 2017 Event	Location
Various Times	Traveling Members Arrive *(Obtain taxi or metro to hotel)*	Airport
Lodging	Residence Inn by Marriott Arlington Courthouse	1401 N. Adams Street Arlington, VA 22201 (703) 312-2100

Time	WEDNESDAY, October 18, 2017 Event	Location/Speaker
7:30am and 7:45am	Depart Hotel (front steps) for CNA	ACS Shuttle to 3003 Washington Blvd Arlington, VA
8:00am	Breakfast Basket and Fruit Tray	CNA 2nd Floor Boardroom
8:30am	Naval Postgraduate School Subcommittee Meeting Begins ➢ Welcome/Introductions ➢ Administrative Business/Chairman Instructions	Call to Order/DFO Chairman David Frost
9:00am	➢ President's Update ° SGL Series ° Accomplishments ° OPNAV/NPS Coordination ° Community Engagement ° Command Climate Survey ° NPS Foundation Update	President Ron Route
10:00am	*Break*	
10:15am	➢ Provost's Update ° Strategic Plan/Institutional Advancement ° Faculty Update	Provost Steve Lerman
11:15am	Board Discussion	Chairman Leads
12:15pm	*Break*	
12:30pm	Luncheon for all participants	CNA 2nd Floor Boardroom
1:30pm	*Break*	

Time	WEDNESDAY, October 18, 2017 Event *(Continued)*	Location/Speaker
1:45pm	Naval War College Subcommittee Meeting Begins	Call to Order/DFO
	➢ Chairman Remarks/Instructions	Chairman Chris Jehn
	➢ President's Update ◦ Accomplishments ◦ Strategic Plan ◦ Diversity—Way Forward ◦ Challenges	President Jeff Harley
2:45pm	*Break*	
3:00pm	Board Discussion	Chairman Leads
5:30pm	Meeting Adjourns	Shuttle to Hotel available
6:00 – 8:30pm	See DFO for event	

Time	THURSDAY, October 19, 2017 Event	Location/Speaker
7:30am and 7:45am	Depart Hotel (front steps) for CNA	ACS Shuttle to 3003 Washington Blvd. Arlington, VA 22201
8:00am	Continental Breakfast	CNA 2nd Floor Boardroom
8:30am	Joint NPS/NWC BOA Meeting Begins *(with both Subcommittees in attendance - breaks to be called by Chairman)*	Call to Order/DFO
	➢ Chairman Remarks	Chairman Lee Gunn
	➢ Officer Career Paths/Graduate Education and PME	Mr. Frank DiGiovanni
	➢ Out briefs from Subcommittees ➢ Discuss topics raised from Subcommittee meetings	Chairmen Lead
	➢ Membership Update	Mr. Menzen/DFO
	➢ Write Report	Chairmen Lead
12:00noon	Meeting Adjourned	ACS Shuttle to Hotel
	Depart CNA for Hotel or Airport	Taxi or Metro to Airport

FOR YOUR CALENDAR - Future Meetings:

NWC BOA Subcommittee April 5 – 6, 2018
(Newport, RI)

NPS BOA Subcommittee April 25 – 26, 2018
(Monterey, CA)

Fall 2018 Joint Meetings October 17 – 18, 2018
(Arlington, VA)

NPS President's Update

Board of Advisors Meeting
18-19 October 2017
Arlington, VA

Agenda

- Secretary of the Navy Guest Lecture (SGL)
- NPS Accomplishments
- OPNAV/NPS Coordination
- NPS Community Engagement
- Command Climate Survey
- NPS Foundation Update

Secretary of the Navy Guest Lectures

2017 Secretary of the Navy Guest Lecture (SGL) Series

- Dr. Robert Gates, Former SECDEF;
- LTG (Ret) Karl Eikenberry, Former U.S. Ambassador to Afghanistan;
- Dr. David Chu, President, Institute for Defense Analyses;
- VADM (Ret) Patricia Tracey, Former Deputy Assistant Secretary of Defense for Military Personnel Policy;
- ADM Harry Harris, Commander, U.S. Pacific Command;
- Ms. Leanne Caret, EVP, Boeing;
- Gen John Hyten, Commander, U.S. Strategic Command;
- ADM Philip Davidson, Commander, U.S. Fleet Forces Command;
- Mr. Leon Panetta, Former SECDEF;
- RADM (Ret) Tony Kurta, Acting Under Secretary of Defense (P&R)

NPS Accomplishments (CY2017)

- Conferred 866 degrees
  - 851 Master's/15 PhDs
- Center for Executive Education
  - Delivered 44 Executive Education courses to nearly 800 Navy Senior Leaders
- Full Ship Shock Trials
  - NPS Team completed CNO directed review of benefit & options for ship shock trials – "Assessment of Ship Shock Hardening Validation Options"
- F/A-18 and T-45 Hypoxia Initiatives
  - NPS team coordinating with NAVAIR and NAWC TSD Orlando to survey aircrew and maintenance personnel and analyze databases.
- SECNAV's Strategic Readiness Review (SRR) Participation
- Leadership in Cyber Efforts
  - All Hands General Cyber Course Established
  - Established cyber degree and certification programs
  - Led execution of HACKtheMACHINE in coordination w/ MIT
  - Participation in Cyber Endeavor

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NPS Accomplishments (CY2017)

- Joint Interagency Field Experimentation
  - 6 COCOMs, 9 U.S. government agencies, 6 allied nations
- NATO Technical Team Participation
  - Dr. Jeff Appleget and COL Robert Burks were selected as U.S. members. "Course of Action Analysis for the 21st Century."
- NPS Distance Learning (DL) Program Expansion
  - Network Operations & Technology Certificates (IS) – N2/N6 Community
  - Cyber Security Certificate (CS) – for IDC Officers
  - Data Science Certificate – Sponsored by NRO / USMC
  - Naval Energy Certificate – Sponsored by N45
  - EMBA Degree – Expanded cohort, model to serve Submarine community
  - Masters of Systems Analysis (MSA) – Doubled Naval enrollment
  - Systems Analysis Certificate (DL) – Increase Naval Enrollment
  - NC3 (Nuclear Command, Control, Comm.) Certificates & Degree

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NPS Accomplishments (CY2017)

- Improved Business & Financial Management
  - Implemented the Workload Acceptance Process (WAP) and codified in an NPS instruction
  - Implemented the Reimbursable Work Order (RWO) process with coordination across Financial Management, Research and Sponsored Program Office and OGC
  - Executed over 1000 reimbursable funding documents and amendments in support of all facets of the command operations
- Continued Acquisition Process Improvements
  - All 51% non-compliant work has transitioned out of NPS
  - Mature Services Requirements Review Board Program since 2013
  - Acquisition Portal created to provide support to the NPS Enterprise
  - Zero Unauthorized Commitments since 2014
  - Satisfactory PPMAPs since 2013
  - GCPC rebates total $1.1M since 2012

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NPS/NWC/USNA Acquisition Synergy

- **FY16-FY17 Accomplishments**
  - Long Term Indefinite Delivery/Indefinite Quantity Multiple Award Contracts
    - Research and Education ($502M over 5 years)
      - Strategic Sourcing of Research and Education Services
    - Information Technology ($78M over 5 years)
    - Strategic Sourcing of Information Technology Services
  - Services Requirements Review Board Policy/Implementation

- **FY16-FY17+ Collaboration Efforts**
  - Standard Contracting Authority – Naval Supply Systems Command
  - Direct Cite Fund Lines of Accounting to NPS/NWC Contracting Office to advance Long Term Solutions

- **FY18 Collaboration Plan**
  - Work Flow Agility: Improve Customer Service/Knowledge Base
    - Standard Procurement System – Underway
    - STARS to SABRE Implementation - Underway
  - NHEITC Annual Meeting
    - IT, Contracting, Comptroller & Library teams collaborate and identify areas for improved efficiencies, common constraints, then develop resolution strategies

Collaboration, Agility, Efficiencies across NPS/NWC/USNA

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OPNAV/NPS Coordination

- NPS Work Acceptance Package (WAP) Instruction – Completed
  - Returned Level 1 and 2 WAP approval authority to NPS.
    - Working to return all non-4s to NPS decision through revision of 30DEC15 WAP Memo
- Reimbursable Funds Assessment – Completed
- NPS Mission, Functions and Tasks Inst. – in final routing OPNAV
- Modified Direct Cost Tuition – Continuing coord. with OPNAV
- RWO Instruction Interpretation
  - Progress made with OPNAV toward consideration of 51% rule waivers.
- NPS Conference Approval Authority
  - NPS now approved to host conferences up to $500k & approved for attendance of NPS at non-DOD conferences that are less than $500k.
- Mid-Year/End-of-Year Funding
  - NPS will continue coord. with OPNAV to highlight critical unfunded requirements.

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NPS Community Engagement

- Team Monterey Consortium
- Panetta Institute Cooperation
- Monterey Bay Area Cooperative Library System & Pacific Library Partnership
- Multiple Education Partnership Agreements w/ Area Schools
- Multiple STEM Internship Programs
  - Community College Catalyst
  - Science, Engineering Apprenticeship Program
  - Monterey Bay Regional Ocean Science Research Experiences for Undergrads
- Monterey County Science and Engineering Fair Judging Panel
- NSAM/NPS Joint Community Activities
  - Concerts on the Lawn
  - NSAM/NPS "Discover NPS" Day

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Command Climate Update

- Improvements in the NPS Command Climate

COMPARISON OF NPS TO SERVICE LEVEL AVERAGES

CATEGORY	Jan-16	Jul-17
ORGANIZATIONAL COMMITMENT		
TRUST IN LEADERSHIP		
ORGANIZATIONAL PERFORMANCE		
ORGANIZATIONAL COHESION		
LEADERSHIP COHESION		
JOB SATISFACTION		
ORGANIZATIONAL PROCESSES		
DIVERSITY MANAGEMENT		
HELP SEEKING BEHAVIORS		
EXHAUSTION		
SEXIST BEHAVIORS		
SEXUAL HARASSMENT		
SEX DISCRIMINATION		
RACIST BEHAVIORS		
DISABILITY DISCRIMINATION		
RACIAL DISCRIMINATION		
AGE DISCRIMINATION		
RELIGIOUS DISCRIMINATION		
DEMEANING BEHAVIORS		
HAZING BEHAVIORS		

BLUE=NEAR SERVICE AVERAGE

Source: 2017 NPS DEOCS Climate Survey

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NPS Foundation Update

- Foundation support and relationship with NPS never stronger
  - Foundation Strategic Plan
    - Vision includes growth to $25M Foundation in five years
  - Defense Fellows Program
- Current legal restrictions significantly inhibit future growth
  - Non-Federal Entity (NFE) status prohibits advancing Foundation growth
    - NFE Exemption submitted by OJAG in early 2017
  - The NFE exemption underpins the NPS/Foundation partnership, growth and support levels and allows for efficiencies and synergy
  - VCNO visit agenda to NPS in September included Foundation

Foundation represents a unique opportunity to provide NPS future growth in support to set conditions to innovate and build research partnerships – the Board of Advisors could serve as advocate for relief of NPSF restrictions.

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Strategic Plan Development

NPS Board of Advisors
October 2017
Steve Lerman, Ph.D., Provost and Academic Dean

The Nation's Premiere Defense Research University

Monterey, California
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Some Guiding Principles

- Core mission of NPS is graduate education of Naval and other military officers relevant to defense needs.
- Achieving this mission requires NPS to expose students not just to solutions to today's problems, but to give them the critical thinking skills they need to solve future problems. Training prepares them for the known; education prepares them for the unknown.
- Research is an essential element of high quality graduate education. It provides students with important thesis opportunities, assures that faculty work remains relevant to Naval and other defense needs, and sustains excellence of the faculty.
- Future of graduate education is likely to require tailoring content, mode of delivery and structure of programs to meet needs of diverse defense-communities.
- NPS's blended financial model (combining direct and reimbursable funding) fosters innovation and assures relevance of education and research to defense needs.

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Strategic Planning Process

- Stakeholders meetings; Evaluation of strengths and weaknesses
- Development of Key Strategic Areas – *The initial list of these changed as we consulted with the faculty and staff.*
- Proposed Actions
- Resources for Implementation
- Monitoring and Revision

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Major Areas for NPS Strategy

Talent Management	Educational Innovations
Autonomous Systems	Simulation, Visualization, Virtualization and Modeling
Culture of Innovation	Strategy, Diplomacy, and Cross-Domain Deterrence
Human Domain of Defense	Emerging Technologies
Ethics and Decision-Making	Cyber Operations
Environmental Effects on Defense	?

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Examples of possible actions

An incomplete list to stimulate discussion…

- Cluster hiring of new faculty in strategic areas, e.g. data science
- New hybrid educational programs (i.e. programs that combine in residence and distance learning)
- Building labs in quantum computing, additive manufacturing and cyber
- Degree programs organized as collection of "stackable certificates"
- Expanding interdisciplinary collaboration by increasing the number of academic groups that bring together faculty from diverse schools and departments
- Expanding partnerships with companies, universities and governmental organizations in Silicon Valley

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Potential Resources

- Reorganized priorities within NPS budget
- NPS Foundation support
- New reimbursable funding in areas aligned with strategic priorities
- POM process