



FEDERAL MARITIME COMMISSION

FINAL ANNUAL PERFORMANCE PLAN

FOR FY 2006

February 2005

LIST OF ACRONYMS

<i>1984 Act</i>	<i>Shipping Act of 1984</i>
<i>ADR</i>	<i>Alternative Dispute Resolution</i>
<i>BOE</i>	<i>Bureau of Enforcement</i>
<i>BTA</i>	<i>Bureau of Trade Analysis</i>
<i>CIO</i>	<i>Chief Information Officer</i>
<i>ET</i>	<i>Essential Terms</i>
<i>FISMA</i>	<i>Federal Information Security Management Act of 2002</i>
<i>FMC/Commission</i>	<i>Federal Maritime Commission</i>
<i>FTE</i>	<i>Full Time Equivalent Employee</i>
<i>FY</i>	<i>Fiscal Year</i>
<i>GPEA</i>	<i>Government Paperwork Elimination Act</i>
<i>GPRA</i>	<i>Government Performance and Results Act</i>
<i>IT</i>	<i>Information Technology</i>
<i>ITDS</i>	<i>International Trade Data System</i>
<i>MR</i>	<i>Monitoring Report</i>
<i>NVOCC</i>	<i>Non-Vessel-Operating Common Carrier</i>
<i>NSA</i>	<i>NVOCC Service Arrangement</i>
<i>OBFM</i>	<i>Office of Budget and Financial Management</i>
<i>OHR</i>	<i>Office of Human Resources</i>

<i>OIT</i>	<i>Office of Information Technology</i>
<i>OMB</i>	<i>Office of Management and Budget</i>
<i>OMS</i>	<i>Office of Management Services</i>
<i>OS</i>	<i>Office of the Secretary</i>
<i>OSRA</i>	<i>Ocean Shipping Reform Act of 1998</i>
<i>OTI</i>	<i>Ocean Transportation Intermediary</i>
<i>PVO</i>	<i>Passenger Vessel Operator</i>
<i>SC</i>	<i>Service Contract</i>
<i>SDLC</i>	<i>Systems Development Life Cycle</i>
<i>SES</i>	<i>Senior Executive Service</i>
<i>SERVCON</i>	<i>Service Contract Filing System</i>
<i>SOP</i>	<i>Standard Operating Procedure</i>
<i>VOCC</i>	<i>Vessel-Operating Common Carrier</i>

INTRODUCTION

This document comprises the FMC's Final Annual Performance Plan for FY 2006. This plan is closely linked to the agency's Strategic Plan and it sets forth objective performance goals and narrow, measurable performance indicators so as to facilitate implementation and assessment of performance.

For FY 2006, we have continued the modified approach for our annual planning first implemented with our Revised Final Plan for FY 2005. Agency performance goals now are tied directly to our Strategic Goals instead of our budget program activities. This has resulted in the development of broader performance goals better suited to the achievement of agency-wide objectives, as opposed to more narrowly focused goals tailored to the responsibilities of individual units. It also facilitates our aim of utilizing a more inclusive, collaborative approach in conducting our ongoing activities, which we believe both enhances decision-making and improves ultimate results. Addressing our performance goals in this fashion also has enabled us to link planning, budgeting and performance more effectively.

Our Plan for FY 2006 focuses on refining the agency's business practices, specifically on revising and updating internal procedures in line with the amendment of Commission regulations. Several performance goals were developed to facilitate the use and dissemination of filed material in order to improve analysis of required filings and responsiveness to inquiries, and to implement procedural changes to enhance the effectiveness of agency operations.

Our FY 2006 Plan also broadens our efforts to implement the President's Management Agenda initiative to expand electronic government. Several performance goals were formulated to improve the management of information by more effective use of available technologies. We plan to streamline and simplify the delivery of services and information to regulated entities, other government agencies and the public, as well as automate agency systems and enhance the use of agency databases, which will allow staff to discharge program responsibilities more effectively.

The Commission's Annual Performance Plan comports with the overall objectives of GPRA while maintaining flexibility in its presentation and application. The majority of Commission activities are statute-driven and our goals essentially are based upon legislative mandates which are clear and direct. Significant alteration of our existing programs is not possible, given that many measures and goals are required by statute.

Accordingly, OMB agreed that the Commission should use an appropriately scaled mechanism for GPRA process and development with a framework which would be productive, yet less resource-intensive. Nonetheless, our Plan presents relevant

information clearly and concisely, and strives to be as detailed as necessary while avoiding minutiae.

Our Plan sets forth the mission statement and general goals from our Strategic Plan, as a point of reference for the reader. As aforementioned, we have prepared performance goals for the agency in line with each of the agency's Strategic Goals. Each performance goal has been stated as a narrow, measurable objective. For each performance goal, we have identified the related "means to achieve" from the Strategic Plan, the intended outcomes, appropriate performance indicators, the processes and resources required to accomplish it, and the means for measuring/evaluating performance. To ensure a clear understanding of the Plan's contents, set forth below are definitions of basic terms used. We relied on OMB's published guidance for these definitions, and have included parenthetically our interpretation of their practical application.

Performance Goal - A target level of performance; a measurable objective (a specific, proposed performance action).

Related Strategic Goals/Outcomes/Means - A specific action identified in the agency's Strategic Plan as one means of achieving a particular Strategic Goal (actions to accomplish Strategic Goals).

Outcome - Intended result or consequence of carrying out the activity (the projected effect or what is hoped to be achieved).

Performance Indicator - A value or characteristic for measuring results (the quantifier or qualifier of performance).

Process/Activity - The processes, skills, or resources that are required to effectively accomplish a performance goal (what is needed to achieve the goal).

Performance Measure/Evaluation - The means used to verify and validate measured values (methods used for assessing if programs achieved objectives, or, the specific means to measure if outcomes were realized).

The Commission used its existing consultation process in developing this Plan. We have kept key Congressional Committees apprised of our efforts, and have responded to any inquiries. We continued our ad hoc meetings and visits with all sectors of the industry to discuss the state of U.S. ocean shipping and the FMC's oversight responsibilities. In coordination with the various sectors of the maritime industry, we are holding periodic briefings by industry experts designed to provide Commission staff with valuable information on industry services, operations, business practices, and regulatory concerns. And we plan to initiate the second phase of our seminar series, where agency staff travel to various locations to exchange

information and discuss relevant issues with the industry and the shipping public. The opinions and comments we received via these various efforts have assisted us in developing our performance goals and implementing approaches.

In line with OMB guidance, the Commission has reflected the resources needed to accomplish its performance goals. We have provided an FTE and funding figure for each Strategic Goal, which reflects what we believe will be required to accomplish the performance goals and “steady state” functions under each respective Strategic Goal. Accordingly, all Commission resources are accounted for in this Plan, i.e., the figures under each Strategic Goal, when summed, reflect the full FTE and funding levels of the President’s budget for the FMC for FY 2006.

The Commission will post this Performance Plan on its Internet website to ensure that it is readily accessible to interested parties, and will advise all employees to take the time to review it. Additionally, all employee performance plans are required to comport with the agency’s Strategic and Annual Performance Plans, and contain specific elements and standards with a clear explanation of what is expected of the employee in support of the agency achieving its goals. This process in turn has the effect of directly furthering the Administration’s initiative on strategic human capital management. Performance of managers and staff is evaluated in part on how they achieve the objectives in this plan.

FMC VISION AND MISSION

The FMC's vision is:

Fairness and Efficiency in U.S. Maritime Commerce.

To achieve its vision, the FMC's mission is to:

- *Develop and administer policies and regulations that foster a fair, efficient and secure maritime transportation system;*
- *Protect U.S. maritime commerce from unfair foreign trade practices and market-distorting activities.*
- *Facilitate compliance with U.S. shipping statutes through outreach and oversight.*
- *Assist in resolving disputes.*

OSRA and the events of September 11, 2001, have significantly changed the manner in which the business of ocean shipping is being conducted. The industry continues to restructure its operations to adapt to dynamic economic conditions, emerging trends, and maritime security efforts. International trade remains dependent upon an efficient ocean transportation system. Therefore, it is imperative for the FMC to ensure that its oversight activities produce a competitive trading environment in U.S. ocean commerce that is in harmony with and responsive to international shipping practices, and permits fair and open commerce. We must focus our energies and efforts on this mission, and assure that the agency is organized and managed in a manner best suited to accomplish it with a minimum of government intervention and regulatory cost. Effective use of emerging information technologies will facilitate our efforts. Our actions also must encourage the development of a sound U.S.-flag liner fleet. Accordingly, the FMC has established the following five strategic goals to carry out its statutory mandates.

FMC STRATEGIC GOALS

1. *Efficient Regulatory Process:* Provide a timely, efficient and decisive regulatory process, including alternative dispute resolution, to enable all segments of the industry to operate more effectively, with a minimum of regulatory costs.
2. *Compliance:* Promote efficiency and fairness in U.S. foreign waterborne commerce through various means, including outreach and monitoring, to protect the public and assist stakeholders in achieving compliance with ocean transportation statutes administered by the FMC.
3. *Balanced Enforcement:* Foster economic efficiencies, reliance on marketplace factors and maritime security by administering U.S. shipping statutes in a balanced and equitable manner to redress excessive anticompetitive actions and other unlawful activities.
4. *Technological Efficiencies:* Employ technological enhancements to improve efficiency and to facilitate the exchange of information.
5. *Management Capabilities:* Ensure the FMC has the appropriate organizational framework and management systems to carry out its statutory mandates.

LINKAGE BETWEEN MISSION STATEMENT AND STRATEGIC GOALS

Our strategic goals address essential FMC statutory, programmatic, and management responsibilities. They were developed with a specific focus on accomplishing the basic purposes of our mission and attaining the competitive, nondiscriminatory shipping environment envisioned by the 1984 Act, as amended by OSRA.

The primary intention of Strategic Goal 1 is to minimize regulatory costs by maintaining timely and decisive regulatory processes, and providing various dispute resolution services. This will render the FMC more effective in addressing matters that perpetuate discrimination or preclude industry efficiency, while reducing the costs of pursuing matters before the Commission. Decisive action and effective assistance in resolving informal complaints or disputes will help to remove uncertainties as to statutory interpretations or the application of FMC rules. Such uncertainties may impede operational efficiencies or technological changes, each of which can foster a more economical ocean shipping system.

Our second strategic goal centers on achieving compliance with the substantive provisions of the shipping statutes the FMC administers, and protecting those involved in U.S. ocean commerce from unfair practices. We will address this goal particularly by interacting with all sectors of the industry, and by vigilant monitoring of ongoing commercial activities. Accomplishing this goal should minimize the unjust discrimination and undue preference or prejudice that precludes certain shipping interests from obtaining rates or service levels that can render their businesses more economic and efficient. Increasing industry compliance should enable stakeholders to concentrate on fair and legal means of enhancing operational efficiency, secure in the knowledge that competitors are not engaging in widespread illegal actions aimed at improving short-term profits. The agency's focus on the qualifications of intermediaries operating in the U.S. trades will afford greater protection to our stakeholders and contribute to national maritime security. And cruise passengers also will be protected through the demonstration of financial responsibility by passenger vessel operators.

Strategic Goal 3 is designed to foster economic efficiencies, assist maritime security initiatives, promote reliance on marketplace factors, and redress excessive anticompetitive practices harmful to international commerce. This is a direct link to our mission statement's call for an efficient, secure, competitive, market-driven ocean transportation system. Our continuing efforts to address the actions of foreign governments that adversely affect U.S. interests and our foreign trade comport with that aspect of our mission aimed at creating an environment "free of unfair foreign

maritime trade practices.” Our focus on commercial malpractices enhances our objective of limiting unlawful activities.

We also have a specific strategic goal that focuses on making effective use of advancements in IT to improve the efficiency of our operations and enhance our exchange of information with external parties. Carrying out the agency’s mission in times of budgetary limitations dictates that we appropriately utilize all available resources. Dynamic changes continue to be made in this area, and the Commission intends to take advantage of any improvement that can enable it to perform its functions more effectively. We hope to improve our business operations so as to add efficiency to the Commission’s dissemination and receipt of information. We intend to perform the research and analysis necessary to identify the best options for implementing technical enhancements to facilitate our efforts to achieve our mission.

Finally, our fifth strategic goal addresses Commission management and operations. In order to achieve the objectives of our mission, we must maintain effective processes that enhance efficiency, without serving as ends in themselves. It is essential that we manage for results, and that we effectively tie our budget needs to our performance. This strategic goal serves as the internal underpinning that enables us to accomplish the policy objectives set forth in our mission statement. This goal also ensures continuation of a comprehensive approach to the strategic management of our human capital.

Achieving these mission-driven goals will enable us to address the external factors we face, while assuring an equitable and efficient administration of the shipping statutes under our jurisdiction. Our processes and procedures will be refined or updated as necessary. We are committed to accomplishing our strategic goals and the outcome goals related to them. Therefore, specific means have been identified to enable the FMC to achieve these goals in the most cost-efficient and least disruptive manner possible.

I. STRATEGIC GOAL: Efficient Regulatory Process

37 FTEs and \$6,032,075 will be required to accomplish this goal.

2006 Steady State Activities:

- Adjudication and resolution of complaints.
- Adjudication and resolution of investigatory proceedings, including fact-findings and show cause proceedings.
- Issuance of rules through the rulemaking process.
- Commission decision-making activities through meetings (formal and notation) that comply with the Government in the Sunshine Act.
- Public information and assistance processes such as press relations, responses to legislative and regulatory inquiries, and compliance with Freedom of Information Act and Privacy Act requirements.
- Other regulatory processes, including activities such as appeals of delegated authority actions, policy issuances, and formal petition processes.
- Providing timely legal counsel to the Commission in order to facilitate regulatory action that is consistent with statutory mandates, representing the Commission's interest in matters before Congress and OMB.
- Reviewing and refining Commission rules to determine their economic impact and ensure that they reflect the current industry environment, as well as meet the needs of the Commission's regulatory mandate.
- Compiling, organizing, and maintaining Commission records.
- Monitor, review and modify, as necessary, Commission regulations to address changing trade conditions, industry practices or statutory modifications.

I. STRATEGIC GOAL: Efficient Regulatory Process - Continued

Performance Goal	Related Strategic Goals/Outcomes/ Means	Outcome	Performance Indicator	Process/Activity	Performance Measure/Evaluation
1. By 9/30/06, make selected Opening/ Reply Briefs & Exceptions & Replies in docketed proceedings available to the public through the Commission's website.	Encourage use of electronic filing.	-Reduce duplicating costs & costs associated with responding to public requests for copies of filings. -Provide for quicker access to such document filings. -Improve efficiency of providing Commission staff with access to public filings.	-Selected Opening Briefs & Reply Briefs & Exceptions & Replies, if any, are made available through the website. -Filings & proceedings are placed on the homepage & are readily accessible in electronic format.	OS requests litigants to submit filings in electronic form or scans filings which are received in hard-copy form.	-OS reviews the number of briefs, exceptions & replies available to the public. -Assess feedback from external & internal users.
2. By December 2005, complete project for scanning & posting historical Commission decisions issued between 1989 & 1996.	Encourage use of electronic filing.	The maritime & legal communities will have greater access to the Commission's decisions, which provide the basis for its policies & precedent.	Historical Commission decisions issued between 1989 & 1996, when the Commission began posting its decisions on the web, will be made available through the website.	-Commission staff will identify, compile & scan decisions/rulings issued between 1989 and 1996. -Scanned documents will be posted on the Commission's website.	Assess feedback from external & internal sources.
3. By 6/30/06, provide the option of filing carrier & marine terminal agreements online.	Update agreement content, monitoring rules.	-Reduction in hour burden & costs on the public associated with filing agreements with the agency. -Quicker dissemination & availability of documents within the agency & to the general public. -Reduction in agency resources needed to handle & process the filing of paper documents. -Reduced agency costs in handling filing fees through direct deposit of filing fees.	-The number of filings accomplished online as a percentage of total filings. -Availability of staff resources for other projects. -Industry interest in the possibility of extending a similar option to other applications.	-Develop IT systems to accommodate the online submission of agreements & accompanying documents. -Have necessary safeguards & security protections in place, including e-signature, to ensure confidentiality of documents where required. -Develop filing procedures & software standards to be employed in conjunction with industry suggestions & views.	-Feedback from the filing public on the efficacy of online filing. -Level of interest shown in obtaining copies of filings.

II. STRATEGIC GOAL: Compliance

39 FTEs and \$6,165,243 will be required to accomplish this goal.

2006 Steady State Activities:

- Reviewing and maintaining a database of SCs between ocean common carriers and shippers, and using this database to guard against anticompetitive practices and other unfair prohibited activities under the 1984 Act.
- Ensuring that common carriers' rates and charges are accessible to the shipping public in private, electronically accessible systems.
- Ensuring that OTIs maintain bonds that protect the shipping public from financial losses.
- Providing formal and informal legal opinions and guidance to the Commission's staff and the general public to ensure clarity and understanding of Commission rules and regulations.
- Administering the Commission's international affairs program.
- Liaisoning with other agencies regarding maritime security.
- Reviewing operational and pricing agreements among ocean common carriers and marine terminals to ensure that they do not unduly restrict competition.
- Issuing passenger vessel certificates evidencing financial responsibility of vessel owners or charterers to pay judgments for personal injury or death or to repay fares for the nonperformance of voyage or cruise.
- Licensing OTIs to protect the public from unqualified, insolvent, or dishonest companies.
- Responding to informal complaints and informal inquiries from Congress and the public relating to Commission responsibilities.
- Acting as a liaison between the FMC and the public by responding and/or coordinating agency responses to public inquiries.
- Maintaining a specialized maritime law library for agency and public use.
- Conduct audit activity of regulated entities, including OTIs and VOCCs, to promote and ensure compliance with applicable statutes and Commission regulations.
- Respond to inquiries and complaints from the regulated industry and shipping public. Provide information, assistance and forms necessary to comply with applicable statutes and Commission regulations including educational seminars.

Performance Goal	Related Strategic Goals/Outcomes/ Means	Outcome	Performance Indicator	Process/Activity	Performance Measure/Evaluation
1. By 9/30/06, enhance use of SC and NSA data, and evaluate SERVCON system functionality.	Enhance monitoring program.	<ul style="list-style-type: none"> -Consistent retrieval of accurate SC and NSA data. -Access to certain data in standard format. -Increase confidence level of statistics & SERVCON query results used in analyses for reports & enforcement actions. -Increase accuracy of SC and NSA information being filed into the system. -More user-friendly features for industry & government. -Better ability to manage data in the database & IT resources. 	<ul style="list-style-type: none"> -Easy access to efficient & useful data. -Data retrieved in organized manner. -Reduction in number of inquiries received for SC and NSA filing assistance. -Increased awareness of certain terms & conditions provided in SCs and NSAs. -Increased ability to keep abreast of issues involving specific SC and NSA activities. -More disk storage space & fewer indexing & other related problems. 	<ul style="list-style-type: none"> -Contact filer users to obtain relevant information. -Confer with government users for input. -Collect relevant information. -Prepare any rulemaking as may be needed to present to FMC. -Monitor & analyze terms & conditions in larger volume of SC and NSA filings. -Report persistent compliance problems to BOE. -Create, update & enter results of SC & NSA/ET review & analysis in Tariff Profile System, SC & NSA/ETs section. 	<ul style="list-style-type: none"> -Industry & government user feedback regarding ongoing efforts. -Overall efficiency of SERVCON system. -Periodic assessment & ability to determine compliance. -BTA Director manages ongoing staff efforts.
2. Evaluate OTI rules & suggest changes, if necessary, to address industry & agency concerns.	Enhance monitoring program.	<ul style="list-style-type: none"> -Recommendations for up-to-date rules that reflect current industry environment. -Improved compliance with regulations. -Less uncertainty among regulated entities regarding requirements. 	<ul style="list-style-type: none"> -Recommendation to Commission. -Positive feedback from stakeholders & the public. 	<ul style="list-style-type: none"> -Discussion with staff & industry experts. -Internal analysis of rulemaking. 	<ul style="list-style-type: none"> -Final Commission determination on staff recommendations. -Assess impact of any proposals finalized.

III. STRATEGIC GOAL: **Balanced Enforcement**

15 FTEs and \$2,208,948 will be required to accomplish this goal.

2006 Steady State Activities:

- Investigating discriminatory rates, charges, classifications, and practices of common carriers, terminal operators, and OTIs operating in the foreign commerce of the U.S.
- Representing the FMC before U.S. courts and other administrative agencies.
- Reviewing staff recommendations and initial decisions for legal sufficiency and preparing final decisions and orders.
- Regulating rates, charges, and rules of government-owned or -controlled carriers to ensure that they are just and reasonable and are not unfairly undercutting private competitors.
- Protecting shippers and carriers engaged in the foreign commerce of the U.S. from restrictive or unfair foreign laws, regulations or business practices that harm U.S. shipping interests or ocean trade.
- Prosecute formal proceedings initiated by the Commission.
- Monitor activities and conduct investigations of regulated entities and of SC activity to ensure compliance with statutes and regulations administered by the Commission.
- Conduct non-adjudicatory fact-finding proceedings as directed by the Commission.
- Provide liaison between the Commission and the shipping industry, the public and other governmental entities.
- Coordinate and cooperate with other government entities to improve homeland security by effective exchange of information and assistance regarding foreign ocean transportation.

Performance Goal	Related Strategic Goals/Outcomes/ Means	Outcome	Performance Indicator	Process/Activity	Performance Measure/Evaluation
1. By 9/30/06, align BTA's MR program for carrier agreements with the amended MR regulations in FMC Docket No. 03-15.	Monitor competitive trade conditions.	-Compliance by all applicable agreement parties with the Commission's MR regulations. -Access to quarterly MR data & info for use by the Commission on carrier agreement matters, including: analyses of carrier competition in trades; support for recommendations on agreement matters; background information to address complaints, investigations, or petitions on agreements before the Commission. -An increased	-Timely & accurate MR data & info on carrier agreements. -Reduction in the number of problems relating to compliance of agreement parties with the MR regulations. -Greater use of MR data & info on agreement matters before the Commission. -Reduction in the number of internal Commission inquiries for further info or clarification on agreement/ trade activities. -Increased Commission awareness of the	-Inform all carrier agreements of their reporting obligations when final rule becomes effective. -On annual/as needed basis, inform all applicable agreements of any changes in their reporting obligations. -Assign all carrier agreements required to submit MR to BTA staff to review parties' compliance w/the regs. Record info on receipt & compliance of each MR in	-BTA Director manages ongoing staff efforts. -Periodically assess agreement parties' compliance with the regulations. -Assess the use & dissemination of MR data & information in BTA's projects & analyses on agreement related matters, & the responsiveness to internal inquiries on agreements. -Determine whether MR data and info is, or can be, incorporated in other Commission programs, projects, & analyses.

III. STRATEGIC GOAL: Balanced Enforcement - Continued

Performance Goal	Related Strategic Goals/Outcomes/ Means	Outcome	Performance Indicator	Process/Activity	Performance Measure/Evaluation
		<p>understanding & awareness of economic conditions, agreement activities & carrier competition in the major trades.</p>	<p>specific economic & competitive issues affecting conditions in the major trades.</p>	<p>BTA's database. Promptly inform agreement rep. of any problems relating to parties' compliance w/the regs. When compliance problems persist & parties are uncooperative, forward matter to BOE for formal review. -Add quarterly MR data to latest Trade Profile for distribution to FMC. Post latest Trade Profile on Intranet website for greater access by FMC staff. -Update and maintain MR in Bureau files for easy access for use on agreement/trade matters.</p>	
<p>2. Participate effectively in ITDS program.</p>	<p>Cooperate with government agencies for marine security.</p>	<p>-ITDS-based trade data becomes available for BTA competitive analyses. -ITDS-based trade data becomes available for investigative & enforcement purposes.</p>	<p>-Timely incorporation of ITDS trade data for use in BTA agreement reviews. -Integration of ITDS search results into preliminary reviews & in more comprehensive investigative efforts.</p>	<p>-Identify budgetary impacts of ITDS (w/OBFM & BTA). -Identify IT requirements & implications of ITDS (w/OIT & BTA). -Identify security implications of ITDS participation.</p>	<p>-Request for supplemental funding, if any, required to implement ITDS. -Commission enters initial agreement for ITDS participation. -Review of ITDS program upon roll-out of new ITDS modules.</p>

IV. STRATEGIC GOAL: Technological Efficiencies

17 FTEs and \$2,422,485 will be required to accomplish this goal.

2006 Steady State Activities:

- Implementing a wide range of IT programs and services, including operating the agency's local area network, strategic planning for short- and long-term IT initiatives, IT security, data telecommunications, database development and management, and Internet page development and maintenance to enhance productivity and efficiency.
- Maintaining and updating internal databases to enhance the ability of the public and Commission to obtain relevant program-related information and enhance staff productivity.
- Converting Commission records into electronic format to enable easier public access to information.

IV. STRATEGIC GOAL: Technological Efficiencies - Continued

Performance Goal	Related Strategic Goals/Outcomes/ Means	Outcome	Performance Indicator	Process/Activity	Performance Measure/Evaluation
1. Electronic payment of user fees.	Use technology to improve agency work processes to the extent possible and practical.	Existence of web-based system to permit electronic payment of user fees to the extent possible and practical.	Assist stakeholders in submitting payment electronically.	Development of technological tools to provide secure Internet-based interface for payment of user fees to the extent possible and practical.	Lower number of paper checks received & increased usage of electronic payment system.
2. Analyze information collections of the agency and update them as necessary to ensure they are meeting the needs of the users in the most efficient way possible, by being centralized, secure, and containing no unnecessary duplication.	Automate agency systems.	<ul style="list-style-type: none"> -Enhance efficiency of various business processes. -Better utilization of agency resources. -Enables broader, more in-depth analyses of relevant regulatory issues. -Information provided to senior management & various stakeholders more expediently. 	<ul style="list-style-type: none"> -Relevant information more readily available for access, manipulation & analysis. -Agency managers report broader use of information resulting in improved analyses & ability to address difficult issues. -Agency staff indicates increased effectiveness in accomplishing relevant tasks developing/ providing information. -Reductions in time involved in completing assignments. 	<ul style="list-style-type: none"> -Task Force with CIO, Operations, and representatives from Bureaus is formed to create plan. -Task Force identifies, documents, and analyzes current information systems. -Task Force conducts a user survey to identify user needs. -Task Force creates recommendation paper outlining short-, medium-, and long-term changes. -Implementation. -Post-implementation review. 	<ul style="list-style-type: none"> -Director of Operations monitors progress of Task Force. -Senior management assesses results of all automation efforts. -CIO incorporates all changes/refinements identified by senior management.
3. Streamline agency procurement procedures, including: (1) credit card micro-purchases & (2) receiving & accepting of goods & services.	Automate agency systems.	<ul style="list-style-type: none"> -Complying with various government regulations, such as Prompt Payment Act & OMB Circular A-123, concerning the establishment & maintenance of management & controls. -Faster invoice processing, making better use of valuable agency resources. 	<ul style="list-style-type: none"> -Prism entries for receipt & acceptance of goods & services are captured in a timely & appropriate manner. -Blanket purchase orders are entered into Prism replacing individual Prism requisitions for each micro-purchase. 	<ul style="list-style-type: none"> -For micro-purchasing, various bureau/offices are given a budget as reflected in a blanket purchase order. Purchases are made by OMS upon e-mail requests from various bureaus/offices. -When goods are delivered to the FMC, entries for receipt & 	<ul style="list-style-type: none"> -Various bureaus/offices are more empowered in micro-purchasing, which under the blanket purchase order approach, is conducted in a streamlined manner. -The receipt & acceptance of purchased items is tracked in a timely manner in the Prism system.

IV. STRATEGIC GOAL: Technological Efficiencies - Continued

Performance Goal	Related Strategic Goals/Outcomes/Means	Outcome	Performance Indicator	Process/Activity	Performance Measure/Evaluation
				acceptance are made into the Prism system.	

V. STRATEGIC GOAL: Management Capabilities

25 FTEs and \$3,670,249 will be required to accomplish this goal.

2006 Steady State Activities:

- Executing financial management policies and programs, including developing annual budget justifications for submission to the Congress and OMB, managing agency appropriations, administering internal control systems for agency funds, travel and cash management, and coordinating with contractors who provide accounting and payroll services.
- Fostering human resources management principles, including recruitment and placement, position classification and pay administration, occupational safety and health, employee assistance, employee relations, workforce discipline, performance management and incentive awards, employee benefits, career transition, retirement, employee development and training, personnel security, and an equal employment opportunity.
- Ensuring the program operations of the agency are administratively supported via telecommunications, procurement of administrative goods and services, property management, space, printing and copying, mail and records services, facilities and equipment maintenance, and transportation.
- Promoting economy and efficiency in the administration of, and protecting and detecting waste, fraud and abuse in, the agency's programs via auditing agency operations.
- Providing guidance to staff regarding administrative matters, including procurement, personnel and contracting issues.
- Ensuring program compliance with various rules and regulations regarding such areas as forms clearance, Paperwork Reduction, Small Business Paperwork Reduction Act, and other Federally required reports and submissions.

Performance Goal	Related Strategic Goals/Outcomes/ Means	Outcome	Performance Indicator	Process/Activity	Performance Measure/Evaluation
1. Simplify and refine the agency's performance appraisal system so that expectations are clearly reflected, performance properly assessed via appropriate measures, and the system facilitates growth and development.	Develop & monitor performance plans.	-Any lingering emphases on processes & productivity are replaced with a focus on intended results. -Facilitates evaluations based on what is actually accomplished, as opposed to work produced. -Performance appraisal system serves as an effective tool to provide feedback, guide careers, and	-Specific methods/means agreed to by senior management. -Consensus among managers & employees that performance plans clearly convey expected results & contain viable means of measuring performance. -Use of performance measures is readily accomplished & performance appraisal process	-Employees fully engaged in development of all measures to be used. -Based on recommendations of task force comprised of unit deputies, revised system initiated early in FY06. -Consistent approach taken in stating goals, identifying desired outcomes, & specifying means to be used	-Senior management meets to discuss preliminary progress under new system. -Chairman assesses agency progress in implementing new system. -Senior management assesses progress at mid-year reviews. -Chairman reviews final appraisals, and speaks with a cross-section of employees to determine success of new system in meeting objectives.

V. STRATEGIC GOAL: Management Capabilities - Continued

Performance Goal	Related Strategic Goals/Outcomes/Means	Outcome	Performance Indicator	Process/Activity	Performance Measure/Evaluation
		<p>offer developmental advice.</p> <ul style="list-style-type: none"> -Increased incentive for all agency staff to achieve results that are aligned with the agency's mission & stated policy objectives. -Clear communication with employees & more candid, effective, equitable conduct of employee appraisals. 	<p>conducted more effectively.</p> <ul style="list-style-type: none"> -System facilitates effective feedback and developmental advice. 	<p>to measure/evaluate results.</p> <ul style="list-style-type: none"> -All agency officials ensure that performance goals & employee performance elements clearly specify expected outcomes in a measurable manner, and that appropriate feedback and guidance is provided to all employees. 	
<p>2. Develop strategic succession plan for agency senior executives & non-SES upper level managers.</p>	<p>Anticipate future skill problems & recruit.</p>	<ul style="list-style-type: none"> -Agency will be prepared to fill leadership positions with trained, competent staff as vacancies occur. -No significant reduction in effectiveness and efficiency of agency operations upon departure of senior managers. 	<ul style="list-style-type: none"> -No discernible shortfalls in required employee skill sets. -Ability of agency to absorb expected attrition & meet current & ongoing mission needs. 	<ul style="list-style-type: none"> -Task force of various agency staff, led by OA, assesses situation and recommends specific actions. -Necessary development/training actions initiated. 	<ul style="list-style-type: none"> -Approved succession plan. -Existence of trained, capable staff members ready to fill vacant leadership positions.