



# National Telecommunications and Information Administration

## Mission Statement

The National Telecommunications and Information Administration (NTIA) advises the President on domestic and international communications policy, manages the federal government's use of the radio frequency spectrum, and performs research in telecommunications sciences.

**N**TIA's major responsibilities fall in the spectrum management and communications policy arena. NTIA is the manager of the federal government's use of radio frequency spectrum. NTIA is also the President's advisor on communications policy matters. NTIA is frequently asked by both the Administration and Congress to conduct studies of key policy issues.

In conjunction with the State Department and the Federal Communications Commission (FCC), NTIA represents the United States' interests on communications issues abroad. NTIA participates in a variety of international fora, such as the International Telecommunication Union, the Organization for Economic Cooperation and Development, the Asia-Pacific Economic Cooperation, and the Inter-American Telecommunications Commission. NTIA also participates in direct bilateral and multilateral negotiations with key strategic nations.

NTIA continues to promote competitive, private sector leadership of Internet domain name system (DNS) management. Progress towards DNS management privatization is achieved through agreements between the Department of Commerce and the Internet Corporation for Assigned Names and Numbers (ICANN), the organization selected by the Department of Commerce in 1998 as the project partner in this undertaking. Among the agreements overseen by NTIA are the umbrella Memorandum of Understanding (MoU), which recognizes ICANN as the not-for-profit organization to which DNS functions are being transitioned, and a contract for the performance of the Internet Assigned Numbers Authority (IANA) functions, which coordinates the technical operation of the Internet.

The Institute for Telecommunication Sciences (ITS) is NTIA's chief research and engineering arm, and also serves as a principal federal resource for solving the telecommunications concerns of other federal agencies, state and local governments, and private associations and organizations.

NTIA currently is the lead agency for the communications and information sector for purposes of helping industry ensure that the critical communications network remains functioning in the face of a cyber or physical attack.

## Priorities/Management Challenges

NTIA's priorities are to promote competition and remove regulatory impediments to the development of new technologies, to promote international trade in telecommunications products and services, to identify and promote new wireless technologies and spectrum efficiencies, and to perform basic research on telecommunications technology. The major challenge for NTIA in the spectrum management area is to meet the ever-growing demands for spectrum on the part of both the public and private sectors. This ultimately will involve significant changes in spectrum management practices, both in the U.S. and worldwide. A major portion of NTIA's resources is devoted to this challenge.

## FY 2004 Program Changes

*(Dollars in Thousands)*

### *Salaries and Expenses*

	Base		Increase / Decrease	
	FTE	Amount	FTE	Amount
Paperless system for spectrum policy	26	\$4,808	0	+\$1,000

To meet increasing demand for Federal wireless communication systems and services, most notably for public safety requirements within the reduced spectrum resources available, NTIA will establish a paperless system for spectrum issue resolution, certification, satellite coordination and frequency authorization. This request will be matched with \$4.0 million in reimbursements from the Federal agencies that use spectrum.

	Base		Increase / Decrease	
	FTE	Amount	FTE	Amount
Spectrum efficiency and planning - interference determination methods	26	\$4,808	+2	+\$620

Interference determination methods will support more efficient use of the radio spectrum, a critical requirement as available spectrum becomes more and more scarce due to increasing requirements for spectrum access. This program will provide spectrum managers, radiocommunication designers and developers, and radiocommunication users with the capabilities, tools and procedures to minimize interference to and from their systems. Techniques and methods to define the electromagnetic environment, to define the interference effects from this environment; and to prevent and minimize these interference effects will be surveyed and documented.

In the national and international arena, interference problems are also beginning to surface with greater regularity as the search goes on to identify spectrum for an ever-expanding number of new and innovative radio-based telecommunication and radar services. Billions of dollars of investment are contingent on the availability of spectrum where in-band and adjacent-band interference concerns are resolved either through proper coordination or by innovative equipment designs. Within this environment of increased spectrum requirements and new and innovative radiocommunication systems, the single most challenging issue is the question of how to address the interference problems effectively relative to existing and emerging technologies.

*Public Telecommunications Facilities, Planning and Construction*

	Base		Increase / Decrease	
	FTE	Amount	FTE	Amount
Public Telecommunications Facilities Planning & Construction (PTFPC)	13	\$43,680	0	-\$41,142

NTIA will suspend all grants under this program in FY 2004. Instead, the Administration is proposing to make \$80 million available for digital transition grants for public television stations within the Corporation for Public Broadcasting’s already enacted 2004 funding. Funds for PTFPC for FY 2004 are requested for monitoring existing grants and administrative costs. Prior year unobligated balances may be made available for grants for projects for which applications have been submitted and approved during any fiscal year.

*Information Infrastructure Grants*

	Base		Increase / Decrease	
	FTE	Amount	FTE	Amount
Technology Opportunities Program grants	0	0	0	0

This program is proposed for termination. The use of deobligations and unobligated balances is requested for monitoring existing grants and close-out costs.

# Targets and Performance Summary

See individual Performance Goal sections for further description of each measure.

## Performance Goal 1: Promote Competition within the Telecommunications Sector and Promote Universal Access to Telecommunications Services for All Americans

Measure	FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002 Target	FY 2002 Actual	FY 2003 Target	FY 2004 Target
Provide the policy framework for introduction of new technologies: See rationale for performance goal for explanation	New	New	New	New	Spectrum for 3G, ultra-wideband; broadband summit; spectrum summit; ENUM roundtable; ".us" domain name transfer; ICANN MOU.	Spectrum for 3G, ultra-wideband; ICANN reform; ".us" domain name administration.	Spectrum management reform, broadband policy development; ENUM; next generation Internet.
Policy customer survey	New	New	New	New	New	50 customers	50 customers

## Performance Goal 2: Ensure that the Allocation of Radio Spectrum Provides the Greatest Benefit to All People

Measure	FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002 Target	FY 2002 Actual	FY 2003 Target	FY 2004 Target
Timeliness of processing	New	New	New	New	New	Fifteen business days	Twelve business days
Percentage of requests accomplished online	New	New	New	New	New	95%	95%
Completeness and accuracy of agency assignment request	New	New	New	New	New	85% complete 1st time	90% complete 1st time
Customer satisfaction survey on training course	New	New	New	New	New	90% satisfactory or better	90% satisfactory or better
Number of new agency-requested spectrum assignment actions	80,181	90,615	113,654	91,000	104,830	N/A	N/A

## Performance Goal 3: Promote the Availability, and Support New Sources, of Advanced Telecommunications and Information Services

Measure	FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002 Target	FY 2002 Actual	FY 2003 Target	FY 2004 Target
Quality of basic research as reflected in peer-reviewed publications	New	New	New	New	New	5 publications	6 publications
Level of technology transfer activities conducted with the private sector through the Cooperative Research and Development Agreements (CRADA)	New	New	New	New	New	3 CRADA	3 CRADA
Number of models or grants available for nonprofit or public-sector organizations	43	35	74	30	25	N/A	N/A

# Resource Requirements Summary

(Dollars in Millions. Funding amounts reflect total obligations.)

## Information Technology (IT)

### Full-Time Equivalent (FTE)

#### Performance Goal 1: Promote Competition within the Telecommunications Sector and Promote Universal Access to Telecommunications Services for All Americans

	FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002 Actual	FY 2003 Estimate	FY 2004 Base	Increase/ Decrease	FY 2004 Request
Salaries and Expenses								
Domestic and International Policies	4.0	3.6	3.7	4.2	4.6	4.5	0.0	4.5
Spectrum Management	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Telecommunication Sciences Research	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Total Funding	4.0	3.6	3.7	4.2	4.6	4.5	0.0	4.5
IT Funding <sup>1</sup>	0.0	1.5	1.5	1.5	1.5	1.5	0.0	1.5
FTE	31	26	25	27	36	36	0	36

#### Performance Goal 2: Ensure Allocation of Radio Spectrum Provides the Greatest Benefit to all People

	FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002 Actual	FY 2003 Estimate	FY 2004 Base	Increase/ Decrease	FY 2004 Request
Salaries and Expenses								
Domestic and International Policies	0.1	0.1	0.1	0.1	0.1	0.1	0.0	0.1
Spectrum Management	16.2	17.8	19.3	19.0	23.6	24.3	8.1	32.4
Telecommunication Sciences Research	1.8	2.0	2.1	4.3	5.7	6.0	0.0	6.0
Total Funding	18.1	19.8	21.5	23.4	29.5	31.5	8.1	38.6
IT Funding <sup>1</sup>	0.0	2.4	3.2	3.2	3.2	3.2	0.0	3.2
FTE	138	135	133	141	150	152	11	163

**Performance Goal 3: Promote the Availability, and Support New Sources, of Advanced Telecommunications and Information Services**

	FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002 Actual	FY 2003 Estimate	FY 2004 Base	Increase/ Decrease	FY 2004 Request
Salaries and Expenses								
Telecommunication Sciences Research	0.0	0.0	0.0	5.6	8.5	7.8	0.0	7.8
Public Telecommunications Facilities Planning and Construction								
Grants	21.7	25.8	42.0	45.4	47.1	41.1	(41.1)	0.0
Program Management	1.9	1.7	2.2	2.2	3.0	2.5	0.0	2.5
Information Infrastructure Grants								
Grants	17.6	13.9	42.9	12.4	0.0	0.0	0.0	0.0
Program Management	3.8	3.8	3.3	3.1	3.8	0.0	0.0	0.0
Total Funding	51.9	50.6	96.0	68.6	62.4	51.5	(41.1)	10.4
IT Funding <sup>1</sup>	0.0	0.6	0.7	0.7	0.7	0.7	0.0	0.7
FTE	87	85	86	76	94	71	0	80
<b>Grand Total</b>								
	<b>FY 1999 Actual</b>	<b>FY 2000 Actual</b>	<b>FY 2001 Actual</b>	<b>FY 2002 Actual</b>	<b>FY 2003 Estimate</b>	<b>FY 2004 Base</b>	<b>Increase/ Decrease</b>	<b>FY 2004 Request</b>
Salaries and Expenses	29.0	28.8	30.7	33.2	42.6	42.8	8.1	50.9
Public Telecommunications Facilities Planning and Construction	23.6	27.5	44.2	47.6	50.1	43.7	(41.1)	2.5
Information Infrastructure Grants	21.4	17.7	46.2	15.5	3.8	0.0	0.0	0.0
Total Funding	74.0	74.0	121.1	96.3	96.5	86.5	(33.0)	53.4
Direct	56.5	56.2	101.8	77.1	71.1	60.9	(39.5)	21.4
Reimbursable <sup>2</sup>	17.5	17.8	19.4	19.1	25.4	25.9	6.5	32.0
IT Funding <sup>1</sup>	0.0	4.5	5.4	5.4	5.4	5.4	0.0	5.4
FTE	256	246	244	244	280	268	11	279

<sup>1</sup> IT funding included in total funding.

<sup>2</sup> Reimbursable funding included in total funding.

**Skill Summary:**

NTIA employs policy analysts with legal, economics, and technical skills to perform these activities. NTIA does not have a separate budget category for these activities.

## FY 2004 Performance Goals

### Performance Goal 1: Promote Competition within the Telecommunications Sector and Promote Universal Access to Telecommunications Services for All Americans

#### Corresponding Strategic Goal

Strategic Goal 1: Provide the information and the framework to enable the economy to operate efficiently and equitably.

#### Rationale for Performance Goal

The telecommunications and information sectors account for approximately 10 percent of U.S. gross domestic product (GDP). Driven in large part by growth of wireless services and the Internet, this figure is predicted by some experts to approach 20 percent of GDP by 2004. One of the National Telecommunications and Information Administration's (NTIA's) primary missions is to serve as the President's principal policy advisor on telecommunications and information issues and to be the Administration's primary voice on them. NTIA fulfills this policy-setting role in a number of ways: by preparing and issuing special reports on topics that emerge over time; testifying before Congress and other organizations that are concerned with telecommunications policy; providing the Administration's views on actions proposed by the Federal Communications Commission (FCC); issuing requests for public comment on specific issues; and encouraging dialogue with the private sector through sponsorship and participation in conferences, workshops, and other forums.

As a result of NTIA's FY 2002 spectrum summit, NTIA will be examining an array of spectrum management policy issues in FY 2003 and 2004 dealing with innovative approaches to spectrum management and the effectiveness of current processes. This examination will be conducted in tandem with the FCC's proceeding on spectrum management policy in which NTIA will participate on behalf of the Administration. NTIA also will participate on behalf of the Administration in FCC and congressional proceedings on telecommunications policies, including the development of appropriate regulatory treatment for broadband services deployment. A number of Internet-related policy issues will require NTIA action, including ICANN reform and continuing Internet privatization, domain name management both domestically and internationally, proposals to regulate Internet services and content, and the combination of Internet and telecommunications addressing (ENUM). NTIA will pursue policies promoting international trade in telecommunications products and services, promoting consistent international approaches to telecommunications policies, and improving relations with Western Hemisphere neighbors. All of these activities will require substantial coordination among NTIA's program offices, as well as interagency coordination to develop the Administration's positions.

**Measure 1a: Provide the Policy Framework for Introduction of New Technologies**

	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004
Target	New	New	New	New	Spectrum for 3G, ultra-wide-band; ICANN reform; ".us" domain name administration.	Spectrum management reform, broadband policy development; ENUM; next generation Internet.
Actual				Spectrum for 3G, ultra-wideband; broadband summit; spectrum summit; ENUM roundtable; ".us" domain name transfer; ICANN MOU.		
Met/Not Met						

**Explanation of Measure**

NTIA’s policy-related activities are among the Agency’s most visible and have the greatest impact on consumers and industries both domestically and internationally. While outcomes of these activities are difficult to quantify, NTIA management plans for multi-year efforts in a number of areas. NTIA’s FY 2002 most significant accomplishments -- providing spectrum for third generation wireless (3G) and ultra wideband (UWB) services, the .us transfer and a revised ICANN MOU, for instance -- are the culmination of several years of analysis, planning, and coordination within the government. Similarly, FY 2002’s spectrum and broadband summits and ENUM roundtable provide the basis for continuing activities in FY 2003 and beyond.

***FY 2003 & FY 2004 Targets***

In FY 2003 and 2004, NTIA will participate in proceedings at the FCC on spectrum management reform aimed primarily at private sector uses. NTIA will continue its own examination of spectrum management reform, based in part on the results and recommendations of the 2002 spectrum summit. Other policy areas NTIA plans to be involved in include ENUM, Next Generation Internet, other Internet policy issues, and FCC and congressional proceedings on telecommunications regulation.

**Measure 1b: Policy Customer Survey**

	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004
Target	New	New	New	New	50 customers	50 customers
Actual						
Met/Not Met						

**Program Evaluation**

NTIA demonstrates its involvement with development of competition policies within the telecommunication sector by providing essential information and analysis, and coordinating with other federal entities. Serving as the Administration’s voice on telecommunication issues and working with others to promote competition shows that its analysis in the telecommunication area is useful.



The customer survey that will take place in FY 2003 will measure Administration customer perceptions of NTIA's policy priorities, the timeliness of its activities in support of those priorities, and the inclusiveness of NTIA's policy activities. Customers that will be surveyed include the White House; the State Department; other federal agencies; and the Technology Administration, the International Trade Administration, and the Office of the Secretary within the Department of Commerce. NTIA intends to survey at least fifty customers on its policy-related activities. The results of the survey will be used to assess NTIA's policy priorities and to determine whether improvements in interagency consultation and coordination can be made.

### ***FY 2003 & FY 2004 Targets***

The FY 2003 target is new and unchanged. As noted above, the FY 2004 target and the composition of customers surveyed may be changed in light of the FY 2003 survey results. For now, there is no reason to believe that a larger survey in FY 2004 would yield significantly different results in evaluating NTIA's policy activities.

## **Program Evaluation**

NTIA management reviewed and assessed policy and program priorities in the development of FY 2003 and 2004 budgets. The results of the FY 2002 spectrum summit, for instance, have led to the development of a series of spectrum management reform priorities and objectives to be pursued in FY 2003 and 2004. Similarly, the broadband summit and ENUM roundtable served to inform NTIA of state and local government views as well as those of consumers and industry. NTIA also meets regularly with DOC management in the development of appropriate policy priorities.

## **Cross-cutting Activities**

### ***Intra-Department of Commerce***

NTIA supports the Secretary of Commerce on a broad range of telecommunications policy issues. NTIA works with the International Trade Administration on international issues, the Economics and Statistics Administration on Internet penetration and use measurements and analysis, and with the Technology Administration on domain name and technology policy issues.

### ***Other Government Agencies***

NTIA works with the White House and other federal agencies to develop and coordinate Administration-wide policy statements. NTIA serves as the manager of federal government spectrum while the FCC manages the non-federal spectrum. Since spectrum is often shared, NTIA and the FCC regularly engage in coordination of spectrum uses and spectrum policies.

### ***Government/Private Sector***

NTIA obtains private-sector views on a broad range of telecommunications and information policy issues through formal proceedings in which public comments are solicited and through public conferences, workshops, and meetings on specific subjects.

## **External Factors and Mitigation Strategies**

Consideration of telecommunications and information policy issues is affected by the activities of independent regulatory agencies such as the FCC and the Federal Trade Commission, and by priorities established for NTIA by the Secretary of Commerce, the White House, and Congress. Rapid developments in the Internet and telecommunications industries, along with supporting technologies, sometimes make it difficult for government institutions to coordinate timely policy responses to issues as they arise. Regular interagency meetings on policy issues will assist in the development of timely Administration positions.

# Performance Goal 2: Ensure that the Allocation of Radio Spectrum Provides the Greatest Benefit to All People

## Corresponding Strategic Goal

Strategic Goal 1: Provide the information and the framework to enable the economy to operate efficiently and equitably.

## Rationale for Performance Goal

The availability of the radio frequency spectrum is key to the development and implementation of innovative telecommunications technologies such as ultra wideband (UWB) and third generation (3G) wireless services. The National Telecommunication and Information Administration's (NTIA's) spectrum management activities are therefore intertwined with its policy activities in that existing uses of spectrum by both the private and federal sectors must be examined to determine where spectrum will be made available for new and innovative spectrum-using services that provide benefits to all consumers. Recent examples include actions to provide spectrum for 3G and UWB wireless services. NTIA's activities include (1) identifying and supporting new wireless technologies that promise innovative applications for customers of the federal and private sectors; (2) providing the fifty-six federal agencies with the spectrum needed to support their missions for national defense, law enforcement and security, air traffic control, national resource management, and other public safety services; (3) developing plans and policies to use the spectrum effectively; (4) satisfying the U.S.'s future spectrum needs globally through participation with the 190 other countries of the International Telecommunication Union in establishing binding treaty agreements through world radio-communication conferences; and (5) improving through telecommunications research and engineering the understanding of radio-wave transmission, and thereby improving spectrum utilization and the performance of radio-communications systems.

<b>Measure 2a: Timeliness of Processing</b>						
	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>
Target	New	New	New	New	Fifteen business days	Twelve business days
Actual						
Met/Not Met						

## Explanation of Measure

NTIA has made substantial improvements over the years in the time required to process frequency assignment actions requested by the federal agencies. This measure will permit NTIA to continue to track improvements in processing time through further automation procedures and logistical procedures.

***FY 2003 & FY 2004 Targets***

The FY 2003 and 2004 targets were overstated in FY 2003 APP and have been changed to better reflect historical results. Fifteen business days is the level that has been obtained for several years now. The FY 2004 target is based on planned implementation of automated routines in the assignment process.

<b>Measure 2b: Percentage of Requests Accomplished Online</b>						
	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004
Target	New	New	New	New	95%	95%
Actual						
Met/Not Met						

**Explanation of Measure**

The percentage of requests accomplished online will demonstrate the effectiveness of a new, secure, Web-based interface for federal agencies to request frequency assignment actions entirely online. Processing spectrum requests by paper can be a slow and ineffective way of getting assignments out to customers. Currently, NTIA process 4,000 to 10,000 paper requests per month. NTIA's long-term goal is to have 100 percent of frequency assignment actions handled entirely online.

***FY 2003 & FY 2004 Targets***

The FY 2003 target is the baseline, based on experience to date. The FY 2004 target may be changed in light of FY 2003 performance.

<b>Measure 2c: Completeness and Accuracy of Agency Assignment Requests</b>						
	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004
Target	New	New	New	New	85%	90%
Actual						
Met/Not Met						

**Explanation of Measure**

One way to determine whether NTIA is adequately serving its customers in the spectrum management process is by examining the clarity and ease of use of procedures for customers to file an action request. This measure will indicate whether customers are able to file requests completely and accurately and whether improvements in the customer interface are needed.

***FY 2003 & FY 2004 Targets***

This FY 2004 target may be changed in light of FY 2003 results. Increased automation in the assignment process and continued provision of training to spectrum managers throughout the federal government should have a significant impact on the ability of spectrum managers to request an assignment action with no errors.

**Measure 2d: Customer Satisfaction Survey on Training Course**

	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004
Target	New	New	New	New	90% satisfactory or better	90% satisfactory or better
Actual						
Met/Not Met						

**Explanation of Measure**

NTIA's Office of Spectrum Management conducts a number of spectrum management training seminars each year for federal spectrum managers and for representatives from foreign administrations. This measure will determine whether the seminar content is useful to participants.

***FY 2003 & FY 2004 Targets***

The FY 2003 and 2004 targets may be changed in light of the FY 2002 customer survey results.

**Program Evaluation**

NTIA management reviewed and assessed policy and program priorities in the development of FY 2003 and 2004 budgets. In addition, NTIA convened a spectrum summit in FY 2002 to begin an inquiry on how to better manage and allocate this finite resource among competing uses. This ongoing inquiry will yield information about new and innovative ideas for spectrum policy and management that encourages spectrum efficiency; that provides spectrum for new technologies; and that improves the effectiveness of the domestic and international spectrum management process. To meet its current obligations and to address improvements, NTIA's spectrum management functions will continue to consume the largest share of agency resources.

**Discontinued Measure**

**Number of New Agency-requested Spectrum Assignment Actions**

	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004
Target	New	80,000	91,000	91,000	Discontinued	Discontinued
Actual	80,181	90,615	113,654	104,830		
Met/Not Met		Met	Met	Met		

**Explanation of Measure**

This measure was intended to cover the broad array of spectrum management activities. NTIA included, among other things, the average time required to process spectrum assignments when reporting internally on annual performance results

## Cross-cutting Activities

### *Intra-Department of Commerce*

NTIA participates with the Technology Administration and National Oceanic and Atmospheric Administration within the Department of Commerce on the Interagency GPS (Global Positioning System) Executive Board, which with DOD jointly manages the GPS satellite program as a national asset.

### *Other Government Agencies*

NTIA authorizes spectrum assignments for fifty-six federal government agencies to operate radio-communications systems. NTIA works with the twenty-three other major spectrum using federal agencies on Interdepartment Radio Advisory Committee (IRAC) to manage frequency assignment requests. NTIA represents the interests of thirty-three other agencies on the IRAC. NTIA serves as the manager of federal government spectrum while the Federal Communications Commission (FCC) manages the non-federal spectrum. Since spectrum is often shared, NTIA and the FCC regularly engage in coordination of spectrum uses and spectrum policies. Uses of shared frequency bands are coordinated with the FCC. International bodies, in which NTIA participates as the U.S. representative, establish permissible uses of frequency bands. In FY 2002, NTIA initiated discussions with the FCC and the State Department to develop an action plan to facilitate the efficient functioning of the U.S.'s spectrum management team at home and abroad.

### *Government/Private Sector*

NTIA coordinates on spectrum management issues through advisory committees and special information-sharing initiatives. Information on these activities may be found online at <http://www.ntia.doc.gov/osmhome/osmhome.html>.

## External Factors and Mitigation Strategies

Congress, from time to time, has required some changes in federal use of radio frequency spectrum, which can affect availability of frequencies to suit federal needs. The speed of development and implementation of wireless technologies will affect the level and type of demand by federal agencies for certain frequencies. The FCC initiates numerous spectrum-related proceedings in which NTIA participates on behalf of the Administration.

# Performance Goal 3: Promote the Availability, and Support New Sources, of Advanced Telecommunications and Information Services

## Corresponding Strategic Goal

Strategic Goal 2: Provide infrastructure for innovation to enhance American competitiveness.

## Rationale for Performance Goal

In addition to its policy-related activities, the National Telecommunications and Information Administration (NTIA) supports innovative telecommunications and information technologies through basic research performed at its laboratory, the Institute for Telecommunication Sciences (ITS). ITS performs extensive basic research on quality of digital speech, audio and video compression, and transmission characteristics. This research has the potential to improve both the performance of telecommunications networks and the availability of digital content on the Internet. Basic research at ITS also supports U.S. positions in international standard-setting bodies and NTIA's development of Administration policies related to the introduction of new technologies, such as ultra wideband (UWB) and third generation (3G) wireless services.

<b>Measure 3a: Quality of Basic Research as Reflected in Peer-reviewed Publications</b>						
	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>
Target	New	New	New	New	Five publications	Six publications
Actual						
Met/Not Met						

## Explanation of Measure

NTIA will measure the quality of basic research programs by the number of peer-reviewed articles that are published in technical journals and publications. This measure will indicate the reception and utility of research results within the spectrum research and engineering community.

### *FY 2003 & FY 2004 Targets*

There is no change in the FY 2003 target. The FY 2004 target reflects additional activity undertaken at ITS on Quality of Service issues related to the Internet, wireless networks, and advanced television broadcasting.

**Measure 3b: Level of Technology Transfer Activities Conducted with the Private Sector through CRADAs**

	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004
Target	New	New	New	New	3 CRADAs	3 CRADAs
Actual						
Met/Not Met						

### Explanation of Measure

The Technology Transfer Act of 1986 (TTA) allows federal laboratories to enter into cooperative research agreements with private industry, universities, and other interested parties. The law was passed in order to provide laboratories with clear legal authority to enter into these arrangements and thus encourage technology transfer from federal laboratories to the private sector. Under this Act, a cooperative research and development agreement (CRADA) can be implemented that protects proprietary information, grants patent rights, and provides for user licenses to corporations, while allowing government expertise and facilities to be applied to interests in the private sector.

CRADAs are the principal means of aiding the private sector through ITS's spectrum research and engineering activities. This measure will provide an indication of the utility of these activities to the private sector.

#### *FY 2003 & FY 2004 Targets*

The FY 2003 target was changed to reflect historical performance. ITS may have as many as a dozen ongoing CRADAs at any given time, some of many years' duration, but only a limited number are initiated in any given year.

### Program Evaluation

NTIA management reviewed and assessed policy and program priorities in the development of FY 2003 and 2004 budgets. As a result, ITS research will focus on supporting those spectrum management reform activities undertaken in NTIA's policy development (see Goal 1 above.)

### Discontinued Measures

**Number of Models or Grants Available for Nonprofit or Public-sector Organizations**

	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004
Target	43	50	80	30	Discontinued	Discontinued
Actual	43	35	74	25		
Met/Not Met	Met	Not Met	Not Met	Not Met		

## Explanation of Measure

This measure reflected the number of grants by NTIA's Technology Opportunity Program. The FY 2002 target was decreased to reflect a lower budget request. There is no target for FY 2003. NTIA staff will continue to monitor existing grantees for compliance with grant terms through required reporting and closeout procedures. The Inspector General may also conduct audits of grantees.

<b>Timeliness of Grant Awards</b>						
	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>
Target	New	New	New	New	100%	Discontinued
Actual						
Met/Not Met						

## Explanation of Measure

The Public Telecommunications Facilities Program has a number of steps to accomplish in each grant round before making awards near the end of the fiscal year. These include preparation of the application package, initial review of applications, engineering and outside review of applications, and rating and recommendations for grant applications. This measure was designed to determine whether its procedures are working adequately for the timely award of grants. The target for FY 2003 was to make 100 percent of awards by September 30, 2003. NTIA has discontinued this measure because it does not adequately assess program performance.

<b>Percentage of the United States Covered by Public Broadcasting Signals</b>						
	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>	<b>FY 2004</b>
Target	New	New	New	New	>95% TV >90% radio	Discontinued
Actual						
Met/Not Met						

## Explanation of Measure

One of the primary goals of the PTFP is to bring public radio or public television signals to unserved areas. This measure was meant to indicate how well the program is meeting that goal. The target for FY 2003 was to improve upon the current public broadcasting coverage of 90 percent radio and 95 percent TV in the U.S. NTIA has discontinued this measure because it does not adequately assess program performance (public radio and television coverage will still be measured in FY 2003, however).



**Digital Broadcasting Conversion**

	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004
Target	New	New	New	New	40 grants	N/A
Actual						
Met/Not Met						

**Explanation of Measure**

The PTFP is a competitive grant program that helps public broadcasting stations, state and local governments, Indian Tribes, and nonprofit organizations construct facilities to bring educational and cultural programs to the American public using broadcast and nonbroadcast telecommunications technologies. The main objective of the program is to extend the delivery of public radio and television to unserved areas of the U.S. This grant program has been suspended for FY 2004.

**Cross-cutting Activities**

*Intra-Department of Commerce*

NTIA works closely with the Office of the Secretary of the Department of Commerce in determining funding priorities for each annual grant round, to establish rules and procedures for the grant program, and to administer the program. NTIA's PTFP and the National Oceanic and Atmospheric Administration jointly support the Pan-Pacific Educational and Cultural Experiments by Satellite program.

*Other Government Agencies*

NTIA works closely with the White House in determining funding priorities for each annual grant round. ITS conducts research under contract for a wide variety of federal agencies, including the Departments of Defense and Transportation.

*Government/Private Sector*

Panels of reviewers drawn from the private sector and other government entities evaluate grant proposals. PTFP consults with the Corporation for Public Broadcasting on funding priorities and to eliminate duplication of effort. ITS conducts extensive technology transfer activities through CRADAs with private sector entities.

**External Factors and Mitigation Strategies**

The number of grants that can be awarded in each grant round is determined in large part by the amount of funds appropriated for the grant program.

## NTIA Data Validation and Verification

NTIA reviews performance data to ensure that it is complete and accurate. There were no significant deviations from projected targets. The actual validation process is conducted following steps similar to audit principles including sampling and verification of data. Unclassified spectrum management data is published and distributed on CD-ROM and has been examined for accuracy by the Department's Inspector General and the General Accounting Office (GAO). Grant information is verified by the Department's Office of Financial Assistance and published on the NTIA Web site. Additionally, documentation is reviewed and a determination is made on its adequacy and sufficiency to support claims that outcomes and outputs have been achieved. The NTIA Data Validation and Verification table can be found on the following page.

**NTIA Data Validation and Verification**

Performance Measure	Data Source	Frequency	Data Storage	Verification	Data Limitations	Actions to be Taken
<b>Measure 1a:</b> Provide the policy framework for introduction of new technologies	Activities are reflected on NTIA Web site; weekly reports to the Secretary of Commerce; annual report to Congress.	Annual	Office of Policy Coordination and Management.	Inspection	Data is not quantitative but rather a qualitative assessment of current policy directions and plans.	None
<b>Measure 1b:</b> Policy customer survey	Customer surveys.	Annual	Office of Policy Coordination and Management.	Inspection	NA survey of 50 federal customers should yield useful results for program planning and evaluation. The sample size will be examined in light of experience with the FY 2003 survey.	Develop survey methodology and conduct survey.
<b>Measure 2a:</b> Timeliness of processing	Interdepartment Radio Advisory Committee (IRAC) Support Branch, Office of Spectrum Management (OSM).	Weekly, monthly, annually.	Computer Services Division, OSM.	Automated data processing (ADP) routines.	Classified information is not included in public data.	Collection of data.
<b>Measure 2b:</b> Percentage of requests accomplished online	IRAC Support Branch, OSM.	Annual	Computer Services Division, OSM.	ADP routines (measures 2b & 2c) and manual inspection (2c).	Classified information is not included in public data.	Collection of data.
<b>Measure 2c:</b> Completeness and accuracy of agency assignment request	IRAC Support Branch, OSM.	Annual	Computer Services Division, OSM.	ADP routines (measures 2b & 2c) and manual inspection (2c).	Classified information is not included in public data.	Collection of data.
<b>Measure 2d:</b> Customer satisfaction survey on training course	OSM	Every course conducted.	OSM	Manual inspection	None	Develop survey.
<b>Measure 3a:</b> Quality of basic research as reflected in peer-reviewed publications	ITS	Annual	ITS	Manual inspection	None	Collection of data.
<b>Measure 3b:</b> Level of technology transfer activities conducted with the private sector through the Cooperative Research and Development Agreements (CRADA)	ITS	Annual	ITS	Manual inspection	None	Collection of data.

