



***FEDERAL MARITIME COMMISSION***

***FINAL ANNUAL PERFORMANCE PLAN FOR FY 2008***

**February 2007**

## LIST OF ACRONYMS

<i>1984</i>	<i>Act Shipping Act of 1984</i>
<i>AR</i>	<i>Area Representative</i>
<i>BCL</i>	<i>Bureau of Certification and Licensing</i>
<i>BOE</i>	<i>Bureau of Enforcement</i>
<i>BTA</i>	<i>Bureau of Trade Analysis</i>
<i>CADRS</i>	<i>Office of Consumer Affairs and Dispute Resolution Services</i>
<i>COOP</i>	<i>Continuity of Operations Plan</i>
<i>EHR1</i>	<i>Enterprise Human Resources Integration</i>
<i>e-OPF</i>	<i>Electronic Official Personnel Folder</i>
<i>FMC/Commission</i>	<i>Federal Maritime Commission</i>
<i>FR</i>	<i>Final Rule</i>
<i>FRB</i>	<i>Federal Reserve Bank</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>IAA</i>	<i>Inter-agency Agreement</i>
<i>IT</i>	<i>Information Technology</i>
<i>NARA</i>	<i>National Archives and Records Administration</i>
<i>NPR</i>	<i>Notice of Proposed Rulemaking</i>
<i>NVOCC</i>	<i>Non-Vessel-Operating Common Carrier</i>
<i>OIT</i>	<i>Office of Information Technology</i>

<i>OMB</i>	<i>Office of Management and Budget</i>
<i>OPF</i>	<i>Official Personnel Folder</i>
<i>OPM</i>	<i>Office of Personnel Management</i>
<i>OPS</i>	<i>Office of Operations</i>
<i>OSRA</i>	<i>Ocean Shipping Reform Act of 1998 OTI Ocean Transportation Intermediary</i>
<i>PVO</i>	<i>Passenger Vessel Operator</i>
<i>SAHRC</i>	<i>Small Agency Human Resources Consortium</i>
<i>SC</i>	<i>Service Contract</i>
<i>SOW</i>	<i>Statement of Work</i>
<i>U.S.</i>	<i>United States</i>
<i>VOCC</i>	<i>Vessel-Operating Common Carrier</i>

## **INTRODUCTION**

This document comprises the FMC's Final Annual Performance Plan for FY 2008. 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 2008, 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 2008 focuses on continuing our efforts to implement the President's Management Agenda initiative to expand electronic government. Several performance goals focus on utilizing technology to streamline and simplify the delivery of services and information to regulated entities and the public, and to improving our databases so the staff can more effectively identify regulated entities, relevant data/information, and potential abuses.

Performance goals also were developed to enhance our management capabilities, with particular focus on the more effective use of teleworking and the implementation of EHRI, and to improve our technological efficiency through upgrading agency network and desktop operating systems and improving access to library information.

The Commission's Annual Performance Plan comports with the overall objectives of GPRA while maintaining flexibility in its presentation and application. This modified approach has been authorized by OMB since 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.

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 industry officials 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 have initiated a broader outreach program to expand our extant seminar series, where agency staff travels to various locations to exchange information and discuss relevant issues with the industry and the shipping public. The information and opinions we received via these various efforts have assisted us in developing our performance goals and implementing approaches. It is clear that those involved in the various sectors of U.S. ocean shipping understand the Commission's major program activities and, at the same time, the Commission is cognizant of the views of all parties with whom it interacts.

In line with OMB guidance, the Commission has reflected the resources needed to accomplish its various functions. We have provided FTE and funding figures for each Strategic Goal, which reflect 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 our FY 2008 budget.

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 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.

## 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.

## **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, 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**

36 FTEs and \$6,731,000 will be required to accomplish this goal.

### **2008 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

Performance Goal	Related Strategic Goals/ Outcomes/ Means	Outcome	Performance Indicator	Process/Activity	Performance Measure/ Evaluation
1. Develop plan for automating PVO Application Form 131 and perform requirements analysis.	- Automate agency systems.	<ul style="list-style-type: none"> <li>- More user friendly and convenient process for industry to apply for certificates of nonperformance and casualty.</li> <li>- Reduction in burden and cost for industry.</li> <li>- More timely and effective staff review and process.</li> <li>- More efficient database management.</li> </ul>	<ul style="list-style-type: none"> <li>- Facilitate filing of PVO applications.</li> <li>- Improve BCL's ability to receive and process PVO certificates.</li> <li>- Contributes to streamlined PVO process.</li> <li>- Reduce staff database management efforts.</li> </ul>	<ul style="list-style-type: none"> <li>- Discuss with PVOs benefits of electronic filings.</li> <li>- Identify system functionality.</li> <li>- Initiate development of SOW.</li> <li>- Begin development of system &amp; implementation plans.</li> </ul>	<ul style="list-style-type: none"> <li>- Requirements analysis conducted.</li> <li>- Initial SOW drafted.</li> <li>- Feedback from staff.</li> <li>- Identify and resolve any impediments, then continue next steps identified in overall plan.</li> </ul>
2. By 9/30/08, assess the impact and effectiveness of the new rules for agreements.	-Update and/or refine FMC rules relating to the content of filed agreements, minutes, information form & monitoring reports.	<ul style="list-style-type: none"> <li>-Written report to Director, OPS re: <ul style="list-style-type: none"> <li>- Extent relevant filings are timely, useful, complete, &amp; accurate.</li> <li>- Level of industry compliance/ concerns</li> <li>- Filings' impact on regulatory costs/ burdens;</li> <li>- Impact on processing times for agreement filing/ effective -ness of ongoing monitoring of agreements of concern to BTA;</li> <li>- Impact on "follow-up" contacts w/filers related to routine monitoring;</li> <li>- Extent to which filed information effectively used;</li> </ul> </li> <li>-Recommendations for further changes to rules post-assessment.</li> </ul>	<ul style="list-style-type: none"> <li>-Drawing on relevant BTA databases, data and information to address the performance goal are collected.</li> <li>-Relevant agreement files reviewed, and information relevant to the performance goal collected.</li> <li>- BTA staff surveyed to collect information relevant to the performance goal.</li> <li>- Relevant data from samples of industry filers collected.</li> </ul>	<ul style="list-style-type: none"> <li>-Research team is established -- composed of a team leader and approximately four BTA staff members.</li> <li>-Team agrees on the necessary tasks &amp; workload distribution to address fully the performance goal.</li> <li>-Team meets bi-weekly to share findings, concerns or problems.</li> <li>- Team members meet with industry representatives for relevant input.</li> <li>- Team drafts final report and any proposals for revising existing rules.</li> </ul>	<ul style="list-style-type: none"> <li>-Bureau director manages ongoing staff efforts.</li> <li>-Team leader for project tracks progress of team through periodic meetings and deadlines established to maintain schedule.</li> <li>- Feedback from industry sectors on costs/burdens related to current rules, and on alternative data sources.</li> </ul>

## **II. STRATEGIC GOAL: Compliance**

47 FTEs and \$7,970,000 will be required to accomplish this goal.

### **2008 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.
- ◆ Working with other agencies to enhance 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.

<b>Performance Goal</b>	<b>Related Strategic Goals/ Outcomes/ Means</b>	<b>Outcome</b>	<b>Performance Indicator</b>	<b>Process/Activity</b>	<b>Performance Measure/ Evaluation</b>
1. Enhance OTI audit/ monitoring program as to unlicensed operators.	-Ensure higher compliance with licensing & bonding requirements. -Enhance monitoring programs to improve industry compliance.	-Ensure those OTIs whose applications have been rejected or terminated for inaction receive compliance follow-up. - Pursue, monitor or audit those OTIs who fail to get licensed or re-licensed.	- Number of entities re-licensed. - Number of compliance or enforcement actions against entities who refuse to be licensed or re-licensed.	- Develop procedures to assist review of monitoring. - Identify procedures and requirements to coordinate possible compliance or enforcement actions.	-Quarterly reviews by BCL. - Quarterly reports by BOE & ARs as to efforts with regards to non-compliant entities.
2. Begin redesign of the functionality of OTI list on the homepage to include more information and make it more interactive.	-Increase outreach via FMC's homepage.	- Enhance query/ search capability. - Provide more timely information. -Protect the public & users of ocean transportation services by providing more information re: choosing an OTI or ensuring an OTI is licensed/ bonded.	- Facilitate industry and public accessibility to list of compliant OTIs. - Improve compliance with statute and regulations by OTIs and VOCCs. - Enhance protection of shipping public.	- Identify data to be displayed & queried. - Conduct requirements analysis. - Develop overall plan for system and its implementation.	- Requirements analysis successfully completed. - Identify and resolve any impediments, then continue next steps identified in overall plan.

### **III. STRATEGIC GOAL: Balanced Enforcement**

19 FTEs and \$3,497,000 will be required to accomplish this goal.

#### **2008 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.

<b>Performance Goal</b>	<b>Related Strategic Goals/Outcomes/ Means</b>	<b>Outcome</b>	<b>Performance Indicator</b>	<b>Process/Activity</b>	<b>Performance Measure/ Evaluation</b>
1. Review “best practices” re: VOCCs & NVOCCs offering service to non-compliant entities	- Encourage voluntary compliance by increasing outreach to industry.	-Improved compliance by VOCCs and NVOCCs w/their statutory responsibility not to provide service to non-compliant OTIs. -Improved maritime security by limiting service to non-compliant OTIs. -Increased protection of the shipping public by limiting the operations of unbonded and unqualified OTIs. -More equitable competition among VOCCs and among entities operating as compliant OTIs.	-Increased recognition by VOCCs & NVOCCs of the benefits of implementing a “best practices” program. -Reduction in the number of noncompliant OTIs receiving service from VOCCs & NVOCCs. -Reduction in the number of complaints received by CADRS relating to unbonded & untariffed NVOCCs.	-Utilize outreach resources, including the FMC’s website, electronic databases & activities of the ARs, to promote the ‘best practices’ program among the VOCC & NVOCC communities. -Provide appropriate “mitigation” recognition in enforcement actions to entities w/ “best practices” programs.	-Review of outreach & promotional efforts & materials developed to advise VOCCs & NVOCCs of the availability of the “best practices” program. -Number of VOCCs & NVOCCs implementing “best practices” programs. -Usage of “best practices” in mitigation of enforcement actions. -Level of recidivism among those VOCCs & NVOCCs adopting “best practices” programs.
2. Develop rulemaking containing new enforcement options against cruise lines that fail to file PVO reports.	- Enhance monitoring programs to improve compliance.	- Timely filed and accurate PVO reports. - More efficient and effective monitoring of PVO activities.	- Reduction of staff resources spent contacting PVOs to submit reports.	- Prepare NPR. - Solicit comments. - Issue FR.	- Reduction in number of PVOs identified as noncompliant. - Actions taken against noncompliant PVOs.

#### **IV. STRATEGIC GOAL: Technological Efficiencies**

15 FTEs and \$2,518,000 will be required to accomplish this goal.

##### **2008 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

Performance Goal	Related Strategic Goals/ Outcomes/ Means	Outcome	Performance Indicator	Process/Activity	Performance Measure/ Evaluation
1. Implementation of Pay.gov.	<ul style="list-style-type: none"> <li>-Increase use of modern technologies &amp; systems to improve results.</li> <li>-Employ OMB's procedures to meet GPEA mandates.</li> </ul>	<ul style="list-style-type: none"> <li>-Agencywide acceptance of electronic payments.</li> <li>-Industry use of electronic payments.</li> <li>-Relative reporting output from Pay.gov.</li> </ul>	<ul style="list-style-type: none"> <li>-Volume of electronic payments received.</li> <li>-Feedback from the industry/users of electronic payments.</li> <li>-Feedback from involved FMC employees.</li> </ul>	<ul style="list-style-type: none"> <li>-Conduct internal assessment to determine ways agency units might require Pay.gov support.</li> <li>-Meet w/ Treasury regarding implementation procedures and requirements.</li> <li>-Discuss and refine requirements.</li> <li>-Consult w/ senior management &amp; Chairman with proposed implementation plans.</li> <li>- Conduct meeting(s) with Treasury to develop an Agency Configuration Template.</li> <li>-Begin conversion process.</li> <li>-Sign agreement w/ FRB Cleveland to set up, create and deploy application for FMC to receive electronic payments.</li> <li>-Conduct application testing prior to going "live".</li> <li>-Deploy electronic payment option agencywide.</li> </ul>	<ul style="list-style-type: none"> <li>-Industry usage of electronic payments.</li> <li>-Feedback from customer base.</li> <li>-Feedback from involved FMC employees.</li> </ul>
2. Upgrade network and desktop operating systems.	<ul style="list-style-type: none"> <li>- Identify and provide information technology to improve workforce productivity.</li> </ul>	<ul style="list-style-type: none"> <li>- Agency-wide standard desktop and laptop foundation.</li> <li>- Agency-wide standard server configuration.</li> </ul>	<ul style="list-style-type: none"> <li>- Successful upgrade from current operating system to new operating system.</li> <li>- Positive feedback from FMC users.</li> </ul>	<ul style="list-style-type: none"> <li>- Complete inventory of existing equipment.</li> <li>- Select software, test, acquire &amp; configure.</li> <li>- Update all procedures w/ new desktop and server configurations.</li> <li>- Deploy software.</li> </ul>	<ul style="list-style-type: none"> <li>- Agency operating systems are selected, tested, and deployed.</li> <li>- Feedback from FMC staff.</li> </ul>

Performance Goal	Related Strategic Goals/ Outcomes/ Means	Outcome	Performance Indicator	Process/Activity	Performance Measure/ Evaluation
3. Initiate integration of major databases.	<ul style="list-style-type: none"> <li>- Increase use of modern technologies to improve results by enhancing work processes.</li> </ul>	<ul style="list-style-type: none"> <li>- Building on analysis of information collections completed in FY06, design centralized, unified &amp; secure database system of regulated entities for use by Commission staff.</li> <li>- Design to meet needs of all Commission offices &amp; bureaus with regard to regulated entity data collection.</li> </ul>	<ul style="list-style-type: none"> <li>- Facilitate retrieval of data.</li> <li>- Enhance analytical capability.</li> <li>- Reduce duplication of data input.</li> </ul>	<ul style="list-style-type: none"> <li>- Work with other Commission components, OIT &amp; contractor, if applicable, to develop system.</li> <li>- Assure periodic meetings held to evaluate progress.</li> <li>- Develop SOW or in-house proposal to develop system.</li> </ul>	<ul style="list-style-type: none"> <li>- Successful completion of implementation plan of action steps.</li> <li>- Feedback from staff.</li> </ul>
4. Explore options for and begin the development of an online catalogue for the FMC's law/ reference library collection.	<ul style="list-style-type: none"> <li>-Employ technology to improve workforce productivity.</li> </ul>	<ul style="list-style-type: none"> <li>- Paper catalogue in library replaced by online access station.</li> <li>- Staff has access to library catalogue from desktops.</li> <li>- Increased efficiency in searching library resources.</li> <li>- Directly link online catalogue entries to other electronic resources.</li> <li>- Reduce redundancy of data entry across library modules.</li> </ul>	<ul style="list-style-type: none"> <li>- Options for automating the card catalogue evaluated against specific needs and recommendations made.</li> <li>- Online catalogue created based on recommended approach.</li> <li>- Paper catalogue replaced with online work station in the library.</li> <li>- Staff access to catalogue from desktops.</li> </ul>	<ul style="list-style-type: none"> <li>- Research online catalogue options, make recommendations.</li> <li>- Design screens and other aspects of system.</li> <li>- Populate catalogue through either scanning of catalogue cards or use of outside source documents.</li> <li>- Work with OIT to provide desktop access to staff, including ARs, through central server.</li> <li>- Train staff on how to use system.</li> </ul>	<ul style="list-style-type: none"> <li>- Assess recommendations for timeliness and appropriateness.</li> <li>- Assess feedback from FMC staff and the public.</li> <li>- Assess overall effectiveness of new system.</li> </ul>

## **V. STRATEGIC GOAL: Management Capabilities**

10 FTEs and \$1,606,000 will be required to accomplish this goal.

### **2008 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

<b>Performance Goal</b>	<b>Related Strategic Goals/Outcomes/ Means</b>	<b>Outcome</b>	<b>Performance Indicator</b>	<b>Process/Activity</b>	<b>Performance Measure/ Evaluation</b>
1. Fast track implementation of EHRI (e-OPF)	-Evaluate approaches for increasing the use of modern technology to improve results.	- Eliminate the need for a paper OPF. - Establish database to enable electronic transfer of e-OPF data among Federal agencies (future). - Achieve economy/ annual savings by eliminating the paper folder. -In sync w/ OPM strategic plan & operational goal to convert 50% of hard copy OPFs to electronic format by 10/1/2008.	-Volume of OPF documents processed & filed. -Feedback from e-Government officials, users of e-OPF. -Feedback from involved FMC employees.	-Meet w/ OPM/ & SAHRC on funding, implementation, and requirements. -Begin Fast-track implementation. -Update IAA w/ OPM & SAHRC EHRI reps to lay framework for other products. -Activate e-OPF accounts for employees, managers, “friends and family” accounts.	-Feedback from SAHRC user group, EHRI program officials, customers. -Feedback from involved FMC employees. - NARA requirements.

Performance Goal	Related Strategic Goals/Outcomes/ Means	Outcome	Performance Indicator	Process/Activity	Performance Measure/ Evaluation
<p>2. Assess telework program to encourage usage &amp; advance efficiency of operations.</p>	<ul style="list-style-type: none"> <li>- Emphasizes workforce planning issues such as recruitment and retention.</li> <li>- Encourage activities that help employees demonstrate abilities and achieve full potential.</li> </ul>	<ul style="list-style-type: none"> <li>- Encourages the better understanding of the benefits of teleworking for both employees, agency and the environment (e.g., more flexibilities for employees, a more powerful tool for recruitment &amp; retention of employees, less fuel consumption)</li> <li>- Agency increases the total number of participating employees &amp; teleworked days without deterioration of effectiveness and efficiency.</li> <li>- Supervisors can assess employees' performance using simple measurement tools.</li> <li>- Agency has clear benchmarks to assess success of program.</li> </ul>	<ul style="list-style-type: none"> <li>- Significant increase in total number of participating employees &amp; total number of teleworked days per year over prior year's experience.</li> <li>- Development of new supervisory tools.</li> <li>- Development of an annual survey of supervisors' and employees' opinions of program.</li> <li>- Development of benchmarks by which Agency may measure success of program.</li> </ul>	<ul style="list-style-type: none"> <li>- Identify total number of employees &amp; days teleworked under current program in the past year.</li> <li>- Review positions/ types of work which can, or cannot, be performed via telework.</li> <li>- Identify the optimum number of days per week/ month/year which can be teleworked consistent with Agency's duties.</li> <li>- Identify benchmarks for satisfactory use of program.</li> <li>- Assess supervisors' and employees' opinions on the program.</li> <li>- Registration of eligible employees for use of program.</li> <li>- Administration of opinion survey of supervisors and employees on their views regarding the program.</li> <li>- Implementation of new supervisory tools.</li> </ul>	<ul style="list-style-type: none"> <li>- Senior management evaluates the adequacy of the number of participating employees, the results of annual survey of supervisors and employees.</li> <li>- Chairman evaluates the operation of the program relative to the effective and efficient conduct of Agency business.</li> <li>- Chairman reviews the results of supervisor &amp; employee survey &amp; target benchmarks established for the program.</li> </ul>