

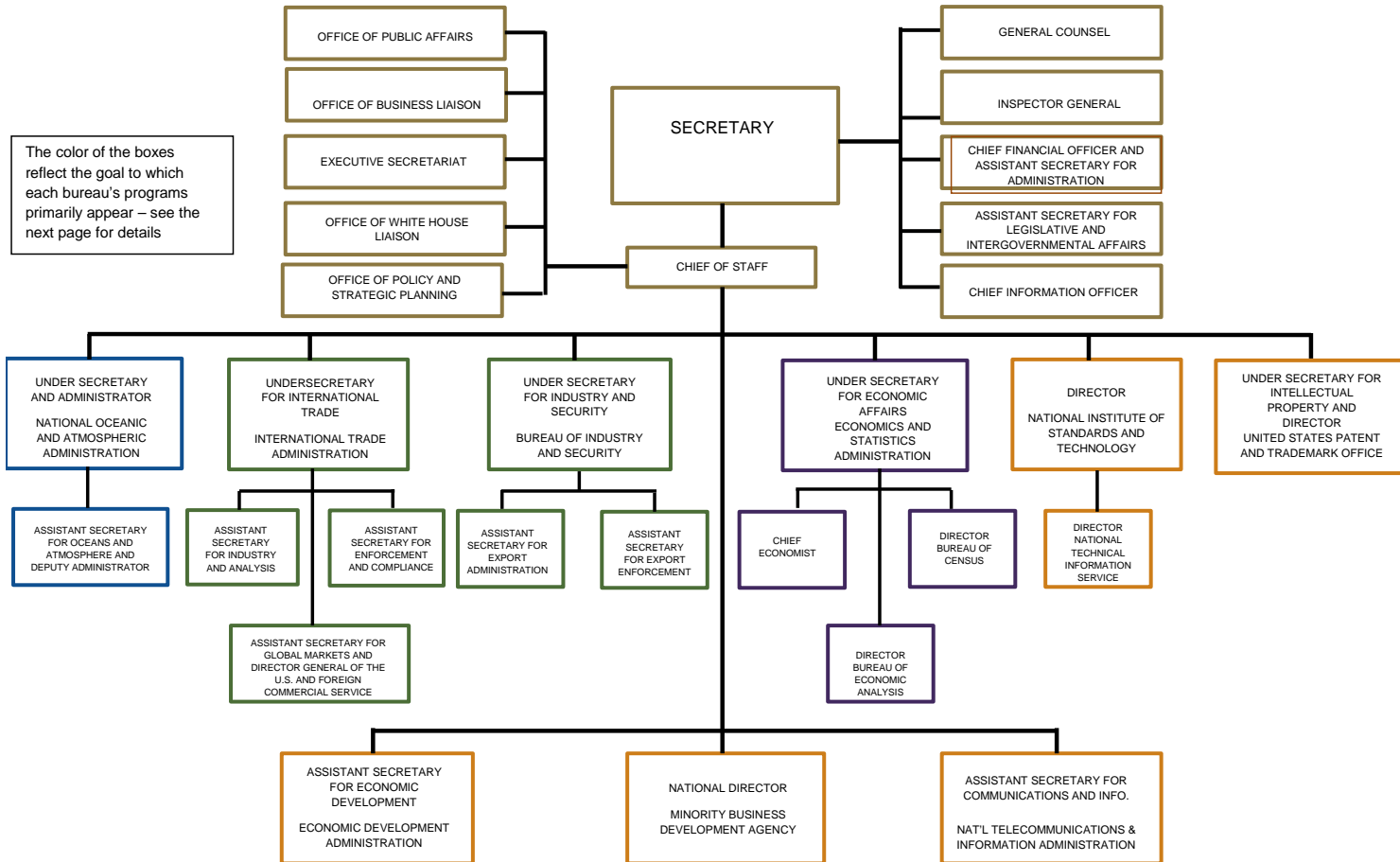
FY 2016 Annual Performance Plan / FY 2014 Annual Performance Report

Department of Commerce

Mission Statement

The Department of Commerce creates the conditions for economic growth and opportunity by promoting innovation, entrepreneurship, competitiveness, and stewardship

Organizational Structure



Strategic Goals and Objectives



Trade and Investment: Expand the U.S. economy through increased exports and inward foreign investment that lead to more and better American jobs	
1.1. Increase opportunities for U.S. companies by opening markets globally	ITA, NOAA, NTIA, USPTO,
1.2. Increase U.S. exports by broadening and deepening the U.S. exporter base	BIS, EDA, ESA, ITA, MBDA,
1.3. Increase high-impact inward foreign direct investment into the United States	EDA, ESA, ITA
1.4. Strengthen fair competition in international trade for U.S. firms and workers by addressing and resolving foreign unfair trade practices and enforcing international trade agreements.	ITA
Innovation: Foster a more innovative U.S. economy—one that is better at inventing, improving, and commercializing products and technologies that lead to higher productivity and competitiveness	
2.1. Grow a more productive, agile, and high-value manufacturing sector through partnerships and collaborations that accelerate technology development and commercialization	NIST
2.2. Increase the capacity of U.S. regional economies to accelerate the production of value-added goods and services by providing services to and investments in businesses and communities	EDA, , MBDA, NIST USPTO
2.3. Strengthen the nation's digital economy by championing policies that will maximize the potential of the Internet, expanding broadband capacity, and enhancing cybersecurity.	NIST, NTIA, USPTO
2.4. Accelerate the development of industry-led skills strategies that result in a productive workforce for employers and high-quality jobs for workers	EDA, ESA, NIST,
2.5. Accelerate growth of innovation-intensive economic sectors by building public and private capacity to invent, improve, and commercialize new products and services	EDA, NIST, USPTO,
Environment: Ensure communities and businesses have the necessary information, products, and services to prepare for and prosper in a changing environment	
3.1. Advance the understanding and prediction of changes in the environment through world class science and observations	NIST, NOAA,
3.2. Improve preparedness, response, and recovery from weather and water events by building a Weather-Ready Nation	CENSUS, ESA, NOAA
3.3. Strengthen the resiliency of communities and regions by delivering targeted services to build capacity	EDA, ESA, NIST, NOAA
3.4. Foster healthy and sustainable marine resources, habitats, and ecosystems through improved management and partnerships	NOAA
3.5. Enable U.S. businesses to adapt and prosper by developing environmental and climate-informed solutions	ESA, ITA, , NIST, NOAA,
Data: Improve government, business, and community decisions and knowledge by transforming Department data capabilities and supporting a data-enabled economy	
4.1. Transform the Department's data capacity to enhance the value, accessibility and usability of Commerce data for government, business and the public.	CENSUS, ESA, NIST,NOAA, NTIS
4.2. Improve data-based services, decision-making, and data sharing within the Department and with other parts of the federal government	BIS, CENSUS, ESA, ITA
4.3. Collaborate with the business community to provide more timely, accurate, and relevant data products and services for customers	ESA, NOAA
Operational Excellence: Deliver better services, solutions, and outcomes that benefit the American people	
5.1. Strengthen organizational capabilities to drive customer-focused, outcomes-driven mission performance.	OS, OIG, ALL BUREAUS

Benefits to the American Public

Trade and Investment: Expand the U.S. economy through increased exports and inward foreign investment that lead to more and better American jobs

Trade and investment are critical to the Nation's prosperity. The United States is the world's largest economy—the largest exporter and importer of goods and services and the world's largest recipient of foreign direct investment. In 2013, the United States exported more than \$2.3 trillion worth of goods and services. Exports fuel U.S. economic growth, support good jobs, and spread ideas, innovation, and American values.

Being the leader, however, is not enough. Too few U.S. companies export to too few markets. Of the more than 300,000 U.S. exporters, the top one percent account for approximately 80 percent of the value of U.S. merchandise exports, underscoring the tremendous opportunity for U.S. companies to export more. Increasing trade will help the U.S. economy continue to rebalance from one mostly driven by domestic consumption to one increasingly engaged with the 95 percent of consumers who live outside U.S. borders. Encouraging investment will help the United States in the growing competition for global foreign direct investment which will continue to increase as emerging markets mature. As the lead trade and investment promotion agency in the federal government, the Department's goal is to increase the global fluency of U.S. businesses and make trade and investment a bigger part of the U.S. economy's DNA.

The strength of the U.S. economy continues to depend on competitive manufacturing and services sectors and a vibrant open global marketplace. Growth in key foreign markets will help drive global economic recovery. More than one billion new consumers worldwide will enter the middle class during the next 15 years, and their buying power will increase the consumption of goods and services worldwide.

As economies around the world grow, some foreign governments develop policies that create barriers to U.S. companies in those markets. These trade barriers and other trade practices cost U.S. companies billions of dollars in lost revenue. Trade barriers result not only in financial loss, but also limit the ability of U.S. companies to expand production, hire additional workers, or pursue investment opportunities. Studies indicate that trade openness added \$800 billion to \$1.4 trillion to the U.S. economy since World War II, amounting to \$7 thousand to \$13 thousand per U.S. household. Removing the remaining trade barriers could result in an additional \$400 billion to \$1.3 trillion annually, or about an additional \$4 thousand to \$12 thousand per U.S. household.

The Department will deploy its policy and promotional tools to help U.S. firms compete for new opportunities globally. A renewed focus on global competitiveness will help strengthen the long-term health of U.S. industries and stimulate domestic job creation. The Department will also use its expertise on export promotion and industry-economic-country issues to conduct holistic analyses of U.S. trade issues and needs, make recommendations, and take actions.

International Trade Administration

ITA's Global Markets (GM) program benefits U.S. exporters by providing tailored export assistance to U.S. companies and communities to connect U.S. companies to foreign markets, qualified buyers, and partners. GM provides foreign market intelligence, identifies industry-specific opportunities and best market prospects, and helps U.S. companies develop market entry strategies. GM also works to reduce foreign trade barriers. These barriers such as inadequate protections for intellectual property rights, discriminatory regulations and lack of transparency in foreign government procurements cost U.S. exporters billions of dollars each year.

Through SelectUSA, GM increases high-impact inward foreign direct investment into the United States by leading coordinated investment promotion for the United States. GM investment teams work to develop country and industry-specific strategies in 32 economies with substantial potential for investments in the United States. Through SelectUSA's enhanced outreach efforts, GM proactively engages the foreign investment community in identifying the information and services they need to invest in the United States. Finally, GM advocates globally for the United States as a destination for investment, by coordinating actions by top federal officials, to increase investment by foreign business in the United States. New U.S. jobs and investment result when these business "select USA."

Industry and Analysis (I&A) provides value to the American public through its various activities and programs. The Market Development Cooperator Program (MDCP) is a public/private partnership that provides technical and financial assistance to non-profit organization “cooperators” like trade associations. The MDCP enhances the competitiveness of U.S. industries by reducing the startup costs of new foreign market development projects. I&A is also working on the U.S.-EU Safe Harbor Framework Agreement, critically important to companies on both sides of the Atlantic. This agreement enables these companies to comply with EU data protection requirements while transferring data to the United States, vital to maintaining vibrant trade and commercial relations with the Nation’s major trade partner. Another important project is the work for the ITDS (International Trade Data System). ITA, through I&A, is helping to reduce the cost and complexity of exporting by implementing the ITDS single window system (under the Executive Order of February 19, 2014). ITA also assists in implementing the WTO Trade Facilitation Agreement, and implementing the recommendations of the Advisory Committee on Supply Chain Competitiveness (ACSCC).

I&A performs industry specific analysis to increase opportunities for U.S. companies by producing the Top Market Prospects Reports and other reports which deepen the U.S. exporter base. ITA conducts a series of outreach and educational initiatives/activities aimed, principally, at informing small and medium-sized enterprises about the benefits and availability of trade finance programs and tools, essential to increasing U.S. exports and expanding the number of new U.S. exporters. ITA produced the *Trade Finance Guide* (TFG), which has become one of its most popular publications. I&A has distributed approximately 300,000 copies of the TFG, in English and Spanish, to ITA’s customers, many through private sector partners. I&A industry teams provide increased opportunities for U.S. exporters through their work on trade agreements and negotiations such as the WTO Information Technology Agreement and Government Agreement on Semiconductors. I&A supports U.S. Industry in protecting and enforcing intellectual property rights in foreign markets through direct counseling, and outreach initiatives. In addition, the Office of Intellectual Property Rights advances intellectual property protections and enforcements in countries through involvement in several bilateral and multilateral agreements including, TTIP, TPP and the U.S.-China Joint Commission on Commerce and Trade.

Enforcement and Compliance (E&C) helps U.S. manufacturers, exporters, workers, and farmers compete on a level playing field against injuriously dumped and unfairly subsidized imports by administering the U.S. antidumping duty (AD) and countervailing duty (CVD) laws, and develops and executes other programs and policies designed to reduce the prevalence of market distorting foreign government activities that can lead to such unfair trade practices. The unit also assists U.S. exporters and investors subject to foreign government barriers by working to ensure foreign government compliance with international trade agreement obligations. In addition, E&C coordinates the representation of U.S. commercial interests in designated bilateral, multilateral and regional trade and investment negotiations, and oversees formulation and implementation of policies related to a wide range of areas covered by trade agreement disciplines, as well as areas where agreement disciplines are still being created.

Bureau of Industry and Security

BIS protects the U.S. public by advancing U.S. national security, foreign policy, and economic objectives that ensure that America maintains its strategic competitive advantage in critical areas affecting economic and national security. BIS accomplishes its mission by maintaining and strengthening adaptable, efficient, and effective export control and treaty compliance systems. BIS administers and enforces controls on the export of items with chiefly commercial uses that can also be used in conventional arms, weapons of mass destruction, terrorist activities, or human rights abuses; less sensitive military items being transferred from the Department of State under the President’s Export Control Reform (ECR) Initiative; and certain crude oil and timber. BIS administers and enforces these controls in coordination with several other U.S. federal agencies. BIS implements these controls primarily through the Export Administration Regulations (EAR). The EAR set forth license requirements and licensing policy for the exports of these items.

BIS processes export license applications for controlled items to be exported or re-exported in accordance with the EAR. Enforcement is an essential aspect of the BIS mission. Enforcement efforts encourage compliance, prevent and deter violations, disrupt illicit activities, and bring violators to justice. BIS achieves these important objectives through a law enforcement program focused on parties engaged in the export of sensitive commodities, software, and technology to end uses, end users, and destinations of concern. Some examples of BIS efforts that directly impact the public include:

- Conducting educational outreach to the exporting community;
- Investigating, indicting, and convicting those who willfully violate the provisions of the EAR;

- Targeting illegal procurement networks supporting terrorist regimes through focused analysis;
- Stopping unauthorized military end-use of U.S.-origin items;
- Bringing back millions of U.S. dollars to the Treasury in the form of fines and forfeitures from criminal and civil violators;
- Denying export privileges for convicted felons;
- Uncovering diversions to unauthorized end-users/uses;
- Screening license applications for end-use and end-user concerns;
- Conducting end-use checks abroad to confirm the *bona fides* of foreign parties to export transactions;
- Confirming compliance with license conditions or the use of license exceptions;
- Leveraging interagency resources to identify unauthorized exports (including deemed exports); and,
- Reviewing Automated Export System (AES) filings to identify potential export control violations.

BIS facilitates compliance with U.S. export controls by keeping U.S. and foreign firms informed of export control regulations through an extensive domestic and foreign outreach program.

Outreach activities educate U.S. businesses on export control requirements and include how to identify suspicious transactions. Identifying suspicious transactions leads to successful preventive and investigative actions. Screening license applications allows BIS, with other agencies, to deny transactions with a high risk of diversion. BIS Special Agents investigate significant proliferation, terrorism, and military end-use/user export control violations, and vigorously pursue criminal and administrative penalties.

End-use checks continue to serve as a valuable safeguard and preventive enforcement tool for verifying the bona fides of foreign end users, ensuring that exported items have been or will be used as authorized, and that license conditions are met. BIS end-use checks have been effective in revealing unauthorized end-uses and end users, including the improper or unauthorized diversion of items subject to BIS jurisdiction. When improper or unauthorized diversion is identified, appropriate measures are taken to deny further exports of licensed materials to violators.

Pursuant to the ECR initiative, BIS is participating in a broad-based, interagency review of the U.S. export control system to reduce complexity and allow the U.S. Government to focus on the most critical national security priorities. ECR will improve U.S. military interoperability with allied countries; strengthen the U.S. industrial base by reducing incentives for foreign manufacturers in allied countries to design out and avoid using U.S.-made content; and allow the U.S. Government to focus resources on the most serious national security and proliferation concerns. The objectives of the reform effort will be met in large part by moving jurisdiction of tens of thousands of less sensitive items from the State Department to the Commerce Department, which has a more flexible regulatory structure.

BIS also works to strengthen the export control systems of other countries, assess the viability of key sectors of the defense industrial base, review the national security impact of foreign acquisitions of U.S. companies, and assure the timely availability of industrial resources to meet national defense and emergency preparedness requirements. Finally, the Department also serves as the lead agency for ensuring U.S. industry compliance with the Chemical Weapons Convention (CWC). Further information on these tasks is available on <http://www.bis.doc.gov/index.php/about-bis/newsroom/publications>.

Economic Development Administration

Through its targeted economic development grant programs, EDA helps communities develop and implement place-based strategies that allow them to better understand and leverage their regional assets and build overall capacity to expand exports and attract foreign direct investment. In particular, EDA provides grant-based investments to help communities across the country foster the conditions necessary to attract business production back to the U.S. or locate facilities within the U.S. rather than other countries.

National Telecommunications and Information Administration

NTIA advocates globally for foreign regulatory and policy frameworks that promote competition and innovation in the information and communications technology sector and strengthens the ability of U.S. firms to compete effectively for global trade opportunities. NTIA utilizes its policy tools in advance preparation to best position the United States in international forums as a global leader and to strengthen the ability of U.S. firms to compete effectively for global trade opportunities. In addition, NTIA pursues policies promoting international trade in communications products and services, promoting consistent international trade policy, and improving relations with countries with rapidly expanding markets. NTIA has utilized its policy expertise and strategic coordination with other governments to advocate the United States' positions and will continue to participate in and, in several cases, lead the extensive preparatory process for international and intergovernmental meetings.

Innovation: Foster a more innovative U.S. economy—one that is better at inventing, improving, and commercializing products and technologies that lead to higher productivity and competitiveness

The U.S. manufacturing sector continues to be a mainstay of U.S. economic productivity, generating \$1.9 trillion in gross domestic product (GDP) in 2012 (11.9 percent of total U.S. GDP). Moreover, manufacturing has a larger multiplier effect than any other major economic activity - \$1 spent in manufacturing generates \$1.35 in additional economic activity. Despite the U.S. manufacturing sector's apparent productivity, missed opportunities exist where the full economic and commercial value from investments in research are not realized.

The United States excels at basic science and invention. But, the commercial and economic rewards that emerge from these accomplishments are realized after discovery—especially at the points of manufacturing scale-up and commercialization. This is particularly true for complex, cost-efficient, high-value-added products whose commercialization requires development and mastery of equally complex manufacturing processes.

As overall U.S. R&D efforts have begun to lag that of other nations, the composition of industrial R&D has shifted toward short-term research. These trends leave industry's long-term needs unmet and ultimately undermine the nation's competitiveness. The Department is ideally positioned to address these challenges through its unique convening power. It brings together public-private partnerships that can produce cutting edge research. These partnerships with businesses accelerate technology development and commercialization, and strengthens the nation's position in the global competition for new products, new markets, and new jobs. In addition, NIST is the only research laboratory in the U.S. government specifically focused on enhancing industrial competitiveness, including a robust research portfolio concentrated on the technical challenges particularly associated with advanced manufacturing.

American communities must position themselves to compete in the new economy. However, communities with significant economic challenges may not have the knowledge or network needed to leverage their assets and identify opportunities. To understand the needs of producers and attract and expand investment they need partners and expert guidance. The Department assists with strategic place-based investments that help create a productive industrial ecosystem. This support includes resources for infrastructure, planning, and technical assistance to strengthen the capacity for innovation in manufacturing. Technical assistance funding focuses on enhancing industry-required skills and identifying international supplier opportunities for small businesses.

The Department is dedicated to helping regional economies thrive and provides grants to state and local governments and non-profits in communities and regions suffering from economic distress. Technical and business assistance is also provided to smaller manufacturers through partnerships between federal and state governments and non-profit organizations. Some grants and services are specifically targeted to increasing the competitiveness of minority businesses.

The digital economy is the great engine of innovation and economic growth of the 21st century, and the Department is its principal defender and champion in the federal government. The Internet engine that powers this vast marketplace of electronic goods and services was developed within the federal government. But it has flourished in the private sector where it should remain.

This extraordinary platform for innovation, growth, and social progress faces urgent policy questions that demand a thoughtful government response such as: 1) How can personal information and intellectual property be protected online? 2) How can the Nation's critical digital infrastructure be defended from cyber-attacks? 3) How can high-speed and affordable Internet access for all Americans be ensured? and, 4) How can these goals be achieved while preserving, here and around the world, the basic nature of the Internet, free from unnecessary regulation?

National Institute of Standards and Technology

NIST has essential responsibility and a central role in answering these questions. It oversees the development of voluntary industry cybersecurity and other online safety standards. And it has a growing role in advanced communications, with the establishment of the Communications Technology Laboratory, which will form part of the joint Center for Advanced Communications (CAC) with the National Telecommunications and Information Administration (NTIA).

A skilled and adaptable workforce is critical to U.S. global competitiveness and sustainable economic growth. An employer aligned, (i.e., demand-driven) comprehensive approach to skills development is essential to helping businesses across all sectors better access skilled workers to grow, innovate, and be more productive. A skills strategy focused on industry-driven solutions helps address the difficulties many industries, particularly manufacturing, have in filling jobs requiring specific technical skills—even with many Americans still looking for work. NIST is an honest broker for business and possesses the convening power, regional economic development expertise, and supply-chain-need analytical capability to highlight and address the workforce demands of growing industries.

In order for innovative products to enter and compete in the marketplace successfully, a robust scientific and technological infrastructure is required. Fundamental research at the forefront of science provides the seeds for the development of new products and services. Policies that accelerate the rate of transfer of technologies from lab to market bolster the return on government investment in R&D. Agreed upon ways to measure the performance and quality of new products against more established technologies provide the foundations of product interoperability and allows them to compete in the international marketplace. By investing in knowledge transfer mechanisms that are critical to growing new companies and facilitating innovation, the Department promotes regional and community capacity to generate and take advantage of new ideas about products and processes.

NIST plays a central role in providing the foundation critical to the growth of high-value, innovative economic sectors. Its measurement science expertise creates the infrastructure necessary to measure the performance and quality of products and services. NIST programs enable innovators to accelerate the movement of new products and technologies to the marketplace.

United States Patent and Trademark Office

In a global economy, the property rights of American inventors must be protected not only in the United States, but internationally as well. The USPTO plays a leadership role in promoting effective domestic and international protection and enforcement of IP rights by advocating U.S. government IP rights policy, working to develop unified standards for international IP rights, providing policy guidance on domestic IP rights issues, and fostering innovation. The USPTO advises the President and Federal agencies on national and international IP rights policy matters and trade-related aspects of IP rights, and conducts technical assistance and capacity-building programs for foreign governments seeking to develop or improve their IP rights regulatory and enforcement mechanisms.

Intellectual property (IP) contributes to a strong global economy by encouraging investment in innovation and fostering entrepreneurial spirit. People worldwide benefit from innovations, both directly on a personal level, and indirectly through economic growth fueled by innovation. Continual development of a vigorous, flexible, and efficient IP system achieves this objective by protecting individual rights, encouraging investment in innovation, and fostering entrepreneurial spirit.

The Department promotes the IP system through the protection of inventions or creations via patent, trademark, trade secret, and copyright laws. Under this system of protection, industry in the United States has flourished, creating employment opportunities for millions of Americans.

Patents provide incentives to invent and invest in new technology by allowing innovators the opportunity to benefit from their discoveries. Registration of trademarks assists businesses in protecting their investments and safeguards consumers against confusion and deception in the marketplace by providing notice of marks in use. Through dissemination of patent and trademark information, the Department promotes a global understanding of IP protection and facilitates the development and sharing of new technologies worldwide.

National Telecommunications and Information Administration

NTIA develops domestic and international telecommunications and information policy for the Executive Branch under 47 U.S.C. § 902. NTIA also ensures the efficient and effective management and use of Federal radio spectrum and performs state-of-the-art telecommunications research, engineering, and planning. As a result of the American Recovery and Reinvestment Act of 2009, NTIA administers and oversees programs to advance access to and use of broadband in the United States. In addition, NTIA continues to address Presidential Memorandums, “Unleashing the Wireless Broadband Revolution” and “Expanding America’s Leadership in Wireless Innovation”, and is making progress toward expediting wireless broadband access, either through allocating Federal operations or establishing acceptable sharing arrangements, while protecting the capabilities of Federal systems.

NTIA develops and influences international policies to support fair competition and by negotiating international agreements and treaties that place the United States as a global leader in telecommunications. NTIA also champions policies that will maximize the potential of the Internet, expanding broadband capacity, and enhancing cybersecurity) by serving as the principal adviser to the President on telecommunications and information policy. NTIA’s Internet Policy Center (IPC) ensures timely analysis and development of policy recommendations on Internet and information issues that implicate U.S. economic, social, or political interests.

NTIA also manages national spectrum resources, including pursuing spectrum sharing and monitoring to make 500 MHz available for expanded high-speed broadband service, and it performs research in cutting-edge areas of telecommunications technology. Through NTIA’s joint effort with NIST, the Center for Advanced Communications (CAC) addresses current and long-term challenges related to spectrum sharing, public safety communications, standards coordination, electromagnetics, and quantum electronics.

Having successfully administered the Recovery Act broadband grant programs, NTIA is expanding broadband access and adoption further by providing expert technical assistance to communities to help them build partnerships that will facilitate broadband deployment and associated economic benefits to even more communities. NTIA supports activities in communities that elevate their broadband preparedness and innovation readiness, resulting in significant strides in improving America’s competitiveness through broadband and economic development goals.

The Middle Class Tax Relief and Job Creation Act of 2012 created the First Responder Network Authority (FirstNet), which is charged with building a wireless broadband network for first responders throughout the Nation. Congress established FirstNet as an independent authority within NTIA but directed by a 15-member Board of Directors. FirstNet established its headquarters in Reston, Virginia.

NTIA seeks to protect the Internet as a tool for innovation and economic growth, increase the spectrum available for broadband services and applications, and expand broadband availability and usage so communities can maximize the economic benefits of the Internet. NTIA has used approximately \$4 billion to fund grants through the Broadband Technology Opportunities Program (BTOP) to stimulate broadband demand, economic growth, and job creation.

NTIA will build upon these broadband efforts to advance U.S. communities’ broadband infrastructure, adoption, and utilization by creating and sharing lessons learned and best practices resulting from the success of BTOP. To maintain the momentum generated by BTOP, NTIA will encourage communities to elevate their broadband preparedness and innovation readiness.

NTIA also advocates for policies across the U.S. Government that promote the Internet and digital economy. NTIA promotes policies that protect consumer privacy, harness the advanced computational capabilities of the Internet, ensure an open Internet, and empower communities to explore creative means to advance

broadband adoption and availability. NTIA advises the President on policies that protect consumer privacy and civil liberties, while enhancing trust and the security and stability of communications infrastructure.

Economic Development Administration

Guided by the premise that economic development is most successful when regions are empowered to make and implement their own development and revitalization strategies, EDA works directly with local economic development officials through a *bottom-up* approach that both supports and relies upon a well-established network of local and regional economic development professionals, including Economic Development Districts (EDDs); University Centers (UCs); local, regional, and state development offices; Indian Tribes, and national development organizations.

Through its Economic Development Assistance Programs (EDAP), EDA has a diverse portfolio of resources that can help communities capitalize on their full economic potential and catalyze innovative, *locally-developed* projects. This permits communities to advance the economic development strategies of the region - whether by addressing an immediate critical infrastructure need, assisting with the development of a regional strategic plan, or helping a community connect critical innovation hubs to expand a regional industry into the worldwide marketplace. In short, together EDA's programs offer a synergistic, balanced portfolio of tools that are designed to help rural and urban communities evolve through the economic development process to become robust regional engines for business creation and job growth.

EDA's model for awarding grants that build on and advance strong regional economic development strategies makes it a unique asset for communities across the nation: unlike most government programs that provide formulaic assistance to states and communities based on given thresholds, EDA provides assistance directly to distressed communities based on the merit of their proposals and their capacity to achieve the proposed objectives. This direct relationship enables EDA to make strategic investments in partnership with local entities that maximize regional opportunities as they arise to drive regional economic development objectives, support job creation, and enhance regional prosperity. This collaborative approach results in grant investments that are well-defined, timely, and linked to a long-term sustainable economic development strategy. Linking EDA's investments to a region's strategic economic development plan enables the Agency to more efficiently and effectively support its desired outcomes.

Increased international competition and rapid technological change have diminished the economic capacity of communities and regions. To help restore this capacity, EDA provides economic development planning, technical assistance, and infrastructure construction grants to help create "economic ecosystems." These ecosystems provide the critical mass of aligned resources needed for the private sector to leverage regional and community assets to grow advanced capabilities and create jobs. As part of this effort, EDA continues to play a leadership role in the implementation of the Investment in Manufacturing Communities Partnership (IMCP), an interagency initiative, focused on helping communities cultivate ecosystems that develop and coordinate an array of public goods, including: specialized workforce training, research institutions, transportation and energy networks -- fostering conditions for manufacturing companies to grow, expand local supply chains, and create good jobs.

Minority Business Development Agency

MBDA is the only federal agency tasked to create new jobs by expanding the U.S. economy through the nation's 5.8 million minority-owned and operated businesses. The Agency fully supports Department of Commerce efforts to ensure the full participation of minority-owned businesses in the United States and global marketplaces. MBDA works to remove barriers to entry and open doors to economic opportunity. Likewise, the MBDA Strategic Growth Initiative has made progress providing performance dividends for minority businesses. Many high growth minority firms have successfully competed for larger prime contracts and financial awards, and have had a significant economic impact within the minority community and overall economy. MBDA successfully provides minority business development services to minority business enterprises through a network that includes MBDA staff and its funded centers. The MBDA staff and its network of funded centers provide management and technical assistance and offer business services to grow and expand minority owned and operated firms. These efforts build capacity by creating new jobs and retaining existing jobs..

Environment: Ensure communities and businesses have the necessary information, products, and services to prepare for and prosper in a changing environment

The Department has a longstanding role in the protection of life and property from environmental hazards and in the stewardship of natural resources. This traditional role is now augmented by a robust agenda focused on providing communities and businesses with the information, products, and services they need to prepare for and prosper in a changing environment.

As social and economic systems evolve and become more complex, it becomes even more critical to have timely, actionable environmental intelligence. That intelligence can preserve and improve human and environmental health, help develop and maintain a viable national infrastructure, and promote growth. Recent events, such as the Deepwater Horizon oil spill in 2010, the historical tornado outbreaks of 2011, and Superstorm Sandy in 2012, demonstrate the need for better environmental intelligence to ensure that communities and businesses have the tools and information they need to address these challenges. The strategies and initiatives that have been developed to support this goal area will positively impact the lives of all Americans, from coast-to-coast and everywhere in between, every day.

In order to meet the needs of communities and businesses in a changing environment, comprehensive and integrated observations and an improved understanding of the Earth system are needed. To make this improved understanding useful to society, it must be employed in models and applications that are used in planning and decision-making.

The Department has a tremendous diversity of world-leading capabilities supporting the research, development, and observations required for state-of-the-art models and applications critical to national well-being. NOAA's five-year R&D plan will advance innovative research that pushes the boundaries of scientific understanding, integrates information across scientific disciplines, and transitions new information and technology into improved products and services. NOAA will strive to modernize observation systems of satellites and ships while maintaining core observation system infrastructure. Also, NIST is working to develop reliable, internationally-accepted measurement standards and methodologies that are the basis for future-generation measurement and monitoring capabilities. Underpinning this world class capability, NOAA and NIST will invest in STEM education that will build the Department's future workforce and increase public understanding of critical STEM issues.

National Oceanic and Atmospheric Administration

NOAA provides environmental intelligence to advance the ability to understand and anticipate changes in the Earth's environment, improve society's ability to make scientifically informed decisions, deliver services vital to the economy and public safety, and conserve and manage ocean and coastal ecosystems and resources. NOAA's mission is best described as a triad of science, service, and stewardship. NOAA operates from the surface of the sun to the bottom of the ocean. NOAA's science, services, and stewardship missions require a synthesis of space, ground, and ocean-based observations from among others satellites, ships, aircraft, buoys, weather stations, and radiosondes. This synthesis, coupled with sound scientific understanding of Earth systems and processes and advance modeling capabilities, is essential to NOAA's ability to provide critical environmental intelligence to keep the Nation informed of the changing environment.

NOAA provides weather, water, and climate forecasts and warnings for the United States, its territories, adjacent waters, and ocean areas for the protection of life and property and the enhancement of the national economy 24 hours every day. NOAA provides environmental intelligence that decision-makers depend upon to guide decisions they must make every day. To meet that end NOAA must understand and predict changes in the climate, weather, oceans, and coasts. When it comes to severe weather preparedness, calculated near-term investments build capacity for savings – of life, property, and habitat – in the future. In the ten years from 2004 to 2013 the U.S. sustained 80 weather/climate disasters where overall damages/costs reached or exceeded \$1 billion.¹ These included Hurricane Katrina, Hurricane Rita, Hurricane Sandy, wide spread tornado outbreaks, the most extensive drought since the 1930's in 2012 and 2013, and wildfires² that burned over 72 million acres collectively. In accordance with its strategic vision, NOAA launched its Weather-Ready Nation initiative to build community resilience in the face of increasing

vulnerability to extreme weather and water events. The initiative will be enacted through improvements to demand-driven support services, innovative technology, and specialized training of NOAA's workforce.

NOAA protects and preserves the nation's living marine resources through scientific research, fisheries management, enforcement and habitat conservation. Commercial and recreational fishing industries depend on healthy and abundant fish stocks. NOAA must work to conserve and manage coastal and marine ecosystems and resources. In 2012, the U.S. seafood industry supported approximately 1.3 million full- and part-time jobs and generated \$141 billion in sales impacts, \$39 billion in income impacts, and \$59 billion in value added impacts.¹ NOAA will sustain efforts to rebuild American fisheries and maintain them at sustainable levels to optimize fishing opportunities, jobs and environmental benefits. By investing in the management of vital marine resources now, NOAA works to ensure these resources will contribute to thriving communities and their economies now and in the future.

NOAA provides products, services and information that support coastal communities, promote safe navigation, sustain marine ecosystems, and mitigate coastal hazards. NOAA delivers nautical charts, real time tides and currents information, accurate positioning infrastructure, and emergency response support to benefit safe, efficient, and secure transportation on U.S. waterways. America's seaports support the employment of 13.3 million U.S. workers.² Coastal shoreline counties contributed \$6.6 trillion to the Gross Domestic Product (GDP) in 2011, which is just under half of the U.S. GDP³ and a total of 51 million jobs in 2011.⁴ NOAA partners with states to implement a range of programs that help keep America's coasts healthy and resilient. As such, NOAA's vision for the future centers on resilience- resilient ecosystems, resilient communities and resilient economies.

NOAA's world-class science underpins NOAA's ability to provide accurate weather forecasts, to protect and manage the nation's coastal and ocean resources, and to enable society to plan for and respond to climate change. Research at NOAA is conducted in Federal laboratories and science centers, through partnerships with the university community, and through competitively awarded grants to both external and internal partners. NOAA's research provides solid science and policy-relevant findings to leaders in government and industry worldwide on topics such as ocean exploration, climate, and ecosystem protection.

Economic Development Administration

It is becoming increasingly apparent that regional economic prosperity is linked to an area's ability to withstand, prevent, or quickly recover from major disruptions (i.e., 'shocks') to its underlying economic base. The ability to anticipate risk, limit impact and 'bounce back' in the face of difficult challenges is often a key differentiator in determining the long-term economic viability of a particular location. EDA provides grants to communities and regions to develop and implement place-based strategies that allow them to better understand and leverage their regional assets to build their overall capacity for economic resiliency.

National Institute of Standards and Technology

NIST supports the research, development, and observations required for state-of-the-art models and applications critical to national well-being. Also, NIST is working to develop reliable, internationally-accepted measurement standards and methodologies that are the basis for future-generation measurement and monitoring capabilities. NIST will continue to work closely with its scientific partners to advance R&D to support the lives and livelihoods of the Nation's citizens.

¹ Fisheries Economics of the United States, 2012.

² John Martin, Ph.D., "The Local and Regional Economic Impacts of the U.S. Deepwater Port System, 2007", prepared for the American Association of Port Authorities, June 2008, p. 5.

³ Bureau of Economic Analysis. 2012. Gross Domestic Product (GDP) for the U.S. Territories. http://www.bea.gov/national/gdp_territory.htm.

⁴ Bureau of Labor Statistics. 2012. 2010 Census of Employment and Wages. Available from: <http://www.bls.gov/cew/>

Data: Improve government, business, and community decisions and knowledge by transforming Department data capabilities and supporting a data-enabled economy

Commerce Department data plays key roles in the 21st century information-driven economy. Every day the Department's data benefits a wide-ranging customer base—businesses, governments, and the public at large.

America's 30 million businesses depend on the Department's data to spark innovation, advance scientific discovery, satisfy their customers' demands, and create jobs. State, local and tribal governments—and there are more than 90,000 of them—mine the Department's data to warn of coming danger, position first-responders, construct high-tech classrooms, and make critical decisions on fiscal and monetary policy. Across the Nation, nearly 320 million Americans look to the Department's data to understand their families of yesterday, their communities of today, and what future generations might look like.

The world is at the forefront of a data revolution. The explosion of Big Data—both in the government and the private sectors—presents enormous opportunities and challenges. Businesses, citizens, and governments will use this data to expand their knowledge and make better-informed decisions. To support these changes and maximize opportunities, the Department must transform its aging systems into 21st century data powerhouses. The key outcomes targeted for this transformation are for the Department to provide more valuable data by anticipating customer's needs; deliver data in more usable timely and accessible ways; better utilize and share data to make businesses and governments more responsive, cost-effective, and efficient; and collaborate with the private sector to develop new data products and services.

The Department produces and uses large and growing amounts of data, including data on the economy, the Nation's population, and the environment. This data is fundamental to the Department's mission and is used for the protection of life and property and to enhance economic growth. To meet these needs, Commerce data must be accessible, useable, reliable, and comprehensive.

Simply continuing to produce quality data is not enough. In order to realize the potential value of the data Commerce produces, barriers to accessing and using the data must be minimized. Barriers that reduce the data's value include an absence of common formats and standards, capacity constraints limiting the amount of data that can be released, suboptimal organization across various websites making finding the data difficult, and a lack of customer awareness about what Commerce provides.

Bureau of the Census

In many ways, the United States is a statistics-driven society. The Nation depends on statistics provided by the Census Bureau to determine business decisions, plan for geographic and economic (both national and international) expansion, provide funds to needy organizations, and determine political expansion and contraction. Accurate business information regarding the demographics of the Nation, including measures of the population, economy, and governments assists entrepreneurs in identifying market opportunities that can generate jobs. Population estimates serve as a starting point for allocating federal, state, and local funds to various groups within society.

Current and benchmark measures of the U.S. population, economy, and governments play a vital role in the Nation's economic well-being. The Census Bureau uses the decennial census to provide the official population counts for determining the allocation to states of seats in the U.S. House of Representatives, and determining how the districts are defined for those seats. The Census Bureau provides to each state the data necessary to determine Congressional, state, and local legislative boundaries. The decennial census provides comprehensive and useful demographic information about all people living in the United States, Puerto Rico, and the associated Island Areas. The program also provides data for small geographic areas and population groups that federal agencies need to implement legally mandated programs. Approximately \$400 billion a year is distributed to state and local governments using formulas that are based on data such as state population and personal income.

The Economic Census provides comprehensive, detailed, and authoritative facts about the structure of the U.S. economy ranging from the national to the local level. The Economic Census covers nearly 29 million business locations and 84 percent of the Nation's economic activity. The Census of Governments is the only source of

comprehensive and uniformly classified data on the economic activities of state and local governments. The Census of Governments covers about 90,000 local governments, 12 percent of the gross domestic product (GDP) and nearly 14 percent of the U.S. workforce. The Demographic Surveys Sample Redesign (DSSR) program designs and selects samples for the major national household surveys. The Intercensal Demographic Estimates program provides updated estimates of the U.S. population for the country, states, counties, cities, and townships.

Bureau of Economic Analysis

BEA's national, industry, regional, and international economic accounts present valuable information on key issues such as U.S. economic growth, regional economic development, inter-industry relationships, and the Nation's position in the world economy. Some of the widely used statistical measures produced by BEA include gross domestic product (GDP), personal income and outlays, corporate profits, GDP by state and by metropolitan area, balance of payments, and GDP by industry. These statistics are used by Federal, state, and local governments for budget development and projections; by the Federal Reserve for monetary policy; by the business sector for planning and investment; and by the American public to follow and understand the performance of the Nation's economy.

National Technical Information Service

The National Technical Information Service (NTIS) brings scientific and technical information to U.S. business and industry. NTIS promotes innovation and economic growth for U.S. business by (1) collecting and cataloging scientific and technical information from a variety of sources, foreign and domestic; (2) disseminating this information to the public; and (3) providing information management services to other federal agencies that help them interact with and better serve the information needs of their own constituents, and to accomplish this without appropriated funds.

NTIS provides the American public with permanent and ready access to scientific, technical, and business research through the acquisition, organization, and preservation of data added to its permanent collection. NTIS collects, classifies, coordinates, integrates, records, and catalogs scientific and technical information from whatever sources, foreign and domestic, that may stimulate innovation and discovery and then disseminates that information to the public. In an effort to provide the American public with increased access to the vast collection of government information, NTIS utilizes advanced e-commerce channels, including providing downloads of any item in its collection that is in electronic format for a single low fee or at no charge if under five pages. NTIS also helps other Federal agencies interact with and better serve the information needs of their own constituents by providing information management services.

Operational Excellence: Deliver better services, solutions, and outcomes that benefit the American people

One of the biggest challenges currently facing the Department is how to be responsive and nimble, constantly adapting to the fast-changing needs of the U.S. private sector in the 21st century. In this highly competitive environment, achieving operational excellence is essential for the Department to achieve mission-focused objectives and maximize value to its customers. The factors that determine operational excellence include people, processes, technology, and management, each of which involves its own unique set of opportunities and challenges. However, launching multiple improvement initiatives across a broad scope of areas will create activity but not necessarily progress. Thus, the underpinning of the Department's operational excellence goal is focus. The intent is to generate rapid impact as well as longer term transformation through a focused set of actions that yields significant and measurable progress across the Department.

Departmental Management

DM develops and implements policy affecting U.S. and international activities as well as internal goals and operations of the Department. DM serves as the primary liaison with the executive branch and Congressional and private sector groups, and acts as the management and administrative control point for the Department.

DM's Operations and Administration develops and implements Departmental policies and coordinates Bureau program activities to accomplish the Department's mission and implements the Department's internal policies, procedures, and other administrative guidelines. DM is located in the Herbert Clark Hoover Building in Washington, D.C. with approximately 800 employees and all DM staff in either Washington or in outlying offices in the Washington suburbs.

The Department identified BusinessUSA as one of its key activities that support the Presidential Management Agenda Priority for Customer Service. BusinessUSA is recognized as a cost efficient, citizen-centric service model. It connects and refers businesses to entrepreneurial assistance programs and services provided by all Federal agencies, state, local, and other entities that are able to address their specialized business needs. It cuts through government bureaucracy by allowing online users and callers to navigate among all Federal business resources from one central location. It is simple to use and reduces users' time and frustration to find one or more business resources that can make an impact to their growth and development. BusinessUSA uses technology to keep pace with public expectation regarding fast, reliable, easy to find information that directs them to the best available resource offered by the Federal government. It is capable of delivering: quick development and deployment (frequently meeting 30-60 day release cycles) of online tools, features and services. Its technology minimizes the need for duplication of content development through the use of Application Programming Interfaces (APIs). It also recycles and reuses existing code when developing functionality. BusinessUSA shares its code for other Federal agencies, state and local governments to use at their discretion.

The Office of the Inspector General

OIG keeps Departmental decision makers and Congressional stakeholders informed of longstanding, as well as emerging, problems identified through its audits and investigations so timely corrective action can be taken. In addition to areas identified in its *Top Management Challenges* report, the OIG performs audits required by law (such as the Federal Information Security Management Act of 2002 (FISMA)); of interest to Congress or the Secretary; and/or based on significant issues uncovered during a previous review, or when a program or office is determined to be higher risk. OIG criminal, civil, and administrative investigations continue to disclose instances of misconduct by employees, contractors, and grantees that threaten the integrity of the Department's programs and operations.

FY 2014 Accomplishments

Trade and Investment: Expand the U.S. economy through increased exports and inward foreign investment that lead to more and better American jobs

International Trade Administration

In FY 2014, Global Markets (GM) began its first year of consolidated operations, successfully integrating export promotion, trade policy and commercial diplomacy, and inward investment functions into one organization.

In FY 2014, GM was successful in assisting U.S. companies with their exporting needs. These needs include providing market intelligence, developing export/market entry strategies, identifying foreign partners/buyers, and advising on export mechanics such as compliance with regulations and standards. GM exceeded the first year target of the Agency Priority Goal of helping clients achieve their export objectives. In addition, 83 percent of clients said they are highly likely to recommend GM assistance

GM exceeded its target for Commercial Diplomacy Successes by 52 percent. These successes include helping U.S. businesses and industries reduce, eliminate or prevent foreign government-imposed trade barriers such as inadequate protections for intellectual property rights, discriminatory regulations and lack of transparency in foreign government procurements, all of which contribute to U.S. businesses being more competitive and increasing sales abroad. In addition, GM leads and supports formal government dialogues on trade barriers. This year positive progress was made at the U.S.-China Joint Commission on Commerce and Trade, and

GM actively represented U.S. business interests in on-going negotiations for the Transatlantic Trade and Investment Partnership (T-TIP) and the Trans Pacific Partnership (TPP). In addition, GM had a record year helping U.S. companies win foreign government procurements. Its coordination of U.S. government-wide Advocacy efforts on behalf of U.S. companies resulted in 90 contracts awarded to U.S. companies, which included nearly \$80 billion in U.S. export content.

GM also expanded its ability to serve U.S. businesses overseas and support the President's Trade Africa, Power Africa, and Asia Rebalance initiatives. GM opened new offices in markets in Africa and Asia (including Wuhan, China), Angola, Ethiopia, Mozambique, Tanzania, and Burma. This expansion puts Commercial Service officers into some of the world's most rapidly developing economies to help find partners and navigate the regulatory hurdles for U.S. companies.

Lastly, GM's SelectUSA program successfully procured a comprehensive, accurate, and updated web-based database of all business incentives offered by U.S. states. The State Business Incentives Database will assist SelectUSA clients, including international firms, considering locating in the United States and will directly encourage, facilitate and accelerate business investment in the United States. Access to such intelligence is necessary to adequately fulfill SelectUSA's role and mission as a Government-wide initiative to promote direct investment the U.S. economy.

At \$977 million dollars, exports generated by Industry and Analysis (I&A) Market Development Cooperator Program projects exceeded the \$389 million target for FY 2014. Two projects focusing on travel and tourism exports contributed to the success of the program. First, the top export-generating project by the National Tour Association reported \$527 million dollars in exports generated. Second, long-running efforts by the U.S. Travel Association (USTA) and ITA in brokering large meetings, incentives, conventions, and exhibitions contracts resulted in \$398 million dollars of travel and tourism exports to Nordic and Baltic countries. In FY 2014, I&A's Office of Manufacturing has participated in trade negotiations including the Information Technology Agreement, Transatlantic Trade and Investment Partnership and Trans-Pacific Partnership with the goal of increasing U.S. exports. The Office of Manufacturing has worked with its Market Development Cooperator partners to organize events to promote the export of U.S. products, and has supported the U.S. aerospace industry at the Paris Air Show.

In FY 2014, Enforcement and Compliance (E&C) conducted 64 Antidumping and Countervailing (AD/CVD) investigations covering a number of diverse products ranging from Chinese solar cells to Mexican sugar, and oil country tubular goods from seven countries. In FY 2014, E&C initiated 52 AD and CVD investigations based on petitions from U.S. industries, impacting trade valued at an estimated \$8.2 billion (based on 2013 import values). This is the largest number of new investigations initiated in one fiscal year over a ten year period. Despite limited staff resources, in FY 2014, E&C completed 387 determinations compared to an annual average of 335 determinations over each of the prior three fiscal years. Even with this unprecedented workload, E&C lowered its ministerial error rate for the second consecutive year.

In FY 2014, E&C led Commerce's efforts to ensure that the U.S. foreign trading partners comply with the obligations in the Nation's multilateral, bilateral, and regional trade agreements. The ITA Trade Agreements Compliance Program, led by E&C, initiated 56 investigations into trade agreement non-compliance by 20 foreign governments, with 20 (36 percent) of those investigations undertaken on behalf of small and medium enterprises. E&C closed 25 investigations successfully, resulting in the reduction or removal of foreign government-imposed trade barriers in 16 countries on behalf of a range of industries. E&C also helped maintain important export markets by advocating for U.S. companies facing 46 trade remedy (antidumping, countervailing duty, and safeguard) actions conducted by 18 countries in FY 2014. Among other things, this assistance helped ensure that U.S. exporters of solar products to India were not subject to antidumping duties and thus could compete on a level playing field for India's \$100 million solar export market.

E&C conducted 15 outreach events to improve awareness of E&C's services to help ensure a level playing field for U.S. exporters. In addition, E&C led capacity-building efforts to improve and promote foreign government trade agreement compliance, such as leading the U.S.-Brazil Regulatory Coherence talks in August, and conducting technical exchanges with Brazil and Turkey on trade remedies in July and September respectively. E&C also supported trade agreement compliance efforts through its participation in 20 WTO Committee meetings.

E&C's role in trade negotiations is to advocate for strong, enforceable disciplines. During FY 2014, E&C served as ITA lead for certain chapters during five rounds of Transatlantic Trade and Investment Partnership (T-TIP) trade agreement negotiations, during the end-game of the Trans-Pacific Partnership (TPP) negotiations, and for the U.S.-China Bilateral Investment Treaty negotiations. E&C also worked with USTR and other U.S. government agencies to secure implementation of the WTO

Trade Facilitation Agreement and to conclude the accession of New Zealand and Montenegro to the WTO Agreement on Government Procurement, both of which will improve U.S. industry's access to and rights within foreign markets.

In May 2014, E&C and USTR collaboration resulted in a WTO dispute settlement finding upholding key U.S. complaints in a challenge of China's AD and CVD measures imposed on U.S. exports of automobiles, a market worth over \$6 billion. Similar enforcement efforts contributed to the termination of 25 foreign trade remedy measures in FY 2014, affecting more than \$6.7 billion in U.S. exports.

Bureau of Industry and Security

Since the initial implementation of Export Control Reform (ECR), BIS and the Department of State have published, in final form, fifteen of the twenty-one U.S. Munitions List (USML) categories and applicable corresponding Commerce Control List (CCL) controls, which include more tailored controls for commercial satellites and less-sensitive military items. During the fiscal year, BIS processed 7,100 license applications, with an average processing time of 15 days, for less-sensitive military items that moved from the USML to the CCL. BIS continued to educate the public on changes made under ECR by conducting over 125 ECR outreach activities that reached over 11,700 participants. BIS also continued to utilize web-based decision tools to assist exporters. Since BIS posted decision tools on order of review and classifying items subject to the EAR, the decision tools have received over 48,000 hits on the BIS website. In addition to outreach with the public, BIS continued to support U.S. Customs and Border Protection (CBP) and other law enforcement agents around the United States with updated training materials.

In FY 2014, BIS continued a strong commitment to national security by ensuring a credible deterrence to EAR violations. BIS enforces the EAR utilizing more than 100 Special Agents located in eight Field Offices throughout the United States. Their singular focus on the EAR led to over \$137 million in criminal fines and nearly \$60.5 million in administrative penalties. In addition, BIS completed four Antiboycott cases with administrative fines of over \$79,000. BIS Special Agents effected the highest number of seizures made over the past five years, almost double the number made in FY 2013; and brought administrative charges against more persons in FY 2014 than in the past five years. In terms of "Return of Investment," BIS brought back (in fines alone) almost double its total budget.

In FY 2014, BIS oversaw completion of 1,044 end-use checks (EUCs) in 51 countries, of which 62% were conducted by its Export Control Officer (ECO) program and Foreign Commercial Service officers (6%), while the remainder were accomplished by Sentinel Program (32%) visits conducted by BIS Special Agents traveling internationally to conduct EUCs. Of the checks conducted, 14% of outcomes were unfavorable. Fifty-nine enforcement leads identified from unfavorable EUCs resulted in 21 outreaches, three open cases, and one warning letter. Finally, BIS published the final rule revising the Unverified List (UVL), defining the BIS authorization necessary to trade with entities whose bona fides could not be established during an EUC, and added 29 entities to the UVL. The ECOs conducted 147 outreaches to foreign governments and industry on the EAR, compliance, enforcement, and the ECR. OEA intelligence, export, and licensing screening generated 305 enforcement leads, which resulted in 112 enforcement outreaches, 20 enforcement cases, 16 detentions, and 6 warning letters. OEA initiated 84 Entity List nominations, which involved efforts to stem WMD, military modernization, and improvised explosive device proliferation efforts. OEA also provided case support to 53 OEE field office investigations.

BIS's Export Administration analyzed 24,972 export license applications valued at over \$823 billion during FY 2014. In addition, 5,577 commodity classifications were completed. Export Administration was instrumental in enforcement actions taken by BIS, FBI and Homeland Security by completing over 2,252 requests for license determinations.

During the fiscal year, the President signed an Executive Order on "21st Century Trade Facilitation" to establish policy principles and an implementation plan for the development of the International Trade Data System (ITDS) by December 2016, and establish an interagency structure responsible for developing policies and processes to enhance interagency coordination related to certain border management functions in order to improve supply chain processes and identification of illicit shipments. BIS, as a Phase I agency required to have initial capability by April 30, 2014 has successfully completed its full integration into ITDS. BIS's license application is fully automated through its Simplified Network Application Program, and BIS sends nightly information from the license applications to U.S. Customs and Border Protection (CBP) upon a determination being made on the license. CBP makes the license application information available to authorized enforcement officers to ensure that the export filings from exporters are consistent with the BIS license, and the license information is used to validate the export shipment filing of

the licensed shipment. BIS has authorized access to the Automated Export System information through a “single window” to identify violations of the Export Administration Act, and other U.S. laws and regulations; evaluate the effectiveness of export controls, and improve outreach and compliance with the Export Administration Regulations.

BIS enabled the U.S. Government to expeditiously aid the international effort to verify and destroy Syria's chemical weapons program. BIS rapidly identified and classified items on a list of critically needed U.S.-origin items provided by the United Nations/Organization for the Prevention of Chemical Weapons (OPCW) Joint Mission in Syria, including chemical detectors, protective gear, nerve agent antidotes and hazardous material container. Taking into consideration the diverse equities of several U.S. Government agencies, BIS crafted license conditions acceptable to all agencies and issued licenses which allowed the Joint Mission to perform its functions in a safe and expeditious manner. On behalf of the interagency, BIS drafted the bilateral agreements between the United States and OPCW Technical Secretariat that were necessary to ensure the Department of Commerce could facilitate the on-site OPCW verification requirements contained in Decisions adopted by the OPCW policy-making organs in accordance with U.S. laws and regulations. The agreements were drafted in coordination with the affected private entities and were successfully negotiated with the OPCW Technical Secretariat. BIS subsequently assisted the port and destruction company during three OPCW on-site inspections in 2014.

National Telecommunications and Information Administration

In April 2014, NTIA participated in a global multi-stakeholder conference on the future of Internet Governance, Netmundial. The successful Netmundial conference hosted by Brazil brought together a wide range of stakeholders including technical experts, civil society groups, industry representatives, and government officials, all on an equal footing with each other. At this meeting, not only did participants agree that Internet governance should be built on democratic multistakeholder processes, the entire meeting was a demonstration of the open, participative, and consensus-driven governance that has allowed the Internet to develop as an unparalleled engine of economic growth and innovation.

During FY 2014, NTIA participated in the U.S. preparatory process for the International Telecommunication Union (ITU) 2014 Plenipotentiary Conference (PP-14). The Plenipotentiary Conference is the top policy-making body of the ITU and establishes the strategic direction the ITU for the time period 2015-2019. NTIA led several of the U.S. delegation working groups, in particular the Internet Working Group (IWG).

NTIA along with the State Department and FCC has been preparing U.S. proposals to World Radiocommunication Conference 2015 (WRC-15). The 2015 conference will consider spectrum requirements for uses ranging from mobile service allocations for broadband applications to controlling unmanned aircraft from space.

Innovation: Foster a more innovative U.S. economy—one that is better at inventing, improving, and commercializing products and technologies that lead to higher productivity and competitiveness

Economic Development Administration

In FY 2014, EDA invested approximately \$250 million in more than 600 locally-driven economic development projects in communities across the country. These strategic investments helped to drive the growth of the nation's manufacturing sector, spur innovation, and stimulate exports to create new jobs. EDA achieved success in three main areas during FY 2014: promoting innovation, supporting manufacturing, and harnessing data to assist with economic development.

EDA made significant strides in promoting the innovation platform of the Commerce Strategic Plan last fiscal year. In May, Secretary Pritzker announced the appointment of a new director of EDA's Office of Innovation and Entrepreneurship (OIE). OIE is charged with fostering a more innovative U.S. economy focused on turning new ideas and inventions into products and technologies that spur job growth and competitiveness while promoting economic development. In June, OIE

announced it was accepting applications for the 2014-2016 National Council on Innovation and Entrepreneurship (NACIE), which will advise Secretary Pritzker on issues related to innovation, entrepreneurship, and industry-led skills training. In August, OIE launched a Regional Innovation Strategies program, a \$15 million grant competition designed to spur innovation capacity-building activities in regions across the nation. Under this program, EDA solicited applications for three separate funding opportunities, including: the i6 Challenge, Science and Research Park Development grants, and cluster grants to support the development of Seed Capital Funds. The program garnered 254 applicants requesting more than \$100 million in support. The grants will be awarded in early 2015.

EDA also extensively supported efforts to bolster American manufacturing in FY 2014, investing in roughly 89 manufacturing projects, totaling nearly \$78 million. The projects were diverse, representing different industries, different geographies, and different community needs. Half of the manufacturing projects EDA supported in the last fiscal year were construction projects, which are expected to create more than 7,000 jobs and generate nearly \$4.3 billion in private investment. Beyond supporting manufacturing through economic development grants, EDA also continued its work on the Investing in Manufacturing Communities Partnership (IMCP) program.

IMCP is a critical part of Commerce's 'Open for Business Agenda' to strengthen the American manufacturing sector and attract more investment to the United States and is a great example of the way the President is leading the Federal government in a more coordinated way to better serve the American people. In May of this year, Secretary of Commerce Penny Pritzker announced the first 12 designated manufacturing communities under the IMCP initiative. Of the more than 70 communities that applied, the 12 were selected by an interagency panel based on the strength of their economic development plans, the potential for impact in their communities, and the depths of their partnerships across the public and private sector to carry out their plans. These 12 Manufacturing Communities are diverse, public-private consortiums that have put in place best practice economic development strategies that can be replicated by other American communities – including all those who applied for the IMCP designation.

Minority Business Development Agency

In FY 2014, MBDA helped create 11,968 jobs, the highest level ever recorded by the Agency. This was achieved by helping MBDA clients obtain over \$5.9 billion in contracts and capital awards.

Progress on strategic objectives is tracked through a networked real time database for business development whereby financing and contracts for goods and services are tracked on a transaction by transaction basis and independently verified by an MBDA business development specialist. Indicators for Innovation and Trade Investment Progress are illustrated below.

Exports were a focus area for MBDA as early as FY 2009. As a result, MBDA's resources have been aligned and managed to impact minority business export performance. On the other hand, Advanced Manufacturing as part of the departmental Innovation Strategy is a new direction for the Agency. Steady state performance goals will likely not be reached until the MBDA business center network has the opportunity to engineer business deals and relationships with businesses and business leaders in the advanced manufacturing sector.

National Institute of Standards and Technology

As part of the AMTech program, NIST in May 2014 awarded 19 advanced manufacturing technology planning awards totaling \$9 million to new or existing industry-driven consortia. These grants will help the consortia develop research plans that address high-priority challenges impeding the growth of advanced manufacturing in the United States. Technology roadmapping is a key component of the projects. Each consortium will engage manufacturers of all sizes, university researchers, trade associations and other stakeholders in an interactive process to identify and prioritize research projects that reduce shared barriers to the growth of advanced manufacturing. In July 2014 NIST announced a new competition for a second round of planning grants totaling \$5.6 million in two year grants, the funding opportunity closed in October 2014 and NIST is now reviewing the proposals.

MEP funded five [Manufacturing Technology Acceleration Center \(MTAC\)](#) pilot projects in 2014 to accelerate technology adoption across US supply chains. In addition, MEP Centers are implementing a Center-developed supply chain optimization set of tools and materials focused on establishing a coaching and mentoring partnership between the MEP Center's subject matter experts and participating manufacturers to address barriers to effective supply chains. MEP centers help to improve supply chain performance by quantifying the needs of the supply chain and focusing on the points in the process that are impeding throughput. Total cost of ownership is one element on which the centers provide guidance, along with executive and partner engagement and risk management.

The MEP program continues to provide valuable services to America's small and medium manufacturers. For every one dollar of federal investment, the MEP generates nearly \$19 in new sales growth and \$21 in new client investment. This translates into \$2.2 billion in new sales annually. For every \$1,978 of federal investment, MEP creates or retains one manufacturing job.

The new Center for Advanced Communications will implement a key provision of a memorandum President Obama issued on June 14, 2013, on "Expanding America's Leadership in Wireless Innovation" (<http://www.whitehouse.gov/the-press-office/2013/06/14/presidential-memorandum-expanding-americas-leadership-wireless-innovatio>). In support of the new CAC, NIST has established a new Communications Technology Laboratory at the Boulder campus. NIST has procured an initial set of advanced instrumentation necessary to develop required new metrology capability at NIST to support the CAC.

Cybersecurity Framework -- Under Executive Order 13636, *Improving Critical Infrastructure Cybersecurity*, NIST will develop a voluntary framework – based on existing standards, guidelines, and practices – for reducing cyber risks to critical infrastructure. The Framework seeks to promote the wide adoption of practices to increase cybersecurity across all sectors and industry types. It seeks to provide owners and operators a flexible, repeatable and cost effective risk-based approach to implementing security practices while allowing organizations to express requirements to multiple authorities and regulators. NIST released the first version of the framework on February 12, 2014 (<http://www.nist.gov/cyberframework/upload/cybersecurity-framework-021214.pdf>). The framework is not a static document and will continue to evolve over time. Updates on framework progress can be found at: <http://www.nist.gov/itl/cyberframework.cfm>.

NIST MEP, in collaboration with MEP centers, is developing a talent management system - Strategic Management Acquisition and Retention of Talent ([SMARTalent](#)). SMARTalent is intended to help manufacturers operationalize their workforce development strategies. As manufacturers focus on workforce planning and investment, this resource, in combination with the expertise of the local MEP center, can help most effectively operationalize investments with the objective to enable manufacturers to eliminate task redundancies and streamlines processes.

For the past several years, NIST's top priority has been investments to grow and strengthen the NIST Laboratory Programs. As a result funding for the NIST Laboratory Programs has increased by 37% from FY 2010 through FY 2014. These increased resources have enabled NIST to launch a number of key programs to further accelerate innovation in a number of critical priority areas. Highlights include:

- NIST on a Chip -- NIST is developing a next-generation plan for advancing measurement services, called NIST on a Chip. NIST on a Chip is an integrated program to develop and deploy NIST-traceable measurements and physical standards that are deployed in the customer's lab, factory floor, device, or system; are easily used and integrated; are rugged, yet small in size and weight; and have low power consumption. As the reference standard is integrated into the device or process, many of the difficulties of the traditional measurement service model can be overcome, including minimal down time and recalibration, as well as improved flexibility for innovation. Measurement technologies include force, fluid flow, pressure, length, voltage, current, magnetic field, time and frequency, optical power, displacement, and electric field. Examples of work in this area can be found at: <http://www.nist.gov/pml/newsletter/>
- Centers of Excellence -- In FY 2013, NIST launched the NIST Centers of Excellence (COE) Program. The NIST Centers of Excellence will provide an interdisciplinary environment where researchers from NIST, academia, and industry will collaborate on emerging areas of basic and applied research and innovations in measurement science.

In FY2014 NIST established the COE in advanced materials, the Center for Hierarchical Materials and Design (CHiMaD), a partnership between Northwestern University, University of Chicago, and Argonne National Laboratory. The new center will focus on developing the next generation of computational tools, databases and experimental techniques to enable "Materials by Design*," one of the primary goals of the administration's Materials Genome Initiative (MGI).

“Materials by design” employs physical theory, advanced computer models, vast materials properties databases and complex computations to accelerate the design of a new material with specific properties for a particular application. NIST also launched two federal funding opportunities for a COE in Community Resilience, and one focused on Forensic Science. More information about NIST’s Center of Excellence Program can be found here: <http://www.nist.gov/coe/>

- Technology Transfer -- NIST is ideally positioned to support an Administration-wide effort in this area of technology transfer. NIST is strengthening its Federal tech transfer activities through developing human capital, empowering effective collaborations, opening access to tangible and intangible assets, and evaluating impact.

National Telecommunications and Information Administration

NTIA was involved in numerous activities during FY 2014 related to Internet and communications policy, including convening an interagency working group to develop a set of principles to transition the current role played by NTIA in the coordination of the Internet’s domain name system (DNS). NTIA also heavily contributed to the Administration’s “Big Data Report”. NTIA helped craft the final report, and following its release, NTIA issued a Request For Comment to gather public input into how “big data” impacts privacy. NTIA also continued its work implementing the Administration’s Consumer Data Privacy Blueprint, including covering multi-stakeholder meetings on facial recognition policy.

During FY 2014, NTIA continued progress identifying spectrum bands for wireless broadband, promoting greater government/industry collaboration and developing processes and capabilities to ensure compliance with Congressional spectrum mandates. Pursuant to the President’s June 2010 memorandum, NTIA identified for potential reallocation 335 megahertz of Federal spectrum to date. NTIA ensured timely preparation for a November 2014 auction by the FCC of the 1695-1710 MHz and 1755-1780 MHz bands, increasing the geographic availability while decreasing costs and the transition period.

NTIA also developed and launched a website “spectrum.gov”, providing detailed information on Federal spectrum use between 225 MHz and 5 GHz, a significant information resource never before available to the spectrum community. Under the new Spectrum Monitoring Initiative, NTIA established the first remote sensor control and data backhaul capability using commercial-off-the-shelf components. The sensor, deployed near Norfolk, VA, will monitor the 3.5 GHz maritime radar band on a continuous long-term basis.

As the first collaborative research program between NTIA and NIST under the new Center for Advanced Communications, NTIA initiated the development of an application of a new propagation measurement system to assess propagation losses due to clutter (i.e., man-made structures and foliage) in support of the Advance Wireless Services-3 and 3.5 GHz rulemakings.

During FY 2014, BTOP grant recipients connected approximately 25,300 total community anchor institutions, deployed more than 112,700 miles of new or upgraded network miles; and generated approximately 735,000 new broadband subscribers. In addition, the State Broadband Initiative, which funded state data collection and analyses for the National Broadband Map, released a new data set and updated the Map. NTIA also worked with states to prepare for the final data collection under the SBI in FY 2015.

NTIA continued to support the FirstNet in developing a program roadmap, which outlines steps to be taken to develop a business plan and other foundational documents needed to successfully implement a nationwide broadband public safety network. NTIA began to identify issues for inclusion in a Public Notice seeking comment on the opt-out process for states that may apply to NTIA for grants and spectrum lease agreements. The grants to states will support efforts to construct their Radio Access Networks (RANs), which must be compatible with – and comparable to – the FirstNet network for coverage within their states. NTIA will coordinate this Notice with FirstNet and the FCC. NTIA continued to monitor the State planning grants awarded to states to support their efforts to plan for the FirstNet network. All 54 grantee performance progress reports for the quarters ending December 31, March 30, and June 30 were reviewed and approved for program progress and grant compliance.

United States Patent and Trademark Office

In a global economy, the property rights of American inventors must be protected not only in the United States, but internationally as well. The USPTO plays a leadership role in promoting effective domestic and international protection and enforcement of IP rights by advocating U.S. government IP rights policy, working to develop unified standards for international IP rights, providing policy guidance on domestic IP rights issues, and fostering innovation. The USPTO advises the President and Federal agencies on national and international IP rights policy matters and trade-related aspects of IP rights, and conducts technical assistance and capacity-building programs for foreign governments seeking to develop or improve their IP rights regulatory and enforcement mechanisms.

The USPTO fosters innovation and competitiveness by providing high quality and timely examination of patent and trademark applications, guiding domestic and international intellectual property (IP) policy, and delivering IP information and education worldwide. Two distinct business lines, Patents and Trademarks, administer the patent and trademark laws which provide protection to inventors and businesses for their inventions and corporate and product identifications, and encourage innovation and scientific and technical advancement of United States (U.S.) industry through the preservation, classification, and dissemination of patent and trademark information.

The USPTO serves inventors, entrepreneurs, businesses, and attorneys in the United States and around the world. Stakeholders also include intellectual property organizations and international entities, such as the World Intellectual Property Organization (WIPO).

The *Green Paper on Copyright Policy, Creativity, and Innovation in the Digital Economy* was released in July 2013. In April 2014, the DOC's Internet Policy Task Force announced a series of roundtable discussions that were held between May and July 2014 in cities around the country. The IPTF also worked on the issues identified in the Green Paper; i.e., (1) establishing an ongoing multi-stakeholder dialogue on improving the operation of the notice and takedown system under the Digital Millennium Copyright Act (DMCA); (2) soliciting public comment and convening roundtables around the country on three policy issues—the legal framework for the creation of remixes, the relevance and scope of the first sale doctrine in the digital environment, and the application of statutory damages in the context of individual file-sharers and secondary liability for large scale online infringement; and (3) convening an interagency group to consider the appropriate role for the government, if any, to help improve the online licensing environment, including access to comprehensive public and private databases of rights information.

The USPTO made progress in achieving its long-term pendency targets, although the interim targets for FY 2014 were slightly below plan due to a focus on carrying out new initiatives. The USPTO initiated the examiner transition to the CPC in October 2013; launched the six-month Glossary Pilot program on June 2, 2014; hosted the third in a regular series of public Software Partnership meetings in December 2013, and another in July 2014; and modified examiner production and workflow systems in October 2013 to reduce the backlog of RCEs

Environment: Ensure communities and businesses have the necessary information, products, and services to prepare for and prosper in a changing environment

National Oceanic and Atmospheric Administration

In FY 2014, NOAA dedicated a Physical Oceanographic Real Time System (PORTS[®]) in Jacksonville, Florida. NOAA PORTS[®] is an integrated system of oceanographic and meteorological sensors that provide mariners with accurate and reliable real-time information about environmental conditions in a seaport, greatly enhancing the safety and efficiency of maritime commerce. Jacksonville is the 23rd PORTS[®] NOAA has made operational. With 47 sensors located on 18 water level stations, the Jacksonville PORTS[®] is the second largest PORTS[®] in the Nation. The Port of Jacksonville ranks as the number one vehicle export port in the Nation and are the top container port in Florida. Approximately 65,000 people in northeast Florida have jobs directly or indirectly related to the port, which channels around \$19 billion into the U.S. economy every year. The Jacksonville PORTS[®] will directly benefit commercial shipping, the cruise ship industry, as well as recreational

users. PORTS® will provide valuable information to help emergency managers forecast flooding threats, determine evacuation routes, monitor flood events in real-time, and respond accordingly to protect lives and property.

In FY 2014, NOAA continued to support innovative marine sensor technologies. The U.S. Integrated Ocean Observing System (IOOS) continued two ocean technology transition projects in FY 2014. The multi-year work will speed the transition of promising technologies into use, enhancing scientific understanding of the coastal and marine environment to improve decision making.

- The first project selected aims to transition new ocean acidification sensor technology to support shellfish industry monitoring. Scientists installed a sensor, also known as a 'Burke-O-Lator', which measures ocean acidification variables such as the aragonite saturation state at two California and one Alaska shellfish hatcheries. This technology complements ocean acidification monitoring equipment in Hawaii, Oregon, and Washington states. The portal provides ocean acidification relevant data from partners in industry, government, and academia who are involved with the IOOS regional ocean observing systems in the Pacific region. The shellfish aquaculture community is the largest segment of marine aquaculture in the United States. Several thousand small farms nationwide harvest over \$600 million worth of sustainable shellfish while providing tens of thousands of jobs in rural coastal communities. Data from this monitoring equipment will allow shellfish growers a way to assess how the chemical make-up of the water will affect shellfish productivity, allowing growers to adapt their aquaculture practices to minimize impacts from ocean acidification.
- The second project focused on transitioning the Environmental Sample Processor (ESP) for harmful algae bloom monitoring in the Gulf of Maine. Scientists deployed three ESPs in the Gulf of Maine for 45 days between May and June of 2014. These ESPs allowed expansion of the network from one to four instruments concurrently operating at different locations along the coast. Throughout the deployment, the ESPs were able to detect *A. fundyense*, at levels which correlated with existing mouse models. Results from the Gulf of Maine ESPs contributed critical data to weekly real-time forecasts of the New England red tide during 2014. These forecasts are distributed to more than 150 coastal resource and fisheries managers in six states as well as federal agencies such as NOAA, the FDA and the EPA. The ESPs provided valuable early warning information and ongoing bloom status so decision makers can keep people safe.

The annual *Report to Congress on the Status of U.S. Fisheries* highlighted the continued progress NOAA has made, in partnership with the regional fishery management councils and NOAA's stakeholders, to end overfishing and rebuild stocks. Seven stocks were removed from the overfishing list and four stocks are no longer listed as overfished. Additionally, recent assessments show that two stocks have rebuilt, bringing to 34 the number of stocks rebuilt since 2000. There has also been progress toward long-term economic sustainability of our nation's fish stocks, as evidenced by a 7% increase in sales generated by U.S. commercial and recreational saltwater fishing, which totaled to more than \$199 billion in 2012. This progress demonstrates the strength of the U.S. science-based management model under the Magnuson-Stevens Fishery Conservation and Management Act and underscores the importance of ending overfishing as the key to addressing past overfishing problems.

NOAA developed the Fish Stock Climate Vulnerability Assessment methodology to rapidly assess the vulnerability of U.S. marine fish stocks to changing climate and ocean conditions. This methodology uses information on climate and ocean conditions, species distributions, and life history characteristics to help fisheries managers and scientists identify the species most vulnerable or adaptable to climate change impacts. This information will aid in considering management strategies for climate-vulnerable fish stocks. NOAA used this methodology to assess the climate vulnerability of 79 fish stocks in the Northeast region. Information on the methodology and assessment is available at <http://www.st.nmfs.noaa.gov/ecosystems/climate/activities/assessing-vulnerability-of-fish-stocks>.

NOAA detected its first earthquake with the new Deep-ocean Assessment and Reporting of Tsunamis 4th generation (DART® 4G) system following the March 9, 2014, 6.9 magnitude quake off the California coast. The DART® 4G includes advancements in sensors, software, and power management to detect and measure near-field tsunamis with unprecedented resolution. The improved pressure sensor will be able to detect and measure a tsunami closer to the earthquake source, providing valuable information to warning centers even faster. No tsunami was detected, but the system performed well reporting high-resolution data in real-time.

On September 30, 2014, NOAA began running the 3 kilometer resolution High-Resolution Rapid Refresh (HRRR) severe weather forecast model operationally. The HRRR will better enable National Weather Service forecasters to pinpoint neighborhood-sized threats such as tornadoes, heavy precipitation that could lead to flash flooding or heavy snowfall and warn residents hours in advance. It will also help forecasters provide more information to air traffic managers and pilots about hazards

such as air turbulence and thunderstorms. NOAA runs the HRRR every hour out to 15 hours with a domain slightly larger than the Continental United States (CONUS). The HRRR has a spatial resolution four times finer than previous numerical models. Developed by NOAA's Office of Oceanic and Atmospheric Research Earth System Research Laboratory, the HRRR integrates increased radar data input with traditional observations. NOAA's recent increase in supercomputing capacity enabled the HRRR to be implemented operationally.

On September 29, 2014, NOAA successfully implemented the Multiple-Radar/Multiple-Sensor (MRMS) system into operations. MRMS quickly harnesses the tremendous amount of weather data from multiple sources, intelligently integrates the information to provide a detailed, current weather picture. MRMS is a system with automated algorithms that quickly and intelligently integrate data streams from multiple radar sources, satellites, surface and upper air observations, lightning detection systems, rain gauges and forecast models. The MRMS uses this data to produce a suite of 3 and 4 dimensional, decision-support products every two minutes at a spatial resolution of 1 kilometer. Using MRMS, NWS forecasters can pinpoint the location of severe thunderstorms, hail swaths, tornado tracks, and heavy rainfall. Because MRMS provides better depictions of high-impact weather events such as heavy rain, snow, hail, tornadoes, and other threats, forecasters can quickly diagnose severe weather and issue more accurate and earlier forecasts and warnings. MRMS also feeds storm scale information into the High Resolution Rapid Refresh Model's data assimilation system. Implementation of the system into NWS operations was funded in part by the Disaster Relief Appropriations Act, 2013.

National Institute of Standards and Technology

The President's Climate Action Plan (issued in June 2013) directs NIST to convene a panel on disaster-resilience standards to develop a comprehensive, community-based resilience framework and provide guidelines for consistently safe buildings and infrastructure—products that can inform the development of private-sector standards and codes. To accomplish this, NIST is convening a series of regional workshops engaging the broad network of stakeholders on the role that buildings and infrastructure lifelines play in ensuring community resilience. In FY 2014, NIST held workshops in Washington, DC and Hoboken, NJ with plans to hold several more in FY 2015. Based on the initial workshop results, NIST has starting developing a working draft Disaster Resilience Framework to establish the overall performance goals; assess existing standards, codes, and practices; and identify gaps that must be addressed in order to bolster community resilience.

Data: Improve government, business, and community decisions and knowledge by transforming Department data capabilities and supporting a data-enabled economy

Economics and Statistics Administration / Bureau of the Census

Economic Directorate - In November 2014, Census began tabulation and macro data analysis for the 2012 Economic Census. On March 26th, ahead of the March 31st target date, Census released the first product from the 2012 Economic Census, the Advance Report, which provides national level data on the nation's economy. In May 2014 Census began releasing the 2012 Economic Census Industry Series reports. As of September 30th, Census had issued 406 of the anticipated 538 Industry Reports (covering 954 NAICS industries). This exceeded the target to release 30 percent of the Industry Series data products by September 30th. Census will continue releases for the 2012 Economic Census in FY 2015.

As of May 22nd, Census had released 90 percent of the 2012 Census of Governments products, ahead of the June 30th target date. Census released the 2012 Census of Governments: State Government Finances in January 2014, two months earlier than the metric, and in March 2014, the 2012 Census of Governments: Employment, one month earlier than the metric. The Census Bureau will complete the release of the 2012 Census of Governments by January 2015.

Census met or exceeded the target release dates for all 120 non-economic indicator quarterly and annual survey data releases. In addition, Census released all 120 monthly and quarterly principal economic indicators 100 percent of the time as scheduled or as revised due to the October shutdown. In FY 2014 Census developed a prototype Census Open for Business Tool, a desktop/tablet tool aimed at first time business entrepreneurs. This tool will allow for easy access to Census Bureau

data to develop a business plan that can be used to support their loan application and assist in choosing a location for the business. In addition, Census finalized the demand-based hierarchical structure of the North American Product Classification System (NAPCS). This work greatly expands the usefulness of product statistics for market analysis, business planning, and demand oriented studies. Census achieved a check-in rate of 73.2 percent for the SBO employer component, with electronic response accounting for 90 percent of total responses. Census will apply the lessons learned from the 2012 SBO as the sponsor moves to 100 percent electronic reporting in the 2017 Economic Census.

Demographic Directorate - The Census Bureau met milestones in preparation for the new 2014 Survey of Income and Program Participation (SIPP) panel and data for wave 1 were collected from February – June 2014. The Bureau also completed data collection for the 2008 SIPP panel, which resulted in an overall response rate above 60% into the fifth year of the data collection for the 2008 Panel. Data releases through wave 15 are on schedule.

Census consistently released Current Population Survey (CPS) controls in time for weighting monthly estimates, which is important because the CPS is the source of the monthly unemployment data for the United States; a leading economic indicator.

In FY 2014, the Census Bureau developed final experimental race and Hispanic origin questions for paper and electronic modes for the 2015 Decennial Content Test. The Bureau also completed all key milestones for research, testing, and stakeholder outreach associated with improving race and Hispanic origin questions in censuses and surveys.

The Demographic Surveys Sample Redesign program delivered the first wave of the SIPP Event History Calendar (EHC) cases as well as the first rotation of the 2010 design CPS cases to production ahead of schedule. CPS selected its second annual sample, while the American Housing Survey (AHS), Consumer Expenditures Diary and Quarterly (CED and CEQ), and National Crime Victimization Survey (NCVS) selected their first.

Decennial Directorate - The 2020 Decennial Census program completed two field tests, the 2013 Census Test and 2014 Census Test. The 2013 Census Test examined the operational feasibility of using administrative records to reduce the Nonresponse Follow-up (NRFU) workload and an adaptive contact strategy to increase NRFU productivity. The 2014 Census Test looked at self-response and nonresponse field components to answer research questions and inform preliminary design decisions for the 2020 Census. Decennial also designed and began work on the Address Validation Test to assess the performance of the methods and models that will help us develop the 2020 Census address list and define the in-field address canvassing workloads needed for the operational design decision point in September 2015.

Census released all the 3-year (2010-2013) and 5-year (2008-2012) American Community Survey (ACS) data and the 1-year 2013 ACS data products on schedule.

Geography Division acquired 250 additional files from tribal, state, and local government partners as part of the Geographic Support System Initiative Partnership Program and used them to make further improvements to address coverage.

The Geography Division also conducted a pilot project to test the feasibility of using in-office imagery-to-Master Address File (MAF) comparison and data analysis techniques to identify areas in which the residential housing units are stable, and areas in which residential housing unit change is occurring. Based on the positive results of the pilot project, in which 82% of blocks were identified stable (i.e., no change in residential housing units between 2010 imagery and current imagery, and no change in the MAF), GEO is building a national implementation of the project, under the rebranded name TIGER and MAF Assessment and Classification (TRMAC).

Economics and Statistics Administration / Bureau of Economic Analysis

BEA released several new statistical products to better measure the dynamic U.S. economy giving businesses, policymakers and ordinary Americans additional tools to make informed decisions:

- BEA released new measures of inflation adjusted Personal Income for State and Metropolitan Areas to provide further insight into the relative purchasing power of consumers in different states and metro areas;
- BEA produced new prototype statistics on Personal Consumption Expenditures by State that provide a better gauge of how consumers are faring across different states offering a richer picture of economic activity across the U.S.; and,
- BEA now provides more frequent data on how much economic activity is generated by different industries and across states with its new Quarterly GDP by Industry and Quarterly GDP by State statistics (previously only available annually).

National Institute of Standards and Technology

NIST established a Scientific Data Committee⁵ (SDC) to serve as a resource to NIST laboratories. NIST also established the Director's office on data preservation and access standards, technologies, metadata issues, and implementation priorities, processes, performance measures, and strategies for the preservation of and access to digital scientific data at NIST. As of October 1, 2014, NIST will create data management plans for scientific data generated at NIST. An Interagency Technical Advisory Group (iTAG) with members from NIST, the Census Bureau, DOE, the Department of Treasury, the National Archives and Records Administration, and the Smithsonian now provides a forum for Federal agency and entity coordination on operational requirements and insights on how to maximize access to scientific and technical data.

Operational Excellence: Deliver better services, solutions, and outcomes that benefit the American people

Departmental Management

Since launching in 2012, BusinessUSA has realized the following growth rates: (a) content subscribers 197%; (b) Twitter followers 83%; (c) email responses 181%; (d) website visits 276%; (e) website pages viewed 312%; (f) calls handled 149%; (g) Federal, state and local resources available via BusinessUSA 382%; (h) local business related events 1463%; and (i) partner website links to BusinessUSA 287%. In addition, reflecting the public's interest in BusinessUSA, in FY 2014, it had 992,313 hits to its website, exceeding its target of 850,464. Given that it is a new program, it did well in terms of customer service, achieving its website targets for customer satisfaction and the ability to find useful information.

The Senior Procurement Executive and Director, Office of Acquisition Management, who also serves as DOC's Suspending and Debarment Official (SDO), has taken action toward building a more robust suspension and debarment (S&D) program. The SDO has 1) consulted other agency officials on their S&D programs and capabilities; 2) collaborated with the Office of Inspector General (OIG) and Office of General Counsel (OGC) toward development of a strong program that leverages DOC's resources; and is drafting an interim pilot policy to include procedures and internal controls based, in significant part, on OIG and OGC proposals and recommendations. These efforts resulted in the establishment of a suspension and debarment case management tracker which is utilized at monthly meetings between the Office of Acquisition Management, the Office of General Counsel, and the Office of the Inspector General. The Department is working to further enhance the program through training and the issuance of policies and procedures that provide a clear delineation of roles and responsibilities. The SDO has taken prompt action on all OIG suspension/debarment referrals and set up a central S&D e-mail box capability to ensure multiple access points and prompt attention to time sensitive correspondence. OAM inputs suspended/debarred contractors into the Excluded Parties List System (EPLS) in accordance with Federal Acquisition Regulation.

⁵ <http://inet.nist.gov/pao/upload/NIST-Scientific-Data-Committee-Charter.pdf>

The OCIO implemented Multi- Protocol Label Switching (MPLS), guaranteed bandwidth availability for key applications, improved performance with increased response time, and service offering spanning both national and international presence. OCIO also successfully migrated to “cloud” email services offered significant savings due to reduced licensing, infrastructure, and FTE labor costs, while increasing access to messaging and collaboration tools, increasing user mailbox functionality, and securely supporting a variety of mobile devices including iPhones, Android devices, and iPads. OCIO deployed Enterprise Continuous Monitoring Operation (ECMO) agents to all OS, MBDA, ESA and EDA managed desktops, laptops and servers that provided better situation awareness for Asset Management, Configuration management, and Vulnerability management across those bureaus. Finally, OCIO completed the “Servers Virtualization” project transformed and modernized OS, MBDA, ESA and EDA IT systems to control costs, reduce service interruptions, and maximize the efficiency and effectiveness of day-to-day IT operations while complementing the Federal Data Center Consolidation Initiative (FDCCI) for reduction in energy consumption and physical footprint in data centers.

The Partnership for Public Service ranked the Department as the 2nd Best Place to Work in the Federal Government out of 19 large Federal agencies on the 2014 rankings. While Commerce’s ranking remained the same as in 2013, the Department’s index increased by one percentage point. USPTO was ranked 2nd out of 314 agency subcomponents and exhibited a one percentage point index increase. The Partnership recognized EDA as the most improved agency subcomponent by achieving a 12 percentage point index increase from the previous year. The Best Places to Work Index is calculated by using three questions from the annual Federal Employee Viewpoint Survey – (1) I recommend my organization as a good place to work; (2) How satisfied are you with your organization; and (3) How satisfied are you with your job.

The Department achieved the highest percentage of disabled veteran new hires over the past 21 years at 4.1% of all hires in FY 2014, an increase from 3.6% in FY 2013. Efforts to support Executive Order 13518 “Employment of Veterans in the Federal Government” included hiring students through the USPTO Student Patent Examiner Trainee – Veteran Internship Program and the Operation Warfighter Program; providing veterans preference and appointing authority training to HR specialists and hiring managers through the Commerce Learning Center; referring over 400 qualified disabled veteran resumes to hiring managers for consideration for 66 positions; and participating in several career fairs and forums including Recruit Military, the Service Academy Career Conference, Hiring Our Heroes, Military Officers Association of America, Military Job Opportunities, MEGA Diversity Job Fair, and the UMUC “Call to Service” Job Fair, Virginia Military Institute Alumni Association activities, and U.S. Naval Academy events.

The Department convened the first Commerce Senior Executive Service (SES) Summit, which focused on engaging and empowering executives to achieve the Operational Excellence strategic goal. Over 300 members of the SES collaborated on identifying a shared mission, developing a values statement, and establishing core competencies for executive onboarding and continuous development, to cultivate a stronger Commerce Federation for achieving the change agenda in the Department’s strategic plan. The Summit also resulted in establishing a more robust SES Community support network for increased camaraderie and collaboration. The Engage and Empower Working Group will continue to work on developing and implementing value-related strategies for increasing engagement and enhancing the Commerce culture, as well as the executive onboarding training.

Office of the Inspector General

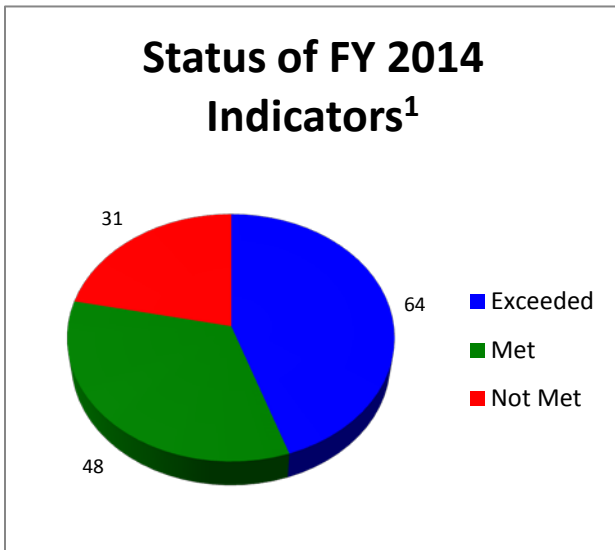
OIG’s accomplishments in FY 2014 include auditing the Department’s financial statements, completing numerous audit reports, beginning a number of new audits, and issuing investigative reports. OIG’s completed audit reports may be found at <http://www.oig.doc.gov/Pages/Audits-Evaluations.aspx>. Announcements of OIG’s new audits may be found at <http://www.oig.doc.gov/Pages/Audits-Initiated.aspx>. OIG’s investigative reports may be found at <http://www.oig.doc.gov/Pages/Investigations.aspx>.

Strategies and Next Steps for Accomplishing Objectives

In their specific FY 2016 Congressional Budget Submissions, bureaus include a description that identifies how they track progress on each objective that applies to them using indicators and any other means. These descriptions identify external factors that affected progress over the past year as well as any that may affect future years. Bureaus also include a summary of plans to make progress on strategic objectives for the next year, including prospects and strategies for performance improvement. In these submissions, bureaus may describe plans to continue or expand what is working; develop or experiment to find promising practices; test the most promising practices to see if they can be replicated and validated; find or develop increasingly effective and cost-effective approaches; identify causal factors the Government can influence; and facilitate learning across delivery units. These submissions can be found at <http://www.osec.doc.gov/bmi/budget/>

Performance Indicators

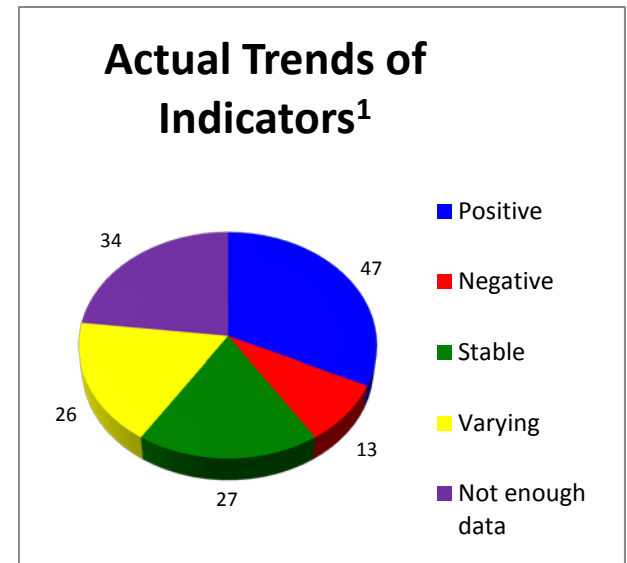
Summary of FY 2014 Performance



Status is based on the following standard:

Exceeded	More than 100 percent of target
Met	90 - 100 percent of target
Not Met	Below 90% of target

An indicator with a positive trend is one in which performance is improving over time while a negative trend is an indicator that has declining performance. A stable trend is one in which the goal is to maintain a standard, and that that is occurring. A varying trend in one in which the data fluctuates too much to indicate a trend. At a minimum these indicators must have three years of data.



1. On the surface, DM is overrepresented in terms of indicators (16% of the total), however, since many of DM's indicators represent work that is done across the bureaus, they are included in this summary. In addition there is a difference of five indicators between the charts. These indicators have a trend, however, the status is not available at this time.

Trends of Indicators

Trends of indicators are first divided among those indicators which have at least three years of actual data and those with less than three years of data. The latter indicators are categorized as **"Not Enough Data."** Of those indicators with at least three years of actual data, according to the targets, the indicators can be divided among three types: Directional (Positive or Negative), Stable / Maintain Standard, and Varying.

- **Directional (Positive or Negative)** indicators are those where the goal is to improve the numerical performance of the indicator over time. The actual trend of a directional indicator will be either positive (improving) or negative (worsening) over time. An indicator with a positive trend does not necessarily have a consistent status of “Met.” It may be that a bureau puts forth ambitious targets for a given indicator, leading to an annual status of “Not Met,” yet has a positive trend for its actuals. A positive trend does not necessarily mean that the numbers are increasing; there are some indicators (e.g., Patent Pendency) in which the goal is for the numbers to decline over time.
- **Stable / Maintain Standard** indicators are those in which in which the targets and possibly the actuals are neither rising nor falling over time. For these indicators, the goal is to maintain a standard over time, e.g., 95% approval rating. It could also reflect an indicator in which the target is a narrative goal to achieve each year, e.g. completing a specific annual project, or that the target is textual rather than numerical in nature.
- **Varying** indicators are those in which the targets and/or actuals have or will change from year to year. This can occur as a result of:
 - Results being dependent on the funding the bureau receives from year to year. This is particularly true of two EDA indicators: Jobs created/retained, and Investment leveraged. These two indicators have targets and actuals dependent on the financing for that particular year. If the funding went down from one year to the next, the target went down to reflect the decrease in funding.
 - Bureau adjustment of targets as a result of past results, particularly if the results are volatile from year to year.
 - The nature of the indicator has changed slightly from one year to another, e.g., tornado lead time has changed from being geography-based to storm-based. In this case, while the raw numbers may appear to indicate that targets and actuals are declining (or improving), the nature of the change is in fact the cause rather than a decline (or improvement) in performance.

There are a handful of indicators in which the methodology or nature of the indicator has resulted in a subtle or dramatic change in the direction of the trend. For example, from FY 2000 – 2009, USPTO Patent pendency worsened each year thus had a negative trend. However, beginning in FY 2009, pendency has consistently improved thru FY 2014 resulting in a positive trend from FY 2009 – 2014.

Summary of FY 2014 Indicator Performance

The following table shows the FY 2014 results of Key and Supporting indicators as identified in the Department of Commerce Strategic Plan that had FY 2014 targets. In addition, CENSUS, EDA, MBDA and NOAA have indicators in their respective APP/APRs that have FY 2014 targets that are very similar to supporting indicators in the Strategic Plan. However, those respective Strategic Plan indicators do not have FY 2014 targets. In particular, the Strategic Plan has a key indicator under objective 3.2, “The number of days of forecast accuracy and warning lead time,” which is, in effect, a composite of several indicators that NOAA does report results on in FY 2014. These indicators are shown within the Other indicators section of the table below. The shade ties to the respective Strategic Goal. In addition, each bureau includes several other indicators to evaluate their performance that appear in their individual APP/APRs that are a part of their FY 2016 Congressional budget submissions. These submissions are available at <http://www.osec.doc.gov/bmi/budget/>

Obj.	Bureau	Key Indicator	Target	Actual	Status	Trend
1.2	ITA	Percentage of Global Markets clients that achieved their export objectives	69%	73%	Exceeded	Positive
1.2	ITA	Number of clients assisted by GM	22,150	17,593	Not Met	Negative
1.3	ITA	Number of investment clients assisted by the Department	900	1,006	Exceeded	Not enough data
2.1	NIST	Industry use of NIST research facilities (Number of Cooperative Research and Development Agreements between industry and NIST laboratories and the number of industrial institutions that use the NIST user facilities)	215	375 (partial)	Exceeded	Not enough data
2.2	NIST	Number of firms receiving in-depth technical assistance from MEP centers	8,340	8,353	Exceeded	Not enough data
2.2	NIST	Percentage of MEP clients receiving in-depth technical assistance that increase their competitiveness	60%	58%	Met	Not enough data
2.3	NIST	Number of critical infrastructure sectors with work products integrating the Cybersecurity Framework	10	9	Met	Not enough data
2.3	NTIA	Miles of broadband networks deployed (infrastructure projects) (PRIORITY GOAL)	115,000	113,555	Met	Positive
2.3	NTIA	Community anchor institutions connected (infrastructure projects) (PRIORITY GOAL)	23,000	25,391	Exceeded	Positive
2.3	NTIA	New household and business subscribers to broadband	670,000	736,489	Exceeded	Positive
2.3	NTIA	Spectrum identified for commercial broadband use	Meet 66% of milestones regarding the identification of 500 MHz for wireless broadband	100%	Exceeded	Positive
2.4	NIST	Number of MEP centers partnering with skills training providers (e.g., community colleges) to link manufacturing firms with skills training resources	50	54	Exceeded	Not enough data
2.5	USPTO	Patent first action pendency (months) (PRIORITY GOAL)	17.4	18.4	Met	Positive
2.5	USPTO	Patent total action pendency (months) (PRIORITY GOAL)	26.7	27.4	Met	Positive
2.5	USPTO	Patent backlog (PRIORITY GOAL)	593,700	605,646	Met	Positive
2.5	USPTO	Patent quality composite rate (PRIORITY GOAL)	83-91	75.0	Not Met	Positive
2.5	NIST	Milestones met for Commerce interoperability framework	Complete CIF/CAP and prototype and pilot at NIST.	Completed	Met	Not enough data
3.1	NOAA	Annual number of peer-reviewed publications related to environmental understanding and prediction	1,200	1,759	Exceeded	Positive
3.3	NOAA	% of U.S. coastal states and territories demonstrating 20% or more annual improvement in resilience capacity to weather and climate hazards (%/year)	46%	54%	Exceeded	Positive
3.4	NOAA	Number of protected species designated as threatened, endangered, or depleted with stable or increasing population levels	28	37	Exceeded	Stable
4.1	CENSUS	Percentage of milestones met for Find It - Connect It	100%	100%	Met	Not enough data
4.2	CENSUS	Cost efficiency of 2020 decennial census	Two field tests that will inform cost and quality goals for the 2020 Census	Completed	Met	Not enough data

Obj.	Bureau	Supporting Indicator	Target	Actual	Status	Trend
1.1	USPTO	Number of foreign government officials trained on best practices to protect and enforce intellectual property	4,300	4,960	Exceeded	Varying
2.5	USPTO	Trademark first action pendency (months)	2.5 – 3.5	3.0	Met	Stable
2.5	NIST	Citation impact of NIST-authored publications	1.5	Avail 3/15	N/A	Positive
3.2	CENSUS	Number of webinars conducted and enhancements to the Census Bureau's OnTheMap for Emergency Management website	1) Two webinars or training showing emergency and city planners how to navigate OTM-EM; and 2) Two enhancements to OTM-EM	Webinars completed and enhancements done	Met	Not enough data
3.3	NOAA	Cumulative number of coastal, marine, and Great Lakes issue-based forecasting capabilities developed and used for management	69	69	Met	Stable
3.4	NOAA	Fish stock sustainability index (FSSI)	645.5	640.5	Not Met	Positive
3.4	NOAA	Number and percentage of recovery actions ongoing or completed	1,979 / 44.4%	2,013 / 45.2%	Exceeded	Not enough data

Obj.	Bureau	Other Indicator	Target	Actual	Status	Trend
2.2	EDA	Jobs created / retained – 9 year total	36,386	33,822	Met	Varying
2.2	EDA	Private Investment Leveraged – 9 year total (in millions)	\$1,349	\$2,958	Exceeded	Varying
2.2	MBDA	Minority Business Contracts Awarded (billions)	\$2.0	\$4.2	Exceeded	Positive
2.2	MBDA	Minority Business Financing Awarded (billions)	\$1.0	\$1.7	Exceeded	Positive
3.2	NOAA	Severe weather warnings for tornadoes – Lead time (minutes)	13	9	Not Met	Varying
3.2	NOAA	Severe weather warnings for tornadoes – Accuracy (%)	72%	60%	Not Met	Varying
3.2	NOAA	Severe weather warnings for flash floods – Lead time (minutes)	60	55	Met	Varying
3.2	NOAA	Severe weather warnings for flash floods – Accuracy (%)	74%	78%	Exceeded	Varying
3.2	NOAA	Hurricane forecast track error (48 hours) (nautical miles)	81	77	Exceeded	Positive
3.2	NOAA	Hurricane forecast intensity error (difference in knots)	12	14	Not Met	Stable
3.2	NOAA	Accuracy (%)(threat score) of day 1 precipitation forecasts	32%	33%	Exceeded	Positive
3.2	NOAA	Winter storm warnings – Lead time (hours)	20	22	Exceeded	Positive
3.2	NOAA	Winter storm warnings – Accuracy (%)	90%	89%	Met	Positive
3.2	NOAA	Marine wind – accuracy (%)	74%	78%	Exceeded	Positive
3.2	NOAA	Marine wave height – accuracy (%)	76%	83%	Exceeded	Positive
3.2	NOAA	Aviation forecast accuracy for ceiling/visibility (3 mile/ 1,000 feet or less)(%)	65%	62%	Met	Stable
3.4	NOAA	Habitat Acres Restored	40,820	29,407	Not Met	Varying
4.2	CENSUS	Percentage of key data products for Census Bureau programs released on time to support effective decision-making of policymakers, businesses, and the public.	1) 100% of Economic Indicators 2) 90% of other key surveys	Percentages were met	Met	Positive

Detailed Indicator Plans and Performance

Note: Validation and Verification information appears in the respective bureau APP/APRs.

Key Indicators

Indicator	Percentage of Global Markets clients that achieved their export objectives (PRIORITY GOAL)							
Bureau	ITA							
Description	This indicator evaluates Global Markets' effectiveness in helping companies achieve their export objectives. Global Markets will offer U.S. companies a more robust set of capabilities to help them achieve their international exporting goals, whether those goals are to set up an overseas distribution channel; gain easier access to challenging markets; or meet additional foreign buyers for their goods. Global Markets will focus on understanding clients' exporting needs, and providing services to meet those needs. This metric focuses the new Global Markets organization on this top priority while also driving behavior towards client outcomes							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target						69%	71%	71%
Actual			67%	68%	66%	73%		
Status						Exceeded		
Trend	Positive							
Actions to be taken / Future Plans	This is a new indicator that began in FY 2014 and is ITA's priority goal for FY 2014-2015. GM will start piloting a comment card survey for non-fee-based assistance and events in FY 2015. This will enable GM to better capture the full breadth of GM assistance and client feedback in FY 2016.							
Information Gaps	Comment card data are from fee-based services only.							

Indicator	Number of clients assisted by GM							
Bureau	ITA							
Description	This indicator illustrates ITA's reach into the U.S. business community. Historical data indicates that over 75 percent of companies assisted are small and medium-sized enterprises.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target			19,723	20,709	20,800	22,150	23,000	22,300
Actual		18,784	20,143	18,945	18,126	17,593		
Status			Exceeded	Met	Not Met	Not Met		
Trend	Negative							
Explanation (if not met in FY 2014)	GM fell short of meeting its FY 2014 target largely due to under-reporting of client engagement data in CTS, GM's current customer relationship management (CRM) system.							
Actions to be taken / Future Plans	In FY 2015 GM will introduce a new CRM system, which is expected to significantly reduce the data entry burden, and thereby enable GM to provide a much more accurate accounting of clients assisted starting in FY 2016.							

Indicator	Number of investment clients assisted by the Department							
Bureau	ITA							
Description	This indicator captures the number of domestic and foreign firms, as well as domestic and foreign Economic Development Organizations, assisted by the Department of Commerce to attract inward investment into the United States.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target						900	1,600	2,400
Actual						1,038		
Status						Exceeded		
Trend	Not enough data							

Indicator	Industry use of NIST research facilities (Number of Cooperative Research and Development Agreements between industry and NIST laboratories and the number of industrial institutions that use the NIST user facilities)							
Bureau	NIST							
Description	This indicator reflects the value, relevance, and usefulness of NIST research facilities to industry users. NIST research facilities are unique capabilities that can be leveraged through partnerships with businesses, especially manufacturers, to accelerate discovery and commercialization of innovative products. This indicator counts the number of Cooperative Research and Development Agreements between industry and NIST laboratories, as well as the number of industrial institutions that use the NIST user facilities (NIST Center for Neutron Research and the Center for Nanoscale Science and Technology).							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target						215	225	250
Actual						375*		
Status						Exceeded		
Trend	Not enough data							
Notes	*Partial FY2014 data. Final data will be available in March 2015. Data from the NIST Center for Neutron Research (NCNR) and the Center for Nanoscale Science and Technology (CNST) lag due to the time it takes for industry participants to publish in peer-reviewed publications.							
Information Gaps	Data may not include all instances of industry use of NIST research facilities indirectly through support of academic research.							

Indicator	Number of firms receiving in-depth technical assistance from MEP centers							
Bureau	NIST							
Description	Number of client firms receiving services from MEP centers where those services were substantial and essential and therefore could reasonably be assumed to have directly or entirely led to the impacts reported through the MEP client survey.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target						8,340	8,750	9,187
Actual				7,614	8,140	8,353		
Status						Exceeded		
Trend	Positive							

Indicator	Percentage of MEP clients receiving in-depth technical assistance that increase their competitiveness							
Bureau	NIST							
Description	Percentage of MEP clients receiving in-depth technical assistance that reported increasing sales, reducing costs, or making new investments as a result of the services received.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target						60%	62%	64%
Actual				61%	59%	58%		
Status						Met		
Trend	Stable							

Indicator	Number of critical infrastructure sectors with work products integrating the Cybersecurity Framework							
Bureau	NIST							
Description	This indicator demonstrates that NIST consistently produces useful and relevant cybersecurity publications and reference materials that organizations representing or participating in a diverse set of the sixteen total critical infrastructure sectors can use. The Cybersecurity Framework may be cited in professional journals; international/national/industry standards, guidelines, and practices; sector-specific federal agency guidance to industry; and commercial/government-off-the-shelf software.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target						10	12	13
Actual						9		
Status						Met		
Trend	Not enough data							

Indicator	Miles of broadband networks deployed (infrastructure projects) (PRIORITY GOAL)							
Bureau	NTIA							
Description	TOP funded projects that provide broadband service in unserved areas and enhance broadband service in underserved areas of the United States. The BTOP portfolio of projects initially included 123 infrastructure projects totaling \$3.5 billion in Federal grant funds to construct broadband networks and to connect "community anchor institutions" such as schools, libraries, hospitals, and public safety facilities. This target is the cumulative total number of miles of network deployed using BTOP funding. The Recovery Act provided all funding for BTOP grants. As in FY 2014, NTIA will continue to administer in FY 2015 the BTOP grants through their completion and Federal interest period in order to protect the Federal government's investment in broadband infrastructure, public computer centers, and broadband adoption projects.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target			10,000	50,000	100,000	115,000	118,000	Retired
Actual			29,191	78,699	111,361	113,555		
Status			Exceeded	Exceeded	Exceeded	Met		
Trend	Positive							
Actions to be taken / Future Plans	NIST is retiring this indicator because it will have met its final target by FY 2015.							
Adjustments to targets	NTIA previously defined FY 2013 and "end of program" targets for BTOP, based on expected performance of the BTOP portfolio. However, NTIA did not develop specific FY 2014 and FY 2015 targets, since individual projects were only recently extended into FY 2014 and FY 2015. The revised targets for Miles of Broadband Networks Deployed are based on NTIA's projected performance of BTOP projects.							

Indicator	Community anchor institutions connected (infrastructure projects) (PRIORITY GOAL)							
Bureau	NTIA							
Description	The Recovery Act places a high priority on deploying and enhancing broadband capabilities for community anchor institutions such as libraries, hospitals, schools, and public safety entities. The BTOP portfolio of projects initially included 123 infrastructure projects totaling \$3.5 billion in Federal grant funds to construct broadband networks and to connect "community anchor institutions" such as schools, libraries, hospitals, and public safety facilities. This measure's target is the cumulative total number of anchor institutions connected with new or improved broadband capabilities. The Recovery Act provided all funding for BTOP grants. Infrastructure projects are scheduled to be substantially completed by the end of FY 2013. As in FY 2014, NTIA will continue to administer in FY 2015 the BTOP grants through their completion and Federal interest period in order to protect the Federal government's investment in broadband infrastructure, public computer centers, and broadband adoption projects.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target			3,000	10,000	18,000	23,000	23,500	Retired
Actual			4,163	11,246	20,325	25,391		
Status			Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Actions to be taken / Future Plans	NTIA is retiring this indicator because it will have met its final target by FY 2015.							
Adjustments to targets	NTIA previously defined FY 2013 and "end of program" targets for BTOP, based on expected performance of the BTOP portfolio. However, NTIA had not previously developed specific FY14 and FY15 targets, since individual projects were only recently extended into FY 2014 and FY 2015. The revised targets for Community Anchor Institutions Connected are based on NTIA's insight into the expected actual performance of BTOP projects as these grants move through closeout.							

Indicator	New household and business subscribers to broadband (Sustainable Broadband Adoption Projects) (Agency Priority Goal)							
Bureau	NTIA							
Description	The BTOP portfolio of projects initially included 44 sustainable broadband adoption (SBA) projects totaling \$250.7 million in Federal grant funds to support innovative projects that promote broadband adoption, especially among vulnerable population groups where broadband technology traditionally has been underutilized. This measure's target is the cumulative total number of new household and business subscribers to broadband generated by projects funded through the BTOP Sustainable Broadband Adoption category of funding, as reported by awardees.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target			100,000	350,000	600,000	670,000	Retired	
Actual			210,213	522,981	629,175	736,489		
Status			Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Actions to be taken / Future Plans	NTIA adjusted its targets upward for FY 2015 based on recipient performance through FY 2013. The revised targets for New Household and Business Subscribers to Broadband are based on NTIA's insight into the expected actual performance of BTOP projects as these grants move through closeout. All of the grant performance must be complete by September 30, 2016, therefore, NTIA retired the targets for FY 2016.							

Indicator	Spectrum identified for commercial broadband use							
Bureau	NTIA							
Description	NTIA is undertaking tasks, in response to the June 28, 2010 Presidential Memorandum and in collaboration with the Federal Communications Commission (FCC), to make available a total of 500 MHz (in bandwidth) of spectrum to support wireless broadband services or products by 2020. NTIA, with input from other Federal agencies and the FCC, developed a Ten-Year Plan and Timetable, identifying over 2,200 MHz of spectrum for evaluation. As this work has progressed, the band analysis process continues, but much of the effort has turned toward implementation of bands that NTIA and/or the FCC have identified. The combination of the ongoing analysis and implementation of band-repurposing results in a new set of deliverables each fiscal year. NTIA will establish at the beginning of each fiscal year the set of expected deliverables to complete this project.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target			Complete Identification	Meet 66% of milestones regarding the identification of 500 MHz for wireless broadband	Meet 66% of milestones regarding the identification of 500 MHz for wireless broadband	Meet 66% of milestones regarding the identification of 500 MHz for wireless broadband	Meet 66% of milestones regarding the identification of 500 MHz for wireless broadband	Meet 66% of milestones regarding the identification of 500 MHz for wireless broadband
Actual			Completed	85%	85%	100%		
Status			Met	Exceeded	Exceeded	Exceeded		
Trend	Positive							

Indicator	Number of MEP centers partnering with skills training providers (e.g., community colleges) to link manufacturing firms with skills training resources							
Bureau	NIST							
Description	This indicator reflects the number of MEP centers involved in activities supporting the development of a workforce with industry-aligned skills. MEP is working with partners throughout the national network of centers to provide the tools, services, and connections necessary to develop a workforce with industry-aligned skills.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target						50	55	55
Actual						54		
Status						Exceeded		
Trend	Not enough data							
Notes	All Centers currently partnered with a 1) workforce investment board, 2) community college, 3) technical college, 4) university, or 5) state workforce agency are included in this count.							

Indicator	Patent first action pendency (months) (PRIORITY GOAL)							
Bureau	USPTO							
Description	This indicator measures the average time from the Utility, Plant and Reissue (UPR) application filing date to the date of mailing the First Office action. The measure is based on a three-month rolling time period. This is one of the two primary measures to track timeliness in the Patent Organization's processing time.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	27.5	25.4	23.0	22.6	18.0	17.4	15.7	14.6
Actual	25.8	25.7	28.0	21.9	18.2	18.4		
Status	Exceeded	Met	Not Met	Exceeded	Met	Met		
Trend	Negative (FY 2000 - 2009), Positive (FY 2009 - 2015).							
Actions to be taken / Future Plans	The FY 2016 budget plans modify the hiring plans shown in the FY 2015 Budget. Under the revised plans, the Patent organization will begin its soft landing to achieve a patent examiner staffing level that is aligned with an ideal backlog and steady state pendency levels in FY 2015. This will be done by hiring 450 patent examiners in FY 2015 (a net of only 59 after attrition, and 550 less than the 1,000 projected in the FY 2015 President's Budget). In FY 2016, the new hires will be 250 or 95 fewer than projected attritions. This change, coupled with leveraging the nationwide workforce to facilitate hiring examiners with significant prior IP-related experience, and continuing to use overtime and incentives to increase production will enable the USPTO to achieve an optimal working level inventory of unexamined patent applications in FY 2018, and achieve its performance targets of 10 months for first action pendency and 20 months for total patent pendency in FY 2019. This will meet stakeholder expectations and also allow the Office to effectively align the demands of incoming workload with production capacity.							
Adjustments to targets	Reducing patent pendency and the backlog of unexamined patent applications is an Agency Priority Goal. USPTO continues to make progress in reducing patent pendency and will continue, with stakeholder input, to modify long- term Patent plans as needed.							
Notes	Decreasing numbers = positive trend. The implementation of new initiatives in FY 2014, including the RCE backlog reduction efforts and the implementation of CPC, directly impacted production in the short term. The temporary reduction of resources to RCEs limited the extent to which new-case backlog and patent pendency could be reduced.							

Indicator	Patent total action pendency (months) (PRIORITY GOAL)							
Bureau	USPTO							
Description	Patent total pendency is the average time in months for a complete review of a UPR patent application, from the filing date to issue or abandonment of the application. The measure is based on a three-month rolling time period. This is one of the two primary measures to track timeliness in the Patent organization's processing time. Requests for Continued Examination (RCE's) are not included.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	37.9	34.8	34.5	34.7	30.1	26.7	26.4	24.6
Actual	34.6	35.3	33.7	32.4	29.1	27.4		
Status	Exceeded	Met	Exceeded	Exceeded	Exceeded	Met		
Trend	Negative (FY 2000-2009), Positive (FY 2009-2015)							
Actions to be taken / Future Plans	The FY 2016 budget plans modify the hiring plans shown in the FY 2015 Budget. Under the revised plans, the Patent organization will begin its soft landing to achieve a patent examiner staffing level that is aligned with an ideal backlog and steady state pendency levels in FY 2015. This will be done by hiring 450 patent examiners in FY 2015 (a net of only 59 after attrition, and 550 less than the 1,000 projected in the FY 2015 President's Budget). In FY 2016, the new hires will be 250 or 95 fewer than projected attritions. This change, coupled with leveraging the nationwide workforce to facilitate hiring examiners with significant prior IP-related experience, and continuing to use overtime and incentives to increase production will enable the USPTO to achieve an optimal working level inventory of unexamined patent applications in FY 2018, and achieve its performance targets of 10 months for first action pendency and 20 months for total patent pendency in FY 2019. This will meet stakeholder expectations and also allow the Office to effectively align the demands of incoming workload with production capacity.							
Adjustments to targets	Reducing patent pendency and the backlog of unexamined patent applications is an Agency Priority Goal. USPTO continues to make progress in reducing patent pendency and will continue to modify long- term Patent plans as needed.							
Notes	The implementation of new initiatives in FY 2014, including the RCE backlog reduction efforts and the implementation of CPC, directly impacted production in the short term. The temporary reduction of resources to RCEs limited the extent to which new-case backlog and patent pendency could be reduced.							

Indicator	Patent backlog (AGENCY PRIORITY GOAL)							
Bureau	USPTO							
Description	This measure tracks the number of patent applications awaiting first action review by an examiner.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	741,400	698,000	670,000	615,300	566,800	593,700	534,900	484,495
Actual	718,835	708,535	669,625	608,283	584,998	605,646		
Status	Exceeded	Met	Exceeded	Exceeded	Not Met	Met		
Trend	Positive							
Actions to be taken / Future Plans	<p>The USPTO has modified the hiring plans shown in the FY 2015 Budget. Under the revised plans, the Patent organization will begin its soft landing to achieve a patent examiner staffing level that is aligned with an ideal backlog and steady state pendency levels in FY 2015. This will be done by hiring 450 patent examiners in FY 2015 (a net of only 59 after attrition, and 550 less than the 1,000 projected in the FY 2015 President's Budget). In FY 2016, the new hires will be 250 or 95 fewer than projected attritions. This change, coupled with leveraging the nationwide workforce to facilitate hiring examiners with significant prior IP-related experience, and continuing to use overtime and incentives to increase production will enable the USPTO to achieve an optimal working level inventory of unexamined patent applications in FY 2018, and achieve its performance targets of 10 months for first action pendency and 20 months for total patent pendency in FY 2019. This will meet stakeholder expectations and also allow the Office to effectively align the demands of incoming workload with production capacity.</p>							
Adjustments to targets	Reducing patent pendency and the backlog of unexamined patent applications is an Agency Priority Goal. USPTO continues to make progress in reducing patent pendency and will continue to modify long-term Patent plans as needed.							
Notes	The implementation of new initiatives in FY 2014, including the RCE backlog reduction efforts and the implementation of CPC, directly impacted production in the short term. The temporary reduction of resources to RCEs limited the extent to which new-case backlog and patent pendency could be reduced.							

Indicator	Patent quality composite rate (PRIORITY GOAL)							
Bureau	USPTO							
Description	This indicator is composed of seven items that are measures of the propriety of the final disposition of individual applications, i.e., allowance or final rejection; the propriety of the actions taken during the course of examination in individual applications, i.e., first and subsequent actions on the merits by examiners; the degree to which the initial search performed by the examiner and the First Action on the Merits (FAOM) conforms with the best practices of the USPTO; the degree to which patent examiner behaviors in the prosecution of all patent applications reveals trends indicative of quality concerns; the degree to which the experience of examiners reveals trends and issues indicative of quality concerns. The overall Quality Composite is a weighted combination of these seven components. The items are specifically noted as follows: 1) Final Disposition Compliance Rate (Percent); 2) In-Process Compliance Rate (Percent); 3) Pre FAOM Search Review; 4) Complete FAOM Search Review (Percent); 5) Quality Index Report (Percent); 6) External Quality Survey (Response Ratio – Positive to Negative); and 7) Internal Quality Survey (Response Ratio – Positive to Negative).							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target				48-56	65-73	83-91	100	*
Actual			30.7	72.4	71.9	75.0		
Status				Exceeded	Met	Not Met		
Trend	Positive							
Explanation (if not met in FY 2014)	Although the USPTO achieved 100% of goal in six of the seven metrics that comprise the Quality Composite Score, there was one metric that underperformed in FY 2014. The underperforming metric is a relatively new metric that was developed concurrent with the implementation of the Quality Composite Score at the start of FY 2011. As part of its new Quality Initiative, the USPTO believes that further refinements are needed in this metric and intends to work with the PPAC and USPTO's stakeholders to reassess the target originally established for this metric.							
Actions to be taken / Future Plans	Quality and training are an integral part of the examination process, and include initiatives focused on pendency reduction based on revised performance plans.							
Adjustments to targets	* As part of USPTO's quality initiatives, USPTO intends to evaluate and refine its quality metrics with its stakeholders, as stated in the 2014-2018 Strategic Plan.							

Indicator	Percentage of milestones met for Commerce interoperability framework							
Bureau	NIST							
Description	NIST will, in collaboration with other agencies, develop an interagency reference architecture and Commerce Interoperability Framework (CIF) or Common Access Platform (CAP).							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target						Complete CIF/CAP and prototype and pilot at NIST.	Expand CIF/CAP pilot to include additional bureaus/ agencies	Extend CIF/CAP pilot to enable datasets communication and access among identified agencies
Actual						Completed		
Status						Met		
Trend	Not enough data							
Notes	The CIF prototype is complete at NIST. NIST is piloting the CIF at the Census Bureau instead of NIST because Census has more mature data streams and more well-defined needs. NIST is on-track to meet 2015 milestones.							

Indicator	Annual number of peer-reviewed publications related to environmental understanding and prediction							
Bureau	NOAA							
Description	The indicator reflects productivity and relevance and is tracked using on-line resources. Peer review is one of the important procedures used to ensure that the quality of published information meets the standards of the scientific and technical community.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target			1,200	1,200	1,200	1,200	1,200	1,200
Actual			1,210	1,800	1,676	1,759		
Status			Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Information Gaps	Publications produced with NOAA grant support, NOAA's cooperative institutes, book chapters, and conference proceedings. Publications prior to FY 2012 are not captured.							

Indicator	Percentage of U.S. coastal states and territories demonstrating 20% or more annual improvement in resilience capacity to weather and climate hazards (%/year)							
Bureau	NOAA							
Description	An index of a range of activities to mitigate coastal community risk and vulnerability to coastal hazards. It measures improvement in the Nation's capacity for end to end preparedness, response, recovery and resilience to hazards							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target			36%	34%	40%	46%	51%	60%
Actual			43%	46%	57%	54%		
Status			Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Actions to be taken / Future Plans	NOS may need to relook at future targets if the trend for exceeding continues.							

Indicator	Number of protected species with designated as threatened, endangered, or depleted with stable or increasing population levels							
Bureau	NOAA							
Description	This indicator tracks progress at achieving partial recovery of endangered, threatened or depleted protected species under the jurisdiction of NMFS. Recovery of threatened, endangered or depleted species can take decades, so while it may not be possible to recover or de-list a species in the near term, progress can be made to stabilize or increase the species population. For some, it is trying to stop a steep decline, while for others it is trying to increase their numbers. For FY 2014, this measure tracks 84 species designated as threatened, endangered, or depleted.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	22	25	28	28	27	28 (84)	34 (74)	34 (91)
Actual	25	29	29	29	30	37 (84)		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Stable							
Adjustments to targets	Targets have been adjusted to reflect the decrease in the number of listed species due to the consolidation of 17 whale stocks into 5 whale species. After this consolidation, the 37 actual for FY 2014 drops to 34, so the target of 34 for FY 2015 does not represent a decrease in performance.							
Notes	Additional species listings cause the total number of listed species to increase from 74 to 91 in FY 2016.							

Indicator	Percentage of milestones met for Find It - Connect It							
Bureau	Census							
Description	Describe the indicator including how the indicator reflects the bureau's program. It may be that there are significant changes between years as a result of additional funding in a given year. Note that change in the description.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target						100%	100%	100%
Actual						100%		
Status						Met		
Trend	Not enough data							

Indicator	Cost efficiency of 2020 decennial census							
Bureau	Census							
Description	Due to the nature of this program, it is important to track long-term quality, cost, and delivery schedule goals. The Census Bureau has embarked on a multi-year research and testing program focused on major innovations to the design of the census and oriented around major cost drivers. This Indicator supports the Department of Commerce's Data goal to "Improve government, business, and community decisions and knowledge by transforming Department data capabilities and supporting a data-enabled economy." It specifically supports objective 4.2 to "Improve data-based services, decision-making, and data sharing within the Department and with other parts the federal government."							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target						Two field tests that will inform cost and quality goals for the 2020 Census	Preliminary design for key components of the 2020 Census to achieve cost and quality goals	1) Approaches are selected for supporting non-English languages for the 2020 Census 2) Conduct feasibility test(s) of consolidation of field operations 3) Conduct testing of Group Quarters operational design 4) Conduct tests of Coverage Measurement Program
Actual						Completed		
Status						Met		
Trend	Not enough data							

Supporting Indicators

Indicator	Number of foreign government officials trained on best practices to protect and enforce intellectual property							
Bureau	USPTO							
Description	The Global Intellectual Property Academy (GIPA) offers training programs on protection, utilization and enforcement of IP rights, patents, trademarks, and copyrights. It is through the GIPA training programs that the USPTO is instrumental in achieving its objectives of advancing IP right policies and halting IP theft.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target						4,300	6,300	6,500
Actual			4,338	9,217	7,078	4,960		
Status						Exceeded		
Trend	Varying							
Actions to be taken / Future Plans	Continue to promote the protection and enforcement of IP of American innovators and creators on both the domestic and international levels.							
Notes	The USPTO is authorized by statute to provide guidance, to conduct programs and studies, and to interact with IP offices worldwide and with international intergovernmental organizations on matters involving IP.							

Indicator	Citation impact of NIST-authored publications							
Bureau	NIST							
Description	This indicator demonstrates that NIST consistently produces useful and relevant scientific and technical publications and is outcome-oriented. The "relative citation impact" indicator is the ratio of the average number of citations per publication (citation rate) for all NIST publications in a year to the average citation rate for a large group of peer institutions in the world. Publications typically lag by a minimum of two years due to the time needed for research, writing, journal peer review, and publication processes.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	1.10	1.10	1.10	1.10	1.10	1.50	1.50	1.50
Actual	1.76	1.77	2.10	1.93	1.93	*		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded			
Trend	Positive							
Notes	* The FY 2014 actual for this measure will lag at least six months.							
Information Gaps	Due to the ever-changing nature of research and publication, and continual updating of the dataset used to generate these metrics, the actuals for any given year are subject to change.							

Indicator	Trademark first action pendency (months)							
Bureau	USPTO							
Description	This measure reflects the timeliness of the first office action as measured from the date of application filing (or notification date for 66(a) filings) to the first office action in months.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	2.5 – 3.5	2.5 – 3.5	2.5 – 3.5	2.5 – 3.5	2.5 – 3.5	2.5 – 3.5	2.5 – 3.5	2.5 – 3.5
Actual	2.7	3.0	3.1	3.2	3.1	3.0		
Status	Met	Met	Met	Met	Met	Met		
Trend	Stable							
Actions to be taken / Future Plans	Filings of new applications are expected to increase on average by about five to seven percent year over year. To handle the expected increase in workloads, the Office plans to increase examination staff by a net total of 23 new examining attorney positions, and 12 new supporting staffers. Offsetting the incremental costs, the Office expects to manage overtime usage due to timely hiring and by setting appropriate levels of production incentives.							
Notes	Trademark applicants have requested first action pendency within 2.5 to 3.5 months as optimal for meeting their needs.							

Indicator	Number of webinars conducted and enhancements to the Census Bureau's OnTheMap for Emergency Management website							
Bureau	Census							
Description	OnTheMap for Emergency Management (OTM-EM) is a public data tool that provides unique detail on the workforce, for U.S. areas affected by hurricanes, floods, and wildfires, in real time. To provide users with the latest information available, OnTheMap for Emergency Management automatically incorporates real time data updates from the National Weather Service, Departments of Interior and Agriculture, and other agencies for hurricanes, floods, and wildfires. This indicator supports the Department of Commerce's Environment goal to "Ensure communities and businesses have the necessary information, products, and services to prepare for and prosper in a changing environment." It specifically supports objective 3.2 to "Improve preparedness, response, and recovery from weather and water events by building a Weather-Ready Nation."							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target						Two webinars or training showing emergency and city planners how to navigate OTM-EM; and 2) Two enhancements to OTM-EM	Two webinars or training showing emergency and city planners how to navigate OTM-EM; and 2) Two reviews of user feedback on enhancements to OTM-EM	Two webinars or training showing emergency and city planners how to navigate OTM-EM; and 2) Two reviews of user feedback on enhancements to OTM-EM
Actual						Completed		
Status						Met		
Trend	Not enough data							

Indicator	Cumulative number of coastal, marine, and Great Lakes issue-based forecasting capabilities developed and used for management							
Bureau	NOAA							
Description	Geographically specific forecasts will allow resource managers to: make decisions based on predicted environmental and socioeconomic impacts; predict the impacts of ecosystem stressors; and evaluate the potential options to mitigate those stressors to better manage ecosystem use and condition.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	41	42	45	55	63	69	73	78
Actual	41	42	55	58	63	69		
Status	Met	Met	Exceeded	Exceeded	Met	Met		
Trend	Positive (cumulative), Stable (per year)							
Adjustments to targets	Targets for FY 2016 and beyond are being adjusted based on the FY 2015 budget submission.							

Indicator	Fish stock sustainability index (FSSI)							
Bureau	NOAA							
Description	The FSSI tracks the rebuilding and maintaining of fish stocks at sustainable levels, along with critical components of NOAA's efforts to achieve outcomes, such as managing fish harvest rates and increasing knowledge about the status of fish stocks. It is calculated by assigning a score between 0 and 4 to each of 230 stocks selected for their importance to commercial and recreational fisheries and then adding the scores together. For more information: http://www.nmfs.noaa.gov/sfa/statusoffisheries/SOSmain.htm .							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	548.5	580.0	586.0	603.5	617.0	645.5	647.5	N/A
Actual	565.5	582.5	587.0	606.0	618.5	640.5		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Not Met		
Trend	Positive							
Explanation (if not met in FY 2014)	The index gained six points due to stock status improvements, but then lost six points due to unanticipated declines in other stocks. The largest of these was the reversion to unknown status of bonnethead shark, which caused its score to drop from 4 to 0. In addition, two stocks in the Gulf of Mexico became subject to overfishing, and two stock assessments were delayed.							
Actions to be taken / Future Plans	Annual catch limits for the two stocks newly subject to overfishing will be set using this data. This measure is being replaced by the Revised FSSI (see below) starting in FY 2015.							

Indicator	Revised Fish stock sustainability index (FSSI)							
Bureau	NOAA							
Description	The FSSI tracks the status of fish stocks at sustainable levels in relation to fishing mortality and biomass reference points supporting the policy established by Congress in the MSA, that fishing resources be managed so they can produce the maximum sustainable yield. The revised Index includes important domestic U.S. commercial and recreational stocks subject to the MSA requirement to have Annual Catch Limits. It will be calculated by assigning a score between 0 and 4 to each stock, then converting the scores to a 1,000-point scale by dividing the sum of all the individual scores by the maximum possible score and then multiplying by 1,000. This will be phased in with the intention of being introduced in FY 2015 and fully utilized by FY 2016.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target						760	749	770
Actual					742	746		
Status						Not Met		
Trend	Not enough data							
Explanation (if not met in FY 2014)	Some expected improvements to stock status did not occur, mainly due to two delayed stock assessments, while some unexpected deterioration in stock status did occur. In particular, one stock with a score of 4 reverted to unknown status due to an unsuccessful assessment, reducing its score to 0, and two stocks became subject to overfishing. Also, the increase in the number of stocks in the index from 197 to 199 as the result of two stocks being split caused a score reduction of eight points. The shortfall is larger for FSSI 2.0 (revised) than for the original in part because some of the improvements in stock status were of international stocks, which are not included in the revised measure, and also because of the denominator increase.							
Actions to be taken / Future Plans	Annual catch limits for the two stocks newly subject to overfishing will be set using this data.							
Adjustments to targets	Targets have been revised to reflect the FY 2014 results as well as revisions to the assessment schedule.							
Notes	The number of stocks included in the index increased from 197 to 199 between FY 2014 and FY 2015 due to the splitting of two shark stocks into four.							

Indicator	Number and percentage of recovery actions ongoing or completed							
Bureau	NOAA							
Description	This indicator tracks progress of ongoing or completed recovery actions (including Priority 1 actions needed to prevent extinction) included in NMFS approved recovery plans for species listed as threatened or endangered under ESA. Recovery actions are those actions found to be necessary to remove species from the ESA. Actions may include items that can be completed in a year or other actions, including monitoring, that may take many years to complete or be ongoing. Recovery of threatened or endangered species is a gradual process that can take decades, and completed recovery actions can show incremental progress made in achieving recovery.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target					1,875 / 44.6%	1,979 / 44.4%	2,070 / 46.2%	2,119 / 47.3%
Actual				1,862 / 44.3%	1,897 / 45.1%	2,013 / 45.2%		
Status					Exceeded	Exceeded		
Trend	Not enough data							
Adjustments to targets	Targets were adjusted to reflect FY 2014 results.							
Notes	The total number of actions increased from 4,457 to 4,482 in FY 2015 due to the addition of a new recovery plan.							

Other Indicators (EDA, MBDA, NOAA and CENSUS)

Indicator	Jobs Created / Retained – 9 year totals							
Bureau	EDA							
Description	The formula-driven calculation projects investment data at 3, 6, and 9 year intervals from the investment award. The formula is based on a study done by Rutgers University, which compiled and analyzed the performance of EDA construction investments after 9 years. This approach was reviewed and validated by third-party analysis conducted by Grant Thornton in 2008. Based on this formula and a review of EDA's historical results, EDA estimates that 40% of the 9-year projection would be realized after 3 years, 75% after 6 years, and 100% after 9 years.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	56,500	72,000	57,800	45,800	44,853	36,386	35,097	33,141
Actual	45,866	66,527	56,058	12,675	33,088	33,822		
Status	Not Met	Met	Met	Not Met	Not Met	Met		
Trend	Varying							
Notes	Measurement year is nine years after the award was granted. FY 2016 targets reflect expected outcomes of projects funded by EDA in FY 2007							

Indicator	Private Investment Leveraged - 9 year totals (in millions)							
Bureau	EDA							
Description	The formula-driven calculation projects investment data at 3, 6, and 9 year intervals from the investment award. The formula is based on a study done by Rutgers University, which compiled and analyzed the performance of EDA construction investments after 9 years. This approach was reviewed and validated by third-party analysis conducted by Grant Thornton in 2008. Based on this formula and a review of EDA's historical results, EDA estimates that 40% of the 9-year projection would be realized after 3 years, 75% after 6 years, and 100% after 9 years.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	\$2,040	\$2,410	\$1,940	\$1,620	\$1,637	\$1,349	\$1,324	\$1,293
Actual	\$2,210	\$2,758	\$3,960	\$1,593	\$3,466	2,958		
Status	Exceeded	Exceeded	Exceeded	Met	Exceeded	Exceeded		
Trend	Varying							
Notes	Measurement year is nine years after the award was granted. FY 2016 targets reflect expected outcomes of projects funded by EDA in FY 2007							

Indicator	Minority Business Contracts Awarded (billions)							
Bureau	MBDA							
Description	44 MBDA Business Centers provide business development assistance to make minority businesses more competitive for business contracts. MBDA Business Centers assisting minority businesses to execute contracts for goods and services report the contract value in MBDA's performance database. The total minority contract assistance is the sum of the contract amounts across all centers.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	\$0.9	\$1.0	\$1.1	\$1.1	\$1.1	\$2.0	\$2.0	\$2.0
Actual	\$2.1	\$1.5	\$2.1	\$2.2	\$3.2	\$4.2		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Adjustments to targets	Targets for FY 2017 will increase 25% incident to program increases initiated in FY 2016.							

Indicator	Minority Business Financing Awarded (billions)							
Bureau	MBDA							
Description	44 MBDA Business Centers provide business development assistance to make minority businesses more competitive for business business financing. MBDA Business Centers assisting minority businesses to acquire financing report the financing value in MBDA's performance database. The total minority financing assistance is the sum of the business financing value across all centers.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	\$0.5	\$0.6	\$0.9	\$0.9	\$0.9	\$1.0	\$1.0	\$1.0
Actual	\$0.9	\$1.8	\$1.8	\$1.4	\$1.5	\$1.7		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Adjustments to targets	Targets for FY 2017 will increase 75% incident to program increases initiated in FY 2016.							

Indicator	Severe Weather Warnings Tornadoes - Storm Based Lead Time (Minutes), Accuracy (%), and False Alarm Rate (%)							
Bureau	NOAA							
Description	<p>The lead time for a tornado warning is the difference between the time the warning was issued and the time the tornado affected the area for which the warning was issued. The lead times for all tornado occurrences within the U.S. are averaged to get this statistic for a given fiscal year. This average includes all warned events with zero lead times and all unwarned events. Accuracy is the percentage of time a tornado actually occurred in an area that was covered by a tornado warning. The difference between the accuracy percentage figure and 100% represents the percentage of events occurring without warning.</p> <p>Tornado Warning Lead Time for an individual event is not available to an accuracy of half a minute of a report indicating a tornado has touched down. Although NOAA records the timing of the warning transmission to the nearest second, NOAA rarely has more than an estimate to the nearest minute of the time a tornado touches down. While NOAA can compute the average tornado warning lead time to a precision of 30 second increments or less, the reporting of this value implies greater accuracy in the data than currently exists. The annual variation of tornado warning lead time is more closely tied to the variation in storm type than in the performance. Generally, long track tornadic supercell storms are easier to detect and track than tornadoes that develop in squall lines or tropical storms. Changes in performance can be detected over a period of several years, and are better measured to an accuracy of minutes.</p>							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Lead Time (min)								
Target	12	12	12	13	13	13	13	13
Actual	11	14	15	11	9	9		
Status	Met	Exceeded	Exceeded	Not Met	Not Met	Not Met		
Accuracy (%)								
Target	69	70	70	72	72	72	72	72
Actual	65	71	75	69	57	60		
Status	Met	Exceeded	Exceeded	Met	Not Met	Not Met		
Trend	Varying							

Indicator	Severe Weather Warnings Tornadoes - Storm Based Lead Time (Minutes), Accuracy (%), and False Alarm Rate (%) (cont)
Bureau	NOAA
Explanation (if not met in FY 2014)	<p>Although NWS missed the FY 2014 goals for Tornado Warning Lead Time and Tornado Warning Accuracy for the first time in the last 10 years, NOAA exceeded its Tornado Warning False Alarm Rate Goal.</p> <p>Missing the Tornado Warning Lead Time and Tornado Warning Accuracy goals in FY 2014 can be attributed to a general lack of organized convection. In comparison to an average year where the Nation experiences an average of 1,461 tornadoes (average for FY 2008-FY 2013), FY 2014 had a total of 1,027 tornadoes. The tornadoes in FY 2014 were fewer long track, violent supercell tornadoes, and percentage-wise were more weak short-lived tornadoes. The Nation experience had less than 65% of the number of tornadoes occurring in an average year, and less than 40% of the number of tornadoes that occurred in FY 2011 when NWS last exceeded Tornado Warning Lead Time and Tornado Warning Accuracy goals.</p>
Actions to be taken / Future Plans	Automated Volume Scan Evaluation and Termination (AVSET), an advanced radar scanning method, has been implemented at all NEXRAD Dual Pol radar sites. AVSET can shorten scan time and give forecasters more information about developing tornado signatures nearer to the ground especially when storms are farther away from the radar location. Additionally, NOAA plans to deploy Supplemental Adaptive Intra-Volume Low-Level Scan (SAILS) in FY 2014. SAILS, scanning method used during severe weather, in combination with AVSET will further increase frequency of low-to-the ground Dual Pol radar scans.

Indicator	Severe Weather Warnings for Flash Floods - Lead Time (minutes) and Accuracy (%)							
Bureau	NOAA							
Description	<p>For each reported flash flood event, the flash flood warning lead-time is the difference in minutes between the issuance of a flash flood warning and the onset of a geographically corresponding flash flood event. The lead-times for all flash flood events, within the United States and territories served by the National Weather Service, are averaged to calculate the national average flash flood warning lead-time metric for a given fiscal year. This average includes all warned events with zero lead times and all unwarned events. The flash flood warning accuracy (probability of detection for storm-based warnings) represents the percentage, in both space and time, for which a flash flood event was warned.</p> <p>Both flash flood warning lead-time and accuracy metrics are cumulative over the fiscal year and, when reported prior to the end of the year, represent the year-to-date performance.</p>							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Lead Time (min)								
Target	49	38	38	42	58	60	61	61
Actual	66	72	73	53	63	55		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Met		
Accuracy (%)								
Target	90	72	72	74	74	74	76	76
Actual	91	80	80	76	78	78		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Varying							

Indicator	Severe Weather Warnings for Flash Floods - Lead Time (minutes) and Accuracy (%) (cont)
Bureau	NOAA
Actions to be taken / Future Plans	<p>NOAA anticipates future performance improvements from:</p> <ul style="list-style-type: none"> • effective use of advanced data from Next-Generation Radar (NEXRAD), which were upgraded with a dual-polarization capability in FY 2013; • implementation of the enhanced NEXRAD Product Improvement (NPI) algorithm and associated enhancement to quantitative precipitation estimation and forecast software including MultiSensor Precipitation Estimator (MPE), and High-Resolution Precipitation Estimator and Nowcaster (HPE/HPN) in FY2015; • implementation of new water resource capabilities including distributed hydrologic modeling, which provides streamflow predictions at locations without water gages; and continued training on precipitation estimation techniques, software enhancements and water resources modeling capabilities, and decision support.

Indicator	Hurricane Forecast Track Error (48-Hour)							
Bureau	NOAA							
Description	The public, emergency managers, and government institutions at all levels in this country and abroad, and the private sector use NOAA tropical cyclone forecasts to make decisions on life and property. A tropical cyclone is a rotating, organized system of clouds and thunderstorms that originates over tropical or subtropical waters and has a closed low-level circulation. This goal measures the difference between the projected location of the center of these storms and the actual location in nautical miles (nm) for the Atlantic Basin. The targets are computed by averaging the differences (errors) for all the 48-hour forecasts occurring during the calendar year. This measure can show significant annual volatility based on the frequency and type of hurricanes that occur in a given season. Projecting the long-term trend, and basing out-year goals on that trend, is preferred over making large upward or downward changes to the targets each year.							
	CY 2009	CY 2010	CY 2011	FY 2012	CY 2013	CY 2014	CY 2015	CY 2016
Target	108	107	106	84	83	81	80	78
Actual	70	89	71	69	103	77**		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Not Met	Exceeded		
Trend	Positive							
Actions to be taken / Future Plans	The Hurricane Forecast Improvement Project (HFIP) has made significant progress towards the development of a next generation hurricane forecast system (HFS). Components of this HFS, such as global data assimilation system and improvements to the Weather Research and Forecasting model for Hurricanes (HWRF), have been transitioned to operations. NWS anticipates meeting HFIP goals of 20% improvement for both track and intensity in a demonstration mode using the prototype hurricane forecast system by the end of the 2015 hurricane season. The current prototype hurricane forecast system already supports track goals, but additional development and testing is needed to reliably achieve intensity goals.							
Notes	** These values do not encompass the entire Calendar Year 2014 Hurricane Season which spans from June 1, 2014 and ends on November 30, 2014. CY 2014 GPRA preliminary values will be available in January 2015 and final values will be available in February 2015							

Indicator	Hurricane Forecast Intensity Error (48 hour)							
Bureau	NOAA							
Description	This indicator represents the difference between the projected intensity and the actual intensity in knots (kt) for Atlantic Basin tropical cyclones (i.e., tropical depressions, tropical storms, and hurricanes). The measure is validated by computing the average difference (error) for all the 48-hour forecasts occurring during a calendar year. This indicator can show significant annual volatility. Projecting the long-term trend (over a decade or more) and basing out-year goals on that trend is preferred over making upward or downward changes to the targets on an annual basis.							
	CY 2009	CY 2010	CY 2011	CY 2012	CY 2013	CY 2014	CY 2015	CY 2016
Target	13	13	13	15	12	12	10	9
Actual	18	16	14	12	10.5	14**		
Status	Not Met	Not Met	Not Met	Exceeded	Exceeded	Not Met**		
Trend	Stable with variability							
Explanation (if not met in FY 2014)	**These values do not encompass the entire Calendar Year 2014 Hurricane Season which spans from June 1, 2014 and ends on November 30, 2014. CY 2014 GPRA preliminary values will be available in January 2015 and final values will be available in February 2014. A detailed analysis of the CY 2014 season including an explanation for the GPRA not being met has not yet been completed. This information will be available in January 2015.							
Actions to be taken / Future Plans	See previous indicator.							

Indicator	Accuracy (%) (Threat Score) of Day 1 Precipitation Forecasts							
Bureau	NOAA							
Description	This indicators tracks the ability of the weather forecasters of NOAA's Hydrometeorological Prediction Center (HPC) to predict accurately the occurrence of one inch or more of precipitation (rain or the water equivalent of melted snow or ice pellets) twenty-four hours in advance across the contiguous U.S. The HPC focuses on relatively heavy amounts of precipitation, usually a half inch or more in a 24-hour period (short-term flood and flash flood warnings), because of the major safety and economic impacts such heavy precipitation can have in producing flooding, alleviating drought, and affecting river navigation.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	29	30	30	31	31	32	32	33
Actual	29	35	34	33	33	33		
Status	Met	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Actions to be taken / Future Plans	The following actions are being undertaken to meet out-year goals for this measure: 1) NOAA Weather and Climate Operational Supercomputer System will be upgraded in its computational speed and memory storage capabilities allowing the running of more sophisticated numerical modeling systems of the hydrosphere; 2) During the next several years, NWS will implement a number of numerical weather prediction enhancements aimed at improving heavy precipitation forecasts, including increasing numerical model resolution, increasing the number of ensemble forecast members for both short- and medium-range forecast models, and improving the assimilation of satellite and other observational data used as the starting point for the numerical forecasts; and 3) Improved training on the use of new model information will assist forecasters in making improved precipitation predictions.							

Indicator	Winter Storm Warnings - Lead Time (Hours) and Accuracy (%)							
Bureau	NOAA							
Description	A winter storm warning provides NOAA customers and partners advanced notice of a hazardous winter weather event that endangers life or property, or provides an impediment to commerce. Winter storm warnings are issued for winter weather phenomena like blizzards, ice storms, heavy sleet, and heavy snow. This performance indicator measures the accuracy and advance warning lead time of winter storm events. Improving the accuracy and advance warnings of winter storms enables the public to take the necessary steps to prepare for disruptive winter weather conditions.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Lead Time (hrs)								
Target	15	15	15	19	20	20	20	20
Actual	18	21	20	18	22	22	N/A	
Status	Exceeded	Exceeded	Exceeded	Met	Exceeded	Exceeded		
Accuracy (%)								
Target	90	90	90	90	90	90	90	90
Actual	90	88	83	89	89	89		
Status	Met	Met	Not Met	Not Met	Met	Met		
Trend	Positive							
Actions to be taken / Future Plans	<p>Improvement to Weather Research and Forecasting (WRF) model resolution will enable improved winter storm prediction. Action included follow.</p> <ul style="list-style-type: none"> • Implementation advanced ensemble modeling techniques providing probabilistic information applicable to issuing winter storm warnings. • Effective use of advanced data from Next-Generation Radar (NEXRAD), which was upgraded with dual-polarization capability in FY 2013. Improved use of satellite data, and access to Terminal Doppler Weather Radar (TDWR) data which will enables forecasters to observe the formation and dissipation of mesoscale snow bands, which result in locally higher snow accumulation (such as lake effect snow). • NOAA operational Central Computer System will be upgraded in its computational speed and memory storage capabilities allowing the running of more sophisticated numerical modeling systems of the hydrosphere. Improved training on the use of new model information will assist forecasters in making improved predictions. 							

Indicator	Marine Wind - Percentage of Accurate Forecasts & Marine Wave Heights - Percentage of Accurate Forecasts							
Bureau	NOAA							
Description	These performance indicators measure the accuracy of wind speed and wave height forecasts, which are important for marine commerce. These measures represent the Percentage of Accurate Forecasts, and accuracy is defined in terms of error. For the marine wind forecast, if the error is less than 5 knots, the forecast is accurate. For the wave height forecast, if the error is less than 2 feet, the forecast is accurate. These measures use complex skill scores to analyze individual wind speed and wave height components.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Wind								
Target	69	69	69	71	74	74	75	75
Actual	74	74	75	76	76	78		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Wave Heights								
Target	74	74	74	75	75	76	76	76
Actual	79	76	77	78	81	83		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Actions to be taken / Future Plans	Improvement efforts for marine forecast include efforts to expand use of local weather models such the Weather Research and Forecast (WRF) model at all marine Weather Forecast Offices. Additionally NOAA's marine program is perusing the use of new marine observations such as regional mesonets, expansion of National Water Level Observation Network (NWLON), Physical Oceanographic Real-Time System (PORTS), and National Data Buoy Center (NDBC) observations that fill in significant data gaps. NOAA continues to focus on forecaster training in the Rip Currents Forecasting, Shallow Water Waves, Wave Life Cycle I and II, Wave Types and Characteristics, and Winds in the Marine Boundary Layer topic areas.							

Indicator	Aviation Forecast Accuracy of Ceiling/Visibility (1 mi/500 ft to less than 3 mi/1000ft) & False Alarm Rate (%)							
Bureau	NOAA							
Description	Visibility and cloud ceiling forecasts are critical for the safety of aircraft operation. Accurately forecasting the occurrence of Instrument Flight Rule (IFR) conditions significantly improves general and commercial aviation flight planning capabilities, improving both flight safety and efficiency. The Accuracy or Probability of Detection is the number of times IFR occurs compared to the number of times predicted. For this measure, the false alarm ratio represents the number of times IFR does not occur to the number of times predicted. Greater accuracy and minimized false alarm rates result in safer flights and fewer flight delays; and conversely, poorer accuracy and increased false alarm rates result in a greater incidence of unnecessary flight delays. The forecast frequency of IFR occurrence and the observed frequency of IFR occurrence are within 0.5% of each other, indicating that forecast errors are likely in the timing of onset and duration rather than solely event occurrence.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	64	65	65	65	65	65	65	65
Actual	63	65	63	61	62	62		
Status	Met	Met	Met	Not Met	Not Met	Met		
Trend	Stable							
Actions to be taken / Future Plans	Operational implementation of the High-Resolution Rapid Refresh (HRRR) model facilitated by the larger capacity of NOAA's operational Central Computer System will provide forecasters with improved guidance resulting in skill improvements in the out years.							

Indicator	Number of Habitat Acres Restored							
Bureau	NOAA							
Description	NOAA restores habitat areas lost or degraded as a result of development and other human activities, as well as specific pollution incidents and sources. Activities are geared toward NOAA trust resources found across the marine environment, including the Great Lakes region, and supportive of anadromous fish species, which are species of fish that swim in both saltwater and freshwater environments. The intent of this measure is to summarize or project the geographic area over which ecosystem function has been or will be improved as the direct result of habitat restoration efforts.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	9,000	8,875	8,888	80,007	60,228 (8,228 + 52,000 PCSRF)	40,820 (11,820 program + 29,000 PCSRF)	32,460 (9,460 + 23,000 PCSRF)	45,000 (4,000 + 41,000 PCSRF)
Actual	9,232	6,907	79,381 (15,420 + 63,961 PCSRF)	58,120 (8,242 + 49,878 PCSRF)	46,857	29,407		
Status	Exceeded	Not Met	Exceeded	Not Met	Not Met	Not Met		
Trend	Varying							
Explanation (if not met in FY 2014)	48 projects were delayed. The largest of these—4,500 acres—was completed in October. In addition, three projects for nearly 2,800 acres were terminated, and the acreage for one project fell short of estimates by nearly 2,200 acres.							
Adjustments to targets	The FY 2015 target has been adjusted to reflect FY 2014 results.							

Indicator	Percentage of key data products for Census Bureau programs released on time to support effective decision-making of policymakers, businesses, and the public.							
Bureau	CENSUS							
Description	Ensuring that data products are released on schedule is essential. OMB Statistical Directive Number 3 requires that the data for the principle economic indicators be released within prescribed time periods. The impact of not meeting release dates for the economic indicators is much more serious, so two separate targets are noted. This indicator supports the Department of Commerce's Data goal to "Improve government, business, and community decisions and knowledge by transforming Department data capabilities and supporting a data-enabled economy." It specifically supports objective 4.3 to "Foster the private sector's development of new data-based businesses, products and services."							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) 90% of other key surveys	1) 100% of Economic Indicators 2) 90% of other key surveys	1) 100% of Economic Indicators 2) 90% of other key surveys
Actual	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) At least 90% of other key surveys		
Status	Met	Met	Met	Met	Met	Met		
Trend	Positive							

Agency Priority Goals

Priority Goals are a clear statement of the specific, measurable, ambitious near-term priority targets chosen by the senior leaders of major federal agencies. The Priority Goals communicate the performance improvements each agency is trying to accomplish relative to its priorities using existing legislative authority, previously appropriated funds, and funding at levels proposed in the President's FY 2013 Budget. The Priority Goals constitute the priority operational targets the agency will work to accomplish within 18 to 24 months of setting the targets. This distinguishes the Priority Goals from the longer-term targets agencies include in their strategic plans, and the full set of performance goals and measures agencies include in the annual plans and reports required by the Government Performance and Results Act (GPRA). Actual cells are shaded accounting to their status: blue = exceeded, green = met, red = not met.

Goal						
PERCENTAGE OF GLOBAL MARKETS CLIENTS THAT ACHIEVED THEIR EXPORT OBJECTIVES						
Bureau						
International Trade Administration (ITA)						
Overall Description	By September 30, 2015, the Department of Commerce will increase the percentage of companies assisted by Global Markets that achieve their export objectives to 71 percent.					
Performance Indicators	Companies assisted by Global Markets that achieve export objectives		Number of clients assisted by Global Markets		Percentage of clients highly likely to recommend Global Markets	
Specific Descriptions of Indicators	This indicator evaluates Global Markets' effectiveness in helping companies achieve their export objectives. Global Markets will offer U.S. companies a more robust set of capabilities to help them achieve their international exporting goals, whether those goals are to set up an overseas distribution channel; gain easier access to challenging markets; or meet additional foreign buyers for their goods. Global Markets will focus on understanding clients' exporting needs, and providing services to meet those needs. This metric focuses the new Global Markets organization on this top priority while also driving behavior towards client outcomes		This indicator illustrates ITA's reach into the U.S. business community. Historical data indicates that over 75 percent of companies assisted are small and medium-sized enterprises.		This indicator illustrates the level of client satisfaction with Global Markets (GM) and will be used to improve the quality and efficiency of service delivery. This indicator was adopted in FY 2013. These targets were set using government customer satisfaction benchmarks from the American Customer Satisfaction Index (ACSI). ACSI results have hovered between 65-68% over the last five years, making the targets set reasonable ones.	
	Target	Actual	Target	Actual	Target	Actual
FY 2014	69%	73%	22,150	17,593	69%	83%
FY 2015	71%		22,150		71%	

Goal									
ADVANCE COMMERCIALIZATION OF NEW TECHNOLOGIES BY REDUCING PATENT APPLICATION PENDENCY AND BACKLOG									
Bureau		United States Patent and Trademark Office (USPTO)							
Overall Description		By September 30, 2015, the Department will reduce patent pendency for first action and total pendency from the end of FY 2012 levels of 21.9 and 32.4 months to 15.7 and 26.4 months, as well as the unexamined patent application backlog of 608,300 to 534,900. Additionally, the Patent quality composite score will be improved from 72.4 percent to 100 percent of the FY 2015 target.							
Performance Indicator(s)		Patent First Action Pendency		Patent Total Pendency		Unexamined Patent Application Backlog		Patent Quality Composite Score	
Specific Descriptions of Indicators		<p>Patent first action pendency measures the average time from the Utility, Plant and Reissue (UPR) application filing date to the date of mailing the First Office action. The indicator is based on a three-month rolling time period. This is one of the two primary measures to track timeliness in the Patent organization.</p>		<p>Patent total pendency is the average time in months for a complete review of a UPR patent application, from the filing date to issue or abandonment of the application. The indicator based on a three-month rolling time period. This is one of the two primary measures to track timeliness in the Patent organization. Requests for Continued Examination (RCEs) are not included.</p>		<p>The unexamined patent application backlog is the number of new utility, plant, and reissue (UPR) patent applications in the pipeline at any given time which are awaiting a First Office Action by the patent examiner. Continuation, continuation-in-part, and divisional applications are included in the total.</p>		<p>This indicator is a weighted combination of the following seven components: 1) final disposition compliance rate; 2) in-process compliance rate; 3) pre First Action on the Merits (FAOM) search review; 4) complete FAOM search review; 5) quality index report; 6) external quality survey; and 7) internal quality survey. .</p>	
		Target	Actual	Target	Actual	Target	Actual	Target	Actual
FY 2013		18.0	18.2	30.1	29.1	574,100	584,998	65-73	71.9
FY 2014		17.4	18.4	26.7	27.4	593,700	605,646	83-91	75
FY 2015		15.7		26.4		534,900		100	
FY 2016		14.6		24.6		484,495			
1 USPTO (with its stakeholders) will evaluate and refine the parts of this indicator.									

GOAL		EXPAND BROADBAND SERVICE TO COMMUNITIES				
Bureau		National Telecommunications and Information Administration (NTIA)				
Overall Description	By September 30, 2015, the Department of Commerce will increase the nation's broadband infrastructure developed through the Broadband Technology Opportunities Program (BTOP) from 78,120 miles at the end of FY 2012 to 118,000 miles. When this goal is achieved, BTOP will connect 23,500 community anchor institution and will add 670,000 new household and business subscribers to broadband service.					
Performance Indicators	Miles of broadband networks deployed (Infrastructure Projects)		Community anchor institutions connected (Infrastructure Projects)		New household and business subscribers to broadband	
Specific Descriptions of Indicators	BTOP funded projects that provide broadband service in unserved areas and enhance broadband service in underserved areas of the United States. The BTOP portfolio of projects initially included 123 infrastructure projects totaling \$3.5 billion in federal grant funds to construct broadband networks and to connect "community anchor institutions" such as schools, libraries, hospitals, and public safety facilities. BTOP infrastructure projects are deploying a variety of technologies and approaches to enhance the Nation's broadband capabilities. This measure's target is the number of miles of network (e.g., fiber, microwave) deployed using BTOP funding. The American Recovery and Reinvestment Act (ARRA) provided all of BTOP's grants funding.		ARRA places a high priority on deploying and enhancing broadband capabilities for community anchor institutions such as libraries, hospitals, schools, and public safety entities. The BTOP portfolio of projects initially included 123 infrastructure projects totaling \$3.5 billion in federal grant funds to construct broadband networks and to connect "community anchor institutions" such as schools, libraries, hospitals, and public safety facilities. This measure's target is the number of anchor institutions connected with new or improved broadband capabilities. ARRA provided all of BTOP's grants funding.		The BTOP portfolio of projects initially included 44 sustainable broadband adoption (SBA) projects totaling \$250.7 million in federal grant funds to support innovative projects that promote broadband adoption, especially among vulnerable population groups where broadband technology traditionally has been underutilized. This measure's target is the number of new household and business subscribers to broadband generated by projects funded through the BTOP SBA category of funding, as reported by awardees.	
	Target	Actual	Target	Actual	Target	Actual
FY 2013	100,000	111,400	18,000	20,325	600,000	629,175
FY 2014	115,000	113,555	23,000	25,391	670,000	736,489
FY 2015	118,000		23,500		N/A ¹	
1. NTIA achieved its final target in FY 2014. Therefore, it does not have a FY 2015 target for this indicator.						

GOAL		IMPROVE FORECASTING ACCURACY AND LEAD TIMES FOR SEVERE WEATHER				
Bureau		National Oceanic and Atmospheric Administration (NOAA)				
Overall Description	By September 30, 2015, the Department of Commerce will improve its overall weather forecast model accuracy to 9 days which will enable more accurate, consistent, longer lead time for specific weather event forecasts and warnings.					
Performance Indicators	Global Forecast Skill (GFS) 500 hPA Anomaly Correlation Length of Forecast Considered Accurate	High Performance Computing Capacity		Hurricane Forecast Track Error		
Specific Descriptions of Indicators	The 500 hPA anomaly correlation is a proxy for skill of the GFS and computed over the range of forecast days into the future. The forecast length where the value drops to 0.6 indicates the point at which a forecast loses useful skill. Target measure is in days.	A "Game Changer" in terms of being able to provide consistent, accurate forecasts with more lead time is the upgrade to the Weather and Climate Operational Supercomputing System (WCOSS). This effort focuses on upgrading WCOSS to exceed 1 Peta Floating-Point Operations Per Second (PFLOPS)		Improvements in the GFS allows for better information input for regional and local scale weather models that provide accurate information about the formation and movement of high impact storms, such as hurricanes. The updates to Hurricane Weather Research Forecast will improve hurricane track and intensity forecasts. Metric computed once a year in Q2 of the FY, after the hurricane season concludes (Hurricane Forecast Track – 48 hr Error – nautical miles)		
	Target	Actual	Target	Actual	Target	Actual
FY 2014	8	TBD ¹	200	200	81	77 ²
FY 2015	9				80	
FY 2016					78	
FY 2017					77	
1. Not available until the end of the second quarter in FY 2015						
2. This value is a projected total since the Hurricane Season spans from June 1, 2014 and ends on November 30, 2014. Preliminary values will be available in January 2015 and final values will be available in February 2015.						

GOAL		CONFIRM ELIMINATION OF OVERFISHING	
Bureau		National Oceanic and Atmospheric Administration (NOAA)	
Overall Description	By September 30, 2015, the Department of Commerce will confirm the elimination of overfishing on all 21 U.S. domestic stocks identified as subject to overfishing as of June 30, 2013 by comparing catch data relative to overfishing limits (OFLs).		
Performance Indicator	Number of domestic stocks listed as subject to overfishing as of June 30, 2013 for which the annual catch does not exceed the overfishing limit (OFL) in any fishing year		
Description	NOAA Fisheries will compare annual catch estimates to OFL for the 21 domestic stocks that were subject to overfishing as of June 30, 2013. In FY 2015, NOAA will track the 2014 fishing year catch only for the stocks that exceeded the OFL in the 2013 fishing year.		
	Target	Actual	
FY 2014	11	11	

Resources

The following table shows the Department's resources (obligations) and Full-Time Equivalent Employees (FTEs) by Strategic Goal, and within each goal by bureau, for FY 2014 – FY 2016. FY 2014 amounts are as of September 30, 2014. FTE and Obligations (including Direct, Reimbursable and Working Capital Fund amounts) are amounts as reported in each bureau's chapter of the Budget in Brief. These amounts were verified via each bureau's Annual Performance Plan / Annual Performance Report section of their FY 2016 Congressional Budget submission. FY 2014 resource amounts reflect end of year FTE and actual obligations (as of September 30, 2014) whereas FY 2015 and FY 2016 levels reflect projected obligation and FTE amounts with FY 2015 being enacted levels and FY 2016 being President's Budget request levels.

FY 2014 – FY 2016 Resources and FTE by Strategic Goal

	FY 2014 Actuals		FY 2015 Enacted		FY 2016 President's Budget	
	Actual Obligations	Actual FTE	Projected Obligations	Projected FTE	Projected Obligations	Projected FTE
Goal 1: Trade and Investment						
EDA	\$69.2	41	\$68.1	51	\$69.1	56
CENSUS	10.2	79	11.2	86	\$11.4	86
ITA	486.2	1,666	514.5	1,832	531.3	1,867
BIS	101.5	365	102.5	392	115.1	416
USPTO	49.5	131	62.5	165	67.4	190
NTIA	1.4	11	3.8	15	7.0	20
Subtotal, Trade and Investment	\$718.0	2,293	\$762.6	2,541	\$801.3	2,635
% of Total	5.8%	5.8%	5.7%	5.8%	5.6%	5.8%
Goal 2: Innovation						
EDA	\$166.2	97	\$165.3	123	\$168.6	134
CENSUS	8.1	25	9.9	31	9.9	31
MBDA	27.7	56	30.0	70	30.0	70
USPTO	2,948.0	11,763	3,268.3	12,755	3,431.5	13,124
NIST	994.6	3,031	1,090.4	3,215	1,226.7	3,323
NTIA	85.2	304	99.7	439	84.8	470
Subtotal, Innovation	\$4,229.8	15,276	\$4,663.6	16,633	\$4,951.5	17,152
% of Total	34.0%	38.4%	35.2%	37.9%	34.3%	37.8%
Goal 3: Environment						
EDA	\$40.1	24	\$37.3	31	\$39.7	34
CENSUS	0.6	2	0.4	1	0.4	1
NOAA	5,908.2	11,997	5,978.1	12,929	6,464.8	12,919
NIST	17.6	36	24.3	37	34.3	50
Subtotal, Environment	\$5,966.5	12,059	\$6,040.1	12,998	\$6,539.2	13,004
% of Total	47.9%	30.3%	45.5%	29.6%	45.4%	28.7%

	FY 2014 Actuals		FY 2015 Enacted		FY 2016 President's Budget	
	Actual Obligations	Actual FTE	Projected Obligations	Projected FTE	Projected Obligations	Projected FTE
Goal 4: Data						
CENSUS	\$1,233.3	8,673	\$1,432.6	10,136	\$1,774.4	10,868
ESA	97.2	477	100.0	506	113.8	533
NIST	2.0	3	0.5	1	0.8	1
NTIS	109.6	99	169.6	150	122.0	150
Subtotal: Data	\$1,442.1	9,252	1,702.7	10,793	2,011.0	11,552
% of Total	11.6%	23.2%	12.9%	24.5%	13.9%	25.5%
Goal 5: Operational Excellence						
DM	\$55.5	771	\$56.0	787	\$71.0	807
OIG	35.6	141	39.9	173	44.5	192
Subtotal, Operational Excellence	\$91.1	912	\$95.9	960	\$115.5	999
% of Total	0.7%	2.3%	0.7%	2.2%	0.8%	2.2%
TOTAL, DoC	\$12,447.5	39,792	\$13,264.9	43,925	\$14,418.5	45,342

FY 2016 Resources and FTE by Bureau

Bureau	Projected Obligations	% of Tot		Bureau	Projected FTE	% of Tot
NOAA	\$6,464.8	44.8		USPTO	13,314	29.4
USPTO	3,498.9	24.3		NOAA	12,919	28.5
CENSUS	1,796.3	12.5		CENSUS	10,986	24.2
NIST	1,261.8	8.8		NIST	3,374	7.4
ITA	531.3	3.7		ITA	1,867	4.1
EDA	277.4	1.9		DM	807	1.8
NTIS	122.0	0.8		ESA	533	1.2
BIS	115.1	0.8		NTIA	490	1.1
ESA	113.8	0.8		BIS	416	0.9
NTIA	91.8	0.6		EDA	224	0.5
DM	71.0	0.5		OIG	192	0.4
OIG	44.5	0.3		NTIS	150	0.3
MBDA	30.0	0.2		MBDA	70	0.2
TOTAL	\$14,418.5			TOTAL	45,342	

Department of Commerce – Locations¹
(as of September 30, 2014)

The Department is headquartered in Washington, D.C., at the Herbert Clark Hoover Building and had approximately 45,000 employees as of October 1, 2014. The Department also has field offices in all states and territories and maintains offices in 65 countries worldwide. The following tables show the locations of the Department's employees. **Note that staff levels (as opposed to FTE levels shown on the previous pages) are based on an Office of Human Resources (OHRM) report showing locations throughout the U.S and the world.**

	STAFF	% OF TOTAL
DC Metropolitan Area (includes all of Washington, D.C and parts of Maryland (10,577), Virginia (10,213) and West Virginia (5))	23,916	52.6
Outside DC area (includes parts of Maryland (467), Virginia (608) and West Virginia (100))	21,156	46.6
Territories (American Samoa, Antarctica, Guam, N. Mariana Islands & Puerto Rico) ²	133	0.3
Other Nations	227	0.5
Total	45,432	

1. For these charts, DC is considered to be a state.
2. Only NOAA (76), Census (55), and ITA (2) have employees in the Territories.

Department of Commerce Staff – States and Territories
(as of September 30, 2014)

RK	STATE	STAFF	% of TOTAL	RK	STATE	STAFF	% of TOTAL	RK	STATE	STAFF	% of TOTAL	RK	STATE	STAFF	% of TOTAL
1	Maryland	11,044	24.4	15	Illinois	543	1.2	29	Wisconsin	238	0.5	42	South Dakota	127	0.3
2	Virginia	10,821	24.0	16	Alaska	542	1.2	30	Alabama	226	0.5	44	Arkansas	121	0.3
3	District of Columbia	3,121	6.9	16	Arizona	542	1.2	31	Tennessee	210	0.5	45	West Virginia	105	0.2
4	California	1,656	3.7	18	Missouri	486	1.1	32	Kansas	190	0.4	46	New Hampshire	104	0.2
5	Indiana	1,445	3.2	19	Oregon	460	1.0	33	Kentucky	187	0.4	47	North Dakota	103	0.2
6	Colorado	1,215	2.7	20	Hawaii	456	1.0	34	Nevada	171	0.4	48	Rhode Island	101	0.2
7	Florida	1,208	2.7	21	Georgia	449	1.0	35	Montana	167	0.4	49	Wyoming	84	0.2
8	Washington	1,187	2.6	22	South Carolina	412	0.9	36	Utah	152	0.3	50	Puerto Rico	83	0.2
9	Texas	1,013	2.2	23	Oklahoma	391	0.9	37	Connecticut	145	0.3	51	Vermont	79	0.2
10	New York	880	2.0	24	New Jersey	381	0.9	38	Maine	144	0.3	52	Delaware	54	0.1
11	Massachusetts	658	1.5	25	Ohio	343	0.8	39	New Mexico	139	0.3	53	Guam	27	0.1
12	North Carolina	596	1.3	26	Mississippi	332	0.7	40	Nebraska	135	0.3	54	Amer Samoa	19	0.0
13	Pennsylvania	565	1.2	27	Louisiana	273	0.6	41	Idaho	132	0.3	55	Antarctica	2	0.0
14	Michigan	544	1.2	28	Minnesota	253	0.6	42	Iowa	127	0.3	55	N. Mar Islands	2	0.0

Department of Commerce Employees – Other Nations¹
(as of September 30, 2014)

REGION / NATION	STAFF	% of Other Nations	REGION / NATION	STAFF	% of Other Nations	REGION / NATION	STAFF	% of Other Nations	REGION / NATION	STAFF	% of Other Nations
EUROPE	47	20.7	AMERICAS	43	18.9	SOUTH ASIA AND MIDDLE EAST	35	15.4	NORTHEAST ASIA	57	25.1
Austria	1	0.4	Argentina	2	0.9				China	32	14.1
Belgium	6	2.6	Brazil	13	5.7	Afghanistan	2	0.9	Hong Kong	3	1.3
Bulgaria	1	0.4	Canada	7	3.1	India	12	5.3	Japan	11	4.8
France	3	1.3	Chile	2	0.9	Iraq	1	0.4	South Korea	6	2.6
Germany	3	1.3	Columbia	3	1.3	Israel	2	0.9	Taiwan	5	2.2
Greece	1	0.4	Dominican Republic	2	0.9	Jordan	1	0.4			
Hungary	1	0.4	El Salvador	2	0.9	Kazakhstan	1	0.4	SOUTHEAST ASIA & AUSTRALIA	26	11.5
Italy	4	1.8	Guatemala	1	0.4	Kuwait	2	0.9	Australia	3	1.3
Netherlands	1	0.4	Mexico	8	3.5	Pakistan	1	0.4	Indonesia	3	1.3
Poland	2	0.9	Panama	1	0.5	Qatar	1	0.4	Malaysia	3	1.3
Portugal	1	0.4	Peru	2	0.9	Saudi Arabia	4	1.8	Myanmar	1	0.4
Romania	2	0.9				Turkey	4	1.8	New Zealand	1	0.4
Russia	11	4.8	AFRICA	19	8.4	United Arab Emirates	4	1.8	Philippines	3	1.3
Serbia	1	0.4	Chad	4	1.8				Singapore	4	1.8
Spain	2	0.9	Egypt	4	1.8				Thailand	3	1.3
Sweden	1	0.4	Ethiopia	1	0.4				Vietnam	5	2.2
Switzerland	1	0.5	Ghana	1	0.4						
Ukraine	2	0.9	Kenya	1	0.4						
United Kingdom	3	1.3	Morocco	1	0.4						
			Nigeria	2	0.9						
			South Africa	4	1.8						
			Tanzania	1	0.4						
Highlighted countries are the top five nations											

1. All but three employees (one each in: Netherlands (BIS), Japan (NIST), New Zealand (NOAA)) working in nations outside the U.S. work for ITA.

Other Information

Cross-Agency Priority Goals

The Department is a direct participant in the following cross-agency priority goals in which they are a direct participant: Cybersecurity, Job-Creating Investment, Infrastructure Permitting Modernization, STEM Education, and Lab-To-Market. Descriptions appear on <http://www.performance.gov/cap-goals-list?view=public>.

Management Challenges

The following challenges associated with the Department of Commerce appear on the GAO High-Risk list. Further description of these challenges can be found at: <http://www.gao.gov/highrisk/overview>.

- Limiting the Federal Government's Fiscal Exposure by Better Managing Climate Change Risks; and,
- Mitigating Gaps in Weather Satellite Data.

In addition, the Office of the Inspector General (OIG) within the Department has identified the following management challenges within the Department as noted in its FY 2015 Top Management Challenges report, located at <http://www.oig.doc.gov/Pages/Top-Management-Challenges-FY-2015.aspx>.

Departmental Strategic Goal 1: TRADE AND INVESTMENT

1. Delivering trade promotion and enforcement services to the Department's clients and effectively working with federal partners
2. Continuing the Bureau of Industry and Security's migration of export licensing functions to the Department of Defense's USXPORTS system
3. Addressing conditions and issues with EDA's Revolving Loan Fund Program
4. Ensuring the accuracy of grants management financial and performance metrics

Departmental Strategic Goal 2: INNOVATION

1. Facing internal and external challenges at USPTO in promoting innovation through the protection of intellectual property rights
2. Identifying spectrum for commercial broadband use, and administering FirstNet and the Broadband Technology Opportunities Program
3. Completing the re-competition of Manufacturing Extension Partnership centers

Departmental Strategic Goal 3: ENVIRONMENT

1. Keeping next-generation satellite acquisition programs on track to provide critical environmental observations
2. Improving forecasts to support a weather-ready nation
3. Fostering healthy and sustainable marine resources

Departmental Strategic Goal 4: DATA

1. Incorporating cost-saving decennial innovations while continuing to ensure an accurate decennial count
2. Meeting public demand for data
3. Implementing a mandate for government-wide data standards

Departmental Strategic Goal 5: OPERATIONAL EXCELLENCE

1. Improving cybersecurity and IT management
2. Strengthening stakeholder confidence in the Department
3. Improving financial data quality
4. Reducing acquisition risk

Finally, some bureaus have identified challenges unique to their bureaus. These challenges can be found in section 8 of the APP/APR sector of each bureau's FY 2016 Congressional budget justifications. This section also may include the following items: Contributions to government-wide management initiatives such as priorities established through Executive Order; Contributions to Cross-Agency Priority Goals; Key areas for innovation and improvements in customer service; and, a description of progress made on management priorities and challenges that had been described in the Annual Performance Plan such as results on management objectives, performance goals and indicators that were established.

Hyperlinks

Past and current Congressional Budget Justifications, Budget-in-Briefs, Performance and Accountability Reports, and Summaries of Performance and Financial Information (also called the "Citizens" Report) are available on <http://www.osec.doc.gov/bmi/budget/>

Data Validation and Verification

"The FY 2014 Summary of Performance and Finance Information includes in the Secretary's Statement, an assessment of the reliability and completeness of the Department's performance data."

Lower-Priority Program Activities

"The President's Budget identifies the lower-priority program activities, where applicable, as required under the GPRA Modernization Act, 31 U.S.C. 1115(b)(10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget.>"

FY 2016 Annual Performance Plan / FY 2014 Annual Performance Report

Departmental Management

Part 1: Agency and Mission Information

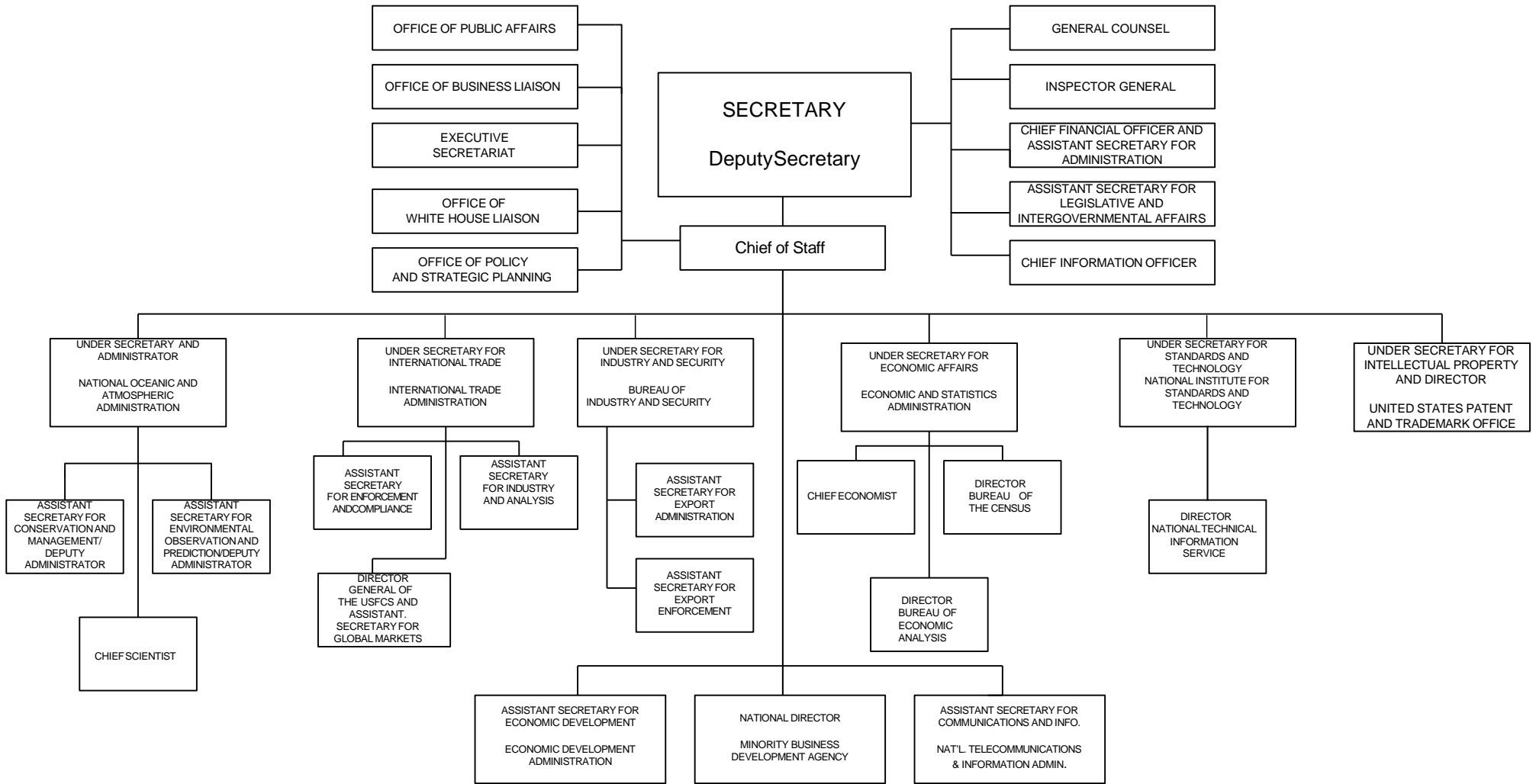
Section 1.1: Overview

Departmental Management (DM) develops and implements policy affecting U.S. and international activities as well as internal goals and operations of the Department. DM serves as the primary liaison with the executive branch and Congressional and private sector groups, and acts as the management and administrative control point for the Department. DM Operations and Administration develops and implements Departmental policies, coordinates bureau program activities to accomplish the Department's mission. . DM is located in the Herbert C. Hoover Building in Washington, D.C. with approximately 800 employees in either Washington, D.C. or in outlying offices in the Washington, D.C. suburbs.

Section 1.2: Mission Statement

The Department of Commerce creates the conditions for economic growth and opportunity by promoting innovation, entrepreneurship, competitiveness, and stewardship. The organizations that make up DM support the Office of the Secretary and support and monitor bureau and operating unit activities.

Section 1.3: Department of Commerce Organizational Structure



Part 2: Cross-Agency Priority Goals

Section 2.1: Overview

The Department of Commerce (DOC) is a key participant in Cross-Agency Priority (CAP) Goals. The Deputy Secretary is a Goal Leader in the Job-Creating Investment CAP Goal. The Department, along with the National Economic Council and the Department of State, are leading efforts to encourage foreign direct investment and spur job growth by improving Federal investment tools and resources while increasing interagency coordination. At the first SelectUSA Investment Summit in 2013, the President enhanced SelectUSA, creating a number of firsts. For the first time, there was a clear system for advocacy for high-priority, job-creating investments driven by senior Administration officials and a single point-of-contact for ready investors looking to bring jobs and production to the United States. The Administration engaged in unprecedented coordinated support for states and localities to attract investment. Other key contributing agencies to the Job-Creating Investment CAP Goal include the Small Business Administration, Department of Agriculture, Department of Homeland Security, and Export-Import Bank of the United States. Additional information is available at: <http://www.performance.gov/cap-goals-list?view=public>.

Part 3: Strategic Goals and Objectives

Section 3.1: Corresponding DOC Strategic Goals and Objectives

Trade and Investment: Expand the U.S. economy through increased exports and inward foreign investment that lead to more and better American jobs	
1.1. Increase opportunities for U.S. companies by opening markets globally	ITA, NOAA, NTIA, USPTO
1.2. Increase U.S. exports by broadening and deepening the U.S. exporter base	BIS, EDA, ESA, ITA, MBDA, OS
1.3. Increase high-impact inward foreign direct investment into the United States	EDA, ESA, ITA
1.4. Strengthen fair competition in international trade for U.S. firms and workers by addressing and resolving foreign unfair trade practices and enforcing international trade agreements	ITA
Innovation: Foster a more innovative U.S. economy—one that is better at inventing, improving, and commercializing products and technologies that lead to higher productivity and competitiveness	
2.1. Grow a more productive, agile, and high-value manufacturing sector through partnerships and collaborations that accelerate technology development and commercialization	NIST
2.2. Increase the capacity of U.S. regional economies to accelerate the production of value-added goods and services by providing services to and investments in businesses and communities	EDA, ESA, MBDA, NIST, USPTO
2.3. Strengthen the Nation's digital economy by championing policies that will maximize the potential of the Internet, expanding broadband capacity, and enhancing cybersecurity	NIST, NTIA, USPTO
2.4. Accelerate the development of industry-led skills strategies that result in a productive workforce for employers and high-quality jobs for workers	EDA, ESA, NIST, DM
2.5. Accelerate growth of innovation-intensive economic sectors by building public and private capacity to invent, improve, and commercialize new products and services	EDA, NIST, USPTO

Environment: Ensure communities and businesses have the necessary information, products, and services to prepare for and prosper in a changing environment	
3.1. Advance the understanding and prediction of changes in the environment through world class science and observations	NIST, NOAA
3.2. Improve preparedness, response, and recovery from weather and water events by building a Weather-Ready Nation	CENSUS, ESA, NOAA
3.3. Strengthen the resiliency of communities and regions by delivering targeted services to build capacity	EDA, ESA, NIST, NOAA
3.4. Foster healthy and sustainable marine resources, habitats, and ecosystems through improved management and partnerships	NOAA
3.5. Enable U.S. businesses to adapt and prosper by developing environmental and climate-informed solutions	ESA, ITA, NIST, NOAA
Data: Improve government, business, and community decisions and knowledge by transforming Department data capabilities and supporting a data-enabled economy	
4.1. Transform the Department's data capacity to enhance the value, accessibility and usability of Commerce data for government, business and the public.	CENSUS, ESA, NIST, NOAA, NTIS
4.2. Improve data-based services, decision-making, and data sharing within the Department and with other parts of the federal government	BIS, CENSUS, ESA, ITA
4.3. Collaborate with the business community to provide more timely, accurate, and relevant data products and services for customers	ESA, NOAA
Operational Excellence: Deliver better services, solutions, and outcomes that benefit the American people	
5.1. Strengthen organizational capabilities to drive customer-focused, outcomes-driven mission performance	OS, ALL BUREAUS

The DOC FY 2014-2018 Strategic Plan can be found at: <http://www.commerce.gov/blog/2014/03/10/departement-commerce-releases-fy-2014-2018-strategic-plan>. The specific priorities being led by DM are as follows:

Goal	Objective Number	Objective Name	Leader
Innovation: Foster a more innovative U.S. economy—one that is better at inventing, improving, and commercializing products and technologies that lead to higher productivity and competitiveness	2.4	Accelerate the development of industry-led skills strategies that result in a productive workforce for employers and high-quality jobs for workers	Tom Guevara , Deputy Assistant Secretary for Regional Affairs, Economic Development Administration; Kate McAdams , Senior Advisor to the Secretary, Departmental Management

Operational Excellence: Deliver better services, solutions, and outcomes that benefit the American people	5.1	Strengthen organizational capabilities to drive customer-focused, outcomes-driven mission performance.	Steven Cooper , Chief Information Officer, Departmental Management; Chris Heflin , Director of Performance Excellence, Departmental Management
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Section 3.2: Strategies for Objectives

Build a learning organization

Recruiting, developing, and retaining employees with the right skills and knowledge is critical for accomplishing the mission, improving employee satisfaction, and growing the next generation of leaders. The Department is committed to transforming itself into a learning organization—one that values learning as an ongoing creative process; continually develops, adapts, and transforms itself in response to changing conditions; and improves the core capabilities of its people at all levels, individually and collectively, to excel in serving customers and delivering results.

Commerce will design a framework that focuses on the key characteristics of a learning organization to drive excellence in all aspects of mission delivery: systems thinking, personal mastery, mental models, a shared vision, and team learning. The Department recognizes that technological capacity and senior leaders play a critical role in leading the transformation to a learning organization. Commerce will focus first on acquiring a learning management system that offers competency management functionality and designing a framework of knowledge and skills that are essential for all members of the Department’s Senior Executive Service (SES). The goal is to develop experienced, proactive leaders, who are able to drive strong workforce engagement and mission performance.

Create a 21st century IT infrastructure

Commerce depends on high-quality, reliable, and secure IT to carry out its mission. To create an IT infrastructure that enables development and manages vulnerabilities, the Department will design and implement an integrated Commerce-wide enterprise IT architecture. The new architecture will deliver mission and enterprise data anytime, anywhere through swift, seamless, and secure services on-demand to internal and external Commerce stakeholders. Key architecture principles will guide this effort from each of three viewpoints: mission, user, and technology. The end result will be an architecture that aligns mission needs, technology drivers, a common set of requirements for capabilities and services, and minimum standards for interoperability and cybersecurity. A federated roadmap will guide phased implementation of the architecture.

The Department also will develop and deploy a customer-driven set of IT shared services. The integrated enterprise IT architecture will “do in common that which is commonly done.” The Department’s CIO Council will engage customers in bureaus and offices to define shared services areas for commodity, business, and mission IT services. The collaboration will establish priorities for customer-service excellence, leadership, workforce, and culture change essential to achieve phased but pervasive implementation.

Manage for results

The Department plans to be on the leading edge of a newly-evolving management paradigm to drive results, requiring alignment to the Strategic Plan and its clearly defined goals, objectives, and measures of progress. Metrics will enable collaboration, empowerment, and learning at all levels because they provide specific guidance on what the organization is to accomplish. Regular review of these metrics will enable staff to identify and resolve emerging problems before they escalate and detrimentally affect mission delivery. Performance data on program, personnel, and resources will also be reviewed regularly. The metrics and performance data together will provide the evidence needed to develop ever more effective individuals, tactics, and strategies to optimize resource allocation decisions and deliver high-impact results.

Section 3.3: Progress Update for Strategic Objectives

DM must promote leading-edge technologies, collaboration, and technology transformation across the Department, ensuring alignment with mission requirements, goals, and objectives in order to deploy and maintain systems able to perform at the highest levels. The Department must have the capacity to do business with the public and its partner agencies, both as a significant worldwide enterprise, and as an integrated set of individual programs. This requires that it identify, adopt, and maintain business practices essential to successful operations; use its resources wisely; and effectively implement the laws that affect it. The Department has developed and implemented policies and programs designed to enable the successful operation of its units, effective and efficient use of both material and human resources, and implementation of laws and regulations that govern the use of those resources.

Achieving organizational and management excellence is a goal that requires extensive interaction and coordination among entities throughout the Department. DM—consisting of the Offices of the Secretary, Deputy Secretary, Chief Financial Officer and Assistant Secretary for Administration, Chief Information Officer, and General Counsel—provides the policies and guidelines that support the management infrastructure the Department needs to carry out its mission.

The Department identified BusinessUSA as one of its key activities that supports the Presidential Management Agenda Priority for Customer Service. BusinessUSA is recognized as a cost-efficient, citizen-centric service model. It connects and refers businesses to entrepreneurial assistance programs and services provided by all federal agencies and state, local, and other entities that are able to address their specialized business needs. It cuts through government bureaucracy by allowing online users and callers to navigate among all federal business resources from one central location. It is simple to use, enabling users to find business resources that can positively impact their growth and development. It delivers quick development and deployment (frequently meeting 30-60 day release cycles) of online tools, features, and services. BusinessUSA is constantly updating or publishing new online tools, resources, information, etc. every 30 to 60 days. Its technology minimizes duplication of content development through use of Application Programming Interfaces. For development, it recycles and reuses existing code. BusinessUSA shares its code for other federal agencies and state and local governments.

The Senior Procurement Executive and Director of the Office of Acquisition Management (OAM), who also serves as DOC's Suspending and Debarment Official (SDO), took the following actions toward building a more robust suspension and debarment (S&D) program:

- consulted other agency officials on their S&D programs and capabilities;
- collaborated with the Office of Inspector General (OIG) and Office of General Counsel (OGC) to develop a strong program that leverages DOC resources; and
- finalized a suspension and debarment policy on September 9, 2014 that includes procedures and internal controls based on OIG and OGC proposals and recommendations.

These efforts resulted in the establishment of a suspension and debarment case management tracker which is utilized at monthly meetings between OAM, OGC, and OIG. The Department is working to further enhance the program through training and the issuance of policies and procedures that provide a clear delineation of roles and responsibilities. The SDO took prompt action on all OIG S&D referrals and set up a central mailbox capability to ensure multiple access points and prompt attention to time sensitive correspondence. OAM inputs suspended/debarred contractors into the Excluded Parties List System in accordance with Federal Acquisition Regulation.

OAM continued expanding the capability of its data warehouse begun in FY 2013 using data management tools made available through OMB's Budget Formulation and Execution LoB, MAX. The Federal Procurement Data System Next Generation data was migrated into the data warehouse and daily updates are being executed. Increased data analysis capability was extended by summarizing operating unit level data points that provide small business goals and objectives. This reporting allows bureau procurement officers to support the Department's acquisition goals and, when necessary, take corrective action. Migration of C.Suite and other key acquisition systems data are underway.

OCIO implemented Multi- Protocol Label Switching, guaranteed bandwidth availability for key applications, improved performance with increased response time, and service offering spanning both national and international presence. OCIO also successfully migrated to cloud email services resulting in significant savings due to reduced licensing, infrastructure, and labor costs, while increasing access to messaging and collaboration tools, increasing user mailbox functionality, and securely supporting a variety of mobile devices including iPhones, Android devices, and iPads. OCIO deployed Enterprise Continuous Monitoring Operation agents to all OS, MBDA, ESA, and EDA-managed desktops, laptops, and servers that provide better situational awareness for asset, configuration, and vulnerability management across those bureaus. Finally, OCIO completed the "Servers Virtualization" project which transformed and modernized OS, MBDA, ESA, and EDA IT systems to control costs, reduce service interruptions, and maximize the efficiency and effectiveness of day-to-day IT operations while complementing the Federal Data Center Consolidation Initiative for reduced energy consumption and physical footprint in data centers.

The Partnership for Public Service ranked the Department the 2nd Best Place to Work in the Federal Government out of 19 large federal agencies in the 2014 rankings. While Commerce's ranking remained the same as in 2013, the Department's index increased by one percentage point. USPTO was ranked 2nd out of 314 agency subcomponents and exhibited a one percentage point index increase. The Best

Places to Work Index is calculated by using three questions from the annual Federal Employee Viewpoint Survey—(1) I recommend my organization as a good place to work; (2) How satisfied are you with your organization; and (3) How satisfied are you with your job.

DOC achieved the highest percentage of disabled veteran new hires over the past 21 years at 4.1% of all hires in FY 2014, an increase from 3.6% in FY 2013. Efforts to support Executive Order 13518, Employment of Veterans in the Federal Government, included: hiring students through the USPTO Student Patent Examiner Trainee-Veteran Internship Program and the Operation Warfighter Program; providing veterans preference and appointing authority training to HR specialists and hiring managers through the Commerce Learning Center; referring over 400 qualified disabled veteran resumes to hiring managers for consideration for 66 positions; and participating in career fairs and forums, including Recruit Military, the Service Academy Career Conference, Hiring Our Heroes, Military Officers Association of America, Military Job Opportunities, MEGA Diversity Job Fair, the UMUC “Call to Service” Job Fair, Virginia Military Institute Alumni Association activities, and U.S. Naval Academy events.

The Department convened the first Commerce SES Summit, which focused on engaging and empowering executives to achieve the Operational Excellence strategic goal. Over 300 members of the SES collaborated on identifying a shared mission, developing a values statement, and establishing core competencies for executive onboarding and continuous development to cultivate a stronger Commerce Federation for achieving the change agenda in the Department’s Strategic Plan. The Summit also resulted in establishing a more robust SES Community support network for increased camaraderie and collaboration. The Engage and Empower Working Group will continue to develop and implement value-related strategies for increasing engagement and enhancing the Commerce culture, as well as the executive onboarding training. A second SES Summit to continue engaging and empowering Commerce executives is planned for FY 2015.

Section 3.4: Next Steps

During FY 2013-2014, the Department-wide performance management system was significantly upgraded. The changes will facilitate a clear alignment between SES Performance Plans and the Department’s Strategic Plan. All Federal agencies published new strategic plans in March 2014. All plans are in the framework required by the GPRA Modernization Act of 2010 and the implementation of OMB rules and guidance. Consistent with the framework now required by GPRA, the new Commerce Strategic Plan has five goals. Strategic goals are supported by objectives and measurable indicators of progress toward the objectives. Each objective is supported by several key strategies.

The Department of Commerce FY 2014- 2018 Strategic Plan was deployed to the Commerce workforce through action plans for each objective. Although multiple Commerce bureaus will be working to accomplish almost all of the Strategic Objectives, each of the Strategic Objectives has one “owner.” The owner is the executive who will coordinate and monitor progress toward the objective for the entire Department. The strategies for each objective also typically involve more than one bureau. Therefore, action plans are made up of single bureau initiatives that support the strategies and each initiative is owned by a specific executive. The action plans, down to the initiative level, and quarterly status reports are posted on an Executive Dashboard. The Dashboard will be updated during 2015 and will be continuously available to management online.

The performance indicators for Strategic Objectives and supporting initiatives will be included in the performance plans of the owners. If an SES member does not own an initiative, their plan will include performance indicators that reflect their role in one or more initiative. However, there

are over 50 strategies and each has multiple initiatives. Many SES members will be the primary owner of an initiative and its associated indicators.

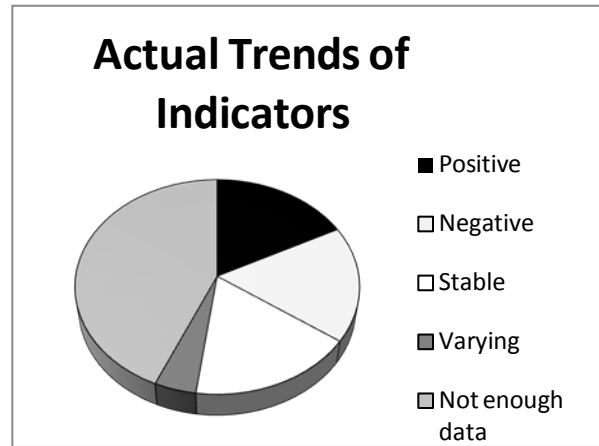
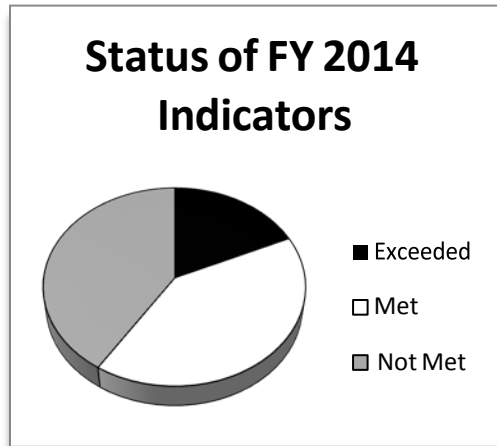
This mission-centered approach to tracking progress and creating clear accountability for results will include monitoring progress on Operational Excellence. The focus of the Operational Excellence element of the Strategic Plan is on workforce development, modernization of IT infrastructure, and moving performance management to a role-model level. Measures of progress in these areas will be included in SES Performance Plans.

Quarterly progress on the Strategic Plan Objectives, including results indicators, will be reviewed by the Department Management Council (DMC) and the Executive Management Team (EMT). Members of the DMC are the principal career managers of the bureaus. The EMT is the politically-appointed leadership. As required by OMB Circular A-11, progress toward objectives will also be assessed in-depth annually to identify any changes in strategy or tactics that would accelerate progress.

Apart from indicators directly aligned to the Department’s Strategic Plan, suites of performance indicators are reviewed by the councils of principal support professionals. Councils of bureau principal Human Resources, Finance, Acquisition, and IT managers review and are accountable for the performance of processes central to effective operations. Every quarter the respective councils review data on cycle-time, quality, cost, and outcomes of core processes. For instance, time to hire, the performance of IT security measures, and progress on strategic sourcing are reported and reviewed. These performance indicators are included in the support managers performance plans.

Part 4 Performance Goals / Indicators

Section 4.1: Summary of Performance



Status is based on the following standard:

Exceeded	More than 100 percent of target
Met	90 - 100 percent of target
Not Met	Below 90% of target

An indicator with a positive trend is one in which performance is improving over time while a negative trend is an indicator that has declining performance. A stable trend is one in which the goal is to maintain a standard, and that that is occurring. A varying trend in one in which the data fluctuates too much to indicate a trend. At a minimum these indicators must have three years of data.

Section 4.2: Summary of FY 2014 Indicator Performance

Objective 5.1: Operational Excellence: Deliver better services, solutions, and outcomes that benefit the American people

<u>Recurring</u>				
Indicator	Target	Actual	Status	Trend
Provide accurate and timely financial information and conform to federal standards, laws, and regulations governing accounting and financial management	Eliminate any repeat significant deficiency within 1 year of determination Complete FY 2014 A-123 assessment of internal controls	Eliminated one repeat significant deficiency out of two, added one additional significant deficiency. Completed FY 2014 A-123 assessment of Internal Controls	Not Met	Stable
Unmodified audit opinion	Unmodified	Unmodified	Met	Stable
For each administrative/business system, maintain compliance and alignment with OMB initiatives	Compliance	Maintained Compliance	Met	Not enough data
Dollars awarded using high-risk contracting authorities	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high-risk contracting authorities	\$279M	Met	Not enough data
Savings achieved through more effective acquisition practices (millions)	\$18.0	\$18.1	Exceeded	Not enough data
Demonstrate effective management of IT resources including cybersecurity	IT investments have cost/schedule overruns and performance shortfalls averaging less than 10% Continuous Monitoring – ongoing near real-time awareness and assessment of information security risks to support risk management decisions (95%) Strong Authentication – ensure only authorized employees have access to federal information systems following the HSPD-12 Personal Identity Verification standard (75%) Trusted Internet Connection Consolidation – consolidate external Internet traffic and ensure a set of common security capabilities (95%) Trusted Internet Connection Capabilities – ensure NOAA TIC service meets TIC 2.0 requirements (100%)	On average, for its major IT investments, the Department was within a 20% positive variance (under budget) and a 30% schedule variance. Enterprise Security Operations Center achieved functional initial operating capability on 9/25/2014. Current deployment of enterprise monitoring capability at 113% of projected deployment. Strong Authentication aggregated totals for non-privileged and privileged access is 72% as of 9/29/2014 which represents a 100% increase from FY 2013. TIC Consolidation 100% via MTIPS for all OUs except NOAA who is in process of establishing TICAP services. NOAA TIC 2.0 compliance at 87.5%, planned date to reach 100% is 9/30/2015. Security compliance reviews of all OUs and 22	Not Met	Stable
Employee Engagement Index (Positive score from Federal Employee Viewpoint Survey)	71%	70%	Met	Slightly Positive
Mission-Critical Occupation Staffing (Average deviation of populations from targets)	5%	5%	Met	Positive

Indicator	Target	Actual	Status	Trend
Permanent Attrition (rate of permanent employees that separated, excluding VERA/VSIP, RIF)	11%	7%	Exceeded	Stable
Hiring Timeline (Average number of calendar days to complete hiring actions)	80	TBD	TBD	Slightly negative
Candidate Quality (Percentage of managers saying referred applicants had skills to perform the job)	70%	63%	Met	Stable
Disability Hires (Percentage of new hires that have a disability)	9%	7.3%	Not Met	Negative
Veteran Hires (Percentage of new hires that are veterans)	15.2%	12.5%	Not Met	Negative
<u>Non-Recurring</u>				
Website - Number of Visits	850,464	992,313	Exceeded	Not enough data
Website - Customer Satisfaction - Experience with Service	70%	69%	Met	Not enough data
Website - Customer Impact - Ability to Find Useful Information	70%	70%	Met	Not enough data
Contact Center - Number of Calls	17,430	13,380	Not Met	Not enough data
Contact Center - Customer Satisfaction - Experience with Service	70%	58%	Not Met	Not enough data
Contact Center - Customer Impact - Ability to Find Useful Information	70%	55%	Not Met	Not enough data
Percentage of employees with approved Individual Development	27%	23%	Not Met	Negative
Number of participants trained via Commerce- wide Leadership Development	45	25	Not Met	Varying
Percentage of Commerce-wide Leadership Development program graduates promoted or selected for leadership position	20%	TBD	TBD	TBD
Leadership & Knowledge Management Index	66%	65%	Met	Slightly positive
Number of Human Capital Framework and Delegated Examining audits	10	9	Met	Not enough data
Total injury case rate – number of work-related injuries and illnesses per 100	1.02	0.8	Exceeded	Positive

Section 4.3 Detailed Indicator Plans and Performance

Current/Recurring Indicators

Indicators	A. Customer Contacts B. Customer Satisfaction – Experience with Service C. Customer Impact – Ability to Find Useful Information							
Description	BusinessUSA implemented six external performance indicators that focused on promotion of services, customer satisfaction, and customer impact in FY 2014. The goals for each of the indicators were based on FY 2013 data, analysis, and lessons learned. Beginning in FY 2015 and continuing through FY 2016, BusinessUSA will implement three refined external performance indicators to incorporate a multi-channel approach to assisting customers, tracking performance, and measuring impact. These indicators replace the six indicators used in FY 2014. The results of the six FY 2014 indicators are shown in the non-recurring indicators							
A. Customer Contacts								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target							935,510	1,029,061
Actual								
Status								
Trend	Directional indicator; Not enough data to determine a trend.							
B. Customer Satisfaction – Experience with Service								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target							70%	70%
Actual								
Status								
Trend	Maintain Standard indicator; Not enough data to determine a trend.							
C. Customer Impact – Ability to Find Useful Information								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target							70%	70%
Actual								
Status								
Trend	Maintain Standard indicator; Not enough data to determine a trend.							
Actions to be taken / Future Plans	BusinessUSA will be expanding its multi-channel services to assist customers. Subsequently, new measures have been constructed to account for the increase in service activities. Customer Contacts is a quantitative measure that will include: number of website visits, number of calls received (via toll free number), number of emails, number of chats, number of Twitter followers. BusinessUSA will continue to measure customer satisfaction and customer impact via surveys and feedback.							

	BusinessUSA will initiate an integrated content delivery strategy in FY 2015. This strategy will utilize a customer-centric approach to engage its target audience via social media communications.
Notes	Quantitative measure – A. Customer Contacts reflects a 10% stretch goal between FY 2015 and FY 2016
Validation and Verification	
Data Source	Contact Center IVR system, customer interaction, Google analytics tool, Twitter analytics tool, GovDelivery analytics tools, and 4Q online survey tool
Frequency	Quarterly
Data Storage	Data stored in a cloud-based solution
Internal Control Procedures	Quarterly validation process
Data Limitations	None
Actions to be Taken	Capture, analyze, and report initial activities; review findings and establish baseline

Indicator	Provide accurate and timely financial information and conform to federal standards, laws, and regulations governing accounting and financial management							
Description	This indicator ensures that the Department of Commerce is accountable to the American people, and that no Significant Deficiencies, formerly known as "Reportable Conditions," (i.e. deficiencies in the design or operation of internal controls) remain unaddressed. To determine if financial information is being provided in a timely and accurate manner, the Department will assess whether those individuals who can best use the information are receiving it within timeframes that render it relevant and useful in their day-to-day decisions							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	Eliminate any significant deficiency within 1 year of determination Complete FY 2009 A-123 assessment of internal controls	Eliminate any significant deficiency within 1 year of determination Complete FY 2010 A-123 assessment of internal controls	Eliminate any significant deficiency within 1 year of determination Complete FY 2011 A-123 assessment of internal controls	Eliminate any significant deficiency within 1 year of determination Complete FY 2012 A-123 assessment of internal controls	Eliminate any significant deficiency within 1 year of determination Complete FY 2013 A-123 assessment of internal controls	Eliminate any repeat significant deficiency within 1 year of determination Complete FY 2014 A-123 assessment of internal controls	Eliminate any repeat significant deficiency within 1 year of determination Complete FY 2015 A-123 assessment of internal controls	Eliminate any repeat significant deficiency within 1 year of determination Complete FY 2016 A-123 assessment of internal controls
Actual	One significant deficiency was not eliminated Completed FY 2009 assessments	One significant deficiency was not eliminated Completed FY 2010 assessments	Eliminated significant deficiency Completed FY 2011 A-123 Assessment	FY 2012 Audit identified one material weakness and one significant deficiency Completed FY 2012 A-123 assessment of internal controls	Eliminated the material weakness but two significant deficiencies remain Completed A-123 assessments	Eliminated one repeat significant deficiency out of two, added one additional significant deficiency Completed FY 2014 A-123 assessment of Internal Controls		
Status		Not Met	Met	Not Met	Not Met	Not Met		
Trend	Maintain standard indicator; Stable trend							
Explanation (if not met in FY 2014)	Eliminated the significant deficiency over management of NOAA property, however, added one as of result of EDA grants accrual as a result of FY 2014 Financial Statements Audit. The significant deficiency over IT security controls remained.							

Actions to be taken / Future Plans	The Department will continue to monitor the progress of corrective actions to ensure that they stay on track.
Validation and Verification	
Data Source	Consolidated financial statements and OIG reports
Frequency	Annual
Data Storage	Bureau or Department financial records
Internal Control Procedures	OIG audits
Data Limitations	None
Actions to be Taken	Continue to comply with Federal Financial Management Improvement Act of 1996

Indicator		Unmodified audit opinion							
Description	This indicator reflects the result of the Financial Statement Audit. The goal is to receive an “unmodified” audit opinion. There are several types of audit opinions: (1) unmodified, in which the Auditor concludes that the Financial Statements give a true and fair view in accordance with the financial reporting framework used for the preparation and presentation of the Financial Statements; (2) modified, in which Auditor encounters a situation that does not comply with generally accepted accounting principles, however the rest of the financial statements are fairly presented; and (3) disclaimer, which is issued when the Auditor cannot form, and consequently refuses to present, an opinion on the financial statements.								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	
Target					Unmodified	Unmodified	Unmodified	Unmodified	
Actual					Unmodified	Unmodified			
Status					Met	Met			
Trend	Maintain Standard indicator; Not enough data to determine a trend.								
Actions to be taken / Future Plans	The Department will continue to monitor the progress of corrective actions to ensure that they stay on track. It will also continue to conduct internal control assessments to help identify issues that may have an impact on the audit opinion early enough to correct them before they become audit findings								
Validation and Verification: No formal mechanism is in place. The unmodified audit is completed independently by outside financial auditors.									

Indicator		For each administrative / business system, maintain compliance and alignment with OMB initiatives							
Description	This indicator reflects the requirement to maintain compliance and alignment with OMB initiatives, including the guiding principles reflected in the OMB system modernization requirements (split projects into smaller, simpler segments with clear deliverables; focus on most critical needs first; and provide ongoing, transparent project oversight) data center consolidation requirements, and cloud computing requirements (Infrastructure as a Service; Software as a Service).								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	
Target					Compliance	Compliance	Compliance	Compliance	
Actual					Maintained compliance	Maintained compliance			

Status					Met	Met		
Trend	Maintain standard indicator; Not enough data to determine a trend.							
Actions to be taken / Future Plans	The BAS project intends to follow the shared service process as stated in OMB Memorandum M-13-08							
Notes	The BAS planning phase began in FY 2013							
Validation and Verification: The BAS project continues to support OMB Memorandum M-13-08, Improving Financial Systems Through Shared Services through its planning phase activities.								

Indicator Dollars awarded using high-risk contracting authorities								
Description	High-risk contracting authorities such as noncompetitive contracting, cost-reimbursement contracts, and time-and-materials and labor-hour contracts pose special risks of overspending. While these contract authorities are important tools when used appropriately, GAO and OIG oversight reviews indicate that they are often used without an appropriate basis or sufficient management and oversight to limit taxpayer risk. This element will measure the Department's progress in managing risk through reducing the use of high-risk contracting authorities.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target				Reduce by 10 percent the share of dollars obligated under new contract actions that are awarded with high-risk contracting authorities	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high-risk contracting	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high-risk contracting	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high-risk contracting	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high-risk contracting
Actual					\$228M	\$279M		
Status					Met	Met		
Trend	Maintain Standard indicator; Not enough data to determine a trend.							
Notes	DM starting tracking this in FY 2012, therefore, no significant trends have been developed. The only caveat is that the 10% reduction goal is based on FY 2009 spend levels and that is a constant/unchanging goal for FY 2010 and all subsequent FYs							
Validation and Verification								
Data Source	Federal Procurement Data System							
Frequency	Annual							
Data Storage	Federal Procurement Data System							
Internal Control Procedures	Quarterly independent verification and validation process							
Data Limitations	None							
Actions to be Taken	None							

Indicator Savings achieved through more effective acquisition practices (millions)								
Description	Sound acquisition practices help guard against inefficiency and waste and improve the ability to obtain quality supplies and services that are on time and within budget. There are many ways to achieve savings through more effective acquisition practices, including: ending contracts that do not meet program needs; negotiating more favorably priced contracts; developing more strategic acquisition approaches; and reengineering ineffective business processes. This element will measure the Department's progress in reducing spending through more effective acquisition practices.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target					\$18.0M	\$18.0M	\$18	\$18
Actual					\$29.0M	\$18.1M		
Status					Exceeded	Exceeded		
Trend	Maintain Standard indicator; Not enough data to determine a trend.							
Validation and Verification								
Data Source	DOC Procurement Data System							
Frequency	Annual							
Data Storage	DOC Procurement Data System							
Internal Control Procedures	Quarterly independent verification and validation process							
Data Limitations	Manual data collection process							
Actions to be Taken	None							

Indicator Demonstrate effective management of information technology resources including cybersecurity	
Description	<p>VALUE: The Department's significant annual investment in IT solutions and assets requires careful management and monitoring. Through the use of Earned Value Management and Operational Analysis systems in the development and/or operational phases are monitored to ensure the required functionality is delivered on schedule and at the cost projected. Program offices regularly report on the progress and status of their efforts against the cost, schedule, and performance goals. DOC has changed the wording of this measure from "Improve the management of information technology," to better reflect an objective measure as opposed to a goal.</p> <p>In addition to the above, and beginning in FY 2015 we will focus on the delivery and measurement of achieved functionality, which then represents the value delivered to our customers and stakeholders.</p> <p>CYBER: The successful implementation of each program critical to the Department's missions depends on the adequacy and security of the Department's IT systems. If systems security were to be compromised, the effective accomplishment of the Department's mission would be in jeopardy. To ensure that these systems are adequately protected, Security Accreditation requirements have been established, following the NIST guidance for federal agencies. This accreditation provides the necessary assurance that an information system can securely process, store, or transmit information that is required and represents the complete testing of all management, operational, and technical controls that protect a system. These controls are documented in the Department's security plan. By approving the plan, the system owner warrants that the existing controls provide adequate protection</p>

A compliance review process for continuous security monitoring, vulnerability assessment and remediation, and IT security workforce improvement has been established to ensure adequate security.

In addition to the above, the OCIO will begin to monitor and measure the Department's cybersecurity posture. In FY 2015 we will begin to evaluate, through actual use, measures which can serve as indicators of the risk to which the Department is exposed through cyber threats and vulnerabilities. Our goal is to develop a risk index, which will serve as an indicator of the state of the Department's overall cyber risk profile and posture.

	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	<p>Cost/schedule overruns /performance shortfalls less than 10%</p> <p>All national- critical & mission-critical systems certified and accredited with acceptable, quality documentation in place</p>	<p>IT investments have cost/ schedule overruns and performance shortfalls averaging less than 10%</p> <p>Perform IT security compliance review of all operating units, and 10 FISMA systems in CSAM</p> <p>Deploy an enterprise-wide role-based cybersecurity training program Deploy national security and emergency initial operating capability</p>	<p>IT investments have cost/ schedule overruns and performance shortfalls averaging less than 10%</p> <p>Perform IT security compliance review of all operating units, and 10 FISMA systems in CSAM</p> <p>Increase security training completion rate to 80% for privileged users (role-based) Deploy 80% of the required NCS D 3-10 communications capabilities.</p> <p>Expand cyber intelligence communications channel to all operating unit Computer Incident Response Teams.</p>	<p>All investments within 10% of cost and schedule.</p> <p>Performed IT Security Compliance reviews</p> <p>Increased security training completion rate to 80% for privileged users (role-based).</p> <p>Deployed 80% of the required NCS D 3-10 Communications capabilities.</p> <p>Expand cyber intelligence communications channel to all operating unit Computer Incident Response Teams.</p>	<p>IT investments have cost /schedule overruns and performance shortfalls averaging less than 10%.</p> <p>Percentage of systems in production with valid Accreditation and Authorization (A&A) is 100%</p> <p>Perform IT Security compliance review of all OUs and 30 assessments</p> <p>Percentage of moderate / high impact systems with "top 5" security controls fully implemented is 100%</p>	<p>IT investments have cost /schedule overruns and performance shortfalls averaging less than 10%.</p> <p>Continuous Monitoring – ongoing near real-time awareness and assessment of information security risks to support risk management decisions (95%)</p> <p>Strong Authentication - ensure only authorized employees have access to federal information systems following the HSPD-12 Personal Identity Verification standard (75%)</p> <p>Trusted Internet Connection Consolidation – consolidate external Internet traffic and ensure a set of common security capabilities (95%)</p> <p>Trusted Internet Connection Capabilities – ensure NOAA TIC</p>	<p>IT investments have cost /schedule overruns and performance shortfalls averaging less than 10%.</p> <p>Continuous Monitoring – ongoing near real-time awareness and assessment of information security risks to support risk management decisions (95%)</p> <p>Strong Authentication - ensure only authorized employees have access to federal information systems following the HSPD-12 Personal Identity Verification standard (75%)</p> <p>Trusted Internet Connection Consolidation – consolidate external Internet traffic and ensure a set of common security capabilities (95%)</p> <p>Trusted Internet Connection Capabilities – ensure NOAA TIC service meets TIC 2.0 requirements (100%)</p>	<p>DM will be refining the existing measures for FY 2016 to reflect our new focus on Value Delivery and Cyber Risk Assessment</p>
Actual	Cost/ schedule overruns and performance shortfalls	IT investments had cost/ schedule overruns and	All IT investments within 10% of cost and schedule	75% of major IT investments had cost/schedule overruns	On average, for its major IT investments in the development	On average, for its major IT investments, the		

	<p>averaged under 10%</p> <p>CSAM & C&A enhancements were deployed</p> <p>IT security compliance in all operating units and five FISMA systems in CSAM were reviewed</p>	<p>performance shortfalls averaging less than 10%</p> <p>Completed security and vulnerability assessments for all operating units. Submitted findings and recommendations to operating units and OCIO for review.</p> <p>Implemented Cyber Security Development Program and graduated 20 candidates from the Department's first class.</p> <p>Enrolled candidates in the program's second class. More than 8 candidates have obtained or are planning to obtain security related certifications.</p> <p>Deployed National Security and Emergency Network in the development environment. Received official approval to connect from Defense Intelligence Agency.</p>	<p>Perform IT Security Compliance reviews</p> <p>89% completion rate of security training for privileged users (role-based).</p> <p>NCS D 3-10 did not receive funding</p>	<p>and performance shortfalls averaging less than 10%</p> <p>Completed 29 security assessments. Conducted IT security compliance checks of all Department operating units and in-depth internal control review meetings with five selected operating units as part of the Department's IT internal control review program.</p> <p>Trained Authorizing Officials and System Owners throughout the Department with quarterly workshops.</p> <p>Achieved greater than 85% of required security training for privileged users (role-based).</p> <p>The Department is currently at 50%. Required equipment and systems are installed at the Herbert C. Hoover Building. Deploying classified connectivity to all outside bureau</p>	<p>stage, the Department achieved its cost target of being within 10% variance (under budget) and was within a 25% schedule variance.</p> <p>99% of systems in production with valid Accreditation and Authorization (A&A) Conducted IT</p> <p>Security compliance review of all OUs and 34 assessments</p> <p>Implemented 100% of moderate / high impact systems with "top 5" security controls</p>	<p>within a 20% positive variance (under budget) and was within a 30% schedule variance.</p> <p>Enterprise Security Operations Center achieved functional initial operating capability on 9/25/2014. Current deployment of enterprise monitoring capability at 113% of projected deployment.</p> <p>Strong Authentication aggregated totals for non-privileged and privileged access is 72% as of 9/29/2014 which represents a 100% increase from FY2013.</p> <p>TIC Consolidation 100% via MTIPS for all OUs except NOAA who is in process of establishing TICAP services.</p> <p>NOAA TIC 2.0 compliance at 87.5%, planned date to reach 100% is 9/30/2015.</p> <p>Security compliance reviews of all OUs and</p>		
Status	Met	Met	Met	Met	Met	Not Met		
Trend	Maintain Standard indicator; Stable trend							
Explanation (if not met in FY 2014)	Strong Authentication - DOC OUs continued to prioritize implementation of logical access to DOC networks, but continued to meet some roadblocks due to the largely federated nature within DOC, and within larger DOC Operating Units (OUs) like NOAA, ITA, and PTO. Further, many of the smaller OUs struggled with the needed IT resources, staffing, and expertise needed for implementation. NOAA has made significant progress in TIC 2.0 compliance and adjusted target completion date to meet 100% compliance is 9/30/2015.							
Actions to be taken / Future Plans	VALUE: Beginning in FY 2015, we will focus on the delivery and measurement of achieved functionality, which then represents the value delivered to our customers and stakeholders. We intend to develop and use a measure focused on the value delivered by our IT investments, as defined by our customers, with measurement beginning no earlier than 90 days after 'go live.'							
Adjustments to targets	In FY 2014, three parts of this indicator were replaced by four new parts that better reflect the work of the program.							
Information Gaps	We have no data yet for our new indicator for value delivered. We will begin data collection in FY 2015 to formulate a baseline.							

Validation and Verification	
Data Source	Bureau IT offices
Frequency	Annual
Data Storage	Bureau IT offices, bureau files, and DM CIO files
Internal Control Procedures	Departmental and outside reviews by GAO, OMB, contractors, IT research organizations, and various universities
Data Limitations	None
Actions to be Taken	Review bureau processes to assess need for action; review security certification and accreditation packages for completeness and conformance with National Institute of Standards and Technology SP 800-53

Indicators – Budget Submission

- A. Employee Engagement Index
- B. Inclusion Index
- C. Mission-Critical Occupation Staffing
- D. Permanent Attrition
- E. Hiring Timeline
- F. Candidate Quality
- G. Disability Hires
- H. Veteran Hires

Description These indicators represent a combination of measures focusing on strategic recruitment and retention, and the Department's efforts to achieve and maintain an inclusive, engaged, and productive workforce. These indicators permit a comprehensive assessment of the Department's efforts to strategically manage its human capital. Such an assessment is critical to ensure that the workforce contains the necessary skill sets to carry out the Department's mission.

A. Employee Engagement Index (Positive score from Federal Employee Viewpoint Survey)								
	FY 2009	FY 2010	FY 2011	FY	FY 2013	FY 2014	FY 2015	FY 2016
Target						71%	71%	72%
Actual		69%	70%	70%	70%	70%		
Status						Met		
Trend	Maintain Standard indicator; Slightly positive trend; Some variance							

Validation and Verification	
Data Source	OPM Federal Employee Viewpoint Survey (FEVS)
Frequency	Annual
Data Storage	OPM FEVS
Internal Control Procedures	3-month data review and report preparation
Data Limitations	None
Actions to be Taken	None

B. Inclusion Index (Positive score from Federal Employee Viewpoint Survey(FEVS))								
	FY 2009	FY 2010	FY 2011	FY	FY 2013	FY 2014	FY 2015	FY 2016

Target							66%	67%
Actual					64%	65%		
Status								
Trend	Not enough data.							
Notes	Item first tracked in the 2013 FEVS							
Validation and Verification								
Data Source	OPM FEVS							
Frequency	Annual							
Data Storage	OPM FEVS							
Internal Control Procedures	3-month data review and report preparation							
Data Limitations	None							
Actions to be Taken	None							
C. Mission-Critical Occupation (MCO) Staffing (Average deviation of populations from targets)								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target						5%	5%	5%
Actual					10%	5%		
Status						Met		
Trend	Not enough data.							
Adjustments to targets	FY 2014 includes additional MCOs due to the new Agency Priority Goal on eliminating overfishing.							
Notes	An average 5% deviation from a given target equates to a staffing level of 95% to 105% of what would be the 100% target. An average deviation of 10% (or 90% to 110% of what would be the 100% target) is considered met for the purposes of this report. In HRstat, an average deviation of 10% is considered "almost met."							
Validation and Verification								
Data Source	National Finance Center (NFC) database							
Frequency	Quarterly							
Data Storage	NFC database							
Internal Control Procedures	Quarterly DOC data review							
Data Limitations	None							
Actions to be Taken	None							
D. Permanent Attrition (rate of permanent employees that separated, excluding VERA/VSIP, RIF)								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target					11%	11%	11%	TBD
Actual					6%	7%		
Status					Exceeded	Exceeded		
Trend	Not enough data							

Validation and Verification								
Data Source	NFC database							
Frequency	Quarterly							
Data Storage	NFC database							
Internal Control Procedures	Quarterly DOC data review							
Data Limitations	None							
Actions to be Taken	None							
E. Hiring Timeline (Average number of calendar days to complete hiring actions)								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target		80	80	80	80	80	65	65
Actual		105	83	84	103	TBD		
Status		Not Met	Met	Met	Not Met	TBD		
Trend	Maintain Standard indicator; Slightly negative trend; Variability in trendline							
Explanation (if not met in FY 2014)	TBD							
Actions to be taken / Future Plans	A comprehensive HRstat Metrics Reassessment was conducted in 2014. The indicator is now called "Hiring Timeline" and will be internally tracked from steps 1 to 10 rather than steps 1 to 11, excluding the entrance on duty step that is under the control of the applicant and/or their previous employer. The DOC standard for steps 1-10 of the 11-day model is 65 days.							
Adjustments to targets	Target changed from 80 days for 11 steps to 65 days for 10 steps as described above.							
Validation and Verification								
Data Source	Servicing HR Office (SHRO) Hiring Action Tracking Systems							
Frequency	Quarterly							
Data Storage	SHRO Hiring Action Tracking Systems							
Internal Control Procedures	Quarterly DOC data review							
Data Limitations	None							
Actions to be Taken	None							
F. Candidate Quality (Percentage of managers saying referred applicants had skills to perform the job)								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target						70%	70%	70%
Actual					62%	63%		
Status						Met		
Trend	Not enough data							

Validation and Verification								
Data Source	OPM CHCO Council's Manager Satisfaction Survey							
Frequency	Quarterly							
Data Storage	OMB MAX							
Internal Control Procedures	Quarterly DOC data review							
Data Limitations	None							
Actions to be Taken	None							
G. Disability Hires (Percentage of new hires that have a disability)								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target						9.0%	10%	TBD
Actual					12.3%	7.3%		
Status						Not Met		
Trend	Not enough data to determine trend.							
Explanation (if not met in FY 2014)	Of the 14 bureaus/OUs, 8 met the goal. The two bureaus that exhibited hiring volumes in the thousands were among those that fell below the goal and accounted for 78% of all Commerce hires. Disability hiring will continue to be monitored on a quarterly basis.							
Adjustments to targets	Annual targets are based upon the FY11 Recruiting, Hiring, and Retaining People with Disabilities Operational Plan, covering FY11-15.							
Validation and Verification								
Data Source	NFC database							
Frequency	Quarterly							
Data Storage	NFC database							
Internal Control Procedures	Quarterly DOC data review							
Data Limitations	None							
Actions to be Taken	None							
H. Veteran Hires (Percentage of new hires that are veterans)								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target						15.2%	15.2%	TBD
Actual					13.4%	12.5%		
Status						Not Met		
Trend	Not enough data to determine a trend.							
Explanation (if not met in FY 2014)	Of the 14 bureaus/OUs, 8 met the goal. The two bureaus that exhibited hiring volumes in the thousands were among those that fell below the goal and accounted for 82% of all qualifying Commerce hires. Veteran hiring will continue to be monitored on a quarterly basis.							
Adjustments to targets	Annual targets are based upon a previous average for the group of agencies with populations of 20,000 to 100,000, as established by the President's Council on Veteran Employment.							

Validation and Verification	
Data Source	NFC database
Frequency	Quarterly
Data Storage	NFC database
Internal Control Procedures	Quarterly DOC data review
Data Limitations	None
Actions to be Taken	None

Non-Recurring Indicators

Indicators Information

Description	In FY 2014, BusinessUSA implemented six external performance indicators that focused on promotion of services, customer satisfaction, and customer impact in FY 2014. The goals for each of the measures were based on FY 2013 data, analysis, and lessons learned. These indicators were discontinued at the end of FY 2014, replaced by three new indicators beginning FY 2015, using refined external performance indicators to incorporate a multi-channel approach to assisting customers, tracking performance, and measuring impact.
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Website - Number of Visits						
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target						850,464
Actual						992,313
Status						Exceeded

Website - Customer Satisfaction - Experience with Service						
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target						70%
Actual						69%
Status						Met

Website - Customer Impact - Ability to Find Useful Information						
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target						70%
Actual						70%
Status						Met

Contact Center - Number of Calls						
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target						17,430
Actual						13,380
Status						Not Met
Explanation (if not met in FY 2014)	The goal included target estimates that would be generated through the inclusion of other federal partners in FY 2014. BusinessUSA successfully partnered with ITA in Q4 FY 2014 for contact center services but could not initiate services until Q1 FY 2015.					

Contact Center - Customer Satisfaction - Experience with Service						
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target						70%
Actual						58%
Status						Not Met
Explanation (if not met in FY 2014)	Result inconclusive. Sampling size was too low due to contractual limitations. Only 2% of all contact center callers were invited to participate in survey.					

Contact Center - Customer Impact - Ability to Find Useful Information						
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target						70%
Actual						55%
Status						Not Met
Explanation (if not met in FY 2014)	Result is inconclusive. Sampling size was too low due to contractual limitations. Only 2% of all contact center callers were invited to participate in survey.					

Indicator	Percentage of employees with approved Individual Development Plans					
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target					28%	27%
Actual					25%	23%
Status					Met	Not Met
Trend	Maintain standard indicator; Not enough data to determine a trend.					
Explanation (if not met in FY 2014)	While the percentage of employees that have an IDP has decreased by 2 percentage points, the percentage that do not have an IDP and would rather not have one has increased by 2 percentage points. 40% of employees continue to respond that they are unsure what an IDP is.					

Indicator	Number of participants trained via Commerce-wide Leadership Development programs					
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target	50-60	50-70	100-200	100-200	65	45
Actual	100	57	90	162	92	25
Status	Exceeded	Met	Not Met	Met	Exceeded	Not Met
Trend	Variable Indicator; Huge variance					
Explanation (if not met in FY 2014)	Only one leadership development program was administered during FY 2014 which had a maximum capacity of 30 participants.					

Indicator	Percentage of Commerce-wide Leadership Development program graduates promoted or selected for leadership position					
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target					5%	20%
Actual					19%	TBD
Status					Exceeded	TBD
Trend	Directional Indicator; Not enough data to determine a trend.					

Indicator	Leadership & Knowledge Management Index					
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target						66%
Actual		64%	65%	65%	65%	65%
Status						Met
Trend	Maintain standard indicator; Slightly positive trend; Some variance					

Indicator	Number of Human Capital Framework and Delegated Examining audits conducted					
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target					5	10
Actual					12	9
Status					Exceeded	Met
Trend	Maintain standard indicator; Not enough data to determine a trend.					

Indicator	Total injury case rate – number of work-related injuries and illnesses per 100 employees					
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target					1.03	1.02
Actual		1.71	1.38	1.04	0.84	0.8
Status					Exceeded	Exceeded
Trend	Directional Indicator; Positive trend; Little variance					

Part 5: Other Indicators

Indicator		Veteran 2-Year Retention (difference between % of veterans retained and % of non-veterans retained)						
Description	As established by the President’s Council on Veteran Employment, the indicator tracks the percentage of all non-student, permanent, full-time veteran hires hired within the past 9 quarters that were still onboard or remained onboard for at least 730 days, as compared to the similar non-veteran population for the same period of time.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Actual						-4.2%		
Notes	First reviewed in 2014. In FY 2014, 84.6% of veteran hires were retained over the past two years, compared to 88.8% of non-veteran hires.							

Indicator		3R’s (% of spending cap used for employee incentives and awards)						
Description	The 3R’s indicator tracks annual spending on recruitment, retention, relocation, and performance awards for SES and non-SES employees against their applicable spending caps. Tracking spending ensures that the Department optimally utilizes the limited funding for incentives and awards to effectively recruit, retain, reward, and engage employees.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Actual						TBD		
Notes	Spending caps tracked for the calendar year rather than the fiscal year.							

The following indicators are currently being developed. DM anticipates that they will be completed for the FY 2017 Congressional Budget submission.

- Score on the Employee Engagement Index of the Federal Employee Viewpoint Survey (FEVS)
- Score on the Inclusion Index of the FEVS
- Number of core systems with customer feedback elements.
- Score on the Results-Oriented Performance Culture Index of the FEVS
- Number of technology enabled collaborative spaces (e.g., properly equipped conference rooms, video teleconferencing, managed print services)
- Percentage score on FISMA rating scorecard
- Percentage of services provided through a shared service provider

Part 6: Agency Priority Goals

DM does not have any Agency Priority Goals

Part 7: Resource Requirements Table

	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Estimate	FY 2016 Base	Increase / Decrease	FY 2016 Request
Objective 5.1: Strengthen organizational capabilities to drive customer-focused, outcomes-driven mission performance.										
Total Funding										
Direct	52.8	57.9	57.5	56.2	51.1	55.5	56.0	61.5	9.5	71.0
Reimbursable										
Total	52.8	57.9	57.5	56.2	51.1	55.5	56.0	61.5	9.5	71.0
Total FTE	164	179	173	151	155	152	156	156	3	159

Part 8: Other Information

Section 8.1: Major Management Priorities, Challenges, and Risks

Through implementing a Performance Management System designed to meet both the needs of the Secretary and Executive Management Team and the intent of the GPRA Modernization Act of 2010, DM has worked to break down silos and strengthen the use performance and evaluation data to identify risks, facilitate collaborative problem-solving, make evidence-based budgetary and programmatic decisions, and improve mission delivery.

The Department continues to strengthen leadership skills through enhanced leadership development programs and training needs assessments to address competencies for mission-critical occupations. The results of these efforts will be used to refine and evaluate training and development plans to maintain appropriate levels of critical workforce skill sets. Implementation of the Federal Equal Opportunity Recruitment Program and Disabled Veterans Affirmative Action Program plans continues to be another important priority. The Department has developed these plans in order to sustain existing diversity in the Commerce workforce and to continue progress towards increasing the representation of minority and disabled candidates in applicant pools. Information security is another critical issue, and the Department continues its focus on implementing effective certification and accreditation practices for the IT systems that support the Department's work.

The Department's efforts are likewise focused on the effective use of competitive sourcing and on furthering the public's electronic access to the Department's products and services. With Commerce spending approximately \$3 billion of its budget through contracts, effective acquisition management is fundamental to the Department's ability to accomplish its mission.

The Department is working to develop more effective processes for performing major systems acquisitions by integrating the program management capabilities within the Department. The new process will be implemented through a shared framework with clearly identified and substantiated decision points for major programs that is scalable to all programs and projects within the Department. The measures associated with the DM performance goals, noted above, reflect these challenges and priorities.

Section 8.2: Cross-Agency Collaborations

From its inception, the Department's FY2014-2018 Strategic Plan was designed to promote cross-agency collaboration. Each of the five Strategic Goals involves contributions from multiple agencies to succeed and the Operational Excellence Strategic Goal applies to DM and all bureaus. Cross-bureau strategic goal teams have been established to execute, monitor, evaluate, and improve progress towards achieving the Department's Strategic Objectives. Within DM, the Office of Policy and Strategic Planning (OPSP) and the Office of Performance, Evaluation, and Risk Management (OPERM) work together to support the Department's executive team with administering the Department's Performance Management System across the headquarters and bureaus.

Within DM, the OCIO is fully engaged in the Federal Data Center Consolidation (FDCCI) Initiative and has active membership on the FDCCI Task Force. OCIO is also represented on the Digital Government Strategy Working Group and is working with the Office of Management and Budget to contribute to and leverage lessons learned in the delivery of the Department's first two milestones. OCIO has engaged with the Department of Justice to have them host the Cyber Security Assessment and Management system as a Software as a Service (SaaS) solution, and OCIO has also engaged GSA to have them host the Electronic Capital Planning and Investment Control system, also as an SaaS solution. Both of these have already been completed and are in full production use.

Section 8.3: Evidence Building

Overall, the Department is working to strengthen its culture of evidence-based decision-making. This was demonstrated during the development of the Department's FY2014-2018 Strategic Plan which was informed by a broad array of stakeholder input, research, evidence, and evaluation and summarized next steps efforts to build evaluation capacity and future evaluations. DM is also leading efforts to strengthen the use of evidence and evaluation by identifying focus areas for program evaluation and refinement of performance indicators under each strategic goal.

Within the Department, the Commerce Information Technology Review Board (CITRB) is the mechanism used to assess the health and performance of all IT investments by identifying wasteful, duplicative, or low-value investments and driving the IT budget formulation and execution process as mandated by the Clinger Cohen Act of 1996. The CITRB acts as a board of directors and provides advice to the Secretary and Deputy Secretary on critical IT matters. The board oversees IT project, program and portfolio reviews and approves requests for Information Technology Investment Authority prior to contract awards for IT services. Additionally, the CITRB conducts TechStat Accountability Reviews to

address critical and/or significant problems with investment initiatives. The CITRB ensures that sound investment criteria, project management methodologies, risk management frameworks and strong cyber security measures are in place to provide the greatest return on investment (ROI) for the taxpayer dollar.

Section 8.4: *Hyperlinks*

The FY 2015 Congressional Justifications (including each bureau Annual Performance Plan/Report) and past PARs, Citizens' Reports, Strategic Plans and Congressional Justifications are available via the Department of Commerce website at: <http://www.osec.doc.gov/bmi/budget/>. The FY 2016 Congressional Justifications will appear on the Departmental website shortly after the Congressional Budget is released.

Section 8.5: *Data Validation and Verification*

The FY 2014 Summary of Performance and Finance Information includes in the Secretary's Statement an assessment of the reliability and completeness of the Department's performance data.

Section 8.6: *Lower-Priority Program Activities*

The President's Budget identifies the lower-priority program activities, where applicable, as required under the GPRA Modernization Act of 2010, 31 U.S.C. 1115(b)(10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget/>.

FY 2016 Annual Performance Plan Bureau of Industry and Security

Part 1: Agency and Mission Information

Section 1.1: Overview

The mission of the Bureau of Industry and Security (BIS) is to advance U.S. national security, foreign policy, and economic objectives by ensuring an effective export control and treaty compliance system and promoting continued U.S. strategic technology leadership.

The BIS headquarters is located in Washington D.C, with ten regional offices in Staten Island, NY; Boston, MA; Fort Lauderdale, FL; San Jose, CA; Herndon, VA; Oakbrook Terrace, IL; Irvine, CA (two offices); Irving, TX; and Houston, TX. BIS has currently seven Export Control Officers (ECOs) that are located in China (two ECOs), Hong Kong, India, Russia, Singapore, and the United Arab Emirates (UAE).

Section 1.2: Mission Statement

The BIS mission is closely aligned with, and supports, the following Department of Commerce Strategic Objective:

Trade and Investment:

- Increase U.S. exports by broadening and deepening the U.S. exporter base¹
 - Implement an effective export control reform program to advance national security and overall economic competitiveness.

Primary BIS Activities:

Maintain and strengthen an adaptable, effective U.S. export control and treaty compliance system: BIS administers and enforces controls on exports and reexports of dual-use items (i.e., those having a commercial and potential military or proliferation application) and various military items to counter proliferation of weapons of mass destruction (WMD), prevent destabilizing accumulations of conventional weapons, combat terrorism, and pursue other national security and foreign policy goals.

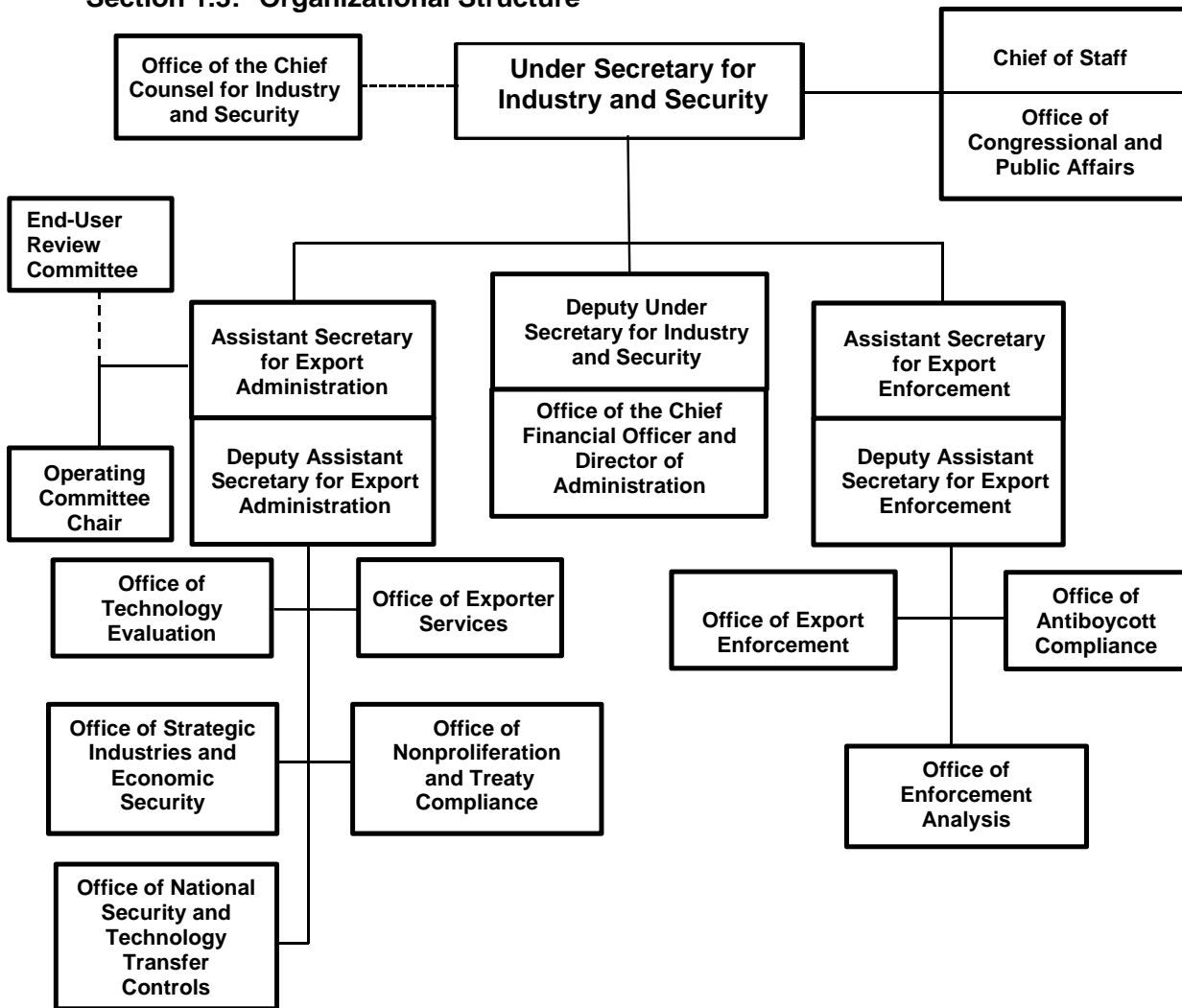
Integrate non-U.S. actors to create a more effective global export control and treaty compliance system: The effectiveness of U.S. export controls is enhanced by strong controls in other nations that export or transship sensitive goods and technologies. BIS works to improve the participation and compliance of existing members of multilateral export control regimes and cooperates with other countries to

¹ The President's Export Control Reform Initiative is fundamentally a national security effort intended to achieve greater regulatory efficiency and rationality, and focus controls on the most significant items and destinations – higher fences around the most sensitive items. A key element of the reform is moving tens of thousands of items – mostly parts and components – from the U.S. Munitions List to the more flexible Commerce Control List. The move will enable more nuanced distinctions among technologies, destinations, and end users than under the State Department's International Traffic in Arms Regulations. This will strengthen the U.S. defense industrial base by removing incentives for foreign manufacturers to avoid U.S. parts and components. U.S. exporters of such items, particularly small and medium-sized firms, will be more competitive.

help them establish effective export control programs. As part of policy formulation and implementation toward key trading partners and transshipment countries, BIS utilizes an end-use visit program.

Ensure continued U.S. technology leadership in industries that are essential to national security: BIS works to ensure that the U.S. remains competitive in industry sectors and sub-sectors critical to national security. To this end, BIS analyzes the impact of export controls and trade policies on strategic U.S. industries, administers the Federal Government’s Defense Priorities and Allocations System, reports on the impact of defense trade offsets, and evaluates the security impact of certain proposed foreign investments in U.S. companies.

Section 1.3: Organizational Structure



Part 2: Cross-Agency Priority Goals

BIS is not a leader of or a participant in any Cross-Agency Priority Goals.

Part 3: Strategic Goals and Objectives

Section 3.1: Corresponding DoC Strategic Goals and Objectives

Goal	Objective Number	Objective Name	Leader
Trade and Investment	1.2	Increase U.S. exports by broadening and deepening the U.S. exporter base ²	Stefan Selig, Under Secretary for International Trade

Rationale

This objective is important to the nation as it focuses on advancing U.S. national security and economic interests by reforming and enhancing the efficiency of the export control system, preventing illegal exports and identifying violators of export prohibitions and restrictions for prosecution, enhancing the export and transit control systems of nations that lack effective control arrangements, ensuring U.S. industry compliance with the Chemical Weapons Convention (CWC) Agreement, and undertaking a variety of functions to support the viability of the U.S. defense industrial base.

The Department continues to face the task of advancing U.S. foreign policy and security goals while addressing viable opportunities to preserve the U.S. defense industrial base. The Department's success in reconciling these imperatives stems from its ability to integrate efforts to support the President's national security and foreign policy goals while ensuring profitable markets for U.S. goods and services.

BIS supports this objective by controlling the export, reexport, and transfer of commodities, software and technology subject to the Export Administration Regulations (EAR) to protect U.S. national security, advance U.S. foreign policy, and support U.S. economic competitiveness. BIS effectively administers the dual-use export control system, and munitions items transferred from the U.S. Munitions List (USML) to the new 600-Series Commerce Control List (CCL) by: (1) writing and promulgating regulations; (2) processing license applications; (3) enforcing U.S. laws and regulations; (4) conducting outreach to exporters; and (5) strengthening the export control systems of other countries. These measures increase interoperability with our Allies and strengthen the U.S. defense industrial base by reducing incentives for foreign manufactures to design out and avoid using U.S. parts and components.

In addition, BIS supports the U.S. industrial base by assessing the viability of key sectors of the defense industrial base, and assuring the timely availability of industrial

² The President's Export Control Reform Initiative is fundamentally a national security effort intended to achieve greater regulatory efficiency and rationality, and focus controls on the most significant items and destinations – higher fences around the most sensitive items. A key element of the reform is moving tens of thousands of items – mostly parts and components – from the U.S. Munitions List to the more flexible Commerce Control List. The move will enable more nuanced distinctions among technologies, destinations, and end users than under the State Department's International Traffic in Arms Regulations. This will strengthen the U.S. defense industrial base by removing incentives for foreign manufacturers to avoid U.S. parts and components. U.S. exporters of such items, particularly small and medium-sized firms, will be more competitive.

resources to meet national defense and emergency preparedness requirements.

Section 3.2: Strategies for Objectives

BIS has primary responsibility, in coordination with several other agencies, for implementing U.S. export control policy on Export Administration Regulations (EAR) commodities, software, and technology. To accomplish its objectives, BIS administers, and amends as necessary, the EAR. The EAR set forth license requirements and licensing policy for the exports of CCL items.

Enforcement is an essential aspect of the BIS mission. Enforcement efforts encourage compliance, prevent and deter violations, disrupt illicit activities, and bring violators to justice. BIS achieves these important objectives through a law enforcement program focused on parties engaged in exports of sensitive commodities, software, and technology to end uses, end users, and destinations of concern.

BIS plays a significant role in the four major multilateral export control regimes and three treaties which deal with specific industry sectors: the Australia Group (chemical and biological nonproliferation), the Missile Technology Control Regime, the Nuclear Suppliers Group, the Wassenaar Arrangement (conventional arms and related dual-use goods, software, and technologies), the CWC (chemical weapons nonproliferation), the Additional Protocol to the U.S.-International Atomic Energy Agency Safeguards Agreement (nuclear weapons nonproliferation) and the Biological Weapons Convention (biological weapons nonproliferation).

BIS consults closely with industry on the development of regulatory policy through its Technical Advisory Committees (TACs). The TACs provide valuable input regarding industry perspectives on trends in technology and the practicality and likely impact of export controls. BIS also conducts numerous outreach events through the United States and overseas to educate and update the public on export controls and policy.

Outreach and education are also fundamental parts of BIS's activities. BIS offers seminars on a regular basis, at locations around the country and overseas, on a variety of export control-related topics related from introductory overviews to topic-specific in-depth instruction. BIS also offers educational tools, including videos, training modules and webinars, on its website, participates in trade shows and other events that offer opportunities for contact with the exporting public, offers counseling services via telephone and e-mail, and organizes teleconferences and town hall meetings on specific topics on an as-needed basis.

FY 2014 Accomplishments

Since the initial implementation of Export Control Reform (ECR), BIS and the Department of State have published, in final form, fifteen of the twenty-one U.S. Munitions List (USML) categories and applicable corresponding Commerce Control List (CCL) controls, which include more tailored controls for commercial satellites and less-sensitive military items. During the fiscal year, BIS processed 7,100 license applications, with an average processing time of 15 days, for less-sensitive military items that moved from the USML to the CCL. BIS continued to educate the public on changes made under ECR by conducting over 125 ECR outreach activities that reached over 11,700 participants. BIS also continued to utilize web-based decision tools to assist exporters. Since BIS posted decision tools on order of review and classifying items subject to the EAR, the decision tools have received over 48,000 hits on the BIS website.

In FY 2014, BIS continued its strong commitment to protecting US national security interests and foreign policy objectives by ensuring a credible deterrence and seeking appropriate penalties to address EAR violations. BIS enforces the EAR utilizing approximately 115 Special Agents located in sixteen locations throughout the United States and six locations abroad of strategic diversion concern. Their subject matter expertise and singular focus on enforcement of and compliance with the EAR led to over \$137 million in criminal fines and nearly \$60.5 million in administrative penalties. BIS Special Agents made the highest number of seizures than any year during the past five years - almost double the number made in FY 2013 - and brought administrative charges against more persons in FY 2014 than any year during the past five years. In addition to outreach with the public, BIS continued to support U.S. Customs and Border Protection (CBP) and other law enforcement agencies around the United States with updated training materials in support of ECR. In addition, BIS completed four Antiboycott cases with administrative fines of over \$79,000. In terms of "Return on Investment," BIS brought back (in fines alone) almost double its entire annual budget.

In FY 2014, BIS oversaw completion of 1,044 end-use checks (EUCs) in 51 countries to ensure the proper disposition of US-origin items. Of these, 62% were conducted by its Export Control Officer (ECO) program and Foreign Commercial Service officers (6%), while the remainder were accomplished by Sentinel Program (32%) visits conducted by BIS Special Agents. BIS published the final rule revising the Unverified List (UVL), defining the BIS authorization necessary to trade with entities whose bona fides could not be established during an EUC, adding 29 entities to the UVL. Office of Enforcement Analysis (OEA) intelligence, export, and licensing screening generated 305 enforcement leads, which resulted in 112 enforcement outreaches, 20 enforcement cases, 16 detentions, and 6 warning letters. OEA initiated 84 Entity List nominations, which involved efforts to stem WMD, military modernization, and improvised explosive device proliferation efforts. OEA also provided case support to 53 OEE field office investigations.

BIS's Export Administration analyzed 24,972 export license applications valued at over \$823 billion during FY 2014. In addition, 5,577 commodity classifications were completed. Export Administration was instrumental in enforcement actions taken by BIS, FBI and Homeland Security by completing over 2,252 requests for license determinations.

During the fiscal year, the President signed an Executive Order on "21st Century Trade Facilitation" to establish policy principles and an implementation plan for the development of the International Trade Data System (ITDS) by December 2016, and establish an interagency structure responsible for developing policies and processes to enhance interagency coordination related to certain border management functions in order to improve supply chain processes and identification of illicit shipments. BIS, as a Phase I agency required to have initial capability by April 30, 2014, has successfully completed its full integration into ITDS. BIS's license application is fully automated through its Simplified Network Application Program, and BIS sends nightly information from the license applications to U.S. Customs and Border Protection (CBP) upon a determination being made on the license. CBP makes the license application information available to authorized enforcement officers to ensure that the export filings from exporters are consistent with the BIS license, and the license information is used to validate the export shipment filing of the licensed shipment. BIS has authorized access to the Automated Export System information through a "single window" to identify violations of the Export Administration Act, and other U.S. laws and regulations; evaluate the effectiveness of export controls, and improve outreach and compliance with the Export Administration Regulations.

BIS enabled the U.S. Government to expeditiously aid the international effort to verify and destroy Syria's chemical weapons program. BIS rapidly identified and classified items on a list of critically needed U.S.-origin items provided by the United Nations/Organization for the

Prevention of Chemical Weapons (OPCW) Joint Mission in Syria, including chemical detectors, protective gear, nerve agent antidotes and hazardous material container. Taking into consideration the diverse equities of several U.S. Government agencies, BIS crafted license conditions acceptable to all agencies and issued licenses which allowed the Joint Mission to perform its functions in a safe and expeditious manner. On behalf of the interagency, BIS drafted the bilateral agreements between the United States and OPCW Technical Secretariat that were necessary to ensure the Department of Commerce could facilitate the on-site OPCW verification requirements contained in Decisions adopted by the OPCW policy-making organs in accordance with U.S. laws and regulations. The agreements were drafted in coordination with the affected private entities and were successfully negotiated with the OPCW Technical Secretariat. BIS subsequently assisted the port and destruction company during three OPCW on-site inspections in 2014.

Public Benefits

BIS protects the U.S. public by advancing U.S. national security, foreign policy, and economic objectives that ensure that America maintains its strategic competitive advantage in critical areas affecting economic and national security. BIS accomplishes its mission by maintaining and strengthening adaptable, efficient, and effective export control and treaty compliance systems. BIS administers and enforces controls on the export of items with chiefly commercial uses that can also be used in conventional arms, weapons of mass destruction, terrorist activities, or human rights abuses; less sensitive military items being transferred from the Department of State under the President's Export Control Reform (ECR) Initiative; and certain crude oil and timber. BIS administers and enforces these controls in coordination with several other U.S. federal agencies. BIS implements these controls primarily through the Export Administration Regulations (EAR). The EAR set forth license requirements and licensing policy for the exports of these items.

The Bureau processes export license applications for controlled items to be exported or reexported in accordance with the EAR. Enforcement is an essential aspect of the BIS mission. Enforcement efforts encourage compliance, prevent and deter violations, disrupt illicit activities, and bring violators to justice. BIS achieves these important objectives through a law enforcement program focused on parties engaged in the export of sensitive commodities, software, and technology to end uses, end users, and destinations of concern. Some examples of BIS efforts that directly impact the public include:

- Conducting educational outreach to the exporting community;
- Investigating, indicting, and convicting those who willfully violate the provisions of the EAR;
- Targeting illegal procurement networks supporting terrorist regimes through focused analysis;
- Stopping unauthorized military end-use of U.S.-origin items;
- Bringing back millions of U.S. dollars to the Treasury in the form of fines and forfeitures from criminal and civil violators;
- Denying export privileges for convicted felons;
- Uncovering diversions to unauthorized end-users/uses;
- Screening license applications for end-use and end-user concerns;
- Conducting end-use checks abroad to confirm the *bona fides* of foreign parties to export transactions;
- Confirming compliance with license conditions or the use of license exceptions;
- Leveraging interagency resources to identify unauthorized exports (including deemed exports); and,
- Reviewing Automated Export System (AES) filings to identify potential export control violations.

The Bureau facilitates compliance with U.S. export controls by keeping U.S. and foreign firms informed of export control regulations through an extensive domestic and foreign outreach program.

Outreach activities educate U.S. businesses on export control requirements and include how to identify suspicious transactions. Identifying suspicious transactions leads to successful preventive and investigative actions. Screening license applications allows the Bureau, with other agencies, to deny transactions with a high risk of diversion. The Bureau's Special Agents investigate significant proliferation, terrorism, and military end-use/user export control violations, and vigorously pursue criminal and administrative penalties.

End-use checks continue to serve as a valuable safeguard and preventive enforcement tool for verifying the bona fides of foreign end users, ensuring that exported items have been or will be used as authorized, and that license conditions are met. BIS end-use checks have been effective in revealing unauthorized end-uses and end users, including the improper or unauthorized diversion of items subject to BIS jurisdiction. When improper or unauthorized diversion is identified, appropriate measures are taken to deny further exports of licensed materials to violators.

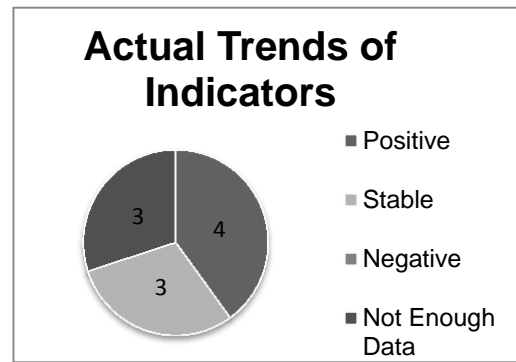
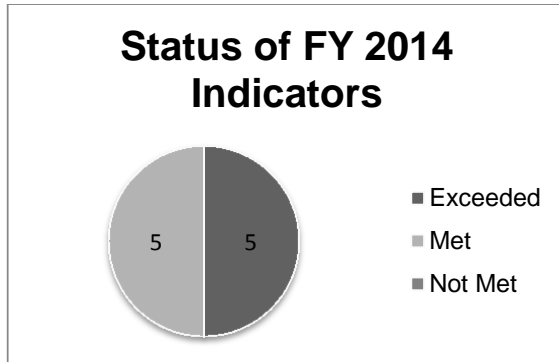
Pursuant to the Export Control Reform (ECR) initiative, BIS is participating in a broad-based, interagency review of the U.S. export control system to reduce complexity and allow the U.S. Government to focus on the most critical national security priorities. ECR will improve U.S. military interoperability with allied countries; strengthen the U.S. industrial base by reducing incentives for foreign manufacturers in allied countries to design out and avoid using U.S.-made content; and allow the U.S. Government to focus resources on the most serious national security and proliferation concerns. The objectives of the reform effort will be met in large part by moving jurisdiction of tens of thousands of less sensitive items from the State Department to the Commerce Department, which has a more flexible regulatory structure.

BIS also works to strengthen the export control systems of other countries, assess the viability of key sectors of the defense industrial base, review the national security impact of foreign acquisitions of U.S. companies, and assure the timely availability of industrial resources to meet national defense and emergency preparedness requirements. Finally, the Department also serves as the lead agency for ensuring U.S. industry compliance with the Chemical Weapons Convention (CWC). Further information on these tasks is available on <http://www.bis.doc.gov/index.php/about-bis/newsroom/publications>.

Section 3.4 Next Steps

The Bureau of Industry and Security will continue to hold a regular schedule of seminars and outreach events to educate exporters about export control requirements and compliance thereof. In addition to its premier conferences, the Update Conference on Export Controls and Policy, which is held in Washington, DC every summer, and West Coast Forum, which is held in California in February, BIS will participate in at least thirty other events scheduled for locations around the country. BIS will also continue to offer a wide variety of on-line educations offerings and electronic or in-person counseling offerings.

Part 4: Performance Goals and Indicators



Section 4.2 Summary of Indicator Performance

Objective 1.2: Increase U.S. exports by broadening and deepening the U.S. exporter base

Summary of FY 2014 Indicator Performance

Indicator	Target	Actual	Status	Trend
Recurring				
Number of Exporters Educated and Trained through Outreach Activities related to Export Control Reform	28,000	69,948	Exceeded	Not enough data
Number of Export Control Reform rules issued	4	9	Exceeded	Not enough data
Percent of licenses requiring interagency referral referred within nine days	98%	98%	Met	Stable
Percent of attendees rating seminars highly	93%	91%	Met	Positive
Number of actions that result in a deterrence or prevention of a violation and cases which result in a criminal and/or administrative charge/action	1,100	1,473	Exceeded	Positive
Percent of licenses requiring Information Triage Unit (ITU) report completed by Export Enforcement (EE) within ten Executive Order (EO) days of referral	90%	96%	Exceeded	Not enough data
Number of End-Use Checks (EUCs) completed	850	1,044	Exceeded	Positive
Number of post shipment verifications completed and categorized above the 'unfavorable' classification	315	344	Met	Positive
Median processing time for new regime regulations (months)	2	2	Met	Stable
Percent of declarations received from U.S. industry in accordance with CWC time lines that are processed in time for the U.S. to meet treaty obligations	100%	100%	Met	Stable

Section 4.3 Detailed Indicator Plans and Performance

New or Recurring Indicators

Objective 1.2: Increase U.S. exports by broadening and deepening the U.S. exporter base

Indicator: Number of Exporters Educated and Trained through Outreach Activities related to Export Control Reform								
Description: A key element of the Export Control Reform (ECR) Initiative is moving tens of thousands of items -- mostly parts and components -- from the U.S. Munitions List to the more flexible Commerce Control List. The move will enable more nuanced distinctions among technologies, destinations, and end users than under the State Department's International Traffic in Arms Regulations. Through our outreach programs, BIS will educate and train exporters on these importance ECR changes.								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Targets	NA	NA	NA	NA	4,000	28,000	48,000	48,000
Actual	NA	NA	NA	NA	4,000	69,948	NA	NA
Status	NA	NA	NA	NA	Met	Exceeded	NA	NA
Trend: Not enough information								
Explanation (if not met in FY 2014): NA								
Actions to be taken / Future Plans: None								
Adjustments to targets: None								
Information Gaps: None								
Validation and Verification								
Data Source	Frequency	Data Storage	Internal Control Procedures		Data Limitations	Actions to be Taken		
In House Records	Quarterly	Electronic Files	BIS will verify the information used to report on this performance indicator against supporting documentation.		None	None		

Indicator: Number of Export Control Reform rules issued								
Description: A key element of the Export Control Reform (ECR) Initiative is moving tens of thousands of items -- mostly parts and components -- from the U.S. Munitions List to the more flexible Commerce Control List. The move will enable more nuanced distinctions among technologies, destinations, and end users than under the State Department's International Traffic in Arms Regulations. Through our outreach programs, BIS will educate and train exporters on these importance ECR changes.								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Targets	NA	NA	NA	NA	7	4	4	4
Actual	NA	NA	NA	NA	7	9	NA	NA
Status	NA	NA	NA	NA	Met	Exceeded	NA	NA
Trend: Not enough information								
Explanation (if not met in FY 2014): NA								
Actions to be taken / Future Plans: None								
Adjustments to targets: None								
Information Gaps: None								
Validation and Verification								
Data Source	Frequency	Data Storage	Internal Control Procedures			Data Limitations	Actions to be Taken	
Federal Register	Quarterly	Federal Register	BIS will verify the information used to report on this performance indicator against supporting documentation.			None	None	

Indicator: Number of export transactions completed under the new authority of Commerce export licenses and license exceptions

Description: A key element of the Export Control Reform (ECR) Initiative is moving tens of thousands of items -- mostly parts and components -- from the U.S. Munitions List to the more flexible Commerce Control List. The move will enable more nuanced distinctions among technologies, destinations, and end users than under the State Department's International Traffic in Arms Regulations. Through our outreach programs, BIS will track shipments of such items made under the Automated Export System.

	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Targets	NA	NA	NA	NA	NA	NA	80,000	100,000
Actual	NA	NA	NA	NA	NA	42,837	NA	NA
Status	NA	NA	NA	NA	NA	NA	NA	NA

Trend: Not enough information

Explanation (if not met in FY 2014): NA

Actions to be taken / Future Plans: None

Adjustments to targets: None

Information Gaps: None

Validation and Verification

Data Source	Frequency	Data Storage	Internal Control Procedures	Data Limitations	Actions to be Taken
In House Records	Quarterly	Electronic Files	BIS will verify the information used to report on this performance indicator against supporting documentation.	None	None

Indicator: Percent of licenses requiring interagency referral referred within nine days								
Description: Generally, export license applications for dual-use items (products that may have both civilian and military applications) and munitions items transferred from the USML to the new 600-Series CCL fall into two categories: 1) referred licenses, includes those licenses that require a recommendation from another agency (i.e., Department of Defense, State, and Energy, and where appropriate, other U.S. governments departments or agencies) thus the name “referred licenses;” and 2) non-referred licenses, which are those license requests that BIS may review/approve without being referred to any other federal agency. Referred licenses comprise approximately 85% of BIS license applications, with the remaining 15% being non-referred licenses. This measure is designed to measure the effectiveness of BIS in meeting the target of referring 98% of those licenses requiring referral within 9 days. If BIS does not meet the metric of 98% of license applications referred within 9 days, BIS is not maintaining effective management of the license application review process. According to Section 3 of Executive Order 12981, BIS must complete its initial review and refer to appropriate agencies the application and other pertinent information within 9 days.								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Targets	95%	95%	98%	98%	98%	98%	98%	98%
Actual	99%	90%	88%	97%	98%	98%	NA	NA
Status	Met	Met	Not Met	Met	Met	Met	NA	NA
Trend: This is a maintain standard measure. Both the target and actual trends have remained stable.								
Explanation (if not met in FY 2014): NA								
Actions to be taken / Future Plans: None								
Adjustments to targets: None								
Information Gaps: None								
Validation and Verification								
Data Source	Frequency	Data Storage	Internal Control Procedures			Data Limitations	Actions to be Taken	
ECASS	Quarterly	ECASS	Export Administration (EA) will verify ECASS reports by running similar reports to determine if they produce the same results.			None	None	

Indicator: Percent of attendees rating seminars highly								
Description: This metric is designed to measure the overall effectiveness of the entire export control outreach seminar program. Given the volume of trade from the United States, informing U.S. and foreign businesses of the requirements of the EAR is a critical component of our dual-use and 600-Series export control system. The target is for at least 93% of the seminar attendees to give the seminar an overall rating of at least 4 (out of a 5 level scale).								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Targets	85%	85%	93%	93%	93%	93%	93%	93%
Actual	93%	94%	94%	93%	91%	91%	NA	NA
Status	Exceeded	Exceeded	Met	Met	Met	Met	NA	NA
Trend: Both the target and actual trends are positive.								
Explanation (if not met in FY 2014): NA								
Actions to be taken / Future Plans: None								
Adjustments to targets: None								
Information Gaps: None								
Validation and Verification								
Data Source	Frequency	Data Storage	Internal Control Procedures	Data Limitations	Actions to be Taken			
Seminar Evaluations	Quarterly	EA office files	BIS will verify the information used to report on this performance indicator against supporting documentation.	Data is dependent upon voluntary responses of seminar participants and is based on respondent opinion. Opinions may or may not be a factual indicator of performance.	None			

Indicator: Number of actions that result in a deterrence or prevention of a violation and cases which result in a criminal and/or administrative charge/action								
Description: This performance indicator captures the number of Export Enforcement deterrence actions, cases that result in a prevention of a violation, criminal/administrative actions, and administrative settlement orders. The number will reflect the actual number and type of preventive enforcement actions conducted including: detentions of suspect exports, seizures of unauthorized shipments, industry outreach, issuance of warning letters, recommended denials of license applications based on enforcement concerns, and recommendations for parties to be added to the Entity List and Unverified List. The measure also includes Office of Antiboycott Compliance (OAC) advice line inquiries that result in prevention or deterrence.								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Targets	850	850	850	850	850	1,100	1,000	1,000
Actual	876	806	1,073	1,162	1,403	1,473	NA	NA
Status	Exceeded	Met	Exceeded	Exceeded	Exceeded	Exceeded	NA	NA
Trend: Both the target and actual trends are positive.								
Explanation (if not met in FY 2014): NA								
Actions to be taken / Future Plans: None								
Adjustments to targets: None								
Information Gaps: None								
Validation and Verification								
Data Source	Frequency	Data Storage	Internal Control Procedures			Data Limitations	Actions to be Taken	
EE Investigative Management System (IMS)	Monthly	IMS	OEE, OEA and OAC will perform two types of checks to ensure data is entered where it should be (system integrity) and to ensure that the data is accurate and valid.			None	None	

Indicator: Percent of licenses requiring Information Triage Unit (ITU) report completed by Export Enforcement (EE) within ten Executive Order (EO) days of referral								
Description: The ITU, for which EE provides the majority of intelligence product outputs, drafts bona fides information reports on foreign transaction parties to license applications. The reports are either requested at the direction of a licensing officer or self-selected by EE. EE must, within the established EO timeframe, complete such reports in 10 EO days from referral to enable timely interagency review of license applications. This measure is designed to measure the effectiveness of BIS in meeting the target of completing 90% of ITU reports produced by EE within 10 EO days of referral.								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Targets	NA	NA	NA	NA	NA	90%	90%	90%
Actual	NA	NA	NA	NA	NA	96%	NA	NA
Status	NA	NA	NA	NA	NA	Exceeded	NA	NA
Trend: Not enough information								
Explanation (if not met in FY 2014): NA								
Actions to be taken / Future Plans: None								
Adjustments to targets: None								
Information Gaps: None								
Validation and Verification								
Data Source	Frequency	Data Storage	Internal Control Procedures			Data Limitations	Actions to be Taken	
ECASS	Quarterly	ECASS	OEA will verify ECASS reports by running similar reports to determine if they produce the same results.			None	None	

Indicator: Number of End-Use Checks (EUCs) completed								
<p>Description: A key element of BIS’s policy formulation and implementation toward other key countries is conducting EUCs to verify that targeted dual-use exports and munitions items transferred from the USML to the new 600-Series CCL will be or have been properly used by the proper end-users. End-use checks are comprised of both Pre-license Checks (PLCs) and PSVs. PLCs are used to determine if an overseas person or firm is a suitable party to a transaction involving controlled U.S. origin items. A PSV confirms whether or not goods exported from the United States actually were received by the party named on the license or other export documentation, and whether the goods are being used in accordance with the provisions of that license (where applicable) and the Export Administration Regulations (EAR). The primary means for conducting EUCs are through BIS ECOs stationed abroad with the Department of Commerce’s Foreign Commercial Service (FCS), augmented by Sentinel visits (formerly known as “Safeguards”) conducted by Special Agent-led teams as well as FCS officers. ECOs are located in six countries and are responsible for conducting EUCs in their respective areas of responsibility covering 43 countries in all. During Sentinel trips, which generally consist of two-person teams of BIS Special Agents on two-week assignments to visit foreign consignees and end-users of U.S. commodities and technology, agents attempt to verify bona fides of consignees named on a BIS license, and confirm that the equipment is being used in conformance with the EAR. By conducting PSVs, BIS can provide a level of assurance that foreign end-users are aware of EAR requirements and comply with them. EUCs also identify diverted transactions and reveal untrustworthy end-users and intermediate consignees.</p>								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Targets	850	850	850	850	850	850	850	850
Actual	737	708	891	994	1,033	1,044	NA	NA
Status	Not Met	Not Met	Met	Exceeded	Exceeded	Exceeded	NA	NA
Trend: Both the target and actual trends are positive.								
Explanation (if not met in FY 2014): NA								
Actions to be taken / Future Plans: None								
Adjustments to targets: None								
Information Gaps: None								
Validation and Verification								
Data Source	Frequency	Data Storage	Internal Control Procedures			Data Limitations	Actions to be Taken	
ECASS & IMS	Monthly	ECASS & IMS	OEA will perform two types of checks to ensure data is entered where it should be (system integrity) and to ensure that the data is accurate and valid.			None	None	

Indicator: Number of post shipment verifications completed and categorized above the 'unfavorable' classification

Description: Post Shipment Verifications (PSVs) confirm whether items exported from the United States actually were received by the party named on the license or other export documentation, and whether the items are being used in accordance with the provisions of that license. PSVs are selected through the use of a strategic targeting plan. In addition, BIS enforcement analysts research other potential factors to make a final determination on whether to initiate an end-use check to include PSVs. While PSVs are a key component of compliance verification, they also identify diverted transactions and reveal untrustworthy end-users and intermediate consignees. By conducting PSVs, BIS can provide a level of assurance that foreign end-users are aware of BIS license restrictions and comply with them as well as identifying if controlled items were shipped to unauthorized end-users or for unauthorized end uses.

	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Targets	260 PSVs	260 PSVs	315 PSVs	315 PSVs	315 PSVs	315 PSVs	315 PSVs	315 PSVs
Actual	314 PSVs	256 PSVs	382 PSVs	343 PSVs	240 PSVs	344 PSVs	NA	NA
Status	Met	Met	Met	Met	Not Met	Met	NA	NA

Trend: Both the target and actual trends are positive.

Explanation (if not met in FY 2014): NA

Actions to be taken / Future Plans: None

Adjustments to targets: None

Information Gaps: None

Validation and Verification

Data Source	Frequency	Data Storage	Internal Control Procedures	Data Limitations	Actions to be Taken
ECASS & IMS	Monthly	ECASS & IMS	OEA will perform two types of checks to ensure data is entered where it should be (system integrity) and to ensure that the data is accurate and valid.	None	None

Indicator: Median processing time for new regime regulations (months)								
Description: Regulatory changes resulting from multilateral regime plenary sessions are those agreed to by our export control partners. If those changes result in tighter controls, they must be implemented to address national security or proliferation concerns, and if they result in liberalizations, they must be implemented to ensure that U.S. industry is not disadvantaged vis-à-vis our allies. Therefore, it is important to refer the draft multilateral changes for interagency review in three months or less in order to meet our multilateral obligations, maximize U.S. competitiveness, and enable economic growth for American industries, workers, and consumers. Effective and efficient adaptation of export controls advances responsible economic growth and trade while protecting American security.								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Targets	3	3	2	2	2	2	2	2
Actual	2	3	2	2	2	2	NA	NA
Status	Exceeded	Met	Met	Met	Met	Met	NA	NA
Trend: This is a maintain standards measure. Both the target and actual trends have remained stable.								
Explanation (if not met in FY 2014): NA								
Actions to be taken / Future Plans: None								
Adjustments to targets: None								
Information Gaps: None								
Validation and Verification								
Data Source	Frequency	Data Storage	Internal Control Procedures		Data Limitations		Actions to be Taken	
Paper & Electronic	Quarterly	EA office files	BIS will verify the information used to report on this performance indicator against supporting documentation.		None		None	

Indicator: Percent of declarations received from U.S. industry in accordance with CWC time lines that are processed in time for the U.S. to meet treaty obligations								
Description: The CWC establishes a verification regime (e.g., declaration requirements, on-site inspections, and trade restrictions) for weapons-related toxic chemicals and precursors that have peaceful applications. BIS's CWC Regulations require U.S. industry exceeding certain chemical activity thresholds to submit declarations and reports. BIS processes, validates, and aggregates the declarations and reports to develop the U.S. CWC Industrial Declaration, which is forwarded to the State Department, within established time frames mandated under the CWC, and to submit it to the Organization for the Prohibition of Chemical Weapons (OPCW).								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Targets	100%	100%	100%	100%	100%	100%	100%	100%
Actual	100%	100%	100%	100%	100%	100%	NA	NA
Status	Met	Met	Met	Met	Met	Met	NA	NA
Trend: This is a maintain standards measure. Both the target and actual trends have remained stable.								
Explanation (if not met in FY 2014): NA								
Actions to be taken / Future Plans: None								
Adjustments to targets: None								
Information Gaps: None								
Validation and Verification								
Data Source	Frequency	Data Storage	Internal Control Procedures		Data Limitations		Actions to be Taken	
Paper records of declarations	Quarterly	EA office files	BIS will verify the information used to report on this performance indicator against supporting documentation.		None		None	

Indicator: Percent of electronic export information (EEI) transactions reported in the Automated Export System (AES) in compliance with the Export Administration Regulations (EAR)

Description: This indicator evaluates how effective the BIS export control system is in ensuring that items exported and reported as electronic export information transactions in the AES are in compliance with the EAR. BIS will measure exporter compliance with the EAR by reviewing, on a quarterly and annual basis, the entire compilation of export transactions under the jurisdiction of BIS (i.e., BIS licensed, license exception and No License Required Shipments) and determine what percentage are in compliance with the EAR following any BIS intervention as necessary. BIS interventions will comprise actions taken to mitigate or resolve non-compliance findings (i.e., counseling, outreach, compliance letters, and enforcement referral).

BIS anticipates that data evaluation period for this metric will run from July 1 – June 30 annually, which is based on the estimated time lag of receipt of shipment information from the Census Bureau (monthly data is released approximately 45 days after the close of the statistical month) and BIS analysis of and action on the data.

	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Targets	NA	NA	NA	NA	NA	NA	99%	99%
Actual	NA	NA	NA	NA	NA	NA	NA	NA
Status	NA	NA	NA	NA	NA	NA	NA	NA

Trend: Not Enough Data

Explanation (if not met in FY 2014): NA

Actions to be taken / Future Plans: None

Adjustments to targets: None

Information Gaps: None

Validation and Verification

Data Source	Frequency	Data Storage	Internal Control Procedures	Data Limitations	Actions to be Taken
ECASS & AES	Quarterly	EA office files	BIS will use information reported by exporters in the AES and measure against ECASS and the EAR.	None	Compliance letters

Indicator: Percent of defense industrial base assessments completed within the time frame set forth in the Memorandum of Understanding (MOU) between the BIS and the survey sponsoring agency or entity.

Description: Percent of defense industrial base assessments completed within the time frame set forth by regulation or in MOUs between the BIS and the survey sponsoring agency or entity. The Office of Technology Evaluation (OTE) provides assessments to inform decisions in a way that maintains the competitiveness and economic viability of the health and competitiveness of the U.S. Defense Industrial Base and other industry sectors. In addition to conducting defense industrial base studies to meet this objective, OTE conducts technology assessments and foreign availability assessments that address the adequacy of current export controls, economic status of the relevant industry sector, foreign availability, and foreign country export control practices. Assessment topics can arise from discussions with other agencies, licensing offices, industry, technical advisory committees, or other sources. Completion is defined as building the survey, surveying respondents, collection, writing the report and publishing the report.

	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Targets	NA	NA	NA	NA	NA	NA	100%	100%
Actual	NA	NA	NA	NA	NA	NA	NA	NA
Status	NA	NA	NA	NA	NA	NA	NA	NA

Trend: Not Enough Data

Explanation (if not met in FY 2014): NA

Actions to be taken / Future Plans: None

Adjustments to targets: None

Information Gaps: None

Validation and Verification

Data Source	Frequency	Data Storage	Internal Control Procedures	Data Limitations	Actions to be Taken
Survey responses and additional research information	Quarterly	EA office files	BIS will verify the information used to report on this performance indicator against supporting documentation.	Delays in survey responses	Written Report or Data provided to sponsor agency

Part 5: Other Indicators

None

Part 6: Agency Priority Goals

BIS is not a leader of or a participant in any Agency Priority Goals.

Part 7: Resource Requirements

(Dollar amounts in millions)

	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Enacted	FY 2016 Base	Increase / Decrease	FY 2016 Request
OSIES ³	4.8	5.8	4.4	12.0	11.5	11.4	11.3	11.8	0.0	11.8
NPTC ⁴	15.2	18.2	16.4	16.2	15.9	16.3	16.2	16.8	0.0	16.8
OEXS ⁵	13.1	15.7	12.5	12.7	13.0	13.3	13.3	13.7	0.0	13.7
NSTTC ⁶	11.2	13.4	12.6	12.0	12.1	13.6	13.6	14.0	0.5	14.5
OTE ⁷	3.6	4.3	3.8	5.1	5.5	4.6	4.6	4.8	0.0	4.8
OEA ⁸	5.8	6.9	6.2	6.1	5.9	6.6	6.7	7.1	5.7	12.8
OAC ⁹	2.5	3.0	3.6	2.6	2.3	2.2	2.3	2.4	0.0	2.4
OEE ¹⁰	27.5	33.0	43.4	34.3	30.5	33.5	34.5	35.7	2.6	38.3
Total Funding	83.7	100.3	102.9	101.0	96.7	101.5	102.5	106.3	8.8	115.1
Direct	83.7	100.3	102.9	101.0	96.7	101.5	102.5	106.3	8.8	115.1
Reimbursable	1.8	2.2	3.0	3.1	2.7	1.8	2.9	2.9	0.0	2.9
Total	85.5	102.5	105.9	104.1	99.4	103.3	105.4	109.2	8.8	118.0
Total FTE	329	322	351	369	379	365	392	392	24	416

³ OSIES – Office of Strategic Industries and Economic Security

⁴ NPTC – Office of Nonproliferation and Treaty Compliance

⁵ OEXS – Office of Exporter Services

⁶ NSTTC – Office of National Security and Technology Transfer Controls

⁷ OTE – Office of Technology Evaluation

⁸ OEA – Office of Enforcement Analysis

⁹ OAC – Office of Antiboycott Compliance

¹⁰ OEE – Office of Export Enforcement

Part 8: Other Information

Section 8.1: Major Management Challenges

The FY 2016 request is tailored to support BIS's ongoing programs and to address BIS's ability to advance the Bureau's Performance Goal: Implement an effective export control reform program to advance national security and overall economic competitiveness.

BIS will continue to improve and advance the aggressive posture it has assumed in response to the Administration's mandates in the arena of counter proliferation and export enforcement. Doing so will place BIS in the best possible position to execute its critical mission of ensuring that sensitive U.S. dual-use and munitions items and technologies are not misused by proliferators, terrorists, and others working contrary to the national security interests of the United States.

Section 8.2: Cross-Agency Collaborations

BIS works with the Departments of State, Defense and Energy on a daily basis to achieve objectives, priority goals, and performance goals. A few examples include:

- Review and approval or denial of export license applications.
- Collaboration on recommendations to the international export control regimes in which the United States participates.
- Close interagency cooperation on the Presidential initiative to reform the U.S. export control system.

BIS collaborates with the Census Bureau and U.S. Customs and Border Protection on the Automated Export System (AES) and International Trade Data System (ITDS) to ensure timely changes are made to the AES to ensure exporters' are educated of and comply with changes to the EAR, and to ensure that BIS equities are taken into account when the International Trade Data System "single window" export clearance approach is developed.

BIS works closely with defense and civilian agencies to leverage its unique authorities and analytical capabilities to accomplish its mission of maintaining and enhancing the U.S. defense industrial base.

BIS participates on the interagency Committee on Foreign Investment in the United States (CFIUS) and on the interagency Defense Production Act (DPA) Committee established in 2011 to promote the more effective use of DPA authorities to support military, energy, homeland security, emergency preparedness, and critical infrastructure programs.

BIS works with the Department of Justice (DOJ) to impose criminal sanctions for violations, including incarceration and fines, and with the Office of Chief Counsel for Industry and Security to impose civil fines and denials of export privileges. BIS also works closely with other Federal law enforcement agencies, including the Federal Bureau of Investigation (FBI) and the Department of Homeland Security (DHS), when conducting investigations or preventative actions.

Section 8.3: Evidence Building

BIS's Export Administration created the Office of Technology Evaluation (OTE) in 2006 with primary responsibilities to conduct foreign availability assessments; monitor and evaluate technology developments; conduct assessments of the impact of U.S. export control policies on industry sectors; conduct assessments on the health and competitiveness of the Defense Industrial Base; and ensure the effectiveness of the BIS export control system.

In order to meet these responsibilities heavily focused on assessing policy changes and evaluating BIS programs and initiatives, OTE began using data analytics in 2007. OTE gained authorized access to data from export shipment transactions, license applications, and international import and export aggregate information and effectively analyzed these data to accomplish organizational goals.

For example, in 2007, OTE established a benchmark on how compliant U.S. exporters were with meeting requirements in the Export Administration Regulations with regard to exports of items subject to BIS license requirements. The benchmark identified was 87%. OTE added edits and validations to the Automated Export System and implemented an external engagement strategy to ensure that reporting of items subject to BIS licensing requirements was complete, accurate and timely. By 2009, exporters' compliance rate rose to 99% and has continued to maintain this level.

Similarly, OTE established a benchmark of the licensing and export shipment situation prior to the implementation of the Administration's Export Control Reform (ECR) in July 2011 and again on October 2013. Periodically, OTE assesses the impact of ECR on export shipments and licensing using data analytics. Results show that items exported in a pre-ECR environment subject to the State Department's International Traffic and Arms Regulations have successfully transferred to the Commerce Department's jurisdiction. Many exporters accustomed to obtaining a license from the State Department in a pre-ECR environment are now using Commerce licenses, license exceptions, or a "No License Required" designation to move their defense articles, parts, components and accessories out of the U.S. OTE's data visualizations of properly processed statistics have shown results of effective implementation of ECR.

The data analytics aspect of OTE has been very beneficial to BIS in assessing the impact of new policies on exports, licensing and competitiveness. In 2014, when the federal government was identifying the sanctions to be imposed on Russia, OTE turned data analytics into insights on how Russian sanctions would impact U.S. exporters in specific industry sectors.

With respect to outreach efforts, BIS requests evaluations from seminar attendees and uses the feedback provided to improve its materials and performance. BIS uses a quarterly Government Performance and Results Act (GPRA) statistic to evaluate the feedback. The evaluations request scores on a scale of one to five (with five being the highest) of a variety of factors, including the clarity of material presented and whether or not the presentations are appropriately tailored for the time available. For every seminar that BIS participates in, the number of attendees, the number of evaluations received, the sum of evaluations with ratings of either four or five, and the percentage of evaluations with ratings greater than three are tracked on a quarterly basis. For the first three quarters of Fiscal Year 2014, BIS's quarterly statistic averaged 92%.

BIS also uses the seminar evaluations to gauge the content of its presentations and regularly updates its material in response to the feedback (in addition to regulatory changes). In response to public feedback, BIS has also expanded its web-based educational materials and teleconference presence in recent years.

Specific to ECR, in addition to offering regular seminars specific to the subject, BIS has participated in numerous outreach events in both the United States and overseas. Additionally, BIS has made three web-based decision tree tools available on its website. One of the tools is designed to assist users with the Commerce Control List's order of review; the second tool helps users to determine if an item subject to the EAR is "specially designed"; and the third tool is designed to help users use and comply with the requirements of License Exception "Strategic Trade Authorization (STA)."

BIS analyzes multifaceted datasets to determine how best to allocate its enforcement resources domestically and abroad to identify and redress non-compliance with the Export Administration Regulations. To effectively enforce export controls, OEE Special Agents are located in or near major, domestic concentrations of specific industrial sectors involved in the development, manufacture, and use of key export-controlled items. Upon evaluation of reports and data on exports, licenses, counter-proliferation investigative trends, and foreign national access to technology, BIS allocates resources to high risk areas that require enforcement coverage by a Special Agent or Field Office.

Internationally, BIS Export Control Officers (ECOs), augmented by domestic based, Special Agent-led "Sentinel Teams" and Commercial Service personnel stationed in embassies abroad, provide worldwide coverage against diversions or transshipments of critical dual-use and military items. To ensure that ECOs are stationed in the most worthwhile locations and end-use checks are focused on the most high-risk targets, BIS evaluates controlled dual-use exports, controlled munitions exports, foreign trading relationships with countries of concern, and other national security considerations, including the potential for establishment of front companies. A key factor in these activities, which also is used to identify license applications requiring additional enforcement and intelligence scrutiny, involves agreement among licensing officers at BIS and the Departments of Defense, Energy, and State on a subset of the most sensitive controlled items and most sensitive destinations.

In FY 2014, with available resources, BIS achieved significant enforcement-related outcomes, including: 39 criminal convictions and criminal fines of \$137.8 million; \$60 million in administrative penalties, 272 warning letters, and 16 export denial orders; 1,044 end-use checks in 51 countries; and designation of 155 and 29 persons on the Entity List and Unverified List, respectively.

Section 8.4: Hyperlinks

BIS's most recent Annual Report can be found at the following link:
<http://www.bis.doc.gov/index.php/about-bis/newsroom/publications>.

Section 8.5: Data Validation and Verification

The FY 2014 Summary of Performance and Financial Information includes in the Secretary's Statement, an assessment of the reliability and completeness of the Department's performance data.

Section 8.6: Lower-Priority Program Activities

"The President's Budget identifies the lower-priority program activities, where applicable, as required under the GPRA Modernization Act, 31 U.S.C. 1115(b) (10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget>."

FY 2016 Annual Performance Plan / FY 2014 Annual Performance Report

US Census Bureau

Table of Contents

Part 1: Agency and Mission Information

Section 1.1: Overview

Census Bureau information shapes important policy and operational decisions that help improve the nation's social and economic conditions. The Bureau conducts the constitutionally mandated Decennial Census of Population and Housing every 10 years, which is used to apportion seats in the House of Representatives and informs congressional redistricting. The Census Bureau also conducts a census of all business establishments and of all governmental units, known respectively as the Economic Census and the Census of Governments, every five years. The Economic Census is the benchmark used for measuring Gross Domestic Product (GDP) and other key indicators that guide public policy and business investment decisions. In addition, the Bureau conducts several ongoing business and household surveys that provide the information in several of the Nation's key economic indicators and which are used to allocate over \$400 billion in federal funding annually, including the American Community Survey (ACS). The ACS allows communities to make the best decisions about where they should locate new schools or expand services for the elderly. Because it is available to businesses of all sizes at no cost, it helps players from the largest corporations to the smallest emerging innovators locate their labor force, target their customer base and find new markets.

The Census Bureau measures America's rapidly changing economic and social arrangements, and develops effective ways to disseminate information using the most advanced technologies, to enable policymakers at all levels of government, businesses, non-profit organizations, and the public to make effective decisions.

The Census Bureau's headquarters is located in Suitland Maryland, with six regional offices in New York, NY; Philadelphia, PA; Atlanta, GA; Chicago, IL; Denver, CO; and Los Angeles, CA. The National Processing Center is located in Jeffersonville, IN and operates three telephone centers in Jeffersonville, Tucson AZ, and Hagerstown, MD.

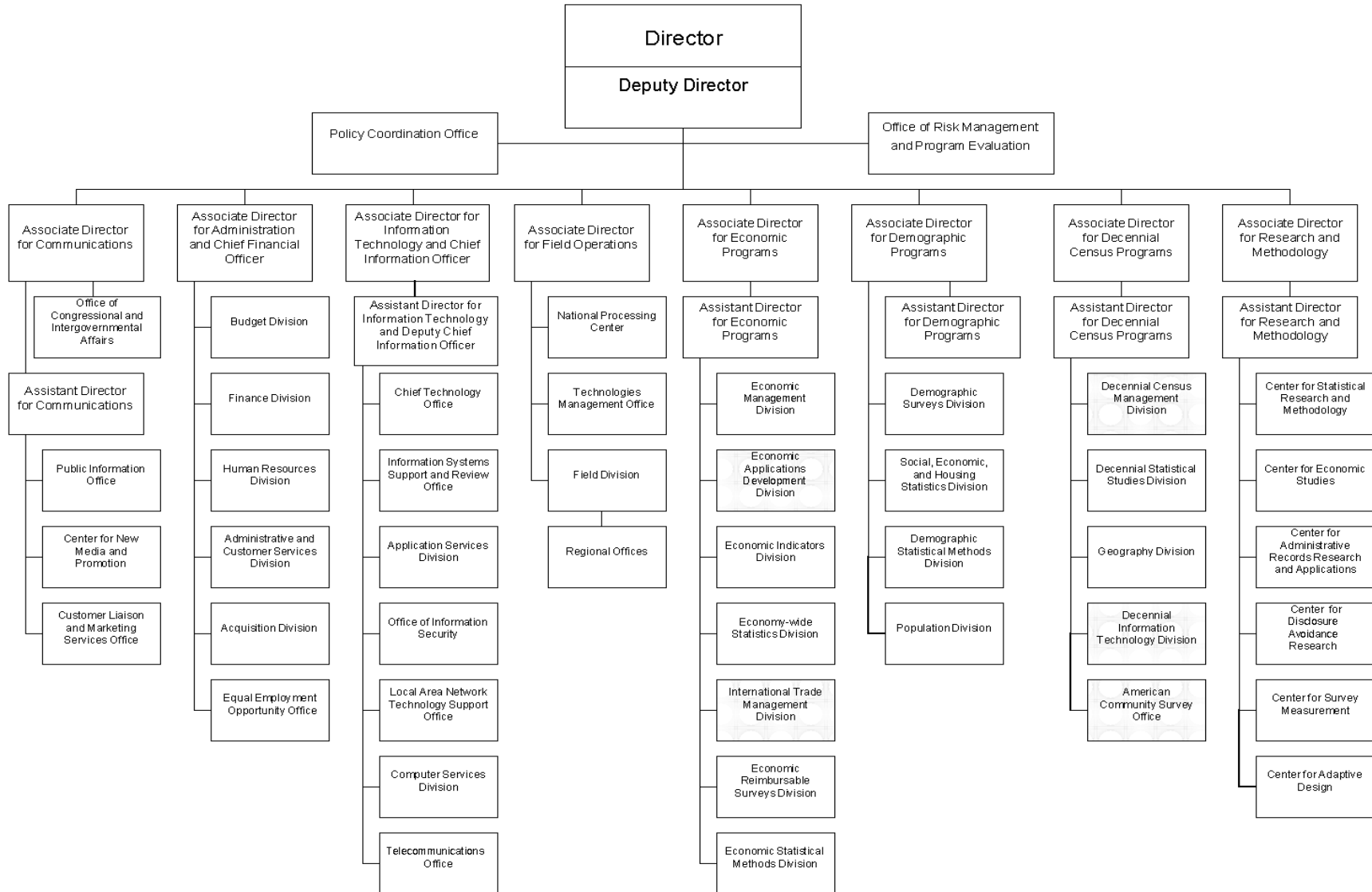
Section 1.2: Mission Statement

The Census Bureau's mission is to serve as the leading source of quality data about the nation's people and economy. We honor privacy, protect confidentiality, share our expertise globally, and conduct our work openly. We are guided on this mission by scientific objectivity, our strong and capable workforce, our devotion to research-based innovation, and our abiding commitment to our customers.

Section 1.3: Vision and Values

Our Vision is to be the leading source of high quality, timely, relevant, and cost-effective statistical information supporting the nation's decision-makers.

U.S. Department of Commerce
Bureau of the Census



Part 2: Cross-Agency Priority Goals

The Census Bureau currently does not lead any Cross-Agency Priority Goals.

However, there are several efforts underway that advance the priority goals of customer service, shared services and open data. Examples include:

Customer Service:

American Community Survey Content Review and Respondent Advocate (Ombudsman)

Members of the American public called on to respond to the American Community Survey (ACS) have raised questions and sometimes concerns to the Census Bureau directly and through their Congressional representatives. Some respondents question the content of the survey and the manner in which this and other surveys are conducted by the Census Bureau. In FY 2014, the Committee on Appropriations requested that the Census Bureau provide a report, on efforts and steps being taken to ensure that the ACS is conducted as efficiently and unobtrusively as possible.

To respond to these concerns, the Census Bureau is implementing a comprehensive review of ACS question content and is continuing research to improve survey efficiency while reducing respondent burden. The purpose of the content review is to obtain a comprehensive understanding of the usages, justification, and merit of each question on the ACS. The goal is to minimize the reporting burden imposed on a subset of households while providing quality information to federal, state, local, and tribal governments along with business decision-makers. This content review will start by addressing several ACS questions that respondents have the most difficulty understanding why they are asked, but will eventually cover the entire survey. The priority questions for content review cover income, journey to work, disability, and plumbing facilities. Agencies relying on this information will be asked to document the justification for question use; statutory, regulatory, and programmatic uses, the lowest level of geography required; frequency of use; funding formulae and the amount of funding distributed based on the questions; characteristics of the population supported by the question; and alternative data sources to the ACS. The Census Bureau expects to complete this review by March 2015.

Additionally, the Census Bureau established a Respondent Advocate (Ombudsman) position in April 2013 to ensure that respondent concerns are considered throughout the survey life cycle as well as to provide real-time assistance to respondents that have concerns about a Census Bureau survey. The advocate has led efforts to improve the Census Bureau's website for survey respondents, provided direct assistance to hundreds of individuals involved in Census Bureau surveys (always within 24 hours and usually within 4 hours), and met with nearly 400 Congressional offices to explain the role of the ACS and other Census Bureau data collections and the responsibilities and duties of the Respondent Advocate..

Digital Transformation Program

Aligned with the Digital Government Strategy, the Digital Transformation Program focuses on customer-centricity, shared platforms and innovative technologies and solutions to Build a 21st Century platform to better serve the American people.

The goals of the Digital Transformation program are:

1. Increase awareness and access to U.S. Census Bureau statistics
2. Improve customer satisfaction
3. Grow our audience

The components of this transformation program include efforts to:

- Redesign census.gov to improve two major challenges from users – search and navigation. Introduced thematic navigation allowing users to access information and data by topics, which moves away from an organizational structure to a topic centric navigation based on customer expectations and private and public sector best practices.
- Invest in a new Content Management System (CMS). This system allows an improved content dissemination across the site, more secure content and consistency of content and layout across site properties. Content is currently being migrated into the CMS.
- Implement a state of the art search capability. Enabling answers before results, information panels highlighting statistics, and visualizations and table features. This robust search will present statistics such as population, North American Industry Classification System codes, and income and poverty data as search results.
- Implement a multi-channel customer experience management capability. The Customer Engagement Management platform will pull together unstructured customer feedback from diverse sources with customer behavior data, enabling the U.S. Census Bureau to identify the frustrations expressed by our customers, uncover unmet customer needs, and find opportunities to improve the analytics gathering and understanding customer experience. In addition, the U.S. Census Bureau invested on robust analytics and metrics software, including social media monitoring tool to improve its analyses of customer experience. The metrics and insights align with the Digital Transformation program goals and key performance indicators, measuring how goals are being met throughout the program lifecycle.
- Establish an effective integrated communications and promotions effort to promote new products and improve online communications with customers.
- Improve in analytics gathering and understanding customer experience
- Establish an effective communications and promotions effort to promote new products and improve online communications with customers
- Develop and deploy numerous public facing data products including :
 - Three (3) new mobile applications, named America’s Economy, dwellr, and Census Pop Quiz.
 - New interactive data tools such as the Population Clock, My Congressional District, and Easy Stats. These tools use latest technologies, U.S. Census Bureau’s public and private application programming interface (APIs), and sharing and embedding capabilities allowing for greater access and easier use of data.

Efforts conducted have been research driven and customer focused to ensure successful outcomes and adaptation for customer insights towards its lifecycle. The feedback from customer is gathered, prior to and upon deploying new products and enhancements through analytics, customer engagement management, and stakeholder relations.

In FY 2016, the Census Bureau will implement responsive design for census.gov (allowing the website to operate on multiple devices such as tablets and mobile); search enhancements; continued content migration; and Customer Experience management (CEM). The plan also includes the development of personalized user portal (mycensus.gov) that will allow individual users to customize their experience and data needs on the website. The Census Bureau will continue to build on the importance of having strong web monitoring and analytics tools, web applications and enhancements, and mobile applications development and support. Also providing ongoing support for data visualization initiatives around data releases.

Shared Services: Enterprise IT Shared Services Program Management Office:

In order to harvest further benefits of shared services and align with Memorandum M-10-26, the Census Chief Information Officer (CIO) is establishing an Enterprise IT shared services Program Management Office (PMO) and an Enterprise IT Shared Service (ITSS) Policy. The PMO is facilitating the Bureau’s transition to a state where shared services are the norm, rather than the exception. The Census Bureau’s Enterprise ITSS policy formally establishes, as a standard practice, the implementation and re-use of Enterprise ITSS across the Census Bureau. Governance by the program and adherence to policy will improve enterprise flexibility and substantial cost savings through:

- Efficient resource allocation allowing business areas to focus on delivering their core mission(s), including reducing the time required to deliver data services and products;
- Streamlined operational efficiencies by centralizing needed operational infrastructure (technology, processes and people) required to deliver, maintain and mature a shared service;
- Improved organizational effectiveness using best practices, proven functionalities, and innovative solutions; and
- Improved cost-efficiencies by reducing costs associated with redundant IT resources.

Enterprise IT Shared Services are selected in accordance with the program's guiding principles that include: Enterprise IT Shared Service identification and prioritization based on business "value," and ROI in support of Survey Lifecycle (SLC) and Mission-Enabling & Support (MES) functions. Candidate Enterprise IT Shared Services are identified by the program and nominations by individuals and organizations.

Internally, the Census Bureau has established several current shared services, including e-mail. In addition, more than 40 other Enterprise IT Shared Services candidates have been identified for potential use within the Census Bureau. The Census Bureau will use the Federal IT Shared Services categories of Commodity, Support, and Mission to categorize the portfolio of services.

While substantial cost savings and other efficiencies are expected from the Enterprise IT Shared Services Program, actual savings will be based on several factors including but not limited to the type of service, and whether there are opportunities to consolidate licenses, consolidate contracts, reduce and repurpose hardware, and better align staff.

The Census Bureau Enterprise IT Shared Services Program has identified success criteria that will measure the desired outcomes and the impact of the program. The five (5) key success criteria are cost savings, efficiency, standardization, consolidation, and customer service.

Open Data and Shared Services: Census Data API:

The U.S. Census Bureau has released an online service that makes key demographic, socio-economic and housing statistics more accessible than ever before. The Census Bureau's public Application Programming Interface (API) allows developers to design Web and mobile apps to explore or learn more about America's changing population and economy. The API lets developers customize Census Bureau statistics into Web or mobile apps that provide users quick and easy access to 42 data sets, with the most recent releases including:

- Economic Indicators Time Series
- 2007 & 2012 Economy-wide Key Statistics
- 2011 & 2012 County Business Patterns
- 2012 Non-Employer Statistics
- 2013 Vintage of Population Estimates
- 2012 Vintage of Population Projections

In addition, the Census Bureau has launched an enterprise effort to transform how it disseminates data and information to the public by streamlining access, enhancing the ability to search, find, and use the data by the public, and optimizing the resources needed to accomplish these tasks.

The Center for Enterprise Dissemination Services and Consumer Innovation (CEDSCI)

The Center for Enterprise Dissemination Services and Consumer Innovation (CEDSCI) is comprised of experts from across the Census Bureau, and their work is based on the core principals of the Federal Digital Strategy:

- Enable the American people and an increasingly mobile workforce to access high-quality digital government information and services anywhere, anytime, on any device
- Ensure that as the government adjusts to this new digital world, we seize the opportunity to procure and manage devices, applications, and data in effective, secure, and affordable ways.
- Unlock the power of government data to spur innovation across our Nation and improve the quality of services for the American people.

The goals of the project include:

- Fostering and maintaining a customer-focused, cost-effective data dissemination environment
- Promoting a set of dissemination tools to meet future dissemination capabilities.
- Adopting a Customer Experience Management (CEM) system that captures customer interactions systematically and provides for dissemination tools, systems, and processes to evolve based on quantitative assessment of changing customer needs and new technological innovations.
- Establishing a standardized central metadata repository across all censuses and surveys, which would enable the Census Bureau to deploy generalized dissemination capabilities.
- Designing shared enabling technologies based on business requirements and needs.

The intended benefits include:

- Cost savings through elimination of duplicate systems and processes
- Spurring greater innovation
- Systematic quality assurance
- Improved customer satisfaction through metadata standardization
- More efficient and effective work environment
- Better utilization of existing tools to meet customer needs
- Greater insights into customer needs
- Increased Census brand awareness and acceptance
- Improved disclosure avoidance

Dissemination as a Shared Service

The Census Bureau will foster and maintain a customer-focused, cost-effective data dissemination environment where:

- Its people view dissemination as a shared service and responsibility; engage in active listening; look for ways to strengthen new ideas; and are innovative and risk-taking.
- Its processes provide continuous information about how effectively this agency is meeting data users' needs.
- Its tools are customer-driven and make data easy to access and use.

- Its information respects confidentiality, and users trust it as a reliable and credible source.

As we modernize and centralize our data collection and processing activities, our dissemination efforts must similarly keep pace with technological innovations and changing expectations from respondents and data users alike. Deploying shared services across our diverse programs and data sets not only provides us with efficiencies, it exposes our innovations to more of the American public on whom we rely to produce the content we return to them. We must demonstrate to the public that the Census Bureau can innovate and adapt, lessen the burden of response, and meet our budgets and deadlines if we are to preserve their trust in our work.

Part 3: Strategic Goals and Objectives

Section 3.1: Corresponding DoC Strategic Goals, and Objectives

Goal	Objective Number	Objective Name	Leader:
Trade & Investment	1.2	Increase U.S. exports by broadening and deepening the U.S. exporter base	Ken Hyatt, Acting Under Secretary, ITA
Innovation	2.4	Accelerate the development of industry-led skills strategies that result in a productive workforce for employers and high-quality jobs for workers.	Matt Erskine, Deputy Assistant Secretary, EDA
Environment	3.2	Improve preparedness, response, and recovery from weather and water events by building a Weather-Ready Nation.	Kathy Sullivan, Under Secretary, NOAA
Data	4.1	Transform the Department’s data capacity to enhance the value, accessibility and usability of Commerce data for government, business and the public.	Mark Doms, Under Secretary, ESA
Data	4.2	Improve data based services, decision-making and data sharing within the Department and with other parts of the Federal Government.	Mark Doms, Under Secretary, ESA
Data	4.3	Collaborate with the business community to provide more timely, accurate, and relevant data products and services for customers	Mark Doms, Under Secretary, ESA

Section 3.2: Strategies for Objectives

The Census Bureau supports the following strategies in the Department of Commerce Strategic Plan:

Trade & Investment (1.2)

- Educate U.S. companies and communities on the benefits of exporting (ESA, ITA, MBDA).

Innovation (2.4)

- Capture, coordinate, and analyze U.S. workforce data (ESA¹, OS).

¹The Economics and Statistics Administration also includes the Bureau of Economic Analysis and the Census Bureau.

Environment (3.2)

- Enhance decision support services for emergency managers (Census, NOAA).

Data (4.1)

- Drive the development of Big Data standards and measurement science (ESA, NIST).
- Establish data interoperability across the Department and expand open data access (ESA, NIST, NTIS).
- Make Commerce data easier to access, use, download, and combine through a “Find it-Connect It” service (ESA, NTIS).

Data (4.2)

- Improve the use of existing federal databases to help analyze business assistance and economic growth programs throughout the government (BIS, ESA, ITA, MBDA).
- Execute high profile statistical data programs well (ESA).
- Increase data sharing among federal agencies and reduce the public’s burden of providing information (ESA).

Data (4.3)

- Explore combining of federal and private-sector datasets to strengthen decision-making (ESA).
- Continually revisit and revise the Department’s data products to meet changing needs (ESA).

Section 3.3: Progress Update for Strategic Objectives

Objective 4.2 – Improve data based services, decision-making, and data sharing within the Department and with other parts of the Federal Government

The 2020 Decennial Census program completed two field tests, the 2013 Census Test and 2014 Census Test. The 2013 Census Test examined the operational feasibility of using administrative records to reduce the Nonresponse Follow-up (NRFU) workload and an adaptive contact strategy to increase NRFU productivity. The 2014 Census Test looked at self-response and nonresponse field components to answer research questions and inform preliminary design decisions for the 2020 Census. Decennial also designed and began work on the Address Validation Test to assess the performance of the methods and models that will help us develop the 2020 Census address list and define the in-field address canvassing workloads needed for the operational design decision point in September 2015.

All the 3-year (2010-2013) and 5-year (2008-2012) American Community Survey (ACS) data and the 1-year 2013 ACS data products were released by the Census Bureau on schedule.

Geography Division acquired 250 additional files from tribal, state, and local government partners as part of the Geographic Support System Initiative Partnership Program and used them to make further improvements to address coverage.

The Geography Division also conducted a pilot project to test the feasibility of using in-office imagery-to-Master Address File (MAF) comparison and data analysis techniques to identify areas in which the residential housing units are stable, and areas in which residential housing unit change is occurring. Based on the positive results of the pilot project, in which 82% of blocks were identified stable (i.e., no change in residential housing units between 2010 imagery and current imagery, and no change in the MAF), GEO is building a national implementation of the project, under the rebranded name TIGER (Topologically Integrated Geographic Encoding and Referencing) and MAF Assessment and Classification (TRMAC).

In November 2013, tabulation and macro data analysis for the 2012 Economic Census began. The first product from the 2012 Economic Census, the Advance Report, which provides national level data on the nation's economy, was released March 26, 2014. Releases began in May 2014 for the 2012 Economic Census Industry Series reports. As of September 30th, 406 of the anticipated 538 Industry Reports (covering 954 NAICS industries) were issued. This exceeded the target to release 30 percent of the Industry Series data products by September 30, 2014. Releases for the 2012 Economic Census will continue in FY 2015. In addition, the demand-based hierarchical structure of the North American Product Classification System (NAPCS) was finalized. This work greatly expands the usefulness of product statistics for market analysis, business planning, and demand oriented studies. A check-in rate of 73.2 percent for the SBO employer component was achieved, with electronic response accounting for 90 percent of total responses. Lessons learned from the 2012 SBO will be applied as we move to 100 percent electronic reporting in the 2017 Economic Census.

As of May 22, 2014, 90 percent of the 2012 Census of Governments products were released, ahead of the June 30, 2014 target date. The 2012 Census of Governments: State Government Finances released in January 2014, two months earlier than the metric, and the 2012 Census of Governments: Employment released in March 2014, one month earlier than the metric. The Census Bureau will complete the release of the 2012 Census of Governments by January 2015.

Objective 4.3 – Collaborate with the business community to provide more timely, accurate, and relevant data products and services for consumers.

Target release dates for all 120 non-economic indicator quarterly and annual survey data releases were met or exceeded. In addition, all 120 monthly and quarterly principal economic indicators were released 100 percent of the time as scheduled or as revised due to the October shutdown. In FY14 a prototype Census Open for Business Tool, a desktop/tablet tool aimed at first time business entrepreneurs, was developed. This tool will allow for easy access to Census Bureau data to develop a business plan that can be used to support their loan application and assist in choosing a location for the business.

The Census Bureau met milestones in preparation for the new 2014 Survey of Income and Program Participation (SIPP) panel and data for wave 1 were collected from February – June 2014. The Bureau also completed data collection for the 2008 SIPP panel, which resulted in an overall response rate above 60% into the fifth year of the data collection for the 2008 Panel. Data releases through wave 15 are on schedule.

Current Population Survey (CPS) controls were consistently released in time for weighting monthly estimates, which is important because the CPS is the source of the monthly unemployment data for the United States; a leading economic indicator.

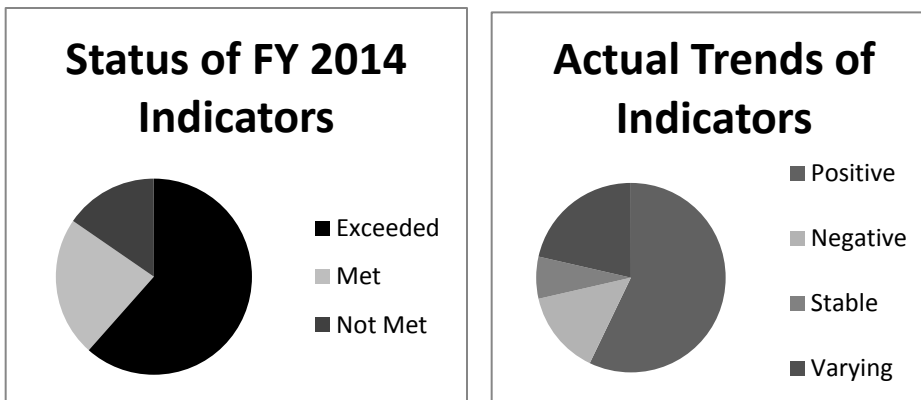
In FY 2014, the Census Bureau developed final experimental race and Hispanic origin questions for paper and electronic modes for the 2015 Decennial Content Test. The Bureau also completed all key milestones for research, testing, and stakeholder outreach associated with improving race and Hispanic origin questions in censuses and surveys.

The Demographic Surveys Sample Redesign program delivered the first wave of the SIPP Event History Calendar (EHC) cases as well as the first rotation of the 2010 design CPS cases to production ahead of schedule. CPS selected its second annual sample, while the American Housing Survey (AHS), Consumer Expenditures Diary and Quarterly (CED and CEQ), and National Crime Victimization Survey (NCVS) selected their first.

Section 3.4: Next Steps

The U.S. Census Bureau is improving data based services, decision-making, and data sharing with the Department of Commerce and other parts of the Federal Government. Initiatives include conducting a more efficient 2020 Decennial Census by maximizing the use of technology, such as the Geographic Support System Initiative to reduce costs while maintaining a high level of quality. Census also completed several steps toward ensuring the efficiency of the 2020 Decennial Census by performing self-response and non-response follow-up data collection for the 2014 Census trial tests, as well as the systems readiness tests. The Bureau is targeted by FY2015Q4 to issue the 2020 Census operational plan announcing major design decisions.

The U.S. Census Bureau is engaging in an multi-evidence based building strategy that includes use of a Balanced Scorecard, which is a strategic planning and management system used to align business activities to the vision and strategy of the organization; Program Management Reviews, which identify the mission-critical, high-priority programs, which are subject to formal reviews by the Census Bureau’s Operating Committee; Workforce Planning, to ensure the Bureau has a workforce competency supply that meets management expectations; 2020 Census reviews, where The National Academy of Sciences (NAS) is providing scientific and research expertise to the 2020 Census Program; and the American Community Survey, where the Census Bureau has asked the Census Scientific Advisory Committee to review the ACS group quarters program and make recommendations on improving sampling efforts and data collection issues with certain group quarter types.



Part 4 Performance Goals / Indicators

Section 4.1: Summary of Performance

Status is based on the following standard:

Exceeded	More than 100 percent of target
Met	90 - 100 percent of target
Not Met	Below 90% of target

An indicator with a positive trend is one in which performance is improving over time while a negative trend is an indicator that has declining performance. A stable trend is one in which the goal is to maintain a standard, and that that is occurring. A varying trend in one in which the data fluctuates too much to indicate a trend. At a minimum, these indicators must have three years of data.

Section 4.2: Summary of Indicator Performance

Objective 1.2: Increase U.S. exports by broadening and deepening the U.S. exporter base

Indicator	Target	Actual	Status	Trend
Percentage of monthly export statistics released on schedule	100%	100%	Met	Stable

Objective 2.4: Accelerate the development of industry-led skills strategies that result in a productive workforce for employers and high-quality jobs for workers

Indicator	Target	Actual	Status	Trend
Number of data dissemination tools fueled by public-use Longitudinal Employer-Household Dynamics (LEHD) data and improvements to LEHD data and data tools.	1) one data dissemination tool 2) two improvements to LEHD data and data tools	1) one data dissemination tool 2) one improvement to LEHD data and data tools	Not Met	Not enough data

Objective 3.2: Improve preparedness, response, and recovery from weather and water events by building a Weather-Ready Nation

Indicator	Target	Actual	Status	Trend
Number of webinars conducted and enhancements to the Census Bureau's OnTheMap for Emergency Management website.	1) two webinars or training showing emergency and city planners how to navigate OTM-EM 2) two enhancements to OTM-EM	1) two webinars or training showing emergency and city planners how to navigate OTM-EM 2) two enhancements to OTM-EM	Met	Not enough data

Objective 4.1: Transform the Department's data capacity to enhance the value, accessibility and usability of Commerce data for government, business and the public.

Indicator	Target	Actual	Status	Trend
Percentage of milestones met for "Find it-Connect it"	100%	100%	Met	Not enough data

Objective 4.2: Improve data-based services, decision-making, and data sharing within the Department and with other parts of the federal government

Indicator	Target	Actual	Status	Trend
Cost efficiency of 2020 decennial census	Two field tests that will inform cost and quality goals for the 2020 Census	Two field tests that will inform cost and quality goals for the 2020 Census	Met	Not enough data
Percentage of milestones met for business assistance analysis	100%	100%	Met	Not enough data
Percentage of key activities for cyclical census programs completed on time to support effective decision-making by policymakers, businesses and the public.	90%	86%	Met (Result is within 10% of target)	Stable

Objective 4.3: Collaborate with the business community to provide more timely, accurate, and relevant data products and services for customers

Indicator	Target	Actual	Status	Trend
Percentage of key data products for Census Bureau programs released on time to support effective decision-making of policymakers, businesses, and the public	1) 100% of Economic Indicators 2) 90% of other key surveys	1) 100% of Economic Indicators 2) 90% of other key surveys	Met	Stable

Section 4.3 Detailed Indicator Plans and Performance

Objective 1.2: Increase U.S. exports by broadening and deepening the U.S. exporter base

Indicator		Percentage of monthly export statistics released on schedule							
Description	Percent of scheduled release dates for the FT-900 International Trade in Goods and Services released on the scheduled due date. This indicator supports the Department of Commerce's Trade & Investment goal to "Expand the U.S. economy through increased exports and inward foreign investment that lead to more and better American jobs." It specifically supports objective 1.2 to " Increase U.S. exports by broadening and deepening the U.S. exporter base."								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	
Target	N/A	N/A	N/A	100%	100%	100%	100%	100%	
Actual	N/A	N/A	N/A	100%	100%	100%			
Status	N/A	N/A	N/A	Met	Met	Met			
Trend	Stable								
Validation and Verification									
Data Source	"Bluebook" Schedule of release dates								
Frequency	Monthly								
Data Storage	Schedules maintained on Foreign Trade Division Computers and publicly available on the Internet.								
Internal Control Procedures	The Census Bureau compares actual release dates with scheduled data. No variation from schedule is permitted.								
Data Limitations	None								
Actions to be Taken	Continue 100% on-time performance.								
Explanation (if not met in FY 2014)	This complex development activity, project required additional refinement because results were not consistent with historical project quality, causing a delay in one of the improvements to LEHD data an tools planned for completion in FY 2014. This is expected to be completed by the first quarter of FY 2015.								
Actions to be taken / Future Plans	Based on the experience in FY14, a timeline will be implemented to account for uncertainties in the research and development to allow subsequent projects to be completed on schedule.								
Information Gaps	New Indicator for FY 2014								
Validation and Verification									
Data Source	Program schedules, plans, and reports								
Frequency	Ongoing								
Data Storage	Schedules, plans, databases, and the Intranet								
Internal Control Procedures	Periodic review, monitor, management control, and comparison of schedules								
Data Limitations	None								
Actions to be Taken	Continue quarterly reviews of performance data and status reports								

Objective 2.4: Accelerate the development of industry-led skills strategies that result in a productive workforce for employers and high-quality jobs for workers

Indicator	Number of data dissemination tools fueled by public-use Longitudinal Employer-Household Dynamics (LEHD) data and improvements to LEHD data and data tools.							
Description	The Longitudinal Employer-Household Dynamics program produces new, cost effective, public-use information combining federal, state and Census Bureau data on employers and employees under the Local Employment Dynamics (LED) Partnership. State and local authorities increasingly need detailed local information about their economies to make informed decisions. The LED Partnership works to fill critical data gaps and provide indicators needed by state and local authorities. This indicator supports the Department of Commerce's Innovation goal to "Foster a more innovative U.S. economy—one that is better at inventing, improving, and commercializing products and technologies that lead to higher productivity and competitiveness." It specifically supports objective 2.4 to "Accelerate the development of industry-led skills strategies that result in a productive workforce for employers and high-quality jobs for workers."							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	1) one data dissemination tool 2) two improvements to LEHD data and data tools	1) one data dissemination tool 2) three improvements to LEHD data and data tools	1) two reviews of user feedback of new dissemination tools 2) Assessment of potential modification of user tools
Actual	N/A	N/A	N/A	N/A	N/A	1) one data dissemination tool 2) one improvement to LEHD data and data tools		
Status	N/A	N/A	N/A	N/A	N/A	Not Met		
Trend	Not enough data							

Objective 3.2: Improve preparedness, response, and recovery from weather and water events by building a Weather-Ready Nation

Indicator	Number of webinars conducted and enhancements to the Census Bureau's OnTheMap for Emergency Management website.							
Description	OnTheMap for Emergency Management (OTM-EM) is a public data tool that provides unique detail on the workforce, for U.S. areas affected by hurricanes, floods, and wildfires, in real time. To provide users with the latest information available, OnTheMap for Emergency Management automatically incorporates real time data updates from the National Weather Service, Departments of Interior and Agriculture, and other agencies for hurricanes, floods, and wildfires. This indicator supports the Department of Commerce's Environment goal to "Ensure communities and businesses have the necessary information, products, and services to prepare for and prosper in a changing environment." It specifically supports objective 3.2 to "Improve preparedness, response, and recovery from weather and water events by building a Weather-Ready Nation."							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	1) two webinars or training showing emergency and city planners how to navigate OTM-EM 2) two enhancements to OTM-EM	1) two webinars or training showing emergency and city planners how to navigate OTM-EM 2) two reviews of user feedback on enhancements to OTM-EM	1) two webinars or training showing emergency and city planners how to navigate OTM-EM 2) two reviews of user feedback on enhancements to OTM-EM
Actual	N/A	N/A	N/A	N/A	N/A	1) two webinars or training showing emergency and city planners how to navigate OTM-EM 2) two enhancement to OTM-EM		
Status	N/A	N/A	N/A	N/A	N/A	Met		
Trend	Not enough data							
Validation and Verification								
Data Source	Program schedules, plans, and reports							
Frequency	Ongoing							
Data Storage	Schedules, plans, databases, and the Intranet							
Internal Control Procedures	Periodic review, monitor, management control, and comparison of schedules							
Data Limitations	None							
Actions to be Taken	Continue quarterly reviews of performance data and status reports							

Objective 4.1: Transform the Department's data capacity to enhance the value, accessibility and usability of Commerce data for government, business and the public.

Indicator	Percentage of milestones met for "Find it-Connect it"							
Description	In order to best serve the public and their diverse interests, the Department will format its data in a manner that can be queried from any of a number of different perspectives through the creation of a common system: Find it-Connect It. This new service will guide users to interoperable data sets with built-in intelligence to make data easier to access, use, download, and combine. This Indicator supports the Department of Commerce's Data goal to "Improve government, business, and community decisions and knowledge by transforming Department data capabilities and supporting a data-enabled economy." It specifically supports objective 4.1 to "Transform the Department's data capacity to enhance the value, accessibility and usability of Commerce data for government, business and the public."							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	100%	100%	100%
Actual	N/A	N/A	N/A	N/A	N/A	100%		
Status	N/A	N/A	N/A	N/A	N/A	Met		
Trend	Not enough data							
Validation and Verification								
Data Source	Program schedules, plans, and reports							
Frequency	Ongoing							
Data Storage	Schedules, plans, databases, and the Intranet							
Internal Control Procedures	Periodic review, monitor, management control, and comparison of schedules							
Data Limitations	None							
Actions to be Taken	Continue quarterly reviews of performance data and status reports							

Objective 4.2 Improve data-based services, decision-making, and data sharing within the Department and with other parts of the federal government

Indicator	Cost efficiency of 2020 decennial census							
Description	Due to the nature of this program, it is important to track long-term quality, cost, and delivery schedule goals. The Census Bureau has embarked on a multi-year research and testing program focused on major innovations to the design of the census and oriented around major cost drivers. This Indicator supports the Department of Commerce's Data goal to "Improve government, business, and community decisions and knowledge by transforming Department data capabilities and supporting a data-enabled economy." It specifically supports objective 4.2 to "Improve data-based services, decision-making, and data sharing within the Department and with other parts the federal government."							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	Two field tests that will inform cost and quality goals for the 2020 Census	Preliminary design for key components of the 2020 Census to achieve cost and quality goals	<ol style="list-style-type: none"> 1) Conduct additional testing of self-response contact strategies, focusing on optimizing timing of contacts and support for non-English-speaking populations 2) Conduct a field test to further examine the reengineered approach to field staff management, and the associated operations control system that was piloted in FY 2015 testing. 3) Approach to field management processes and systems is proven in. 4) Approaches are selected for supporting non-English languages for the 2020 Census 5) Conduct feasibility test(s) of consolidation of field operations 6) Conduct testing of Group Quarters operational design
Actual	N/A	N/A	N/A	N/A	N/A	Two field tests that will inform cost and quality goals for the 2020 Census		
Status	N/A	N/A	N/A	N/A	N/A	Met		
Trend	Not enough data							
Validation and Verification								
Data Source	Program schedules, plans, and reports							
Frequency	Ongoing							
Data Storage	Schedules, plans, databases, and the Intranet							
Internal Control Procedures	Periodic review, monitor, management control, and comparison of schedules							
Data Limitations	None							
Actions to be Taken	Continue quarterly reviews of performance data and status reports							

Indicator	Percentage of milestones met for business assistance analysis							
Description	The federal government provides billions of dollars in business assistance programs each year. The Department is responsible for many such programs. Analyzing the effectiveness of this assistance and identifying key drivers of success can be difficult and time-consuming. Better and perhaps faster assessments could be made if the federal government's existing economic, demographic, and scientific data are applied to the decision-making process in a meaningful way. The aim is to arrive at the best way to incorporate information and analyses gleaned from existing datasets into business-assistance program decisions. This Indicator supports the Department of Commerce's Data goal to "Improve government, business, and community decisions and knowledge by transforming Department data capabilities and supporting a data-enabled economy." It specifically supports objective 4.2 to "Improve data-based services, decision-making, and data sharing within the Department and with other parts the federal government."							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	100%	100%	100%
Actual	N/A	N/A	N/A	N/A	N/A	100%		
Status	N/A	N/A	N/A	N/A	N/A	Met (see notes)		
Trend	Not enough data							
Notes	Two projects were scheduled to be initiated in FY 2014, with work continuing into FY 2015 - one for the International Trade Administration (ITA) and one for the Minority Business Development Agency (MBDA). The ITA project is on schedule. However, the MBDA project was cancelled due to concerns about that agency's legal authorities surrounding the provision of data to the Census Bureau. Because the ITA project is on schedule and the circumstances surrounding the cancellation of the MBDA project, we consider this target to be met for FY 2014.							
Information Gaps	New Indicator for FY 2014							
Validation and Verification								
Data Source	Program schedules, plans, and reports							
Frequency	Ongoing							
Data Storage	Schedules, plans, databases, and the Intranet							
Internal Control Procedures	Periodic review, monitor, management control, and comparison of schedules							
Data Limitations	None							
Actions to be Taken	Continue quarterly reviews of performance data and status reports							

Indicator	Percentage of key activities for cyclical census programs completed on time to support effective decision-making by policymakers, businesses and the public.							
Description	Due to the cyclical nature of these programs, it is important to track annual key activities that support the programs. The internal activities that are tracked are those considered to be the most important in meeting the long-term goals of the cyclical census programs. This Indicator supports the Department of Commerce's Data goal to "Improve government, business, and community decisions and knowledge by transforming Department data capabilities and supporting a data-enabled economy." It specifically supports objective 4.2 to "Improve data-based services, decision-making, and data sharing within the Department and with other parts the federal government."							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	At least 90%	At least 90%	At least 90%	At least 90%	At least 90%	90%	90%	90%
Actual	At least 90%	At least 90%	At least 90%	At least 90%	At least 90%	90%		
Status	Met	Met	Met	Met	Met	Met		
Trend	Stable							
Validation and Verification								
Data Source	Activity schedules kept by each of the cyclical census programs.							
Frequency	Ongoing, based on activity schedules.							
Data Storage	The Census Bureau program offices maintain activity schedules and performance data.							
Internal Control Procedures	The Census Bureau compares actual completion dates with scheduled dates. Performance data are reviewed quarterly.							
Data Limitations	None							
Actions to be Taken	Continue quarterly reviews of performance data							

Objective 4.3: Collaborate with the business community to provide more timely, accurate, and relevant data products and services for customers

Indicator	Percentage of key data products for Census Bureau programs released on time to support effective decision-making of policymakers, businesses, and the public.							
Description	Ensuring that data products are released on schedule is essential. OMB Statistical Directive Number 3 requires that the data for the principle economic indicators be released within prescribed time periods. The impact of not meeting release dates for the economic indicators is much more serious, so two separate targets are noted. This indicator supports the Department of Commerce's Data goal to "Improve government, business, and community decisions and knowledge by transforming Department data capabilities and supporting a data-enabled economy." It specifically supports objective 4.3 to "Foster the private sector's development of new data-based businesses, products and services."							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) 90% of other key surveys	1) 100% of Economic Indicators 2) 90% of other key surveys	1) 100% of Economic Indicators 2) 90% of other key surveys
Actual	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) At least 90% of other key surveys	1) 100% of Economic Indicators 2) 86% of other key surveys		
Status	Met	Met	Met	Met	Met	Met		
Trend	Stable							
Notes	Two of the 15 "other key surveys" that comprise this measure missed at least one data release milestone. However, the 86% performance result falls within the "met range" since the result is within 10% of the 90% target for this measure.							
Validation and Verification								
Data Source	Actual data releases by Census Bureau programs.							
Frequency	The frequency of data releases varies. Release dates are often published in advance.							
Data Storage	Data release information is stored in Census Bureau systems & public data.							
Internal Control Procedures	Performance data are verified by comparing actual release dates with scheduled release dates. Methodological standards for surveys are publicly reported.							
Data Limitations	Data that are released must adhere to Title 13 requirements to protect respondents' confidentiality.							
Actions to be Taken	Continue quarterly reviews of performance data							

Part 5: Other Indicators

NONE

Part 6: Agency Priority Goals

None of the Census Bureau's GPRA Performance Goals have been identified by the Department of Commerce as an Agency Priority Goal.

Part 7: Resource Requirements Table

Funding for the Resource Requirements table reflects total direct obligations. Reimbursable obligations are included insofar that amounts can be reasonably be predicted with little variance from year to year, and could reasonably affect the performance of indicators. Funding and FTE appear at the objective level. Do not include IT funding (which is no longer required).

	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Estimate	FY 2016 Base	Increase / Decrease	FY 2016 Request
Objective 1.2: Increase U.S. exports by broadening and deepening the U.S. exporter base.										
Current Surveys and Programs	11.6	12.3	12.0	12.6	11.1	10.2	11.2	11.4	0.0	11.4
Subtotal Funding	11.6	12.3	12.0	12.6	11.1	10.2	11.2	11.4	0.0	11.4
Direct	11.6	12.3	12.0	12.6	11.1	10.2	11.2	11.4	0.0	11.4
Reimbursable										
Total	11.6	12.3	12.0	12.6	11.1	10.2	11.2	11.4	0.0	11.4
Subtotal FTE	86	86	86	86	86	79	86	86	0	86
Objective 2.4: Accelerate the development of industry-led skills strategies that result in a productive workforce for employers and high-quality jobs for workers.										
Current Surveys and Programs	10.3	12.5	11.0	11.3	10.6	8.1	9.9	9.9	0.0	9.9
Subtotal Funding	10.3	12.5	11.0	11.3	10.6	8.1	9.9	9.9	0.0	9.9
Direct	10.3	12.5	11.0	11.3	10.6	8.1	9.9	9.9	0.0	9.9
Reimbursable										
Total	10.3	12.5	11.0	11.3	10.6	8.1	9.9	9.9	0.0	9.9
Subtotal FTE	130	171	161	164	181	25	31	31	0	31
Objective 3.2: Improve preparedness, response, and recovery from weather and water events by building a Weather-Ready Nation.										
Current Surveys and Programs	-	-	0.3	0.3	0.3		0.4	0.4	0.0	0.4
Periodic Censuses and Programs						0.6				
Subtotal Funding	-	-	0.3	0.3	0.3	0.6	0.4	0.4	0.0	0.4
Direct	-	-	0.3	0.3	0.3	0.6	0.4	0.4	0.0	0.4
Reimbursable										
Total	-	-	0.3	0.3	0.3	0.6	0.4	0.4	0.0	0.4
Subtotal FTE			5	5	6	2	1	1	0	1

Objective 4.1: Transform the Department's data capacity to enhance the value, accessibility and usability of Commerce data for government, business and the public.

Periodic Censuses and Programs	57.1	59.2	19.1	12.2	10.8	21.0	55.9	59.0	17.3	76.3
Subtotal Funding	57.1	59.2	19.1	12.2	10.8	21.0	55.9	59.0	17.3	76.3
Direct	57.1	59.2	19.1	12.2	10.8	21.0	55.9	59.0	17.3	76.3
Reimbursable										
Total	57.1	59.2	19.1	12.2	10.8	21.0	55.9	59.0	17.3	76.3
Subtotal FTE	182	259	214	144	94	41	128	145	84	229

Objective 4.2: Improve data based services, decision-making and data sharing within the Department and with other parts of the Federal Government.

Current Surveys and Programs										
Periodic Censuses and Programs	3,007.1	5,833.4	926.2	661.2	611.5	644.4	769.8	778.3	365.9	1,144.2
Subtotal Funding	3,007.1	5,833.4	926.2	661.2	611.5	644.4	769.8	778.3	365.9	1,144.2
Direct	3,007.1	5,833.4	926.2	661.2	611.5	644.4	769.8	778.3	365.9	1,144.2
Reimbursable										
Total	3,007.1	5,833.4	926.2	661.2	611.5	644.4	769.8	778.3	365.9	1,144.2
Subtotal FTE	22,033	88,956	5,901	4,318	3,997	4,095	4,578	4,578	1,029	5,607

Objective 4.3: Collaborate with the business community to provide more timely, accurate, and relevant data products and services for customers.										
Current Surveys and Programs	264.9	286.9	285.3	283.9	264.7	283.9	275.0	286.2	0.0	286.2
Periodic Censuses and Programs						.7	.2			
Reimbursable	248.4	233.9	293.0	312.6	339.8	283.3	331.7	267.7	0.0	267.7
Subtotal Funding	513.3	520.8	578.3	596.5	604.5	567.9	606.9	553.9	0.0	553.9
Direct	264.9	286.9	285.3	283.9	264.7	284.6	275.2	286.2	0.0	286.2
Reimbursable	248.4	233.9	293.0	312.6	339.8	283.3	331.7	267.7	0.0	267.7
Total	513.3	520.8	578.3	596.5	604.5	567.9	606.9	553.9	0.0	553.9
Subtotal FTE	4,229	4,132	4,594	4,838	5,338	4,537	5,430	5,017	15	5,032
Total Funding										
Direct	3,351.0	6,204.2	1,253.9	981.5	909.0	968.9	1,122.4	1,145.2	383.2	1,528.4
Reimbursable	248.4	233.9	293.0	312.6	339.8	283.3	331.7	267.7	0.0	267.7
Total	3,599.4	6,438.1	1,546.9	1,294.1	1,248.8	1,252.2	1,454.0	1,412.9	383.2	1,796.1
Total FTE	26,660	93,604	10,961	9,555	9,702	8,779	10,254	9,858	1,128	10,986

Part 8: Other Information

Section 8.1: Major Management Priorities, Challenges, and Risks

The Census Bureau is implementing new planning, budgeting, research, and testing processes for the 2020 Census. These efforts support innovations under development to drive the cost of the 2020 Census to 2010 levels (per housing unit; adjusted for inflation) while producing high quality data. Accomplishing our objectives includes developing a robust testing strategy to understand the feasibility of design alternatives to meet this goal. The strategy also includes building a robust program management and systems engineering and integration infrastructure that will provide the foundation for an effectively managed program.

The current budget climate and expectations of continuing uncertainty have necessitated that the Census Bureau apply even more diligence to how program funds are used. With major innovations needed to meet our cost and quality goals, devoting available funds to the prioritization critical work is essential.

To understand when decisions are needed, what work is needed in order to reach those decisions, and what funding supports the work, the Census Bureau has:

- Established a governance strategy that lays out roles and responsibilities, decision making processes, and aligning program controls;
- Continually assessed the priorities of the program against available budget;
- Reestablished schedule development and updates (delayed due to the reassessment described above), and increased efforts to develop and refine a roadmap of key decision points and milestones;

- Established a Testing and Research Strategies Team that reviews the methodologies, research plans, and test designs to ensure that approaches taken are sound and will provide the evidence needed to reach critical design decisions;
- Taken increased steps toward enterprise solutions that will create an integrated and standardized system of systems that offers shared data collection and processing services for operations across the Census Bureau; and,
- Continued implementation of strong program management and systems engineering disciplines around risk management, performance management, knowledge management, requirements management, and system architecture and infrastructure planning and development.
- In support of the Department’s objective to “strengthen organizational capabilities to drive customer-focused, outcomes-driven mission performance”, the Bureau is identifying mission-critical competencies, assessing competency distributions, analyzing gaps between current and desired states, and working to close core and emerging competency gaps.

Work continues to develop and refine efforts to use the American Community Survey (ACS) to further the research goals of the 2020 Program. Data from deployment of the Internet for ACS is providing a wealth of information to prepare the 2020 program for an Internet response option. Language support activities are being pursued to benefit both programs. As to the ACS Content Test previously planned for FY 2015, this test had to be delayed until FY 2016 due to the budgetary impacts of the FY 2013 sequestration.

OIG Management Challenges

Ensuring Timely Design Decision Making

The Census Bureau is approaching critical 2020 Census design decision points that require planning and developing a decennial census in a significantly more constrained budget environment than experienced during the 2010 Census. Soon, the Bureau must rapidly analyze 2020 decennial design alternatives and make key design decisions based on the results of its research and testing phase.

Focusing on Human Capital Management, Timely Research, and Testing Implementation

During the OIG’s 2020 Census redesign evaluation, the OIG noted significant schedule slippage in the Bureau’s key research and testing programs. If continued, the OIG believes the missed deadlines will translate into an untenable continuation of an already expensive design. The cost (in constant dollars) of counting each housing unit could reach \$151, compared with \$97 for 2010. Through the OIG’s ongoing work on the Bureau’s approach to and progress on planning for 2020 decennial census, they have identified three time-sensitive Bureau management priorities:

1. Managing human capital to align with the Bureau’s mission and programmatic goals
2. Completing timely research for making evidence-based design decisions
3. Implementing a stable, agile field-testing strategy

Managing human capital - As part of the decennial census planning effort, the Census Bureau is striving to improve the management and culture of the decennial directorate. The Bureau's two-pronged effort entails collaboration between its 2020 Census directorate and Human Resources division to (1) review required skills and competencies and (2) conduct a formal analysis to compare those requisite skills to the skills and capabilities of their current workforce. An objective and informative assessment of the Census Bureau's current workforce is critical to containing 2020 Census costs

Completing timely research - The Bureau's research agenda includes capturing lessons learned from the last decennial census and conducting research and testing projects that emphasize containing costs without diminishing information quality. In addition to the cancellation of 20 of the original 109 studies aimed to measure the Bureau's performance in the 2010 decennial, the OIG found that the Census Programs for Evaluations and Experiments program results were often not implemented as designed to inform the 2020 R&T program. The OIG also found the Census Bureau is experiencing schedule slippage and project delays in its R&T program that affect subsequent research phases and design decision points. The multifaceted and interrelated nature of the research program underscores the necessity of adhering to a schedule to make timely, evidence-based design decisions. Another challenge identified in the OIG's report is to develop a schedule that provides managers and oversight stakeholders with valid, timely, accurate, and auditable performance information on which to base critical decisions. The OIG believes that the Census Bureau alters baselines (i.e., rebaselines), which can conceal delays and give the appearance that schedules are met.

Implementing a stable, agile field-testing strategy - Testing operations in real-life situations is critical to ensuring that research results yield improvements in the decennial census. However, field test plans are in flux: their schedule has been pushed back three times, with an FY 2016 completion date reflecting a year-and-a-half delay. Further, the Census Bureau canceled 13 of 25 scheduled field tests. Frequent schedule changes, testing delays, and cancellations threaten the Bureau's ability to incorporate test results into subsequent research and design decisions. The Bureau cites the major impacts of the Congressional budget cut and sequestration as a cause for the changes in content and timing of its research and testing efforts.

Section 8.2: Cross-Agency Priority Goals / Collaborations

The Census Bureau has a long history of collaborating with other Federal agencies to achieve objectives, priority goals, and performance goals. A few examples include:

- More than \$400 billion in Federal funds distributed to state, local, and tribal governments each year is based, at least in part, on Census Bureau data.
- One of our flagship programs, the Current Population Survey, is a joint program with the Bureau of Labor Statistics and is the source unemployment estimates.
- We collaborate extensively with the Bureau of Economic Analysis in the collection of key data about the Nation's Economy that our sister agency uses to produce estimates of Gross Domestic Product, or GDP, and other major indicators of the health and direction of the economy.
- The Census Bureau collaborates with U.S. Customs and Border Protection on the Automated Export System, which we use to compile monthly export statistics.

The above list is not comprehensive. The Census Bureau collaborates with other Federal, as well as state, local, tribal and non-governmental organizations in many areas. We also offer our robust data collection infrastructure to other agencies on a reimbursable basis, thereby leveraging economies of scale and avoiding unnecessary duplication in the collection of statistical data across the government.

The US Census Bureau is not a leader of or a participant in any Cross-Agency Priority Goals.

Section 8.3: Evidence Building

Balanced Scorecard

The Balanced Scorecard is a strategic planning and management system used to align business activities to the vision and strategy of the organization, improve internal and external communications, and monitor organization performance against strategic goals.

The Census Bureau conducts quarterly reviews of key performance indicators using the "Balanced Scorecard." The measures in the Balanced Scorecard represent the most critical indicators of program performance for the Census Bureau; and they are incorporated into the performance plans for the Senior Executive Service members responsible for the attainment of the performance targets for these measures.

Program Management Reviews

Beginning in 2013, the Census Bureau identified the mission-critical, high-priority programs, which are subject to formal Program Management Reviews by the Census Bureau's Operating Committee. These programs include the 2020 Census, the American Community Survey, the 2017 Economic Census, the 2017 Census of Governments, and the Geography Systems Support Initiative. The objective of these reviews is to ensure that there is executive insight into major program performance and to identify relationships between and among these mission-critical programs so that efficiencies can be exploited. These reviews provided program background, status, measures, risks, and program manager requests for support. The reviews will be continued on a rolling basis.

Strategic Workforce Planning

The Census Bureau has developed a new capability for strategic workforce planning. The overall measure of this program's performance is that the Census Bureau has strategies in place to ensure it has a workforce competency supply that meets management needs. The data collection phase of the capability has been underway and will continue until 2014. The new program provides competency definition, data collection methods, analysis methods, and reporting and measurement processes. Strategic workforce planning provides management with the "as is" workforce, requests information on whether the current workforce meets current and future needs, identifies gaps, and applies strategies to close the gaps. Once the program is baselined in the fourth quarter of 2014, the Census Bureau will use Government Accountability Office standards on workforce planning and lessons learned as to determine the efficacy and effectiveness of the process. The actual strategic workforce planning action plans developed in the first quarter of 2014 for Headquarters employees in professional series and in the fourth quarter of 2014 for all other employees contain targets for closing workforce gaps and will be used to measure the effectiveness of the actual strategies to close the gaps. Finally, the second round of the as-is skills assessment will provide measures of which gaps have been closed or reduced.

2020 Census

The National Academy of Sciences (NAS) provides scientific and research expertise to the 2020 Census Program. Specifically, NAS has assembled a panel of experts to conduct a five-year review of the 2010 Census operations and a comprehensive evaluation of the statistical methods and operational procedures tested during the 2020 Research and Testing Program. As part of this evaluation, smaller working groups have been established to provide expert advice about ongoing research in four of the 2020 Census research themes (geographic resources, self-response options, field re-engineering, and use of administrative records). Because of these collaborative exchanges, the work groups have helped to identify priority directions for implementing a testing program that will lead to a successful and more cost-effective 2020 census. At the conclusion of this ongoing program evaluation in 2014, NAS will produce a written review of our research efforts along with recommendations to improve certain operations for the 2020 Census.

American Community Survey

The Census Bureau has asked the Census Scientific Advisory Committee to review the ACS group quarters program and make recommendations on improving sampling efforts and data collection issues with certain group quarter types. Additionally, the Census Bureau has asked the National Advisory Committee (NAC) Working Group on ACS to review, assess, and provide recommendations on research that can improve ACS estimates of small populations. The group was chartered in early spring of 2013. They have two formal meetings with the Census Bureau a year, in the spring and fall. The NAC Working Group conducts conference calls between these formal meetings to achieve their objectives. The group submitted their recommendations during their 2014 spring meeting.

Section 8.4: *Hyperlinks*

For information about the CNSTAT evaluation and NAS panel members, please see http://sites.nationalacademies.org/DBASSE/CNSTAT/CurrentProjects/DBASSE_071203

Section 8.5: *Data Validation and Verification*

The FY 2014 Summary of Performance and Finance Information includes in the Secretary's Statement, an assessment of the reliability and completeness of the Department's performance data. The Data Validation and Verification information is shown with each performance indicator in Section 4.3.

Section 8.6: *Lower-Priority Program Activities*

The President's Budget identifies the lower-priority program activities, where applicable, as required under the GPRA Modernization Act, 31 U.S.C. 1115(b)(10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget>.

Economic Development Administration

Part 1: Agency and Mission Information

Section 1.1: Overview

As the only federal agency with economic development as its exclusive mission, EDA promotes the economic ecosystems in which jobs are created, through a wide range of technical, planning, public works, and innovation infrastructure investments. EDA strives to advance global competitiveness, foster the creation of high-paying jobs, and leverage public and private resources strategically.

EDA's investments establish a foundation for sustainable job growth and the building of durable regional economies throughout the United States. Guided by the basic principle that communities must be empowered to develop and implement their own economic development and revitalization strategies, EDA works directly with a large network of local economic development officials to support bottom up, regionally-owned economic development initiatives; serve as strategic, catalytic seed investments; attract and leverage private capital investment; and emphasize innovation, entrepreneurship, and regional competitiveness. This network includes local and state officials, University Centers, Economic Development Districts, Indian Tribes, non-profits, and economic development practitioners and thought leaders from across the nation. Working in collaboration with these entities, EDA is able to develop and deploy effective policies which result in grant investments that are well defined, timely, and linked to long term sustainable economic development strategies.

EDA administers the majority of its grant programs through its network of six regional offices, which is supported by a headquarters office based in Washington, DC. Additional information on EDA's structure, operations, organizational structure, and number of employees can be found in the Exhibits 12 – 15 in the section on Salaries and Expenses.

Section 1.2: Mission Statement

The Economic Development Administration's (EDA) mission directly supports the Department of Commerce's (the Department) goal to maximize U.S. competitiveness, enhance manufacturing, increase exports, and foster regional economic growth to support job creation and foster prosperity for communities across the nation.

Mission Statement

To lead the federal economic development agenda by promoting innovation and competitiveness, preparing American regions for growth and success in the worldwide economy.

Part 3: Strategic Goals and Objectives

Section 3.1: Corresponding DoC Strategic Goals, and Objectives

Goal	Objective Number	Objective Name	Leader
Trade and Investment	1.2	Increase U.S. exports by broadening and deepening the U.S. exporter base.	Tom Guevara, Deputy Assistant Secretary for Regional Affairs
Trade and Investment	1.3	Increase high-impact and high-growth potential inward foreign direct investment in the United States	Tom Guevara, Deputy Assistant Secretary for Regional Affairs
Innovation	2.2	Increase the capacity of U.S. regional economies to accelerate the production of value-added goods and services by providing services to and investments in businesses and communities	Tom Guevara, Deputy Assistant Secretary for Regional Affairs
Innovation	2.4	Accelerate the development of industry-led skills strategies that result in a productive workforce for employers and high-quality jobs for workers	Tom Guevara, Deputy Assistant Secretary for Regional Affairs
Innovation	2.5	Accelerate growth of innovation-intensive economic sectors by building public and private capacity to invent, improve, and commercialize new products and services	Tom Guevara, Deputy Assistant Secretary for Regional Affairs
Environment	3.3	Strengthen the resiliency of communities and regions by delivering targeted services to build capacity	Tom Guevara, Deputy Assistant Secretary for Regional Affairs

Section 3.2: Strategies for Objectives

Guided by the basic principle that communities must be empowered to develop and implement their own economic development and revitalization strategies, EDA’s investments are designed to be catalytic drivers of economic changes and advancement within their communities. By working directly with local and state governments, Economic Development Districts, universities and community colleges, Native American tribes, and non-profit organizations, EDA enables economically distressed communities to build upon their unique assets, strengths and opportunities to guide their economic future.

EDA’s bottom-up approach translates into flexible programs that cut across Departmental goals to spur Innovation and Entrepreneurship, and foster Market Development and Commercialization.

EDA investments support long-term collaborative regional economic development approaches, enhance innovation and competitiveness, encourage entrepreneurship, and connect regional economies with the worldwide marketplace. EDA’s investment guidelines set standards to achieve its performance goals of promoting private investment and job creation in distressed communities

and regions. Potential investments must build on a region's existing assets, support sustainable economic growth, offer a positive return on the taxpayer's investment, and mitigate the area's distress.

The Public Works Program provides the critical 21st century innovation infrastructure necessary to ensure that regions can successfully compete in a global, knowledge-driven economy. Through the Public Works (PW) Program, EDA makes strategic investments to help communities build or expand access to key infrastructure assets which are critical inputs to driving regional competitiveness and long-term economic prosperity.

The Economic Adjustment Assistance Program (EAA Program) provides regions with resources to plan and implement projects that increase the innovation potential of their locale. Importantly, the EAA program provides specific authorities that allow it to work with communities to proactively identify, plan, and mitigate economic transformation or dislocations, and generally projects funded through this program directly respond to or help a community prepare and mitigate economic dislocations. As the most flexible program in EDA's toolbox, the EAA Program provides the Agency a robust array of resources that can be brought to bear to help support construction, technical assistance, and financing projects that will help distressed communities become more competitive and more prosperous in the long-term.

The Regional Innovation Strategies Program provides resources to help regions cultivate their unique regional assets to support the growth of innovation clusters to fully maximize their economic potential. Innovation is the key to long-term productivity that increase wages, firm growth and global competitiveness. Funds may also be used to support inter-agency challenge competitions supporting regional innovation strategies.

EDA's Partnership Planning Program provides resources to enable communities to conduct planning investments that encourage and support professional planning critical for the subsequent development of 21st century innovation infrastructure.

The Technical Assistance Program provides strategic resources at the local, regional, and national level to create and disseminate innovative new tools that can enhance economic development decision-making.

The Research and Evaluation Program funds' investments to conduct research in emerging economic development concepts. The results of these investments offer insights that are disseminated through National Technical Assistance to help practitioners support growth of their region. The Research and Evaluation Program has examined topics such as regional collaboration, incubators and science parks, triple bottom line metrics, and regional innovation clusters.

The Trade Adjustment Assistance for Firms Program provides technical assistance to help U.S. firms experiencing negative impacts due to the increase in imports of like or directly competitive articles, to become more competitive in the global marketplace.

Section 26 Innovative Manufacturing Loan Guarantee Program provides financing to small- to medium-sized manufacturers for projects that re-equip, expand, or establish a manufacturing facility in the United States for the use or production of innovation

technology. This loan program also supports commercializing an innovative product, process or idea developed by research funded in whole or in part by a grant from the Federal government.

EDA continues to pursue and implement management improvements and initiatives that make good business sense and support the Bureau's mission and its Strategic Objectives. EDA is committed to achieving its mission of fostering economic development in communities throughout the nation while also achieving four key objectives that inform our approach to performance measurement: (1) supporting effective outcomes, (2) implementing and managing programs and initiatives in an efficient operational manner, (3) leading the economic development agenda by supporting thought leadership that can inform and drive effective decision making by economic development practitioners and policymakers across the nation, and (4) acting as a responsible steward of the taxpayer investment.

In order to meet its strategic objectives, EDA focuses on the following key areas:

- Cultivating the resiliency and sustainability of regional innovation ecosystems;
- Encouraging job creation and leveraging of private investment;
- Increasing exports and attract foreign direct investment;
- Providing responsive, effective feedback to applicants; and,
- Promoting organizational excellence.

To guide the Agency's overarching work toward supporting these Strategic Objectives, EDA has established the following investment priorities:

Collaborative Regional Innovation

Initiatives that support the development and growth of innovation clusters based on existing regional competitive strengths. Initiatives must engage stakeholders; facilitate collaboration among urban, suburban, and rural (including tribal) areas; provide stability for economic development through long-term intergovernmental and public/private collaboration; and support the growth of existing and emerging industries.

Public/Private Partnerships

Investments that use both public- and private-sector resources and leverage complementary investments by other government/public entities and/or nonprofits.

National Strategic Priorities

Initiatives that encourage job growth and business expansion related to advanced manufacturing; information technology (e.g., broadband, smart grid) infrastructure; communities severely impacted by automotive industry restructuring; urban waters; natural disaster mitigation and resiliency; access to capital for small, medium-sized, and ethnically diverse enterprises; and innovations in science and health care.

Global Competitiveness

Initiatives that support high-growth businesses and innovation-based entrepreneurs to expand and compete in global markets, especially investments that expand U.S. exports, encourage foreign direct investment, and promote the repatriation of jobs back to the U.S.

Environmentally-Sustainable Development

Investments that promote job creation and economic prosperity through projects that enhance environmental quality and develop and implement green products, processes, places, and buildings as part of the green economy. This includes support for energy-efficient green technologies.

Economically Distressed and Underserved Communities

Investments that strengthen diverse communities that have suffered disproportionate economic job losses and/or are rebuilding to become more competitive in the global economy.

EDA utilizes an array of traditional quantitative measures, as well as an array of qualitative measures designed to assess progress towards the implementation and realization of significant, long-term objectives that are not easily quantified. This combination of both types of measures provides a comprehensive perspective the EDA Senior Managers can utilize to assess progress on achieving goals, evaluate and shift resources to support the successful accomplishment of critical milestones, and learn and improve operations and policy.

Section 3.3: Progress Update for Strategic Objectives

In FY 2014, EDA invested approximately \$240 million in more than 600 locally-driven economic development projects in communities across the country. These strategic investments helped to drive the growth of the nation's manufacturing sector, spur innovation, and stimulate exports to create new jobs. EDA achieved success in three main areas during FY 2014: promoting innovation, supporting manufacturing, and harnessing data to assist with economic development.

EDA made significant strides in promoting the innovation platform of the Commerce Strategic Plan last fiscal year. In May, Secretary Pritzker announced the appointment of a new director of EDA's Office of Innovation and Entrepreneurship (OIE). OIE is charged with fostering a more innovative U.S. economy focused on turning new ideas and inventions into products and technologies that spur job growth and competitiveness while promoting economic development. In June, OIE announced it was accepting applications for the 2014-2016 National Council on Innovation and Entrepreneurship (NACIE), which will advise Secretary Pritzker on issues related to innovation, entrepreneurship, and industry-led skills training. In August, OIE launched a Regional Innovation Strategies program, a \$15 million grant competition designed to spur innovation capacity-building activities in regions across the nation. Under this program, EDA solicited applications for three separate funding opportunities, including: the i6 Challenge, Science and Research Park

Development grants, and cluster grants to support the development of Seed Capital Funds. The program garnered 257 applicants requesting more than \$100 million in support. The grants will be awarded in early 2015.

EDA also extensively supported efforts to bolster American manufacturing in FY 2014, investing in roughly 89 manufacturing projects, totaling nearly \$78 million. The projects were diverse, representing different industries, different geographies, and different community needs. Half of the manufacturing projects EDA supported in the last fiscal year were construction projects, which are expected to create more than 7,000 jobs and generate nearly \$4.3 billion in private investment. Beyond supporting manufacturing through economic development grants, EDA also continued its work on the Investing in Manufacturing Communities Partnership (IMCP) program.

IMCP is a critical part of Commerce's 'Open for Business Agenda' to strengthen the American manufacturing sector and attract more investment to the United States and is a great example of the way the President is leading the Federal government in a more coordinated way to better serve the American people. In May of this year, Secretary of Commerce Penny Pritzker announced the first 12 designated manufacturing communities under the IMCP initiative. Of the more than 70 communities that applied, the 12 were selected by an interagency panel based on the strength of their economic development plans, the potential for impact in their communities, and the depths of their partnerships across the public and private sector to carry out their plans. These 12 Manufacturing Communities are diverse, public-private consortiums that have put in place best practice economic development strategies that can be replicated by other American communities – including all those who applied for the IMCP designation.

On the data front, in June, EDA, in partnership with Harvard Business School's Institute for Strategy and Competitiveness, launched the Cluster Mapping Tool and Registry, a national economic initiative based at Harvard. The U.S. Cluster Mapping and Registry project aims to strengthen U.S. competitiveness by understanding the economic performance of clusters and regions across the United States. This resource provides a modern web experience, with access to actionable cluster and regional data reflecting the state of today's economy. With an extensive organization registry, this tool can help connect businesses with the organizations that are promoting their clusters. The project allows users to share and discuss best practices in economic development, policy and innovation by compiling a user-contributed repository of cluster initiatives, studies, and news reports.

Section 3.4: Next Steps

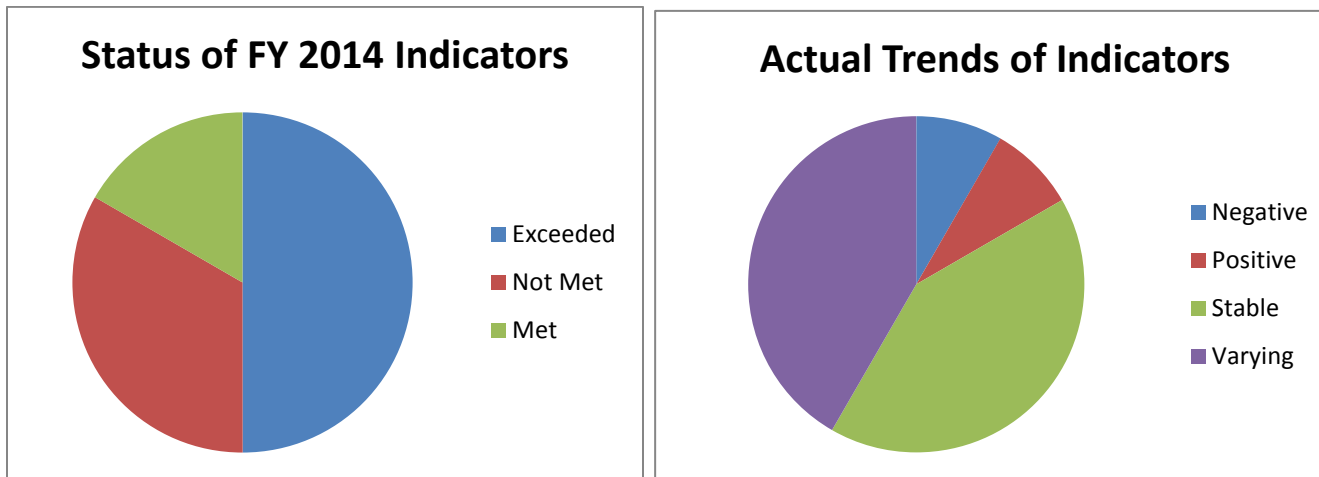
To maximize the job creation impact of workforce development investments, the workforce developers, economic developers, educators, businesses, and other stakeholders have to be actively engaged and working together. As all of these stakeholders are working towards the same overall goal of America's economic growth and prosperity, the question is how to get them to complement each other's efforts to get there faster. To assist with this, in FY 2015, EDA will launch a pilot initiative to identify best practices in regional collaboration around job-driven workforce and economic development regional partnership and to facilitate the sharing of best practices in workforce development investments across communities. This project is aimed at finding replicable ways to accelerate the development of relationships between local development resources and businesses and get them to work together

and forms an integral part of EDA’s strategy in FY 2015 under Strategic Objective 2.4. In FY 2016, EDA’s vision is to continue to make investments in communities based on their locally-driven strategies and needs which could include planning, infrastructure or other investments that might spur local innovation and entrepreneurship. Specifically, this would include infusing the concept of economic resilience and integrating other regional planning efforts, including the use of other available Federal funds, private sector resources, and state support, which can advance a region’s Comprehensive Economic Development Strategies (CEDS) goals and objectives. Sound local planning also attracts other Federal, state, and local funds plus private sector investments to implement long-term development strategies. In this way, EDA’s Partnership Planning program plays a foundational role in helping communities develop important strategies that inform future economic development decisions.

To further its work under Strategic Objective 3.3, EDA regulations, released in early fall 2014, include a requirement for a resiliency component in EDA-funded Comprehensive Economic Development Strategies (CEDS). EDA’s corresponding CEDS Content Guidelines were released at the same time. The resiliency component will further EDA’s efforts to ensure that communities are proactive in their efforts to withstand economic and environmental shocks, and make strategic choices in the face of hardship in order to reap long-term economic benefits rather than short-term gains.

Part 4 Performance Goals / Indicators

Section 4.1: Summary of Performance



Status is based on the following standard:

Exceeded	More than 100 percent of target
Met	90 - 100 percent of target
Not Met	Below 90% of target

An indicator with a positive trend is one in which performance is improving over time while a negative trend is an indicator that has declining performance. A stable trend is one in which the goal is to maintain a standard, and that that is occurring. A varying trend is one in which the data fluctuates too much to indicate a trend. At a minimum these indicators must have three years of data.

Section 4.2: Summary of Indicator Performance

Indicator	Target	Actual	Status	Trend
Private Investment Leveraged - 9 year totals (in millions)	1,349	2,958	Exceeded	Varying
Private Investment Leveraged - 6 year totals (in millions)	612	1,744	Exceeded	Stable
Private Investment Leveraged - 3 year totals (in millions)	224	951	Exceeded	Varying
Jobs Created/Retained - 9 year totals	36,386	33,822	Met	Varying
Jobs Created/Retained - 6 year totals	15,640	12,486	Not Met	Varying
Jobs Created/Retained - 3 year totals	5,357	6,538	Exceeded	Varying
Percentage of Economic Development Districts (EDD) and Indian Tribes implementing economic development projects from the Comprehensive Economic Development Strategy (CEDs) that lead to private investment and jobs.	95.0%	92.4%	Met	Varying
Percentage of sub-state jurisdiction members actively participating in the Economic Development District (EDD) program.	89.0%	80.3%	Met	Varying
Percentage of University Center Clients Taking Action as a Result of the Assistance Facilitated by the University Center (UC).	75.0%	73.2%	Met	Negative
Percentage of Those Actions Taken by University Center (UC) Clients that Achieved the Expected Results.	80.0%	91.7%	Exceeded	Varying
Percentage of Trade Adjustment Assistance Center (TAAC) clients taking action as a result of the assistance facilitated by the TAAC.	90.0%	77.8%	Not Met	Varying
Percentage of those actions taken by TAAC clients that achieved the expected results.	95.0%	100.0%	Exceeded	Stable

Section 4.3 Detailed Indicator Plans and Performance

The following 10 measures associated with EDA overlap among Strategic Objectives 1.2, 1.3, 2.2, 2.4, 2.5, 3.3.

Indicator	Jobs Created/Retained - 9 year totals
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Description	The formula-driven calculation projects investment data at 3, 6, and 9 year intervals from the investment award. The formula is based on a study done by Rutgers University, which compiled and analyzed the performance of EDA construction investments after 9 years. This approach was reviewed and validated by third-party analysis conducted by Grant Thornton in 2008. Based on this formula and a review of EDA's historical results, EDA estimates that 40% of the 9-year projection would be realized after 3 years, 75% after 6 years, and 100% after 9 years.
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Measurement Year ¹	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	56,500	72,000	57,800	45,800	44,853	36,386	35,097	33,141
Actual	45,866	66,527	56,058	12,675	33,088	33,822		
Status	Not Met	Met	Met	Not Met	Not Met	Met		

¹ Measurement year is nine years after the award was granted. Targets for FY 2016 reflect expected outcomes of projects funded by EDA in FY 2007.

Trend	Varying
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Actions to be taken / Future Plans	None
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Adjustments to targets	No Changes
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Information Gaps	None
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Indicator	Jobs Created/Retained - 6 year totals
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Description	The formula-driven calculation projects investment data at 3, 6, and 9 year intervals from the investment award. The formula is based on a study done by Rutgers University, which compiled and analyzed the performance of EDA construction investments after 9 years. This approach was reviewed and validated by third-party analysis conducted by Grant Thornton in 2008. Based on this formula and a review of EDA's historical results, EDA estimates that 40% of the 9-year projection would be realized after 3 years, 75% after 6 years, and 100% after 9 years.
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Measurement Year ¹	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	22,900	22,427	18,193	17,548	16,570	15,640	27,958	15,834
Actual	24,533	26,695	26,416	36,046	12,685	12,486		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Not Met	Not Met		

¹ Measurement year is six years after the award was granted. Targets for FY 2016 reflect expected outcomes of projects funded by EDA in FY 2010.

Trend	Varying
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Explanation (if not met in FY 2014)	Results of EDA jobs created/retained appear to reflect the recent economic downturn. This finding is supported by EDA GPRA validation site visits, during which grantees generally cited the negative impact of the economic downturn as a primary factor for underperformance.
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Actions to be taken / Future Plans	None
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Adjustments to targets	No Changes
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Information Gaps	None
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Indicator	Jobs Created/Retained - 3 year totals
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Description	The formula-driven calculation projects investment data at 3, 6, and 9 year intervals from the investment award. The formula is based on a study done by Rutgers University, which compiled and analyzed the performance of EDA construction investments after 9 years. This approach was reviewed and validated by third-party analysis conducted by Grant Thornton in 2008. Based on this formula and a review of EDA's historical results, EDA estimates that 40% of the 9-year projection would be realized after 3 years, 75% after 6 years, and 100% after 9 years.
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Measurement Year ¹	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	7,019	6,628	6,256	11,183	6,333	5,357	4,939	3,633
Actual	9,137	9,159	14,842	6,040	13,576	6,538		
Status	Exceeded	Exceeded	Exceeded	Not Met	Exceeded	Exceeded		

¹ Measurement year is three years after the award was granted. Targets for FY 2016 reflect expected outcomes of projects funded by EDA in FY 2013.

Trend	Varying
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Actions to be taken / Future Plans	None
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Adjustments to targets	No Changes
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Information Gaps	None
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Indicator	Private Investment Leveraged - 9 year totals (in millions)
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Description	The formula-driven calculation projects investment data at 3, 6, and 9 year intervals from the investment award. The formula is based on a study done by Rutgers University, which compiled and analyzed the performance of EDA construction investments after 9 years. This approach was reviewed and validated by third-party analysis conducted by Grant Thornton in 2008. Based on this formula and a review of EDA's historical results, EDA estimates that 40% of the 9-year projection would be realized after 3 years, 75% after 6 years, and 100% after 9 years.
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Measurement Year ¹	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	\$2,040	\$2,410	\$1,940	\$1,620	\$1,637	\$1,349	\$1,324	\$1,293
Actual	\$2,210	\$2,758	\$3,960	\$1,593	\$3,466	\$2,958		
Status	Exceeded	Exceeded	Exceeded	Met	Exceeded	Exceeded		

¹ Measurement year is nine years after the award was granted. Targets for FY 2016 reflect expected outcomes of projects funded by EDA in FY 2007.

Trend	Varying
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Actions to be taken / Future Plans	None
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Adjustments to targets	No Changes
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Information Gaps	None
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Indicator	Private Investment Leveraged - 6 year totals (in millions)
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Description	The formula-driven calculation projects investment data at 3, 6, and 9 year intervals from the investment award. The formula is based on a study done by Rutgers University, which compiled and analyzed the performance of EDA construction investments after 9 years. This approach was reviewed and validated by third-party analysis conducted by Grant Thornton in 2008. Based on this formula and a review of EDA's historical results, EDA estimates that 40% of the 9-year projection would be realized after 3 years, 75% after 6 years, and 100% after 9 years.
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Measurement Year ¹	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	\$810	\$824	\$674	\$662	\$647	\$612	\$1,093	\$652
Actual	\$855	\$2,281	\$1,617	\$2,402	\$2,063	\$1,744		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		

¹ Measurement year is six years after the award was granted. Targets for FY 2016 reflect expected outcomes of projects funded by EDA in FY 2010.

Trend	Stable
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Actions to be taken / Future Plans	None
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Adjustments to targets	No Changes
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Information Gaps	None
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Indicator	Private Investment Leveraged - 3 year totals (in millions)
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Description	The formula-driven calculation projects investment data at 3, 6, and 9 year intervals from the investment award. The formula is based on a study done by Rutgers University, which compiled and analyzed the performance of EDA construction investments after 9 years. This approach was reviewed and validated by third-party analysis conducted by Grant Thornton in 2008. Based on this formula and a review of EDA's historical results, EDA estimates that 40% of the 9-year projection would be realized after 3 years, 75% after 6 years, and 100% after 9 years.
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Measurement Year ¹	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	\$265	\$259	\$245	\$437	\$261	\$224	\$210	\$156
Actual	\$484	\$1,544	\$1,475	\$837	\$1,076	\$951		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		

¹ Measurement year is three years after the award was granted. Targets for FY 2016 reflect expected outcomes of projects funded by EDA in FY 2013.

Trend	Varying
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Actions to be taken / Future Plans	None
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Adjustments to targets	No Changes
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Information Gaps	None
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Indicator	Percentage of Economic Development Districts (EDD) and Indian Tribes implementing economic development projects from the Comprehensive Economic Development Strategy (CEDS) that lead to private investment and jobs.
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Description	This measure provides an indication of whether the CEDS process is market based and whether EDA is helping to create an environment conducive to the creation and retention of higher skill, higher wage jobs. Research conducted on FY 2002 data established a baseline measure for subsequent years.
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Measurement Year	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	95.0%	95.0%	95.0%	95.0%	95.0%	95.0%	95.0%	95.0%
Actual	92.9%	89.1%	86.0%	90.0%	89.2%	92.4%		
Status	Met	Met	Met	Met	Met	Met		

Trend	Varying
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Actions to be taken / Future Plans	None
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Adjustments to targets	No Changes
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Information Gaps	None
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Indicator	Percentage of sub-state jurisdiction members actively participating in the Economic Development District (EDD) program.
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Description	EDDs generally consist of three or more counties that are considered member jurisdictions. Sub-state jurisdiction participation indicates the District's responsiveness to the area it serves and shows that the services it provides are of value. Active participation was defined as either attendance at meetings or financial support of the EDD during the reporting period. Sub-state jurisdiction members are independent units of government (cities, towns, villages, counties, etc.) and eligible entities substantially associated with economic development, as set forth by the District's by laws or alternate enabling document.
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Measurement Year	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	89.0%	89.0%	89.0%	89.0%	89.0%	89.0%	89.0%	89.0%
Actual	92.2%	87.1%	85.0%	87.0%	83.7%	80.3%		
Status	Exceeded	Met	Met	Met	Met	Met		

Trend	Varying
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Actions to be taken / Future Plans	None
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Adjustments to targets	No Changes
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Information Gaps	None
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Indicator	Percentage of University Center Clients Taking Action as a Result of the Assistance Facilitated by the University Center (UC).
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Description	This measure determines the perceived value added by the UCs to their clients. EDA funds UCs to provide technical assistance and specialized services (for example, feasibility studies, marketing research, economic analysis, environmental services, and technology transfer) to local officials and communities. This assistance improves the community's capacity to plan and manage successful development projects. UCs develop client profiles and report findings to EDA, which evaluates the performance of each center once every 3 years and verifies the data. "Taking action as a result of the assistance facilitated" means to implement an aspect of the technical assistance provided by the UC in one of several areas: economic development initiatives and training session development; linkages to crucial resources; economic development planning; project management; community investment package development; geographic information system services; strategic partnering to public or private sector entities; increased organizational capacity; feasibility plans; marketing studies; technology transfer; new company, product, or patent development; and other services.
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Measurement Year	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	75.0%	75.0%	75.0%	75.0%	75.0%	75.0%	75.0%	75.0%
Actual	69.7%	75.9%	68.0%	70.0%	65.8%	73.2%		
Status	Met	Exceeded	Met	Met	Not Met	Met		

Trend	Negative
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Actions to be taken / Future Plans	None
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Adjustments to targets	No Changes
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Information Gaps	None
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Indicator	Percentage of Those Actions Taken by University Center (UC) Clients that Achieved the Expected Results.
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Description	This measure is a follow up to the previous measure: "Percentage of UC clients taking action as a result of the assistance facilitated by the UC." This measure determines if the assistance provided by the UC is market based and results in desired outcomes. UCs develop client profiles and report to EDA, which will evaluate and verify the performance of each UC once every three years.
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Measurement Year	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	80.0%	80.0%	80.0%	80.0%	80.0%	80.0%	83.0%	83.0%
Actual	92.2%	89.8%	83.0%	82.0%	90.1%	91.7%		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		

Trend	Varying
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Actions to be taken / Future Plans	None
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Adjustments to targets	No Changes
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Information Gaps	None
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Indicator	Percentage of Trade Adjustment Assistance Center (TAAC) clients taking action as a result of the assistance facilitated by the TAAC.
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Description	This measure determines the value of assistance provided by TAAC to its clients. Eleven EDA funded TAACs work with U.S. firms and industries that have been adversely impacted as a result of increased imports of similar or competitive goods to identify specific actions to improve each firm's competitive position in world markets. "Taking action as a result of the assistance facilitated" means to implement an aspect of the Trade Adjustment Assistance provided by the TAAC. The TAACs provide three main types of assistance to firms: help in preparing petitions for certification (which must be approved by EDA in order for the firm to receive technical assistance), analysis of the firm's strengths and weaknesses and development of an adjustment proposal, and in depth assistance for implementation of the recovery strategy as set forth in the adjustment proposal.
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Measurement Year	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	90.0%	90.0%	90.0%	90.0%	90.0%	90.0%	90.0%	90.0%
Actual	87.6%	82.2%	73.0%	85.0%	75.9%	77.8%		
Status	Met	Met	Not Met	Met	Not Met	Not Met		

Trend	Varying
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Explanation (if not met in FY 2014)	Targets for this measure may have been impacted by higher levels of requests for assistance this year, reducing the TAACs ability to assist all clients; however, EDA is very pleased with their ability to satisfactorily complete those projects that were initiated.
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Actions to be taken / Future Plans	None
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Adjustments to targets	No Changes
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Information Gaps	None
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Indicator	Percentage of those actions taken by TAAC clients that achieved the expected results.
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Description	This is a follow up to the previous measure: "Percentage of TAAC clients taking action as a result of the assistance facilitated by the TAAC." This measure will determine if the assistance facilitated by the TAACs is market based and results in desired outcomes. The centers conduct client surveys and report findings to EDA.
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Measurement Year	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	95.0%	95.0%	95.0%	95.0%	95.0%	95.0%	95.0%	95.0%
Actual	93.4%	100.0%	100.0%	100.0%	100.0%	100.0%		
Status	Met	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		

Trend	Stable
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Actions to be taken / Future Plans	None
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Adjustments to targets	No Changes
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Information Gaps	None
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Part 5: Other Indicators

None

Part 6: Agency Priority Goals

None

Part 7: Resource Requirements Table (Columns may not add due to rounding)

(Obligation Amounts in Millions)	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Enacted	FY 2016 Base	Increase / Decrease	FY 2016 Estimate
DOC Goal 1: Trade & Investment										
Salaries and Expenses (S&E)	8.4	10.7	10.4	10.0	9.2	8.7	9.3	9.6	1.8	11.4
Public Works (PW)	34.5	37.3	28.6	32.3	24.3	33.2	27.3	27.3	-1.0	26.3
Planning (PL)	7.7	7.9	7.8	7.3	7.1	7.3	7.8	7.8	2.0	9.8
Technical Assistance (TA)	2.4	2.8	3.3	3.2	2.9	2.9	2.8	2.8	0.2	3.0
Trade Adjustment Assistance for Firms (TAAF)	4.1	5	4.5	4.9	4.4	2.2	5.9	5.9	-3.0	2.9
Economic Adjustment Assistance (EAA)	9.7	11.1	19.7	9.7	11.3	14.9	15.0	15.0	0.7	15.7
Total DOC Goal 1: Trade & Investment	\$ 66.8	\$ 74.8	\$ 74.3	\$ 67.4	\$ 59.2	\$ 69.2	\$ 68.1	\$ 68.4	\$ 0.7	\$ 69.1
Total FTE Goal 1	40.0	47.0	47.0	51.0	44.0	41.0	51.0	51.0	5.0	56.0
DOC Goal 2: Innovation										
Salaries and Expenses (S&E)	20.2	25.7	24.9	23.9	22.0	20.8	22.2	23.1	4.2	27.3
Public Works (PW)	82.8	89.6	68.7	77.5	58.4	79.7	65.4	65.4	(2.4)	63.0
Planning (PL)	18.5	18.9	18.8	17.5	17.0	17.5	18.6	18.6	4.8	23.4
Technical Assistance (TA)	5.8	6.6	8.0	7.6	7.0	6.8	6.6	6.6	0.6	7.2
Research & Evaluation	-	1.9	1.4	1.4	1.6	0.4	2.5	2.5	0.5	3.0
Trade Adjustment Assistance for Firms (TAAF)	9.8	12.1	10.9	11.8	10.7	5.3	14.0	14.0	(6.9)	7.1
Economic Adjustment Assistance (EAA)	23.3	26.5	47.2	23.3	27.0	35.7	36.0	36.0	1.6	37.6
Total DOC Goal 2: Innovation	160.4	181.3	179.9	163.0	143.7	166.2	165.3	166.2	2.4	168.6
Total FTE Goal 2	95.0	113.0	113.0	121.0	105.0	97.0	123.0	123.0	11.0	134.0
DOC Goal 3: Environment										
Salaries and Expenses (S&E)	5.1	6.4	6.2	6.0	5.5	5.2	5.6	5.8	1.0	6.8
Public Works (PW)	20.7	22.4	17.2	19.4	14.6	19.9	16.4	16.4	(0.6)	15.8
Planning (PL)	4.6	4.7	4.7	4.4	4.3	4.4	4.7	4.7	1.2	5.9
Technical Assistance (TA)	1.4	1.7	2.0	1.9	1.7	1.7	1.7	1.7	0.1	1.8
Economic Adjustment Assistance (EAA)	5.8	6.6	11.8	5.8	6.8	8.9	9.0	9.0	0.4	9.4
Total Goal 3: Environment	37.6	41.8	41.9	37.5	32.9	40.1	37.4	37.6	2.1	39.7
Total FTE Goal 3	24.0	28.0	28.0	30.0	26.0	24.0	31.0	31.0	3.0	34.0

Total EDAP	231.1	255.1	254.6	228.0	199.1	240.8	233.7	233.7	(1.8)	231.9
Total S&E	33.7	42.8	41.5	39.9	36.7	34.7	37.1	38.5	7.0	45.5
Grand Total	264.8	297.9	296.1	267.9	235.8	275.5	270.8	272.2	5.2	277.4
Grand Total FTE	159.0	188.0	188.0	202.0	175.0	162.0	205.0	205.0	19.0	224.0

Notes

- 1) The allocation of amounts between goals is a proportional spread based on FY 2014 actuals
- 2) Amounts represent Direct Obligations, not budget authority, and does not include reimbursements or Category B Disaster obligations
- 3) Columns may not add due to rounding

Part 8: Other Information

Section 8.1: Major Management Priorities, Challenges, and Risks

Staffing Challenges

Leader: Andy Baldus, Chief Financial Officer/Chief Administrative Officer

EDA is committed to building and retaining a world-class workforce capable of efficiently and effectively implementing various initiatives and awarding and managing grant investments to achieve the organization’s mission. In order to achieve this, EDA has a recurring internal review of positions to ensure the positions to its success are identified and steps initiated to fill the positions. In 2013, EDA faced attrition due to a combination of staff retiring and leaving the agency. FY 2015 is a rebuilding year with a goal of reaching a staff of 205 personnel by fiscal year end. These additional staff will fill roles both in the field working with local and regional organizations and at the headquarters to run EDA’s new loan guarantee program and its new Regional Innovation Strategies program first funded in FY 2014 under the America COMPETES act. In FY 2016, EDA will continue to grow its staff to further its mission to lead the federal economic development agenda by promoting innovation and competitiveness and preparing American regions for growth and success in the worldwide economy. These additional staff will also help with the growth of the EDA’s Partnership Planning program supporting the preparation and implementation of Comprehensive Economic Development Strategies (CEDs) that guide EDA’s Public Works and EAA implementation investments, including Revolving Loan Funds. In this way, EDA’s Partnership Planning program plays a foundational role in helping communities develop important strategies that inform future economic development decisions.

The EDA remains resolute to quickly fill positions as new positions become vacant. Despite the management challenge of continued positions remaining unfilled, EDA works with its available staff to provide full coverage for all fifty states and US Territories and effectively fulfill its mission.

Improving Measures of Program Outcomes

Leader: Tom Guevara, Deputy Assistant Secretary for Regional Affairs

EDA is continuing a process of developing new and more robust metrics to assess economic development in order to provide more effective measures of program outcome and improve data collection. EDA took preliminary steps toward a significantly improved program evaluation in 2012 by designing a new research and evaluation methodology developing new metrics to add to its existing performance data. EDA has completed its feasibility analysis of new indicators in partnership with leading research institutions and is now working with the Economics and Statistics Administration of the Department to identify specific new measures to be captured as part of its regional innovation strategies program and select other programs providing planning and technical assistance services (“soft infrastructure”).

In FY 2014, EDA conducted its second customer satisfaction survey of grant applicants to determine how EDA can improve customer service through a better understanding of the perceptions of EDA's application process. The results of this survey are guiding EDA's ongoing efforts to continuously improve its application process and application forms.

Further, EDA plans to implement changes to its application forms to increase the level of performance data that will be gathered from grantees and private sector beneficiaries of EDA grant support. The objective of gathering additional metrics is to enable economic development practitioners, policy makers and funders to understand the impacts of existing programs and to better determine how limited resources should be used to build U.S. regional capacity to permit lasting economic development and prosperity.

In addition, where feasible, EDA will soon request that EDA grantees maintain certain basic client firm data that from firms that received services and technical assistance from the EDA-funded project over a limited period of time beyond the end of the grant period. To the greatest extent possible EDA will look to capture, at a minimum, firm address, and where possible, the DUNS or FEIN numbers to enable EDA and other researchers to match client firms to third party databases and track their progress as a result of receiving federal assistance.

Grantees will also be asked to define in a quantitative manner to the greatest extent possible, cluster data and the industrial classification (NAICS) of private sector firms that are identified beneficiaries of EDA assistance, as well as report on non-firm specific business impacts (spillovers) that increase local service and industrial capacity.

Finally, EDA will work more closely with the Economics and Statistics Administration to develop improved evidence-based methods for evaluating EDA's programs to enhance decision making.

Section 8.2: Cross-Agency Collaborations

While EDA has long practiced a collaborative approach to developing policy and administering grant awards, in recent years there has been a substantial increase in the number of strategic multi-agency collaborations the Bureau is leading. Through these cross-agency efforts, EDA is building stronger relationships with a wider network of organizations (Federal, State, private, and local) which can be leveraged to provide more strategic, and complementary resources to drive the realization of economic development goals

and objectives. This collaborative model is an important component of EDA's effort to ensure the efficiency of government operations, leverage complementary resources, break down silos, highlight best practices, and ultimately yield a high return on investment.

- White House Urban Policy Working Group – EDA participates in this inter-agency working group which focuses on urban policy issues, including regional innovation clusters, sustainable communities, and resiliency.
- Federal Emergency Management Agency (FEMA) – EDA is working with FEMA to provide complementary assistance to communities impacted by significant disasters in order to support rebuilding and enhance the resilience of the effected community.
- Department of Defense (DOD) Office of Economic Adjustment (OEA) – Economic adjustment strategies and investments for base reuse in communities affected by Base Realignment and Closure Commission (BRAC) actions.
- Regional Commissions - Appalachian Regional Commission (ARC), the Denali Commission, the Delta Regional Authority (DRA), the Northern Great Plains Regional Authority, the Southeast Crescent Regional Commission, the Southwest Border Regional Commission, and the Northern Border Regional Commission – EDA works with these Commissions to provide complementary tools that can support the community and economic development assistance needs of economically distressed areas.
- Department of Labor (DOL) – EDA partners with the Employment and Training Administration to develop policies, share best practices, and support investments that support both the educational and economic needs of distressed communities.
- Department of Housing and Urban Development (HUD) Community Development Block Grants (CDBG) and Office of Management and Budget (OMB) – EDA has been working closely with EPA, DOT, and HUD as part of the larger Federal Sustainable Communities Initiative to align Planning Program objectives across the Federal government, and shares and disseminates information with EPA related to the redevelopment of brownfields.
- Council on Environmental Quality (CEQ) – EDA is exploring opportunities to engage with CEQ to support environmental issues while fostering disaster recovery planning and coordination, especially in light of recent droughts.
- Advisory Council on Historic Preservation (ACHP) – EDA continues to collaborate with the ACHP to implement and monitor construction projects, as appropriate.
- Environmental Protection Agency (EPA), HUD CDBG and Office of Management and Budget (OMB) – EDA has been working closely with EPA as part of the larger Federal Sustainable Communities Initiative to align Planning Program objectives across the Federal government, and shares and disseminates information with EPA related to the redevelopment of brownfields.
- Maritime Administration (MARAD) – EDA has an MOU with MARAD which allows the two agencies to cooperate on projects designed to enhance or build port infrastructure.
- Non-profits and economic development organizations (e.g., National Association of Development Organizations, International Economic Development Council, National Association of Regional Councils) – EDA works closely with a strong network of national development organizations and local and regional entities to identify best practices, cultivate thought leadership in

emerging areas of the economic development profession, and disseminate relevant information to policymakers and practitioners across the country.

Beyond these collaborations, EDA also plays a leadership role in the Territorial Development Policy Committee (TPDC) within the Organization for Economic Cooperation and Development (OECD). EDA serves as vice-chair of three of the committee's sub-groups—Urban Development, Rural Development, and Territorial Indicators (i.e., regional development metrics). In this role, EDA exchanges best practices in regional development with its counterparts in other economically-developed countries, as well as metrics to assess the success of initiatives centered on regional development and innovation.

EDA also is supporting the President's High Level Economic Dialogue initiative to increase greater trade and investment with Mexico. EDA has provided consultative and technical assistance to the International Trade Administration to achieve several important milestone projects, including the first America Competitiveness Exchange of EDA project sites by government, university and private sector executives from 19 countries of Americas and the Caribbean. EDA collaborates with other agencies to identify best practices and mitigation strategies for developing and implementing new programs.

Section 8.3: Evidence Building

EDA is continuing a process of developing metrics to assess economic development in order to provide more effective measures of program outcome and improve data collection. EDA took preliminary steps towards a program evaluation in 2013 by beginning to develop such metrics. Currently, EDA is conducting an assessment in partnership with leading research institutions and will continue to develop such measures.

Further, EDA plans to implement changes to its application forms to increase the level of performance data that will be gathered from grantees and private sector beneficiaries of EDA grant support. The objective of gathering additional metrics is to enable economic development practitioners, policy makers and funders to understand the impacts of existing programs and to better determine how limited resources should be used to build U.S. regional capacity to permit lasting economic development and prosperity.

EDA is working more closely with the Economics and Statistics Administration to develop improved evidence-based methods for evaluating EDA's programs to enhance decision making.

Section 8.4: Hyperlinks

Additional information on EDA's programs is located at <http://www.eda.gov>.

Section 8.5: Data Validation and Verification

Indicators	Jobs Created/Retained – 3, 6, and 9 year totals; Private Investment Leveraged – 3, 6, and 9 year totals (in millions)
Data Source	Investment Recipient performance reports
Frequency	At 3-year intervals (typically 3, 6, and 9 years after investment award)
Data Storage	EDA Management Information System
Internal Control Procedures	To validate data, EDA regions contacted recipients, or confirmed with engineers or project officers who had been on site. EDA will perform regional validation on-site visit with some recipients.
Data Limitations	Universe - Regular Appropriation for Public Works, and EAA implementation and revolving loan fund investments. Targets of private investment and job creation may be impacted by broad economic cycles.
Actions to be Taken	EDA will continue to monitor investment and job creation data.

Indicator	Percentage of Economic Development Districts (EDD) and Indian Tribes implementing economic development projects from the Comprehensive Economic Development Strategy (CEDS) that lead to private investment and jobs.
Data Source	Investment Recipient Performance Evaluations and Comprehensive Economic Development Strategy
Frequency	Annually
Data Storage	EDA Management Information System
Internal Control Procedures	EDA will conduct periodic performance reviews and site visits
Data Limitations	Universe - EDA Partnership Planning investments only. This measure may vary with economic cycles due to limited local resources during downturns for project investments.
Actions to be Taken	Baseline established from FY 2002 data. EDA will continue to monitor data.

Indicator	Percentage of sub-state jurisdiction members actively participating in the Economic Development District (EDD) program.
Data Source	Investment Recipient Performance Evaluations
Frequency	Annually
Data Storage	EDA Management Information System
Internal Control Procedures	EDA conducts performance reviews and site visits on approximately one-third of the EDDs and Indian Tribe investments per year.
Data Limitations	Universe - EDA Partnership Planning investments only. This measure shows the value-added of the EDD in which EDA invests. While an EDD may be effective, members still may not participate for other reasons.
Actions to be Taken	EDA will continue to monitor compliance with the new definition of sub-state member jurisdictions.

Indicators	Percentage of University Center Clients Taking Action as a Result of the Assistance Facilitated by the University Center (UC). Percentage of Trade Adjustment Assistance Center (TAAC) clients taking action as a result of the assistance facilitated by the TAAC.
Data Source	UC and TAAC client profiles
Frequency	Annually
Data Storage	EDA Management Information System
Internal Control Procedures	Performance data will be verified by the UCs / TAACs. EDA headquarters will annually review profile data.
Data Limitations	Universe - EDA Local Technical Assistance and Trade Adjustment Assistance for Firms investments. This measures the value of the UCs/TAACs; however, while the assistance may be valued, clients may choose not to act for other reasons.
Actions to be Taken	Baseline established from FY 2002 data. EDA will continue to monitor and develop trend data.

Indicators	Percentage of Those Actions Taken by University Center (UC) Clients that Achieved the Expected Results. Percentage of those actions taken by TAAC clients that achieved the expected results.
Data Source	UC and TAAC client profiles
Frequency	Annually
Data Storage	EDA Management Information System
Internal Control Procedures	Performance data will be verified by the UCs/TAACs. EDA headquarters will annually review data.
Data Limitations	Universe - EDA Local Technical Assistance and Trade Adjustment Assistance for Firms investments only. Outside mitigating factors such as the local economy may affect the measure.
Actions to be Taken	Baseline established from FY 2002 data. EDA will continue to monitor and develop trend data.

The FY 2014 Summary of Performance and Finance Information includes in the Secretary's Statement, an assessment of the reliability and completeness of the Department's performance data.

Section 8.6: Lower-Priority Program Activities

The President's Budget identifies the lower-priority program activities, where applicable, as required under the GPRA Modernization Act, 31 U.S.C. 1115(b)(10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget>.

FY 2016 Annual Performance Plan / FY 2014 Annual Performance Report

Economics and Statistics Administration / Bureau of Economic Analysis

Part 1: Agency and Mission Information

Section 1.1: Overview

Headed by the Under Secretary for Economic Affairs, the Economics and Statistics Administration's (ESA) three principal analytical components are the Office of the Chief Economist, the U.S. Census Bureau, and the Bureau of Economic Analysis (BEA). ESA develops policy options, analyzes economic developments, manages economic data distribution systems, and produces a major share of U.S. economic and demographic statistics, including the national economic indicators. Representative economic indicators produced by ESA are gross domestic product (GDP), retail sales, and international trade. Additional economic and demographic statistics available from ESA include regional information on population (benchmarked by the decennial census), poverty, income, race and ethnicity, businesses, and a variety of other information useful to government, business, and the American public.

The expert economists and analysts in ESA's Office of the Chief Economist analyze domestic and international economic developments and produce in-depth reports, fact sheets, and briefings on policy issues, current economic events, and economic and demographic trends. DOC and White House policymakers rely on these tools, as do American businesses, state and local governments, and news organizations around the world. *In overseeing* the Census Bureau and BEA, ESA works closely with the leadership of those two statistical agencies on high priority management, budget, employment, and risk management issues, integrating the work of these agencies with the priorities and requirements of the Department of Commerce and other government entities.

The BEA produces some of the Nation's most important economic statistics, including GDP and the balance of payments. BEA promotes a better understanding of the U.S. economy by providing timely, relevant, and accurate economic accounts data in an objective and cost-effective manner. Although a relatively small agency, BEA's economic statistics are among the Nation's most closely watched. BEA's statistics influence critical decisions made by policymakers, business leaders, households, and individuals affecting interest rates, tax and budget projections, business investment plans, and the allocation of over \$300 billion in federal funds.

The U.S. Census Bureau conducts the constitutionally mandated census of population and housing every 10 years, a census of all business establishments and of all governmental units every five years, and several ongoing business and household surveys. U.S. Census Bureau information shapes policy and operational decisions that help improve the nation's social and economic conditions. The FY 2016 Annual Performance Plan for the U.S. Census Bureau is presented separately in their budget submission.

Section 1.2: Mission Statement

ESA's Mission Statement

"To provide high-quality economic analysis and foster the missions of the Census Bureau and the Bureau of Economic Analysis."

BEA's Mission Statement

“Improve understanding of the U.S. economy by providing the most timely, relevant, and accurate economic accounts data in an objective and cost-effective manner.”

Section 1.3: *Vision and Values (Optional)*

BEA's Vision Statement

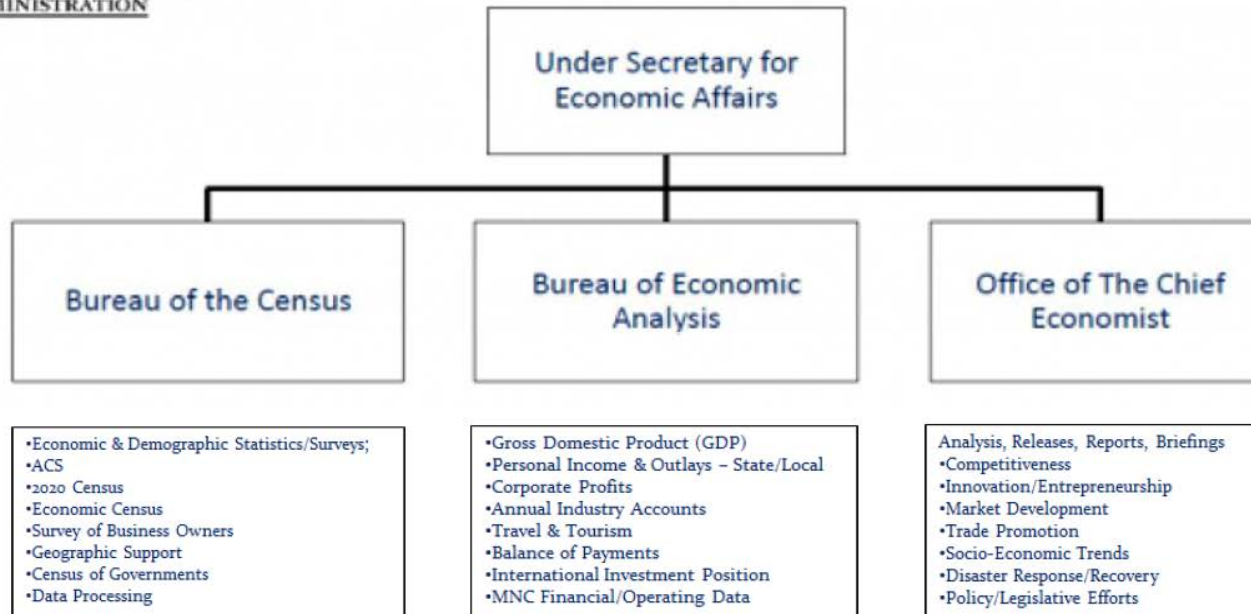
To be the world's most respected producer of economic accounts.

Section 1.4: *Organizational Structure*

The Economics and Statistics Administration includes Policy Support and Management Oversight, BEA, and the Bureau of the Census.



Economics and Statistics Administration



We collect...

compile...

and analyze...

socio-economic data to assess U.S. competitiveness and the economic well-being of businesses & individuals

Part 2: Cross-Agency Priority Goals

Section 2.1: Overview

ESA is not a leader of or a participant in any Cross-Agency Priority Goals.

Part 3: Strategic Goals and Objectives

Section 3.1: Corresponding DoC Strategic Goals, and Objectives

Goal	Objective Number	Objective Name	Leader:
Innovation	2.4	Accelerate the development of industry-led skills strategies that result in a productive workforce for employers and high-quality jobs for workers.	Dr. Mark Doms, Under Secretary for Economic Affairs
Data	4.1	Transform the Department's data capacity to enhance the value, accessibility and usability of Commerce data for government, business, and the public.	Dr. Mark Doms, Under Secretary for Economic Affairs
Data	4.2	Improve data-based service, decision making, and data sharing within the Department and with other parts for the federal government.	Dr. Mark Doms, Under Secretary for Economic Affairs
Data	4.3	Collaborate with the business community to provide more timely, accurate, and relevant data products and services for customers.	Dr. Mark Doms, Under Secretary for Economic Affairs
Operational Excellence	5.1	Deliver better services, solutions, and outcomes that benefit the American people.	Departmental Management Council

Section 3.2: Strategies for Objectives

BEA's objectives fall under the Department's Data goal, and are designed to ensure that BEA's economic statistics programs are timely, relevant, and accurate as demanded by our customers. BEA tracks progress on these objectives as follows:

- The timeliness measure is defined as the number of scheduled releases released on time. It is also evaluated as the number of successfully-completed milestones related to the target.
- The accuracy measure is a composite index to track BEA's success in estimating GDP. The six components of the index include: (1) whether the economy is expanding or contracting; (2) whether the economy is growing faster or slower, (3) deviation from trend growth, (4) change in the statistical discrepancy, (5) magnitude of revision to real GDP; and (6) magnitude of revision to nominal GDP.
- The relevance objective is designed to make BEA's economic accounts and services more responsive to the needs of its customers and partners. It is measured by the number of above-average responses on BEA's web site customer satisfaction survey.
- Improvements to the economic account statistics are measured by the percent of progress toward annual milestones completed.

Given the importance of BEA's statistics, BEA must fulfill its mission regardless of the challenges it may confront. Some of these challenges are constant over time, and others arise as the economy changes. The strategic planning process identifies and mitigates these challenges. The challenges now confronting BEA include:

- A constantly changing economy: BEA must be diligent in updating its statistics to capture the structural changes that occur in the U.S. and global economies.
- Integration of federal economic accounts: Federal statistical agencies are working together to harmonize definitions, methodologies, and analytical techniques to meet data users' need for greater consistency of economic accounts provided by the decentralized U.S. statistical system.
- Relevance of economic accounts: Maintaining the relevance of economic accounts to address the public policy issues of today calls for new and expanded statistics that extend the GDP and related accounts beyond their long-established boundaries.
- Efficiently exploiting information technology: To meet the urgency associated with rapidly changing economic and customer needs, BEA looks to exploit highly flexible, adaptive, and cost-effective IT systems that can respond quickly to changing statistical and dissemination needs.
- Maintaining and expanding the expertise and satisfaction of its workforce: BEA must intensify its recruitment, hiring, retention, and training programs to keep its staff at the leading edge of economic change and innovative measurement solutions.

Section 3.3: Progress Update for Strategic Objectives

Benefits

BEA's national, industry, regional, and international economic accounts present valuable information on key issues such as U.S. economic growth, regional economic development, inter-industry relationships, and the Nation's position in the world economy. Some of the widely used statistical measures produced by BEA include gross domestic product (GDP), personal income and outlays, corporate profits, GDP by state and by metropolitan area, balance of payments, and GDP by industry. These statistics are used by Federal, state, and local governments for budget development and projections, by the Federal Reserve for monetary policy, by the business sector for planning and investment, and by the American public to follow and understand the performance of the Nation's economy.

Accomplishments

Recent accomplishments include:

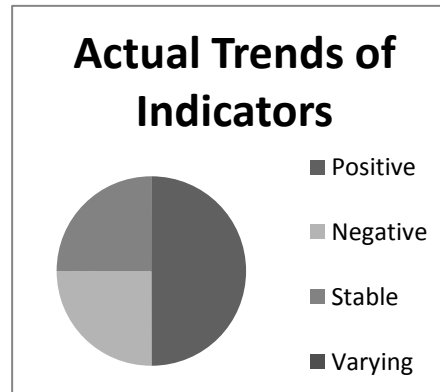
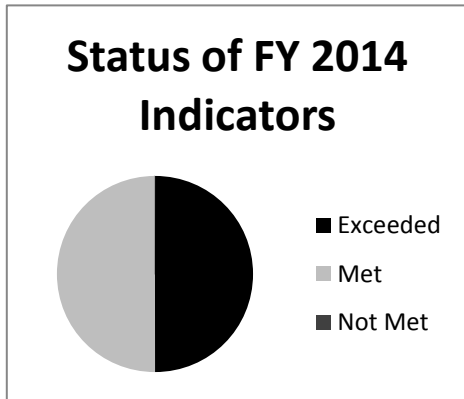
- Released several new statistical products to better measure the dynamic U.S. economy giving businesses, policymakers and ordinary Americans additional tools to make informed decisions:
 - To provide further insight into the relative purchasing power of consumers in different states and metro areas, BEA released new measures of inflation adjusted Personal Income for State and Metropolitan Areas.
 - New prototype statistics on Personal Consumption Expenditures by State provide a better gauge of how consumers are faring across different states offering a richer picture of economic activity across the U.S.
 - Finally, BEA is now providing more frequent data on how much economic activity is generated by different industries and across states with its new Quarterly GDP by Industry and Quarterly GDP by State statistics (previously only available annually).
- BEA was rated in the "2014 Best Place to Work" 56th out of 314 agency subcomponents.

Section 3.4: Next Steps

The BEA Five-Year Strategic Plan is a comprehensive plan of action that tracks BEA's progress toward accomplishing its mission. BEA's progress is tied to its contributions to the Department's initiatives of making key investments in each of the core areas of: trade and investment, innovation, data and the environment. The Plan has nearly 200 detailed milestones, which ensure that BEA statistics are as timely, relevant, and accurate as possible. These milestones allow managers and senior staff to plan resources and staff allocations and encourage personal accountability by connecting the achievement of milestones to individuals' annual performance plans. This direct progression from DOC themes to the BEA mission and, finally, to the objectives, goals, and milestones of the BEA Five-Year Strategic Plan reinforces the link between the DOC mission and the employees at BEA.

Part 4 Performance Goals / Indicators

Section 4.1: Summary of Performance



Status is based on the following standard:

Exceeded	More than 100 percent of target
Met	90 - 100 percent of target
Not Met	Below 90% of target

An indicator with a positive trend is one in which performance is improving over time while a negative trend is an indicator that has declining performance. A stable trend is one in which the goal is to maintain a standard, and that that is occurring. A varying trend is one in which the data fluctuates too much to indicate a trend. At a minimum these indicators must have three years of data.

Section 4.2: Summary of Indicator Performance

Objective 4.3: Collaborate with the business community to provide more timely, accurate, and relevant data products and services for customers

Indicator	Target	Actual	Status	Trend
Timeliness- Reliability of delivery of economic data statistics (the number of scheduled releases issued on schedule)	62	65	Exceeded	Positive
Relevance- Customer satisfaction (on a 5 point scale)	4.0	4.0	Met	Slightly negative

Accuracy- Percent of GDP estimates correct	>83%	86%	Exceeded	Positive
Strategic Milestones Completed	Completed	Completed	Met	Stable

Section 4.3 Detailed Indicator Plans and Performance

Objective 4.3: Collaborate with the business community to provide more timely, accurate, and relevant data products and services for customers

Indicator	Timeliness- Reliability of delivery of economic data statistics (scheduled releases issued on time)							
Description	The importance of data as an ingredient for sound economic decision-making requires BEA to deliver data to decision-makers and other data users not only quickly but also reliably—that is, on schedule. Each fall, BEA publishes a schedule for the release of its economic data the following year; this measure is evaluated as the number of scheduled releases issued on time. BEA has an outstanding record of releasing its economic data on schedule and on time. In FY 2014, BEA met the target of planned releases and has no indication that this target will not be met in 2015.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	57	55	62	62	62	62	69	69
Actual	56 of 57	61 of 55	62 of 62	62 of 62	62 of 62	65 of 62		
Status	Met	Exceeded	Met	Met	Met	Exceeded		
Trend	The trend for this indicator is positive.							
Actions to be taken / Future Plans	BEA has no plans to change this indicator.							
Adjustments to targets	Adjustments to targets have not been made.							
Information Gaps	There are no information gaps for this indicator.							
Validation and Verification								
Data Source	A schedule of release dates for the calendar year is published each fall in the <i>Survey of Current Business</i> and is posted on the BEA website. BEA maintains a record of subsequent actual release dates.							
Frequency	Quarterly							
Data Storage	BEA maintains the schedule of future release dates and the record of actual release dates. Both sets of information are available on the BEA website.							
Internal Control Procedures	Scheduled and actual release dates are a matter of public record and can be verified via the Internet at www.bea.gov .							
Data Limitations	Not all releases may be included in the published annual schedule because their release dates cannot be established that far in advance.							
Actions to be Taken	FY 2015 target will be added when the schedule is made available to OMB and published in the <i>Survey of Current Business</i> in the fall of the preceding year.							

Indicator	Relevance- Customer satisfaction (on a 5 point scale)							
Description	Customer satisfaction is a critical measure of BEA's ability to provide the types of data that are relevant, accurate, and needed by users. BEA measures the level of customer satisfaction through an on-going online survey of users. FY 2014 scores will be available in FY 2015, however, BEA has received indication that users continue to be satisfied with the overall quality of BEA's products.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	4.0	4.0	4.0	4.0	4.0	4.0	4.0	4.0
Actual	4.2	4.2	4.4	4.3	4.1	4.0		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Met		
Trend	The trend for this indicator is slightly negative. Eroding web site usability was a main contributor to the slightly negative trend in customer satisfaction. However, continued research and development of new and improved web technologies should reverse this trend.							
Actions to be taken / Future Plans	BEA has no plans to change this indicator.							
Adjustments to targets	Adjustments to targets have not been made.							
Information Gaps	There are no information gaps for this indicator.							
Validation and Verification								
Data Source	BEA customer satisfaction survey conducted online at BEA's website, www.bea.gov .							
Frequency	Continually							
Data Storage	BEA conducts the survey, compiles results, and retains records of raw data and computations that lead to final results. A report is written and available to the public on the BEA website.							
Internal Control Procedures	BEA provides a copy of the survey results to OMB, the DOC Budget Office, and the Economics and Statistics Administration. The report is made available on the BEA website.							
Data Limitations	The customer satisfaction survey is an ongoing, voluntary survey conducted via the website. As a voluntary survey, responses are representative of those who choose to respond.							
Actions to be Taken	Survey is continually conducted with results monitored quarterly and reported after the end of the fiscal year.							

Indicator	Accuracy- Percent of GDP estimates correct							
Description	This performance measure tracks BEA's ability to accurately estimate its most important statistic, the gross domestic product (GDP). This measure is a composite index of six indicators of accuracy, applied using three-year rolling averages to develop a single measure of the correctness of the GDP statistics. FY 2014 results will become finalized in FY 2015, but BEA expects to exceed this target.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	85%	85%	85%	85%	83%	83%	83%	83%
Actual	94%	88%	87%	87%	84%	86%		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	The trend for this indicator is stable.							
Actions to be taken / Future Plans	BEA has no plans to change this indicator.							
Adjustments to targets	Adjustments to targets have not been made.							
Information Gaps	There are no information gaps for this indicator.							
Validation and Verification								
Data Source	Data used for this measure are produced by BEA and made available in press releases, in our monthly publication, the <i>Survey of Current Business</i> (SCB), and on the Website: www.bea.gov . Background research studies are published in the SCB.							
Frequency	Annually							
Data Storage	The <i>Survey of Current Business</i> is published monthly online.							
Internal Control Procedures	DOC has evaluated this measure and BEA has submitted a <i>Validation and Verification</i> report. The <i>Survey of Current Business</i> is a matter of public record and can be verified via the Internet.							
Data Limitations	The measure is the best single point estimation of the accuracy of GDP. Economic conditions, rather than statistical practices, could dramatically change the measure.							
Actions to be Taken								

Indicator	Complete all major strategic milestones related to improving economic accounts							
Description	BEA must continually update its economic accounts to keep pace with the ever-changing U.S. and global economies. The BEA Five-Year Strategic Plan tracks BEA's progress toward achieving the milestones related to this measure. In FY 2014, BEA completed all of its major milestones related to improving GDP and the economic accounts and expects to meet this target in current and future years.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	Complete Milestone	Complete Milestone	Complete Milestone	Complete Milestone	Complete Milestone	Complete Milestone	Complete Milestone	Complete Milestone
Actual	Completed Successfully	Completed Successfully	Completed Successfully	Completed Successfully	Completed Successfully	Completed Successfully		
Status	Met	Met	Met	Met	Met	Met		
Trend	The trend for this indicator is stable.							
Actions to be taken / Future Plans	BEA has no plans to change this indicator.							
Adjustments to targets	Adjustments to targets have not been made.							
Information Gaps	There are no information gaps for this indicator.							
Validation and Verification								
Data Source	The BEA five-year Strategic Plan provides annual milestones for this measure. At the end of each fiscal year, BEA evaluates and reports its progress in achieving scheduled milestones.							
Frequency	Annually							
Data Storage	BEA compiles and maintains data annually available on BEA website.							
Internal Control Procedures	Internal review and analysis by BEA.							
Data Limitations	BEA's annual review and update of its Strategic Plan could result in changes to the milestones.							
Actions to be Taken	Milestones will be adjusted as necessary to match the BEA five-year Strategic Plan.							

Non-Recurring Indicators

None.

Part 5: Other Indicators

None.

Part 6: Agency Priority Goals

None.

Part 7: Resource Requirements Table

	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Enacted	FY 2016 Base	Increase / Decrease	FY 2016 Request
Bureau of Economic Analysis										
Total Obligations	90.0	96.7	96.3	94.7	93.2	95.4	99.8	101.8	11.4	113.2
Direct	87.4	94.1	93.7	92.5	89.4	93.6	96.3	98.5	11.4	109.9
Reimbursable	2.6	2.6	2.6	2.2	3.8	1.8	3.5	3.3	0.0	3.3
Total FTE	496	503	497	497	461	446	470	468	29	497
ESA										
Total Obligations	7.4	8.5	9.0	8.3	7.9	7.7	8.2	8.8	0.0	8.8
Direct	3.7	4.0	3.8	3.9	3.4	3.6	3.7	3.9	0.0	3.9
Reimbursable	3.7	4.5	5.2	4.4	4.5	4.1	4.0	4.9	0.0	4.9
Total FTE	35	34	37	36	33	31	36	36	0	36
Total Obligations										
Total Obligations	97.4	105.2	105.3	103.0	101.1	103.1	107.5	110.6	11.4	122.0
Direct	91.1	98.1	97.5	96.4	92.8	97.2	100.0	102.4	11.4	113.8
Reimbursable	6.3	7.1	7.8	6.6	8.3	5.9	8.0	8.2	0.0	8.2
Total FTE	531	537	534	533	494	477	506	504	29	533

Part 8: Other Information

Section 8.1: Major Management Priorities, Challenges, and Risks

This FY 2016 budget request enables BEA to maintain “core” statistical programs in three categories: statistics that feed into the estimation of GDP and related products, statistics that are required by law, and statistics that are required for the administration of federal programs.

BEA faces long-term challenges to its mission:

- 1. Stay relevant:** Given our constantly changing economy, keeping our accounts relevant has always been one of our top challenges. To tell the “right story,” BEA must be quick to recognize and understand the changes occurring in the economy. The most pressing public policy issues today call for new and expanded statistics that extend the GDP and related accounts beyond their long-established boundaries to address national priorities such as health care, innovation and energy. At the same time, data users have long demanded greater consistency among the federal economic accounts provided by the decentralized U.S. statistical system, and that demand has only grown stronger as the economy has become more complex. As a leading statistical agency, BEA must contribute to the effort to integrate the federal economic accounts.
- 2. Manage for flexibility:** The rapidity of the recent changes in the economy poses considerable methodological and computational challenges. In response, BEA must be flexible enough to quickly adapt its measures to changing economic conditions. As technological capabilities increase, customers expect easier access, quicker turnaround, and accessible interface mechanisms. In addition, BEA must make information readily available to all types of data uses. Information should be available to everyone, from the least to the most experienced data user, which requires cost-effective strategies for the continued delivery of useful information to a very diverse customer base.
- 3. Build future leaders:** As much of BEA’s senior staff nears retirement, BEA is experiencing firsthand the importance of institutional knowledge and experience. BEA is devoting itself to the preparation of a new generation of cutting-edge experts and leaders.

These challenges threaten BEA’s ability to fulfill its highest priority, its mission to promote a better understanding of the U.S. economy by providing the timeliest, most relevant, and accurate economic accounts data possible. BEA’s FY 2016 budget submission is designed to address these challenges and enable BEA to not only maintain but also improve its high-priority statistics.

Section 8.2: Cross-Agency Collaborations

BEA works with several statistical agency partners to provide even further comprehensive information on the U.S. economy. The Integrated Macroeconomic Accounts of the U.S. produced jointly with the Federal Reserve Board link production and income flows to changes in net worth for the U.S. economy. In FY 2014, the Integrated Macroeconomic accounts were updated to reflect an improved treatment of defined contribution pension plans (i.e., 401K plans).

In addition, BEA jointly produces the Integrated GDP and Productivity Account with the Bureau of Labor Statistics, which allows users to better understand sources of economic and productivity growth within an integrated framework. In FY 2014, this account was updated to recognize expenditures for intellectual property products as capital investment since these types of expenditures have characteristics that are more aligned with other types of fixed assets such as IT equipment. As a result, these updated accounts now give users new information on the contribution of intellectual property products as a capital input and its impact on U.S. economic growth and productivity by industry.

Section 8.3: Evidence Building

ESA and BEA participate in the risk management efforts led by the Department's Office of Program Evaluation and Risk Management (OPERM). Risk information is reported as part of the Department's DASHER report available at <://csc.eas.commerce.gov/dasher/home/Top>. In FY 2014, there are no mission critical areas specific to ESA or BEA. Financial internal control review efforts as outlined in Appendix A of OMB Circular A-123 are conducted annually and are led by the Department's Office of Financial Management (OFM).

Audits and reports from the Government Accountability Office (GAO) and the Department's Office of Inspector General (OIG) provide valuable information on programmatic and managerial challenges. ESA and BEA had no findings or unimplemented GAO or OIG recommendations as of May 2014. Cumulative GAO and OIG reports are available at <://csc.eas.commerce.gov/dasher/home/gaorecommendations/cumulative> and ://csc.eas.commerce.gov/dasher/home/unresolved_oig, respectively.

BEA uses evidence-based strategies to measure and drive performance at various levels of operations:

- **Assessing accuracy of GDP estimates:** BEA conducts studies that assess the accuracy of GDP estimates. The studies examine whether the early estimates to the latest estimates present a consistent and general picture of the economy.
- **Measuring electronic filing rate of international surveys:** Measuring the electronic filing rate helps BEA monitor its ability to collect accurate international transactions data in an efficient and cost-effective manner.
- **Improving economic accounts:** BEA conducts research and develops satellite or prototype statistics, and graduates selected statistics into regular production within the core accounts.
- **Assessing the workplace:** BEA uses results of the Federal Employee Viewpoint Survey to evaluate employees' overall work experience and job satisfaction and to identify areas for improvement.
- **Evaluating internal customer satisfaction:** the Administrative Services Division uses results of an internal customer satisfaction survey to identify trends in functional areas (e.g., Human Capital), and enhance the customer experience.
- **Evaluating external customer satisfaction:** BEA's statistics are only as useful as its customers' ability to access, use, and understand them. BEA's two-way communication with its customers is facilitated by new instructional videos posted on BEA's public website, Frequently Asked Questions format, and semi-annual Advisory Committee meetings, which provide BEA with invaluable outside expertise as well as insight into the needs of our expert users. To assess customers' opinions about its statistical products, customer service, and Web site, BEA has conducted annual surveys since 2000. These surveys allow BEA to establish a reliable, continuous metric for measuring the satisfaction of site visitors; diagnose and prioritize areas for improvement by identifying the impact of change on satisfaction and site visitors' future behaviors; and proactively identify Web site areas for improvement.

Section 8.4: Hyperlinks

BEA's budget and performance information is available at <://www.bea.gov/about/index>. ESA's mission statement is available at <://www.esa.doc.gov/esa-mission->

Section 8.5: Data Validation and Verification

The FY 2014 Summary of Performance and Finance Information includes, in the Secretary's Statement, an assessment of the reliability and completeness of the Department's performance data.

Indicators	Timeliness	Relevance	Accuracy	Strategic Milestones Completed	Number of data dissemination tools and improvements fueled by Commerce Department data on the U.S. workforce	Percent of milestones met for business assistance analysis.	Percent of milestones met for stakeholder outreach.
Validation and Verification							
Data Source	A schedule of release dates for the calendar year is published each fall in the <i>Survey of Current Business</i> and is posted on the BEA website. BEA maintains a record of subsequent actual release dates.	BEA customer satisfaction survey conducted online at BEA's website, www.bea.gov	Data used for this measure are produced by BEA and made available in press releases, in our monthly publication, the <i>Survey of Current Business</i> (SCB), and on the Website: www.bea.gov . Background research studies are published in the SCB.	The BEA five-year Strategic Plan provides annual milestones for this measure. At the end of each fiscal year, BEA evaluates and reports its progress in achieving scheduled milestones.			
Frequency	Quarterly	Continually	Annually	Annually			
Data Storage	BEA maintains the schedule of future release dates and the record of actual release dates. Both sets of information are available on the BEA website.	BEA conducts the survey, compiles results, and retains records of raw data and computations that lead to final results. A report is written and available to the public on the BEA website.	The <i>Survey of Current Business</i> is published monthly and available online.	BEA compiles and maintains data annually, available on BEA website.			
Internal Control Procedures	Scheduled and actual release dates are a matter of public record and can be verified via the Internet at www.bea.gov .	BEA provides a copy of the survey results to OMB, the DOC Budget Office, and the Economics and Statistics Administration. The report is made available on the BEA website.	DOC has evaluated this measure and BEA has submitted a <i>Validation and Verification</i> report. The <i>Survey of Current Business</i> is a matter of public record and can be verified via the Internet or hardcopy.	Internal review and analysis by BEA.			
Data Limitations	Not all releases may be included in the published annual schedule because their release dates	The customer satisfaction survey is an ongoing, voluntary survey conducted via the	The measure is the best single point estimation of the accuracy of GDP. Economic	BEA's annual review and update of its Strategic Plan could result in changes to the milestones.			

	cannot be established that far in advance.	website. As a voluntary survey, responses are representative of those who choose to respond.	conditions, rather than statistical practices, could dramatically change the measure.				
Actions to be Taken	FY 2014 target will be added when the schedule is made available to OMB and published in the <i>Survey of Current Business</i> in the fall of the preceding year.	Survey is continually conducted with results monitored quarterly and reported after the end of the fiscal year.	Research to calculate the new measure will be conducted, following the completion of the annual revisions, in August 2014.	Milestones will be adjusted as necessary to match the BEA five-year Strategic Plan.			

Section 8.6: Lower-Priority Program Activities

The President's Budget identifies the lower-priority program activities, where applicable, as required under the GPRA Modernization Act, 31 U.S.C. 1115(b)(10). The public can access the volume at: [://www.whitehouse.gov/omb/](http://www.whitehouse.gov/omb/) .

FY 2016 Annual Performance Plan / FY 2014 Annual Performance Report

International Trade Administration

Part 1: Agency and Mission Information

Section 1.1: Overview

The global economy is changing rapidly with the rise of new foreign competitors, complex cross-border economic integration, and the fast pace of innovation. Moreover, the global recession has demonstrated how interdependent the world has become and underscores the need for the United States to compete globally. U.S. domestic consumption, which has driven economic growth in recent decades, will not be enough to ensure the competitiveness and health of our domestic industries.

The strength of the U.S. economy continues to depend on a vibrant global marketplace. A renewed focus on ensuring U.S. companies' success in overseas markets and increasing foreign direct investment in the United States will not only help strengthen the long-term health of U.S. industries, but also directly stimulate domestic job creation.

ITA's mission is to create prosperity by strengthening the international competitiveness of U.S. industry, promoting trade and investment, and ensuring fair trade and compliance with trade laws and agreements. In support of the Administration's export and investment priorities, ITA has redirected resources to key export promotion programs; optimized its support to export-ready industries; targeted high-growth, emerging markets, including the removal of trade barriers and expanding market access, vigorously enforced trade rules and trade laws, and promoted the United States as a premier destination for investment. ITA also leads the Department's export and investment platform, working with several other bureaus both within and outside the Department to achieve this goal.

ITA, through its programs, services, and workforce leverages its relationships with, and understanding of, industry to better serve its range of customers and stakeholders. The organization consists of three business units that will work together to achieve ITA's mission effectively and efficiently: (1) Industry and Analysis; (2) Enforcement and Compliance; and (3) Global Markets. The combination of its industry sector, regional, and trade expertise alongside its export promotion, enforcement and compliance, and policy responsibilities enables ITA to analyze its customers' issues and needs holistically, make recommendations, and take actions.

Industry and Analysis advances the international competitiveness of U.S. industries by leveraging in-depth sector and analytical expertise and relationships with U.S. industry in the development and execution of innovative international trade and investment policies and strategies; expands U.S. exports by utilizing relationships with industry stakeholders and strategic partners in the design and conduct of export promotion programs that provide higher value to private sector clients; and adds value to U.S. trade and investment policies and programs through administration of industry advisory committees.

Enforcement and Compliance promotes the efficient and effective administration of U.S. antidumping (AD) / countervailing (CVD) trade law remedies; addresses and curtails trade-distorting practices; promotes adoption of disciplines and practices by U.S. trading partners that enhance transparency and impartiality in foreign trade law practices and administration; and administers the Foreign Trade Zone (FTZ) program and other import programs that support U.S. jobs. It also represents and advocates on behalf of U.S. industry interests with regard to the exercise and enforcement of U.S.

rights under bilateral and multilateral trade agreements, including through the interagency mechanisms.

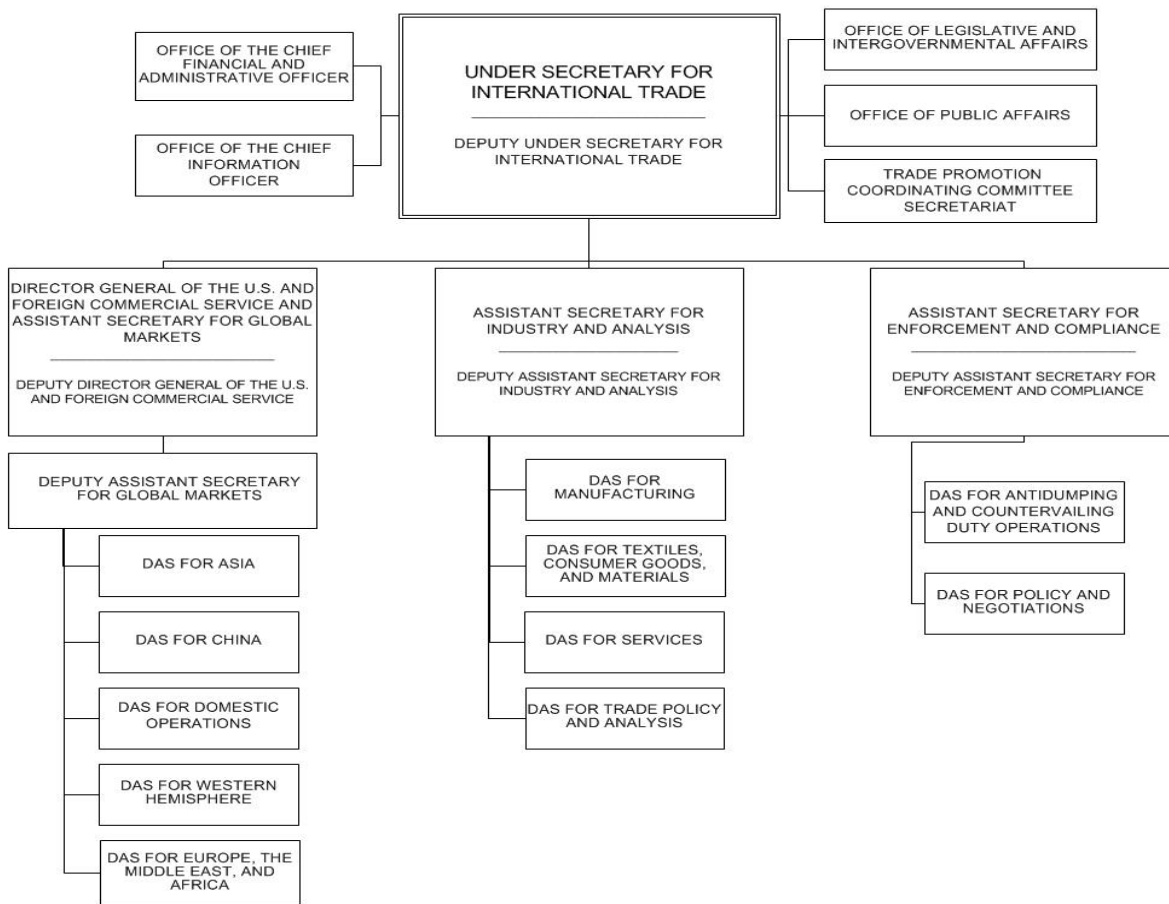
Global Markets advances U.S. commercial interests by engaging with foreign governments and U.S. businesses, identifying and resolving country-specific market barriers, and leading interagency efforts advocating for U.S. firms with foreign governments; expands U.S. exports by developing and implementing policies and programs to increase U.S. access to and presence in foreign markets; provides market contacts, knowledge, opportunities and customized solutions to U.S. firms, especially small and medium-sized enterprises; and, expands foreign investment into the United States by promoting the United States as an investment destination.

Section 1.2: Mission Statement

ITA's mission is to create prosperity by strengthening the international competitiveness of U.S. industry, promoting trade and investment, and ensuring fair trade and compliance with trade laws and agreements.

Section 1.3: Organizational Structure

International Trade Administration



Part 2: Cross-Agency Priority Goals

Section 2.1: Overview

Per the GPRA Modernization Act requirement to address Cross-Agency Priority Goals in the agency strategic plan, the annual performance plan, and the annual performance report, please refer to [www.Performance.gov](http://www.performance.gov) for the agency’s contributions to those goals and progress, where applicable. ITA currently contributes to the following CAP Goal: Job-Creating Investment. The website where these are located is: <http://www.performance.gov/cap-goals-list?view=public>.

Part 3: Strategic Goals and Objectives

Section 3.1: Corresponding DoC Strategic Goals, and Objectives

Goal	Objective Number	Objective Name	Leader
TRADE AND INVESTMENT: Expand the U.S. economy through increased exports and inward foreign investment	1.1	Increase opportunities for U.S. companies by opening markets globally	ITA – Ken Hyatt, Deputy Under Secretary for International Trade
	1.2	Increase U.S. exports by broadening and deepening the U.S. exporter base	
	1.3	Increase high-impact inward foreign direct investment into the United States	
	1.4	Strengthen fair competition in international trade for U.S. firms and workers by addressing and resolving foreign unfair trade practices and enforcing international trade agreements	
INNOVATION: Foster a more innovative U.S. economy	2.3	Strengthen the Nation’s digital economy by championing policies that will maximize the potential of the Internet, expanding broadband capacity, and enhancing cybersecurity	NTIA – Larry Strickland
ENVIRONMENT: Help communities and businesses prepare for and prosper in a changing environment	3.5	Enable U.S. businesses to adapt and prosper by developing environmental and climate-informed solutions	NIST – Willie May
DATA: Maximize the positive impacts of Commerce data on society	4.3	Collaborate with the business community to provide more timely, accurate, and relevant data products and services for customers	ESA – Mark Doms

Section 3.2: Strategies for Objectives

Key Strategies for Objective 1.1 include:

- Advance U.S. commercial and economic interests in negotiating and implementing trade and other international agreements
- Engage foreign governments to address government actions and policies that impede the export of U.S. goods and services
- Promote open and transparent procurement that facilitates the selection of U.S. suppliers in foreign civilian and defense acquisitions

Key Indicators used to track progress for Objective 1.1 include:

- Number of advocacy wins
- Dollar value of U.S. contracts from advocacy wins
- Number of foreign trade barriers prevented, reduced, or removed

ITA has key indicators and annual performance measures that demonstrate progress towards achieving its long-term goals of representing the interests of U.S. industry in trade negotiations, and advocating on behalf of industry with foreign governments. ITA measures its progress towards achieving the long-term goal of making measurable improvements through the number of target foreign trade barriers prevented, reduced or removed.

GM measures and captures the number of Advocacy wins and dollar value of U.S. contracts from advocacy wins by the Advocacy Center's internal tracking system, which tracks and records all Advocacy cases, wins, and dollar value of U.S. exports of those wins. This information is presented to senior leadership at the end of each fiscal quarter by use of a dashboard.

ITA measures and captures the number of target foreign trade barriers prevented, reduced, or removed as part of GM's Commercial Diplomacy Success (CDS) metric, I&A's trade barrier metric, and E&C's case metric. This metric is recorded in ITA's Client Tracking System (CTS), and in I&A's Planning Coordination and Management Office Records, and includes former Market Access & Compliance transformational CDSs. This information is presented to senior leadership at the end of the fiscal year.

Key Strategies for Objective 1.2 include:

- Educate U.S. companies and communities on benefits and best practices of exporting
- Connect U.S. companies to foreign markets and qualified buyers and partners
- Reduce the transaction costs and complexities of exporting
- Utilize partnerships to increase U.S. exports worldwide

Key Indicators used to track progress for Objective 1.2 include:

- **Percentage of Global Markets clients that achieved their export objectives (Agency Priority Goal for FY 2014-2015)**
- Number of clients assisted

The percentage of GM clients that achieved their export objectives metric is captured and measured by GM's Comment Cards system, whereby a client's response of a 9 or 10 (on a scale of 1-10) to the question "How well did we meet your export objectives?" is divided by the total number of responses received during the quarter. This information is presented to senior leadership at the end of each fiscal quarter by use of a dashboard, and it is reported on performance.gov.

The number of clients assisted is measured and captured by GM's Client Tracking System (CTS), and counts the number of clients that received any counseling sessions, or paid for a service, within each quarter. This information is also presented to senior leadership at the end of each fiscal quarter by use of a dashboard, and it is reported on performance.gov as a supporting indicator for ITA's Agency Priority Goal.

Key Strategies for Objective 1.3 include:

- Lead coordinated investment
- Provide tailored assistance to investors
- Provide coordinated support to states and localities to attract investment
- Advocate globally for the United States as a destination for investment

Key Indicators used to track progress for Objective 1.3 include:

- Number of investment clients assisted by the Department

GM measures and captures the number of investment clients assisted by the Department through SelectUSA's Investment Success Portal on ITA's intranet. This information is presented to senior leadership at the end of each fiscal quarter by use of a dashboard as well as reported on performance.gov.

Key Strategies for Objective 1.4 include:

- Enforce U.S. antidumping and countervailing duty trade remedy laws
- Enhance partnership with other U.S. enforcement agencies and private sector stakeholders to identify and thwart evasion of border measures
- Monitor and ensure compliance with trade agreements

Key Indicators for Objective 1.4 include:

- Percent of antidumping and countervailing duty determinations issued within statutory and/or regulatory deadlines
- Number of antidumping and countervailing duty petition counseling sessions
- Number of trade agreement compliance cases resolved successfully

E&C has key indicators and annual performance measures that demonstrate progress towards achieving its long-term goal of ensuring fair competition in international trade for U.S. firms and workers by addressing and resolving foreign unfair trade practices, enforcing international trade agreements, and administering the foreign trade zone program. E&C ascertains that its processes are transparent, timely and open, and ensures participants in the process receive fair and open treatment and due process under the law. These metrics demonstrate E&C's progress towards achieving the long-term goal of making measurable improvements to the integrity of its administrative processes. This information is presented to senior leadership at the end of each fiscal quarter.

Section 3.3: Progress Update for Strategic Objectives

In June 2014, the Department began its first Annual Strategic Review of the FY 2014-2018 Strategic Objectives. The action plan for the Strategic Review consisted of the following steps: a survey of the appointed and career executives on the risks, challenges and opportunities accruing to each Strategic Objective (late June); a full day Strategic Leadership Retreat to discuss key issues identified in the survey (July); and lastly revision of the Strategic Plan narrative and upgrade of Action Plans (target completion mid-October).

The central findings of the review have inspired a near top-to-bottom overhaul of the March 2014 version of the Department's 2014-18 Strategic Plan. A significant number of key strategies will likely be redrafted, and others removed and added as a result of strategic planning efforts over the coming months.

According to the Department's review of Trade and Investment Strategic Objectives 1.1 and 1.3, ITA has made some noteworthy progress yet has areas for improvement. In FY 2014, ITA's Advocacy Center made strong gains in leveling the playing field on behalf of U.S. companies competing for international government contracts: 90 foreign government contracts were won by U.S. businesses with Department assistance, totaling approximately \$79.8 billion in export content (more than the value won in FY 2012 and FY 2013 combined). The U.S.-Mexico High Level Economic Dialogue (HLED) has begun to produce measureable progress since its launch one year ago, and the Department's Doing Business In Africa (DBIA) campaign is likewise building rapid momentum. The Department has also been credited with elevating the commercial aspect of bilateral engagement within the fifth and most recent U.S.-India Strategic Dialogue.

Renewal of the Trade Promotion Authority (TPA) will also be critical to the Administration's Trade Policy Agenda. Foundational TPA legislation will lay the oversight and procedural groundwork necessary for the success of ambitious, high-standard, comprehensive trade agreements currently being negotiated, such as the 11-country Trans-Pacific Partnership (TPP) and the Transatlantic Trade and Investment Partnership (T-TIP) between the U.S. and the European Union (EU). TPP and T-TIP together would account for 65 percent of the world's goods and services trade and 69 percent of U.S. goods exports, and are considered crucial to the competitive expansion of American trade and investment.

The Department of Commerce and the Department of State have established processes for collaborating on strategies to increase Foreign Direct Investment as part of the Administration Cross-Agency Priority Goal. Outreach events have been numerous, targeted, and well-attended. The annual target for businesses assisted has been exceeded (1038 actual; 900 target). However, building capacity, sustainability, and scaling up of investment promotion will require significant focus. Despite these challenges, ITA continues to serve its customers through its significant industry sector and regional trade expertise alongside its export promotion, enforcement and compliance, and policy activities.

Benefits:

Global Markets (GM) benefits U.S. exporters by providing tailored export assistance to U.S. companies and communities to connect U.S. companies to foreign markets, qualified buyers, and partners. GM provides foreign market intelligence, identifies industry-specific opportunities and best market prospects, and helps U.S. companies develop market entry strategies. In addition, reducing foreign trade barriers is another significant benefit to the American public. Foreign government-imposed trade barriers such as inadequate protections for intellectual property rights, discriminatory regulations and lack of transparency in foreign government procurements cost U.S. exporters billions of dollars each year. Because the global trading system and the international agreements that govern it have become more complex, effective U.S. Government participation in bilateral, regional, and multilateral trade agreements is critical to reducing these costly barriers.

GM, through SelectUSA, increases high-impact inward foreign direct investment into the United States by leading coordinated investment promotion for the United States. GM investment teams work to develop country and industry-specific strategies in 32 economies with substantial potential for investments in the United States. Another substantial benefit is providing tailored investment assistance to investors. Through SelectUSA's enhanced outreach efforts, GM is able to proactively engage the foreign investment community to identify the information and services they need to invest in the United States. Finally, GM advocates globally for the United States as a destination for investment. Through SelectUSA, GM coordinates actions by senior federal officials, including the

President of the United States, to increase foreign direct investment in the United States resulting in new U.S. jobs and investment.

I&A continues to provide value to the American public through its various activities and programs. The Market Development Cooperator Program (MDCP) is a public/private partnership that provides technical and financial assistance to non-profit organization “cooperators”, such as trade associations. The MDCP enhances the competitiveness of U.S. industries by reducing the startup costs of new foreign market development projects. I&A is also working to preserve the U.S.-EU Safe Harbor Framework Agreement, which is critically important to companies on both sides of the Atlantic, as it enables these companies to comply with EU data protection requirements while transferring data to the United States, and is therefore vital to maintaining vibrant trade and commercial relations with our major trade partner. Another important effort is I&A’s work to reduce the cost and complexity of exporting by helping implement the International Trade Data System (ITDS) (under the Executive Order of February 19, 2014). ITA also helps in implementing the WTO Trade Facilitation Agreement, and implementing the recommendations of the Advisory Committee on Supply Chain Competitiveness.

I&A performs industry specific analysis to increase opportunities for U.S. companies by producing the Top Market Prospects Reports and other reports which deepen the U.S. exporter base. ITA conducts a series of outreach and educational initiatives/activities aimed, principally, at informing small and medium-sized enterprises about the benefits and availability of trade finance programs and tools, which are essential to increasing U.S. exports and expanding the number of new U.S. exporters. ITA produced the *Trade Finance Guide* (TFG), which has become one of its most popular publications. I&A has distributed approximately 300,000 copies of the TFG, in English and Spanish, to ITA’s customers, many through private sector partners. I&A industry teams provide increased opportunities for U.S. exporters through their work on trade agreements and negotiations such as the WTO Information Technology Agreement and Government Agreement on Semiconductors. . I&A supports U.S. Industry in protecting and enforcing intellectual property rights in foreign markets through direct counseling, and outreach initiatives. In addition, the Office of Intellectual Property Rights advances intellectual property protections and enforcements in countries through involvement in several bilateral and multilateral agreements including, TTIP, TPP and the U.S.-China Joint Commission on Commerce and Trade.

E&C helps U.S. manufacturers, exporters, workers, and farmers compete on a level playing field against injuriously dumped and unfairly subsidized imports by administering the U.S. antidumping duty (AD) and countervailing duty (CVD) laws, and develops and executes other programs and policies designed to reduce the prevalence of market distorting foreign government activities that can lead to such unfair trade practices. The unit also assists U.S. exporters and investors subject to foreign government barriers by working to ensure foreign government compliance with international trade agreement obligations. In addition, E&C coordinates the representation of U.S. commercial interests in designated bilateral, multilateral and regional trade and investment negotiations, and oversees formulation and implementation of policies related to a wide range of areas covered by trade agreement disciplines, as well as areas where agreement disciplines are still being created.

FY 2014 Accomplishments:

Global Markets

In FY 2014, Global Markets (GM) began its first year of consolidated operations, successfully integrating export promotion, trade policy and commercial diplomacy, and inward investment functions into one organization.

In FY2014, GM was successful in assisting U.S. companies with their exporting needs. These needs include providing market intelligence, developing export/market entry strategies, identifying foreign partners/buyers, and advising on export mechanics such as compliance with regulations and standards. GM exceeded the first year target of the Agency Priority Goal of helping clients achieve their export objectives. In addition, 83 percent of clients said they are highly likely to recommend GM assistance. For example, GM helped a small business client expand their international business in four markets. The company stated, "Our global growth as a direct result of our comprehensive cooperation with [GM]... has led to expanding our manufacturing staff."

GM exceeded its target for Commercial Diplomacy Successes by 52 percent. These successes include helping U.S. businesses and industries reduce, eliminate or prevent foreign government-imposed trade barriers such as inadequate protections for intellectual property rights, discriminatory regulations and lack of transparency in foreign government procurements all of which contribute to U.S. businesses being more competitive and increasing sales abroad. For example, together with Enforcement and Compliance and Industry and Analysis, GM helped a U.S. sporting goods manufacturer re-gain ownership of their trademark in Russia to maintain \$100 million of market share. The company stated, "We owe an enormous debt of gratitude to our government for this favorable outcome. Our sincere thanks to the International Trade Administration." In addition, GM leads and supports formal government dialogues on trade barriers. This year positive progress was made at the U.S.-China Joint Commission on Commerce and Trade, and GM actively represented U.S. business interests in on-going negotiations for the Transatlantic Trade and Investment Partnership (T-TIP) and the Trans Pacific Partnership (TPP). In addition, GM had a record year helping U.S. companies win foreign government procurements. Its coordination of U.S. government-wide Advocacy efforts on behalf of U.S. companies resulted in 90 contracts awarded to U.S. companies, which included nearly \$80 billion in U.S. export content. For example, TCI International, a Fremont, California-based subsidiary of SPX Corporation, bid on a procurement with the Macedonian government. Coordinated through the Advocacy Center, representatives of the U.S. government stressed the importance of a fair and transparent tender process to the Macedonian government directly, and the team provided consultation to TCI International regarding Macedonia's economic conditions, and its telecommunications and IT sector. In addition, U.S. Ambassador to Macedonia, Paul Wohlers, advocated on behalf of TCI International. As a result, TCI won the procurement and signed a contract to supply a national spectrum monitoring system in Macedonia. The total value of this procurement is \$12.5 million with 100 percent of that revenue staying in the United States and supporting 63 American jobs.

GM also expanded its ability to serve U.S. businesses overseas and support the President's Trade Africa, Power Africa, and Asia Rebalance initiatives. GM opened new offices in markets in Africa and Asia (including Wuhan, China), Angola, Ethiopia, Mozambique, Tanzania, and Burma. . This expansion puts Commercial Service officers into some of the world's most rapidly developing economies to help find partners and navigate the regulatory hurdles for U.S. companies.

Lastly, GM's SelectUSA program successfully procured a comprehensive, accurate, and updated web-based database of all business incentives offered by U.S. states. The State Business Incentives Database will assist SelectUSA clients, including international firms, considering locating in the United States and will directly encourage, facilitate and accelerate business investment in the United States. Access to such intelligence is necessary to adequately fulfill SelectUSA's role and mission as a Government-wide initiative to promote direct investment the U.S. economy.

Industry and Analysis

In FY 2014, Industry and Analysis (I&A) continued to integrate industry expertise with the planning, management, and execution of specific ITA trade promotion programs (e.g., trade missions and trade shows), trade negotiations, and partnerships with industry. With the transfer of the Trade Promotion

and Strategic Partnerships Program from the U.S. and Foreign Commercial Service into Industry and Analysis in FY14, this model is designed to ensure that industry input, data and analytics, and partnership relationships are more closely integrated into ITA trade and investment programs and strategies.

In FY 2014 I&A demonstrated successful export results through partnerships with U.S. industry. At \$1.08 billion exports generated by the Market Development Cooperator Program (MDCP), MDCP projects exceeded the \$389 million target for FY 2014. In particular, the top export-generating project by the National Tour Association reported \$527 million dollars in exports generated. Furthermore, I&A-supported Export Trading Companies generated \$24.5 billion in exports sales. More than 2,000 firms participate in the program; sales under the program support over 75,000 jobs annually. I&A's Trade Promotion Program organized and managed 20 Trade Missions and 27 certified (industry-organized) trade mission visiting 26 countries. More than 640 companies participated in these missions, which generated export sales of close to \$700 million.

I&A's role in trade negotiations and trade policy is to bring input from private sector Advisory Committees, analytics and industry expertise to bear on sector- specific elements of trade agreements to maximize resultant opportunities for U.S. business. In FY 2014, I&A served as the ITA lead for several chapters of the Transatlantic Trade and Investment Partnership (T-TIP) and the Trans-Pacific Partnership (TPP) agreements. I&A's offices also participated in sector-specific trade negotiations including the Information Technology Agreement expansion, and the Environmental Goods Agreement. I&A continued to deeply engage in negotiations with the European Commission on the future of the Safe Harbor program to ensure cross border data flows and trade between the United States and the European Union.

In FY 2014, I&A continued to lead ITA efforts to support Intellectual Property (IP) protection by leading the Department's efforts on the annual Special 301 review that assessed the effectiveness of the Intellectual Property Rights Regime of over 80 trading partners. I&A also completed the Congressionally-mandated report that identified the Department's efforts to address trade secret thefts, particularly with respect to China.

Furthermore, the newly created National Travel and Tourism Office conducted the economic analysis that resulted in the extension of visa validity with China from 1 to 10 years, which sets the stage for significant growth for the U.S. travel and tourism industry moving forward in China, our fastest growing travel and tourism market.

I&A continued the development of trade data analysis tools to aid policy makers in measuring trade activity and helping exporters identify new market export potential. In FY 2014, I&A expanded the product coverage of the Free Trade Agreement (FTA) Tariff Tool to include agricultural products. With the addition of 51,000 new records for agricultural goods, the FTA Tariff Tool now includes tariff information for all products (agricultural, textiles and apparel, and industrial goods) for 20 countries with which the United States has an FTA. I&A also introduced a new suite of products on jobs supported by exports that is used by economic development organizations around the United States and supports the Department's efforts to educate U.S. companies about the benefits of exporting.

Enforcement and Compliance

In FY 2014, Enforcement and Compliance (E&C) conducted 64 Antidumping and Countervailing (AD/CVD) investigations covering a number of diverse products ranging from Chinese solar cells to Mexican sugar, and oil country tubular goods from seven countries. In FY 2014, E&C initiated 52 AD and CVD investigations based on petitions from U.S. industries, impacting trade valued at an estimated \$8.2 billion (based on 2013 import values). This is the largest number of new

investigations initiated in one fiscal year over a ten year period. In FY 2014, E&C completed 387 determinations compared to an annual average of 335 determinations over each of the prior three fiscal years. Even with this unprecedented workload, E&C lowered its ministerial error rate for the second consecutive year.

In FY 2014, the Foreign-Trade Zones (FTZ) staff completed processing on 85 cases for action by the interagency FTZ Board and an additional 164 cases for staff-level action within E&C. Manufacturing-related FTZ cases covered industries as diverse as automobiles, pharmaceuticals, electronics, and construction equipment.

In FY 2014, E&C led Commerce's efforts to ensure that our foreign trading partners comply with the obligations in our multilateral, bilateral, and regional trade agreements. The ITA Trade Agreements Compliance Program, led by E&C, initiated 56 investigations into trade agreement non-compliance by 20 foreign governments, with 20 (36 percent) of those investigations undertaken on behalf of small and medium enterprises. E&C closed 25 investigations successfully, resulting in the reduction or removal of foreign government-imposed trade barriers in 16 countries on behalf of a range of industries. E&C also helped maintain important export markets by advocating for U.S. companies facing 46 trade remedy (antidumping, countervailing duty, and safeguard) actions conducted by 18 countries in FY 2014. Among other things, this assistance helped ensure that U.S. exporters of solar products to India were not subject to antidumping duties and thus could compete on a level playing field for India's \$100 million solar export market.

E&C conducted 15 outreach events to improve awareness of E&C's services to help ensure a level playing field for U.S. exporters. In addition, E&C led capacity-building efforts to improve and promote foreign government trade agreement compliance, such as leading the U.S.-Brazil Regulatory Coherence talks in August, and conducting technical exchanges with Brazil and Turkey on trade remedies in July and September respectively. E&C also supported trade agreement compliance efforts through its participation in 20 WTO Committee meetings.

E&C's role in trade negotiations is to advocate for strong, enforceable disciplines. During FY 2014, E&C served as ITA lead for certain chapters during five rounds of Transatlantic Trade and Investment Partnership (T-TIP) trade agreement negotiations, during the end-game of the Trans-Pacific Partnership (TPP) negotiations, and for the U.S.-China Bilateral Investment Treaty negotiations. E&C also worked with USTR and other U.S. Government agencies to secure implementation of the WTO Trade Facilitation Agreement and to conclude the accession of New Zealand and Montenegro to the WTO Agreement on Government Procurement, both of which will improve U.S. industry's access to and rights within foreign markets.

In May 2014, E&C and USTR collaboration resulted in a WTO dispute settlement finding upholding key U.S. complaints in a challenge of China's AD and CVD measures imposed on U.S. exports of automobiles, a market worth over \$6 billion. Similar enforcement efforts contributed to the termination of 25 foreign trade remedy measures in FY 2014, affecting more than \$6.7 billion in U.S. exports.

On July 10, 2014, E&C entered into a suspension agreement with Interpipe, a Ukrainian exporter of oil country tubular goods (OCTG), suspending the antidumping investigation of imports of OCTG from Ukraine. Such agreements are exceedingly rare. The Department administers approximately 300 trade remedy orders and, before this agreement, the Department administered just 6 suspension agreements; this is the 7th.

Section 3.4: Next Steps

STRATEGIC GOAL 1: TRADE AND INVESTMENT

Expand the U.S. economy through increased exports and inward foreign investment

Trade and investment are critical to the Nation's prosperity. The United States is the world's largest economy—the largest exporter and importer of goods and services and the world's largest recipient of foreign direct investment. In 2013, the United States exported more than \$2.3 trillion worth of goods and services. Exports fuel U.S. economic growth; support good jobs; and spread ideas, innovation, and American values.

Being the leader, however, is not enough. Too few U.S. companies export to too few markets. Of the more than 300,000 U.S. exporters, the top one percent account for approximately 80 percent of the value of U.S. merchandise exports, underscoring the tremendous opportunity for U.S. companies to export more.

Increasing trade will help the U.S. economy continue to rebalance from one mostly driven by domestic consumption to one increasingly engaged with the 95 percent of consumers who live outside U.S. borders. Encouraging investment will help the United States compete for global foreign direct investment which will continue to increase as emerging markets mature. As the lead trade and investment promotion agency in the federal government, the Department's goal is to increase the global fluency of U.S. businesses and make trade and investment a bigger part of the U.S. economy's DNA.

The following key initiatives support the strategies set forth under the Department's strategic objective 1.1:

- Assist U.S. companies competing for foreign procurements using the Interagency Taskforce on Commercial Advocacy.
- Advance the economic pillar of the Administration's Ukraine strategy, including engaging U.S. businesses, as appropriate, on the Ukrainian Government's economic reforms, and developing complimentary programs such as a business summit and Special American Business Internship Training (SABIT).
- Support U.S. businesses' interests in the Transatlantic Trade and Investment Partnership (T-TIP) and the Trans-Pacific Partnership (TPP); Conduct outreach on the benefits of trade and specific benefits of T-TIP and TPP.
- Conclude market-opening agreements in the Trans-Pacific region and in global trade for information technology products.
- Make significant progress in trade agreement talks with the European Union and on global trade in environmental technologies.
- Execute the work plan for the Mexico High Level Economic Dialogue promoting competitiveness, economic growth, and global leadership.
- Participate in the U.S.-East African Communities (U.S-EAC) Commercial Dialogue.
- Conduct Trade Agreement-Related Industry Impact Analysis when Congress introduces tariff suspension legislation.

The following key initiatives support the strategies set forth under the Department's strategic objective 1.2:

- Continue pilot with Census Bureau on examining the long-term impact on U.S. businesses assisted by Global Markets versus those not assisted by Global Markets.

- Test new tools to assist companies with finding their next export market under the National Export Initiative (NEI)/NEXTtext.
- Continue executing the Discover Global Markets conference series, accomplishing trade missions and continue work to develop application programming interface (API) list on website.
- Execute activities related to the Doing Business in Africa (DBIA) campaign including communicating commercial opportunities on the DBIA website, counseling businesses, and executing a Discover Global Markets conference and other events.
- Implement the FY 2015 National Travel and Tourism Strategy.
- Continue to support external engagement objectives with the technical and regulatory system implementation under the International Trade Data System (ITDS) Executive Order.
- Engage in the ITDS rollout and assist in identifying needs and concerns of supply chain operators through the Advisory Committee on Supply Chain Competitiveness (ACSCC). The ACSCC will focus on North American supply chain, freight movement, and infrastructure issues, including regional versions of the ITDS platform in FY 2015.

The following key initiatives support the strategies set forth under the Department's strategic objective 1.3:

- Successfully host a SelectUSA Investment Summit in March 2015.
- Engage economic development organizations (EDOs) to provide state-by-state information and investment opportunities to stakeholders.
- Develop a digital, online web presence and social media strategy that includes a range of tools and resources.
- Identify Interagency Investment Working Group (IIWG) priorities, objectives, capabilities, and strategic federal investment barriers to optimize client assistance.

The following key initiatives support the strategies set forth under the Department's strategic objective 1.4:

- Design and implement a new system to monitor and manage the AD/CVD case load.
- Develop a trade enforcement outreach plan to make U.S. industries, with a focus on small- and medium-sized enterprises (SMEs), aware of services E&C provides to help companies understand their rights under trade agreements, and the U.S. Government services available to address foreign government-imposed trade and investment barriers, or provide relief from injurious, unfair trade under the U.S. trade remedy laws.
- Deepen collaboration with U.S. Customs and Border Protection, Immigration and Customs Enforcement (ICE), Department of Homeland Security (DHS), Department of Justice (DOJ), and other enforcement and prosecutorial agencies by exchanging of information pertaining to AD/CVD issues, conducting training webinars, and meetings to enhance understanding and maintain the flow of information between agencies.
- Identify, investigate, and attempt removal/mitigation of foreign government imposed trade and investment barriers that contravene trade agreement obligations.
- Conduct trade agreement-related industry impact analysis to identify and develop U.S. policy concerning the effects on U.S. industry of: 1) WTO dispute settlement cases approaching retaliation; and 2) implementation of U.S. trade laws concerning trade agreement market access (e.g., Generalized System of Preferences (GSP) laws, Miscellaneous Tariff Bills).

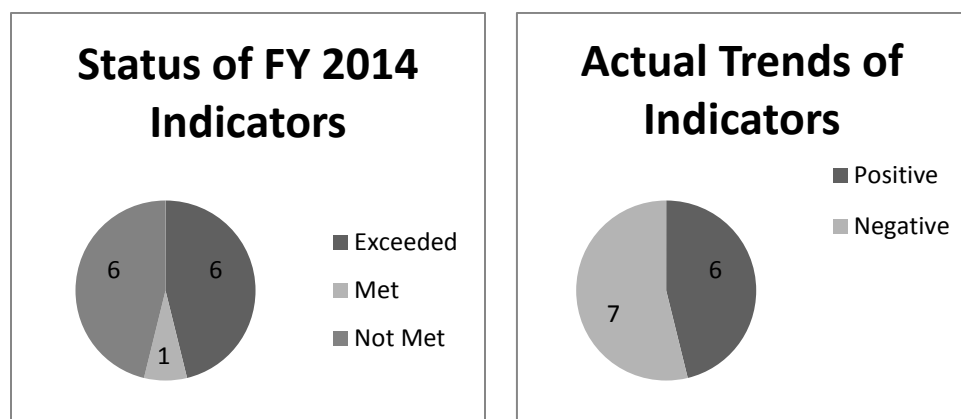
Part 4 Performance Goals / Indicators

Section 4.1: Summary of Performance

Status is based on the following standard:

Exceeded	More than 100 percent of target
Met	90 - 100 percent of target
Not Met	Below 90% of target

An indicator with a positive trend is one in which performance is improving over time while a negative trend is an indicator that has declining performance. A stable trend is one in which the goal is to maintain a standard, and that that is occurring. A varying trend in one in which the data fluctuates too much to indicate a trend. At a minimum these indicators must have three years of data.



Section 4.2: Summary of Indicator Performance

Objective 1.1: Increase opportunities for U.S. companies by opening markets globally

Indicator	Target	Actual	Status	Trend
<u>Recurring</u>				
Number of Commercial Diplomacy Cases Successfully Closed (annual)	225	343	Exceeded	Not enough data
<u>Non-Recurring</u>				
Annual cost savings resulting from the adoption of I&A recommendations contained in I&A studies and analysis	\$250M	\$0	Not met	Maintain Standard, negative
Percentage reduction in the per unit cost of data distribution	1.4%	0.2%	Not met	Directional, negative
Percent of industry-specific trade barriers that were removed or prevented	35%	10%	Not met	Variable, negative
Percent of industry-specific trade barrier milestones completed	70%	70%	Met	Variable, negative
Percent of trade agreement milestones completed	90%	69%	Not met	Not enough data

Objective 1.2: Increase U.S. exports by broadening and deepening the U.S. exporter base

Indicator	Target	Actual	Status	Trend
<u>Recurring</u>				
Exports generated annually from public/private partnerships	\$389M	\$1,082M	Exceeded	Variable, positive
Percentage of clients highly likely to recommend Global Markets assistance	69%	83%	Exceeded	Directional, positive
Number of clients assisted	22,150	17,593	Not Met	Variable, negative
Percentage of Global Markets clients that achieved their export objectives	69%	73%	Exceeded	Directional, positive
<u>Non-Recurring</u>				
Number of export transactions that U.S. exporters achieve with GM assistance	14,600	12,386	Not Met	Variable, negative

Objective 1.3: Increase high-impact inward foreign direct investment in the United States

Indicator	Target	Actual	Status	Trend
<u>Recurring</u>				
Number of investment clients assisted	900	1,006	Exceeded	Not Enough Data

Objective 1.4: Strengthen fair competition in international trade for U.S. firms and workers by addressing and resolving foreign unfair trade practices and enforcing international trade agreements

Indicator	Target	Actual	Status	Trend
<u>Recurring</u>				
Percent of AD/CVD petition counseling involving small and medium-sized enterprises (SMEs)	55%	60%	Exceeded	Maintain Standard, negative

Section 4.3 Detailed Indicator Plans and Performance

Strategic Goal 1: Expand the U.S. economy through increased exports and inward foreign investment that lead to more and better American jobs

Objective 1.1: Increase opportunities for U.S. companies by opening markets globally

New and Recurring Indicators:

Indicator	Export impact of prevention, reduction or removal of trade barriers – Dollars of exports created or retained (millions)							
Description	This indicator captures the export impact of work done on trade barriers by I&A staff. Trade barriers can include tariffs and a variety of non-tariff indicators such as: standards, domestic content requirements, foreign ownership requirements, regulations, and intellectual property rights. The goal of I&A activity is to eliminate, reduce or prevent such barriers to create or retain U.S. exports.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	N/A	\$620	\$650
Actual	N/A	N/A	N/A	N/A	\$761	\$151		
Status	N/A	N/A	N/A	N/A	N/A	N/A		
Trend	Not enough data							
Actions to be taken / Future Plans	This indicator will be introduced in FY 2015. The FY 2016 target is largely dependent on the conclusion of several major trade agreements including the Information Technology Agreement and the Trans Pacific Partnership.							

Indicator	Export impact of prevention, reduction or removal of trade barriers – Dollars of exports created or retained (millions)
Validation and Verification	
Data Source	Calculations by I&A staff using data from Census, international sources (e.g., IMF, World Bank, United Nations), and economic models
Frequency	Quarterly
Data Storage	I&A Planning Coordination and Management Office Records; ITA Central
Internal Control Procedures	I&A trade barrier metric administration team ensures the validity and consistency of metric measurement and calculation
Data Limitations	To be determined on a case-by-case basis
Actions to be Taken	None

Indicator	Dollar exports generated from Export Trading Companies (billions)							
Description	The Export Trading Company Act allows U.S. businesses to form export joint ventures called Export Trading Companies (ETC). Companies form ETCs for various purposes including, negotiating lower shipping rates, pooling resources to expand an export market base, avoiding export rivalry by coordinating an export strategy, and selling under a single label. ITA, with the concurrence of the Justice Department, issues a Certificate of Review under the act. This indicator captures the actual export sales in billions of dollars.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	N/A	\$22.5	\$23.5
Actual	\$15.9	\$17.3	\$23.9	\$21.1	\$22.8	\$24.5		
Status	N/A	N/A	N/A	N/A	N/A	N/A		
Trend	6 years of data, variable trend line, positive trend, some variability							
Actions to be taken / Future Plans	This indicator will be introduced in FY 2015. ITA possesses, however, actual data from FY 2009 to current date.							
Validation and Verification								
Data Source	Annual Report of Export Trading Companies							
Frequency	Annual							
Data Storage	I&A Planning Coordination and Management Office Records							
Internal Control Procedures	Export Trading Company Act staff ensures the validity and consistency of reported export sales by Export Trading Companies.							
Data Limitations	Timely reporting of export sales by Export Trading Companies. Pursuant to 15 CFR Part 325, full receipt by ITA of all current participating ETC's reported export sales generally lags 12-15 months from reporting year.							
Actions to be Taken	None							

Indicator	Number of Commercial Diplomacy Cases Successfully Closed (annual)							
Description	This indicator captures the results of Global Markets' front-line diplomatic engagement with foreign governments based on actions directed towards a foreign government in support of a U.S. company or the U.S. national economic interest. In order to qualify as a success, this engagement requires an action by the foreign government, and an outcome that benefits a U.S. company or the U.S. national economic interest. Situations that may lead to a successfully closed commercial diplomacy case include, but are not limited to, formal USG Advocacy on foreign official procurements, discriminatory legal and regulatory framework, a hostile business environment, customs and taxation issues, unfair or nontransparent procedures, and excessive fees or penalties. It serves as a valuable tool to gauge Global Markets' performance in its government-to-government work and captures a critical component of the program's fundamental mandate to protect U.S. business interests abroad.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	225	250	300
Actual	N/A	N/A	N/A	N/A	N/A	343		
Status	N/A	N/A	N/A	N/A	N/A	Exceeded		

Indicator	Number of Commercial Diplomacy Cases Successfully Closed (annual)
Trend	Not enough data. GM started measuring this metric in FY 2014, after consolidating the former Commercial Service's (CS) Commercial Diplomacy Successes with the former Market, Access, & Compliance's (MAC) compliance and market access (C&MA) successes and Advocacy Center wins.
Actions to be taken / Future Plans	This indicator was introduced in FY 2014.
Notes	The number of Commercial Diplomacy Successes includes the former MAC C&MA successes and Advocacy Center wins.
Validation and Verification	
Data Source	ITA Client Tracking System
Frequency	Quarterly
Data Storage	Customer Relationship Management (CRM) System
Internal Control Procedures	ITA utilizes Inspector General reviews, the annual independent financial audit, and DOC/ITA verification and validation reviews to assess actual indicator data. In addition, each month, Global Markets Commercial Officers review case data relevant to their areas in the ITA Client Tracking System case database. All ITA indicators are stored on ITA's knowledge management database – ITA Central.
Data Limitations	The integration of former Market Access and Compliance (MAC) and U.S. and Foreign Commercial Service (US&FCS) databases and quality control processes into one system for Global Markets is needed to ensure accurate reporting. Some of the commercial issues Global Markets professionals work on require extensive negotiation with a foreign government lasting over 12 months, which results in fluctuation from year-to-year in the results Global Markets reports.
Actions to be Taken	Integration of database and quality control processes across former MAC and US&FCS units into one database and quality control process for Global Markets.

Indicator	Number of foreign trade barriers removed, reduced, or avoided							
Description	This indicator captures the results of ITA's efforts remove trade barriers and open markets to U.S. exports of goods and services. It is an indicator that is shared by all three ITA operating units and therefore, also serves as a unifying collaborative goal.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	N/A	70	75
Actual	N/A	N/A	N/A	N/A	N/A	74		
Status	N/A	N/A	N/A	N/A	N/A	N/A		
Trend	Not enough data. ITA started measuring this metric in FY 2014 to track its performance on trade barrier removal work, which cuts across all three ITA business units.							
Validation and Verification								
Data Source	Staff Reporting							
Frequency	Quarterly							
Data Storage	ITA's Client Tracking System/Customer Relationship Management and ITA Central							
Internal Control Procedures	ITA utilizes Inspector General reviews and DOC/ITA verification and validation reviews to confirm data accuracy and validity.							
Data Limitations	This indicator requires the compilation of data from three units that do not all share common data platforms or collection and analytical methodologies. The CTS/CRM system has deficiencies that impact data collection and will be replaced by a new system in FY 2015.							
Actions to be Taken	Operating units will develop data collection and analysis methodologies. CTS/CRM will be replaced and implemented by the end of FY 2015.							

Non-recurring indicators

Indicator	Annual cost savings resulting from the adoption of I&A recommendations contained in I&A studies and analysis (millions)					
Description	This indicator captures the value added by I&A analysts in interagency policy discussions (e.g., interagency regulatory review). Analysts determine the cost impacts of various regulations on export-dependent U.S. manufacturing and services industries (including indirect upstream and downstream effects). For example, I&A provided analysis and comments on the Environmental Protection Agency's "Industrial Boiler" rule, as well as the Department of Homeland Security's "10+2" rule, resulting in cost savings to industries regulated by those rules.					
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target	\$350	\$350	\$350	\$250	\$250	\$250
Actual	\$552	\$647	\$1,800	\$0	\$262	\$0
Status	Exceeded	Exceeded	Exceeded	Not met	Exceeded	Not met
Trend	6 years of data, variable trend line, huge variability.					
Explanation (if not met in FY 2014)	I&A has shifted its focus away from domestic regulatory issues since FY 2010 with President Obama's announcement of the National Export Initiative, to allow for greater focus on global competitiveness of U.S. industry.					
Notes	This indicator will be discontinued in FY 2015 because I&A has shifted its focus away from domestic regulatory issues to allow for greater focus on global competitiveness of U.S. industry.					

Indicator	Percentage reduction in the per unit cost of data distribution					
Description	The indicator provides the percentage reduction in cost of distributing data through TradeStats Express. TradeStats Express is a data analytical tool that displays the latest trade data. The database provides national, state and regional data which can be displayed in maps, graphs, and tables. The database also provides export, import, and trade balances, and can be customized.					
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target	N/A	N/A	N/A	1.2%	1.4%	1.4%
Actual	14.4%	0.9%	1.0%	0.9%	0.2%	0.2%
Status	N/A	N/A	N/A	Not met	Not met	Not met
Trend	6 years of data, directional trend line, negative trend, some variability.					
Explanation (if not met in FY 2014)	Maximum cost savings have been achieved since new additions to the website expand the base data and lower the savings achieved. This program was initiated more than 10 years ago and maximum efficiencies have been realized.					
Notes	This indicator will be discontinued in FY 2015. This program was initiated more than 10 years ago and maximum efficiencies have been realized.					

Indicator	Percent of industry-specific trade barriers that were removed or prevented					
Description	This indicator quantifies the success of I&A's involvement in removing industry-specific foreign trade barriers. This enables U.S. companies to bring more of their products and services to previously closed foreign markets. This indicator captures on a rolling basis the outcome of I&A's efforts to address barriers in foreign markets such as labeling requirements, foreign restrictions on U.S. investment, and foreign standards.					
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target	20%	30%	30%	20%	20%	35%
Actual	30%	35%	35%	37%	52%	10%
Status	Exceeded	Met	Met	Exceeded	Exceeded	Not met
Trend	6 years of data, variable trend line, negative trend, huge variability.					
Explanation (if not met in FY 2014)	This measure is superseded by a new I&A metric that tracks the dollars of exports created or retained due to the prevention, reduction or removal of trade barriers. I&A's focus on the Trans-Pacific Partnership primarily and the Transatlantic Trade and Investment Partnership secondarily consumed much of ITA's trade barrier resources in FY 2014, and limited I&A's ability to meet its FY 2014 target.					
Notes	This indicator will be discontinued in FY 2015 because this measure is superseded by a new I&A metric that tracks the dollars of exports created or retained due to the prevention, reduction or removal of trade barriers.					

Indicator	Percent of industry-specific trade barrier milestones completed					
Description	This indicator reports on the success of ITA to target and remove industry-specific trade barriers. ITA measures its long term outcomes through the removal or prevention of industry specific barriers (see indicator entitled "Percent of industry-specific trade barriers that were removed or prevented"). Key milestones track annual progress toward removal or elimination of each identified barrier. Barriers have been identified by U.S. industry and assessed by I&A program staff to determine their commercial and strategic value.					
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target	55%	55%	70%	55%	55%	70%
Actual	72%	75%	75%	72%	77%	70%
Status	Exceeded	Met	Met	Exceeded	Exceeded	Met
Trend	6 years of data, variable trend line, negative trend, huge variability.					
Notes	This indicator will be discontinued in FY 2015 because this measure is superseded by a new I&A metric that tracks the dollars of exports created or retained due to the prevention, reduction or removal of trade barriers.					

Indicator	Percent of trade agreement milestones completed					
Description	This indicator captures the work of I&A industry analysts and trade negotiators who work on multi-year free trade agreements that benefit U.S. exporters and are intended to enhance U.S. competitiveness. In addition, these agreement milestones ensure that I&A's efforts are aligned to the President's Trade Agenda, as well as to the Department of Commerce priorities.					
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target	N/A	N/A	N/A	N/A	90%	90%
Actual	N/A	N/A	N/A	N/A	74%	69%
Status	N/A	N/A	N/A	N/A	Not met	Not met
Trend	Not enough data					
Explanation (if not met in FY 2014)	This measure is superseded by a new I&A metric that tracks the dollars of exports created or retained due to the prevention, reduction or removal of trade barriers. I&A's focus on the Trans-Pacific Partnership primarily and the Transatlantic Trade and Investment Partnership secondarily consumed much of ITA's trade barrier resources in FY 2014, and limited I&A's ability to meet its FY 2014 target.					
Notes	This indicator will be discontinued in FY 2015 because this measure is superseded by a new I&A metric that tracks the dollars of exports created or retained due to the prevention, reduction or removal of trade barriers.					

Objective 1.2: Increase U.S. exports by broadening and deepening the U.S. exporter base

New and Recurring Indicators

Indicator	Exports generated annually from public/private partnerships (millions)							
Description	This measure represents the dollar value of exports generated by Market Development Cooperator Program (MDCP) project activity. The MDCP is a public/private partnership that provides technical and financial assistance to non-profit organization "cooperators" such as trade associations. The MDCP generates job-sustaining exports by providing a portion of the startup costs of new foreign market development projects. The elements of each project vary, but examples include establishing product demonstration centers abroad, underwriting the cost of participation in foreign trade shows, and educating foreign authorities about industry standards. The drop between FY2013 actual and the FY2014 target is due to the expiration in 2013 of full funding for a very successful project by the National Tour Association, which received a 2009 MDCP award.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	\$86	\$1,900	\$467	\$389	\$437	\$140
Actual	\$73.7	\$86	\$2,400	\$1,500	\$2,510	\$1,082		
Status	N/A	N/A	Exceeded	Not met	Exceeded	Exceeded		
Trend	6 years of data, variable trend line, positive trend.							

Indicator	Exports generated annually from public/private partnerships (millions)
Adjustments to targets	<p>The export results for FY 2011 and 2012 are exceptionally high due to the unanticipated successful results of the National Tour Association (NTA) MDCP grant. For FY 2011, NTA estimated that its focus on increasing tourism in China would yield about \$20 million in tourism exports that it helped to broker. At \$2.3 billion, NTA's actual tourism exports to China in FY 2011 far exceeded the estimate. Accordingly, the FY 2012 estimate was increased to account for NTA's success. However, in late 2012, NTA noticed that fewer U.S. firms were registering their exports with NTA. To account for this trend NTA lowered its estimate of MDCP-generated exports that it would be able to report for FY 2013. Also, the NTA project was due to expire before the end of FY 2013 but was extended through the first quarter of FY 2014. Cooperators usually have their highest reporting toward the end of the project period. And a longer project period allows the project activity more time to generate exports that can be reported. (ITA is not allowed to ask for post-project-period reporting.)</p> <p>The FY 2015 target of \$437 was based on two assumptions (1) the USTA tourism project, which generated just over \$400 M in FY 2014 would continue through FY 2015, but at about \$300 M, 25% lower than FY 2014 to account for less robust results expected from the Nordic/Baltic markets that did so well in FY 2014; and (2) non-tourism exports would continue at about the same amount as for FY 2013, \$137 M (later adjusted to \$138 M). USTA's top-performing travel/tourism project will have expired by FY 2016, so the target for that year is \$140 M, based on the average of the export results of the non-travel/tourism MDCP projects in FY 2013 (\$138 M) and FY 2014 (\$142 M).</p>
Validation and Verification	
Data Source	I&A Analytical Reports and Studies and MDCP award recipients
Frequency	Annual
Data Storage	I&A Planning Coordination and Management Office Records
Internal Control Procedures	Reported quarterly by each cooperator. Each report is reviewed by an ITA team including an I&A industry specialist, a GM country specialist, and additional GM staff – usually both foreign and domestic. The MDCP manager approves results after they are finalized. All quarterly performance measurement reports are maintained in one database on ITA's local area network. Copies of individual reports are uploaded onto Grants Online, the system ITA uses to manage financial assistance awards to non-federal entities.
Data Limitations	None
Actions to be Taken	None

Indicator	Percentage of clients highly likely to recommend Global Markets assistance							
Description	This indicator illustrates the level of client satisfaction with Global Markets (GM) and will be used to improve the quality and efficiency of service delivery. This indicator was adopted in FY 2013. These targets were set using government customer satisfaction benchmarks from the American Customer Satisfaction Index (ACSI). ACSI results have hovered between 65-68% over the last five years, making the targets set reasonable ones.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	66%	69%	71%	73%
Actual	75%	77%	79%	82%	78%	83%		
Status	N/A	N/A	N/A	N/A	Exceeded	Exceeded		
Trend	6 years of data, directional trend line, positive trend, some variability.							
Actions to be taken / Future Plans	GM will start piloting a comment card survey for non-fee-based assistance and events to expand GM's client survey population in FY 2015 and 2016. Because this is a new business process for the organization and a new set of data, GM is not re-adjusting FY16 targets. GM will use the data gathered from the FY2015-2016 pilot to establish a more precise target in FY2017. Gathering two years of pilot data is consistent with the methodology GM used to calculate its previous targets for this measure and follows survey best practices.							
Information Gaps	Comment card data are from fee-based services only.							

Indicator	Percentage of clients highly likely to recommend Global Markets assistance
Validation and Verification	
Data Source	U.S. Exporters
Frequency	Quarterly
Data Storage	Client Comment Cards (Survey)
Internal Control Procedures	ITA utilizes Inspector General reviews and DOC/ITA verification and validation reviews to assess actual indicator data. All ITA indicators are stored on ITA's knowledge management database—ITA Central.
Data Limitations	If/when survey functionality is transitioned to the new ITA Client Relationship Management (CRM) system to be implemented in late FY15-FY16, data inconsistencies may occur.
Actions to be Taken	To be determined after implementation of the new CRM system.

Indicator	Number of clients assisted							
Description	This indicator illustrates GM's annual effectiveness in providing export counseling and assistance to additional U.S. companies. Historical data indicates that over 75 percent of companies assisted are small and medium-sized enterprises.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	19,723	20,709	20,800	22,150	23,000	23,000
Actual	N/A	18,784	20,143	18,945	18,126	17,593		
Status	N/A	N/A	Exceeded	Not met	Not met	Not met		
Trend	5 years of data, variable trend line, negative trend, and some variability.							
Explanation (if not met in FY 2014)	GM fell short of meeting its FY 2014 target largely due to under-reporting of client engagement data in CTS, GM's current customer relationship management (CRM) system.							
Actions to be taken / Future Plans	In FY 2015 GM will introduce a new CRM system, which is expected to significantly reduce the data entry burden, and thereby enable GM to provide a much more accurate accounting of clients assisted starting in FY 2016.							
Validation and Verification								
Data Source	ITA Client Tracking System							
Frequency	Annual							
Data Storage	Customer Relationship Management (CRM) System							
Internal Control Procedures	ITA utilizes Inspector General reviews, the annual independent financial audit, and DOC/ITA verification and validation reviews to assess actual indicator data. In addition, each month, Commercial Service officers review case data relevant to their areas in the ITA Client Tracking System case database. All ITA indicators are stored on ITA's knowledge management database—ITA Central.							
Data Limitations	CRM database used enterprise-wide by staff in offices in over 70 countries and 100 U.S. cities that is undergoing a review to improve the stability and performance of this system. Furthermore, internal controls are needed to ensure company size is accurately recorded.							
Actions to be Taken	Review and deploy enhancements to CRM database, IT infrastructure, and internal controls.							

Indicator	Percentage of Global Markets clients that achieved their export objectives							
Description	This indicator evaluates Global Markets' effectiveness in helping companies achieve their export objectives. GM offers U.S. companies a robust set of capabilities to help them achieve their international exporting goals, whether those goals are to set up an overseas distribution channel, gain easier access to challenging markets, or meet additional foreign buyers for their goods. Global Markets focuses on understanding clients' exporting needs, and providing services to meet those needs.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	69%	71%	71%
Actual	N/A	N/A	67%	68%	66%	73%		
Status	N/A	N/A	N/A	N/A	N/A	Exceeded		
Trend	4 years of data, directional trend line, positive trend, some variability.							
Actions to be taken / Future Plans	GM will start piloting a comment card survey for non-fee-based assistance and events to expand GM's client survey population in FY 2015 and 2016. Because this is a new business process for the organization and a new set of data, GM is not re-adjusting FY16 targets. GM will use the data gathered from the FY2015-2016 pilot to establish a more precise target in FY2017. Gathering two years of pilot data is consistent with the methodology GM used to calculate its previous targets for this measure and follows survey best practices.							
Information	Comment card data are from fee-based services only.							

Indicator	Percentage of Global Markets clients that achieved their export objectives
Gaps	
Validation and Verification	
Data Source	U.S. Exporters
Frequency	Quarterly
Data Storage	Client Comment Cards (Survey)
Internal Control Procedures	ITA utilizes Inspector General reviews and DOC/ITA verification and validation reviews to assess actual indicator data. All ITA indicators are stored on ITA's knowledge management database—ITA Central
Data Limitations	If/when survey functionality is transitioned to the new ITA Client Relationship Management (CRM) system to be implemented in late FY15-FY16, data inconsistencies may occur.
Actions to be Taken	To be determined after implementation of the new CRM system.

Non-recurring indicators

Indicator	Number of export transactions that U.S. exporters achieve with Global Markets (GM) assistance					
Description	This indicator measures GM's effectiveness in helping companies achieve export transactions in foreign markets. An export transaction is achieved by a U.S. firm in a foreign market as a result of GM assistance and verified by the U.S. exporter, or foreign buyer or other party to the transaction. An export transaction is defined as an international trade transaction between two commercial entities documented or evidenced by such things as a shipment of goods, a bill of lading, a sales invoice, a sales contract, or a leasing contract that involves the export of goods or services, distributor/sales agent agreement, or other reportable outcome, as defined in GM policy guidance.					
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target	N/A	N/A	N/A	N/A	N/A	14,600
Actual	12,329	12,370	14,643	14,231	14,735	12,386
Status	N/A	N/A	N/A	N/A	N/A	Not met
Trend	6 years of data, variable trend line, negative trend, huge variability.					
Explanation (if not met in FY 2014)	GM fell short of meeting its FY 2014 target primarily due to performance issues with GM's customer relationship management system, which led to underreporting as staff avoided the data collection and entry burden. Although the target for the number of export transactions was not met, the dollar value of the export transactions reported increased 64 percent to \$35.75 billion.					
Notes	This indicator will be discontinued in FY 2015 since GM is planning to use alternative data collection methods for evaluating the economic impact of GM's assistance that employ best practices recommended by outside experts and reduce the reporting burden on clients.					

Objective 1.3: Increase high-impact inward foreign direct investment in the United States

New and Recurring Indicators

Indicator	Number of investment clients assisted							
Description	This measure captures the number of domestic and foreign firms, as well as domestic and foreign Economic Development Organizations, assisted by the Department of Commerce to attract inward investment into the United States.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	900	1,600	2,400
Actual	N/A	N/A	N/A	N/A	N/A	1,006		
Status	N/A	N/A	N/A	N/A	N/A	Exceeded		
Trend	Not enough data							
Actions to be taken / Future Plans	This indicator was introduced in FY 2014.							
Validation and Verification								
Data Source	ITA Client Tracking System and SelectUSA's NextGen internal tracking system							
Frequency	Quarterly							
Data Storage	Customer Relationship Management (CRM) System							

Indicator	Number of investment clients assisted
Internal Control Procedures	ITA utilizes Inspector General reviews, the annual independent financial audit, and DOC/ITA verification and validation reviews to assess actual indicator data. In addition, each month, Global Markets Commercial Officers review case data relevant to their areas in the ITA Client Tracking System case database. All ITA indicators are stored on ITA's knowledge management database—ITA Central.
Data Limitations	CRM database used enterprise-wide by staff in offices in over 70 countries and 100 U.S. cities is undergoing a review to improve the stability and performance of this system.
Actions to be Taken	Review and deploy enhancements to CRM database, IT infrastructure, and internal controls.

Objective 1.4: Strengthen fair competition in international trade for U.S. firms and workers by addressing and resolving foreign unfair trade practices and enforcing international trade agreements

New and Recurring Indicators

Indicator	Percentage of Compliance and Market Access cases initiated that are reviewed for Agreement Relevancy within the established time frame							
Description	This indicator captures the timely analysis and determination of whether a Compliance and Market Access (C&MA) case is subject to a Relevant Agreement for cases in which E&C staff are the responsible Issue Experts. E&C Issue Experts have 10 business days in which to examine a possible trade barrier, comparing it with any trade agreement obligations and determining if an agreement is "relevant" to helping to solve the case. Making this determination is an important basis for forming an action plan, since it may or may not provide leverage to help carry out the plan. This determination also dictates if the trade barrier will be termed a "compliance" case. Cases for which the agreement expert has reviewed the facts obtained and has determined that sufficient information is not yet available will be marked pending while additional information is being obtained.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	N/A	90%	90%
Actual	N/A	91%*	93%*	91%*	89%*	96%		
Status	N/A	N/A	N/A	N/A	N/A	N/A		
Trend	Data collected from FY 2010 – 2014. Variable trend line, positive trend, huge variability.							
Actions to be taken / Future Plans	This indicator will be introduced in FY 2015.							
Notes	*E&C staff members are responsible for Relevant Agreement determinations for cases where they are the designated Issue Experts. This indicator pertains only to cases where the issues are handled by E&C.							
Validation and Verification								
Data Source	ITA/E&C's Trade Agreements Compliance maintains the Case Module framework of the Client Tracking System for use by ITA teams in documenting and communicating about casework.							
Frequency	Quarterly – this is an annual indicator, but reported quarterly for progress reporting.							
Data Storage	ITA Client Tracking System.							
Internal Control Procedures	Determinations of Agreement Relevancy are entered into each case record of the ITA Client Tracking System (CTS) by the case team's designated Issue Expert from the Office of the DAS Policy and Negotiations. Automated reports are run from CTS data weekly to monitor the timeliness of these entries and weekly case meetings are held to ensure that all staff are reminded of deadlines.							
Data Limitations	Since the indicator is an annual indicator, there will be some cases at the end of the year for which the ten business days allotted to make Agreement Relevant determinations has not entirely elapsed. Thus, the data may not completely match the number of cases initiated.							
Actions to be Taken	None. Determinations pending will be noted.							

Indicator	Percent of antidumping duty (AD) and countervailing duty (CVD) determinations issued within statutory and/or regulatory deadlines							
Description	This indicator captures the timely completion of all AD/CVD determinations associated with on-going investigations, reviews (including administrative, new shipper and changed circumstance reviews), and scope and circumvention inquiries conducted pursuant to U.S. laws and regulations. The indicator will increase certainty within the trade community as to which importers will be liable for the payment of antidumping and/or countervailing duties, the amount of the potential duties owed, and when those duties will be collected. It will also signal to domestic producers the level of potential relief provided to offset the unfair trading practices of foreign producers/exporters and governments.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	N/A	91%	91%
Actual	N/A	94%	99%	95%	96%	92%		
Status	N/A	N/A	N/A	N/A	N/A	N/A		
Trend	Performance data is available from FY 2010. Maintain Standard trend line, negative trend, huge variability.							
Actions to be taken / Future Plans	This indicator will be introduced in FY 2015. There is data collected from FY 2010-FY 2012 that will serve as a baseline for establishing targets.							
Validation and Verification								
Data Source	ITA/E&C's AD/CVD Operations maintains a case management database.							
Frequency	Quarterly							
Data Storage	AD/CVD Operations case management database.							
Internal Control Procedures	The case management database is maintained and updated daily by staff in the Office of the DAS for AD/CVD Operations. The staff responsible for the database ensures its accuracy by cross-checking the relevant signed Federal Register notices and decision memoranda.							
Data Limitations	None							
Actions to be Taken	None							

Indicator	Percent of antidumping (AD) and countervailing duty (CVD) cash deposit and liquidation instructions issued accurately to U.S. Customs & Border Protection (CBP)							
Description	This indicator captures the accuracy of cash deposit and liquidation instructions issued by E&C to CBP to ensure collection of appropriate and accurate duties for merchandise subject to antidumping and countervailing duty proceedings.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	N/A	86%	86%
Actual	N/A	N/A	N/A	N/A	N/A	97%		
Status	N/A	N/A	N/A	N/A	N/A	N/A		
Trend	Not enough data							
Actions to be taken / Future Plans	This indicator will be introduced in FY 2015.							
Validation and Verification								
Data Source	ITA/E&C's AD/CVD Operations maintains a management database that tracks the accuracy of the instructions.							
Frequency	Quarterly							
Data Storage	AD/CVD Operations internal database.							
Internal Control Procedures	The management database is maintained by an assigned group from each office in AD/CVD Operations. It is monitored and reviewed regularly by the AD/CVD Operations Customs Liaison Unit, which in turn cross checks it with 1) information contained in the electronic data system used to transmit the instructions to CBP, and 2) information retained by the offices responsible for populating the database.							
Data Limitations	None							
Actions to be Taken	None							

Indicator	Percent of antidumping (AD) and countervailing duty (CVD) cash deposit and liquidation instructions issued timely to U.S. Customs & Border Protection (CBP)							
Description	This indicator captures the timeliness of cash deposit and liquidation instructions issued by E&C to CBP to ensure collection of appropriate duties for merchandise subject to AD and CVD proceedings.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	N/A	88%	88%
Actual	N/A	N/A	N/A	N/A	N/A	93%		
Status	N/A	N/A	N/A	N/A	N/A	N/A		
Trend	Not enough data							
Actions to be taken / Future Plans	This indicator will be introduced in FY 2015.							
Validation and Verification								
Data Source	ITA/E&C's AD/CVD Operations maintains a management database that tracks the timeliness of the instructions.							
Frequency	Quarterly							
Data Storage	AD/CVD Operations internal database.							
Internal Control Procedures	The management database is maintained by an assigned group from each office in AD/CVD Operations. It is monitored and reviewed regularly by the AD/CVD Operations Customs Liaison Unit, which in turn cross checks it with 1) information contained in the electronic data system used to transmit the instructions to CBP, and 2) information retained by the offices responsible for populating the database.							
Data Limitations	None							
Actions to be Taken	None							

Indicator	Percent of antidumping (AD) and countervailing duty (CVD) petition counseling involving small and medium-sized enterprises (SMEs)							
Description	This indicator captures E&C counseling assistance to U.S. small and medium-sized enterprises (SMEs) and their workers, including counseling resulting from contacts initiated by SMEs or their workers, and E&C outreach to SMEs. Such counseling improves SME's understanding of and access to the U.S. unfair trade laws dealing with injurious dumping and foreign government subsidies that can impede the competitiveness of U.S. companies and workers. After discussions with E&C's Petition Counseling and Analysis Unit (PCAU), whether a U.S. industry ultimately files an AD or CVD petition, or pursues other options, is a complex decision each party makes after considering the resources involved in participating in the AD or CVD process.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	55%	55%	Discontinued
Actual	N/A	N/A	65%	61%	30%	60%		
Status	N/A	N/A	N/A	N/A	N/A	Exceeded		
Trend	Four years of data, maintain standard trend line, negative trend, huge variability.							
Actions to be taken / Future Plans	This indicator will be discontinued in FY 2016. It will be replaced by a new measure ("Number of antidumping (AD) and countervailing duty (CVD) petition counseling sessions").							
Validation and Verification								
Data Source	PCAU maintains a database of its communications with U.S. companies							
Frequency	Annual.							
Data Storage	PCAU internal database.							
Internal Control Procedures	Analysts entering the data review the database to ensure accuracy.							
Data Limitations	Data reflect the number of companies or law firms that have contacted the PCAU. These figures may fluctuate depending on economic circumstances outside the control of the PCAU.							
Actions to be Taken	None							

Indicator	Number of antidumping (AD) and countervailing duty (CVD) Petition Counseling Sessions							
Description	As of FY 2016, we are implementing a new measure that will capture all E&C petition counseling assistance to U.S. companies and their workers, including counseling resulting from contacts initiated by companies or their workers, and E&C outreach to U.S. companies. Such counseling improves all companies' understanding of and access to the U.S. unfair trade laws dealing with injurious dumping and foreign government subsidies that can impede the competitiveness of U.S. companies and workers. After discussions with E&C's Petition Counseling and Analysis Unit (PCAU), whether or not a U.S. industry ultimately files an AD or CVD petition, or pursues other options, is a complex decision each party makes after considering the resources involved in participating in the AD or CVD process.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	N/A	N/A	230
Actual	N/A	N/A	N/A	N/A	N/A	318		
Status	N/A	N/A	N/A	N/A	N/A	N/A		
Trend	Not enough data							
Actions to be taken / Future Plans	This indicator will be introduced in FY 2016.							
Validation and Verification								
Data Source	PCAU maintains a database of its communications with U.S. companies							
Frequency	Annual.							
Data Storage	PCAU internal database.							
Internal Control Procedures	Analysts entering the data review the database to ensure accuracy.							
Data Limitations	Data reflect the number of companies, organizations (such as labor unions, trade associations, etc.), or law firms (or other representatives) that have contacted the PCAU. These figures may fluctuate depending on economic circumstances outside the control of the PCAU.							
Actions to be Taken	None							

Part 5: Other Indicators

Section 5.1: Description

Indicator	Dollar value of textile sales generated (millions)							
Description	This measure highlights I&A's ability to assist U.S. textile and apparel companies with export sales. I&A calculates the dollar value of immediate and projected textile sales generated from I&A's direct involvement with companies at international trade shows and through business to business match-making activities coordinated by I&A.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Actual	N/A	N/A	N/A	N/A	\$22	\$25*	\$30*	\$30*
Notes	*These figures are projected amounts.							

Part 6: Agency Priority Goals

Section 6.1: APG Statement, Overview and Goal Leader

APG Statement: By September 30, 2015, the Department of Commerce will increase the percentage of companies assisted by Global Markets that achieve their export objectives to 71%.

Overview: Exports are important to fostering U.S. economic prosperity. The International Trade Administration (ITA) is committed to providing high-quality assistance that helps U.S. companies achieve their export objectives. This priority goal focuses on improving the quality of assistance ITA's trade and commercial specialists provides to companies. ITA's delivery of substantive, high value-

added assistance is affirmed when companies receiving this assistance respond that they have achieved their export objectives.

This increased emphasis on improving the quality of services provided is representative of ITA's shift in focus and strategy as the organization embarked on a major consolidation, which took effect October 1, 2013. This consolidation combines ITA's largest business unit, the U.S. and Foreign Commercial Service (US&FCS), with the Market Access and Compliance unit to form a new unit called Global Markets (GM). GM is the business unit responsible for achieving this priority goal.

With the launch of the new GM business unit, it is imperative that GM staff worldwide—all of whom interact with U.S. companies—are unified behind a common goal that focuses on the customer's unique needs. The FY2012-2013 baseline average percentage of companies assisted that achieved their export objectives is 67% for ITA's fee-for-service clients. To achieve this priority goal, GM will seek to understand individual U.S. companies' needs to be successful internationally and, subsequently, offer a customized approach that draws on the full resources available across ITA and the federal government to meet those needs. This strategic shift towards offering a more consultative approach steers ITA professionals towards identifying the problems and challenges with exporting, and designing holistic solutions for those problems. It focuses ITA on engaging with clients to offer substantive, high value-added assistance, such as helping companies select the best markets to enter, overcome trade barriers they encounter when exporting, or find suitable international business partners.

Possible barriers and challenges to achieving this priority goal include the following: ITA's current Customer Relationship Management (CRM) system is outdated, and ITA is currently in the process of replacing this system with a more modern one that will better allow tracking of activities in support of this goal. Also, GM faced challenges communicating this new priority goal and accompanying policy instructions to ITA's Global Markets field staff in FY 2014 given other organizational changes which were occurring concurrently, including a major programmatic consolidation/reorganization.

Goal Leader: Arun Kumar, Assistant Secretary and Director General of Global Markets

Section 6.2: Strategies

Continued training for client-facing staff: To improve ITA's APG performance, Global Markets will continue to train client-facing staff across the country and around the world on how to develop, document and achieve a client's export objectives; this includes training staff on best practices and standard operating procedures.

Expand data collection: Global Markets will expand usage of Comment Cards to include non-fee-based services in order to collect more client feedback data. Additionally, ITA will procure and implement a new Customer Relationship Management system in FY 2015 that will enable surveys to be sent out to all clients that receive substantive assistance during the year; this includes counseling and other assistance that currently is not tracked in a way that can be surveyed efficiently and effectively.

Section 6.3 Indicators

The following table provides information on ITA’s Priority Goal indicators:

Goal	Percentage of Global Markets clients that achieved their export objectives					
Performance Indicators	Companies assisted by Global Markets that achieve export objectives		Number of clients assisted by Global Markets		Percentage of clients highly likely to recommend Global Markets	
Description	See Section 6.1 above		This indicator illustrates ITA's reach into the U.S. business community. Historical data indicates that over 75 percent of companies assisted are small and medium-sized enterprises.		This indicator illustrates the level of client satisfaction with Global Markets and will be used to improve the quality and efficiency of service delivery. This indicator was adopted in FY 2013. These targets were set using government customer satisfaction benchmarks from the American Customer Satisfaction Index (ACSI). ACSI results have hovered between 65-68% over the last five years, making the targets set reasonable ones.	
	Target	Actual	Target	Actual	Target	Actual
FY 2014	69%	73%	22,150	17,593	69%	83%

Section 6.4: Progress Update

In FY14 Q4, 76 percent of (GM) clients reported that they achieved their export objectives. FY14’s total mark is 73 percent. As a result, GM exceeded its annual target goal of 69 percent.

For FY14, ITA’s Agency Priority Goal (APG) was captured and measured by GM’s current “Comment Cards” system for fee-based services. A client’s response of a 9 or 10 (on a scale of 1-10) to the question “How well did we meet your export objectives?” measures a positive response. This use of 9 and 10 represents a “top two box score” and is consistent with survey industry standards. A fee-based service requires a Participation Agreement (PA) between the client and GM. In FY14 Q2, GM added an “objective” box to the PA. A mutually agreed to objective is documented in the mandatory open text field. Once GM closes a PA, this mutually agreed upon objective populates in the comment card which is sent to the client. The client indicates on the card if their objective was met and returns it to GM.

Section 6.5: Next Steps

Starting in FY15, GM will expand the Comment Card system to include non-fee based services. This will enable GM to capture client feedback on a broader range of services in order to help improve and measure the full breadth of GM assistance to its clients.

In addition, in FY15 GM will pilot measuring the service delivery time for its fee-based services in an effort to address wait times (the time it takes to complete a fee-based service such as a Gold Key). These two measures will help improve customer satisfaction.

GM is conducting two pilots aimed at improving its knowledge management. The first is the Export Consulting Group pilot, which aims to offer clients a team consulting approach to assist with their export objectives. Three Export Consulting Groups (ECGs) are currently under way, each finalizing its strategic and comprehensive global business solution for the target client. The ECG pilot represents clients in services, manufacturing, urban and rural firms. The second pilot is the Knowledge Management pilot, which aims to leverage technology to create a repository of

knowledge/commercial intelligence across GM. This pilot is in the technology acquisition phase. Technology acquired as part of this pilot will assist GM employees, but also US exporters, partners, and multipliers. The goal of these pilots remains to identify knowledge, expertise, and commercial intelligence, and deliver it to the people and clients who need it.

Section 6.6: Contributing Programs

ITA—Industry and Analysis, Enforcement and Compliance, Trade Promotion Coordinating Committee member agencies, and programs including, but not limited to counseling, export financing, trade advocacy, commercial diplomacy, business matchmaking, and the National Export Initiative.

Part 7: Resource Requirements Table

Funding for the Resource Requirements table reflects total direct obligations. Reimbursable obligations are included insofar that amounts can be reasonably be predicted with little variance from year to year, and could reasonably affect the performance of indicators. Funding and FTE appear at the objective level.

DOC Trade and Investment Objective #1 Increase opportunities for U.S. companies by opening markets globally									
	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Estimate	FY 2016 Base	Increase/Decrease	FY 2016 Request
Manufacturing and Services	\$33.9	\$35.4	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
Market Access and Compliance	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
Import Administration	\$10.7	\$10.5	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
Commercial Service	\$3.1	\$3.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
Industry and Analysis	\$0.0	\$0.0	\$49.9	\$42.4	\$45.8	\$48.6	\$44.4	\$1.2	\$45.6
Executive Direction/Administration	\$2.8	\$2.7	\$2.8	\$2.4	\$2.4	\$2.5	\$2.4	\$0.0	\$2.4
Total Funding	\$50.5	\$51.6	\$52.7	\$44.8	\$48.3	\$51.1	\$46.8	\$1.2	\$48.0
Direct	\$49.2	\$50.6	\$51.5	\$44.1	\$47.9	\$50.4	\$46.1	\$1.2	\$47.3
Reimbursable	\$1.3	\$1.0	\$1.3	\$0.7	\$0.4	\$0.7	\$0.7	\$0.0	\$0.7
FTE	198	190	199	184	195	204	204	0	204

DOC Trade and Investment Objective #2 Increase U.S. exports by broadening and deepening the U.S. exporter base									
	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Estimate	FY 2016 Base	Increase/Decrease	FY 2016 Request
Manufacturing and Services	\$5.7	\$2.9	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
Market Access and Compliance	\$23.8	\$27.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
Import Administration	\$8.3	\$8.4	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
Commercial Service	\$273.3	\$272.5	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
Industry and Analysis	\$0.0	\$0.0	\$7.7	\$3.4	\$3.5	\$3.7	\$3.5	\$0.0	\$3.5
Global Markets	\$0.0	\$0.0	\$325.0	\$319.9	\$328.1	\$338.1	\$349.0	-\$5.3	\$343.7
Executive Direction/Administration	\$18.0	\$19.6	\$18.4	\$17.2	\$16.0	\$16.8	\$17.0	-\$0.3	\$16.7
Total Funding	\$329.1	\$330.5	\$351.1	\$340.4	\$347.5	\$358.6	\$369.5	-\$5.6	\$363.9
Direct	\$310.1	\$309.0	\$329.7	\$317.4	\$324.1	\$332.9	\$343.8	-\$5.6	\$338.2
Reimbursable	\$18.6	\$21.5	\$21.4	\$23.0	\$23.4	\$25.6	\$25.6	\$0.0	\$25.6
FTE	1,184	1,155	1,185	1,148	1,100	1,201	1,201	0	1,201

DOC Trade and Investment Objective #3 Increase high-impact inward foreign direct investment in the United States									
	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Estimate	FY 2016 Base	Increase/Decrease	FY 2016 Request
Manufacturing and Services	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
Market Access and Compliance	\$0.5	\$0.5	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
Import Administration	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
Commercial Service	\$0.0	\$0.3	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
Global Markets	\$0.0	\$0.0	\$0.6	\$0.8	\$4.7	\$10.0	\$10.0	\$10.0	\$20.0
Executive Direction/Administration	\$0.0	\$0.0	\$0.0	\$0.3	\$0.3	\$0.3	\$0.3	\$0.0	\$0.3
Total Funding	\$0.5	\$0.7	\$0.6	\$1.2	\$5.1	\$10.3	\$10.3	\$10.0	\$20.3
Direct	\$0.5	\$0.7	\$0.6	\$1.2	\$5.1	\$10.3	\$10.3	\$10.0	\$20.3
Reimbursable	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
FTE	3	4	4	6	14	23	27	9	36

DOC Trade and Investment Objective #4 Strengthen fair competition in international trade for U.S. firms and workers by addressing and resolving foreign unfair trade practices and enforcing international trade agreements									
	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Estimate	FY 2016 Base	Increase/Decrease	FY 2016 Request
Manufacturing and Services	\$11.6	\$11.6	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
Market Access and Compliance	\$22.9	\$21.4	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
Import Administration	\$56.5	\$55.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
Commercial Service	\$4.7	\$4.6	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
Industry and Analysis	\$0.0	\$0.0	\$12.4	\$11.9	\$11.5	\$12.2	\$12.4	-\$0.2	\$12.2
Enforcement and Compliance	\$0.0	\$0.0	\$70.5	\$70.7	\$69.1	\$77.3	\$75.8	\$6.2	\$82.0
Executive Direction/Administration	\$6.7	\$6.5	\$5.4	\$5.1	\$4.8	\$5.0	\$5.0	-\$0.1	\$4.9
Total Funding	\$102.4	\$99.1	\$88.2	\$87.7	\$85.4	\$94.6	\$93.2	\$5.9	\$99.1
Direct	\$101.9	\$98.7	\$87.4	\$87.6	\$85.3	\$94.4	\$93.1	\$5.9	\$99.0
Reimbursable	\$0.5	\$0.4	\$0.8	\$0.1	\$0.1	\$0.1	\$0.1	\$0.0	\$0.1
FTE	498	501	390	358	357	404	408	18	426

Grand Total									
Total Funding	\$482.5	\$481.9	\$492.6	\$474.1	\$486.3	\$514.6	\$519.8	\$11.5	\$531.3
Direct	\$461.7	\$459.0	\$469.2	\$450.3	\$462.4	\$488.0	\$493.3	\$11.5	\$504.8
Reimbursable	\$20.4	\$22.9	\$23.5	\$23.8	\$23.9	\$26.4	\$26.4	\$0.0	\$26.4
FTE	1,883	1,850	1,778	1,696	1,666	1,832	1,840	27	1,867

Note: Worsted Wool account included in IA/I&A.

Part 8: Other Information

Section 8.1: Major Management Priorities, Challenges, and Risks

In its FY 2014 Top Management Challenges report, the Department's OIG identified the following area for management attention: "Promoting U.S. exports while protecting national security interests."

More specifically, the OIG stated that ITA's challenge is to sustain the momentum to increase exports while managing an internal reorganization at the same time.

International Trade Administration's Response to the OIG Top Management Challenges

ITA's official responsible for OIG's Management Challenge is Ken Hyatt, Deputy Under Secretary for International Trade. ITA's Response to the OIG FY 2014 Top Management Challenge, "Implementing the National Export Initiative Under a New Organizational Structure" noted the following:

- By all measures, the National Export Initiative (NEI) has been catalytic.
 - American businesses achieved record exports for four consecutive years, with exports supporting a record 11.3 million jobs in 2013, an increase of 1.6 million jobs since 2009.
 - Thousands of companies across the country made exporting a strategy to growing their business.
 - Dozens of states and communities turned to exports as a path for economic growth to support additional jobs.
- Starting from a base of \$1.58 trillion of exports in 2009, the United States has reached an all-time high of \$2.28 trillion in 2013; the year-over-year growth rate of U.S. exports was about 3 percent through the first half of 2014.
- We cannot control the ups and downs of the global economy, but we can and must remain vigilant to maximize the potential of our free trade agreements and of every American company that wants to grow, hire and compete through exporting.
- Building on progress of the NEI, Secretary Pritzker announced NEI/NEXT in mid-May. NEI/NEXT is new customer service-driven strategies with improved information resources that will help American businesses capitalize on existing and new opportunities to sell Made-in-America goods and services abroad.
- The five objectives of NEI/NEXT are rooted in the lessons we have learned, and include:
 1. Connecting more U.S. businesses to their NEXT global customer with tailored industry-specific information and assistance.
 2. Making the NEXT international shipment easier and less expensive, through efforts to streamline U.S. government export-related services, reporting requirements and processes, and speeding American goods to more markets through domestic infrastructure improvements.
 3. Expanding access to finance for U.S. businesses' NEXT export transaction, helping more exporters obtain financing to meet international demand, and ensuring more companies know what products and services are available to reduce risk and export to new markets with confidence.
 4. Promoting exports and foreign direct investment attraction as the NEXT economic development priority in communities and regions across the country by enhancing partnerships with local and state leaders and by coordinating with SelectUSA.
 5. Creating, fostering and ensuring U.S. business' NEXT global opportunity by helping developed and developing economies improve their business environments, by opening new markets, and by establishing conditions and addressing barriers to allow more American exporters to compete and win abroad.

NEI/Next Objectives 1 and 4 are chaired by ITA and are a part of the Department of Commerce's management plan. The United States is poised to capitalize on an increasingly favorable global macroeconomic outlook, and through NEI/NEXT ITA will continue to support economic growth and create opportunities for U.S. businesses and the American workforce to sell Made-in-America goods and services to more countries.

Section 8.2: Cross-Agency Priority Goals / Collaborations

CAP Goal: Job Creating Investment

Goal leaders: Jason Miller (NEC), Bruce Andrews (DOC), Heather Higginbottom (State Department)

Deputy Goal leaders: Ken Hyatt (ITA), Arun Kumar (ITA) Charles Rivkin (State Department), Jason Miller (NEC)

Goal Statement: Improve federal investment tools and resources, while also increasing interagency coordination, to encourage foreign direct investment, spurring job growth.

Key Agency Partners: Collaboration across the Interagency Investment Working Group Members (IIWG): Departments of State, Treasury, Defense, Justice, Interior, Agriculture, Commerce, Labor, Veterans Affairs, Health and Human Services, Housing and Urban Development, Transportation, Energy, Education, and Homeland Security, the Environmental Protection Agency, the Small Business Administration, the Export Import Bank of the United States, the Office of the United States Trade Representative, the Domestic Policy Council, the National Economic Council, the National Security Staff, the Office of Management and Budget, and the Council of Economic Advisers, Federal Aviation Administration

Contribution to CAP Goal/Objectives:

- Promote and market the United States as the premier investment destination
- Improve federal services, tools and resources that facilitate inward investment
- Improve and execute federal business processes that assist potential investors and community initiatives to attract, retain, expand, and reshore investment
- Create a more attractive investment environment by identifying and initiating processes with appropriate agencies to address barriers and disincentives

Key Indicators:

- Number of investment clients assisted
- Number of EDOs counseled

Collaborations

U.S.-European Union Safe Harbor Framework Agreement: ITA leads the Safe Harbor negotiations in coordination with the Department of Justice, the Federal Trade Commission, the Office of the Director for National Security, and the National Security Council.

International Trade Data System (ITDS): ITA leads the external engagement work of the interagency program to implement the ITDS single window system in the United States by the end of 2016. In that process ITA works closely with the U.S. Department of Homeland Security, the National Security Council, U.S. Customs and Border Protection, multiple Department of Commerce bureaus (including

other parts of ITA, the Bureau of Industry and Security, the National Oceanic and Atmospheric Administration, the Economics and Statistics Administration, and the Census Bureau), plus 45 other Federal agencies engaged in data collection and customs processing at the U.S. border.

Trade Finance Education: ITA conducts its program on trade finance education in close cooperation with several U.S. government agencies and private sector organizations, including the U.S. Export-Import Bank, Small Business Administration, Department of Agriculture, Trade and Development Agency, and the Finance, Credit and International Business Association.

Section 8.3: Evidence Building

Global Markets (GM) and the Census Bureau's Center for Economic Studies (CES) established an interagency agreement to pilot a study to evaluate the long-term economic impact of GM assistance by comparing the performance of companies GM assisted versus the general business population. The pilot will be completed in Q1 of FY 2015 and similar studies will be conducted every three years. In addition, Global Markets conducted a pilot to assess the economic impact of trade barriers eliminated or reduced overseas with GM commercial diplomacy assistance. The pilot will be completed in Q1 of FY 2015 and similar economic impact assessments will be conducted annually in FY 2015 and beyond. Lastly, Global Markets streamlined a survey instrument piloted in FY 2013 to collect annual economic impact data from clients that receive in-depth export assistance from GM. The survey will be submitted in the first part of Q1 of FY 2015 to the Office of Management and Budget as part of the Paperwork Reduction Act requirement so that GM can conduct the survey annually starting in FY 2015.

ITA understands the importance of using program evaluations to assess its activities and programs and support informed programmatic and management decision-making. ITA is considering the expanded use of program evaluations as possible within available resources and will undertake an assessment during FY 2015 to determine priority evaluation areas based on strategic needs and existing information gaps. Where possible, ITA will begin new program evaluations during FY 2015.

Section 8.4: Hyperlinks

None at this time.

Section 8.5: Data Validation and Verification

The FY 2014 Summary of Performance and Finance Information includes in the Secretary's Statement, an assessment of the reliability and completeness of the Department's performance data.

Section 8.6: Lower-Priority Program Activities

The President's Budget identifies the lower-priority program activities, where applicable, as required under the GPRA Modernization Act, 31 U.S.C. 1115(b)(10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget>.

Exhibit 3A - FY 2016 Annual Performance Plan / FY 2014 Annual Performance Report

MINORITY BUSINESS DEVELOPMENT AGENCY

Part 1: Agency and Mission Information

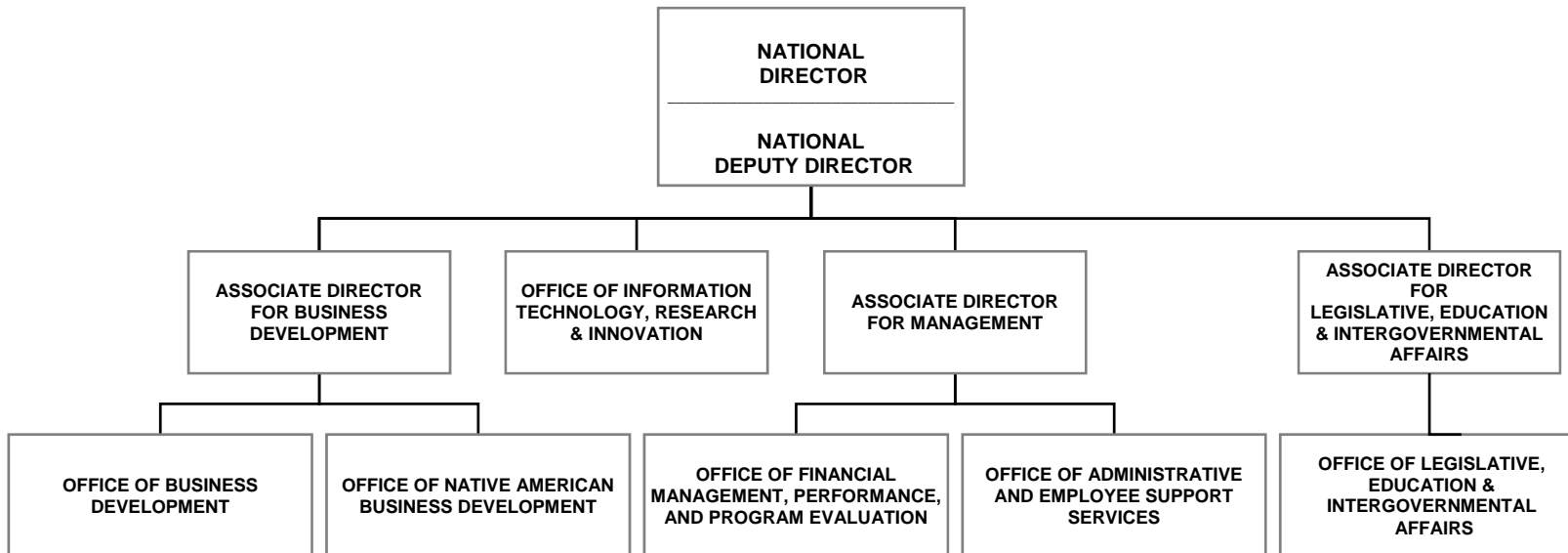
Section 1.1: Overview

MBDA is the only federal agency tasked to create new jobs by expanding the U.S. economy through the nation's 5.8 million minority-owned and operated businesses. The Agency fully supports Department of Commerce efforts to ensure the full participation of minority-owned businesses in the United States and global marketplaces. MBDA works to remove barriers to entry and open doors to economic opportunity. Likewise, the MBDA Strategic Growth Initiative has made progress providing performance dividends for minority businesses. Many high-growth minority firms have successfully competed for larger prime contracts and financial awards, and have had a significant economic impact within the minority community and overall economy. MBDA successfully provides minority business development services to minority business enterprises through a network that includes MBDA staff and its funded centers. The MBDA staff and its network of funded centers provide management and technical assistance and offer business services to grow and expand minority-owned and operated firms. These efforts build capacity by creating new jobs and retaining existing jobs.

Section 1.2: Mission Statement

To promote the growth of minority-owned businesses through the mobilization and advancement of public and private sector programs, policy, and research.

Section 1.3: Organizational Structure



Part 2: Cross-Agency Priority Goals

Section 2.1: Overview

MBDA is not a leader of or a participant in any Cross-Agency Priority Goals.

Part 3: Strategic Goals and Objectives

Section 3.1: Corresponding DOC Strategic Goals, and Objectives

Goal	Objective Number	Objective Name	Leader
Trade and Investment	1.2	Broaden and Deepen the Export Base	National Director, MBDA
Innovation	2.2	Increase Regional Capacity for Production	National Director, MBDA

Section 3.2: Strategies for Objectives

Strategic Objective progress is tracked through a networked real time database for business development whereby financing and contracts for goods and services are tracked on a transaction by transaction basis and independently verified by an MBDA business development specialist. Indicators for Innovation and Trade Investment Progress are illustrated below.

Section 3.3: Progress Update for Strategic Objectives

In FY 2014, MBDA helped create 11,968 jobs, the highest level ever recorded by the Agency. This was achieved by helping MBDA clients obtain over \$5.9 billion in contracts and capital awards.

Exports were a focus area for MBDA as early as FY 2009. As a result, MBDA's resources have been aligned and managed to impact minority business export performance. On the other hand, Advanced Manufacturing as part of the departmental Innovation Strategy is a new direction for the Agency. Steady state performance goals will likely not be reached until the MBDA business center network has the opportunity to engineer business deals and relationships with businesses and business leaders in the advanced manufacturing sector.

Section 3.4: Next Steps

MBDA will continue to strengthen cross bureau collaboration through MBDA MBC utilization of NIST Manufacturing Extension Partnership contacts. In 2016, MBDA will re-compete its Business Center grants under the Minority Public Private Partnership program and will direct program performance indicators to favor advanced manufacturing consistent with DOC strategic objectives. Since, March 2014, MBDA has been recalibrating its performance management software to more accurately record advanced manufacturing contract and finance activity. These performance system adjustments should be fully operational by FY 2016.

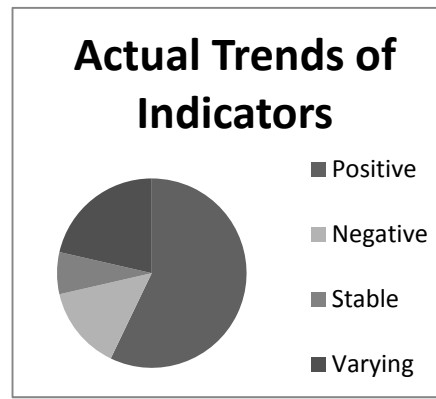
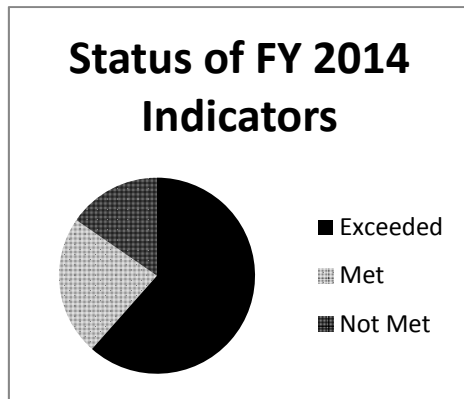
Part 4 Performance Goals / Indicators

Section 4.1: Summary of Performance

Status is based on the following standard:

Exceeded	More than 100 percent of target
Met	90 - 100 percent of target
Not Met	Below 90% of target

An indicator with a positive trend is one in which performance is improving over time while a negative trend is an indicator that has declining performance. A stable trend is one in which the goal is to maintain a standard, and that that is occurring. A varying trend is one in which the data fluctuates too much to indicate a trend. At a minimum these indicators must have three years of data.



Section 4.2: Summary of Indicator Performance

Objective 2.2: Increase the capacity of U.S. regional economies to accelerate the production of value-added goods and services by providing services to and investments in businesses and communities

Indicator	FY 2014 Target	FY 2014 Actual	FY 2014 Status	FY 2014 Trend
Recurring				
Minority Business Contracts Awarded (in billions)	\$2	\$4.6	Exceeded	Positive
Minority Business Financing Awarded (in billions)	\$1	\$2.2	Exceeded	Positive
Minority Business Jobs Created	7,500	13,377	Exceeded	Positive

Section 4.3 Detailed Indicator Plans and Performance

Objective 2.2: Increase the capacity of U.S. regional economies to accelerate the production of value-added goods and services by providing services to and investments in businesses and communities

Indicator	Minority Business Contracts Awarded (billions)							
Description	44 MBDA Business Centers provide business development assistance to make minority businesses more competitive for business contracts. MBDA Business Centers assisting minority businesses to execute contracts for goods and services report the contract value in MBDA's performance database. The total minority contract assistance is the sum of the contract amounts across all centers.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	\$0.9	\$1.0	\$1.1	\$1.1	\$1.1	\$2.0	\$2.0	\$2.0
Actual	\$2.1	\$1.5	\$2.1	\$2.2	\$3.2	\$4.6		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Adjustments to targets	n/a							
Validation and Verification – See Section 8.5								

Indicator	Minority Business Financing Awarded (billions)							
Description	44 MBDA Business Centers provide business development assistance to make minority businesses more competitive for business business financing. MBDA Business Centers assisting minority businesses to acquire financing report the financing value in MBDA's performance database. The total minority financing assistance is the sum of the business financing value across all centers.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	\$0.5	\$0.6	\$0.9	\$0.9	\$0.9	\$1.0	\$1.0	\$1.0
Actual	\$0.9	\$1.8	\$1.8	\$1.4	\$1.5	\$2.2		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Adjustments to targets	n/a							
Validation and Verification – See Section 8.5								

Indicator	Minority Business jobs created							
Description	44 MBDA MBCs provide business development assistance to enable minority businesses to create jobs. MBCs assisting minority businesses to create jobs, enter the number of jobs created in MBDA's performance database. The total minority jobs created is the sum of the jobs created for all deals across all MBCs.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	3,000	4,000	5,000	5,000	5,000	7,500	7,500	7,500
Actual	4,134	5,845	5,787	6,500	11,575	13,377		

Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Adjustments to targets	n/a							
Validation and Verification – See Section 8.5								

Part 5: Other Indicators: NONE

Part 6: Agency Priority Goals: NONE

Part 7: Resource Requirements Table

	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Estimate	FY2016 Base	Increase / Decrease	FY 2016 Request
Total Funding	\$29.8	\$31.5	\$30.3	\$30.3	\$27.5	\$28.0	\$30.0	\$30.0	\$0.0	\$30.0
Direct	\$29.8	\$31.5	\$30.3	\$30.3	\$27.5	\$28.0	\$30.0	\$30.0	\$0.0	\$30.0
Reimbursable	\$0.3	\$0.3	\$0.3	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0	\$0.0
Total	\$30.1	\$31.8	\$30.6	\$30.3	\$27.5	\$28.0	\$30.0	\$30.0	\$0.0	\$30.0
Total FTE	82	86	84	68	50	56	70	70	0	70

Part 8: Other Information

Section 8.1: Major Management Priorities, Challenges, and Risks

MBDA's management priorities, challenges, and risks include:

- Improving organizational efficiency, effectiveness, and responsiveness
- Improving contracting and procurement opportunities for MBEs who lack the size, scale, and scope to compete
- Improving access to capital for MBEs in high-growth industries including green technology, clean energy, healthcare, infrastructure, manufacturing, and broadband technology
- Funding centers at sufficient levels to meet existing demand for services allowing current and future centers the ability to proactively pursue additional clients

Section 8.2: Cross-Agency Collaborations

MBDA is currently collaborating with the Census Bureau and the Internal Revenue Service to create an outcome assessment for MBDA assistance programs by comparing average business growth rates of minority businesses receiving assistance during 2001-2011 with similarly situated minority control groups not receiving MBDA assistance over the same time period. This may shed some light on the impact assistance programs have over time in promoting minority business growth.

Section 8.3: Evidence Building

See Section 8.2.

Section 8.4: Hyperlinks: N/A

Section 8.5: Data Validation and Verification

Indicators	See Sections 4.2 and 4.3	
Validation and Verification		
Data Source	MBDA Center Network Business Transaction Observations	
Frequency	Real Time	
Data Storage	DOC Network Servers and Oracle Servers	
Internal Control Procedures	Oracle Contract Database Maintenance	
Data Limitations	N/A	
Actions to be Taken	MBDA Deal Verification prior to transaction registration as approved	

The FY 2014 Summary of Performance and Finance Information includes in the Secretary’s Statement, an assessment of the reliability and completeness of the Department’s performance data.

Section 8.6: Lower-Priority Program Activities:

The President’s Budget identifies the lower-priority program activities, where applicable, as required under the GPRA Modernization Act of 2010, 31 U.S.C. 1115(b)(10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget>.

FY 2016 Annual Performance Plan / FY 2014 Annual Performance Report

National Institute of Standards and Technology

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Part 1: Agency and Mission Information

Section 1.1: Overview

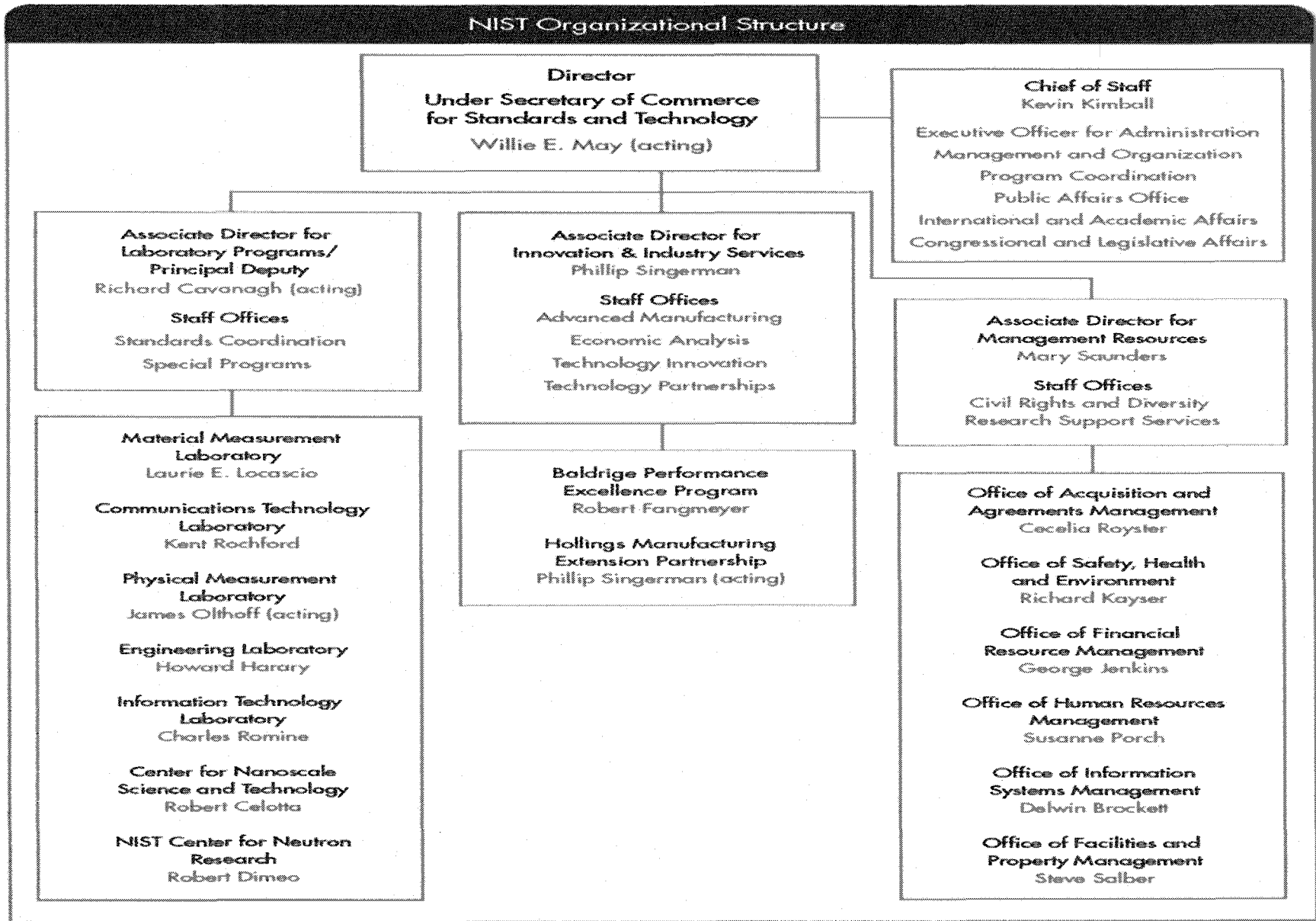
Since 1901, NIST (known as the National Bureau of Standards until 1988) has developed and maintained key standards for the Nation, a role that the U.S. Constitution assigns to the Federal government, and has been supplying the measurements and tools to help U.S. industry compete. As a non-regulatory agency in the U.S. Department of Commerce (DOC), an experienced partner of industry, and the Federal research agency specifically focused on promoting U.S. economic competitiveness, NIST is well-positioned to accelerate and promote innovation and advanced technologies through its laboratory programs and its Innovation and Industry Services Programs.

NIST employs about 3,000 scientists, engineers, technicians, and support and administrative personnel and carries out its technical work at its two main research campuses in Gaithersburg, Md., and in Boulder, Colo. At these campuses, NIST also hosts about 2,700 associates and facility users from academia, industry, and other government agencies who collaborate with NIST staff. NIST also participates in seven external institutes in basic physics, quantum physics, biology/biotechnology, biomedical measurement science, advanced materials, cybersecurity, and marine science, located in Boulder, Colo., College Park, Md., Palo Alto, Calif., Chicago, Ill, Rockville, Md., and Charleston, S.C., respectively. In addition, NIST partners with nearly 1,300 manufacturing specialists and staff at about 400 Hollings Manufacturing Extension Partnership (MEP) service locations around the country.

Section 1.2: Mission Statement

To promote U.S. innovation and industrial competitiveness by advancing measurement science, standards, and technology in ways that enhance economic security and improve our quality of life.

Section 1.3: Organizational Structure



Part 2: Cross-Agency Priority Goals

Section 2.1: Overview

Per the GPRA Modernization Act requirement to address Cross-Agency Priority Goals in the agency strategic plan, the annual performance plan, and the annual performance report, please refer to www.Performance.gov for the agency's contributions to those goals and progress, where applicable. NIST currently contributes to the following CAP Goals: Cybersecurity, Job-creating investment, STEM Education, and Economic Growth: lab-to-market.

Lab-to-Market

Agency Official: Phillip Singerman, Associate Director Innovation and Industry Services

A sub-team from the Interagency Working Group met to draft a roadmap white paper addressing collaborations. The two main components will be 1) an analysis of CRADA language across agencies, to identify areas of commonality that could be used to create a standard template backbone, streamlining the negotiation process for outside partners; and 2) an analysis of agency-specific technology transfer authorities, how they are used at those agencies, and how other agencies envision using them for their own partnerships, with the goal of making recommendations for the expansion of certain authorities to additional agencies. NIST also made contributions towards two additional white papers on entrepreneurial training for researchers, and Entrepreneur-In-Residence programs at federal agencies. The Interagency Working Group is discussing using prize competitions to address questions about effective metrics. Future topics to be addressed at upcoming meetings include evaluating best practices in licensing, and discussing the promulgation of new regulations for improved personnel exchange. The Bayh-Dole working group is moving forward with university groups to begin discussing the state of Bayh-Dole and areas that may need to be addressed. NIST is reviewing, via the Federal Laboratory Consortium, best practices in incentivizing government researchers to participate in the technology transfer process, identifying opportunities for cross-agency training, and reviewing the consistency of data between FLCBusiness and GSA records.

Cybersecurity

Agency Official: Delwin Brockett, Office of Information Systems Management

Strong Authentication

During FY 2014, a NIST internal directive was issued requiring use of assigned PIV cards to authenticate to PIV enabled information systems. NIST has also proactively contributed to the development of a DOC directive on the use of PIV authentication. NIST has also enabled several of its internal applications to accept PIV card authentication.

Trusted Internet Connection

NIST completed implementation of these capabilities at its Gaithersburg, Maryland facilities in FY 2013 through the acquisition of AT&T Managed Trusted Internet Protocol Service (MTIPS) through the General Services Administration (GSA) Network program. NIST Boulder, Colorado facilities rely on Internet services provided by National Oceanic and Atmospheric Administration (NOAA). NOAA anticipates their TIC implementation will be operational in FY 2015.

Continuous Monitoring

The DoC strategy for meeting this requirement is through the implementation of the DoC Enterprise Cybersecurity Monitoring and Operations (ECMO) initiative. DoC selected the IBM Tivoli Endpoint Manager (TEM) software platform for implementation of ECMO. On behalf of DoC, NIST implemented and provides TEM information system services for all DoC Operating Units.

Part 3: Strategic Goals and Objectives

Section 3.1: Corresponding DoC Strategic Goals, and Objectives

Goal	Objective Number	Objective Name	Leader
Innovation	2.1	Grow a more productive, agile, and high-value manufacturing sector through partnerships and collaborations that accelerate technology development and commercialization.	Willie May, Acting Under Secretary for Standards and Technology, Acting NIST Director
Innovation	2.2	Increase the capacity of U.S. regional economies to accelerate the production of value-added goods and services by providing services to and investments in businesses and communities.	Willie May, Acting Under Secretary for Standards and Technology, Acting NIST Director
Innovation	2.3	Strengthen the Nation's digital economy by championing policies that will maximize the potential of the Internet, expanding broadband capacity, and enhancing cybersecurity to provide a robust environment for innovation.	Larry Strickling, Assistant Secretary for Communications and Information, National Telecommunications and Information Administration (NTIA)
Innovation	2.4	Accelerate the development of industry-led skills strategies that result in a productive workforce for employers and high-quality jobs for workers.	Matt Erskine, Deputy Assistant Secretary, Economic Development Administration (EDA)
Innovation	2.5	Accelerate growth of innovation-intensive economic sectors by building public and private capacity to invent, improve, and commercialize new products and services.	Willie May, Acting Under Secretary for Standards and Technology, Acting NIST Director

Environment	3.1	Advance the understanding and prediction of changes in the environment through world class science and observations.	Kathy Sullivan, Under Secretary of Commerce for Oceans and Atmosphere and National Oceanic and Atmospheric Administration (NOAA) Administrator
Environment	3.3	Strengthen the resiliency of communities and regions by delivering targeted services to build capacity.	Kathy Sullivan, Under Secretary of Commerce for Oceans and Atmosphere and NOAA Administrator
Data	4.1	Transform the Department's data capacity to enhance the value, accessibility and usability of Commerce data for government, business and the public.	Mark Doms, Under Secretary for Economic Affairs, Economics & Statistical Administration (ESA)

Objective 2.1: Grow a more productive, agile, and high-value manufacturing sector through partnerships and collaborations that accelerate technology development and commercialization.

Strategies:

Establish the National Network for Manufacturing Innovation (NNMI). There is a gap in the U.S. innovation infrastructure that hinders the transition of new manufacturing processes and technologies from the lab bench to the manufacturing floor. The NNMI, a proposed national network of up to 45 institutes, will bring together companies, universities and community colleges, and government to develop world-leading technologies and capabilities that U.S.-based manufacturers can apply in production. As self-sustaining hubs, these institutes will create, showcase, and deploy new capabilities, new products, and new processes that can impact commercial production. They will build workforce skills at all levels and enhance manufacturing capabilities in companies large and small.

Support industry consortia to identify and address shared technical challenges. A common vision of long-term technology challenges can spur innovation across an industry. NIST's Advanced Manufacturing Technology (AMTech) program will provide grants to industry-led consortia to identify and prioritize research projects critical to long-term industrial advances. These technology roadmaps and related outputs will help guide applied research to meet industry's needs, some of which AMTech will support through university and government laboratory research funding.

Collaborate with industry on measurement science and standards to solve technical challenges. Rejuvenating U.S. manufacturing will require the development of measurements that support new, advanced manufacturing techniques. NIST will enhance partnerships with the U.S. manufacturing sector to develop and disseminate test methods, measurement tools and know-how, and scientific data that are embedded in the processes, products, and services of nearly every U.S. manufacturing industry.

Progress Update:

As part of the AMTech program, NIST in May 2014 awarded 19 advanced manufacturing technology planning awards totaling \$9 million to new or existing industry-driven consortia. These grants will help the consortia develop research plans that address high-priority challenges impeding the growth of advanced manufacturing in the United States. Technology roadmapping is a key component of the projects. Each consortium will engage manufacturers of all sizes, university researchers, trade associations and other stakeholders in an interactive process to identify and prioritize research projects that reduce shared barriers to the growth of advanced manufacturing. In July 2014 NIST announced a new competition for a second round of planning grants totaling \$5.6 million in two year grants, the funding opportunity closed in October 2014 and NIST is now reviewing the proposals.

Working with federal agencies including the Department of Defense (DOD), the Department of Energy (DOE), the National Aeronautics and Space Administration (NASA), and the National Science Foundation (NSF), the NIST-hosted Advanced Manufacturing National Program Office (AMNPO) is working to establish Institutes for Manufacturing Innovation and to develop a network of the institutes for exchanging best practices. AMNPO coordinated a successful meeting of institute leaders in 2014, and is planning additional opportunities to reinforce relationships across institutes. As part of these efforts, NIST has provided \$19.5M to support research efforts at the various institutes. In addition, AMNPO has been developing guidance documents on important institute topics such as institute performance metrics and intellectual property rights. The AMNPO continues to coordinate with Hill staff to convey the importance and success of the institutes, for example through a Hill Day event on September 18, 2014. Bicameral legislation to establish the NNMI, the Revitalize American Manufacturing and Innovation Act is being considered in both the House of Representatives (H.R. 2996) and the Senate (S. 1468).

Next Steps:

The NIST-hosted AMNPO is continuing to provide critical guidance for the networking and establishment of Institutes for Manufacturing Innovation, and to support meetings that bring together leadership from the various institutes. NIST is preparing for a DOC role in establishing future institutes upon authorization of NNMI. This planning will utilize recommendations from the recently released *Accelerating U.S. Advanced Manufacturing* report the President's Council of Advisors on Science and Technology, a federal advisory committee.

NIST laboratory programs will continue to expand their mechanisms for partnership with industry to accelerate innovation in advanced manufacturing. For example, the Material Genome Initiative (MGI) is strengthening ties with the materials Center of Excellence, the Center for Hierarchical Materials Design, and with a number of industry partners to address priority materials design needs. In addition, the NIST Center for Automotive Lightweighting recently commissioned a unique Next-Generation Formability System, which investigates the effect of multi-dimensional stress and strain. The NCAL is using this unique instrument to test industry-submitted samples, the results of which are shared with the Center's industry and academic partners.

Objective 2.2: Increase the capacity of U.S. regional economies to accelerate the production of value-added goods and services by providing services to and investments in businesses and communities.

Strategies:

Support small and mid-sized manufacturing by restoring robust supply chains. Small and mid-sized manufacturers are central to regional economic growth and innovation, but they can face unique challenges in deploying advanced manufacturing technologies. Through its national network of centers, the NIST Hollings Manufacturing Extension Partnership (MEP) will expand its efforts to strengthen the competitive position of small and mid-sized manufacturers through new efforts and partnerships focused on supply chain technology areas to speed the adoption of technology and commercialization.

Progress Update:

MEP funded five Manufacturing Technology Acceleration Center (MTAC) pilot projects in 2014 to accelerate technology adoption across US supply chains. In addition, MEP Centers are implementing a Center-developed supply chain optimization set of tools and materials focused on establishing a coaching and mentoring partnership between the MEP Center's subject matter experts and participating manufacturers to address barriers to effective supply chains. MEP centers help to improve supply chain performance by quantifying the needs of the supply chain and focusing on the points in the process that are impeding throughput. Total cost of ownership is one element on which the centers provide guidance, along with executive and partner engagement and risk management.

In June 2014, NIST MEP hosted the Grantee Regional Collaboration Meeting for the 53 grantee teams from four multiagency initiatives: the Jobs and Innovation Accelerator Challenge, the Rural Jobs Accelerator, the Advanced Manufacturing Jobs and Innovation Challenge and the Make It In America. These four initiatives are the result of the collaborative work of 8 federal entities: EDA, DOE, DOL, NIST MEP, SBA, USDA, ARC, DRA. The 150 attendees included representatives from the grantee teams from the 30 states such as Workforce Investment Boards, State Economic Development Agencies, MEP Centers, Universities, Community Colleges, regional councils, non-profits, chambers of commerce. The day and a half event provided a venue for information and peer knowledge exchange on the latest practices that will accelerate cluster and industry development in urban and rural regions for small and medium sized manufacturers, worker training, job creation and business investments in the United States.

The MEP program continues to provide valuable services to America's small and medium manufacturers. For every one dollar of federal investment, the MEP generates nearly \$19 in new sales growth and \$21 in new client investment. This translates into \$2.2 billion in new sales annually. For every \$1,978 of federal investment, MEP creates or retains one manufacturing job.

Next Steps:

In 2014, MEP, working with the MEP Advisory Board, developed a Strategic Plan that outlines a number of steps the Program will take over the next few years focused on supporting partnerships, enhancing competitiveness and developing expanded capabilities to support the needs of U.S. manufacturers. More information is available here: <http://www.nist.gov/mep/strategic-plan.cfm>. NIST MEP launched a competition in FY2014 to fund Centers in 10 states. The competition is the first in a multiyear effort to update the funding structure to better match needs with resources in MEP's network of centers. This first competition will serve as a demonstration of the process to re-compete the full network. Additional competitions are planned for FY2015.

Objective 2.3: Strengthen the Nation's digital economy by championing policies that will maximize the potential of the Internet, expanding broadband capacity, and enhancing cybersecurity.

Strategies:

Foster advanced communications technologies. Spectrum sharing and other innovations in advanced communications will drive economic growth and development. The Department will leverage the key research and engineering expertise and capabilities of NIST and NTIA by establishing the CAC. This unique national asset will provide both research and testing capabilities. NIST and NTIA will partner with industry, academia, and government agencies to foster the invention, development, and deployment of future advanced communications technologies.

Create a standards framework to reduce cyber risks to critical infrastructure. The national and economic security of the United States depends on the reliability of critical infrastructure, including the electric grid, financial sector, and communications system. Taking full advantage of existing cross-sector security standards and guidelines, NIST is leading the development of a Cybersecurity Framework that will help critical infrastructure owners and operators to identify, assess, and manage cyber risk. NIST will support future private sector implementation of this framework.

Progress Update:

The new Center for Advanced Communications will implement a key provision of a memorandum President Obama issued on June 14, 2013, on "Expanding America's Leadership in Wireless Innovation" (<http://www.whitehouse.gov/the-press-office/2013/06/14/presidential-memorandum-expanding-americas-leadership-wireless-innovation>). In support of the new CAC, NIST has established a new Communications Technology Laboratory at the Boulder campus. NIST has procured an initial set of advanced instrumentation necessary to develop required new metrology capability at NIST to support the CAC.

Cybersecurity Framework -- Under Executive Order 13636, *Improving Critical Infrastructure Cybersecurity*, NIST was charged with the responsibility to develop a voluntary framework -- based on existing standards, guidelines, and practices -- for reducing cyber risks to critical infrastructure. The Framework seeks to promote the wide adoption of practices to increase cybersecurity across all sectors and industry types. It seeks to provide owners and operators a flexible, repeatable and cost effective risk-based approach to implementing security practices while allowing organizations to express requirements to multiple authorities and regulators. The first version of the framework was released on February 12, 2014 (<http://www.nist.gov/cyberframework/upload/cybersecurity-framework-021214.pdf>). The framework is not a static document and will continue to evolve over time. Updates on framework progress can be found at: <http://www.nist.gov/itl/cyberframework.cfm>.

In the fall of 2013, former NIST Director requested that NIST's primary advisory committee, the Visiting Committee on Advanced Technology (VCAT) review NIST's cryptographic standards and guidelines development process, in response to community concerns that a cryptographic algorithm in a NIST standard had been deliberately weakened. The findings, part of NIST's broader review in this area, called for the Bureau to increase its staff of cryptography experts and implement more explicit processes for ensuring openness and transparency to strengthen its cryptography efforts.

Next Steps:

As part of the initial efforts of the CAC, NIST and NTIA are working to finalize a partnership with DOD and other Federal agencies to ensure that the government has timely access to spectrum testing capabilities in order to help facilitate the development of new spectrum sharing technologies and to streamline their deployment.

NIST is continuing to update the Cybersecurity Framework, improving it based on feedback from users' experiences, while new standards, guidelines, and technology assist with implementation and future versions of the Framework. In addition, NIST is continuing significant industry engagements to ensure the Framework's adoption by critical infrastructure and other companies. NIST provided an update to the VCAT on the progress of their specific recommendations during their October 2014 meeting. Additional information is available from the presentations provided to the VCAT available at: http://www.nist.gov/director/vcat/upload/Cyber-VCAT-2014-10_final.pdf.

Objective 2.4: Accelerate the development of industry-led skills strategies that result in a productive workforce for employers and high-quality jobs for workers.

Strategies:

Implement industry-driven initiatives that provide U.S. workers with in-demand skills. Many unemployed or underemployed workers lack the skills that businesses need to fill the millions of open jobs across the Nation. NIST will capitalize on its relationships with businesses and state and local governments to champion and support employer-aligned skills programs. Through MEP's national system of centers,

NIST will support and promote programs that identify the future hiring needs of small manufacturers and expose young people to STEM (science, technology, engineering, mathematics) fields.

Progress Update:

NIST MEP, in collaboration with MEP centers, is developing a talent management system - Strategic Management Acquisition and Retention of Talent (SMARTalent). SMARTalent is intended to help manufacturers operationalize their workforce development strategies. As manufacturers focus on workforce planning and investment, this resource, in combination with the expertise of the local MEP center, can help most effectively operationalize investments with the objective to enable manufacturers to eliminate task redundancies and streamline processes.

MEP also supports industry efforts to respond to a long-standing issue for recruiting new talent for small manufacturers – public image of manufacturing. To help re-brand manufacturing and inform education providers and the general public about advanced manufacturing, MEP is reaching out through social media, publications, conferences, presentations, partnerships and direct Center involvement to change the image of manufacturing. All workforce initiatives and activities are shared across the MEP network.

MFG Day (<http://www.mfgday.com/>), co-produced by NIST MEP, Fabricators and Manufacturers Association, National Association of Manufacturers, The Manufacturing Institute, along with the Science Channel and Shell Oil, showcases a nation-wide number of activities, open houses and events to interest the public in manufacturing and the importance the industry plays in the U.S. economy. On October 3, 2014, more than 1600 events took place across the county in support of MFG day and providing manufacturers an opportunity to highlight their industry.

Next Steps:

NIST MEP has a number of initiatives that enable small and medium-sized manufacturers to improve their workforce development strategies. These include, in addition to SMARTalent, strategic consulting, training and education partnerships, workforce readiness, and business stabilization. More information on MEP's workforce strategies is available here: <http://www.nist.gov/mep/workforce-initiatives.cfm>.

NIST MEP along with the co-producers are working to address common misperceptions about manufacturing by supporting MFG Day. By working together during and after MFG DAY, manufacturers will begin to address the skilled labor shortage they face, connect with future generations, take charge of the public image of manufacturing, and ensure the ongoing prosperity of the whole industry.

Objective 2.5: Accelerate growth of innovation-intensive economic sectors by building public and private capacity to invent, improve, and commercialize new products and services.

Strategies:

Develop and provide next-generation measurement tools and standards. Precise measurements and robust standards are critical for an innovative high-technology economy and provide the foundations for interoperability between products and systems, enabling global trade. In close cooperation with industry, academia, and other federal agencies, NIST will advance measurement science, develop standard protocols and test methods, and evaluate and generate data supporting innovative areas of the economy. NIST's connections with private sector standards developing organizations will help ensure that new and updated standards have strong technical underpinning.

Build research capacity in emerging areas of research to meet tomorrow's challenges. Technological innovation is accelerating at a pace unprecedented in human history, and the continued competitiveness of U.S. industries will require breakthroughs in measurement science in all disciplines. Through the Centers of Excellence Program, NIST will partner with leaders in academia and industry to augment internal research programs and develop access to leading talent, ensuring that the Agency can meet future measurement science needs.

Accelerate rate of lab-to-market commercialization. A wide range of life-changing commercial technologies were nurtured by federally funded R&D, from the Internet, to the global positioning system (GPS), to leading-edge vaccines. The federal R&D enterprise must continue to support fundamental research and diffuse this knowledge through open data and publications. Through streamlined processes and increased engagement with entrepreneurs, DOC will facilitate industry access to federal laboratories and federally funded research.

Progress Update:

Investments to grow and strengthen the NIST Laboratory Programs have been the top priority of the agency for the past several years and as a result funding for the NIST Laboratory Programs has increased by 37% from FY 2010 through FY 2014. These increased resources have enabled NIST to launch a number of key programs to further accelerate innovation in a number of critical priority areas. Highlights include:

- NIST on a Chip -- NIST is developing a next-generation plan for advancing measurement services, called NIST on a Chip. NIST on a Chip is an integrated program to develop and deploy NIST-traceable measurements and physical standards that are deployed in the customer's lab, factory floor, device, or system; are easily used and integrated; are rugged, yet small in size and weight; and have low power consumption. As the reference standard is integrated into the device or process, many of the difficulties of the traditional measurement service model can be overcome, including minimal down time and recalibration, as well as improved flexibility for innovation. Measurement technologies include force, fluid flow, pressure, length, voltage, current, magnetic field, time and frequency, optical power, displacement, and electric field. Examples of work in this area can be found at: <http://www.nist.gov/pml/newsletter/>

- Centers of Excellence -- In FY 2013, NIST launched the NIST Centers of Excellence (COE) Program. The NIST Centers of Excellence will provide an interdisciplinary environment where researchers from NIST, academia, and industry will collaborate on emerging areas of basic and applied research and innovations in measurement science. These centers will focus on:
 - Fostering expanded development of expertise in measurement science and its role in innovation through the education and training of scientists and engineers;
 - Providing greater opportunities for NIST to engage with industry and entrepreneurs; and
 - Enhancing technical innovation through earlier alignment of measurement science with emerging and innovative fields of research.

In FY2014 NIST established the COE in advanced materials, the Center for Hierarchical Materials and Design (CHiMaD), a partnership between Northwestern University, University of Chicago, and Argonne National Laboratory. The new center will focus on developing the next generation of computational tools, databases and experimental techniques to enable “Materials by Design*,” one of the primary goals of the administration’s Materials Genome Initiative (MGI). “Materials by design” employs physical theory, advanced computer models, vast materials properties databases and complex computations to accelerate the design of a new material with specific properties for a particular application.

NIST also launched two federal funding opportunities for a COE in Community Resilience, and one focused on Forensic Science. More information about NIST’s Center of Excellence Program can be found here: <http://www.nist.gov/coe/>

- Technology Transfer -- NIST, with its government-wide responsibilities for the analysis, planning, coordination, reporting, and general oversight of Federal technology transfer responsibilities is ideally positioned to support an Administration-wide effort in this area. NIST is strengthening its Federal tech transfer activities through developing human capital, empowering effective collaborations, opening access to tangible and intangible assets, and evaluating impact.

Next Steps:

In early FY2015 NIST will award two new Centers of Excellence in Community Resilience and Forensic Science. NIST will leverage these COEs to build technical capabilities in areas of national need at a scale and pace not available through traditional means.

NIST is part of an administration-wide Cross-Agency Priority Goal on technology transfer. For updates and plans on that goal, see www.performance.gov.

The National Research Council conducts technical assessments of the scientific impact of selected NIST laboratories on a yearly basis. For FY 2014, the NRC conducted technical assessments of the scientific impact of the Engineering Laboratory and the Material Measurement Laboratory with a focus on the following criteria: the technical quality and merit of the laboratory programs relative to the state-of-the-art worldwide, the effectiveness with which the laboratory programs are carried out and the results disseminated to customers, the relevance of the laboratory programs to the current and future needs of stakeholders, and the adequacy of the facilities and laboratory equipment to

perform the program functions. In FY 2015, the NRC will assess the scientific impact of the Information Technology Laboratory and the Physical Measurement Laboratory. These assessments can be found here: <http://nist.gov/director/nrc/>

NIST also works with its Visiting Committee on Advanced Technology to identify priority areas and to help shape and define the NIST role in those areas. The current VCAT report can be found at: <http://www.nist.gov/director/vcat/>.

Objective 3.1: Advance the understanding and prediction of changes in the environment through world class science and observations.

Strategies:

Improve the understanding of greenhouse gas processes. As the effects of increased greenhouse gas become more apparent, there is a growing need for a better understanding of the processes that cause the increase. The National Oceanic and Atmospheric Administration (NOAA) and NIST will work cooperatively to link measurements and standards supporting the atmospheric and emissions monitoring communities. The efforts of both bureaus will advance measurement capabilities of the monitoring networks and improve measurements of greenhouse gas emissions on scales ranging from the global to metropolitan areas and cities.

Progress Update:

NIST has funded cooperative agreements furthering research efforts to sustain and expand greenhouse gas (GHG) measurements test beds in the U.S. currently located in Indianapolis, Ind. and Los Angeles, Calif. The Indianapolis testbed, begun in 2011, is a greenhouse gas observing network within and around the city with 12 real-time observing locations on communications, 6 of which are capable of collecting samples for later analysis, as well as other instrumentation. The research testbed in Los Angeles was started in 2012 and is ramping up an operation network of up to 15 observing stations in and around the South Coast Air Basin with unique challenges in population density and geographic topography.

Next Steps:

NIST Greenhouse Gas and Climate Science Measurements Program will develop advanced measurement tools and standards to improve the accuracy and capability for remote observations of greenhouse gas, both satellite and surface-based with an emphasis on cities and metropolitan areas. The program will independently verify greenhouse gas emissions inventories, and extend measurement science to better understand and describe the Earth's climate. The program will also enable international measurement standards and protocol developments that ensure accuracy, confidence, and reliability of local and global assessments of GHG emissions.

Objective 3.3: Strengthen the resiliency of communities and regions by delivering targeted services to build capacity.

Strategies:

Lead the development of a Disaster Resilience Framework. To protect critical infrastructure and public resources, NIST will lead the development of a Disaster Resilience Framework for building and infrastructure resilience. The framework will apply to many types of hazards (e.g., tornadoes in the Midwest and earthquakes on the West Coast). A Disaster Resilience Standards Panel convened by NIST will further refine the framework and identify model resilience guidelines to put the framework into action. This national effort will require significant engagement with stakeholders and federal agencies, including NOAA, the Department of Homeland Security (DHS), the Federal Emergency Management Agency, the U.S. Geological Survey (USGS), the Department of Transportation (DOT), the Department of Housing and Urban Development, and the National Science Foundation (NSF).

Progress Update:

The President's Climate Action Plan (issued in June 2013) directs NIST to convene a panel on disaster-resilience standards to develop a comprehensive, community-based resilience framework and provide guidelines for consistently safe buildings and infrastructure—products that can inform the development of private-sector standards and codes. To accomplish this, NIST is convening a series of regional workshops engaging the broad network of stakeholders on the role that buildings and infrastructure lifelines play in ensuring community resilience. In FY 2014, NIST held workshops in Washington, DC and Hoboken, NJ with plans to hold several more in FY2015. Based on the initial workshop results, NIST has starting developing a working draft Disaster Resilience Framework to establish the overall performance goals; assess existing standards, codes, and practices; and identify gaps that must be addressed in order to bolster community resilience.

Next Steps:

NIST plans to release the Disaster Resilience Framework for public comment in April 2015. This document will be the starting point to establish a Disaster Resilience Standards Panel (DRSP). The DRSP will be a self-governing body, supported by NIST, which will meet regularly to put the framework into action.

In FY 2014, the NIST VCAT was briefed on the NIST Resilience Initiative program to help shape and define the NIST role in this national priority area. The Committee will be developing specific recommendations to position NIST to best respond to different priority areas. These recommendations will be provided in the VCAT's 2014 Annual Report. The current report can be found at: <http://www.nist.gov/director/vcat/>.

The National Construction Safety Team (NCST) Advisory Committee advises NIST on carrying out investigations of building failures conducted under the authorities of the NCST Act. Members are selected based on their technical expertise and experience, established records of distinguished professional service, and their knowledge of issues affecting NIST studies. The NCST Advisory Committee submits a report to Congress annually.

Objective 4.1: Transform the Department's data capacity to enhance the value, accessibility and usability of Commerce data for government, business and the public.

Strategies:

Expand data interoperability across Commerce, and expand open data access and dissemination. The Department will use a standards approach to develop an interoperable Commerce Data Infrastructure. Adherence to a set of common standards and architecture would result in a powerful data platform that provides universal access to data in usable form. Improving discovery and analysis by enhancing access will make data produced by Commerce more effective. Usable open data will promote economic growth and energize a data-as-a-service marketplace for entrepreneurs, new businesses, and the public. This infrastructure and its enabling standards will be developed in a close collaboration between the public and private sectors.

Drive the development of Big Data standards and measurement science. The availability of vast data resources carries the potential to answer questions previously out of reach. There is also broad agreement that Big Data will overwhelm traditional approaches. The rate at which data volumes, speeds, and complexity are growing is outpacing scientific and technological advances in data analytics, management, transport, and more. A lack of consensus on some important, fundamental questions will confuse potential users and hold back progress. What are the attributes and characteristics that define Big Data environments? What are the central scientific, technological, and standardization challenges that need to be addressed to accelerate the deployment of robust Big Data solutions? NIST will drive advancements in Big Data standards by forming communities of interest from industry, academia, government, and other standards bodies, with the goal of developing consensus definitions, taxonomies, secure reference architectures, and a technology roadmap.

Progress Update:

In response to the Office of Management and Budget (OMB) Memorandum M-13-13 "*Open Data Policy- Managing Information as an Asset*" and Office of Science and Technology Policy (OSTP) Memo Feb. 2013 "*Increasing Access to the Results of Federally-Funded Scientific Research*", NIST has established a Scientific Data Committee¹ (SDC) to serve as a resource to NIST laboratories and the NIST Director's office on data preservation and access standards, technologies, metadata issues, and implementation priorities, processes, performance measures, and strategies for the preservation of and access to digital scientific data at NIST. As of October 1, 2014, NIST will create data management plans for scientific data generated at NIST. Additionally, an Interagency Technical Advisory Group (iTAG) with members from NIST, the Census Bureau, DOE, the Department of Treasury, the National Archives and Records Administration, and the Smithsonian has been established to provide a forum for Federal agency and entity coordination on operational requirements and insights on how to maximize access to scientific and technical data.

¹ <http://inet.nist.gov/pao/upload/NIST-Scientific-Data-Committee-Charter.pdf>

On June 19, 2013, the NIST Big Data Public Working Group (NBD-PWG) was launched with participation from industry, academia, and government across the nation. The NBD-PWG will form a community of interest from all sectors including industry, academia, and government, with the goal of developing a consensus in definitions, taxonomies, secure reference architectures, and a technology roadmap. The NBD-PWG has created five subgroups: Definitions and Taxonomies, Use Case and Requirements, Security and Privacy, Reference Architecture, and Technology Roadmap. These subgroups have developed a set of consensus working drafts.

Next Steps:

The NIST/SDC Open Data Plan has three elements. The first element is to develop and pilot an extensible data registry that describes data sets using common metadata and uses persistent identifiers to provide access to those NIST digital objects regardless of their physical location; the second element is to develop and pilot a tool to help NIST-funded researchers plan for data management at the beginning of each project; and the third is to conduct training and outreach to make data providers aware of their responsibilities and data consumers aware of available data assets. NIST has established a Data Coordinator and a Data policy group to oversee these efforts.

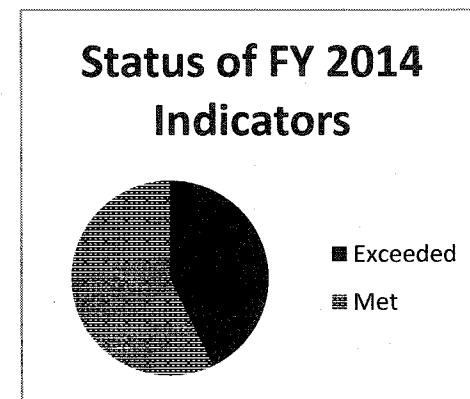
NIST will lead the NBD-PWG to create a vendor-neutral, technology and infrastructure agnostic framework which would enable Big Data stakeholders to pick-and-choose best analytics tools for their processing and visualization requirements on the most suitable computing platform and cluster while allowing value-added from Big Data service providers.

Part 4 Performance Goals / Indicators

Section 4.1: Summary of Performance

Status of indicators

For FY 2014, NIST has met or exceeded all the targets set for its performance indicators. NIST will not have data on one indicator, Citation Impact of NIST–Authored Publications, until March 2015. This indicator is not included in the chart to the right.



Trends of Indicators

In FY 2014, NIST adopted a set of performance indicators that better reflect NIST's role in responding to national priorities, the current research agenda and support for DOC strategic goals and objectives. NIST does not have historical data on these new measures and therefore cannot provide trend indicators.

Section 4.2: Summary of Indicator Performance

Objective 2.1: Grow a more productive, agile, and high-value manufacturing sector through partnerships and collaborations that accelerate technology development and commercialization

Indicator	Target	Actual	Status	Trend
Industry use of NIST research facilities	215	375 (partial data)	Exceeded	Not enough data

Objective 2.2: Increase the capacity of U.S. regional economies to accelerate the production of value-added goods and services by providing services to and investments in businesses and communities

Indicator	Target	Actual	Status	Trend
Number of firms receiving in-depth technical assistance from MEP centers	8340	8353	Exceeded	Not enough data
Percentage of MEP clients receiving in-depth technical assistance that increase their competitiveness	60%	58%	Met	Not enough data

Objective 2.3: Strengthen the nation's digital economy by championing policies that will maximize the potential of the Internet, expanding broadband capacity, and enhancing cybersecurity

Indicator	Target	Actual	Status	Trend
Number of products integrating the Cybersecurity Framework	10	10	Met	Not enough data
Number of citations of the Cybersecurity Framework	10	10	Met	Not enough data

Objective 2.4: Accelerate the development of industry-led skills strategies that result in a productive workforce for employers and high-quality jobs for workers

Indicator	Target	Actual	Status	Trend
Number of MEP centers partnering with skills training providers (e.g., community colleges) to link manufacturing firms with skills training resources.	50	54	Exceeded	Not enough data

Objective 2.5: Accelerate growth of innovation-intensive economic sectors by building public and private capacity to invent, improve, and commercialize new products and services

Indicator	Target	Actual	Status	Trend
Citation impact of NIST-authored publications	1.5	Available March 2015	N/A	Positive
Milestones completed for Commerce interoperability framework	Complete CIF/CAP and prototype and pilot at NIST	Complete	Met	Not enough data

Section 4.3 Detailed Indicator Plans and Performance

Objective 2.1: Grow a more productive, agile, and high-value manufacturing sector through partnerships and collaborations that accelerate technology development and commercialization

Indicator	Level of co-investment by non-federal sources in DOC-supported NNMI institutes (millions)							
Description	This indicator reflects how well the focus area of the National Network for Manufacturing Innovation (NNMI) Institutes matches a real national need and is intended to measure the extent to which the industrial partners perceive that they are receiving value from the existence of the Institute. Non-federal partners dedicate resources when they believe that there will be economic benefit. Non-federal sources include industry partners of all sizes, state and local governments, economic development entities, institutions of higher education, private organizations and individuals. Investment includes cash and in-kind resources provided.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	\$0	\$0	\$6
Actual	N/A	N/A	N/A	N/A	N/A	\$0		
Status	N/A	N/A	N/A	N/A	N/A	Met		
Trend	Not Enough Data							
Actions to be taken /	Continue to track proposed NNMI legislation. Adjustments will be made to targets if the program receives							

Future Plans	authorization and appropriated funding.
Adjustments to targets	FY2015 target reduced from \$6M to \$0 to reflect the lack of a Congressionally authorized and appropriated program in FY14.
Validation and Verification	
Data Source	Proposal letters of commitment and project reporting
Frequency	Annual
Data Storage	Electronic and paper at NIST Advanced Manufacturing Program Office
Internal Control Procedures	Data reflects direct and verifiable counts. Internal controls include verification and review by NIST Advanced Manufacturing Program Office and Grants Management Division personnel.
Data Limitations	Data will likely not reflect all non-federal contributions to the institute
Actions to be Taken	None

Indicator	Industry use of NIST research facilities							
Description	This indicator reflects the value, relevance, and usefulness of NIST research facilities to industry users. NIST research facilities are unique capabilities that can be leveraged through partnerships with businesses, especially manufacturers, to accelerate discovery and commercialization of innovative products. This indicator counts the number of Cooperative Research and Development Agreements (CRADAs) between industry and NIST laboratories, as well as the number of industrial institutions that use the NIST user facilities (NIST Center for Neutron Research and the Center for Nanoscale Science and Technology).							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	215	225	250
Actual	N/A	N/A	N/A	N/A	N/A	375*		
Status	N/A	N/A	N/A	N/A	N/A	Exceeded		
Trend	Not Enough Data							
Notes	Data from the NIST Center for Neutron Research (NCNR) and the Center for Nanoscale Science and Technology (CNST) lag due to the time it takes for industry participants to publish in peer-reviewed publications. *Partial FY2014 data. Final data will be available in March 2015.							
Information Gaps	Data may not include all instances of industry use of NIST research facilities indirectly through support of academic research.							
Validation and Verification								
Data Source	NIST Technology Partnerships Office, NIST Center for Neutron Research, Center for Nanoscale Science and Technology							
Frequency	Ongoing							
Data Storage	NIST Technology Partnerships Office, NIST Center for Neutron Research, Center for Nanoscale Science and Technology							
Internal Control Procedures	Data represents direct and verifiable counts. Internal controls include verification and review by NIST Technology Partnerships Office, NIST Center for Neutron Research, Center for Nanoscale Science and Technology, and the NIST Program Coordination Office							
Data Limitations	Data does not reflect scope of partnership (i.e., whether one experiment or an ongoing, multifaceted investigation). NCNR data reflects a period of August – July 2014.							
Actions to be Taken	None							

Objective 2.2: Increase the capacity of U.S. regional economies to accelerate the production of value-added goods and services by providing services to and investments in businesses and communities

Indicator	Number of firms receiving in-depth technical assistance from MEP centers							
Description	Number of client firms receiving services from MEP centers where those services were substantial and essential and therefore could reasonably be assumed to have directly or entirely led to the impacts reported through the MEP client survey.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	8340	8750	9187
Actual	N/A	N/A	N/A	7614	8140	8353		
Status	N/A	N/A	N/A	N/A	N/A	Exceeded		
Trend	Not Enough Data							
Notes	FY 2013 data was preliminary and has been updated.							
Validation and Verification								
Data Source	MEP center project reporting							
Frequency	Quarterly							
Data Storage	Manufacturing Extension Partnership office							
Internal Control Procedures	Review and verification by Manufacturing Extension Partnership office personnel							
Data Limitations	Output measure only							
Actions to be Taken	None							

Indicator	Percentage of MEP clients receiving in-depth technical assistance that increase their competitiveness							
Description	Percentage of MEP clients receiving in-depth technical assistance that reported increasing sales, reducing costs, or making new investments as a result of the services received.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	60%	62%	64%
Actual	N/A	N/A	N/A	61%	58.5%	58%		
Status	N/A	N/A	N/A	N/A	N/A	Met		
Trend	Not Enough Data							
Notes	FY 2013 data was preliminary and has been updated.							
Validation and Verification								
Data Source	The client impact survey is administered by a private firm, Fors Marsh Group, located in Arlington, Va.							
Frequency	The survey is conducted four times per year, and clients are selected based on when they completed the first project with a MEP Center in the previous year.							
Data Storage	Survey data is sent directly to MEP for analysis. MEP reviews and stores survey data received from Fors Marsh Group.							
Internal Control Procedures	Internal controls include verification and significant review of the client responses by MEP staff. Criteria are in place for identifying outliers in the data. Centers verify the outlier and if necessary the data are revised based on the Center review.							

Data Limitations	As with similar survey instruments, sources of uncertainty include variation in interpretation of specific questions; in the estimation techniques used in response to specific questions; in the quality of industry data, missing values; and other common survey problems.
Actions to be Taken	None

Objective 2.3: Strengthen the nation's digital economy by championing policies that will maximize the potential of the Internet, expanding broadband capacity, and enhancing cybersecurity.

Indicator	Number of critical infrastructure sectors with work products integrating the Cybersecurity Framework							
Description	This indicator demonstrates that NIST consistently produces useful and relevant cybersecurity publications and reference materials that organizations representing or participating in a diverse set of the sixteen total critical infrastructure sectors can use. The Cybersecurity Framework may be cited in professional journals; international/national/industry standards, guidelines, and practices; sector-specific federal agency guidance to industry; and commercial/government-off-the-shelf software.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	10	12	13
Actual	N/A	N/A	N/A	N/A	N/A	9		
Status	N/A	N/A	N/A	N/A	N/A	Met		
Trend	Not Enough Data							
Validation and Verification								
Data Source	Information Technology Laboratory research and stakeholder outreach							
Frequency	Ongoing							
Data Storage	Information Technology Laboratory							
Internal Control Procedures	Definition of critical infrastructure and specification of the 16 critical infrastructure sectors from in Presidential Policy Directive (PPD) 21, <i>Critical Infrastructure Security and Resilience</i> (http://www.whitehouse.gov/the-press-office/2013/02/12/presidential-policy-directive-critical-infrastructure-security-and-resil).							
Data Limitations	With a focus on the specified critical infrastructure sectors, this measure does not include cross-sector work products, non-critical infrastructure sectors (eg, retail), international entities, or government agencies (beyond government facilities).							
Actions to be Taken	None							

Objective 2.4: Accelerate the development of industry-led skills strategies that result in a productive workforce for employers and high-quality jobs for workers

Indicator	Number of MEP centers partnering with skills training providers (e.g., community colleges) to link manufacturing firms with skills training resources.
Description	This indicator reflects the number of MEP centers involved in activities supporting the development of a workforce with industry-aligned skills. MEP is working with partners throughout the national network of centers to provide the tools, services, and connections necessary

to develop a workforce with industry-aligned skills.								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	50	55	55
Actual	N/A	N/A	N/A	N/A	N/A	54		
Status	N/A	N/A	N/A	N/A	N/A	Exceeded		
Trend	Not Enough Data							
Notes	All Centers currently partnered with a 1) workforce investment board, 2) community college, 3) technical college, 4) university, or 5) state workforce agency are included in this count.							
Validation and Verification								
Data Source	MEP center project reporting							
Frequency	Annual							
Data Storage	Manufacturing Extension Partnership office							
Internal Control Procedures	Review and verification by Manufacturing Extension Partnership office personnel							
Data Limitations	Output measure only							
Actions to be Taken	None							

Objective 2.5: Accelerate growth of innovation-intensive economic sectors by building public and private capacity to invent, improve, and commercialize new products and services

Indicator	Citation impact of NIST-authored publications							
Description	This indicator demonstrates that NIST consistently produces useful and relevant scientific and technical publications and is outcome-oriented. The "relative citation impact" indicator is the ratio of the average number of citations per publication (citation rate) for all NIST publications in a year to the average citation rate for a large group of peer institutions in the world. Publications typically lag by a minimum of two years due to the time needed for research, writing, journal peer review, and publication processes.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	1.1	1.1	1.1	1.1	1.1	1.5	1.5	1.5
Actual	1.7	1.7	2.0	1.8	2.3	*		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	*		
Trend	Positive							
Notes	* The FY 2014 actual for this measure will lag at least six months.							
Information Gaps	Due to the ever-changing nature of research and publication, and continual updating of the dataset used to generate these metrics, the actuals for any given year are subject to change.							
Validation and Verification								
Data Source	Thomson Reuters InCites™							
Frequency	Annual							

Data Storage	NIST
Internal Control Procedures	Internal controls include verification and review by NIST Information Services Office and the NIST Program Coordination Office
Data Limitations	Factors such as self-citations, citation circles, and multiple authorship may affect the reliability of any data of this nature.
Actions to be Taken	None.

Milestones completed for Commerce interoperability framework								
Indicator	Milestones completed for Commerce interoperability framework							
Description	NIST will, in collaboration with other agencies, develop an interagency reference architecture and Commerce Interoperability Framework (CIF) or Common Access Platform (CAP).							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	Complete CIF/CAP and prototype and pilot at NIST.	Expand CIF/CAP pilot to include additional bureaus/ agencies	Extend CIF/CAP pilot to enable datasets communication and access among identified agencies
Actual	N/A	N/A	N/A	N/A	N/A	Complete		
Status	N/A	N/A	N/A	N/A	N/A	Met		
Trend	Not Enough Data							
Notes	The CIF prototype is complete at NIST. NIST is piloting the CIF at the Census Bureau instead of NIST because Census has more mature data streams and more well-defined needs. NIST is on-track to meet 2015 milestones.							

Validation and Verification

Data Source	NIST Information Technology Laboratory
Frequency	Ongoing
Data Storage	NIST Information Technology Laboratory
Internal Control Procedures	Internal controls include review by Information Technology Laboratory personnel
Data Limitations	Data provides information on output levels only.
Actions to be Taken	None.

Part 5: Other Indicators

None.

Part 6: Agency Priority Goals

None

Part 7: Resource Requirements Table

NIST Resource Requirements Table*

NIST Resource Requirements (obligations in M)										
	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Estimate	FY 2016 Base	Increase/ Decrease	FY 2016 Request
Objective 2.1: Grow a more productive, agile, and high-value manufacturing sector through partnerships and collaborations that accelerate technology development and commercialization.										
TIP	\$50.2	\$77.2	\$74.2	\$4.4	1.4	1.6	5.6	-	-	-
AMTech	-	-	-	-	3.0	12.6	15.0	8.2	6.8	15.0
NNMI									143.6	143.6
Labs									20.0	20.0
User Facilities	74.5	72.9	74.2	83.0	89.5	85.5	87.9	86.9	8.9	95.8
Recovery Act funds	3.9	20.1	-	-	-	-	-	-	-	-
Subtotal Funding	128.6	170.2	148.4	87.4	93.9	99.7	108.5	95.1	179.3	274.4
Direct	123.8	167.3	144.5	78.4	78.2	93.2	102.6	91.1	179.3	270.4
Reimbursable	4.8	2.9	3.9	9.0	15.7	6.5	5.9	4.0	-	4.0
Total	128.6	170.2	148.4	87.4	93.9	99.7	108.5	95.1	179.3	274.4
Subtotal FTE	311	329	332	285	262	282	292	290	35	325
Objective 2.2: Increase the capacity of U.S. regional economies to accelerate the production of value-added goods and services by providing services to and investments in businesses and communities.										
Objective 2.4: Accelerate the development of industry-led skills strategies that result in a productive workforce for employers and high-quality jobs for workers.										
MEP	112.6	126.8	129.3	130.9	118.2	122.6	154.0	131.2	9.8	141.0
Direct	111.0	124.9	128.6	129.1	117.9	122.5	154.0	131.2	9.8	141.0
Reimbursable	1.6	1.9	0.7	1.8	0.3	0.1	-	-	-	-
Total	112.6	126.8	129.3	130.9	118.2	122.6	154.0	131.2	9.8	141.0
Subtotal FTE	70	78	83	89	74	71	80	80	-	80
Objective 2.3: Strengthen the Nation's digital economy by championing policies that will maximize the potential of the Internet, expanding broadband capacity, and enhancing cybersecurity to provide a robust environment for innovation.										
Cybersecurity Framework	-	-	-	16.5	21.7	28.0	36.4	36.4	19.0	55.4

Direct	-	-	-	16.5	21.7	28.0	36.4	36.4	19.0	55.4
Reimbursable	-	-	-	-	-	-	-	-	-	-
Total	-	-	-	16.5	21.7	28.0	36.4	36.4	19.0	55.4
Subtotal FTE	-	-	-	6	18	22	44	46	40	86
Objective 2.5: Accelerate growth of innovation-intensive economic sectors by building public and private capacity to invent, improve, and commercialize new products and services.										
Labs	555.5	583.7	584.0	621.4	625.9	679.5	728.2	688.0	8.9	696.9
BPEP	13.0	10.8	9.1	2.1	-	-	0.1	-	-	-
Construction and SCMMR	161.7	169.8	91.0	35.6	75.0	64.8	63.2	51.1	7.9	59.0
Recovery Act funds	121.1	455.5	4.4	7.0	1.4	-	-	-	-	-
Subtotal Funding	851.3	1,219.8	688.5	666.1	702.3	744.3	791.5	739.1	16.8	755.9
Direct	683.6	1,053.7	524.4	505.1	544.9	588.5	636.4	600.8	15.3	616.1
Reimbursable	167.7	166.1	164.1	161.0	157.4	155.8	155.2	138.3	1.5	139.8
Total	851.3	1,219.8	688.5	666.1	702.3	744.3	791.6	739.1	16.8	755.9
Subtotal FTE	2,486	2,566	2,575	2,554	2,556	2,656	2,799	2,807	25	2,832
Objective 3.1: Advance the understanding and prediction of changes in the environment through world class science and observations.										
Greenhouse Gas	2.3	8.8	9.1	9.0	8.8	11.9	13.9	13.9	-	13.9
Direct	2.3	8.8	9.1	9.0	8.8	11.9	13.9	13.9	-	13.9
Reimbursable	-	-	-	-	-	-	-	-	-	-
Total	2.3	8.8	9.1	9.0	8.8	11.9	13.9	13.9	-	13.9
Subtotal FTE	7	18	22	23	19	20	21	21	-	21
Objective 3.3: Strengthen the resiliency of communities and regions by delivering targeted services to build capacity.										
Disaster Resilience	5.4	4.2	4.3	7.2	7.1	5.7	10.4	10.4	10.0	20.4
Direct	5.4	4.2	4.3	7.2	7.1	5.6	9.6	9.6	10.0	19.6
Reimbursable	-	-	-	-	-	0.1	0.8	0.8	-	0.8
Total	5.4	4.2	4.3	7.2	7.1	5.7	10.4	10.4	10.0	20.4
Subtotal FTE	7	8	9	16	12	16	16	16	13	29

Objective 4.1: Transform the Department's data capacity to enhance the value, accessibility and usability of Commerce data for government, business and the public.

Big Data standards	-	-	-	-	0.2	2.0	0.5	0.8	-	0.8
Direct	-	-	-	-	0.2	2.0	0.5	0.8	-	0.8
Reimbursable	-	-	-	-	-	-	-	-	-	-
Total	-	-	-	-	0.2	2.0	0.5	0.8	-	0.8
Subtotal FTE	-	-	-	-	1	3	1	1	-	1

Total Funding	1,100.2	1,529.8	979.6	917.1	952.2	1,014.2	1,115.2	1,026.9	234.9	1,261.8
Direct	926.1	1,358.9	810.9	745.3	778.8	851.7	953.4	883.8	233.4	1,117.2
Reimbursable	174.1	170.9	168.7	171.8	173.4	162.5	161.9	143.1	1.5	144.6
Total	1,100.2	1,529.8	979.6	917.1	952.2	1,014.2	1,115.3	1,026.9	234.9	1,261.8
Total FTE	2,881	2,999	3,021	2,973	2,942	3,070	3,253	3,261	113	3,374

* Dollars reflect obligations for all fund sources and exclude \$1,930M National Network for Manufacturing Innovation and \$300M Wireless Innovation Fund (mandatory appropriations).

Part 8: Other Information

Section 8.1: Major Management Priorities, Challenges, and Risks

NIST has had multiple actions that impact top DOC management challenges.

Challenge 1: Strengthen Commerce Infrastructure to Support the Nation's Economic Growth

Responsible Bureau Official: Under Secretary for Commerce for Standards and Technology and NIST Director

- NIST has taken a number of actions to mitigate the challenge of implementing the National Network for Manufacturing Innovation. Congress continues to make progress on the NNMI legislation. NIST has conducted planning exercises to ensure that the agency is prepared to manage the program if Congress passes authorization legislation.

Challenge 3: Continue Enhancing Cybersecurity and Management of Information Technology Investments.

Responsible Bureau Official: Under Secretary for Commerce for Standards and Technology and NIST Director

- NIST is assisting in establishing a robust capability to respond to cyber incidents. As a member of the DOC Federation of Computer Incident Response Teams, NIST participates in meetings, weekly teleconference calls, and email discussions. NIST also provides advice, consultations, and incident response assistance to other parts of DOC upon request.
- NIST is helping to continue sustainable implementation of enterprise cybersecurity initiatives by implementing Trusted Internet Connection (TIC) requirements, purchasing MTIPS services using the GSA Networx contract. NIST has also implemented the DOC Enterprise Cyber Security Monitoring and Operations infrastructure, providing enterprise continuous monitoring capabilities for all DOC OUs. Also, NIST participates in all of the planning activities and working groups involved with the implementation of the DOC Enterprise Security Oversight Center.
- NIST is maintaining momentum in consolidating commodity IT to cut costs by sharing procurement vehicles – NIST uses Department-wide contracts, such as the Microsoft and McAfee contracts, for its IT commodity purchases whenever possible. NIST has also been an active participant in DOC-wide efforts to put additional shared procurement vehicles into place. A NIST employee was a member of the team that developed the Network Equipment strategic sourcing vehicles. NIST tests new Dell desktop and laptop devices for inclusion in the DOC-wide PCs and Accessories Custom User Purchasing Agreement. Also, in FY2012 NIST established the MS Office 365 contract, which several other bureaus are using today for their migrations to Office 365.

- In addition, NIST hosts the DOC Enterprise Cyber Security Monitoring and Operations infrastructure, providing enterprise continuous monitoring capabilities for all DOC operating units.

Challenge 3: Continue Enhancing Cybersecurity and Management of Information Technology Investments.

Responsible Bureau Official: Under Secretary for Commerce for Standards and Technology and NIST Director

- NIST has been responsive to the President issued Executive Order 13636, *Improving Critical Infrastructure Cybersecurity* in February 2013. It directed the National Institute of Standards and Technology (NIST) to work with stakeholders to develop a voluntary framework in one year – based on existing standards, guidelines, and practices - for reducing cyber risks to critical infrastructure.
- NIST released the *Framework for Improving Critical Infrastructure Cybersecurity* on February 12, 2014. The Framework, created through collaboration between industry and government, consists of standards, guidelines, and practices to promote the protection of critical infrastructure. The prioritized, flexible, repeatable, and cost-effective approach of the Framework helps owners and operators of critical infrastructure to manage cybersecurity-related risk. <http://www.nist.gov/cyberframework/index.cfm>

Challenge 5: Continue to Foster a Culture of Management Accountability to Ensure Responsible Spending.

Responsible Bureau Official: Under Secretary for Commerce for Standards and Technology and NIST Director

- NIST's Office of Acquisitions and Agreements Management (OAAM) has made a concerted effort to improve controls over the use of Federal funds by recipients. These efforts include, but are not limited to the hiring of a Grants Division Chief; procurement of six on-site training courses for grants staff; and the completion of an internal compliance file review. In addition, NIST has created an internal task force to identify process improvement solutions for acquisitions and agreements. NIST/OAAM is confident that these multifaceted activities will improve the controls over the use of Federal funds.
- NIST/OAAM has developed comprehensive draft closeout SOPs, utilizing lessons learned from internal award closeout administration and findings and recommendations identified in the September 23, 2013 memorandum *Closeout Procedures Needs Strengthening for the Broadband Technology Opportunities Program (BTOP)*. The draft closeout SOP will be issued in Final by the end of the fiscal year. With respect to closeout activities, NIST/OAAM has closed 54.3% (57 of 105) expired BTOP awards.
- NIST has been an active participant in DOC-wide planning for migration from the DOC legacy financial systems to a Business Application Solution (BAS).

NIST Internal Management Challenge: Achieve Operational Efficiency and Economy to Support a World-class Research Program.

Responsible Bureau Official: Under Secretary for Commerce for Standards and Technology and NIST Director

- Safety management -- NIST is continuing a long process of improving safety management practices and developing a robust safety culture at the laboratories. This effort has made significant progress, but still requires management focus and priority.
- Integrating program and support functions -- NIST is undertaking a significant effort to improve how we procure goods and services. This effort will improve NIST scientific staff's ability to do their mission-critical work by focusing on timeliness, value, effort, and responsiveness. As a part of this effort, NIST managers and staff are defining processes and methodologies that will refine and streamline acquisitions.
- Budget uncertainties and travel ceilings --Current budget uncertainties pose significant risk to NIST's ability to maintain programs that improve U.S. competitiveness, particularly when other countries are increasing investments in measurements, standards, and technology development. Similarly, travel caps are reducing NIST scientists' participation in technical meetings, standards development activities, etc. Participation in these activities supports technology transfer from NIST laboratories and provides NIST staff critical insights about external competition and the science and technology landscape.
- Access to a world class workforce -- NIST's ability to perform best-in-the-world research is dependent on our ability to attract and work with world-class researchers. Foreign researchers working with NIST staff at NIST facilities are an integral part of this dynamic. Collaboration with these experts enables NIST researchers to better understand and stay on the cutting-edge of scientific developments around the world. Also, restrictions on incentives and pay increases along with general negative impressions about Federal employees continue to be a challenge in recruiting the best and brightest scientific minds in the U.S. to work at NIST and contribute to our important mission.

Section 8.2: Cross-Agency Collaborations

Cross-Agency Collaborations

NIST has a key coordination role in working with other agencies to help achieve its objective aimed at strengthening U.S. advanced manufacturing through partnerships and collaborations that accelerate technology development and commercialization.

- **Advanced Manufacturing** --The Nation's long-term competitiveness relies heavily on global leadership in advanced manufacturing capabilities. In support of this effort, NIST maintains key relationships with OSTP, the National Economic Council, NSF, NASA, DOE, and DOD. NIST hosts the Advanced Manufacturing National Program Office (AMNPO) which is working closely with NSF, DOD, DOE, NASA, and other agencies to coordinate federal advanced manufacturing programs and create the necessary foundation for the proposed National Network for Manufacturing Innovation (NNMI).

NIST is working closely with a number of other agencies to develop and provide measurement tools and standards to promote industrial competitiveness, enable innovation, and increase efficiency. Key examples include:

- **National Nanotechnology Initiative** -- NIST actively participates in and leads many activities within the National Nanotechnology Initiative (NNI). For example, NIST and OSTP co-chair the Nanoscale Science, Engineering, and Technology Subcommittee which is the interagency convening group of the NNI. The NNI consists of the individual and cooperative nanotechnology-related activities of 27 Federal agencies with a range of research and regulatory roles and responsibilities.
- **Materials Genome Initiative** -- NIST is a lead agency in the Administration's effort to build a materials innovation infrastructure in the U.S. This interagency activity is leveraging expertise at NIST, DOE, DOD, NSF, and other agencies to develop computational approaches that will dramatically reduce the development time of new materials for more effective and cheaper products.
- **Cybersecurity** -- NIST is playing a critical role in implementing a framework for reducing cyber risks to critical infrastructure, per the Presidential Executive Order "Improving Critical Infrastructure Cybersecurity" issued in February 2013. OMB, DHS, and the National Security Agency are key government stakeholders in this effort and are working with NIST to create a public-private partnership to develop a standards-based framework to identify and mitigate cybersecurity risks to the nation's critical infrastructure.
- **Advanced Communications** -- NIST and NTIA recently signed a Memorandum of Understanding to establish a national Center for Advanced Communications at the DOC Boulder facilities. The Center will leverage the unique NIST and NTIA technical expertise in communication technologies and will work closely with the private sector and other federal agencies, including DOD and the Federal Communications Commission. The Center will address measurement and standards challenges in the rapidly evolving communication technologies.
- **Measurement Science and Standards in Forensic Science** -- NIST works with the Department of Justice (DOJ) and forensic science practitioners to establish practices that will enable greater transparency and rigor in the use of forensic evidence within the criminal justice system. For example, NIST and DOJ recently signed a Memorandum of Understanding to create a National Commission on Forensic Science to help address important issues identified in a National Academies' report that studied the nation's forensic science approach.
- **Standards and Trade Policy** -- NIST partners with the Office of the U.S. Trade Representative on significant issues relating to trade policy and standards-related issues that impact trade policy.
- **Interoperability of Electronic Health Records (EHR)** -- NIST is working in close collaboration with the Department of Health and Human Services Office of the National Coordinator for Health IT to promote interoperability of electronic health records.
- **Biosciences** -- Ongoing collaborations between NIST and the Food and Drug Administration range from the reliability of active implanted medical devices, to biological drugs and stem cell-based therapies, to certified reference materials for dietary supplements.

Through the MEP, NIST collaborates with a number of other agencies in support of its objective to improve the competitiveness of small and medium-sized businesses. Most recently, MEP has collaborated actively with multiple other agencies (including the Economic Development Administration, the Department of Labor (DOL), the Small Business Administration (SBA), the U.S. Department of Agriculture, DoE, and the Delta Regional Authority) on priority Administration initiatives to grow the economy and create jobs. In some cases, such as with the Advanced Manufacturing Jobs and Innovation Accelerator Challenge and the Make it in America competition, MEP has been a full partner,

providing funding and leadership to help shape and implement the initiatives for maximum impact. In others, MEP has been a supportive non-funding partner, bringing our expertise and insights regarding US manufacturing to the initiatives. These recent activities are in addition to the long-standing relationships NIST MEP has had with a number of agencies and programs, including:

- **E3: Economy, Energy, and Environment** -- MEP is collaborating with DOE, the Environmental Protection Agency, DOL, SBA, and USGS on E3, a coordinated federal and local technical assistance initiative that is helping manufacturers across the nation adapt and thrive in a new business era focused on sustainability.
- **ExporTech** -- Deployed nationally as a collaboration between MEP, U.S. Export Assistance Centers, and other partners including District Export Councils, State Trade Offices, Ex-Im Bank and SBA, ExporTech helps companies enter or expand in global markets.
- **Supplier Scouting** -- In partnership with DOT, DOE, DOD, and other NIST programs, MEP has been using its extensive network of manufacturers and suppliers to help American companies meet the requirements of the Buy America and Buy American standards.

Section 8.3: Evidence Building

NIST continually collects information on major national issues, shifting trends in science and technology, and the performance of key operational processes through a variety of mechanisms including meetings, workshops, industry visits, and objective peer review of its programs. This input is viewed in the context of the NIST mission to make decisions on where NIST needs to develop specific capabilities, how to best marshal existing resources to address current issues, and how to continually optimize the organization for improved performance.

The NRC provides expert assessments of the NIST Laboratory programs. The NRC assessments assure decision-makers within the Federal government that NIST maintains the highest standards of effort, performance, and relevance. The assessments also help NIST respond to recommendations and advice as provided to NIST by its advisory body, the Visiting Committee on Advanced Technology. In addition, the process of bringing expert NRC panelists to the NIST campus creates an opportunity for NIST scientists to obtain direct feedback and to foster professional relationships with experts in their field. For FY 2014, the NRC conducted technical assessments of the scientific impact of the Engineering Laboratory and the Material Measurement Laboratory on the following criteria: the technical quality and merit of the laboratory programs relative to the state-of-the-art worldwide, the effectiveness with which the laboratory programs are carried out and the results disseminated to customers, the relevance of the laboratory programs to the current and future needs of stakeholders, and the adequacy of the facilities and laboratory equipment to perform the program functions. The most recent NRC reports are available here: <http://nist.gov/director/nrc/>

The NIST Visiting Committee on Advanced Technology (VCAT) assessed NIST's programs and priorities, with specific focuses on NIST's portfolio of manufacturing programs, as well as NIST's cybersecurity efforts. Their recommendations are included in the *2013 Annual Report*, as well as their report on *NIST Cryptographic Standards and Guidelines Process* at: <http://www.nist.gov/director/vcat/>. In addition to

the VCAT, NIST has other federal advisory committees that provide critical advice for other key NIST programs, including Advisory Committee on Earthquake Hazards Reduction, the Board of Overseers for the Malcolm Baldrige Award, the Information Security and Privacy Advisory Board, and the Manufacturing Extension Partnership Advisory Board.

NIST MEP uses a broad array of research and reports to shape its program direction. These include client surveys, Federal Advisory Committee reports, and National Academy of Sciences reports. For more information, see the MEP website at <http://nist.gov/mep/>.

Section 8.4: *Hyperlinks*

The NRC Assessment Reports for NIST are available at: <http://www.nist.gov/director/nrc/index.cfm>.

A variety of performance evaluation and economic studies are available at: http://nist.gov/director/planning/impact_assessment.cfm

Section 8.5: *Data Validation and Verification*

The FY 2014 Summary of Performance and Finance Information includes in the Secretary's Statement, an assessment of the reliability and completeness of the Department's performance data.

Section 8.6: *Lower-Priority Program Activities*

The President's Budget identifies the lower-priority program activities, where applicable, as required under the GPRA Modernization Act, 31 U.S.C. 1115(b)(10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget>.

FY 2016 Annual Performance Plan / FY 2014 Annual Performance Report

National Oceanic and Atmospheric Administration

Part 1: Agency and Mission Information

Section 1.1: Overview

NOAA provides environmental intelligence to advance our ability to understand and anticipate changes in the Earth's environment, improve society's ability to make scientifically informed decisions, deliver services vital to the economy and public safety, and conserve and manage ocean and coastal ecosystems and resources. NOAA's mission is best described as a triad of science, service, and stewardship. We operate from the surface of the sun to the bottom of the ocean. NOAA's science, services, and stewardship missions require a synthesis of space, ground, and ocean-based observations from satellites, ships, aircraft, buoys, weather stations, and radiosondes just to name a few. This synthesis, coupled with sound scientific understanding of Earth systems and processes and advance modeling capabilities, is essential to NOAA's ability to provide critical environmental intelligence to keep the Nation informed of the changing environment.

NOAA provides weather, water, and climate forecasts and warnings for the United States, its territories, adjacent waters, and ocean areas for the protection of life and property and the enhancement of the national economy 24 hours every day. NOAA provides environmental intelligence that decision-makers depend upon to guide decisions they must make every day. To meet that end NOAA must understand and predict changes in the climate, weather, oceans, and coasts. When it comes to severe weather preparedness, calculated near-term investments build capacity for savings – of life, property, and habitat – in the future. In the ten years from 2004 to 2013 the U.S. sustained 80 weather/climate disasters where overall damages/costs reached or exceeded \$1 billion.¹ These included Hurricane Katrina, Hurricane Rita, Hurricane Sandy, wide spread tornado outbreaks, the most extensive drought since the 1930's in 2012 and 2013, and wildfires² that burned over 72 million acres collectively. In accordance with its strategic vision, NOAA launched its Weather-Ready Nation initiative to build community resilience in the face of increasing vulnerability to extreme weather and water events. The initiative will be enacted through improvements to demand-driven support services, innovative technology, and specialized training of our workforce.

NOAA protects and preserves the nation's living marine resources through scientific research, fisheries management, enforcement and habitat conservation. Commercial and recreational fishing industries depend on healthy and abundant fish stocks. NOAA must work to conserve and manage coastal and marine ecosystems and resources. In 2012, the U.S. seafood industry supported approximately 1.3 million full- and part-time jobs and generated \$141 billion in sales impacts, \$39 billion in income impacts, and \$59 billion in value added impacts.¹ NOAA will sustain efforts to rebuild American fisheries and maintain them at sustainable levels to optimize fishing opportunities, jobs and environmental benefits. By investing in the management of vital marine resources now, NOAA works to ensure these resources will contribute to thriving communities and their economies now and in the future.

NOAA provides products, services and information that support coastal communities, promote safe navigation, sustain marine ecosystems, and mitigate coastal hazards. NOAA delivers nautical charts, real time tides and currents information, accurate positioning infrastructure, and

¹Fisheries Economics of the United States, 2012.

emergency response support to benefit safe, efficient, and secure transportation on U.S. waterways. America's seaports support the employment of 13.3 million U.S. workers.² Coastal shoreline counties contributed \$6.6 trillion to the Gross Domestic Product (GDP) in 2011, which is just under half of the U.S. GDP³ and a total of 51 million jobs in 2011.⁴ NOAA partners with states to implement a range of programs that help keep America's coasts healthy and resilient. As such, our vision for the future centers on resilience- resilient ecosystems, resilient communities and resilient economies.

NOAA's world-class science underpins NOAA's ability to provide accurate weather forecasts, to protect and manage the nation's coastal and ocean resources, and to enable society to plan for and respond to climate change. Research at NOAA is conducted in Federal laboratories and science centers, through partnerships with the university community, and through competitively awarded grants to both external and internal partners. NOAA's research provides solid science and policy-relevant findings to leaders in government and industry worldwide on topics such as ocean exploration, climate, and ecosystem protection.

Section 1.2: Mission Statement

To understand and predict changes in climate, weather, oceans, and coasts, to share that knowledge and information with others, and to conserve and manage coastal and marine ecosystems and resources.

Section 1.3: Vision and Values (Optional)

Healthy ecosystems, communities, and economies that are resilient in the face of challenge.

² John Martin, Ph.D., "The Local and Regional Economic Impacts of the U.S. Deepwater Port System, 2007", prepared for the American Association of Port Authorities, June 2008, p.

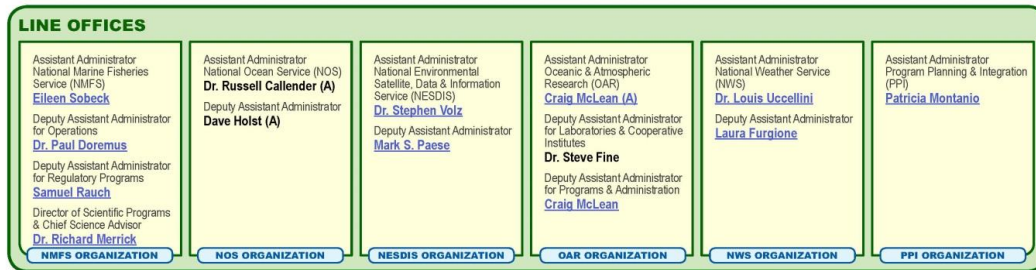
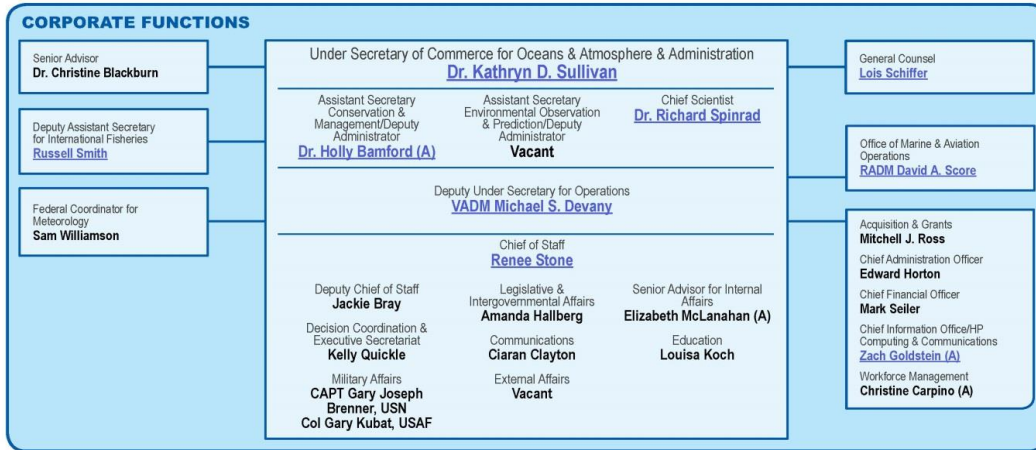
5.

³ Bureau of Economic Analysis. 2012. Gross Domestic Product (GDP) for the U.S. Territories. http://www.bea.gov/national/gdp_territory.htm.

⁴ Bureau of Labor Statistics. 2012. 2010 Census of Employment and Wages. Available from: <http://www.bls.gov/cew/>

Section 1.4: Organizational Structure

NOAA HEADQUARTERS ORGANIZATION



Key: (A) = Acting Last updated: 11/21/14

Part 2: Cross-Agency Priority Goals

Section 2.1: Overview

The National Oceanic and Atmospheric Administration currently contributes to the following CAP Goals: Infrastructure Permitting Modernization, Lab-To-Market, and STEM Education. The website where these are located is: <http://www.performance.gov/cap-goals-list?view=public>

Part 3: Strategic Goals and Objectives

Section 3.1: Corresponding DoC Strategic Goals, and Objectives

Goal	Objective Number	Objective Name	Leader:
Trade and Investment Strategic Goal 1: Expand the U.S. economy through increased exports and inward foreign investment that lead to more and better American jobs	1.1	Increase opportunities for U.S. companies by opening markets globally	Stefan Selig, Undersecretary for International Trade, U.S. International Trade Administration
Environment Strategic Goal 3: Ensure communities and businesses have the necessary information, products, and services to prepare for and prosper in a changing environment	3.1	Advance the understanding and prediction of changes in the environment through world class science and observations	Dr. Kathryn Sullivan, Under Secretary of Commerce for Oceans and Atmosphere and NOAA Administrator, National Oceanic and Atmospheric Administration
Environment Strategic Goal 3: Ensure communities and businesses have the necessary information, products, and services to prepare for and prosper in a changing environment	3.2	Improve preparedness, response, and recovery from weather and water events by building a Weather-Ready Nation	Dr. Kathryn Sullivan, Under Secretary of Commerce for Oceans and Atmosphere and NOAA Administrator, National Oceanic and Atmospheric Administration
Environment Strategic Goal 3: Ensure communities and businesses have the necessary information, products, and services to prepare for and prosper in a changing environment	3.3	Strengthen the resiliency of communities and regions by delivering targeted services to build capacity	Dr. Kathryn Sullivan, Under Secretary of Commerce for Oceans and Atmosphere and NOAA Administrator, National Oceanic and Atmospheric Administration
Environment Strategic Goal 3: Ensure communities and businesses have the necessary information, products, and services to prepare for and prosper in a changing environment	3.4	Foster healthy and sustainable marine resources, habitats, and ecosystems through improved management and partnerships	Dr. Kathryn Sullivan, Under Secretary of Commerce for Oceans and Atmosphere and NOAA Administrator, National Oceanic and Atmospheric Administration
Environment Strategic Goal 3: Ensure communities and businesses have the necessary information, products, and services to prepare for and prosper in a changing environment	3.5	Enable U.S. businesses to adapt and prosper by developing environmental and climate informed solutions.	Dr. Kathryn Sullivan, Under Secretary of Commerce for Oceans and Atmosphere and NOAA Administrator, National Oceanic and Atmospheric Administration
Data Strategic Goal 4: Improve government, business, and community decisions and knowledge by transforming Department data capabilities and supporting a data-enabled economy	4.1	Transform the Department's data capacity to enhance the value, accessibility and usability of Commerce data for government, business and the public	Mark Doms, Under Secretary for Economic Affairs, Economics and Statistics Administration

Section 3.2: Strategies for Objectives

Objective 1.1 Strategies:

- Ensure U.S. commercial and economic interests are advanced in trade agreements and in other international fora
- Ensure U.S. commercial and economic interests are advanced with foreign governments

Objective 3.1 Strategies:

- Develop the next generation of satellites and observation and data gathering systems
- Advance holistic, integrative ecosystem research
- Develop the next generation environmental modeling system and transition models
- Improve understanding of Greenhouse Gas processes

Objective 3.2 Strategies:

- Evolve National Weather Service
- Improve Accuracy & usefulness of forecasts
- Enhance decision support services for emergency managers

Objective 3.3 Strategies:

- Build partnerships to produce and deliver climate information and services
- Enhance Coastal Intelligence
- Help communities and regions leverage assets to build capacity for resilience

Objective 3.4 Strategies:

- Strengthen capabilities to assess/monitor fish and protected resources
- Improve recovery of listed species through innovative partnerships
- Enhance place-based conservation

Objective 3.5 Strategies:

- Engage targeted business sectors to integrate natural capital values into business models

Objective 4.1 Strategies:

- Increase Commerce's capacity to make data accessible, discoverable and usable by the public
- Foster Growth of private sector weather, water and climate information and service providers

Section 3.3: Progress Update for Strategic Objectives

Benefits:

3.1 Advance the understanding and prediction in the environment through world class science and observations

Deploy the next generation of satellites and observation and data gathering systems.

Accurate and reliable data from sustained and integrated observation systems is essential. To maintain and improve this capability, NOAA will launch and operate the next generation of geostationary and polar-orbiting satellites and will sustain a modern survey vessel fleet. These capabilities will support NOAA's weather, climate, mapping, and ecosystem observation and prediction needs, as well as integrated federal observing requirements.

Advance holistic, integrative ecosystem research.

An integrated approach to research and development will improve the understanding of interrelated changes in ecosystems' biological, chemical, physical, and social processes and dynamics. With this focus, NOAA will deliver science solutions to further the evaluation of management strategies and tradeoffs and to make informed decisions about resource management and the changing environment.

Develop the next-generation environmental modeling system.

In many cases, what limits the ability to make predictions is the complex and dynamic interconnectedness of large-scale physical and ecological systems. NOAA will improve its predictive capability through sustained improvements in high-performance computing systems and by developing a suite of state-of-the-art models. These models will integrate physical and biological observations and processes, and provide earth-system predictions and projections at varying geographic scales across time scales from minutes to decades.

Improve the understanding of greenhouse gas processes.

As the effects of increased greenhouse gas become more apparent, there is a growing need for a better understanding of the processes that cause the increase. NOAA and NIST will work cooperatively to link measurements and standards supporting the atmospheric and emissions monitoring communities. The efforts of both bureaus will advance measurement capabilities of the monitoring networks and improve measurements of greenhouse gas emissions on scales ranging from global to metropolitan areas and cities.

3.2 Improve preparedness, response, and recovery from weather and water events by building a Weather-Ready Nation

Evolve NOAA's National Weather Service.

NOAA's National Weather Service has collaborated with stakeholders to become more responsive, engaged, and transparent. The resulting Weather-Ready Nation Road map 2.0 describes a more flexible and agile approach to management practices, services, workforce, science, and technology. As the roadmap's new approaches are implemented, the National Weather Service will be more effective in supporting emergency managers, first responders, government officials, businesses, and the public to help them make faster, smarter decisions that save lives and protect livelihoods.

Improve the accuracy and usefulness of forecasts.

A Weather-Ready Nation needs improved warning and forecast accuracy. Through improvements in high-performance computing, NOAA will deliver improved weather forecasts and warnings, monthly and seasonal drought outlooks, and other water resources prediction information. NOAA will also use social science to increase the effectiveness of forecast communications and to better assist users in their decision-making.

Enhance decision support services for emergency managers.

Understanding and responding to the needs of emergency managers before a weather-related event occurs is vital. To build a Weather-Ready Nation, NOAA will partner more effectively with other government agencies at all levels to provide and integrate weather-related services into the National Response Framework. NOAA will deploy new forecasting and decision support tools and train users to assess and communicate weather risks to the emergency management community.

3.3 Strengthen the resiliency of communities and regions by delivering targeted services to build capacity

Build partnerships to produce and deliver climate information and services.

To improve community resilience, NOAA will support decision makers by building government, academic, and private partnerships. The input and collaboration will be used to develop regionally and locally-applied climate information and provide open-access data for catastrophe risk modeling. It will also produce new and improved information systems and visualization tools, refinement of the *Climate.gov* website, and communicate uncertainties when applying information to vulnerability assessments and preparedness solutions.

Enhance coastal intelligence.

Coastal intelligence includes nautical charts, environmental monitoring and assessment, and socioeconomic data and tools. NOAA, Census, and partners will increase the integration of science and services to provide targeted, actionable information that strengthens the resilience of communities and regions. More sophisticated ocean and coastal intelligence will improve the ability of public and private decision makers to make informed choices.

Help communities and regions leverage assets to build capacity for resilience.

The Department will provide tools, training, assistance, and grants to communities and regions for actions needed to adapt to environmental change before, during, and after events. The development and implementation of resiliency strategies will help them better understand and employ their regional assets for economic resiliency. In addition, coastal decision makers will benefit from updated decision-support tools, technical assistance, and training.

3.4 Foster healthy and sustainable marine resources, habitats, and ecosystems through improved management and partnerships

Strengthen capabilities to assess and monitor fish and protected resources.

Ensuring sustainable populations of living marine resources is a key Departmental mandate. NOAA will increase the precision of stock assessments, performing more robust monitoring, and applying ecosystem-based management to ensure healthy, sustainable populations of living marine resources. NOAA will incorporate integrated biological, physical, and chemical data and ecosystem modeling into fish stock and protected species assessments. NOAA will also produce more advanced technologies for monitoring of living marine resources and ecosystems.

Improve recovery of listed species through innovative partnerships.

International, federal, state, local, tribal, and nongovernmental organizations play a role in conservation. NOAA will strengthen partnerships with these stakeholder groups to ensure greater collaboration toward the recovery and conservation of protected species in marine and coastal ecosystems. Greater collaboration will improve the development and implementation of effective recovery and conservation plans for marine mammals and endangered and threatened species.

Enhance place-based conservation.

Through its coastal management and place-based conservation programs, NOAA will expand protections at current sites, add protections at new sites, and work with public and private partners. This place-based approach will preserve the economic and environmental benefits of these special places to local communities. NOAA will implement efforts such as the Habitat Blueprint framework, which employs partnerships to improve habitat conditions for fisheries, and coastal and marine life, to achieve economic, cultural, and environmental benefits.

FY 2014 Accomplishments:

- **Implemented High Resolution Rapid Refresh Model**

On September 30, 2014, NOAA transitioned to operations the three kilometer High-Resolution Rapid Refresh (HRRR) severe weather forecast model. The HRRR better pinpoints neighborhood-sized threats such as tornadoes, heavy precipitation that can lead to flash flooding, and heavy snowfall, and provides advanced warnings so that residents can take precautions hours in advance. The HRRR model helps forecasters provide more information – and within a quicker timeframe – to air traffic managers and pilots about hazards, such as air turbulence and thunderstorms. The model is run every hour out to 15 hours with a domain slightly larger than the Continental United States and has a spatial resolution four times finer than previous numerical models. NOAA's recent increase in supercomputing capacity enabled the HRRR to better integrate radar data with traditional observations.

- **Removed 57 Tons of Marine Debris from World Heritage Site**

In September-October 2014, a team of 17 NOAA divers operating from the Oscar Elton Sette removed 57 tons of marine debris consisting of derelict fishing nets and plastic litter from the Papahānaumokuākea Marine National Monument, a World Heritage Site and one of the largest marine conservation areas in the world. The divers worked out of small boats launched from the Sette systematically surveying coral reefs at Maro Reef, Pearl and Hermes Atoll, and Midway Atoll. NOAA has led this mission every year since 1996 and has removed a total of 904 tons of marine debris, including this year's haul. The nets are an entanglement hazard for monk seals, turtles and seabirds that depend on the shallow coral reef ecosystem for survival. They also break and damage corals as they drift through the currents, catching on anything in their path. Once they have settled, they can smother the corals and prevent growth.

- **Supported Response to Lake Erie Harmful Algal Bloom**

NOAA scientists issued timely forecasts to aid in the response to a bloom of cyanobacteria that contaminated drinking water in Lake Erie on August 2nd, 2014. This event left nearly 400,000 people in Ohio without drinking water for two days. In response to requests from Ohio agencies, NOAA increased the frequency of Lake Erie Harmful Algal Bloom Bulletins from once to twice a week. These bulletins tracked the size and location of blooms and predicted their movement until the bloom season ended in the fall. The August 1st edition of the NOAA bulletin forecasted the intensification of this bloom and enabled Toledo to prepare for a potential hazard.

- **Continued to End Overfishing and Rebuilding Nation's Fish Stocks**

In April 2014, in its release of the *Status of U.S. Fisheries, 2013* report, NOAA announced continued progress in ending overfishing and rebuilding fish stocks. The report notes that NOAA removed seven more stocks from the overfishing list and four more stocks from the list of overfished stocks. Additionally, recent assessments show that two stocks have been rebuilt, bringing the number of stocks rebuilt since 2000 to 34. Published at the same time, *Fisheries Economics of the United States, 2012* showed that the health of commercial and recreational fisheries overall continues to grow, supporting approximately 1.7 million jobs in 2012, up 100,000 from the previous year. This progress demonstrates the strength of the U.S. science-based management model under the Magnuson-Stevens Fishery Conservation and Management Act and underscores the importance of ending overfishing as a key to bolstering the health of the marine environment and coastal economies.

- **Awarded for Climate.gov Website**

In June 2014, NOAA received two Webby wins for the agency's Climate.gov website. The Webby Award is the leading international award honoring excellence on the Internet. The site won in the Government and Green categories and was also selected as the People's Voice Award Winner in the Green category. Climate.gov includes news and information about climate trends, new science results, interactive maps, and learning resources and also supports the Administration's Climate Resilience Toolkit. The goals of the site are to promote public understanding of climate science and climate-related events, make NOAA's data products and services easy to access and use, and provide climate information and tools to local decision-makers.

- **Revealed Alaska Fisheries at risk from Ocean Acidification**

NOAA, in collaboration with the University of Alaska, Bureau of Ocean Energy Management, and other partners, published a study that concluded that Alaska fisheries and communities in certain regions are at high risk from the effects of ocean acidification (OA). The study, "Ocean acidification risk assessment for Alaska's fishery sector," published on July 29, 2014 in *Progress in Oceanography*, showed that many of Alaska's economically valuable marine fisheries, such as red king crab and tanner crab, are located in waters with increasing OA. The economy and livelihood of communities in southeast and southwest Alaska are expected to be particularly vulnerable to these impacts due to their reliance on fisheries. The study recommends stakeholders develop response strategies to address this increasingly widespread environmental challenge.

- **Listed Threatened Coral Species under the Endangered Species Act**

In August 2014, NOAA listed 20 species of coral as threatened under the Endangered Species Act (ESA) to provide additional protections and enable the recovery of corals throughout the Pacific and Caribbean regions. To make these listing determinations, NOAA collected and analyzed an unprecedented amount of scientific data, including information on threats to coral ecosystems, such as climate change (e.g., rising ocean temperatures, ocean acidification, and disease), effects from fishing, and land-based sources of pollution (e.g., sedimentation and nutrient enrichment). NOAA is working with states, territories, and other partners on conservation measures and recovery strategies for the newly listed corals.

- **Provided Advanced Warnings for Record Cold during Winter "Polar Vortex" Incursion**

NOAA accurately predicted the unusual jet stream pattern that occurred in January 2014, known as the "Polar Vortex," more than eight days in advance. The "Polar Vortex" produced the coldest and most persistent frigid temperatures across the central and eastern United States in 20 years. Nearly 180 million people across 20 states experienced dangerous wind chill levels. Along with the extreme cold, heavy snow and ice plagued much of the Midwest, with up to a foot of wind-driven snow falling from Missouri to Michigan. The effective advanced warnings enabled federal, state, local and commercial decision makers to take action. NOAA's weather warnings highlighted dangers from exposure, frozen pipes and indoor fire/ carbon monoxide hazards in an attempt to educate the public and mitigate health and property risks from the cold. Although at least 10 people died as a direct result of the cold, NOAA warnings prevented greater calamity by ensuring that communities had the information they needed to take appropriate precautions.

- **Saved Lives with Cospas-Sarsat System**

The international Cospas-Sarsat rescue network was inducted into the Space Foundation's Space Technology Hall of Fame in May 2014 at the 30th Space Symposium. The Search and Rescue Satellite Aided Tracking (SARSAT) system uses NOAA satellites in low-earth and geostationary orbits to detect and locate aviators, mariners, and land-based users in distress. The honor recognizes technologies

originally developed for space applications that now improve life on Earth. In FY 2014, 203 people were rescued in the U.S. with the aid of the Cospas-Sarsat system.

- **Completed World Ocean Atlas**

In February 2014, NOAA released the World Ocean Atlas (WOA) 2013. The WOA is a data product of NOAA's Ocean Climate Laboratory. First produced in 1994, the WOA is a set of objectively analyzed climatological fields of in situ temperature, salinity, dissolved oxygen, Apparent Oxygen Utilization (AOU), percent oxygen saturation, phosphate, silicate, and nitrate at standard depth levels for annual, seasonal and monthly compositing periods for the World Ocean. After the sun, the ocean is the most important driver of weather and climate on the planet. The WOA is an indispensable tool that establishes a crucial baseline of comparison for scientists in their pursuit of understanding the impact of the ocean on the Earth's climate and environment.

- **Launched First Unmanned Aircraft Directly into the Eye of a Hurricane**

In September 2014, a NOAA WP-3D aircraft launched the first-ever successful release of the Coyote, an unmanned aircraft system (UAS), directly into the eye of Hurricane Edouard. Once deployed, the UAS proceeded into the highest wind region of the storm, known as the "eyewall." At an approximate altitude of 2,900 feet, the UAS penetrated Edouard's western eyewall and documented record-breaking winds of 100 kt. as it orbited this high wind region during its historic 28 minute mission. Such deployments of UAS provide unique and groundbreaking insights into a critical region of the storm environment that is typically difficult to observe in sufficient detail since they are too dangerous for manned aircraft. Because the Coyote can fly near the surface of the ocean where warm ocean water fuels a hurricane, it will help provide vital information needed to better understand and predict hurricane intensity.

- **Opened the Inouye Regional Center in Oahu, Hawaii**

From January-March 2014, NOAA moved into the \$158 million LEED Gold Inouye Regional Center facility and campus in Hawaii (official occupancy occurred on October 8th, 2014). This effort consolidated nearly all NOAA programs across Oahu (650 employees and equipment at 12 locations) into a government owned multi-building. NOAA initiated disposal actions for the former leased and owned properties and awarded a \$15 million design build contract for the Child Development Center, which is scheduled for completion in September 2015. This project has won two national awards for architecture and design, as well as a Hawaii historical society award.

Section 3.4: Next Steps

Department leaders and employees will use this plan to transform strategies into actions, and actions into results. Strategic plan execution will require the creation of an annual action plan for each strategic objective. Progress toward achieving each objective will be routinely measured and collaboratively reviewed by Department leadership. This strategic objective review process will facilitate thoughtful discussion on the Department's progress toward achieving the objectives why, why not, and how the key strategies presented under each objective should be adjusted and improved.

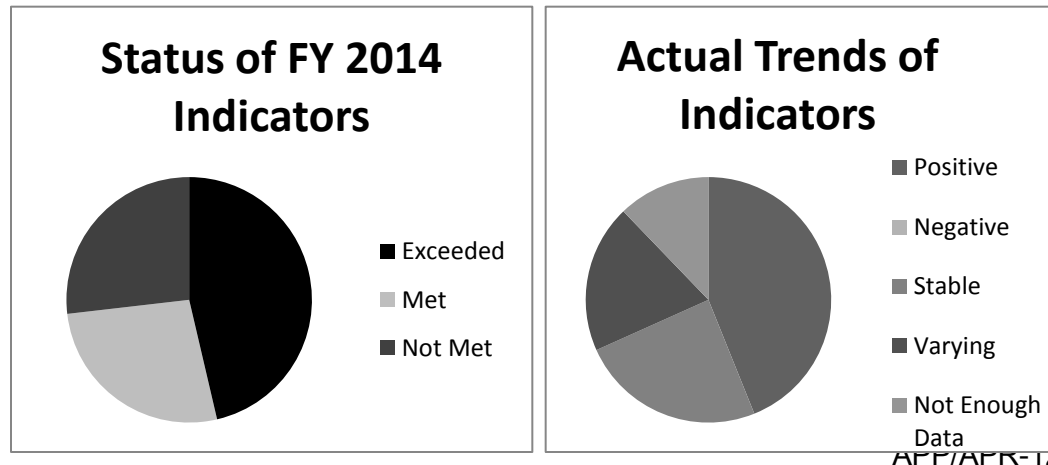
Part 4 Performance Goals / Indicators

Section 4.1: Summary of Performance

Status is based on the following standard:

Exceeded	More than 100 percent of target
Met	90 - 100 percent of target
Not Met	Below 90% of target

An indicator with a positive trend is one in which performance is improving over time while a negative trend is an indicator that has declining performance. A stable trend is one in which the goal is to maintain a standard, and that that is occurring. A varying trend is one in which the data fluctuates too much to indicate a trend. A not enough data trend represents an indicator that does not meet any of the above criteria. At a minimum these indicators must have three years of data.



Section 4.2: Summary of Indicator Performance

Objective 3.1: Advance the understanding and prediction of changes in the environment through world class science and observations

Indicator	Target	Actual	Status	Trend
Annual number of peer-reviewed publications related to environmental understanding and prediction	1200	1,759	Exceeded	Positive
U.S. Temperature Forecasts (Cumulative Skill Score Computed Over the Regions Where Predictions are Made)	23	26	Exceeded	Varying
Uncertainty of the North American (NA) carbon sink to better understand the contribution of human activities toward increasing atmospheric CO2 and methane	410 M tons Carbon/Yr	405 M tons Carbon/Yr	Not Met	Positive
Error in Global Measurement of Sea Surface Temperature	0.63C	.63C	Met	Positive
Annual percentage of U.S. states and territories that use NOAA climate information and services to improve decision-making in the face of a changing climate (Pilot performance measure)	24	24	Met	Positive
Improved climate model performance and utility based on model advancements (planned milestones) and climate assessments benefited (Pilot performance measure).	24	24	Met	Positive
Percentage improvement in the Quality of Relationship between engagement personnel and the public they serve. (Pilot performance measure)	75	75.2	Exceeded	Positive
Number of forecast and other improvements, based on OAR research, to weather applications at operational US weather services and in the US weather commercial sector (New GPRA measure)	11	11	Met	Not enough data
Annual economic and societal benefits from Sea Grant activities as measured by jobs created/retained (reported by each individual Sea Grant College)	9,600	17,500	Exceeded	Positive
Number of publications that contribute to improved understanding of the climate system (new GPRA measure)	100	100	Met	Positive

Objective 3.2: Improve preparedness, response, and recovery from weather and water events by building a Weather-Ready Nation

Indicator	Target	Actual	Status	Trend
Severe Weather Warnings Tornadoes - Storm Based:				
Lead time (minutes)	13	9	Not Met	Varying
Accuracy (%)	72	60	Not Met	Varying
False Alarm Rate (%)	72	70	Exceeded	Stable
Severe Weather Warnings for Flash Floods				
Lead Time (minutes)	60	55	Met	Varying
Accuracy (%)	74	78*	Exceeded	Positive
Hurricane Forecast				
Track Error (48-Hour)	81	77**	Exceeded	Positive
Intensity Error (48 hour)	12	14**	Not Met	Varying
Accuracy (%) (Threat Score) of Day 1 Precipitation Forecasts	32	33	Exceeded	Positive
Winter Storm Warnings:				
Lead Time (Hours)	20	22	Exceeded	Positive
Accuracy (%)	90	89	Met	Stable
Marine Wind - Percentage of Accurate Forecasts	74	78	Exceeded	Positive
Marine Wave Heights - Percentage of Accurate Forecasts	76	83	Exceeded	Positive
Aviation Forecast Accuracy of Ceiling/Visibility (1 mi/500 ft to less than 3 mi/1000ft)	65	62	Met	Stable
Aviation Forecast False Alarm Rate (%)	38	36	Exceeded	Stable
Geomagnetic Storm Forecast Accuracy (%)	51	40	Not Met	Not enough data

** These values do not encompass the entire Calendar Year 2014 Hurricane Season which spans from June 1, 2014 and ends on November 30, 2014. CY 2014 GPRA preliminary values will be available in January 2015 and final values will be available in February 2014.

Objective 3.3: Strengthen the resiliency of communities and regions by delivering targeted services to build capacity

Indicator	Target	Actual	Status	Trend
Annual number of Coastal, Marine, and Great Lakes Ecological Characterizations that Meet Management Needs	48	48	Met	Stable
Cumulative number of coastal, marine and Great Lakes issue-based forecasting capabilities developed and used for management	69	69	Met	Stable
Percentage of Tools, Technologies, and Information Services that are used by NOAA Partners/Customers to Improve Ecosystem-based Management	90	100	Exceeded	Positive
Percentage of U.S. coastal states and territories demonstrating 20% or more annual improvement in resilience capacity to weather and climate hazards (%/yr.)	46	54	Exceeded	Positive
Reduce the Hydrographic Survey Backlog within Navigationally Significant Areas (square nautical miles surveyed per year)	2,929	1,681	Not Met	Varying
Percent of U.S. and territories enabled to benefit from a new national vertical reference system for improved inundation management	36	38	Exceeded	Stable
Percent of all coastal communities susceptible to harmful algal blooms verifying use of accurate HAB forecasts	11	11	Met	Stable

Objective 3.4: Foster healthy and sustainable marine resources, habitats, and ecosystems through improved management and partnerships

Indicator	Target	Actual	Status	Trend
Fish Stock Sustainability Index (FSSI)	645.5	640.5	Not Met	Positive
Revised Fish Stock Sustainability Index (FSSI)	760	746	Not Met	Not enough data
Percentage of FSSI Fish Stocks with Adequate Population Assessments and Forecasts	58.3 (134/230)	59.6 (137/230)	Exceeded	Stable
Revised Percentage of FSSI Fish Stocks with Adequate Population Assessments and Forecasts	64.8 (129/199)	63.8 (127/199)	Not Met	Not enough data
Percentage of Protected Species Stocks with Adequate Population Assessments and Forecasts	18.9 (78/412)	15.0 (62/412)	Not Met	Varying
Number of Protected Species Designated as Threatened, Endangered or Depleted with Stable or Increasing Population Levels	28*/84	37/84 (34/72)	Exceeded	Stable
Number and Percentage of Recovery Actions Ongoing or Completed	44.4 (1,979/4,457)	45.2 (2013/4457)	Exceeded	Not enough data
Number of Habitat Acres Restored	40,820	29,407	Not Met	Varying
Annual Number of Coastal, Marine, and Great Lakes Habitat Acres Acquired or Designated for Long-term Protection	1,300	5,673	Exceeded	Positive

Section 4.3 Detailed Indicator Plans and Performance

Objective 3.1: Advance the understanding and prediction of changes in the environment through world class science and observations

Indicator	3.1b - Annual number of peer-reviewed publications related to environmental understanding and prediction (NOAA only)							
Description	The annual number of peer reviewed publications is an indicator of productivity and relevance and is tracked using on-line resources. Peer review is one of the important procedures used to ensure that the quality of published information meets the standards of the scientific and technical community.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target			1200	1200	1200	1200	1500	1500
Actual			1210	1800	1676	1759		
Status			Exceeded	Exceeded	Exceeded	Exceeded		
Trend	1) 3 years of data 2) Directional trend 3) Positive trend 4) Little to some degree of variability							
Information Gaps	This publication count is not currently capturing publications produced with NOAA grant support, NOAA's cooperative institutes, book chapters, and conference proceedings. In addition, publications not found in Thomson Reuters Web of Science or produced prior to FY 2012 have not been captured.							
Validation and Verification								
Data Source	NOAA Central Library							
Frequency	Quarterly							
Data Storage	NOAA Central Library							
Internal Control Procedures	Results are reported to NOAA Research Council; quarterly reports on performance data are submitted to the NOAA Deputy Under Secretary and DOC							
Data Limitations	Data is limited to Web of Science scientific journals.							
Actions to be Taken	None							

Indicator	3.1e U.S. Temperature Forecasts (Cumulative Skill Score Computed Over the Regions Where Predictions are Made)							
Description	<p>For each three month period, seasonal outlooks for U.S. surface temperature are produced by the Climate Prediction Center (CPC) and reported as either above normal, near normal, below normal or, where no definite seasonal guidance can be provided, equal chances. These forecasts are verified using a 48 month running mean of Heidke Skill scores computed for seasonal outlooks for each 3-month seasonal mean (e.g., January-February-March mean; February-March-April mean; March-April-May mean; and so on). It is calculated as follows: Heidke skill score: $S = ((c-e)/(t-e)) \times 100$, where c = number of grid points where forecast was correct and e = number of grid points expected to be correct by chance alone and t = total number of grid points where the forecast was made.</p> <p>http://www.cpc.noaa.gov/products/predictions/long_range/tools/briefing/seas_veri.grid.php</p>							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	23	24	21	21	22	23	24	25
Actual	28	18	22	29	26	26		
Status	exceeded	not met	exceeded	exceeded	exceeded	Exceeded		
Trend	Variable – a trend isn't evident because of the high variance of actuals.							
Actions to be taken / Future Plans	<p>The following actions are being undertaken to meet out-year goals for this measure and improve seasonal predictions: (1) NOAA's Climate Test Bed (CTB) is focusing on accelerating improvements to operational seasonal climate predictions; and (2) NOAA will continue the successful collaborative forecast process, which includes research scientist and experimental forecast tools in operational seasonal forecast discussions each month. This infuses cutting-edge science into the operational process</p>							
Adjustments to targets	<p>This GPRA indicator is based on a 4-year running mean of the annual score. Some phenomena known to impact climate variability such as El Niño and La Niña affect this long-term average by skewing it up or down over the course of the four years. The upgraded version of the NWS climate forecast system (CFS) was placed into operation during FY 2011. This version is being run at higher resolution and is anticipated to contribute to improved scores in the future. Since the performance measure is a four year running average, it will take a few years before anticipated improvements to the individual seasonal scores significantly impact the 48 month running mean.</p> <p>Because of natural variability of climate regimes, the skill score can fluctuate considerably from one season to another. For example, for the periods influenced by a strong El Niño Southern Oscillation (ENSO) forcing, the skill score tends to be high. To reduce the effects of natural variability, this measure is based on averaging 48 consecutive individual seasons.</p> <p>No changes were made to this indicator since the previous Congressional submission.</p>							
Validation and Verification								
Data Source	Forecast data, observations from U.S. Weather Forecast Offices, and from a cooperative network maintained by volunteers across the Nation							
Frequency	Annual							

Data Storage	NWS National Centers for Environmental Prediction CPC
Internal Control Procedures	NOAA performs quality control on the observed data (for example, error checking, elimination of duplicates, and inter-station comparison) both at the CPC and U.S. Weather Forecast Office level. In 2005, NOAA implemented an objective verification procedure to minimize the impact of human errors in the computation of skill score.
Data Limitations	Because of natural (and unpredictable) variability of climate regimes, the skill score can fluctuate considerably from one season to another. For example, for the periods influenced by a strong ENSO forcing, GPRA measure tends to be high. Lower scores occur during the periods when ENSO is in its neutral phase. Recently, a new consolidation tool has enable CPC to increase its skill during periods not featuring strong ENSO forcing.
Actions to be Taken	None

Indicator	3.1f - Uncertainty of the North American (NA) carbon sink to better understand the contribution of human activities toward increasing atmospheric CO2 and methane							
Description	To provide scientific guidance to policymakers concerned with managing emissions of carbon dioxide, NOAA needs to assess and quantify the source of carbon variability. This GPRA measure demonstrates the scientifically accepted level of confidence in carbon measurement that is needed to accurately evaluate levels of carbon emissions in North America. Ecosystems across North America uptake one billion tons of atmospheric carbon (mainly as carbon dioxide) per year. That is about 1/2 of the current emissions from burning fossil fuels on the continent. To enable evaluation of annual changes in this ecosystem uptake, we must improve our carbon measurements to a level of uncertainty that is about 1/3 of the total, or 300 million tons per year. Having this information to this degree of certainty or better will support improved forecasts of future climate change and will provide verification for carbon dioxide emission reduction and mitigation efforts. Obtaining this minimum level of uncertainty requires the expanded observation network and improved modeling effort proposed here. The basis (flux estimates) for the measure is publicly available on the web (http://carbontracker.noaa.gov).							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	400 M tons Carbon/Yr	400 M tons Carbon/Yr	400 M tons Carbon/Yr	400 M tons Carbon/Yr	405 M tons Carbon/Yr	410 M tons Carbon/Yr	405 M tons Carbon/Yr	395 M tons Carbon/Yr
Actual	400 M tons Carbon/Yr	400 M tons Carbon/Yr	400 M tons Carbon/Yr	400 M tons Carbon/Yr	405 M tons Carbon/Yr	405 M tons Carbon/Yr		
Status	Met	Met	Met	Met	Met	Met		
Trend	<ol style="list-style-type: none"> 1) 6 years of data available 2) Maintain Standards trend 3) Positive trend 4) Little variability 							
Explanation (if not met in FY 2014)	The uncertainty has started to increase as the network contracts and modeling efforts stagnate.							
Information Gaps	In FY 2012, NOAA reduced observations and Carbon Tracker enhancements. With fewer observations across the North American continent, the carbon system is inherently less accurate in determining sources and sinks. Coupled with fewer CarbonTracker enhancements to deal with reduction in density of observations, the uncertainty will start to increase as the							

	network contracts and the modeling effort stagnates.
Validation and Verification	
Data Source	NOAA's Global Carbon Cycle Research Program
Frequency	Annual
Data Storage	NOAA's Earth System Research Laboratory
Internal Control Procedures	Quality assurance and calibration against known standards performed by NOAA
Data Limitations	Number of tall tower/aircraft sites and our ability to incorporate these data into advanced carbon models
Actions to be Taken	None

Indicator	3.1g - Error in Global Measurement of Sea Surface Temperature							
Description	<p>This measure is intended to document progress in accurately measuring the global sea surface temperature (SST) using in-situ drifting buoys to verify that satellite SST data are accurate and representative. This reflects how improvements in ocean observations will decrease the uncertainty in global sea surface temperature measurements, which will ultimately play a role in calculations of the ocean-atmosphere exchange of heat and the heat storage in the global ocean. The sea surface, covering over 70% of the Earth surface, has a tremendous influence on global climate because it is where the atmosphere responds to the ocean via the transfer of heat either to or from the atmosphere. Since sea surface temperature is measured by buoys, ships, and satellites, this performance measure is well-suited as an indicator of the effectiveness of our integrated ocean observing system and the more accurate estimates of sea surface temperature will improve our ability to detect changes in the climate system. The goal is to reach an indicator value of 0.3 degrees Celsius, which has been specified by the international Global Ocean Observing System (GOOS) as the required accuracy for measurement of sea surface temperature.</p>							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	0.50C	0.53C	0.50C	0.50C	0.50C	0.63C	0.59C	Discontinued as a GPRA
Actual	0.50C	0.50C	0.51C	0.56C	0.66C	.63C		
Status	Met	Met	exceeded	Met	Not met	Met		
Trend	<ol style="list-style-type: none"> 1) 6 years of data available 2) Variable trend 3) Negative trend. 4) Some degree of variability 							
Adjustments to targets	Starting in 2013, the transmitters used to measure sea surface temperature were no longer available. In addition, there was a drifter shortage in 2013 along with a spending freeze during Q1/Q2 in FY 2013. Due to the FY 2013 actuals, it was determined that the FY 2014-2016 targets needed to be adjusted.							
Notes	The SST bias results are showing a steady drop (improvement) as the global drifter array has been restored to its designed capacity. Since April, when we reached our goal of 1250 drifters, the array has continued to grow and we've been able to turn more attention to getting gaps filled while we can scale back deployments in well-sampled regions. Problems with defective transmitters on the buoys are being addressed and deployed as budgets and cruise schedules allow.							

Information Gaps	Success in this performance measure requires the maintenance and increase of in situ ocean sensors. A predictive understanding of the Earth's climate is critically dependent on quantitative measurements of ocean parameters - the ocean is second only to the sun in effecting climate change and variability.
Validation and Verification	
Data Source	Office of Oceanic and Atmospheric Research's Climate Program Office (CPO)
Frequency	Quarterly
Data Storage	Office of Oceanic and Atmospheric Research's (OAR) CPO
Internal Control Procedures	Quarterly reporting mechanism on uncertainty in sea surface temperature measurements
Data Limitations	Number of deployed observing platforms in the global ocean
Actions to be Taken	None

Indicator	3.1h - Annual percentage of U.S. states and territories that use NOAA climate information and services to improve decision-making in the face of a changing climate (Pilot performance measure)							
Description	<p>Number of states and territories where climate information is integrated into state and territory planning and decision making (e.g., changes in policies, plans, and actions), as well as indicators of success such as training and technical assistance. Percentage of improvement in state and territory resilience to climate hazards.</p> <p>This indicator shows the societal benefit derived from the use of NOAA climate information in public decision making in states and territories. This performance measure will track the numbers of states and territories that are benefiting from the inclusion of NOAA climate information in their decision making processes. It will also show how these decisions lead to better results or improved decisions based on inclusion of this climate information.</p> <p>The measure accounts for all 50 states and five U.S. territories.</p>							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	22%	22%	24%	25%	Discontinue as GPRA
Actual	N/A	N/A	N/A	22%	22%	24%		
Status				Met	Met	Met		
Trend	Positive							
Actions to be taken / Future Plans	Tracking and reporting will be conducted for planned activities from at least five NOAA programs including Regional Integrated Sciences and Assessments (RISA), Sector Applications Research Program (SARP), NOS coastal programs, National Integrated Drought Information System (NIDIS), and Regional Climate Centers (RCC) (other programs will be added as the measure is developed).							
Information Gaps	FY 2012 is the first year that this performance measure was fully implemented and is therefore established as the baseline year. The targets provided are estimated based on both established and growing programs that contribute to this measure.							

Validation and Verification	
Data Source	Office of Oceanic and Atmospheric Research (OAR) Climate Program Office (CPO), National Environmental Satellite, Data, and Information Service (NESDIS), National Ocean Service (NOS). Tracking and reporting will be conducted for planned activities from at least five NOAA programs including Regional Integrated Sciences and Assessments (RISA), Sector Applications Research Program (SARP), NOS coastal programs, National Integrated Drought Information System (NIDIS), and Regional Climate Centers (RCC) (other programs will be added as the measure is developed).
Frequency	Annual
Data Storage	Office of Oceanic and Atmospheric Research (OAR) Climate Program Office (CPO), NESDIS, NOS.
Internal Control Procedures	Activities to be counted will include those that are adopted by states or regions for use in policies that directly address climate change impacts. An annual progress calculation in the demonstration phase will translate indicator data into target results. Assessment methods will be periodically reviewed for validation and verification.
Data Limitations	Potentially limited by ability to collect information from external sources such as state climatologists and other state and regional organizations.
Actions to be Taken	This is a pilot measure. As the measure is developed and implemented, changes will be made to refine it. The target baseline will be established in FY 2012.

Indicator	3.1i - Improved climate model performance and utility based on model advancements (planned milestones) and climate assessments benefited (Pilot performance measure).							
Description	<p>This measure will reflect the major advancements made in the long-term development of models and will reflect the value of models as the outputs are used in major assessments such as the Intergovernmental Panel on Climate Change (IPCC) and the United States Global Change Research Program (USGCRP) National Assessment. Models are used to further research and discovery, are considered valuable for analysis in assessments, and improve the value of assessments for policy makers. A major outcome of this work will be improved regional forecast/ prediction/ projection products based on improved models and methodologies. This measure is based on the number of model advancements, model evaluations, and assessments and publications that use the model outputs.</p> <p>A. Model Advancements. The Geophysical Fluid Dynamics Laboratory (GFDL) will count and report on the significant model development milestones met based on their model development plans. This will document the milestones established for each model, preferably milestones that achieve significant advances such as changes in parameterizations and model simulations completed for assessments, performance evaluations, and upgrades.</p> <p>B. Climate Assessments will be counted that use NOAA climate model outputs, or publications based on them, in their production, including regional and sectoral assessments. This component of the measure will indirectly measure value of the research performed and the information provided.</p>							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	24	24	24	24	Discontinued as GPRA
Actual	N/A	N/A	N/A	24	28	24		
Status	N/A	N/A	N/A	Met	Exceeded	Met		
Trend	Positive							
Validation and Verification								

Data Source	Office of Oceanic and Atmospheric Research (OAR) GFDL, CPO, NCEP, and ESRL.
Frequency	Annual (possibly quarterly)
Data Storage	Office of Oceanic and Atmospheric Research (OAR) GFDL
Internal Control Procedures	Tracking and reporting will be conducted for planned modeling activities in two areas: 1) Number of model advancements and 2) assessments and publications that use the model outputs. An annual progress calculation in the demonstration phase will translate indicator data into target results. Assessment methods and criteria will be periodically reviewed for validation and verification.
Data Limitations	None
Actions to be Taken	This is a pilot measure. As the measure is developed and implemented, changes will be made to refine it. The target baseline was established in FY12.

Indicator	3.1j - Percentage improvement in the Quality of Relationship between engagement personnel and the public they serve. (Pilot performance measure)							
Description	<p>The Quality of Relationship (QoR) instrument measures, are comprised of, the following five elements: awareness, trust, satisfaction, use/usability, and control mutuality. Like the American Customer Satisfaction Index, the QoR instrument produces an index score from 0-100. The goal is to capture the increasing Quality of Relationship for each of our priority publics as they access, understand, and integrate climate information, products, and services into the tools and algorithms they use for decision-making, ultimately resulting in an increase in the frequency and proficiency with which they use NOAA climate data and services in their lives and livelihoods. The measure will be a combination of surveys and focus groups to establish a baseline measurement and perform annual follow-up measurements to determine the annual percentage improvement in the Quality of Relationship as climate services are increased and improved. The Quality of Relationship (QoR) instrument measures are Comprised of the following five elements: awareness, trust, satisfaction, use/usability, and control mutuality. Like the American Customer Satisfaction Index, the QoR instrument produces an index score from 0-100. The goal is to monitor and increase the Quality of Relationship with each of our priority publics as they access, understand, and integrate climate information, products, and services into their decision-making. The first QoR measure was made via a combination of a survey and focus groups, and established a baseline measurement of 72.6. We will perform follow-up measurements every other year to determine whether and how much we are improving our Quality of Relationship with our target publics.</p>							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	75%	N/A	Discontinued as a GPRA
Actual	N/A	N/A	N/A	72.6%	N/A	75.2%	N/A	
Status						Exceeded		
Trend	Not enough data to determine a trend							
Actions to be taken / Future Plans	<p>The Climate Portal's initial "baseline" QoR score in FY 2012 was 72.6. Because it is both costly and time consuming to measure QoR, we plan to make updated measurements every other year, which gives us the intervening years to apply what we learn to the Climate.gov portal's design, scope, and functionality before we begin the next measurement cycle. Thus, our performance target will be to increase by 2 index points over the previous measure in subsequent years, as shown in the table above. This measure is in addition to our other Portal performance measures, which we make quarterly, including: unique visits per month and numbers of new content items published.</p>							

Validation and Verification	
Data Source	NOAA's Climate Program Office of Oceanic and Atmospheric Research (OAR) Climate Program Office (CPO)
Frequency	Biennial
Data Storage	Office of Oceanic and Atmospheric Research (OAR) Climate Program Office (CPO)
Internal Control Procedures	Biennial surveys will be conducted according to existing rules and established procedures. Assessment methods and criteria will be periodically reviewed for validation and verification.
Data Limitations	None
Actions to be Taken	This is a pilot measure. As the measure is developed and implemented, changes will be made to refine it. The target baseline was established in FY12.

Indicator	3.1I - Number of forecast and mission improvements, based on NOAA research, to weather applications at operational US weather services and in the US weather commercial sector.							
Description	<p>The measure captures the count of significant and discrete NOAA research and development products that have transitioned to application at operational US weather services and in the US weather commercial sector. Examples of applications and the types of products transitioned include the following:</p> <ol style="list-style-type: none"> 1. Transitions to operations (e.g., new observing technologies enter operations, updated models enter operations) 2. Providing information for decision-makers (e.g., completion of peer-reviewed assessments, external development of OAR resource management policies based on research findings.) 3. Transition to commercial applications(e.g., patent, new technology used in a commercial product) 							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	11	12	9
Actual	N/A	N/A	N/A	N/A	N/A	11		
Status						Met		
Trend	Not enough data to determine a trend							
Validation and Verification								
Data Source	NOAA's Office of Oceanic and Atmospheric Research (OAR)							
Frequency	Quarterly							
Data Storage	Office of Oceanic and Atmospheric Research (OAR)							
Internal Control Procedures	Assessment methods and criteria will be periodically reviewed for validation and verification.							
Data Limitations	None							
Actions to be Taken	This is a pilot measure. As the measure is developed and implemented, changes will be made to refine it.							

Indicator	3.1m - Annual economic and societal benefits from Sea Grant activities as measured by jobs created/retained (reported by each individual Sea Grant College)							
Description	This measure highlights change in jobs that communities or businesses generate or save due to Sea Grant assistance (i.e., providing information to help communities, industries or businesses expand, make better decisions or avoid mistakes). Sea Grant provides the information and training that informs business decisions, and in some cases firms create or sustain jobs as a result. A job created is a new position created and filled as a result of Sea Grant activities. An existing position that is filled with a Sea Grant-trained applicant should not be reported in this measure. A job sustained is an existing, filled position that is sustained as a direct result of Sea Grant activities. A job cannot be reported as both created and sustained in the same year.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	3,500	3,700	4,000	4,000	9,600	9,600	9,600
Actual	N/A	3,995	4,375	3,800	15,000	17,500		
Status		Exceeded	Exceeded	Not Met	Exceeded	Exceeded		
Trend	Not enough data to determine a trend							
Validation and Verification								
Data Source	NOAA's Office of Oceanic and Atmospheric Research (OAR) National Sea Grant College Office							
Frequency	Annually							
Data Storage	Office of Oceanic and Atmospheric Research (OAR) National Sea Grant College Office							
Internal Control Procedures	Assessment methods and criteria will be periodically reviewed for validation and verification.							
Data Limitations	Current efforts are focused on better defining the measure standards.							
Actions to be Taken	This is a pilot measure. As the measure is developed and implemented, changes will be made to refine it.							
Indicator	3.1n Number of publications that contribute to improved understanding of the climate system_ (Pilot performance measure).							
Description	This measure tracks the publications that result from awards made by OAR's Climate Program Office. This includes publications of climate related work that contributes to the understanding of the climate system and includes research on climate observations, climate modeling, earth system science and processes, and climate and societal interactions and applications. Publications are made throughout the fiscal year but are reported once a year as part of the grant agreement.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	100	275	300
Actual	N/A	N/A	N/A	N/A	N/A	100		
Status	N/A	N/A	N/A	N/A	N/A	Met		
Trend	n/a							
Actions to be taken / Future Plans	None							
Validation and Verification								

Data Source	Office of Oceanic and Atmospheric Research's Climate Program Office (CPO)
Frequency	Quarterly
Data Storage	Office of Oceanic and Atmospheric Research's (OAR) CPO
Internal Control Procedures	Quarterly reporting mechanism on number of publications by CPO-funded awards as reported by CPO program managers as part of grants management and grants database.
Data Limitations	None
Actions to be Taken	This is a pilot measure. As the measure is developed and implemented, changes will be made to refine it.

Objective 3.2: Improve preparedness, response, and recovery from weather and water events by building a Weather-Ready Nation

Indicator	3.2b - Severe Weather Warnings Tornadoes - Storm Based Lead Time (Minutes), Accuracy (%), and False Alarm Rate (%)							
Description	<p>NWS forecasters issue approximately 3,300 Tornado Warnings per year, primarily between the Rockies and Appalachian Mountains. Tornado warning statistics are based on a comparison of warnings issued and weather spotter observations of tornadoes and/or storm damage surveys from Weather Forecast Offices in the United States. The metric includes all warned tornado events and all unwarned tornado events.</p> <p>The lead time for a tornado warning is the difference between the time the warning was issued and the time the tornado affected the area for which the warning was issued. The lead times for all tornado occurrences within the U.S. are averaged to get this statistic for a given fiscal year. This average includes all warned events with zero lead times and all unwarned events. Accuracy or probability of detection is the percentage of time a tornado actually occurred in an area that was covered by a tornado warning. The difference between the accuracy percentage figure and 100% represents the percentage of events occurring without warning. The false alarm rate is the percentage of times a tornado warning was issued but no tornado occurrence was verified.</p> <p>Tornado Warning Lead Time for an individual event is not available to an accuracy of half a minute of a report indicating a tornado has touched down. Although we record the timing of the warning transmission to the nearest second, we rarely have more than an estimate to the nearest minute of the time a tornado touches down. While we can compute the average tornado warning lead time to a precision of 30 second increments or less, the reporting of this value implies greater accuracy in the data than currently exists. The annual variation of tornado warning lead time is more closely tied to the variation in storm type than in the performance. Generally, long track tornadic supercell storms are easier to detect and track than tornadoes that develop in squall lines or tropical storms. Changes in performance can be detected over a period of several years, and are better measured to an accuracy of minutes.</p>							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Lead Time (min)								
Target	12	12	12	13	13	13	13	13
Actual	11	14	15	11	9	9		
Status	Met	Exceeded	Exceeded	Not Met	Not Met	Not Met		
Accuracy (%)								
Target	69	70	70	72	72	72	72	72
Actual	65	71	75	69	57	60		
Status	Met	Exceeded	Exceeded	Met	Not Met	Not Met		
False Alarm Ratio								

(%)								
Target	72	72	72	72	72	72	71	71
Actual	77	74	73	73	74	70		
Status	Met	Met	Met	Met	Not Met	Exceeded		
Trend	Varying							
Explanation (if not met in FY 2014)	<p>Although NWS missed the FY 2014 goals for Tornado Warning Lead Time and Tornado Warning Accuracy for the first time in the last 10 years, we exceeded our Tornado Warning False Alarm Rate Goal.</p> <p>Missing the Tornado Warning Lead Time and Tornado Warning Accuracy goals in FY 2014 can be attributed to a general lack of organized convection. In comparison to an average year where the Nation experiences an average of 1,461 tornadoes (average for FY 2008-FY 2013), FY 2014 had a total of 1,027 tornadoes. The tornadoes in FY 2014 were fewer long track, violent supercell tornadoes, and percentage-wise were more weak short-lived tornadoes. The Nation experience had less than 65% of the number of tornadoes occurring in an average year, and less than 40% of the number of tornadoes that occurred in FY 2011 when NWS last exceeded Tornado Warning Lead Time and Tornado Warning Accuracy goals.</p>							
Actions to be taken / Future Plans	Automated Volume Scan Evaluation and Termination (AVSET), an advanced radar scanning method, has been implemented at all NEXRAD Dual Pol radar sites. AVSET can shorten scan time and give forecasters more information about developing tornado signatures nearer to the ground especially when storms are farther away from the radar location. Additionally, NOAA plans to deploy Supplemental Adaptive Intra-Volume Low-Level Scan (SAILS) in FY 2014. SAILS, scanning method used during severe weather, in combination with AVSET will further increase frequency of low-to-the ground Dual Pol radar scans.							
Adjustments to targets	No changes were made to this indicator from previous Congressional submission.							

Validation and Verification

Data Source	National Weather Service (NWS) Weather Forecast Offices
Frequency	Monthly
Data Storage	NWS Headquarters and the Office of Climate, Water, and Weather Services (OCWWS)
Internal Control Procedures	Verification is the process of comparing the predicted weather to reported event. Warnings are collected from each NWS office, quality controlled, and matched to confirmed tornado reports. Reports are validated by WFOs using concise and stringent guidelines outlined in NWS Instruction 10-1605. OCWWS monitors monthly performance throughout the NWS, and the regional headquarters monitor performance within their respective regions.
Data Limitations	Number of tornado events each fiscal year generally varies from 1,000 to 1,800. A higher number of annual events typically indicate that tornadic outbreaks occurred. Forecasters perform better during large outbreaks due a high level of situational awareness, well defined tornadic radar images, and increased confidence based on tornado reports which verify warnings. These three factors lead to longer lead times and higher accuracy. The peak level of tornadic activity occurs April through June each year. A secondary peak activity time period is October and November in the southeastern United States.
Actions to be Taken	Review all warnings and storm data after each event to learn from past experiences. Use the information learned to improve forecast skill and product quality in the future.

Indicator	3.2c Severe Weather Warnings for Flash Floods - Lead Time (minutes) and Accuracy (%)
Description	For each reported flash flood event, the flash flood warning lead-time is the difference in minutes between the issuance of a flash flood warning and the onset of a geographically corresponding flash flood event. The lead-times for all flash flood events, within the United States and territories served by the National Weather Service, are averaged to calculate the national average flash flood warning lead-time metric for a given fiscal year. This average includes all warned events with zero lead times and all

	<p>unwarned events. The flash flood warning accuracy (probability of detection for storm-based warnings) represents the percentage, in both space and time, for which a flash flood event was warned.</p> <p>Both flash flood warning lead-time and accuracy metrics are cumulative over the fiscal year and, when reported prior to the end of the year, represent the year-to-date performance.</p>							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Lead Time (min)								
Target	49	38	38	42	58	60	61	61
Actual	66	72	73	53	63	55		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Met		
Accuracy (%)								
Target	90	72	72	74	74	74	76	76
Actual	91	80	80	76	78	78		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Varying							
Actions to be taken / Future Plans	<p>NOAA anticipates future performance improvements from:</p> <ul style="list-style-type: none"> • effective use of advanced data from Next-Generation Radar (NEXRAD), which were upgraded with a dual-polarization capability in FY 2013; • implementation of the enhanced NEXRAD Product Improvement (NPI) algorithm and associated enhancement to quantitative precipitation estimation and forecast software including MultiSensor Precipitation Estimator (MPE), and High-Resolution Precipitation Estimator and Nowcaster (HPE/HPN) in FY2015; • implementation of new water resource capabilities including distributed hydrologic modeling, which provides streamflow predictions at locations without water gages; and continued training on precipitation estimation techniques, software enhancements and water resources modeling capabilities, and decision support. 							
Adjustments to targets	No changes were made to this indicator from previous Congressional submission.							
Validation and Verification								
Data Source	National Weather Service (NWS) Field Offices							
Frequency	Monthly							
Data Storage	NWS Headquarters and the Office of Climate, Water, and Weather Services (OCWWS)							
Internal Control Procedures	While long-term performance has shown a steady increase in forecast accuracy, inter-annual scores tend to fluctuate due to varying weather patterns from year to year. Some weather patterns are more difficult to forecast than others. Typically, 1st and 2nd Quarters have higher lead times, while the 3rd and 4th Quarters, during the convective season, bring the annual average down.							
Data Limitations	There is a natural inter-annual variability for both lead time and accuracy. Typically, 1st and 2nd Quarters have higher lead times, while the 3rd and 4th Quarters, during the convective season, bring the annual average down. Precipitation generated in the Fall and Winter in the U.S. is typically produced by larger (synoptic) scale, more predictable events while precipitation generated in the Spring and Summer is typically produced by smaller (mesoscale) scale, convective events (e.g., thunderstorms) which are less predictable. A notable exception to this general rule is land falling tropical systems (i.e., tropical storms							

	and hurricanes) whose predictability is much higher than that of a typical warm season thunderstorm.
Actions to be Taken	Routine review of warnings and verifying events collected by storm data to characterize program performance, and identify gaps to be addressed by training or technological investments.

Indicator	3.2d Hurricane Forecast Track Error (48-Hour)							
Description	The public, emergency managers, and government institutions at all levels in this country and abroad, and the private sector use NOAA tropical cyclone forecasts to make decisions on life and property. A tropical cyclone is a rotating, organized system of clouds and thunderstorms that originates over tropical or subtropical waters and has a closed low-level circulation. This goal measures the difference between the projected location of the center of these storms and the actual location in nautical miles (nm) for the Atlantic Basin. The targets are computed by averaging the differences (errors) for all the 48-hour forecasts occurring during the calendar year. This measure can show significant annual volatility based on the frequency and type of hurricanes that occur in a given season. Projecting the long-term trend, and basing out-year goals on that trend, is preferred over making large upward or downward changes to the targets each year.							
	CY 2009	CY 2010	CY 2011	FY 2012	CY 2013	CY 2014	CY 2015	CY 2016
Target	108	107	106	84	83	81	80	78
Actual	70	89	71	69	103	77**		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Not Met	Exceeded		
Trend	Positive							
Actions to be taken / Future Plans	The Hurricane Forecast Improvement Project (HFIP) has made significant progress towards the development of a next generation hurricane forecast system (HFS). Components of this HFS, such as global data assimilation system and improvements to the Weather Research and Forecasting model for Hurricanes (HWRF), have been transitioned to operations. NWS anticipates meeting HFIP goals of 20% improvement for both track and intensity in a demonstration mode using the prototype hurricane forecast system by the end of the 2015 hurricane season. The current prototype hurricane forecast system already supports track goals, but additional development and testing is needed to reliably achieve intensity goals.							
Adjustments to targets	No changes were made to this indicator from previous Congressional submission.							
Notes	** These values do not encompass the entire Calendar Year 2014 Hurricane Season which spans from June 1, 2014 and ends on November 30, 2014. CY 2014 GPRA preliminary values will be available in January 2015 and final values will be available in February 2015							
Validation and Verification								
Data Source	National Weather Service (NWS)/National Centers for Environmental Prediction/National Hurricane Center (NHC)							
Frequency	Annual							
Data Storage	National Weather Service (NWS)/National Centers for Environmental Prediction/National Hurricane Center (NHC)							
Internal Control Procedures	Evaluation of forecast track errors is very accurate because the location of where hurricanes form is well known. However, factors other than forecast performance can affect forecast errors, even on an annual-average basis. Some systems are inherently more difficult to forecast than others. For example, hurricanes are easier to forecast than tropical storms or tropical depressions; storms at low-latitudes are easier to forecast than those at high latitudes. Thus the character of the season is a big driver in the value of this particular forecast performance measure.							

Data Limitations	None
Actions to be Taken	NWS/NHC prepares a comprehensive annual forecast verification report on the performance of the official forecasts and the performance of the numerical guidance.

Indicator	3.2e Hurricane Forecast Intensity Error (48 hour)							
Description	The public, emergency managers, and government institutions at all levels in this country and abroad, and the private sector use NOAA tropical cyclone intensity forecasts to make decisions on life and property. This measure represents the difference between the projected intensity of these storms and the actual intensity in knots (kt) for Atlantic Basin tropical cyclones (i.e., tropical depressions, tropical storms, and hurricanes). The measure is validated by computing the average difference (error) for all the 48-hour forecasts occurring during a calendar year. Because tropical cyclones are relatively rare events, this measure can show significant annual volatility. As a consequence, projecting the long-term trend (over a decade or more) and basing out-year goals on that trend is preferred over making upward or downward changes to the targets on an annual basis.							
	CY 2009	CY 2010	CY 2011	CY 2012	CY 2013	CY 2014	CY 2015	CY 2016
Target	13	13	13	15	12	12	10	9
Actual	18	16	14	12	10.5	14**		
Status	Not met	Not met	Not met	Exceeded	Exceeded	Not Met**		
Trend	Stable with variability							
Explanation (if not met in FY 2014)	**These values do not encompass the entire Calendar Year 2014 Hurricane Season which spans from June 1, 2014 and ends on November 30, 2014. CY 2014 GPRA preliminary values will be available in January 2015 and final values will be available in February 2014. A detailed analysis of the CY 2014 season including an explanation for the GPRA not being met has not yet been completed. This information will be available in January 2015.							
Actions to be taken / Future Plans	The Hurricane Forecast Improvement Project (HFIP) has made significant progress towards the development of a next generation hurricane forecast system (HFS). Components of this HFS, such as global data assimilation system and improvements to the Weather Research and Forecasting model for Hurricanes (HWRF), have been transitioned to operations. NWS anticipates meeting HFIP goals of 20% improvement for both track and intensity in a demonstration mode using the prototype hurricane forecast system by the end of the 2015 hurricane season. The current prototype hurricane forecast system already supports track goals, but additional development and testing is needed to reliably achieve intensity goals.							
Adjustments to targets	No changes were made to this indicator from previous Congressional submission.							

Validation and Verification

Data Source	National Weather Service (NWS)/National Centers for Environmental Prediction/National Hurricane Center (NHC)
Frequency	Annual
Data Storage	National Weather Service (NWS)/National Centers for Environmental Prediction/National Hurricane Center (NHC)
Internal Control Procedures	None
Data Limitations	Tropical cyclone intensity, defined as the maximum 1-minute mean wind at an elevation of 10 m associated with the circulation of the cyclone, is a difficult quantity to measure. NHC intensity estimates are believed to be accurate to within about 10% (e.g., 8 kt for an 80 kt hurricane). The current

	targets are above, but are beginning to approach, this level of uncertainty. While not a problem at present, significant downward adjustments to the targets will not be attainable (or verifiable) without advances in our ability to monitor tropical cyclones.
Actions to be Taken	None

Indicator	3.2f Accuracy (%) (Threat Score) of Day 1 Precipitation Forecasts							
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Description	This performance measure tracks the ability of the weather forecasters of NOAA's Hydrometeorological Prediction Center (HPC) to predict accurately the occurrence of one inch or more of precipitation (rain or the water equivalent of melted snow or ice pellets) twenty-four hours in advance across the contiguous U.S. Through this measure, the HPC focuses on relatively heavy amounts of precipitation, usually a half inch or more in a 24-hour period (short-term flood and flash flood warnings), because of the major safety and economic impacts such heavy precipitation can have in producing flooding, alleviating drought, and affecting river navigation.							
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	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	29	30	30	31	31	32	32	33
Actual	29	35	34	33	33	33		
Status	Met	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							

Actions to be taken / Future Plans	<p>The following actions are being undertaken to meet out-year goals for this measure:</p> <ul style="list-style-type: none"> • NOAA Weather and Climate Operational Supercomputer System will be upgraded in its computational speed and memory storage capabilities allowing the running of more sophisticated numerical modeling systems of the hydrosphere. • During the next several years, NWS will implement a number of numerical weather prediction enhancements aimed at improving heavy precipitation forecasts, including increasing numerical model resolution, increasing the number of ensemble forecast members for both short- and medium-range forecast models, and improving the assimilation of satellite and other observational data used as the starting point for the numerical forecasts. • Improved training on the use of new model information will assist forecasters in making improved precipitation predictions. 							
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Adjustments to targets	No changes were made to this indicator from previous Congressional submission.							
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Validation and Verification								
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Data Source	National Weather Service/National Centers for Environmental Prediction/Weather Prediction							
Frequency	Monthly							
Data Storage	National Weather Service/National Centers for Environmental Prediction/Weather Prediction							
Internal Control Procedures	The 50-year record of performance indicates there can be considerable variation in the performance measure from year to year. This variation is heavily dependent on the variation of weather regimes over the course of a year and from year to year. Scores are usually lower, for example, in years with considerable summertime precipitation not associated with tropical cyclones.							
Data Limitations	The Threat Score, an accuracy indicator, varies from 0, representing zero correct forecasts, to 100 representing an exact forecast of the observed areas of 1 inch or more of precipitation over the conterminous U.S. The scores vary seasonally during the year with higher values generally occurring during the fall							

	and winter when weather systems are generally larger and better defined and lower values occurring in the spring and summer when precipitation tends to be more scattered and on a smaller geographic scale.
Actions to be Taken	NOAA will implement planned weather observation and numerical modeling improvements along with ongoing research projects. The Hydrometeorological Testbed at WPC will be expanded to accelerate the transition of research and development advancements into the operational prediction of precipitation.

Indicator	3.2g Winter Storm Warnings - Lead Time (Hours) and Accuracy (%)							
Description	A winter storm warning provides NOAA customers and partners advanced notice of a hazardous winter weather event that endangers life or property, or provides an impediment to commerce. Winter storm warnings are issued for winter weather phenomena like blizzards, ice storms, heavy sleet, and heavy snow. This performance indicator measures the accuracy and advance warning lead time of winter storm events. Improving the accuracy and advance warnings of winter storms enables the public to take the necessary steps to prepare for disruptive winter weather conditions.							
Lead Time (hrs)	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	15	15	15	19	20	20	20	20
Actual	18	21	20	18	22	22		
Status	Exceeded	Exceeded	Exceeded	Met	Exceeded	Exceeded		
Accuracy (%)								
Target	90	90	90	90	90	90	90	90
Actual	90	88	83	89	89	89		
Status	Met	Met	Not Met	Not Met	Met	Met		
Trend	Positive							
Actions to be taken / Future Plans	<p>Improvement to Weather Research and Forecasting (WRF) model resolution will enable improved winter storm prediction. Action included follow.</p> <ul style="list-style-type: none"> • Implementation advanced ensemble modeling techniques providing probabilistic information applicable to issuing winter storm warnings. • Effective use of advanced data from Next-Generation Radar (NEXRAD), which was upgraded with dual-polarization capability in FY 2013. Improved use of satellite data, and access to Terminal Doppler Weather Radar (TDWR) data which will enables forecasters to observe the formation and dissipation of mesoscale snow bands, which result in locally higher snow accumulation (such as lake effect snow). • NOAA operational Central Computer System will be upgraded in its computational speed and memory storage capabilities allowing the running of more sophisticated numerical modeling systems of the hydrosphere. Improved training on the use of new model information will assist forecasters in making improved predictions. 							
Adjustments to targets	No changes were made to this indicator from previous Congressional submission.							
Notes	Indicator is fairly stable, however there are inter-annual variability.							
Validation and Verification								
Data Source	National Weather Service (NWS) Field Offices							
Frequency	Monthly							
Data Storage	NWS Headquarters, NWS Regional Headquarters, and the Office of Climate, Water, and Weather Services (OCWWS)							

Internal Control Procedures	While long-term performance has shown a steady increase in forecast accuracy, inter-annual scores tend to fluctuate due to varying weather patterns from year to year. Some weather patterns are more difficult to forecast than others.
Data Limitations	The number of winter storm events each fiscal year varies from 3,500 to 7,800. Forecasters perform better during large winter storm events due to consistency in model guidance, well defined winter storm radar images, and increased confidence based on winter storm reports. These three factors lead to longer lead times and higher accuracy. The peak level of winter storm events occurs December through March—mainly in the second quarter. Storms that occur in the first quarter—early in the winter season (October through December)—are difficult to forecast due to marginal cold air in low levels and local impacts of relatively warm water bodies, including oceans, bays, lakes, and rivers. Storms that occur in the third and fourth quarters (April through September) are rare and difficult to predict due to warming low levels and greater insolation which strongly influences daytime accumulations. Also, some areas, especially in the West, have considerable year to year and sometime multi-year variability.
Actions to be Taken	Review all warnings and storm data after each event to learn from past experiences. Use the information learned to improve forecast skill and product quality in the future.

Indicator	3.2h Marine Wind - Percentage of Accurate Forecasts & Marine Wave Heights - Percentage of Accurate Forecasts							
Description	These performance indicators measure the accuracy of wind speed and wave height forecasts, which are important for marine commerce. These measures represent the Percentage of Accurate Forecasts, and accuracy is defined in terms of error. For the marine wind forecast, if the error is less than 5 knots, the forecast is accurate. For the wave height forecast, if the error is less than 2 feet, the forecast is accurate. These measures use complex skill scores to analyze individual wind speed and wave height components.							
Wind	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	69	69	69	71	74	74	75	75
Actual	74	74	75	76	76	78		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Wave Heights								
Target	74	74	74	75	75	76	76	76
Actual	79	76	77	78	81	84		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Actions to be taken / Future Plans	Improvement efforts for marine forecast include efforts to expand use of local weather models such the Weather Research and Forecast (WRF) model at all marine Weather Forecast Offices. Additionally NOAA's marine program is perusing the use of new marine observations such as regional mesonets, expansion of National Water Level Observation Network (NWLON), Physical Oceanographic Real-Time System (PORTS), and National Data Buoy Center (NDBC) observations that fill in significant data gaps. NOAA continues to focus on forecaster training in the Rip Currents Forecasting, Shallow Water Waves, Wave Life Cycle I and II, Wave Types and Characteristics, and Winds in the Marine Boundary Layer topic areas.							
Adjustments to targets	No changes were made to this indicator from previous Congressional submission.							

Validation and Verification	
Data Source	National Weather Service (NWS) Field Offices and national centers
Frequency	Monthly
Data Storage	NWS Headquarters, NWS Regional Headquarters, and the Office of Climate, Water, and Weather Services (OCWWS)
Internal Control Procedures	Due to the large volume of data gathered and computed, documentation for the accuracy of forecast for wind and waves cannot be finalized until 1-2 months into the following fiscal year. Out-year measures take into account new satellites, improved forecast models, new and continued research activities, sustainment of critical observing systems, and new and ongoing forecaster training. Within a Fiscal Year, scores drop in the late fall and winter then rise in late spring and summer. This is due to more volatile marine winds in winter.
Data Limitations	Marine wind speed and wave height forecast scores naturally vary (percent correct +/- 4% per year) due to fluctuations in the number of volatile wind speed/wave height conditions from year to year. Wind speed forecasts with an error margin of less than 5 knots are increasingly difficult to make as conditions increase from gale to storm to hurricane force speeds. Wave height forecasts with an error margin of less than 2 feet are increasingly difficult to make as swell and wind driven wave conditions increase and interact. In general, the more volatile the conditions, the greater the range in observed wind speeds and wave heights, and the more difficult to forecast wind speeds and wave heights.
Actions to be Taken	NOAA will continue to enhance its marine observation network, upgrade new forecaster models, and continue new and ongoing forecaster training.

Indicator	3.2i Aviation Forecast Accuracy of Ceiling/Visibility (1 mi/500 ft to less than 3 mi/1000ft) & False Alarm Rate (%)							
Description	<p>Visibility and cloud ceiling forecasts are critical for the safety of aircraft operation. Accurately forecasting the occurrence of Instrument Flight Rule (IFR) conditions significantly improves general and commercial aviation flight planning capabilities, improving both flight safety and efficiency. IFRs are rules and regulations established by the Federal Aviation Administration that govern flight under conditions where pilots navigate primarily through instrument guidance. The Accuracy or Probability of Detection is the number of times IFR occurs compared to the number of times predicted. For this measure, the false alarm ratio represents the number of times IFR does not occur to the number of times predicted. Greater accuracy and minimized false alarm rates result in safer flights and fewer flight delays; and conversely, poorer accuracy and increased false alarm rates result in a greater incidence of unnecessary flight delays. The forecast frequency of IFR occurrence and the observed frequency of IFR occurrence are within 0.5% of each other, indicating that forecast errors are likely in the timing of onset and duration rather than solely event occurrence.</p>							
Accuracy (%)	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	64	65	65	65	65	65	65	65
Actual	63	65	63	61	62	62		
Status	Met	Met	Met	Not Met	Not Met	Met		
False Alarm Ratio (%)	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	44	43	42	41	40	38	38	38
Actual	39	38	36	39	39	36		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Stable							
Actions to be taken / Future Plans	Operational implementation of the High-Resolution Rapid Refresh (HRRR) model facilitated by the larger capacity of NOAA's operational Central Computer System will provide forecasters with improved guidance resulting in skill							

	improvements in the out years.
Adjustments to targets	No changes were made to this indicator from previous Congressional submission.
Validation and Verification	
Data Source	National Weather Service (NWS) Field Offices
Frequency	Monthly
Data Storage	NWS Headquarters, NWS Regional Headquarters, and the Office of Climate, Water, and Weather Services (OCWWS)
Internal Control Procedures	Inter-annual scores tend to fluctuate due to varying weather patterns. Some patterns are more difficult to forecast than others. Month to month variability can swing from +/- 1% to +/- 15%, with season to season variability generally +/- 7% to +/-10%, and year to year variability +/-3% for both accuracy and FAR. At the same time the percent frequency of occurrence can vary +/- 10% or greater from year to year, season to season, or month to month depending on weather patterns. Typically 3rd and 4th quarter scores during the convective season have lower accuracy and increased FAR scores than the 1st and 2nd quarter cool season months.
Data Limitations	IFR conditions occur much more frequently (by order of magnitude) during the late fall through early spring and are typically associated with winter weather. Performance metric goals tied to the frequency of occurrence of IFR conditions accounts for areas with little IFR (e.g., Pacific Region or the desert southwest) and differences between the warm and cool seasons. After accounting for the frequency of IFR occurrence, the overall performance of accuracy and FAR variability is +/-3 percent.
Actions to be Taken	Since Aviation Forecasters are already predicting IFR conditions within 0.5% of the actual frequency of occurrence, the foreseeable adjustment to performance is the application of lead-time data as developed by researchers to metrics. NWS will investigate various methods to apply the data, and develop a sound metric relating the amount of forecast overlap as shown by lead time calculations to the difference in the forecast and observed frequency of IFR occurrence. This would become a secondary metric supporting the existing POD and FAR GPRA measures.

Indicator	3.2j Geomagnetic Storm Forecast Accuracy (%)							
Description	<p>This performance measure tracks the ability of forecasters at NOAA's Space Weather Prediction (SWPC) to accurately predict geomagnetic storms which potentially disrupt power systems, spacecraft operations, and navigation systems. The NOAA geomagnetic storm scale (G-scale) ranges from the G1 or minor level where weak power grid fluctuations can occur to the G5 or extreme level. During a G5 event, where aurora may be visible over most of the United States, the power grid can experience equipment damage causing system collapse or blackout; significant satellite damage can occur; and global positioning systems may be inaccurate or temporarily unavailable.</p> <p>Geomagnetic Storm Forecast Accuracy is the percentage of times that the 24 hour geomagnetic storm forecast is correct for the 60 most recent geomagnetic storms. The 24 hour geomagnetic storm forecast is considered accurate if a G1 or greater storm event was predicted. This calculation also includes geomagnetic storms which were not forecast. This measure is verified based on ground-based magnetometer observations. Due to the nature of the approximately 11-year solar cycle and variability of geomagnetic storm occurrence, this metric is assessed over the 60 most recent geomagnetic storms to maintain statistical significance.</p>							
		FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015
Target	N/A	N/A	N/A	N/A	N/A	51	53	53
Actual	N/A	N/A	N/A	N/A	N/A	40		
Status	N/A	N/A	N/A	N/A	N/A	Not Met		
Trend	Not enough data							

Explanation (if not met in FY 2014)	Geomagnetic storm forecasting accuracy fell short of its FY 2014 performance target. The current eleven year solar cycle (number 24) which started in January 2008 has been the least active since 1904. Only 24 solar storms occurred in FY 2014 compared to 120 storms annually during previous solar cycles. Since the GPRA score for forecasting accuracy is averaged over the previous 60 storms, this means that storms from previous years also contribute to the FY 2014 actual value. Additionally, 21 of 24 storms in FY 2014 were weaker storms, not driven by significant solar eruptions, which are more difficult to forecast. Strong storms are more easily forecast; the solar eruptions that drive them are more easily detected and the impacts more certain.
Actions to be taken / Future Plans	In FY 2015 NOAA plans to enhance physic in the WSA-Enlil Solar Wind prediction model (solar wind forecast model), and implement advanced ensemble modeling techniques to provide uncertainty and probability information and forecaster training.
Adjustments to targets	No changes were made to this indicator from the previous Congressional submission. The targets for the Geomagnetic Storm Forecast Accuracy remain steady at 53% for the FY16–FY19 time period. No significant modeling improvements are awaiting transition to operations and no significant breakthroughs in the underlying science are expected in the near-term.
Validation and Verification	
Data Source	Observational Data from the SOHO coronagraph used in the forecast process is available from NASA. Verifying data is available from USGS and worldwide magnetic observatory partners. NOAA's NWS SWPC delivers forecast information.
Frequency	Running average values for this annual measure are reported on a monthly basis.
Data Storage	NWS NCEP SWPC stores all data and forecast information. NESDIS National Geophysical Data Center archives all relevant geomagnetic storm data.
Internal Control Procedures	In order to minimize the influence of solar variability this metric is averaged over the 60 most recent storms. Additionally, SWPC focuses on minimizing the False Alarm Ratio (FAR) which is tracked internally on a monthly basis. FAR is % of times a forecast is issued and no occurrence was verified.
Data Limitations	Number of geomagnetic storms varies from year to year during the approximate 11-year solar cycle. During solar maximum, significant geomagnetic storming will occur with greater frequency. During solar minimum, long time periods will occur with little to no geomagnetic storming. For this reason, yearly changes in this measure may not be as significant as longer term trend measurements that span the natural solar cycle
Actions to be Taken	Methods to improve performance for FY 2015 and beyond: WSA-Enlil Solar Wind Model enhancements; forecaster training on improved Model interpretation and application; WSA-Enlil Solar Wind Model continuing validation and improvement; implementation of ensemble modeling techniques; interpretation and application of NASA Solar Terrestrial Relations Observatory (STEREO) observations. Note STEREO has a finite mission lifetime due to the nature of its orbit.

Objective 3.3: Strengthen the resiliency of communities and regions by delivering targeted services to build capacity

Indicator	3.3c - Annual number of Coastal, Marine, and Great Lakes Ecological Characterizations that Meet Management Needs
Description	Sound management of coastal, marine, and Great Lakes ecosystems require scientifically based-information on their condition. To provide this information, ecosystem characterizations are: 1) inclusive of the identification of the ecosystem boundaries, spatial extent, and biological, chemical, and physical characteristics that improve understanding of the history, current state, and future condition of ecosystems, cornerstones to ecosystem-based approaches to management; 2) the basis for many coastal and ocean forecasts, assessments, and management plans; and 3) conducted in response to user community demand and priorities, including NOAA management programs, significance of issue, and consequences of management action or inaction. Key parameters for characterizing conditions and developing assessments of their present “health” will be identified with the key indicator being characterizations <i>that meet management needs</i> (whether conducted in essential fish habitat, National Marine Sanctuaries, National Estuarine Research Reserves, the Great Lakes, the depths of the oceans, the coastal zone, and coral reef ecosystems, where there are different management needs and associated ecological characterizations). “Management” is defined as Federal, state, local, regional, territorial, or other entities that need accurate, useful data to make science-based, ecologically

	sound decisions when conducting comprehensive ocean and coastal planning and management, including coastal and marine spatial planning multiple uses of ocean and coastal resources. As a result, the American public can better improve the long-term protection and management of coastal, marine, and Great Lakes resources.							
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	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	50	50	50	51	48	48	48	48
Actual	50	48	50	51	48	48		
Status	Met	Met	Met	Met	Met	Met		
Trend	Stable							

Validation and Verification

Data Source	Characterizations focus on ecosystem sites: National Marine Sanctuaries, National Estuarine Research Reserves, coral reef ecosystems, the coastal zone, Great Lakes, essential fish habitat, ecological species units, and unexplored areas.
Frequency	Annual
Data Storage	Metadata from all contributing sources to the measure are managed in a secure OAR database for annual milestones and annual and long-term performance measures.
Internal Control Procedures	Results are reported to NOAA Chief Financial Officers; quarterly reports on performance data are submitted to the NOAA Deputy Under Secretary.
Data Limitations	NOAA focuses on protected areas or areas where NOAA has a clear management mandate. NOAA works to identify key parameters for characterizing their conditions and develop assessments of their present health. Characterizations from all contributors are being tracked in addition to criteria defining the indicator of what meets management needs for each ecosystem site because characterizations vary temporally and geographically.
Actions to be Taken	None

Indicator	3.3d. - Cumulative number of coastal, marine and Great Lakes issue-based forecasting capabilities developed and used for management
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Description	Geographically specific forecasts will allow resource managers to: make decisions based on predicted environmental and socioeconomic impacts; predict the impacts of ecosystem stressors; and evaluate the potential options to mitigate those stressors to better manage ecosystem use and condition.							
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	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	41	42	45	55	63	69	73	90
Actual	41	42	55	58	63	69		
Status	Met	Met	Exceeded	Exceeded	Met	Met		
Trend	Stable							

Adjustments to targets	Targets for FY 2016 and beyond are being adjusted based on the FY 2015 budget submission.							
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Validation and Verification

Data Source	Components that produce forecasting capabilities [National Ocean Service's (NOS) National Centers for Coastal Ocean Science (NCCOS) and the Oceans and Human Health Initiative; three programs of NOAA's Oceanic and Atmospheric Research (OAR) Sea Grant, Atlantic Oceanographic and
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	Meteorological Laboratory (AOML, in part), and Great Lakes Environmental Research Laboratory (GLERL)]
Frequency	Annual
Data Storage	Metadata from all contributing sources to the measure is managed in a secure NOS database for annual milestones and annual and long-term performance measures.
Internal Control Procedures	Results are reported to NOAA Chief Financial Officers; quarterly reports on performance data are submitted to the NOAA Deputy Under Secretary.
Data Limitations	Forecasting capabilities under development focus on 1) habitat impacts from different types of human activity, such as land use; 2) recovery of ecosystem function once habitat restoration efforts have been implemented; and 3) NOAA Fisheries models that predict resource sustainability, such as for managed fisheries and protected species.
Actions to be Taken	NOAA will prioritize its efforts in developing new forecast capabilities and facilitating their transition to operational status based on user community priorities, including those for NOAA management, adequacy of data, significance of issue, and consequences of management action/inaction.

Indicator	3.3e. - Percentage of Tools, Technologies, and Information Services that are used by NOAA Partners/Customers to Improve Ecosystem-based Management							
Description	<p>This measure tracks NOAA's success in providing tools, technologies, and information services such as those for coastal and marine resource managers that enable progress toward the principles of ecosystem-based management (considering ecological, economic, social, and security concerns) for coastal, marine, and Great Lakes ecosystems. By cataloging and tracking each fiscal year the existing and new tools, technologies, and information services authorized and developed to meet stakeholders' needs (50 to 100), NOAA encourages their completion and use to advance ecosystem-based management. NOAA can also then ensure investments in the most effective programs and products for the Nation. NOAA partners and customers include Federal, state, local and tribal authorities who must make intelligent decisions affecting resources in the U.S. coastal zone, and other users impacting the condition of coastal ecosystems (e.g., private industry). Actuals are derived by dividing the number of tools/services developed by the end of the year by the number proposed at the beginning of the year. Targets are established based on historical patterns and the amount of funds being requested. Services can include on-line courses for managers, enhanced websites, broadcasts of live events, and workshops and other training techniques. New tools are developed with partners and customers that improve our products and services for ecosystem managers. Benefits of better management of the Nation's coastal, marine, and Great Lakes resources accrue to all citizen's through sustainable ecosystems that provide jobs, products and services that are unique to coastal and ocean areas.</p>							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	86%	86%	87%	88%	89%	90%	87%	91%
Actual	86%	88%	88%	88%	91%	100%		
Status	Met	Exceeded	Exceeded	Met	Exceeded	Exceeded		
Trend	Positive							
Validation and Verification								
Data Source	NOAA's Line Offices (OAR and NOS) executing the NOAA programs through the Strategic Plan goal/program structure.							
Frequency	Annual							
Data Storage	Each Line Office has an internal secure system for tracking the data contributions							
Internal Control Procedures	Use values will be reported by program offices as X number of tools, technologies, and information services (TTIS) used out of X number of TTIS provided. Each Line Office will report total annual values to a central repository where a single percentage value will be determined and archived in a secure repository. Data is managed in a decentralized system by contributing line offices with validation and verification on any partner for TTIS to ensure no double counting of data.							

Data Limitations	NOAA needs to ensure tracking systems are secure and data is validated and verified.
Actions to be Taken	A secure central NOAA repository for matrixed measures is under development for improved management and tracking purposes.

Indicator	3.3g. - Percentage of U.S. coastal states and territories demonstrating 20% or more annual improvement in resilience capacity to weather and climate hazards (%/yr.)							
Description	An index of a range of activities to mitigate coastal community risk and vulnerability to coastal hazards. It measures improvement in the Nation's capacity for end to end preparedness, response, recovery and resilience to hazards							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target			36%	34%	40%	46%	51%	60%
Actual	N/A	31%	43%	46%	57%	54%		
Status	N/A	N/A	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Actions to be taken / Future Plans	NOS may need to relook at future targets if the trend for exceeding continues.							

Validation and Verification

Data Source	National Ocean Service (NOS) Coastal Services Center (CSC), and Office of Ocean and Coastal Resource Management (OCRM) Oceanic and Atmospheric Research (OAR) National Sea Grant College Program (NSGP).
Frequency	Annual measure that is monitored quarterly
Data Storage	NOS and OAR will collect information, conduct assessments, and store data.
Internal Control Procedures	A Coastal Resilience Report Card assembles and tracks data to create a cohesive performance audit to track coordinated results at state and local levels. An annual progress calculation translates indicator data into statistically valid annual improvement percentages. The annual progress calculation is the formula for determining whether or not a coastal state meets the 20% improvement target. The calculation defines improvement as either 1) the percentage of a state's coastal jurisdictions pursuing successful resilience efforts or 2) the percentage of a state's coastal population impacted by successful resilience efforts. The 20% improvement target was an appropriately ambitious goal. Assessment methodologies will be peer reviewed for validation and verification performance by the NOAA Deputy Under Secretary quarterly and by the Department of Commerce through periodic audits.
Data Limitations	NOAA established an accurate performance baseline for the measure's permanent data collection and validation and verification processes. An advisory group was established to provide customer input on collection and validation processes to encourage effective use of existing data sources and survey mechanisms where possible and to avoid burdensome reporting. NOAA's social science expertise means the potential use of proxy data sources, customer survey feedback, and statistical sampling techniques are scientifically applied, grounded and statistically defensible
Actions to be Taken	A NOAA team will continue to engage state and local partners to critique and improve data collection, verification, and reporting for the measure.

Indicator	3.3h. Reduce the Hydrographic Survey Backlog within Navigationally Significant Areas (square nautical miles surveyed per year)
Description	NOAA conducts hydrographic surveys to determine the bathymetry of primarily in U.S. waters significant for navigation. This activity includes the detection, location, and identification of wrecks and obstructions with side scan and multi-beam sonar technology. NOAA uses the data to produce nautical charts in a variety of formats for safe and efficient navigation, in addition to the commercial shipping industry, other user communities that benefit from actionable information include recreational

<p>boaters, the commercial fishing industry, port authorities, coastal zone managers, marine spatial and emergency planners.</p> <p>Presently NOAA has the capacity to survey roughly 3,000 SNM of navigationally significant Exclusive Economic Zone (EEZ) waters, evaluate 12% of priority port area shoreline for change each year, and map 3% of the 95,000 miles of U.S. open coastal shoreline; this capacity does fall short of the 10,000 SNM and 20% to 10% total annual requirement.</p> <ul style="list-style-type: none"> • The 50-year re-survey cycle is revised to consider that in addition to re-survey areas, the Nation's need to define emerging critical areas. In 2004, NOAA created this category to allow for designation of areas that currently meet the definition of critical area, but can be tracked separately from the 43,000 SNM estimate. NOAA delineated emerging critical areas in the Gulf of Mexico and in Alaskan waters surrounding Kodiak Island which had areas which were survey in the 1800's using leadline technology and are now experiencing an increase in commercial traffic. • NOAA is assessing emerging survey needs of the Arctic that had not been considered in previous assessments of the Hydrographic Priorities (approx. 1 million SNM. Arctic maritime community plan to address this vast (40,000 SNM) critical area survey requirement and efforts to understand changing requirements, have precluded integration of these Arctic SNM into priority areas described in NOAA's Hydrographic Survey Priorities (http://www.nauticalcharts.noaa.gov/hsd/docs/NHSP_2011.pdf), but is working to add them. <p>Finally, NOAA needs to consider impacts of Panama Canal expansion, to be completed in 2014, making it wider and deeper, allowing huge freighters from Asia to head straight to terminals on the Gulf and East Coast. With the increase in maximum ship size from 4,400 TEUs (max of 1,000 ft. lengths by 100 ft. widths) to 12,600 TEU ships (1,400 ft. lengths by 160 ft. widths), NOAA must ensure areas transited by these vessels are surveyed soon and regularly especially with many ports looking to dredge so that they can accommodate these vessels. Dredging only includes the channels maintained by the USACE, NOAA is accountable for areas surrounding and out of the ports.</p>								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	3,000	5,160	2,400	2,200	3,000	2,671	2,828	2,828
w/supplemental					120	258		
Total Target	3,000	5,160	2,400	2,200	3,120	2,929	2,556	2,717
Actual (Original)	2,745	2,515	2,278	2,947	2,285	2,207		
Impact of Recovery Funds	474	1,880						
Total Actual (Adjustments reflecting Original and Recovery Act Funds)	3,219	4,395	2,278	2,947	2,285	2,207		
Status	Met	Not Met	Met	Met	Not Met	Not Met		
Trend	Varying							
Explanation (if not met in FY 2014)	The Hydrographic Survey Backlog shortfall was due to several issues including the fleet not being able to execute the allotted days at sea (DAS) causing 40% of the planned field season to be unexecuted. Further, due to a lapse in the hydrographic surveys contract, half of the survey backlog funding was not obligated until late-July 2014. While the							

	associated survey areas have been identified, acquisition has not yet commenced.
Validation and Verification	
Data Source	Progress reports on data collected from hydrographic survey platforms.
Frequency	Monthly
Data Storage	National Ocean Service maintains hydrographic survey performance data at NOAA Coast Survey's Hydrographic Surveys Division.
Internal Control Procedures	National Ocean Service applies its established verification and validation methods. The measure has a +/- 50 square nautical mile variance. Targets are set annually based on resources available; monthly reports on performance to NOAA Deputy Under Secretary.
Data Limitations	NOAA-owned ships and contractor survey changes in vessel availability or condition. Weather can also affect scheduled surveys, as well as unexpected events such as accidents and hurricanes that require redirection of resources.
Actions to be Taken	None

Indicator	3.3i - Percent of U.S. and territories enabled to benefit from a new national vertical reference system for improved inundation management							
Description	<p>This measure tracks progress of NOAA's National Geodetic Survey toward completing the Gravity for the Redefinition of the American Vertical Datum (GRAV-D) initiative and implementation of a new National Vertical Datum for a wide variety of applications including improved inundation management. This improved vertical reference system is critical for all observing systems and activities requiring accurate heights and is a key component of the enhanced geospatial framework required for success in achieving NOAA's strategic priorities. The need for foundational coast to coast intelligence networks is particularly important for community resilience by determining where water flows in order to make accurate inundation models and assessments as well as better management and planning decisions with improved water level predictions based on accurate elevations. "Enabled" is technically defined as having GRAV-D data necessary to support a 1 cm geoid supporting 2 cm orthometric heights (heights relative to sea-level) necessary to define a new national vertical datum. NGS will calculate the percentage of area enabled with regards to a pre-defined total area that includes U.S. territorial land and adjacent land and water areas necessary for final determination of a national vertical reference system. As progress is made, each survey area will be represented by a polygon that will define the completed areas. The performance measure will be tracked as a percent of the total area that is identified as complete.</p>							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	20%	28%	36%	45%	53%
Actual	N/A	7.83%	14.7%	23.9%	31%	38%		
Status				Exceeded	Exceeded	Exceeded		
Trend	Positive							
Validation and Verification								
Data Source	NOAA's Online Position User Service (OPUS)							
Frequency	Annual							
Data Storage	Gravity database at the National Ocean Service							
Internal Control Procedures	NOAA will validate potential local benefit from improved heights through use of its Online Positioning User Service (OPUS) height tool to evaluate the differences between current vertical reference system heights (NAVD88) and true orthometric (relative to sea level) heights produced through improved gravity data collected by GRAV-D.							

Data Limitations	Changes in availability or condition of aircraft or field crews for NOAA use. Weather can also affect scheduled surveys, as well as unexpected events such as accidents and hurricanes that require redirection of resources.
Actions to be Taken	None

Indicator 3.3j - Percent of all coastal communities susceptible to harmful algal blooms verifying use of accurate HAB forecasts.

Description
This is a pilot measure in FY 2013 which was developed to track the forecast communities (currently using operational forecasts) within a coastal region vulnerable to harmful algal blooms (HAB) and the utility and accuracy of HAB forecasts as verified through customer feedback responses before and after a forecast HAB event. This includes characterizing causes of HABs and their impacts to humans and coastal ecosystems, developing products that detect and forecast HAB species and toxins and collaborating with coastal managers and the academic community to develop proactive strategies to enable decision makers to mitigate effects of HABs to coastal communities and economies. This measure tracks Coastal Goal water quality objective and what communities are susceptible to HABs, which one will use HAB forecasts and report their accuracy to NOAA. NCCOS, CO-OPS and others are developing operational forecasts throughout the coastal U.S. to meet their needs. Western Florida is operational, as is eastern Texas. Future focal points through FY17 are the Great Lakes (Erie), Gulf of Maine, PAC Northwest, CA, and possibly the Chesapeake Bay. HABs are potentially devastating to coastal communities. HAB forecasts predict environmental conditions under different scenarios and will have capabilities specific to a geographic area and be counted for each ecosystem as they become operational. For example, harmful algal bloom forecasts in different regions are separate forecast capabilities that Federal, state, local, regional, territorial, or other entities need accurate, useful data from to make science-based, ecologically sound decisions to improve water quality in the long-term protection and management of coastal, marine, and Great Lakes resources.

	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	TBD	11%	11%	11%	11%
Actual	N/A	N/A	N/A	11%	11%	11%		
Status					Met	Met		
Trend	Stable							

Actions to be taken / Future Plans
NOAA is beginning to develop a realistic metric that describes vulnerability of coastal communities to HAB. As an example, aerosolized versions of some highly potent algal toxins (brevetoxins in the Gulf of Mexico) tend to affect a larger number of people (triggering respiratory ailments and aggravation from toxin exposure via air they breathe) and for an extended period of time. Toxins transferred to humans (and wildlife) through ingestion of tainted food would cause a different mode of exposure and levels of susceptibility and risk.

Validation and Verification

Data Source	Components that produce HAB forecasting capabilities [National Ocean Service's (NOS) National Centers for Coastal Ocean Science (NCCOS) and Center for Oceanographic Operational Products and Services (CO-OPS)].
Frequency	Annual
Data Storage	Metadata from all contributing sources to the measure is managed in a secure NOS server where files are stored but not archived for annual milestones and annual and long-term performance measures.
Internal Control Procedures	Changes to reporting data require approval by the NOS administrator (managed by an e-mail workflow approval system).

Data Limitations	Forecasting capabilities under development focus on NCCOS' intramural research efforts to respond to harmful algal blooms. NOAA will prioritize its efforts in developing new forecast capabilities and facilitating their transition to operational status based on user community priorities, including those for NOAA management, adequacy of data, significance of issue, and consequences of management action/inaction.
Actions to be Taken	None

Objective 3.4: Foster healthy and sustainable marine resources, habitats, and ecosystems through improved management and partnerships

Indicator	3.4a - Fish Stock Sustainability Index (FSSI)							
Description	The FSSI tracks the rebuilding and maintaining of fish stocks at sustainable levels, along with critical components of NOAA's efforts to achieve outcomes, such as managing fish harvest rates and increasing knowledge about the status of fish stocks. It is calculated by assigning a score between 0 and 4 to each of 230 stocks selected for their importance to commercial and recreational fisheries and then adding the scores together. This measure is transitioned to the Revised FSSI (see below) by FY 2016. For more information: http://www.nmfs.noaa.gov/sfa/statusoffisheries/SOSmain.htm .							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	548.5	580	586	603.5	617	645.5	N/A	N/A
Actual	565.5	582.5	587	606	618.5	640.5		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Not Met		
Trend	Positive							
Explanation (if not met in FY 2014)	The index gained six points due to stock status improvements, but then lost six points due to unanticipated declines in other stocks. The largest of these was the reversion to unknown status of bonnethead shark, which caused its score to drop from 4 to 0. In addition, two stocks in the Gulf of Mexico became subject to overfishing, and two stock assessments were delayed.							
Actions to be taken / Future Plans	Annual catch limits for the two stocks newly subject to overfishing will be set using this data.							
Adjustments to targets	This measure is being replaced by the Revised FSSI (see below) starting in FY 2015.							
Validation and Verification								
Data Source	Stock assessments and status determinations							
Frequency	Quarterly							
Data Storage	NMFS Stock Information System (SIS)							
Internal Control Procedures	Results will be reported quarterly in a signed memo from the Fishery Management Program Manager to the National Marine Fisheries Service (NMFS) Chief Financial Officer and are housed and made available in a database managed by the NMFS Office of Management and Budget.							
Data Limitations	Results can only be reported when the SIS is updated with new information from the field							
Actions to be Taken	None							

Indicator	3.4a Revised Fish Stock Sustainability Index (FSSI)
Description	The FSSI tracks the status of fish stocks at sustainable levels in relation to fishing mortality and biomass reference points supporting the policy established by Congress in the MSA, that fishing resources be managed so they can produce the

	maximum sustainable yield. The revised Index includes important domestic U.S. commercial and recreational stocks subject to the MSA requirement to have Annual Catch Limits. It will be calculated by assigning a score between 0 and 4 to each stock, then converting the scores to a 1,000-point scale by dividing the sum of all the individual scores by the maximum possible score and then multiplying by 1,000. This will be phased in with the intention of being introduced in FY 2015 and fully utilized by FY 2016.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	760 (599/788)	749 (596.5/796)	770.5 (613.5/796)
Actual	N/A	N/A	N/A	N/A	742	746 (594/796)		
Status						Not Met		
Trend	Not enough data							
Explanation (if not met in FY 2014)	Some expected improvements to stock status did not occur, mainly due to two delayed stock assessments, while some unexpected deterioration in stock status did occur. In particular, one stock with a score of 4 reverted to unknown status due to an unsuccessful assessment, reducing its score to 0, and two stocks became subject to overfishing. Also, the increase in the number of stocks in the index from 197 to 199 as the result of two stocks being split caused a score reduction of eight points. The shortfall is larger for FSSI 2.0 (revised) than for the original in part because some of the improvements in stock status were of international stocks, which are not included in the revised measure, and also because of the denominator increase.							
Actions to be taken / Future Plans	Annual catch limits for the two stocks newly subject to overfishing will be set using this data.							
Adjustments to targets	Targets have been revised to reflect the FY 2014 results as well as revisions to the assessment schedule.							
Notes	The number of stocks included in the index increased from 197 to 199 between FY 2014 and FY 2015 due to the splitting of two shark stocks into four.							
Validation and Verification								
Data Source	Stock assessments and status determinations							
Frequency	Quarterly							
Data Storage	NMFS Stock Information System (SIS)							
Internal Control Procedures	Results will be reported quarterly in a signed memo from the Fishery Management Program Manager to the National Marine Fisheries Service (NMFS) Chief Financial Officer and are housed and made available in a database managed by the NMFS Office of Management and Budget.							
Data Limitations	Results can only be reported when the SIS is updated with new information from the field							
Actions to be Taken	None							

Indicator	3.4b - Percentage of FSSI Fish Stocks with Adequate Population Assessments and Forecasts
Description	This measure tracks the percentage of priority fish stocks for which adequate assessments are available to determine the scientific basis for supporting and evaluating the impact of management actions. To reach this standard, which is defined as "Level III" by the Fisheries Stock Assessment Improvement Plan (SAIP), assessments must be based on recent quantitative information sufficient to determine current stock status (abundance and mortality) relative to established reference levels and to forecast stock status under

different management scenarios. This measure covers the same 230 fish stocks tracked by the FSSI.								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	57.4% (132/230)	57.4% (132/230)	60.4% (139/230)	57.4% (132/230)	57.0% (131/230)	58.3% (134/230)	N/A	N/A
Actual	59.1% (136/230)	57.4% (132/230)	57.4% (132/230)	56.1% (129/230)	58.3% (134/230)	59.6% (137/230)		
Status	Exceeded	Met	Met	Met	Exceeded	Exceeded		
Trend	Stable							
Adjustments to targets	This measure is being replaced by a revised version (see below) beginning in FY 2015.							
Validation and Verification								
Data Source	Stock assessment reports							
Frequency	Quarterly							
Data Storage	NMFS Stock Information System (SIS)							
Internal Control Procedures	Science Advisor and reported quarterly in a signed memo from the Ecosystem Observations Program Manager to the NMFS Chief Financial Officer and are housed and made available in a database managed by the NMFS Office of Management and Budget.							
Data Limitations	Results can only be reported when the SIS is updated with new information from the field							
Actions to be Taken	None							

Indicator	3.4b Revised Percentage of FSSI Fish Stocks with Adequate Population Assessments and Forecasts							
Description	This measure tracks the percentage of fish stocks tracked by the revised FSSI for which adequate assessments are available to determine the scientific basis for supporting and evaluating the impact of management actions. To reach this standard, which is defined as "Level III" by the Fisheries Stock Assessment Improvement Plan (SAIP), assessments must be based on recent quantitative information sufficient to determine current stock status (abundance and mortality) relative to established reference levels and to forecast stock status under different management scenarios. This measure covers the same 230 fish stocks tracked by the FSSI.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	64.8% (129/199)	67.3% (134/199)	68.3% (136/199)
Actual						63.8% (127/199)		
Status						Not Met		
Trend	Not enough data							
Explanation (if not met in FY 2014)	One stock did not achieve adequate status as anticipated because the assessment approach was rejected. One other was listed erroneously as adequate, but then revised to inadequate.							
Adjustments to	Targets were revised to reflect FY 2014 results and revisions to the assessment schedule.							

targets	
Validation and Verification	
Data Source	Stock assessment reports
Frequency	Quarterly
Data Storage	NMFS Stock Information System (SIS)
Internal Control Procedures	Science Advisor and reported quarterly in a signed memo from the Ecosystem Observations Program Manager to the NMFS Chief Financial Officer and are housed and made available in a database managed by the NMFS Office of Management and Budget.
Data Limitations	Results can only be reported when the SIS is updated with new information from the field
Actions to be Taken	None

Indicator	3.4c - Percentage of Protected Species Stocks with Adequate Population Assessments and Forecasts							
Description	This measure tracks the percentage of protected species stocks for which adequate assessments are available to determine the scientific basis for supporting and evaluating the impact of management actions. To reach this standard, which is defined as "Level III" by the Protected Species Stock Assessment Improvement Plan (SAIP), assessments must be based on recent quantitative information sufficient to determine current stock status (abundance and mortality) relative to established reference levels and to forecast stock status under different management scenarios. This measure covers the protected species stocks covered by the Marine Mammal Protection Act (MMPA) or listed under the Endangered Species Act (ESA). The number of such stocks can change as new species are listed and as new stocks of listed species and marine mammals are identified. The number increased from 230 in FY 2005 to 392 in FY 2011 but subsequently fell to 378.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	27.8% (69/248)	20.1% (75/373)	18.6% (73/392)	19.5% (78/400)	22.0% (88/400)	18.9% (78/412)	21.6% (89/412)	21.4% (92/429)
Actual	29.8% (74/248)	20.1% (75/373)	17.6% (69/392)	19.3% (77/400)	19.0% (76/400)	15.0% (62/412)		
Status	Exceeded	Met	Met	Met	Not Met	Not Met		
Trend	Varying							
Explanation (if not met in FY 2014)	The implementation of an automated tracking system during FY 2014 revealed inconsistencies in the application of the criteria to determine which assessments qualify as adequate. When the automated system applied the proper standard consistently across all stocks, 18 stocks were shown to have an incorrect designation. With the automated system now in place, these errors should not recur.							
Adjustments to targets	Targets were revised to reflect the designation errors. Further revisions may be necessary.							
Validation and Verification								
Data Source	ESA status reviews							
Frequency	Quarterly							
Data Storage	NMFS Stock Information System (SIS)							
Internal Control	Science Advisor and reported quarterly in a signed memo from the Ecosystem Observations Program Manager to the NMFS Chief Financial Officer and are							

Procedures	housed and made available in a database managed by the NMFS Office of Management and Budget.
Data Limitations	Results can only be reported when the SIS is updated with new information from the field
Actions to be Taken	The SIS module to house protected species data has been completed and implemented. No further action is required.

Indicator	3.4d - Number of Protected Species Designated as Threatened, Endangered or Depleted with Stable or Increasing Population Levels							
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Description	This measure tracks progress at achieving partial recovery of endangered, threatened or depleted protected species under the jurisdiction of NMFS. These species include those listed as threatened or endangered under ESA as well as those marine mammal species listed as depleted under MMPA. Recovery of threatened, endangered or depleted species can take decades, so while it may not be possible to recover or de-list a species in the near term, progress can be made to stabilize or increase the species population. For some, it is trying to stop a steep decline, while for others it is trying to increase their numbers. For FY 2014, this measure tracks 84 species/stocks designated as threatened, endangered, or depleted.							
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	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	22	25	28	28	27	28 (84)	34 (74)	34 (91)
Actual	25	29	29	29	30	37 (84)		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Stable							

Adjustments to targets	Targets have been adjusted to reflect the decrease in the number of listed species due to the consolidation of 17 whale stocks into 5 whale species. After this consolidation, the 37 actual for FY 2014 drops to 34, so the target of 34 for FY 2015 does not represent a decrease in performance.							
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Notes	Additional species listings cause the total number of listed species to increase from 74 to 91 in FY 2016.							
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Validation and Verification

Data Source	MMPA stock assessment reports and ESA status reviews
Frequency	Annual
Data Storage	NMFS Stock Information System (SIS)
Internal Control Procedures	Results are reported quarterly in a signed memo from the Protected Species Program Manager to the NMFS Chief Financial Officer and are housed and made available in a database managed by the NMFS Office of Management and Budget.
Data Limitations	MMPA stock assessment reports are updated only once a year and ESA status reviews are updated only every one to five years depending on priority and fund availability
Actions to be Taken	The SIS module housing protected species data has been completed and implemented. No further action is required.

Indicator	3.4e - Number and Percentage of Recovery Actions Ongoing or Completed							
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Description	This measure tracks progress of ongoing or completed recovery actions (including Priority 1 actions needed to prevent extinction) included in NMFS approved recovery plans for species listed as threatened or endangered under ESA. Recovery actions are those actions found to be necessary to remove species from the ESA. Actions may include items that can be completed in a year or other actions, including monitoring, that may take many years to complete or be ongoing. Recovery of threatened or endangered species is a gradual process that can take decades, and completed recovery actions can show incremental progress made in							
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achieving recovery.								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target					44.6% (1,875/4,202)	44.4% (1,979/4,457)	46.2% (2,070/4,482)	47.3% (2,119/4,482)
Actual	NA	NA	NA	44.3% (1,862/4,202)	45.1% (1,897/4,202)	45.2% (2,013/4,457)		
Status					Met/Exceeded	Met/Exceeded		
Trend	Not enough data							
Adjustments to targets	Targets were adjusted to reflect FY 2014 results.							
Notes	The total number of actions increased from 4,457 to 4,482 in FY 2015 due to the addition of a new recovery plan.							
Validation and Verification								
Data Source	Existing sources of data including the Recovery Online Activity Reporting (ROAR) System							
Frequency	Quarterly							
Data Storage	Database maintained by the U.S. Fish and Wildlife Service (ROAR)							
Internal Control Procedures	Results are reported quarterly to the NMFS Chief Financial Officer and made available to the NOAA Deputy Under Secretary							
Data Limitations	NMFS will require Recovery Coordinators to update Recovery Actions in ROAR quarterly							
Actions to be Taken	ROAR is now fully implemented. No further action is required.							
Indicator	3.4f - Number of Habitat Acres Restored							
Description	NOAA restores habitat areas lost or degraded as a result of development and other human activities, as well as specific pollution incidents and sources. Activities are geared toward NOAA trust resources found across the marine environment, including the Great Lakes region, and supportive of anadromous fish species, which are species of fish that swim in both saltwater and freshwater environments. The intent of this measure is to summarize or project the geographic area over which ecosystem function has been or will be improved as the direct result of habitat restoration efforts.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	9,000	8,875	8,888	80,007	60,228 (8,228 + 52,000 PCSRF)	40,820 (11,820 program + 29,000 PCSRF)	32,460 (9,460 + 23,000 PCSRF)	45,000 (4,000 + 41,000 PCSRF)
Actual	9,232	6,907	79,381 (15,420 + 63,961 PCSRF)	58,120 (8,242 + 49,878 PCSRF)	46,857	29,407		
Status	Exceeded	Not Met	Exceeded	Not Met	Not Met	Not Met		
Trend	Varying							
Explanation (if not	The target was not met because 48 projects were delayed. The largest of these—4,500 acres—was completed in October.							

met in FY 2014)	In addition, three projects for nearly 2,800 acres were terminated, and the acreage for one project fell short of estimates by nearly 2,200 acres.
Adjustments to targets	The FY 2015 target has been adjusted to reflect FY 2014 results.
Validation and Verification	
Data Source	Interim and final progress reports from each project
Frequency	Quarterly
Data Storage	The Restoration Center Database (RCDB)
Internal Control Procedures	Results are reported quarterly in a signed memo from the Habitat Program Manager to the NMFS Chief Financial Officer and are housed and made available in a database managed by the NMFS Office of Management and Budget.
Data Limitations	Data is primarily provided by grantees
Actions to be Taken	None

Indicator	3.4g Annual Number of Coastal, Marine, and Great Lakes Habitat Acres Acquired or Designated for Long-term Protection.							
Description	NOAA protects and restores key habitats that provide critical ecosystem functions through and in support of the statutory responsibilities enhance coastal and marine resource conservation through place based management. These habitats support the health of endangered or threatened species and essential fish habitat, reduce coastal pollution, buffer the impacts of coastal storms and flooding, and provide the public with recreational access to the coast among other societal or economic benefits. NOAA maintains the health of coastal, marine and Great Lakes habitats by designating and managing important areas for long-term conservation and by providing support to state and local governments to protect additional key habitats by purchasing land from willing sellers. This <i>long-term protection</i> measure tracks the number of acres acquired with NOAA funds by state or local government agencies from willing sellers particularly through the Coastal and Estuarine Land Conservation Program (CELCP) and Coastal Zone Management Program (CZMP), and the number of acres designated for long-term protection by NOAA or by state partners, such as through the Office of National Marine Sanctuaries Program (ONMS) and National Estuarine Research Reserve System (NERRS). In FY 2010, NOAA protected acres through CELCP with funds from EPA's Great Lakes Restoration Initiative (GLRI).							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	2,000	2,000	19,219	69,550	2,500 (CELCP)	1,300 (CELCP)	250 (CELCP)	550
Actual	2,247 acres verified for CELCP	21,341 total (21,170 for CELCP and 171 for GLRI through CELCP)	17,274	8,694,070	2,772	5,673		
Status	Exceeded	Exceeded	Not met	Exceeded	Exceeded	Exceeded		
Trend	Varying							
Validation and Verification								
Data Source	The cumulative total represents data on acres from the National Estuarine Research Reserve (NERRS) Program; National Marine Sanctuaries Program; and the Coastal and Estuarine Land Conservation Program. The APP targets show acres in the year the acquisition is completed, while the budget narrative shows the acres as the # that will be acquired in any future year with that year's funding.							

Frequency	Annual
Data Storage	Metadata from all contributing sources to the measure is managed and stored in an Excel spreadsheet with limited access. The final performance data reported annually in performance reports is managed in a secure NOS database for annual milestones and annual and long-term performance measures.
Internal Control Procedures	Results are reported annually to the NOAA Chief Financial Officers for approval; monthly reports on performance data are submitted to the NOAA Deputy Under Secretary.
Data Limitations	The goal for the long-term protection indicator is variable, as the yearly target can vary from hundreds to thousands of acres each year. For example, the initial designation or acquisition for a new reserve or sanctuary may add hundreds of thousands of acres in one year, while in other years acquisition may result in several hundred or thousand acres protected. Other limitations are the timeliness of reporting by grant recipients, accuracy of conversion from hectares to acres for some data, and the time delay between funding and completion.
Actions to be Taken	Since this measure does not capture all NOAA's activities to protect habitat long-term, NOAA is expanding the measure as a pilot in the FY 2012 AOP to capture the CZM program contributions. NOAA continues to harmonize habitat management (to fulfill diverse but complementary requirements of 8 distinct mandates serving diverse but related communities that conduct scientific research, ecosystem monitoring, disaster response, restoration and conservation, and long-term protection.

Non-Recurring Indicators

None

Part 5: Other Indicators

Indicator	3.1a (1) - Key Milestones completed on time for satellites deployments							
Description	Key activities for the development and launch of weather satellites and fleet modernization and products are identified and tracked using a project management system.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Actual						6		

Indicator	3.1a (2) - Key Milestones completed on time for ship deployments							
Description	Key activities for the development and launch of weather satellites and fleet modernization and products are identified and tracked using a project management system.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Actual	n/a	n/a	n/a	n/a	n/a	1		

Indicator	3.1c - Number of comparative greenhouse gas emissions studies completed							
Description	Scientific studies comparing top-down and bottom-up emission estimation methodologies provide the means to improve the quality of GHG emissions data.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Actual	n/a	n/a	n/a	n/a	n/a	15		

Indicator	3.1d - Percentage of data processed and delivered to the user community (relative to all data transmitted to NOAA from NOAA-managed satellites)							
Description	Ensures that NOAA provides real time (or near real time) availability of critical satellite data and products without gaps.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Actual	99%	n/a	99.73%	99.60%	99.50%	99.7%		

Indicator	3.1k - Percentage of ingested data safely archived per National Archives & Records Administration (NARA) standards							
Description	Ensures that NOAA safely archives critical data and information according to NARA standards.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Actual	99%	99%	99%	99%	99%	99%		

Indicator	3.2a American Customer Satisfaction index (ACSI) for NOAA's National Weather Service							
Description	Weather information users are periodically surveyed using the American Customer Satisfaction Index. The survey rates customer satisfaction on a range of National Weather Service data and products.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Actual			84	84	82	84		
Notes	ACSI has been collected since FY 2011 and follows a flat trend. The NWS ACSI score is on average 14 points higher than the average Federal government ACSI.							
Information Gaps	Data is limited by the annual number of survey respondents. The FY 2014 survey was conducted on September 9th – 25th and had 31,306 respondents.							

Indicator	3.3a Number of communities that utilize Digital Coast							
Description	Digital Coast is a web-platform providing coastal geospatial information. The number of communities using Digital Coast is based on Census-designated places within coastal states, including all Census-defined cities, towns, townships, boroughs, and incorporated municipalities.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Actual			1975	2807	2900	4750		

Indicator	4.1b Number of visits to NOAA information portals							
Description	This indicator includes unique visits to NOAA websites including weather.gov, climate.gov and drought.gov. Weather.gov serves as an information portal to provide all customers weather, water, and climate data, forecasts, warnings and services for the protection of life and property and enhancement of the national economy. Weather.gov includes city forecast pages and the NWS mobile site, which is optimized for modern smartphones. Weather.gov allows visitors to view weather at a							

glance and save their location, and provides consistency and organization across all agency web sites.

Weather.gov garners some 60 million unique visitors per month. Unique visitors refer to the number of distinct individuals requesting pages from the website during a given period, regardless of how often they visit. That number can jump from 3 to 10 times during high-impact weather events such as landfalling hurricanes, crippling blizzards, and tornado outbreaks.

A redesign of weather.gov in 2012 was the beginning of a phased effort to update the NWS web presence and improve customer access to information and services. The design was developed in-house based on ongoing user feedback, search query analysis, surveys of NWS local offices, usability testing, and best practices. NWS received 35,000 comments during this public comment period.

NOAA's Climate Services Portal (www.climate.gov) is designed to give users information on the current status of Earth's climate system and tools to apply that information to decision making and problem solving. Climate.gov is led by OAR and NESDIS and is hosted at National Climatic Data Center (NCDC), which uses standard statistics monitoring software package to record the total number of visits to the site every day. Each time a user enters into any part of the Climate.gov web domain on a given day, the system counts 1 unique visit.

Use of drought.gov is generally increases when drought conditions get worse (and consequently usage decreases when drought conditions improve). For example, in 2012 when the United States experienced record drought in many parts of the country, many more users were looking for drought information. Users generally do not look for drought information when they are not being affected by drought. In 2013 conditions eased in many locations and usage statistics reflect this.

Actuals	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Visits to Weather.gov				1.34 billion	1.65 billion	0.62 billion		
Visits to climate portal		235,767	420,422	683,187	1,744,678	2,999,012		
Visits to drought portal	274,073	333,302	421,875	887,768	507,908	529,600		

Notes

These indicators support NOAA's effort within the weather enterprise to examine ways to provide additional content to users within existing infrastructure and make fully available to everyone. NWS has adopted a proactive approach of working with the Big Data Initiative. On 6/3/14 NWS issued a Public Information Statement seeking suggestions on new types of NCEP model output with a due date of 7/3/14.

In 2014, NOAA Climate.gov was selected by the International Academy of the Digital Arts & Sciences to receive two prestigious Webby Awards in the "Government" and "Green" categories for websites. OAR and NESDIS continue to improve the website to provide innovative problem-focused climate information, tools, and case studies to help communities address climate change impacts.

Drought.gov, data dates back to 2008. This measure captures page views instead of visits because this is the consistent

	metric available across the three different usage statistics packages that have been in place.
Information Gaps	For Weather.gov data is incomplete. Not all URLs are captured for statistics. Traffic to websites managed by NWS Southern Region Headquarters, Alaska Region Headquarters, Pacific Region Headquarters, NWS' Tsunami Warning Centers, and the National Centers for Environmental Prediction is not captured here.

Indicator	4.1c Assigning permanent, citable Digital Object Identifiers (DOIs) to at least 10 new archival datasets per quarter							
Description								
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Actual						N/A		

Part 6: Agency Priority Goals

Section 6.1: APG Statement, Overview (optional) and Goal Leader

Agency Priority Goal

By September 30, 2015, the Department of Commerce will confirm the elimination of overfishing on all 21 U.S. domestic stocks identified as subject to overfishing as of June 30, 2013 by comparing catch data relative to overfishing limits (OFLs).

The Magnuson-Stevens Act is the primary law that governs how fisheries are managed in U.S. federal waters. When the Magnuson-Stevens Act was reauthorized in 2007, it mandated that annual catch limits (ACLs) be put in place for all federally managed domestic fish stocks, with certain exceptions. ACLs are set at a level below the OFL to account for scientific uncertainty and to reduce the risk of overfishing. ACLs are in place for all fish stocks as required by the Magnuson-Stevens Act. These catch limits should keep catch below the OFL and prevent overfishing on these stocks. Preventing overfishing should increase the long-term economic and social benefits of the nation's fisheries.

At the time NOAA Fisheries developed this measure, there were 21 federally managed domestic fish stocks subject to overfishing. For these 21 stocks, we will monitor catch of each stock and compare to the OFL. We use a complex system of observers, dealer reporting, and logbook requirements to track and verify the catch numbers. If catch exceeds the ACL (always set below the OFL) for any of the 21 stocks, the Magnuson Stevens Act requires that we take steps, known as accountability measures, to end and prevent overfishing. These can include closing the fishery before the end of the planned fishing season, changing gear requirements, and reducing bag limits. We may also reduce allowable catch in the subsequent year.

The goal of this measure is to show that by implementing rigorous limits on annual catch, the U.S. can end and prevent overfishing of our fishery resources, a key step to ensuring the sustainable management of our nation's fisheries. Federal fishery management is based on the concept of maximum sustainable yield, which is the largest long-term average catch that can be taken from a stock under prevailing environmental and

fishery conditions. A stock that is subject to overfishing has a fishing mortality (harvest) rate higher than the rate that produces maximum sustainable yield. The amount of catch equivalent to this harvest rate is the overfishing limit (OFL).

Agency Priority Goal

By September 30, 2015, the Department of Commerce will improve its overall weather forecast model accuracy to 9 days which will enable more accurate, consistent, longer lead time for specific weather event forecasts and warnings.

The impact of major weather events demonstrates the importance of hazard preparedness and response in the United States. Improved weather forecast accuracy, combined with enhanced decision support services, allow emergency management and the American public more time to prepare for high-impact weather events. This enables protection of life and property and enhancement of the U.S. economy.

A key way to measure improvements in model performance is to examine how far into the future Numerical Weather Prediction (NWP) guidance demonstrates. Model output ceases have useful skill at predicting the weather at longer forecast lengths. Large scale weather patterns that affect the local weather that each of us experience on a daily basis, are driven by features in the mid-levels of the atmosphere. During the past 20 years, the National Oceanic and Atmospheric Administration's (NOAA's) National Weather Service (NWS) has seen its ability to provide useful predictions of future high-impact weather events extend from 6 days to 8 days.

This goal focuses on improving the Global Forecast System model 2013 that currently has useful skill at forecasting the mid-levels of the atmosphere across the globe out to 8.0 days. Upon completion of forecasting upgrades over the next two years, the NWS expects to extend this out to 9 days.

Improving global weather prediction facilitates improvements to regional, local scale models that provide accurate information about the formation and movement of high impact storms in the right place at the right time. Knowing with a good level of confidence that the storm is coming 5 days in advance enables for significantly improved response. Evacuations from hurricanes require 3 full days, and thus accurate, consistent forecasts 4-7 days in advance are invaluable to people who have to make these critical decisions. Increased lead time means lives saved and property protected. NWS will also continue efforts to support the use of improved weather forecast data by emergency managers through better impact-based decision support services. Achieving this priority goal will allow NWS to predict farther into the future and enable the American public to make the right choices when extreme weather threatens.

Section 6.2: Strategies

NOAA will analyze catch data throughout the fishing year and expect to have final 2013 fishing year catch estimates for all 21 domestic stocks by December 31, 2014. Stocks for which the final catch is less than OFL in the 2013 fishing year will be considered to have met the goal. Any stock that doesn't meet the goal will be tracked into the 2014 fishing year. Each quarter, we evaluate the catch and if it exceeds the ACL, we implement measures to reduce fishing effort such as closing the fishery before the end of the planned fishing season, changing gear requirements, and reducing bag limits.

NOAA will invest in the following strategies to improve weather forecast accuracy and warning leads:

- Improve weather forecast models to enable NWS' forecast to be more specific and accurate.
- Improve hurricane forecast models to provide accurate information about the formation and movement of high impact storms, such as hurricanes.
- Deliver decision support services both to the emergency management community and the public including projects that improve observational capabilities, tools, and training.

Section 6.3 Indicators

Goal	By September 30, 2015, the Department of Commerce will confirm the elimination of overfishing on all 21 U.S. domestic stocks identified as subject to overfishing as of June 30, 2013 by comparing catch data relative to overfishing limits (OFLs).	
Performance Indicator	Number of domestic stocks listed as subject to overfishing as of June 30, 2013 for which the annual catch does not exceed the overfishing limit (OFL) in any fishing year	
Description	NOAA Fisheries will compare annual catch estimates to OFL for the 21 domestic stocks that were subject to overfishing as of June 30, 2013. In FY14, we will track the 2013 fishing year catch for each of the 21 stocks quarterly using the best catch estimates available at the time. In FY15, we will track the 2014 fishing year catch only for the stocks that exceeded the OFL in the 2013 fishing year.	
	Target	Actual
FY 2014	11	11

Goal	By September 30, 2015, the Department of Commerce will improve its overall weather forecast model accuracy to 9 days which will enable more accurate, consistent, longer lead time for specific weather event forecasts and warnings.					
Performance Indicators	Global Forecast Skill (GFS) 500 hPA Anomaly Correlation Length of Forecast Considered Accurate		High Performance Computing Capacity		Hurricane Forecast Track Error	
Description	The 500 hPA anomaly correlation is a proxy for skill of the GFS and computed over the range of forecast days into the future. The forecast length where the value drops to 0.6 indicates the point at which a forecast loses useful skill		A "Game Changer" in terms of being able to provide consistent, accurate forecasts with more lead time is the upgrade to the Weather and Climate Operational Supercomputing System (WCOSS). This effort focuses on upgrading WCOSS to exceed 1 Peta Floating-Point Operations Per Second (PFLOPS)		Improvements in the GFS allows for better information input for regional and local scale weather models that provide accurate information about the formation and movement of high impact storms, such as hurricanes. The updates to Hurricane Weather Research Forecast will improve hurricane track and intensity forecasts. Metric computed once a year in Q2 of the FY, after the hurricane season concludes (Hurricane Forecast Track – 48 hr Error – nautical miles)	
	Target	Actual	Target	Actual	Target	Actual
FY 2014	8	TBD*	200	200	81	77**

*Value is not available until FY 2015 2Q.

** These values do not encompass the entire Calendar Year 2014 Hurricane Season which spans from June 1, 2014 and ends on November 30, 2014. CY 2014 GPRA preliminary values will be available in January 2015 and final values will be available in February 2015.

Part 7: Resource Requirements Table

	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Estimate	FY 2016 Base	Increase/ Decrease	FY 2016 Request
Objective 3.1: Advance the understanding and prediction of changes in the environment through world class science and observations										
Oceanic and Atmospheric Research										
Direct	488,690	539,820	428,357	377,294	378,569	478,886	462,173	452,909	54,126	507,035
FTE	696	718	752	741	666	699	711	727	13	740
National Environmental Satellite, Data and Information Service										
Direct	1,185,364	1,438,623	1,607,910	1,852,640	1,888,099	2,077,695	2,223,144	2,224,789	154,838	2,379,627
FTE	774	803	839	742	765	674	885	879	6	885
Subtotal Funding	1,674,054	1,978,443	2,036,267	2,229,934	2,266,668	2,556,581	2,685,317	2,677,698	208,964	2,886,662
Subtotal FTE	1,470	1,521	1,591	1,483	1,431	1,373	1,596	1,606	19	1,625
Objective 3.2: Improve preparedness, response, and recovery from weather and water events by building a Weather-Ready Nation										
National Weather Service										
Direct	963,626	1,003,304	988,442	988,859	945,803	1,058,910	1,087,453	1,106,796	(7,918)	1,098,878
FTE	4,673	4,725		4,679	4,465	4,356	4,638	4,638	(98)	4,540
Subtotal Funding	963,626	1,003,304	988,442	988,859	945,803	1,058,910	1,087,453	1,106,796	(7,918)	1,098,878
Subtotal FTE	4,673	4,725	4,712	4,679	4,465	4,356	4,638	4,638	(98)	4,540
Objective 3.3: Strengthen the resiliency of communities and regions by delivering targeted services to build capacity										

National Ocean Service										
Direct	497,096	464,774	471,255	545,903	510,804	547,171	412,435	417,512	60,780	478,292
FTE	1,054	1,050	1,062	1,063	997	940	1,007	1,007	0	1,007
Subtotal Funding	497,096	464,774	370,846	546	510,804	547,171	412,435	417,512	60,780	478,292
Subtotal FTE	1,054	1,050	1,019	1,063	997	940	1,007	1,007	0	1,007
Objective 3.4: Foster healthy and sustainable marine resources, habitats, and ecosystems through improved management and partnerships										
National Ocean Service										
Direct	106,864	106,256	94,749	97,368	91,299	93,458	95,800	97,061	(1,361)	95,700
FTE	213	208	212	222	207	190	209	209	0	209
National Marine Fisheries Service										
Direct	1,062,171	944,965	1,137,138	796,434	773,699	948,363	950,385	935,084	54,967	990,051
FTE	2,822	2,868	3,518	2,950	2,905	2,841	3	2,928	53	2,981
Other - Discretionary and Mandatory	96,561	100,496	112,789	102,769	85,253	190,087	112,687	96,769	3,300	92,118
FTE	64	46	70	102	93	90	56	56	0	56
Subtotal Funding	1,265,596	1,151,717	1,344,676	996,571	950,251	1,231,908	1,158,872	1,128,194	56,906	1,177,869
Subtotal FTE	3,099	3,122	3,800	3,274	3,205	3,121	3,193	3,193	53	3,246
Objective 5.1: Strengthen organizational capabilities to drive customer-focused, outcomes-driven mission performance										
Program Support										

Direct	499,469	575,479	1,427,828	460,875	442,487	445,901	490,705	528,199	148,841	677,040
FTE	1,896	1,926	5,360	1,836	1,742	1,693	1,845	1,836	15	1,851
Other - Discretionary and Mandatory	24,272	26,116	30,101	30,071	30,169	30,205	28,205	28,205	0	28,205
FTE	0	0	0	0	0	0	0	0	0	0
Subtotal Funding	523,741	601,595	1,457,929	490,946	472,656	476,106	518,910	556,404	148,841	705,245
Subtotal FTE	1,896	1,972	5,360	1,836	1,835	1,693	1,845	1,836	15	1,851
Sub Total Direct Funding										
	5,134,839	4,710,709	5,848,316	4,972,165	5,110,458	5,400,548	5,524,515	5,570,069	464,293	6,034,362
Sub Total FTE	12,135	12,301	16,243	12,233	11,747	11,393	12,223	12,224	(11)	12,224
Reimbursable	231,620	384,284	451,040	228,748	260,124	217,112	242,000	242,000	0	242,000
FTE	705	782	831	676	641	604	706	706	0	706
Total Funding										
	5,282,831	5,554,711	6,540,543	5,448,047	5,384,617	5,908,226	5,978,075	6,000,533	464,293	6,464,826
Total FTE	12,840	13,083	17,074	12,909	12,388	11,997	12,929	12,930	(11)	12,919

Part 8: Other Information

Section 8.1: Major Management Priorities, Challenges, and Risks

Challenge: Strengthen Oversight of National Oceanic and Atmospheric Administration (NOAA) Programs to Mitigate Potential Satellite Coverage and Gaps, Address Control Weaknesses in Accounting for Satellites, and Enhance Fisheries Management

NOAA Response:

Enhancing Weather Satellite Development and Mitigating Potential Coverage Gaps

The November 2013 report expressed a concern that budgetary challenges could delay the launch of the first GOES-R satellite. As a result of the FY2013 sequester and congressional rescission, the GOES-R launch commitment date was changed from October 2015 to Q2 FY2016. However, internally the program has been executing to a more aggressive schedule to minimize the risk of a gap to the on-orbit constellation. The GOES-R program recently completed its System Integration Review and is preparing for Key Decision Point D (KDP-D), which will mark the program's formal transition to the integration phase. The program expects that KDP-D will confirm the viability of the launch commitment date.

Addressing Material Weakness over Satellite Accounting

During FY 2014 NOAA Finance and NESDIS continue to meet on a monthly basis to discuss accounting issues impacting the major satellite programs through the NOAA Satellite Accounting Review Board (SARB). The NOAA SARB provides a forum for regular review and assessment of selected programmatic, fiscal, and accounting information to ensure that all impacts of decisions are considered and that the appropriate accounting treatment is applied. In addition to the SARB, NOAA Finance works closely with NESDIS headquarters staff and program staff to resolving all findings from the FY 2013 audit.

Enhancing Fisheries Management

NOAA Fisheries is on track for a successful year in FY 2014, in spite of the government shutdown and sequestration. As of September 30, 2014, the improvements to fish stocks included:

- Three stocks removed from the overfished list
- Four stocks removed from the overfishing list

- Three stocks rebuilt – bringing the total number of rebuilt stocks to 37

NOAA Fisheries is on track to confirm that overfishing (as measured by catch relative to overfishing limit) has ended for 11 of the 21 domestic stocks that were subject to overfishing as of June 30, 2013.

For the first time in 19 years NOAA Fisheries removed a species from the Endangered Species List due to recovery. The eastern population of the Steller sea lion was delisted after a five-year status review concluded that current population trends and threats no longer placed this species at risk of extinction.

Fisheries and protected resources achievements have been aided by successful habitat conservation and restoration activities. In FY 2014, the Habitat Blueprint has selected seven habitat focus areas across the country, which will increase the effectiveness of NOAA Fisheries' habitat conservation science and management efforts.

Challenge: Continue Enhancing Cybersecurity and Management of Information Technology Investments

NOAA Response:

Continuing sustainable implementation of enterprise cybersecurity initiatives

As part of Department of Commerce (DOC) enterprise initiatives, NOAA participates in Enterprise Cyber Security Monitoring and Operations (ECMO) and Enterprise Security Oversight Center (ESOC). NOAA has implemented ECMO on over 19,000 system components and expects to meet the department target of 95% of in scope components by September 30, 2014. NOAA has signed a Memorandum of Understanding to host the DOC ESOC at our Security Operations Center in Fairmont, WV.

Trusted Internet Connection (TIC): NOAA continues to make progress implementing the trusted internet connection requirements. NOAA has consolidated over 70% of our external connections to the Trusted Internet Connection Access Point (TICAP) locations and expects to be 95% complete in FY14. The remaining 5% will be complete in FY15. Security services continue to be enhanced at the approved TICAP locations and are on schedule for completion in Q2FY15. Additionally, NOAA is building redundancy into individual TICAPs and the overall TIC architecture to ensure availability and capacity meet our mission needs.

Preserving the CIO oversight responsibility of satellite-related IT investments

NOAA leadership, together with the DOC Deputy Secretary, conducts a Quarterly Satellite Review of NOAA's major satellite programs including GOES-R and JPSS. In addition, the NOAA Under Secretary of Commerce for Oceans and Atmosphere (the NOAA Administrator) through the PMC conducts monthly reviews of all major satellite programs including JASON 2, JASON 3, GOES-R Flight/Ground Segment, JPSS Flight/Ground Segment, Polar Follow-on, COSMIC, and DISCOVER. The NOAA CIO is an active participant in these reviews, which explicitly cover IT issues.

Continuing vigilant oversight of IT investments

NOAA has a strong oversight program on IT investments through reviews conducted by the NOAA Program Management Council (PMC) and the NOAA CIO Council. The PMC and CIO Council hold monthly and quarterly reviews on over a dozen major IT investments and projects including ASOS, CLASS, IDP (including NOAA Weather Radio and NOAA Weather Wire, and the Telecommunications Gateway), and AWIPS. The NOAA CIO is a member of the PMC.

Maintaining momentum in consolidating commodity IT to cut costs

NOAA employs an enterprise services operating model. Notable examples of NOAA's current enterprise IT services include: Mobile Device Management (MDM), Security Operations Center (SOC), Unified Messaging Service (UMS), High Performance Computing, and National Service Desk. All enterprise information services are designated, delivered, and managed using cost-effective, centralized, standard practices.

Section 8.2: Cross-Agency Collaborations

The National Oceanic and Atmospheric Administration currently contribute to the following CAP Goals: Infrastructure Permitting Modernization, Lab-To-Market, and STEM Education.

Section 8.3: Evidence Building

See Department of Commerce Strategic Plan Appendix C Evidence and Evaluation

Section 8.4: Hyperlinks

Department of Commerce Strategic Plan

<http://www.commerce.gov/blog/2014/03/10/departement-commerce-releases-fy-2014-2018-strategic-plan>

Section 8.5: Data Validation and Verification

The FY 2014 Summary of Performance and Finance Information includes in the Secretary's Statement, an assessment of the reliability and completeness of the Department's performance data.

Section 8.6: Lower-Priority Program Activities

President's Budget identifies the lower-priority program activities, where applicable, as required under the GPRA Modernization Act, 31 U.S.C. 1115(b)(10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget>.

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FY 2016 Annual Performance Plan / FY 2014 Annual Performance Report

National Telecommunications and Information Administration

Part 1 Agency and Mission Information

Section 1.1: Overview

NTIA develops domestic and international communications policy for the Executive Branch under 47 U.S.C. § 902. NTIA also ensures the efficient and effective management and use of Federal radio spectrum and performs state-of-the-art communications research, engineering, and planning. As a result of the American Recovery and Reinvestment Act of 2009, NTIA administers and oversees programs to advance access to and use of broadband in the United States. In addition, NTIA continues to address Presidential Memorandums, “Unleashing the Wireless Broadband Revolution” and “Expanding America’s Leadership in Wireless Innovation”, and is making progress toward expediting wireless broadband access, either through allocating Federal operations or establishing acceptable sharing arrangements, while protecting the capabilities of Federal systems.

NTIA supports the Trade and Investment Goal’s Strategic Objective 1.1 (Increase opportunities for U.S. companies by opening markets globally) through developing and influencing international policies to support fair competition and by negotiating international agreements and treaties that place the United States as a global leader in communications. Additionally, NTIA supports the Innovation Goal’s Strategic Objective 2.3 (Strengthen the Nation’s digital economy by championing policies that will maximize the potential of the Internet, expanding broadband capacity, and enhancing cybersecurity) by serving as the principal adviser to the President on communications policy. NTIA ensures timely analysis and development of policy recommendations on Internet and information issues that implicate U.S. economic, social, or political interests.

NTIA also manages national spectrum resources, including pursuing spectrum sharing and monitoring to make 500 MHz available for expanded high-speed broadband service, and it performs research in cutting-edge areas of communications technology. Through NTIA’s joint effort with the National Institute for Standards and Technology (NIST), the Center for Advanced Communications addresses current and long-term challenges related to spectrum sharing, public safety communications, standards coordination, electromagnetics, and quantum electronics. In addition, NTIA manages the Table Mountain Field Site and Radio Quiet Zone, an 1,800-acre, open-air test location in Boulder, Colorado. Several Federal agencies and private companies use the site to develop measurement techniques for new communication technologies, to test operational performance of new radar systems and other communication technologies, to evaluate broadband and laser radar (LADAR) technologies for public safety and national defense applications, and to test radio receivers for NOAA’s “All Hazards” national warning system.

Having successfully administered the Recovery Act broadband grant programs, NTIA is expanding broadband access and adoption further by providing expert technical assistance to communities to help them build partnerships that will facilitate broadband deployment and associated

economic benefits to even more communities. NTIA is supporting activities in communities that elevate their broadband preparedness and innovation readiness, resulting in significant strides in improving America's competitiveness through broadband and economic development goals.

NTIA staff and facilities are located primarily in Washington, DC, and at the Department of Commerce Boulder Laboratories, a multi-agency shared research and engineering facility in Boulder, Colorado. There are approximately 175 employees funded by appropriations and 155 employees funded by reimbursable agreements with other agencies.

The Middle Class Tax Relief and Job Creation Act of 2012 created the First Responder Network Authority (FirstNet), which is charged with building a wireless broadband network for first responders throughout the Nation. Congress established FirstNet as an independent authority within NTIA but directed by a 15-member Board of Directors. FirstNet established its headquarters in Reston, Virginia.

Section 1.2: Mission Statement

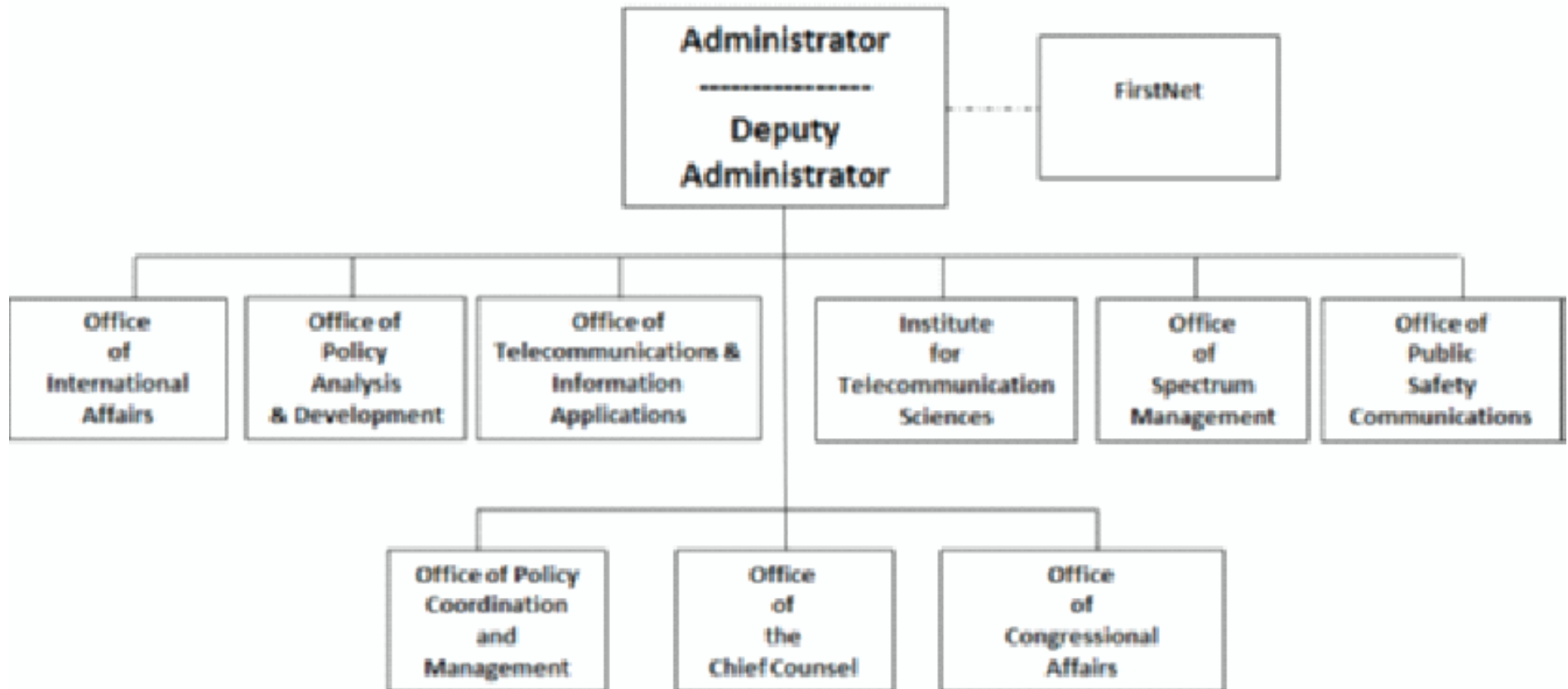
The National Telecommunications and Information Administration (NTIA) serves as the President's principal adviser on communications policy matters, develops forward-looking spectrum policies and research to ensure efficient and effective spectrum access and use. NTIA manages all spectrum use by Federal departments and agencies. NTIA also manages \$4.2 billion in grants to promote the availability and adoption of broadband and Internet technology. In addition, NTIA houses FirstNet, an independent authority charged with overseeing the deployment of a nationwide wireless broadband network for public safety.

Section 1.3: Vision and Values

NTIA goals are to promote the efficient use of Federal radio spectrum; advocate nationally and internationally for communications policies that further Internet innovation, stability, and security; negotiate with foreign governments to ensure adequate spectrum for national defense, public safety, and U.S. business needs; advance communications technologies; promote broadband availability and adoption; and oversee the deployment of a nationwide wireless broadband network for public safety.

U.S. DEPARTMENT OF COMMERCE

National Telecommunications & Information Administration



Part 2: Cross-Agency Priority Goals

Section 2.1: Overview

Per the GPRA Modernization Act requirement to address Cross-Agency Priority Goals in the agency strategic plan, the annual performance plan, and the annual performance report, refer to www.Performance.gov for the agency’s contributions to those goals and progress, where applicable.

Although the Department of Commerce is not the lead agency for the Cross-Agency Priority Goal on 4G Coverage, NTIA contributes to this goal. In support of the goal to ensure 4G wireless broadband coverage for 98% of Americans by 2016, NTIA is collaborating with the Federal Communications Commission (FCC) to make available a total of 500 megahertz of Federal and non-Federal spectrum over 10 years for mobile and fixed wireless broadband use. NTIA is collaborating with the FCC and the State Department to prepare the U.S. proposals to World Radiocommunication Conference 2015 (WRC-15). The conference in 2015 will revise the international treaty governing the use of the radio-frequency spectrum and the geostationary-satellite and non-geostationary-satellite orbits.

Lawrence Strickling, Assistant Secretary for Communications and Information, is responsible for ensuring NTIA’s support for this Cross-Agency Priority Goal.

Part 3: Strategic Goals and Objectives

Section 3.1: Corresponding DoC Strategic Themes, Goals, and Objectives

Goal	Objective Number	Objective Name	Leader
Trade and Investment: Expand the U.S. economy through increased exports and inward foreign investment that lead to more and better American jobs.	1.1	Increase opportunities for U.S. companies by opening markets globally.	Kenneth E. Hyatt Acting Under Secretary for International Trade Ken.Hyatt@trade.gov
Innovation: Foster a more innovative U.S. economy—one that is better at inventing, improving, and commercializing products and technologies that lead to higher productivity and competitiveness.	2.3	Strengthen the Nation’s digital economy by championing policies that will maximize the potential of the Internet, expanding broadband capacity, and enhancing cybersecurity.	Lawrence E. Strickling Assistant Secretary for Communications and Information LStrickling@ntia.doc.gov

Section 3.2: Strategies

Objective 1.1:

- Ensure U.S. commercial and economic interests are advanced in trade agreements and in other international forums: NTIA ensures that U.S. negotiating objectives consider the priority needs of U.S. industries competing in the global market. NTIA will represent U.S. interests at treaty-making conferences, regional communications conferences and meetings, bilateral and multilateral meetings, and multistakeholder meetings and conferences. NTIA's priorities include strong and effective disciplines on trade barriers.
- NTIA will continue to participate in and, in several cases, lead the extensive preparatory process for international and intergovernmental meetings, partnering with the relevant Federal agencies and U.S. industry, civil society, and technical stakeholders. NTIA's policy expertise and strategic coordination with other governments have contributed to the success of the United States at previous international and intergovernmental conferences and meetings.
- Several countries are increasing their efforts to regulate the Internet through intergovernmental institutions. Attempts to restrict and globally regulate the Internet are a major threat to the United States' approach to the development and expansion of the Internet, as well as more traditional communications technologies. It is crucial that NTIA participate in developing and executing plans, policies, and programs that relate to international communications issues and provide advice and assistance on Internet issues, to ensure a free and open global Internet characterized by multistakeholder decisionmakers.
- The ITU's international regulation of radio spectrum directly affects U.S. roles in international commerce and diplomacy, including satellite orbit management. A plurality of the technical recommendations of the ITU are based on research conducted at NTIA's research laboratories, and these laboratories will continue to provide authoritative technical contributions and leadership to ITU committees that develop technical standards of importance to U.S. industry and government. NTIA will continue investments to develop and present U.S. positions, plans, policies, and programs for international communications conferences and associated preparatory meetings which have consistently produced outcomes favorable to the United States.

Objective 2.3:

- Ensure policies that promote the Internet as an engine of growth: The Internet's potential to drive innovation and economic growth relies on the free flow of information as well as the Internet's inherent flexibility. NTIA will advocate for relevant domestic and international policies that

do not unnecessarily hinder the digital economy or chill innovation in the online environment. NTIA will use and participate in multistakeholder processes to develop solutions to evolving digital economy issues.

- Increase broadband infrastructure and use: Broadband capabilities and appropriate mechanisms to leverage those capabilities to attract commerce can have a tremendous impact on local economies. NTIA will use its expertise in funding broadband projects and providing technical assistance to help communities increase their broadband infrastructure and provide citizens the tools to leverage broadband to attract jobs and investments.
- Foster advanced communications technologies: Spectrum sharing and other innovations in advanced communications will drive economic growth and development. NTIA and NIST have agreed to leverage both bureau's key research and engineering expertise and capabilities by establishing and supporting the Center for Advanced Communications. This unique national asset will provide both research and testing capabilities. NIST and NTIA will partner with industry, academia, and government agencies to foster the invention, development, and deployment of future advanced communications technologies.
- Facilitate the continued development of the online marketplace by ensuring copyright policy adapts appropriately to current digital technologies: Digital technologies have presented unprecedented challenges and opportunities for U.S. industries. The goals of both copyright and Internet policies can and should work in tandem to advance the digital economy. NTIA, in partnership with the U.S. Patent and Trademark Office, has convened stakeholders—creators, rights holders, service providers, and consumers—to develop a public record on critical digital copyright issues that were identified in a Department green paper (*Copyright Policy, Creativity, and Innovation in the Digital Economy*). As the process moves forward, the policy recommendations will advance the goal of both ensuring a balanced and effective copyright system and promoting the continued development of an efficient online marketplace for creative works.
- NTIA remains committed to using the multistakeholder model of Internet policymaking and governance in its efforts to ensure sound policy frameworks. NTIA engages with a broad array of stakeholders to gain consensus on Internet policy issues. This process encourages decisionmaking and operating in an open, transparent, and accountable manner and increases opportunities for effective participation by those most directly impacted by decisions.
- NTIA is continuing efforts to make available 500 MHz of spectrum for wireless broadband use by 2020, as mandated by Presidential Memorandum. NTIA is also promoting spectrum sharing by facilitating government and industry collaboration, establishing methods to quantify Federal spectrum use, and requiring agencies to justify spectrum use between 400 MHz and 6 GHz as required, in accordance with the Presidential Memorandum of June 14, 2013 (Expanding America's Leadership in Wireless Innovation). Through collaboration with the FCC, industry stakeholders, and other agencies, NTIA has been addressing challenges related to spectrum sharing as a means to maximize efficient spectrum use. The spectrum below 6 GHz most desired for wireless broadband is already committed to a host of Federal and non-Federal users. Decisions to repurpose spectrum through relocation of incumbent users or spectrum sharing will require policymakers to weigh the potential economic and technological benefits of increased commercial broadband against the need for Federal agencies to use spectrum to achieve their missions.

- NTIA implemented the Congressional mandate, using ARRA funding, to develop a national broadband map. The map is an unprecedented, searchable, public database showing the locations of broadband Internet service, the technology used to provide the service, the maximum advertised speeds of the service, and the names of the service providers. Each new data set loaded onto the map helps educate the Nation about broadband availability and assists the public and private sectors in making decisions affecting their businesses and constituents.

Section 3.3: Progress Update

FY 14-18 Strategic Goal: EXPAND THE U.S. ECONOMY THROUGH INCREASED EXPORTS AND INWARD FOREIGN INVESTMENT THAT LEAD TO MORE AND BETTER AMERICAN JOBS. (TRADE AND INVESTMENT)

FY 14-18: Strategic Objective: 1.1: INCREASE OPPORTUNITIES FOR U.S. COMPANIES BY OPENING MARKETS GLOBALLY

Benefits:

NTIA advocates globally for foreign regulatory and policy frameworks that promote competition and innovation in the information and communications technology sector and strengthens the ability of U.S. firms to compete effectively for global trade opportunities. NTIA utilizes its policy tools in advance preparation to best position the United States in international forums as a global leader and to strengthen the ability of U.S. firms to compete effectively for global trade opportunities. In addition, NTIA pursues policies promoting international trade in communications products and services, promoting consistent international trade policy, and improving relations with countries with rapidly expanding markets. NTIA has utilized its policy expertise and strategic coordination with other governments to advocate the United States' positions and will continue to participate in and, in several cases, lead the extensive preparatory process for international and intergovernmental meetings.

FY 2014 Accomplishments:

In April 2014, NTIA participated in a global multistakeholder conference on the future of Internet Governance, Netmundial. The successful Netmundial conference hosted by Brazil brought together a wide range of stakeholders including technical experts, civil society groups, industry representatives, and government officials, all on an equal footing with each other. At this meeting, not only did participants agree that Internet governance should be built on democratic multistakeholder processes, the entire meeting was a demonstration of the open, participative, and consensus-driven governance that has allowed the Internet to develop as an unparalleled engine of economic growth and innovation.

During FY 2014, NTIA participated in the U.S. preparatory process for the International Telecommunication Union (ITU) 2014 Plenipotentiary Conference (PP-14). The Plenipotentiary Conference is the top policy-making body of the ITU and establishes the strategic direction the ITU for the time period 2015-2019. NTIA led several of the U.S. delegation working groups, in particular the Internet Working Group (IWG).

NTIA along with the State Department and FCC has been preparing U.S. proposals to World Radiocommunication Conference 2015 (WRC-15). The 2015 conference will consider spectrum requirements for uses ranging from mobile service allocations for broadband applications to controlling unmanned aircraft from space.

FY 14-18 Strategic Goal: FOSTER A MORE INNOVATIVE U.S. ECONOMY—ONE THAT IS BETTER AT INVENTING, IMPROVING, AND COMMERCIALIZING PRODUCTS AND TECHNOLOGIES THAT LEAD TO HIGHER PRODUCTIVITY AND COMPETITIVENESS. (INNOVATION)

FY 14-18: Strategic Objective: 2.3: STRENGTHEN THE NATION’S DIGITAL ECONOMY BY CHAMPIONING POLICIES THAT WILL MAXIMIZE THE POTENTIAL OF THE INTERNET, EXPANDING BROADBAND CAPACITY AND ENHANCING CYBERSECURITY.

Benefits:

NTIA seeks to protect the Internet as a tool for innovation and economic growth, increase the spectrum available for broadband services and applications, and expand broadband availability and usage so communities can maximize the economic benefits of the Internet. NTIA has used approximately \$4 billion to fund grants through the Broadband Technology Opportunities Program (BTOP) to stimulate broadband demand, economic growth, and job creation.

NTIA will build upon these broadband efforts to advance U.S. communities’ broadband infrastructure, adoption, and utilization by creating and sharing lessons learned and best practices resulting from the success of BTOP. To maintain the momentum generated by BTOP, NTIA will encourage communities to elevate their broadband preparedness and innovation readiness.

NTIA also advocates for policies across the U.S. Government that promote the Internet and digital economy. NTIA promotes policies that protect consumer privacy, harness the advanced computational capabilities of the Internet, ensure an open Internet, and empower communities to explore creative means to advance broadband adoption and availability. NTIA advises the President on policies that protect consumer privacy and civil liberties, while enhancing trust and the security and stability of communications infrastructure.

FY 2014 Accomplishments:

NTIA was involved in numerous activities during FY 2014 related to Internet and communications policy, including convening an interagency working group to develop a set of principles to transition the current role played by NTIA in the coordination of the Internet’s domain name system (DNS). NTIA also heavily contributed to the Administration’s “Big Data Report”. NTIA helped craft the final report, and following its release, NTIA issued a Request For Comment to gather public input into how “big data” impacts privacy. NTIA also continued its work implementing the Administration’s Consumer Data Privacy Blueprint, including covering multistakeholder meetings on facial recognition policy.

During FY 2014, NTIA continued progress identifying spectrum bands for wireless broadband, promoting greater government/industry collaboration and developing processes and capabilities to ensure compliance with Congressional spectrum mandates. Pursuant to the President's June 2010 memorandum, NTIA has identified for potential reallocation 335 megahertz of Federal spectrum to date. NTIA ensured timely preparation for a November 2014 auction by the FCC of the 1695-1710 MHz and 1755-1780 MHz bands, increasing the geographic availability while decreasing costs and the transition period.

NTIA also developed and launched a website "spectrum.gov", providing detailed information on Federal spectrum use between 225 MHz and 5 GHz, a significant information resource never before available to the spectrum community. Under the new Spectrum Monitoring Initiative, NTIA established the first remote sensor control and data backhaul capability using commercial-off-the-shelf components. The sensor, deployed near Norfolk, VA, will monitor the 3.5 GHz maritime radar band on a continuous long-term basis.

As the first collaborative research program between NTIA and NIST under the new Center for Advanced Communications, NTIA initiated the development of an application of a new propagation measurement system to assess propagation losses due to clutter (i.e., man-made structures and foliage) in support of the Advance Wireless Services-3 and 3.5 GHz rulemakings.

During FY 2014, BTOP grant recipients connected more than 25,300 total community anchor institutions, deployed more than 113,500 miles of new or upgraded network miles; and generated approximately 736,500 new broadband subscribers. In addition, the State Broadband Initiative, which funded state data collection and analyses for the National Broadband Map, released a new data set and updated the Map. NTIA also worked with states to prepare for the final data collection under the SBI in FY 2015.

NTIA continued to support the FirstNet in developing a program roadmap, which outlines steps to be taken to develop a business plan and other foundational documents needed to successfully implement a nationwide broadband public safety network. NTIA began to identify issues for inclusion in a Public Notice seeking comment on the opt-out process for states that may apply to NTIA for grants and spectrum lease agreements. The grants to states will support efforts to construct their Radio Access Networks (RANs), which must be compatible with – and comparable to – the FirstNet network for coverage within their states. NTIA will coordinate this Notice with FirstNet and the FCC. NTIA continued to monitor the State planning grants awarded to states to support their efforts to plan for the FirstNet network. All 54 grantee performance progress reports for the quarters ending December 31, March 30, and June 30 were reviewed and approved for program progress and grant compliance.

Section 3.4: Next Steps

For their four programs, NTIA will do the following activities during FY 2016:

Domestic and International Policies

- Lead and participate in U.S. delegations to international forums to build a global consensus on the multistakeholder approach to Internet policymaking;
- Advocate for transparent, accountable management of the Internet DNS, including representing the United States in ICANN's Governmental Advisory Committee;
- Convene open, transparent, consensus-based meetings of stakeholders who are interested in developing codes of conduct and best practices to improve consumer privacy protections;
- Analyze and develop policy positions on emerging information and communications policy issues, such as network neutrality and the Internet protocol transition;
- Advance public dialogue and policies related to broadband advancement through data gathering and analysis on the digital economy, community broadband, and regional deployments, such as those in the arctic;
- Convene multistakeholder processes and promote policy action on critical issues to the Internet and digital economy, such as digital copyright, mobile devices and applications, cybersecurity, and the free flow of information;
- Work with law enforcement and national security agencies to assess whether changes to electronic surveillance statutes are necessary to promote Internet innovation and preserve consumer trust in the Internet;
- Provide training to representatives of foreign communications regulators through USTTI and the DDLP and other appropriate venues;
- Assist in coordination with the Minority Business Development Agency (MBDA) to identify strategic partnership prospects in emerging economies to advance the Administration's Internet governance goals and that promote MBDA's export initiatives; and

Spectrum Management

- Develop and/or update and publish information describing Federal spectrum management processes and Federal agencies' use of spectrum. Respond to requests from Congress and other sources for specific information about Federal operations;
- Plan and conduct at least three NTIA spectrum training courses and seminars for U.S. and foreign spectrum managers, to include participation in the United States Telecommunications Training Institute (USTTI);
- Participate in and contribute to other international forums dealing with radio spectrum issues, such as the North Atlantic Treaty Organization (NATO) Joint Civil/Military Committees, the International Civil Aviation Organization, and the International Maritime Organization;
- Coordinate Federal Government positions and proposals to be submitted to international forums involved in spectrum management matters;
- Review Federal space systems for compliance with national requirements, register Federal satellite networks with the ITU, and coordinate with foreign administrations and domestic operators to protect Federal satellite services from harmful interference;
- Identify regulatory and procedural barriers to the timely and global implementation of U.S. innovations in radiocommunication technologies and services and recommend methods to remove these barriers;

- Engage with the FCC, Federal agencies, and licensees to ensure a timely and successful transition of the AWS-3 (1695-1710 MHz and 1755-1780 MHz) bands, to include facilitating spectrum sharing during the transition period or indefinitely for identified systems and locations. Develop and publish annual report on Federal agencies' progress to transition systems;
- Engage with the FCC, Federal agencies and commercial broadband providers in carrying out rule changes to allow consumer access to 3550-3650, 5350-5470 and 5850-5925 MHz bands;
- Use spectrum quantification assessments to enable increased spectrum access by commercial broadband providers to Federal spectrum (2013 Presidential Memorandum);
- Chair the Interdepartment Radio Advisory Committee (IRAC), its subcommittees, and ad hoc groups to coordinate spectrum use, review spectrum plans, develop Federal technical standards, perform emergency planning, support satellite registration and coordination, prepare for international conferences, and develop frequency coordination arrangements with Canada and Mexico;
- In consultation with the IRAC, process requests by Federal agencies for frequency assignment and spectrum certification actions. Evaluate proposed Federal radio-communications systems for certification of spectrum support in accordance with OMB Circular A-11;
- Participate in the negotiation of spectrum coordination agreements and spectrum-sharing protocols with Mexico and Canada, as well as participate in the Joint Commission on Resolution of Radio Interference (CMERAR), to resolve cases of harmful interference between radio stations in the United States and Mexico;
- Coordinate requests for radio frequency assignments in the United States/Canadian border area in order to ensure interference-free operations in both the United States and Canada;
- Perform technical studies to identify spectrum that can be made available (through relocation or sharing) for commercial licensed and unlicensed wireless broadband services. Develop technical recommendations and approaches to support required policy and regulatory changes;
- Carry out actions related to the Strategic Plan for Federal Spectrum Management; and
- Promote government/industry collaboration on spectrum management matters.

Advanced Communications Research:

- Build additional sensors to expand the spectrum monitoring system;
- Continue to develop methods and techniques for improving the accuracy and utility of electromagnetic compatibility studies to characterize the emissions of different communications devices and spectrum measurements to characterize the radio space in which they operate;
- Enhance spectrum utilization through interference analysis, prevention, and mitigation;
- Improve the performance of communications networks by developing and validating radiowave propagation prediction standards for spectrum coordination;
- Assess radio network performance for critical new areas including Internet multimedia conferencing, advanced television, and wireless services; and

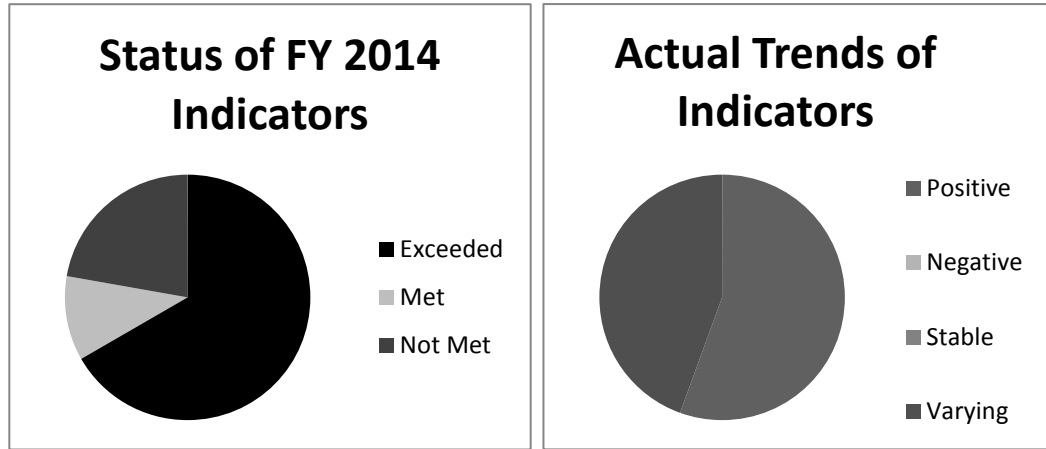
- Manage the Table Mountain Field Site and Radio Quiet Zone, which is one of only two sites in the country regulated to prevent the transmissions of powerful signals over the site, and currently the only one consistently available for use by private industry to test and evaluate promising new communications technologies.

Broadband Programs:

- Ensure an efficient closeout of the remaining BTOP grants. NTIA will ensure that recipients comply with all grant terms and conditions, including the appropriate filing of UCC-1 forms that document the Federal interest in grant-funded property;
- Offer online and in-person technical assistance in FY 2016 to stakeholder groups and individual communities that request assistance or information from NTIA's team. NTIA will also link communities with existing Federal resources across the government (e.g., SmartGrid, economic development) to build their broadband capacity and result in long-term economic return in these communities;
- Continue to evaluate the national broadband benchmarks it established during FY 2015 and work with stakeholders to establish metrics to measure the level of economic growth for communities that meet these benchmarks; and
- Broaden efforts with our stakeholders that build on the demonstrable outcomes and best practices of the recent public and private broadband investments that have together raised the levels of broadband availability and adoption across much of the country. This public-private engagement will help communities participate more effectively in the Internet-based economy.

Part 4 Performance Goals / Indicators

Section 4.1: Summary of Performance



Status is based on the following standard:

Exceeded	More than 100 percent of target
Met	90 - 100 percent of target
Not Met	Below 90% of target

An indicator with a positive trend is one in which performance is improving over time while a negative trend is an indicator that has declining performance. A stable trend is one in which the goal is to maintain a standard, and that that is occurring. A varying trend is one in which the data fluctuates too much to indicate a trend. At a minimum these indicators must have three years of data.

Section 4.2: Summary of Indicator Performance

Objective 1.1: Increase opportunities for U.S. companies by opening markets globally

Indicator	Target	Actual	Status	Trend
Percentage of NTIA positions substantially adopted or successful at international meetings	75% of NTIA positions substantially adopted/ successful at international meetings	Exceeded target of 75 % by meeting 95% of NTIA positions substantially adopted/ successful at international meetings	Exceeded	Positive

Objective 2.3. Strengthen the Nation’s digital economy by championing policies that will maximize the potential of the Internet, expanding broadband capacity, and enhancing cybersecurity

Indicator	Target	Actual	Status	Trend
<u>Recurring</u>				
Identify up to 500 MHz of spectrum to support commercial broadband services or products	Meet 66% of annual milestones regarding the identification of 500 MHz for wireless broadband	Exceeded goal of 66% by achieving 100% of annual milestones regarding the identification of 500 MHz for wireless broadband	Exceeded	Positive
In coordination with DOC operating units, number of outreach activities with government, industry and multi-stakeholder groups to identify and address privacy and global free flow of information issues (forums and proceedings)	6	9 multistakeholder meetings	Exceeded	Not enough data
Miles of broadband networks deployed (Infrastructure Projects) (Agency Priority Goal)	115,000	113,555	Met	Positive
Community anchor institutions connected (Infrastructure Projects) (Agency Priority Goal)	23,000	25,391	Exceeded	Positive
Number of times research publications are downloaded annually	7,000	7,707	Exceeded	Not enough data
Successfully completed deliverables under reimbursable agreements (on time, on budget, and accepted)	>95%	>98%	Met	Not enough data
Delivery by FirstNet and acceptance of each state’s network plan or, alternatively, FCC approval of a state’s plan required for the implementation of the Public Safety Broadband Network	Issue Requests for Proposals	Consultation with Regional, State, Tribal and Local Jurisdictions initiated. Two additional RFIs, including the key RFI for Comprehensive Network Solution(s), and the Draft Comprehensive Statement of Objectives (SOO) were issued.	Not Met	Not enough data

<u>Non-recurring</u>				
New household and business subscribers to broadband (Sustainable Broadband Adoption Projects) (Agency Priority Goal)	670,000	736,489	Exceeded	Positive

Section 4.3: Detailed Indicator Plans and Performance

Trade and Investment Objective 1.1: Increase opportunities for U.S. companies by opening markets globally.

Indicator	Percentage of NTIA positions substantially adopted or successful at international meetings							
Description	NTIA will promote acceptance of U.S. positions and proposals internationally by representing U.S. interests at treaty-making conferences, regional communications conferences and meetings, bilateral and multilateral meetings, and multi-stakeholder meetings and conferences. This measure tracks the number of accepted U.S. technical and policy positions and proposals to international treaty-making conferences, bilateral and multilateral meetings, multi-stakeholder meetings, and regional communications conferences and meetings.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	75% of NTIA positions substantially adopted/ successful at international meetings	75% of NTIA positions substantially adopted/ successful at international meetings	75% of NTIA positions substantially adopted/ successful at international meetings	75% of NTIA positions substantially adopted/ successful at international meetings	75% of NTIA positions substantially adopted/ successful at international meetings	75% of NTIA positions substantially adopted/ successful at international meetings
Actual	N/A	N/A	Exceeded target of 75 % by meeting 95% of NTIA positions substantially adopted/ successful at international meetings	>80% of NTIA positions substantially adopted/ successful at international meetings	>80% of NTIA positions substantially adopted/ successful at international meetings	Exceeded target of 75 % by meeting 95% of NTIA positions substantially adopted/ successful at international		

						meetings		
Status	N/A	N/A	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Validation and Verification								
Data Source	Office of International Affairs (OIA)							
Frequency	Monthly, Annually							
Data Storage	OIA, Associate Administrators							
Internal Control Procedures	NTIA document clearance process, OMB/Interagency clearance process							
Data Limitations	None							
Actions to be Taken	None							

Objective 2.3. Strengthen the Nation’s digital economy by championing policies that will maximize the potential of the Internet, expanding broadband capacity, and enhancing cybersecurity.

Indicator	Identify up to 500 MHz of spectrum to support commercial broadband services or products							
Description	NTIA is undertaking tasks, in response to the June 28, 2010 Presidential Memorandum and in collaboration with the Federal Communications Commission (FCC), to make available a total of 500 MHz (in bandwidth) of spectrum to support wireless broadband services or products by 2020. NTIA, with input from other Federal agencies and the FCC, developed a Ten-Year Plan and Timetable, identifying over 2,200 MHz of spectrum for evaluation. As this work has progressed, the band analysis process continues, but much of the effort has turned toward implementation of bands that NTIA and/or the FCC have identified. The combination of the ongoing analysis and implementation of band-repurposing results in a new set of deliverables each fiscal year. NTIA will establish at the beginning of each fiscal year the set of expected deliverables to complete this complex project.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	Meet 66% of annual milestones regarding the identification of	Meet 66% of annual milestones regarding the identification of	Meet 66% of annual milestones regarding the identification of	Meet 66% of annual milestones regarding the identification of 500	Meet 66% of annual milestones regarding the identification of

				500 MHz for wireless broadband	500 MHz for wireless broadband	500 MHz for wireless broadband	MHz for wireless broadband	500 MHz for wireless broadband
Actual	N/A	N/A	N/A	Exceeded goal of 66% by achieving 85% of annual milestones regarding the identification of 500 MHz for wireless broadband	Exceeded goal of 66% by achieving 100% of annual milestones regarding the identification of 500 MHz for wireless broadband	Exceeded goal of 66% by achieving 100% of annual milestones regarding the identification of 500 MHz for wireless broadband		
Status	N/A	N/A	N/A	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Validation and Verification								
Data Source	NTIA Office of Spectrum Management (OSM)							
Frequency	Monthly, Annually							
Data Storage	OSM, Associate Administrator							
Internal Control Procedures	NTIA document clearance process, OMB/Interagency clearance process							
Data Limitations	None							
Actions to be Taken	None							

Indicator	In coordination with DOC operating units, number of outreach activities with government, industry and multistakeholder groups to identify and address privacy and global free flow of information issues							
Description	Stakeholders from industry, consumer groups, government, academia, and the technical community will work toward crafting a consensus on privacy and global free flow of information issues. NTIA will seek public input and comments to lay the groundwork for these challenges. NTIA's role is not to substitute its judgment for the views of stakeholders, but will ensure the process is open, transparent, and consensus-based, leading to the achievement of consensus on at least one policy issue by the end of FY 2015.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	6 public forums and proceedings	6 public forums and proceedings	6 public forums and proceedings

Actual	N/A	N/A	N/A	N/A	N/A	9 multistakeholder meetings		
Status	N/A	N/A	N/A	N/A	N/A	Exceeded		
Trend	Not enough data							

Validation and Verification

Data Source	Office of Policy Analysis and Development
Frequency	Quarterly
Data Storage	NTIA website
Internal Control Procedures	Inspection of data
Data Limitations	None
Actions to be Taken	None

Indicator	Miles of broadband networks deployed (Infrastructure Projects) (Agency Priority Goal)							
Description	BTOP funded projects that provide broadband service in unserved areas and enhance broadband service in underserved areas of the United States. The BTOP portfolio of projects initially included 123 infrastructure projects totaling \$3.5 billion in Federal grant funds to construct broadband networks and to connect “community anchor institutions” such as schools, libraries, hospitals, and public safety facilities. This indicator’s target is the cumulative total number of miles of network (e.g., fiber, microwave) deployed using BTOP funding. The Recovery Act provided all funding for BTOP grants. Infrastructure projects are scheduled to be substantially completed by the end of FY 2013. As in FY 2014, NTIA will continue to administer in FY 2015 the BTOP grants through their completion and Federal interest period in order to protect the Federal government’s investment in broadband infrastructure, public computer centers, and broadband adoption projects.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	10,000	50,000	100,000	115,000	118,000	Retired
Actual	N/A	N/A	29,191	78,699	111,361	113,555		
Status	N/A	N/A	Exceeded	Exceeded	Exceeded	Met		
Trend	Positive							
Explanation (if not met in FY 2014)	The network miles indicator has lagged behind the target for the last two quarters of FY 2014, primarily due to deployment challenges, delays associated with environmental reviews, and delays with construction permitting.							
Actions to be taken / Future Plans	NTIA expects to meet its overall target by the end of the program in 2015.							
Adjustments to targets	NTIA had previously defined FY 2013 and “end of program” targets for BTOP, based on expected							

	performance of the BTOP portfolio. However, NTIA had not previously developed specific FY 2014 and FY 2015 targets, since individual projects were only recently extended into FY 2014 and FY 2015. The revised targets for Miles of Broadband Networks Deployed are based on NTIA's insight into the expected actual performance of BTOP projects as these grants are closed out.
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Validation and Verification

Data Source	Grantee reports
Frequency	Quarterly
Data Storage	BTOP Post-Award Management (PAM) Tool
Internal Control Procedures	Inspection of data, site visits
Data Limitations	Reporting errors on the part of grantees
Actions to be Taken	Collection of data

Indicator	Community anchor institutions connected (Infrastructure Projects) (Agency Priority Goal)							
Description	The Recovery Act places a high priority on deploying and enhancing broadband capabilities for community anchor institutions such as libraries, hospitals, schools, and public safety entities. The BTOP portfolio of projects initially included 123 infrastructure projects totaling \$3.5 billion in Federal grant funds to construct broadband networks and to connect "community anchor institutions" such as schools, libraries, hospitals, and public safety facilities. This measure's target is the cumulative total number of anchor institutions connected with new or improved broadband capabilities. The Recovery Act provided all funding for BTOP grants. Infrastructure projects are scheduled to be substantially completed by the end of FY 2013. As in FY 2014, NTIA will continue to administer in FY 2015 the BTOP grants through their completion and Federal interest period in order to protect the Federal government's investment in broadband infrastructure, public computer centers, and broadband adoption projects.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	3,000	10,000	18,000	23,000	23,500	Retired
Actual	N/A	N/A	4,163	11,246	20,325	25,391		
Status	N/A	N/A	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Actions to be taken / Future Plans	This indicator is being retired because NTIA will have met its final target.							
Adjustments to targets	NTIA previously defined FY 2013 and "end of program" targets for BTOP, based on expected performance of the BTOP portfolio. However, NTIA had not previously developed specific FY14 and FY15 targets, since individual projects were only recently extended into FY 2014 and FY 2015. The revised targets for Community Anchor Institutions Connected are based on NTIA's insight into the expected actual performance of BTOP projects as these grants move through closeout.							

Validation and Verification	
Data Source	Grantee reports
Frequency	Quarterly
Data Storage	BTOP Post-Award Management (PAM) Tool
Internal Control Procedures	Inspection of data, site visits
Data Limitations	Reporting errors on the part of grantees
Actions to be Taken	Collection of data

Indicator	Increase in communities to which NTIA provides technical assistance							
Description	Among the communities that were not able to receive NTIA assistance during the BTOP grant period, various communities now will be able to take advantage of NTIA's technical expertise during NTIA's subsequent outreach program, thereby leveraging the expansion of broadband. This performance metric measures the additional communities that NTIA still can assist now that grant funding no longer exists.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	N/A	175 communities *	250 communities*
Actual	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Status	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
* Not cumulative								
Trend	Not enough data							
Notes	This is a new performance indicator beginning in FY 2015.							

Validation and Verification	
Data Source	Varies, including attendance at NTIA workshops, direct technical assistance, product downloads
Frequency	Quarterly
Data Storage	TBD
Internal Control Procedures	N/A
Data Limitations	Limitations on data collections
Actions to be Taken	Collection of data

Indicator	Number of times research publications are downloaded annually							
Description	Telecommunications engineering research publications are used by engineers and scientists associated with industry, other government agencies, standards development organizations, and academia for technical data and information to support efficient and effective management of spectrum and innovative use of new technologies.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	7,000	7,300	7,500
Actual	N/A	N/A	N/A	N/A	N/A	7,707		
Status	N/A	N/A	N/A	N/A	N/A	Exceeded		
Trend	Not enough data							
Adjustments to targets	FY 2015 and FY 2016 targets adjusted upward to reflect trend. (FY 2013 baseline was 7,174.)							
Notes	This is a new metric using new methodology; FY 2013 has established the baseline.							
Validation and Verification								
Data Source	Google Analytics							
Frequency	Annually							
Data Storage	Inspection							
Internal Control Procedures	None							
Data Limitations	None							
Actions to be Taken	None							

Indicator	Successfully completed deliverables under reimbursable agreements (on time, on budget, and accepted)							
Description	NTIA's laboratory performs research on a cost-reimbursable basis for other Federal agencies under interagency agreements (IAAs) and for private entities under CRADAs. As a proxy for customer satisfaction with research performed under an aggregate of unique agreements, the laboratory tracks as "Met/Not Met" three success parameters for each deliverable under all agreements: on time, on budget, and accepted. The metric reports the percent of total parameters (total number of deliverables under all MOUs × three parameters for each) that are reported as "Met."							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	>95%	>95%	>95%
Actual	N/A	N/A	N/A	N/A	N/A	98%		
Status	N/A	N/A	N/A	N/A	N/A	MET		

Trend	Not enough data
Notes	Inter-Agency Agreements with two customers were renegotiated at the customer's request to end early, prior to the due date of scheduled deliverables, which were therefore counted as not met.
Validation and Verification	
Data Source	NTIA Institute for Telecommunication Sciences' Project Plans
Frequency	Quarterly, Annually
Data Storage	Inspection
Internal Control Procedures	None
Data Limitations	None
Actions to be Taken	None

Indicator	Delivery by FirstNet and acceptance of each state's network plan or, alternatively, FCC approval of a state's plan required for the implementation of the Public Safety Broadband Network
Description	Under Title IV Subtitle B of the Middle Class Tax Relief and Job Creation Act of 2012, FirstNet must deliver to each state governor (or his designee) a plan for the construction, operation, maintenance and improvement out of the nationwide, interoperable broadband network in the state upon completion of a Request for Proposal (RFP) process. Upon delivery of the plan, each State and territory must choose whether to participate in the network deployment as proposed by FirstNet or conduct its own deployment of a radio access network in the State (opt-out). States seeking to opt-out must first obtain permission to do so by the Federal Communications Commission. If successful in opting out, these states must still comply with network standards developed by FirstNet.

	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	Issue RFPs	Issue RFPs	RFP Development and Consultation with Regional, State, Tribal and Local Jurisdictions	Issue RFPs
Actual	N/A	N/A	N/A	N/A	Issuance of 11 Requests for Information (RFIs).	Consultation with Regional, State, Tribal and Local Jurisdictions initiated. Two additional RFIs, including the key RFI for Comprehensive Network Solution(s), and the Draft Comprehensive Statement of Objectives (SOO) were issued.		
Status				N/A	Not Met	Not Met		
Trend	Not enough data							
Explanation (if not met in FY 2014)	Issuance of the RFPs was delayed to enable consultation with regional, state, tribal and local jurisdictions. Focus on draft SOO and detailed RFI to ensure a well planned acquisition process.							
Actions to be taken / Future Plans	FirstNet has initiated an aggressive schedule for consultation with the regional, state, tribal, and local jurisdictions and plans to issue a draft RFP for a comprehensive network solution in the March 2015 timeframe.							
Adjustments to targets	Issuance of the final RFP for a comprehensive network is expected by early FY 2016.							
Validation and Verification PLEASE PROVIDE, OTHERWISE STATE WHY NOT PROVIDED								

Data Source	Internal Documents
Frequency	N/A
Data Storage	N/A
Internal Control Procedures	N/A
Data Limitations	N/A

Non-Recurring Indicators

Indicator	New household and business subscribers to broadband (Sustainable Broadband Adoption Projects) (Agency Priority Goal)					
Description	The BTOP portfolio of projects initially included 44 sustainable broadband adoption (SBA) projects totaling \$250.7 million in Federal grant funds to support innovative projects that promote broadband adoption, especially among vulnerable population groups where broadband technology traditionally has been underutilized. This measure's target is the cumulative total number of new household and business subscribers to broadband generated by projects funded through the BTOP Sustainable Broadband Adoption category of funding, as reported by awardees.					
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target	N/A	N/A	100,000	350,000	600,000	670,000
Actual	N/A	N/A	210,213	522,981	629,175	736,489
Status	N/A	N/A	Exceeded	Exceeded	Exceeded	Exceeded
Trend	Positive					
Adjustments to targets	NTIA adjusted its targets upward for FY 2015 based on recipient performance through FY 2013. The revised targets for New Household and Business Subscribers to Broadband are based on NTIA's insight into the expected actual performance of BTOP projects as these grants move through closeout. All of the grant performance must be complete by September 30, 2016, therefore, NTIA retired the targets for FY 2016.					
Notes	This indicator is being retired because NTIA will have met its final target					
Validation and Verification						
Data Source	Grantee reports					
Frequency	Quarterly					

Data Storage	BTOP Post-Award Management (PAM) Tool
Internal Control Procedures	Inspection of data, site visits
Data Limitations	Reporting errors on the part of grantees
Actions to be Taken	Collection of data

Part 5: Other Indicators

None.

Part 6: Agency Priority Goals

See Performance.gov. for the Agency Priority Goal Statement, Goal Leader, Strategies and Indicators.

Progress Update

To date, BTOP grantees have exceeded their program targets for Community Anchor Institutions (CAIs) , and Broadband Subscribers. The Network Miles indicator has lagged behind target for the last two quarters, primarily due to deployment challenges, delays associated with environmental reviews, and delays with construction permitting. However, NTIA expects to meet its overall target by the end of the program in 2015. In addition, 204 grantees have completed their projects or are in the closeout process. (NOTE: Final third-quarter FY 2014 data from BTOP grantees will be available in early September.)

During this reporting period, BTOP grant recipients continued to deploy infrastructure in 12 states. This is a substantial reduction from previous quarters, since most grant recipients have completed deployment and are in the process of closing-out their awards. Many local and regional communities are already realizing the initial benefits of new and improved broadband delivered by BTOP-funded projects. BTOP projects are significantly increasing broadband capacity to more than 7,600 local and regional communities across the country. These connections, many to a gigabit or more, provide a platform for new and expanding innovations in many fields, including health care, manufacturing, and education.

Next Steps

Since BTOP is nearing completion, NTIA staff continues to work closely with grantees to ensure that projects wrap up on time and within budget and delivers the promised broadband benefits to the communities they serve. For the remaining infrastructure projects, the focus is on overcoming challenges that will permit them to complete construction, test, and then activate their BTOP-funded broadband networks. To accomplish these objectives, NTIA staff performs extensive and diligent oversight and provides technical assistance to grant recipients, ensuring projects meet their milestones and protecting taxpayer funds. NTIA is also working closely with the NOAA and NIST grants officers to accelerate the closeout period and bring completed grant projects to closure more rapidly.

NTIA oversees projects in a number of ways. Staff remains in close and frequent contact with award recipients via regularly scheduled conference calls, email exchanges, drop-in calls on specific administrative or programmatic topics, and in-person conferences. These contacts serve as a means to reinforce the terms and conditions associated with each award and help ensure that NTIA quickly addresses challenges that arise. Additionally, recipients must report quarterly and annually to NTIA on key financial and programmatic activities. These reports are posted publicly and provide detailed information on progress in achieving program outcomes, use of funds, challenges faced, and expected future progress.

NTIA's planned actions include:

- Continue monitoring and oversight activities, and provide technical assistance and other support to projects that continue their implementation and deployment efforts:
 - 15 infrastructure projects, representing \$243.9 million in remaining Federal obligations;
 - 3 public computing center projects representing \$2.6 million in Federal obligations; and
 - 2 sustainable broadband adoption projects representing \$972,000 in Federal obligations.
- Partner with the NOAA grants office to coordinate and complete closeout activities associated with the 69 infrastructure projects in their closeout period, which NOAA administers for NTIA.
- Partner with the NIST grants office to coordinate and complete closeout activities associated with the 48 public computing center and sustainable broadband adoption projects in their closeout period, which NIST administers for NTIA.
- Continue ongoing monitoring of compliance with the Federal interest, open-access, and other post-grant obligations of the 32 infrastructure, 38 public computing center, and 17 sustainable broadband adoption projects that have closed out their grants.

Also, NTIA has contracted with ASR Analytics, LLC to conduct an evaluation of BTOP's social and economic impacts. This study will assess the short- and long-term economic gains in grant-funded communities. ASR has completed the case studies for 8 BTOP Public Computing Center (PCC) projects and 7 BTOP Sustainable Broadband Adoption (SBA) projects. Case studies of 12 broadband infrastructure grant recipients have also been completed. ASR is now drafting its Final Report, which summarizes the benefits and outcomes of BTOP. That report is expected to be released late in 2014.

Section 6.6: Contributing Programs

NTIA's Broadband Programs, housed in the Office of Telecommunication and Information Applications, contributes to three Agency Priority Goals, which fall under the Department-wide Innovation Goal. NTIA's Assistant Administrator is the Goal Lead. The three Agency Priority

Goals are:

- Miles of broadband networks deployed;
- Community anchor institutions connected; and
- New household and business subscribers to broadband.

Part 7: Resource Requirements Table

	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Enacted	FY 2016 Base	Increase/ Decrease	FY 2016 Request
Performance Objective 1.1. Increase opportunities for U.S. companies by opening markets globally.										
Salaries & expenses	2,141	2,385	2,746	2,996	2,572	1,417	3,797	3,723	3,281	7,004
Domestic and international policies	2,141	2,385	2,746	2,996	2,572	1,417	3,797	3,723	3,281	7,004
Subtotal, Objective 1.1	2,141	2,385	2,746	2,996	2,572	1,417	3,797	3,723	3,281	7,004
FTE	10	11	12	13	14	11	15	15	5	20
Performance Objective 2.3. Strengthen the Nation's digital economy by championing policies that will maximize the potential of the Internet, expanding broadband capacity, and enhancing cybersecurity.										
Salaries & expenses	50,631	55,467	89,370	81,657	77,093	84,605	98,291	79,238	5,542	84,780
Domestic and international policies	2,140	2,385	2,745	2,995	2,571	4,721	4,458	4,370	3,853	8,223
Spectrum management	32,191	35,870	45,245	37,228	34,963	40,304	52,276	43,240	0	43,240
Advanced Communications Research	14,159	14,827	16,838	14,048	12,531	15,239	24,547	15,527	4,828	20,355
Broadband Programs	0	0	21,796	24,390	24,456	24,341	17,010	16,101	(3,139)	12,962
Spectrum Sharing and Monitoring	0	0	0	0	0	0	0	0	0	0
Digital Television Transition and Public Safety Fund	593,842	54,059	57,955	18,555	0	0	0	0	0	0
Broadband Technology Opportunities Program (ARRA)	77,477	4,287,827	0	0	0	0	0	0	0	0
Grants	325	4,248,380	0	0	0	0	0	0	0	0
Program management	77,152	39,447	0	0	0	0	0	0	0	0
Digital To Analog Converter Box Program (ARRA)	418,341	1,258	0	0	0	0	0	0	0	0
Public Telecommunications Facilities, Planning, and Construction	20,943	22,914	1,210	1,298	526	347	1,023	0	0	0
Grants	19,005	21,182	0	0	0	0	0	0	0	0
Program management	1,938	1,732	1,210	1,298	526	347	1,023	0	0	0
Information Infrastructure Grants	205	101	170	64	55	223	407	0	0	0
Grants	0	0	0	0	0	0	0	0	0	0
Program management	205	101	170	64	55	223	407	0	0	0
Subtotal, Objective 2.3	532,674	4,329,411	41,501	43,462	38,826	85,176	99,721	79,238	5,542	84,780
FTE	252	287	273	256	243	240	291	290	14	304
Total Discretionary	567,597	4,367,567	90,750	83,019	77,674	86,593	103,518	82,961	8,823	91,784
Direct	534,814	4,331,796	44,246	46,457	41,397	44,905	44,309	40,409	8,823	49,232
Reimbursable	32,783	35,771	46,504	36,562	36,277	41,688	59,209	42,552	0	42,552
Mandatory	593,842	54,059	57,955	18,555						
Total Funding	1,161,439	4,421,626	148,705	101,574	77,674	86,593	103,518	82,961	8,823	91,784
Total FTE	262	298	285	269	257	251	306	305	19	324

Part 8: Other Information

Section 8.1: Major Management Priorities, Challenges, and Risks

The tremendous growth in demand for wireless broadband by consumers, businesses, and government agencies, and two recent Presidential Memorandums require NTIA to reassess its management of the nation's Federal airwaves. NTIA in conjunction with the FCC will work to recover and reallocate spectrum, update spectrum policies, and provide adequate incentives and assistance to enable Federal agencies or affected entities to make up to 500 MHz (in bandwidth) available for commercial use, in accordance with the President's National Wireless Initiative and the Presidential Memorandum of June 28, 2010 (*Unleashing the Wireless Broadband Revolution*). In addition, NTIA will promote spectrum sharing by facilitating government and industry collaboration, establishing methods to quantify Federal spectrum use, and requiring agencies to justify spectrum use between 400 MHz and 6 GHz as required, in accordance with the Presidential Memorandum of June 14, 2013 (*Expanding America's Leadership in Wireless Innovation*).

NTIA's responsibilities in FY 2016 and beyond include creation of economic potential through astute management of the Nation's spectrum resources and a leadership role in the fast-growing broadband and Internet world. Significant NTIA resources will also be devoted to ensuring the safety, stability, and security of the Internet via advocacy with regard to Internet governance and cybersecurity, both domestically and internationally.

In its November 25, 2013 report, the Department of Commerce's Office of Inspector General (OIG) identified the following NTIA management issues:

- Due to limited remaining spectrum capacity, the NTIA must open up more commercial wireless broadband spectrum.
- NTIA faces several challenges in establishing the Public Safety Broadband Network and overseeing the First Responder Network Authority.
- NTIA should improve the BTOP closeout policies and procedures, ensure consistent implementation of those policies and procedures in place, as well as ensure that the Federal government's interest in BTOP property is protected.

NTIA is committed to addressing several of the Nation's most pressing needs, such as spectrum access for wireless broadband and enhancing public safety. NTIA understands the OIG's concerns and is working diligently to make spectrum available and to improve spectrum sharing consistent with the President's initiatives. In 2013, NTIA signed an agreement with NIST to work together to establish a joint Center for Advanced Communications to promote spectrum sharing and advance public safety applications. NTIA continues to move forward to fulfill the President's goal of 500 megahertz for wireless broadband by increasing collaborative interaction and greater information sharing between industry and government, including through working groups of the Commerce Spectrum Management Advisory Committee.

As FirstNet continues to ramp up its operations, NTIA is assisting FirstNet by providing ongoing support for FirstNet's staffing, contracting, and planning activities, as well as its outreach and consultations with Federal, state, local, territorial and tribal entities, and first responders. NTIA

also is sharing expertise acquired from establishing prior programs such as BTOP, the Public Safety Interoperable Communications (PSIC) grant program, and the 9-1-1 grant program. NTIA is administering the State and Local Implementation Grant Program (SLIGP), which supports state, regional, tribal, and local jurisdictions' consultations with FirstNet on the deployment of the nationwide public safety broadband network. FirstNet has negotiated spectrum leases with several BTOP grantees to enable the integration of these grant-funded public safety broadband projects into the nationwide public safety broadband network.

NTIA also remains committed to monitoring BTOP recipients' compliance with grant award terms and achievement of intended benefits and has taken several steps to strengthen the BTOP closeout process. First, NTIA has put additional project management resources toward ensuring that the closeout process proceeds more efficiently. Second, NTIA has held (and continues to hold) bi-weekly calls with NIST and NOAA on closeout-related issues. Third, NTIA has worked with NIST and NOAA to implement a procedure to send a letter to recipients whose awards have closed to remind the recipients of their ongoing obligations with respect to equipment funded under the award, including ongoing inventory management and Federal security interest requirements. Fourth, in March 2014, NTIA released a fact sheet for recipients on their obligations with respect to equipment purchased under a BTOP award and treatment of undeployed equipment and supplies. Finally, during calendar year 2014, NTIA held five closeout office hour sessions where recipients could freely ask questions of senior BTOP staff members and closeout team members. NTIA's Federal Program Officers also continue to be available to their recipients to assist with closeout-related questions and resolve issues. NTIA is committed to obtaining and reviewing all required closeout documentation, determining that all award activity has been completed, and reviewing whether grantees complied with pertinent laws and regulations.

As Assistant Secretary for Communications and Information, Larry Strickling is the NTIA bureau official responsible for these management challenges.

Section 8.2: Cross-Agency Priority Goals / Collaborations

NTIA contributes to the 4G Cross-Agency Goal aimed at ensuring 4G broadband coverage for 98% of Americans by 2016. NTIA is collaborating with the FCC to make available a total of 500 megahertz of Federal and non-Federal spectrum over 10 years for mobile and fixed wireless broadband use. NTIA also is working with the FCC and the State Department to prepare the U.S. proposals to World Radiocommunication Conference 2015 (WRC-15). The conference in 2015 will consider spectrum requirements for uses ranging from mobile service allocations for broadband applications to controlling unmanned aircraft from space.

Section 8.3: Evidence Building

NTIA applied existing research to formulate strategies and to improve its programs' performance. The following were used to inform NTIA's strategic planning process:

- Exploring the Digital Nation: America's Emerging Online Experience. NTIA and ESA, June 2013.
- Plan and Timetable to Make Available 500 Megahertz of Spectrum for Wireless Broadband. NTIA, October 2010.
- Copyright Policy, Creativity, and Innovation in the Digital Economy. Internet Policy Task Force, July 2013.
- Preliminary Cybersecurity Framework. NIST, February 2013.
- Spectrum Management: Federal Government's Use of Spectrum and Preliminary Information on Spectrum Sharing (GAO-12-1018T). U.S. Government Accountability Office, September 2012.
- Information Resellers: Consumer Privacy Framework Needs to Reflect Changes in Technology and the Marketplace (GAO-13-663). U.S. Government Accountability Office, September 2013.
- NTIA Must Continue to Improve its Program Management and Pre-Award Process for its Broadband Grants Program. Department of Commerce Office of Inspector General, April 2010.
- BTOP Grant Overview Report. ASR Analytics, Inc., December 2010.
- BTOP Evaluation Report. ASR Analytics, Inc., October 2012

Section 8.4: Hyperlinks: N/A.

Section 8.5: Data Validation and Verification

The FY 2014 Summary of Performance and Finance Information includes in the Secretary's Statement, an assessment of the reliability and completeness of the Department's performance data.

Section 8.6: Lower-Priority Program Activities

The President's Budget identifies the lower-priority program activities, where applicable, as required under the GPRA Modernization Act, 31 U.S.C. 1115(b)(10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget>.

FY 2016 Annual Performance Plan / FY 2014 Annual Performance Report

National Technical Information Service

Part 1: Agency and Mission Information

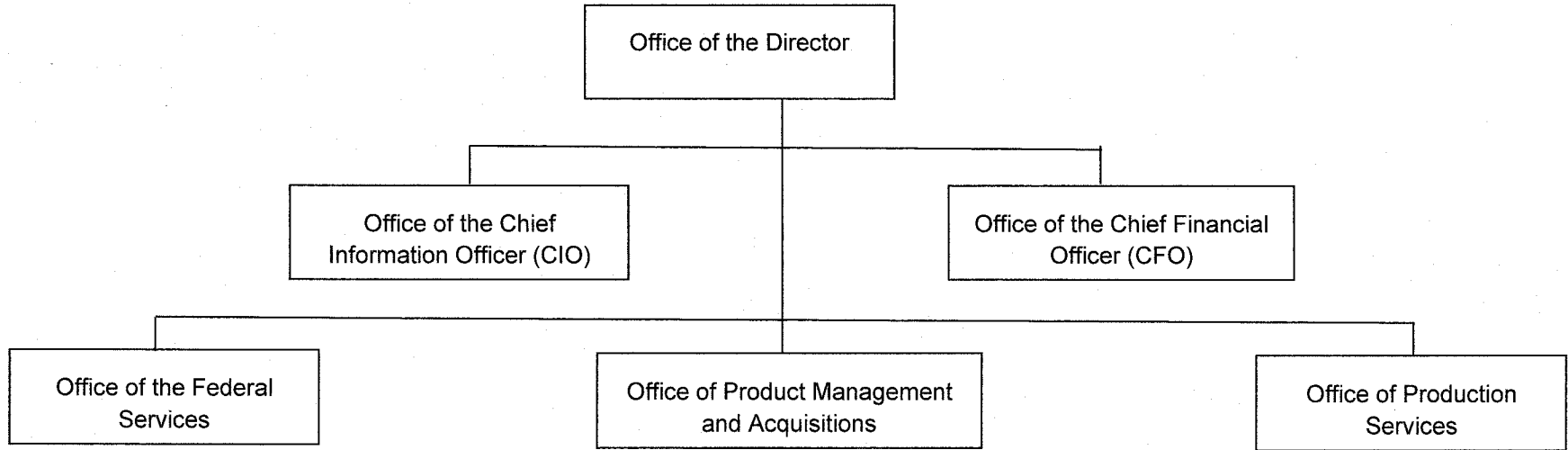
Section 1.1: Overview

NTIS provides the American public with permanent and ready access to scientific, technical, and business research through the acquisition, organization, and preservation of technical reports and information added to its permanent collection. NTIS collects, classifies, coordinates, integrates, records, and catalogs scientific and technical information from whatever sources, foreign and domestic, that may stimulate innovation and discovery and then disseminates that information to the public. In an effort to provide the American public with increased access to the vast collection of government information, NTIS utilizes advanced e-commerce channels, including providing downloads of any item in its collection that is in electronic format at no charge to the American public. NTIS also helps other Federal agencies interact with and better serve the information needs of their own constituents by providing information management services to the agency or to the public on behalf of the agency.

Section 1.2: Mission Statement

The National Technical Information Service (NTIS) seeks to support the nation's economic growth and technology use by bringing scientific and technical information to U.S. business and industry. NTIS promotes innovation and economic growth for U.S. business by (1) collecting and cataloging scientific and technical information from a variety of sources, foreign and domestic; (2) disseminating this information to the public; and (3) providing information management services to other federal agencies that help them interact with and better serve the information needs of their own constituents, and to accomplish this without direct appropriated funds.

Section 1.3: Organizational Structure



Part 2: Cross-Agency Priority Goals

Section 2.1: Overview

NTIS is not a leader of or a participant in any Cross-Agency Priority Goals.

Part 3: Strategic Goals and Objectives

Section 3.1: Corresponding DoC Strategic Goals, and Objectives

According to the structure of the new strategic plan, state the goals, objectives, objective numbers and the title and office of the person responsible for achievement of a given objective to which the bureau's programs apply in the form of a table as shown below. Program names are not stated here.

Goal	Objective Number	Objective Name	Leader
Strategic Goal 4 – Data: Improve government, business, and community decisions and knowledge by transforming Department data capabilities and supporting a data-enabled economy	4.1	Transform the Department's data capacity to enhance the value, accessibility and usability of Commerce data for government, business and the public.	Access to Federal STEI, Bruce Borzino, NTIS Director

Section 3.2: Strategies for Objectives

NTIS' principal objective supports the Department's strategic plan to promote U.S. innovation and industrial competitiveness by providing business and industry, academia and the general public easy access to scientific and technical research and to ensure that such research is permanently available to future generations of researchers. To this end, NTIS acquires information products from agencies; abstracts, catalogs and indexes them so that they can easily be identified and merged into NTIS' permanent bibliographic database; and physically stores them or scans them into electronic image for reproduction on demand by customers.

NTIS' objectives are to (a) make it easier for the general public to locate federal technical information electronically; (b) build an array of collaborative working arrangements with private sector partners; (c) help other federal agencies meet their own information management and dissemination requirements; and (d) meet objectives in the most cost effective and efficient manner possible.

Section 3.3: Progress Update for Strategic Objectives

NTIS has demonstrated innovative achievements in its information dissemination activities as provided in the National Technical Information Act of 1988, codified in 15 U.S.C. 3704b. This Act directed NTIS to "implement new methods or media for the dissemination of scientific and technical, and engineering information." Supporting this directive, NTIS, as part of its base program and without appropriations, made its bibliographic database since 1990 available on the Internet, making the collection more widely available to the public and allowing customers to download products electronically. Those efforts will continue to be expanded and refined as analysis of the activities warrant. In this continuing effort, NTIS continues to follow all Administration policies restricting access to information that could be used improperly.

Section 3.4: Next Steps

The explosive growth of the Internet has provided NTIS with a unique opportunity to expand its information dissemination activities. Information products are disseminated in a variety of formats, including paper, diskettes, audio-visual, CD-ROM, database leases, web site hits and electronic downloads.

Part 4 Performance Goals / Indicators

Section 4.1: Summary of Performance

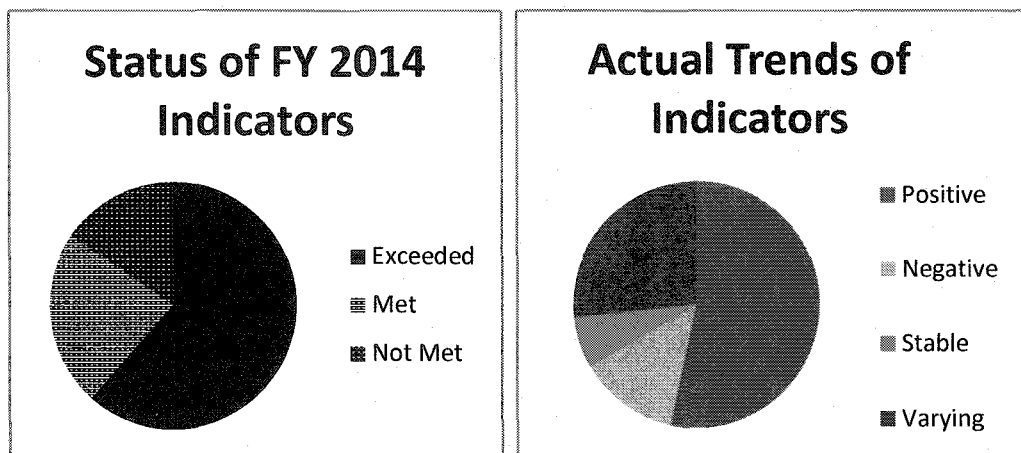
Status is based on the following standard:

Exceeded	More than 100 percent of target
Met	90 - 100 percent of target
Not Met	Below 90% of target

An indicator with a positive trend is one in which performance is improving over time while a negative trend is an indicator that has declining performance. A stable trend is one in which the goal is to maintain a standard, and that that is occurring. A varying trend in one in which the data fluctuates too much to indicate a trend. At a minimum these indicators must have three years of data.

Section 4.2: Summary of Indicator Performance

Objective 4.1: Transform the Department's data capacity to enhance the value, accessibility and usability of Commerce data for government, business and the public.



Indicator	Target	Actual	Status	Trend
Number of Updated Items Available	910,350	648,299	Not Met	Positive
Number of Information Products Disseminated (Annual)	51,893,071	51,901,102	Exceeded	Positive

Section 4.3 Detailed Indicator Plans and Performance

Objective 4.1: Transform the Department's data capacity to enhance the value, accessibility and usability of Commerce data for government, business and the public.

Indicator Measure 1A. Number of Updated Items Available								
Description		The number of items available for sale to the public from NTIS includes scientific, technical, and engineering information products added to the permanent collection, as well as items made available through online electronic subscriptions.						
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	745,000	765,000	825,000	875,000	892,500	910,350	430,000	440,750
Actual	893,138	969,473	836,579	978,871	987,866	648,299		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Not Met		
Trend	Positive							
Explanation (if not met in FY 2014)	World New Connection (WNC) discontinued in FY2014							
Actions to be taken / Future Plans	Revise Target							
Adjustments to targets	Remove WNC from target							
Notes	WNC is approximately half of the target.							
Validation and Verification								
Data Source	NTIS operates and maintains internal systems for collection acquisition statistics.							
Frequency	Data is available daily. Reports are produce monthly.							
Data Storage	All data is stored within NTIS systems							
Internal Control Procedures	NTIS' accounting and budget offices analyze and report performance data to management. Data verification is provided through regular internal and independent auditor reporting.							
Data Limitations	Output Only							
Actions to be Taken	None							

Indicator	Measure 1B. Number of Information Products Disseminated (Annual)							
Description	This measure represents information disseminated and includes compact disks, diskettes, tapes, online subscriptions, electronic document downloads, web site pages, as well as traditional paper products.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	32,850,000	33,000,000	47,800,000	48,878,000	50,875,560	51,893,071	52,910,932	53,900,000
Actual	49,430,840	50,333,206	48,958,993	54,592,481	68,938,571	51,901,102		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive. Both Actuals and Targets have risen each year.							
Validation and Verification								
Data Source	A modified commercial order processing system and standard Web analysis software package used by industry.							
Frequency	Internal management activity reports are produced daily, summaries are produced monthly.							
Data Storage	All data is stored within NTIS systems							
Internal Control Procedures	NTIS' accounting and budget offices analyze and report performance data to management. Data verification is provided through regular internal and independent auditor reporting.							
Data Limitations	Output Only							
Actions to be Taken	None							

Indicator	Measure 1C. Customer Satisfaction							
Description	This measure represents the percentage of NTIS customers that are satisfied with the quality of their order, the ease of order placement, and the timely fulfillment of that order. NTIS' continual efforts to maintain and possibly improve this very high rate of customer satisfaction are essential to the success of NTIS' performance and mission to collect and disseminate scientific and business-related information.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	95-98%	95-98%	95-98%	95-98%	95-98%	95-98%	95-98%	95-98%
Actual	98%	98%	99.5%	98.4%	98.5%	98.3%		
Status	Met	Met	Met	Met	Met	Met		
Trend	Targets have remained stable. Actuals have slightly risen each year.							
Validation and Verification								
Data Source	A modified commercial order processing system.							
Frequency	Internal management activity reports are produced daily, summaries are produced monthly.							
Data Storage	All data is stored within NTIS systems							
Internal Control Procedures	NTIS' accounting and budget offices analyze and report performance data to management. Data verification is provided through regular internal and independent auditor reporting.							
Data Limitations	None							
Actions to be Taken	None							

Part 5: Other Indicators

None

Part 6: Agency Priority Goals

None

Part 7: Resource Requirements Table

Funding for the Resource Requirements table reflects total direct obligations. Reimbursable obligations are included insofar that amounts can be reasonably be predicted with little variance from year to year, and could reasonably affect the performance of indicators. Funding and FTE appear at the objective level. Do not include IT funding (which is no longer required).

	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Estimate	FY 2016 Base	Increase / Decrease	FY 2016 Request
Objective 4.1: Transform the Department's data capacity to enhance the value, accessibility and usability of Commerce data for government, business and the public.										
National Technical Information Service										
Total Funding										
Direct										
Reimbursable	\$42,000	\$42,500	\$65,000	\$65,500	\$66,000	\$109,659	\$169,569	\$122,000	\$0	\$122,000
Total										
Total FTE	150	150	150	150	150	99	150	150	0	150

Part 8: Other Information

Section 8.1: Major Management Priorities, Challenges, and Risks

NTIS provides the American public with permanent and ready access to scientific, technical, and business research through the acquisition, organization, and preservation of technical reports added to its permanent collection. NTIS collects, classifies, coordinates, integrates, records, and catalogs scientific

and technical information from whatever sources, foreign and domestic, that may stimulate innovation and discovery and then disseminates that information to the public. In an effort to provide the American public with increased access to the vast collection of government information, NTIS utilizes advanced e-commerce channels, including providing downloads of any item in its collection that is in electronic format at no charge. NTIS also helps other Federal agencies interact with and better serve the information needs of their own constituents by providing information management services to the agency and to the American public on behalf of the agency. Under Section 203 of the Bipartisan Budget Act of 2013, Congress directed the Secretary of Commerce to establish a certification program for access to the Social Security Administration's Death Master File (DMF). The Secretary has delegated this responsibility to the Director, NTIS.

NTIS has demonstrated innovative achievements in its information dissemination activities as provided in the National Technical Information Act of 1988, codified in 15 U.S.C. 3704b. This Act directed NTIS to "implement new methods or media for the dissemination of scientific and technical, and engineering information." Supporting this directive, NTIS, as part of its base program and without appropriations, made its bibliographic database since 1990 available on the Internet, making the collection more widely available to the public and allowing customers to download products electronically. Additionally, on July 23, 2014, NTIS initiated an open access program to make electronic technical reports in its repository available to the American public free of charge. Those efforts will continue to be expanded and refined as analysis of the activities warrant. In this continuing effort, NTIS continues to follow all Administration policies restricting access to information that could be used improperly. On March 26, 2014, NTIS published an interim final rule, "Temporary Certification Program for Access to the Death Master File," that established the interim DMF certification program.

Section 8.2: Cross-Agency Collaborations

NTIS is not involved in any cross agency collaborations.

Section 8.3: Evidence Building

NTIS completed no evaluations in FY 2014.

Section 8.4: Hyperlinks

N/A.

Section 8.5: Data Validation and Verification

The FY 2014 Summary of Performance and Finance Information includes in the Secretary's Statement, an assessment of the reliability and completeness of the Department's performance data.

Section 8.6: Lower-Priority Program Activities

The President's Budget identifies the lower-priority program activities, where applicable, as required under the GPRA Modernization Act, 31 U.S.C. 1115(b)(10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget>.

FY 2016 Annual Performance Plan / FY 2014 Annual Performance Report

Office of Inspector General

Part 1: Agency and Mission Information

Section 1.1: Overview

The Office of Inspector General has the mission of providing a unique, independent voice to the Secretary of Commerce and senior managers, and Congress, in combating fraud, waste, abuse, and mismanagement, and in improving the efficiency, effectiveness, and economy of Department operations. The Office has authority to inquire into all program and administrative activities of the Department, including individuals or organizations performing under contracts, grants, cooperative agreements, and other financial assistance awards. The Inspector General Act of 1978, as amended, and other legislation authorize the specific functions and programs that make up these broad activities.

The Office of Inspector General (OIG) promotes compliance by the Department's employees and others managing federal resources with applicable laws and regulations, and actively works to prevent fraud, waste, and abuse in program operations. The OIG monitors and tracks the use of taxpayer dollars in federally-funded programs with its purpose being to keep Departmental officials and Congress informed about issues, problems, and deficiencies relating to the administration of programs and operations and the need for corrective action. OIG has a headquarters office located in Washington, D.C. and field offices located in Atlanta, Denver, and Seattle.

OIG has a base of 174 FTE in FY 2016.

Section 1.2: Mission Statement

The Office of Inspector General has the mission of providing a unique, independent voice to the Secretary of Commerce and senior managers, and Congress, in combating fraud, waste, abuse, and mismanagement, and in improving the efficiency, effectiveness, and economy of Department operations.

Section 1.3: Vision and Values

OIG's vision is to be recognized for our contribution to improved Commerce performance.

- We work as a seamless, integrated team delivering valuable products to serve the public and to support decision-makers in the Department, OMB, and Congress.
- We are an integral and trusted broker to our stakeholders.
- We are catalysts for positive change throughout the Department.
- We are fully staffed and have the resources to get the job done.
- We have a diverse, competent, enthusiastic, and productive workforce and a cadre of effective managers at every level of the organization.
- We have credible risk assessment processes that drive strategic and operational plans, priorities, and programs.
- We have efficient, effective processes and a state-of-the-art infrastructure.
- We have performance metrics that drive high performance and accountability.

Core Values:

Integrity

- We are honest, ethical, and objective.
- We hold ourselves to high standards and are willing to take tough stands.
- We honor our commitments to each other and our stakeholders.

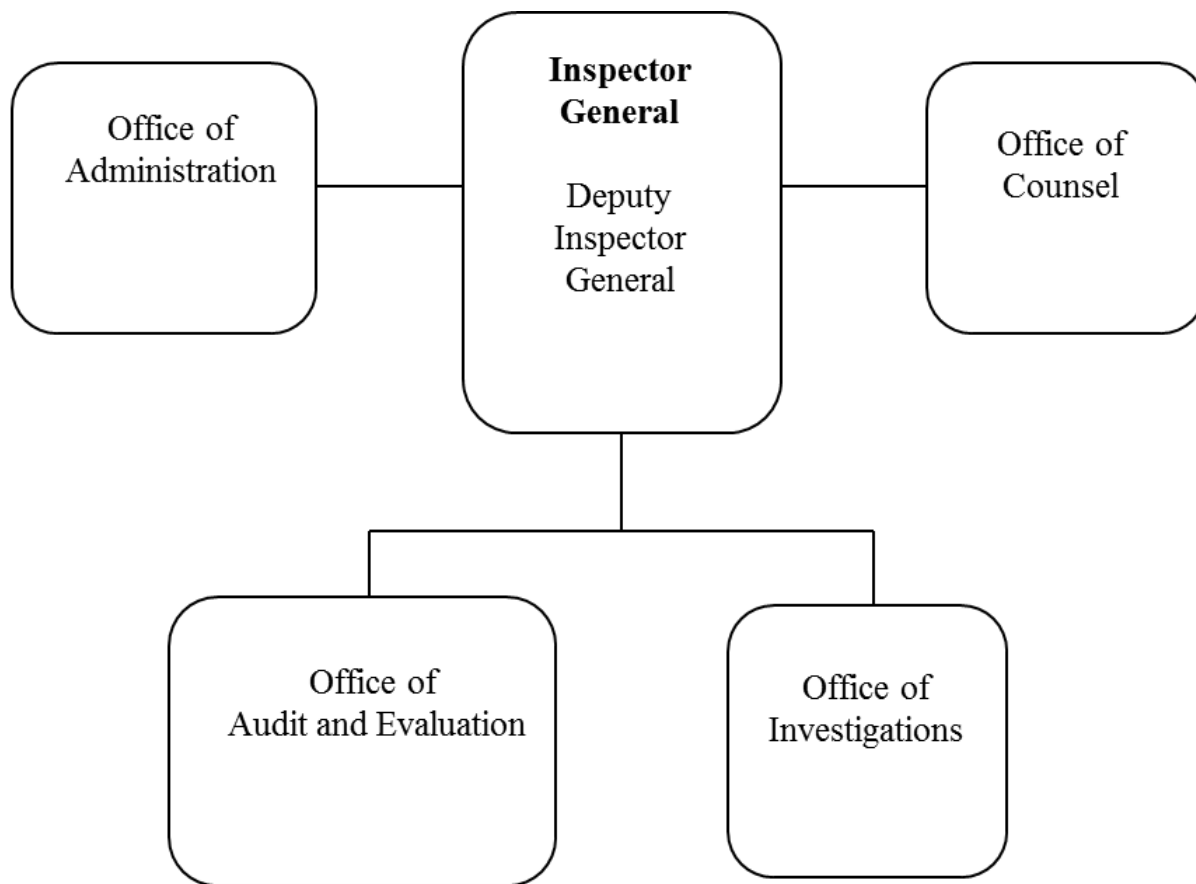
Excellence

- We are forward-looking and seize opportunities to improve Commerce performance
- We deliver timely, relevant, and high-impact products and services.
- We encourage risk-taking that leads to new ideas and innovative solutions.

Accountability

- We operate as independent, transparent, and trusted brokers serving our stakeholders.
- We are passionate about delivering results that drive positive change.
- We are trustworthy and can be counted on to do what we say.

Section 1.4: Organizational Structure



Part 2: Cross-Agency Priority Goals

Section 2.1: Overview

OIG is not a leader of or a participant in any Departmental Cross-Agency Priority Goals.

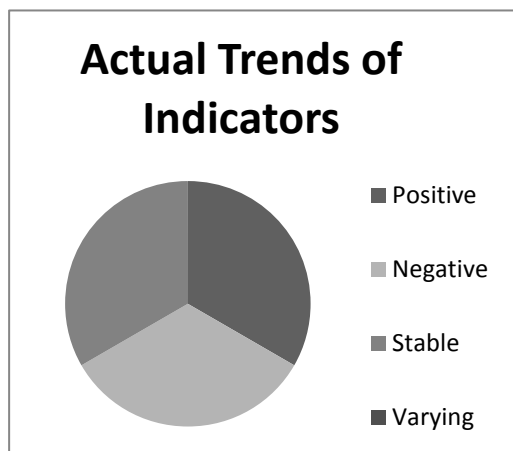
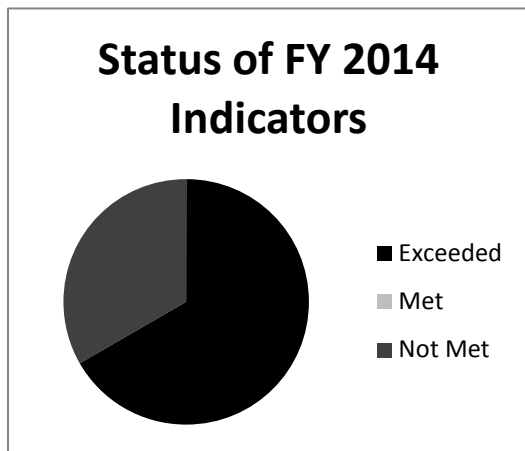
Part 3: Strategic Goals and Objectives

Goal	Objective Number	Objective Name	Leader
Operational Excellence	5.1	Strengthen organizational capabilities to drive customer-focused, outcomes-driven mission performance.	Office of Secretary; all bureaus contribute.

Section 3.2: Strategies for Objectives

OIG’s strategy for contributing to the Department’s goal of operational excellence and its objective of strengthening organizational capabilities to drive customer focused, outcome driven mission performance consists of providing a unique, independent voice to the Secretary of Commerce and senior managers, and Congress, in combating fraud, waste, abuse, and mismanagement, and in improving the efficiency, effectiveness, and economy of Department operations.

Many improvements to Commerce operations and programs come through recommendations made in various OIG work products. OIG measures its effectiveness by tracking the extent to which it offers useful, practical recommendations for improvements. OIG measures the usefulness and practicality of its recommendations by tracking the extent to which they are accepted by Commerce management.



Another key measure of the value of OIG’s work is its dollar return on investment. It measures this by tracking financial benefits, which include: (1) questioned costs agreed to by management, (2) funds put to better use, and (3) administrative, civil, and criminal recoveries.

OIG’s contribution in combatting fraud, waste, abuse, and mismanagement requires that its cases be

completed in a timely manner so that the results are useful to Departmental managers. OIG measure this by tracking the mean and median number of days it takes to complete a case, with the goal of completing investigative cases within 365 days.

Section 3.3: Progress Update for Strategic Objectives

OIG provides a unique, independent voice to the Secretary of Commerce and senior managers, and Congress, in combating fraud, waste, abuse, and mismanagement, and in improving the efficiency, effectiveness, and economy of Department operations.

OIG’s accomplishments in FY 2014 include auditing the Department’s financial statements, completing 13 performance audits, beginning 17 new audits, and issuing five public investigative reports. OIG’s completed audit reports may be found at <http://www.oig.doc.gov/Pages/Audits-Evaluations.aspx>. Announcements of OIG’s new audits may be found at <http://www.oig.doc.gov/Pages/Audits-Initiated.aspx>. OIG’s investigative reports may be found at <http://www.oig.doc.gov/Pages/Investigations.aspx>.

Section 3.4: Next Steps

OIG plans to improve its progress on strengthening organizational capabilities to drive customer-focused, outcomes-driven mission performance by improving oversight in areas that do not currently receive adequate oversight. To do this, OIG requests \$500,000 and 3 FTE to provide oversight of Departmental international trade, investment, and export control activities. Increasing international trade and encouraging foreign direct investment major management challenges for the Department. Both initiatives are Administration priorities that require significant funding and management attention. The success of these initiatives depends on enhanced coordination, both among the bureaus and with other federal agencies. With these resources, OIG expects to identify \$2 million per year in financial benefits.

OIG requests an increase of \$958,000 and 6 FTE to provide increased oversight of Departmental acquisitions and contracting. Focusing on high-risk contracts with limited cost restrictions, with these resources OIG expects to identify an additional \$80 million in financial benefits in FY 2016, increasing to \$100 million annually in FY 2017 and beyond.

Part 4 Performance Goals / Indicators

Section 4.1: Summary of Performance

Status is based on the following standard:

Exceeded	More than 100 percent of target
Met	90 - 100 percent of target
Not Met	Below 90 percent of target

An indicator with a positive trend is one in which performance is improving over time while a negative trend is an indicator that has declining performance. A stable trend is one in which the goal is to maintain a standard, and that is occurring. A varying trend is one in which the data fluctuates too much to indicate a trend. At a minimum these indicators must have three years of data.

Section 4.2: Summary of Indicator Performance

Objective 5.1: Strengthen organizational capabilities to drive customer-focused, outcomes-driven mission performance.

Indicator	Target	Actual	Status	Trend
Percent of OIG recommendations accepted by Departmental and bureau management	95%	100%	Exceeded	Stable
Dollar value of financial benefits identified by OIG (millions)	\$70	\$181.7	Exceeded	Positive
% of investigative cases completed within 365 days	70%	48%	Not Met	Negative

Section 4.3 Detailed Indicator Plans and Performance

Objective 5.1: Strengthen organizational capabilities to drive customer-focused, outcomes-driven mission performance.

Indicator	Percent of OIG recommendations accepted by Departmental and bureau management (OIG)							
Description	Many improvements to Commerce operations and programs come through recommendations made in various OIG work products. A measure of OIG’s effectiveness is the extent to which it offers useful, practical recommendations for improvements. A measure of the usefulness and practicality of OIG’s recommendations is the extent to which they are accepted by Commerce management.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	90%	90%	90%	90%	95%	95%	95%	95%
Actual	97%	100%	94%	96%	96%	100%		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	12 years of data, trendline indicates performance is stable.							
Adjustments to targets	Reporting implementation rate of recommendations issued 3 years prior.							
Notes	Unresolved recommendations from reports issued in the 4 th Q of FY 2014 are excluded because bureaus have 60 days after issuance of a final report to submit a corrective action plan, which must be approved by OIG.							
Validation and Verification								
Data Source	OIG audit and inspection process							
Frequency	As conducted							
Data Storage	OIG files							
Internal Control Procedures	OIG review							
Data Limitations	None							
Actions to be Taken	Continue collecting data							

Indicator	Dollar value of financial benefits identified by OIG (millions)							
Description	A key measure of the value of OIG’s work is its dollar return on investment. Financial benefits include: (1) questioned costs agreed to by management, (2) funds put to better use, and (3) administrative, civil, and criminal recoveries.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	\$30	\$30	\$30	\$30	\$30	\$70	\$70	\$70
Actual	\$126.9	\$47.8	\$33.5	\$175.8	\$361.5	\$181.7		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	12 years of data, trendline indicates performance is positive.							
Adjustments to targets	The target has been adjusted for FY 2014 and FY 2015 to reflect OMB’s preference that targets be more aggressive rather than easily attainable.							
Validation and Verification								
Data Source	OIG audit and inspection process							
Frequency	As conducted							
Data Storage	OIG files							
Internal Control Procedures	OIG review							
Data Limitations	None							
Actions to be Taken	Continue collecting data							

Indicator	% of investigative cases completed within 365 days (OIG)							
Description	Mean and median number of days it took Office of Investigations to complete a case.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	70%	70%	70%	70%	70%
Actual (See explanation below)	N/A	N/A	N/A	58%	53%	48%		
Status	N/A	N/A	N/A	Not Met	Not Met	Not Met		
Trend	Varying							
Explanation (if not met in FY 2014)	During FY 2014 and into FY 2015, OIG has attempted to close cases and reduce the number of investigations in our caseload that are older than one year. However, in the process of making this adjustment, these old cases count against our metric, and show OIG as not meeting its metric. In the coming year, OIG will plan to resolve and close old cases, and bring the agency to a new steady state, where the portion of cases over 365 days old does not exceed 30 percent.							
Validation and Verification								
Data Source	OIG audit and inspection process							
Frequency	As conducted							
Data Storage	OIG files							
Internal Control Procedures	OIG review							
Data Limitations	OIG is implementing a new case management system for investigations, which does not yet have any analytics or reporting functionality. As a result, all data included in this table should be considered estimates.							
Actions to be Taken	Complete implementation of new case management system; resolve and close old cases; replace estimates with actuals.							

Part 5: Other Indicators

None

Part 6: Agency Priority Goals

None

Part 7: Resource Requirements Table

	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Enacted	FY 2016 Base	Increase / Decrease	FY 2016 Request
Total Funding										
Direct	27,285	31,137	33,580	31,040	30,199	32,404	35,449	37,185	2,858	40,043
Reimbursable	838	5,108	4,165	3,661	1,775	3,181	4,500	4,500	0	4,500
Total	28,123	36,245	37,745	34,701	31,974	35,585	39,949	41,685	2,858	44,543
Total FTE										
Direct	112	155	172	169	137	139	172	174	17	191
Reimbursable	3	6	4	0	1	1	1	1	0	1
Total	115	161	176	169	138	140	173	175	17	192

Part 8: Other Information

Section 8.1: Major Management Priorities, Challenges, and Risks

OIG's priorities continue to be: providing statutorily-mandated oversight, pursuing criminal investigations and whistleblower allegations; work requested by Congress and Departmental leadership; and oversight of the Department's top management challenges.

OIG's focus on these top management challenges support each of the Department's strategic goals:

- Trade and Investment – Expand the U.S. economy through increased exports and inward foreign investment that lead to more and better American jobs;
- Innovation – Foster a more innovative U.S. economy – one that is better at inventing, improving, and commercializing products and technologies that lead to higher productivity and competitiveness;
- Environment – Ensure communities and businesses have the necessary information, products, and services to prepare for and prosper in a changing environment;
- Data – Improve government, business, and community decisions and knowledge by transforming Department data capabilities and supporting a data-enabled economy; and
- Operational Excellence – Deliver better services, solutions and outcomes that benefit the American people.

Section 8.2: Cross-Agency Collaborations

OIG has maintained a strong association with the Council of Inspectors General for Integrity and Efficiency (CIGIE). CIGIE was established as an independent entity by the Inspector General Reform Act of 2008 to address integrity, economy, and effectiveness issues that transcend individual government agencies; to increase the professionalism and effectiveness of personnel by developing policies, standards, and approaches to aid in the establishment of a well-trained and highly skilled workforce in the offices of the Inspectors General. CIGIE is comprised of all Inspectors General whose offices are established under section 2 or section 8G of the Inspector General Act of 1978 (5 U.S.C. App.), those that are Presidentially appointed/Senate confirmed, and those that are appointed by agency heads (designated federal entities). OIG sits on the CIGIE committees for Information Technology and for Investigations, and participates in a government-wide audit of cloud computing services.

Section 8.3: Evidence Building

Program evaluations for FY 2016 – OIG will monitor and evaluate its oversight of the First Responder Network Authority (FirstNet) to ensure adequacy of resources. For FY 2016 OIG requests a program increase of \$1.4 million to provide independent oversight of FirstNet. OIG expects to issue four additional audit reports in FY 2016, increasing to six additional audit reports annually in FY 2017. Potential reviews in the following areas would support the Department's mission:

- Ensuring FirstNet optimizes available resources through successful outreach;
- Ensuring successful, efficient, and effective design, implementation, and operation of the FirstNet public safety network;
- Ensuring grants and contract are pursued efficiently and effectively;
- Reducing waste, fraud, and abuse in FirstNet grants and procurement; and
- Ensuring FirstNet's acquisition strategies are aligned to its resources, and ensuring general program effectiveness.

OIG also requests a program increase of \$500,000 and 3 FTE for oversight of international trade, investment, and export control activities. OIG expects to issue three additional audit reports every two years, beginning in FY 2016. Potential reviews in the following areas would support the Department's mission:

- Ensuring that the Department's export-promotion strategy maximizes scarce resources; and
- Improving intra-agency and interagency coordination on international trade issues.

OIG also requests a program increase of \$958,000 and 6 FTE to provide increased oversight of Departmental acquisition and contracting. OIG expects to issue two additional audit reports annually beginning in FY 2016, increasing to three additional reports annually by FY 2018. Potential OIG reviews of the following areas in FY 2016 would support the Department's mission:

- NOAA Pro-Tech acquisition planning; and
- Surveillance of Joint Polar Satellite System contract documentation.

OIG also evaluates the effectiveness of its own programs and processes through A-123 internal control reviews and peer reviews of OIG's audit and investigative functions.

Section 8.4: *Hyperlinks*

None.

Section 8.5: *Data Validation and Verification*

The FY 2014 Summary of Performance includes in the Secretary's Statement an assessment of the reliability and completeness of the Department's performance data.

Section 8.6: *Lower-Priority Program Activities*

Lower-priority programs for FY 2016 can be found in the *Cuts, Consolidations and Savings* volume of the President's Budget, available at: <http://www.whitehouse.gov/sites/default/files/omb/budget/fy2015/assets/css.pdf>.

Appendix VII

FY 2016 Annual Performance Plan/FY 2014 Annual Performance Report

U. S. Patent and Trademark Office

Part 1: Agency and Mission Information

Section 1.1: Overview

The United States Patent and Trademark Office (USPTO/Office) is an agency within the United States Department of Commerce (DOC). The Office is led by the Under Secretary of Commerce for Intellectual Property and Director of the USPTO, who consults with the Patent Public Advisory Committee (PPAC) and the Trademark Public Advisory Committee (TPAC) on Office policies, goals, performance, budget, and user fees.

The USPTO fosters innovation and competitiveness by providing high quality and timely examination of patent and trademark applications, guiding domestic and international intellectual property (IP) policy, and delivering IP information and education worldwide. Two distinct business lines, Patents and Trademarks, administer the patent and trademark laws which provide protection to inventors and businesses for their inventions and corporate and product identifications, and encourage innovation and scientific and technical advancement of United States (U.S.) industry through the preservation, classification, and dissemination of patent and trademark information.

The USPTO is a user fee-funded, performance-based organization. The USPTO contributes to the fulfillment of the DOC's mission, goals and strategic objectives, and its annual budget justification relies heavily on the goals, objectives, initiatives and performance results documented in the *USPTO 2014-2018 Strategic Plan*. As a result, the entire annual budget essentially serves as the USPTO's Annual Performance Plan (APP), and should be referenced in conjunction with this Annual Performance Plan (APP).

The Patent organization is under the direction of the Commissioner for Patents, and the Trademark organization is under the direction of the Commissioner for Trademarks. The Commissioners each enter into an annual performance agreement with the Secretary of Commerce, which outlines the measurable organizational goals for which each is responsible.

In FY 2016, the USPTO is expected to employ approximately 13,500 federal employees including patent examiners, trademark examining attorneys, computer scientists, attorneys, and administrative staff. Employee engagement, which helps facilitate the recruitment and retention of a highly qualified workforce, is a core component of the Office's business strategy. The USPTO was ranked #2 out of 314 agency subcomponents in the 2014 Best Places to Work in the Federal Government® report of the non-profit Partnership for Public Service.

The USPTO serves inventors, entrepreneurs, businesses, and attorneys in the United States and around the world. Stakeholders also include intellectual property organizations and international entities, such as the World Intellectual Property Organization (WIPO).

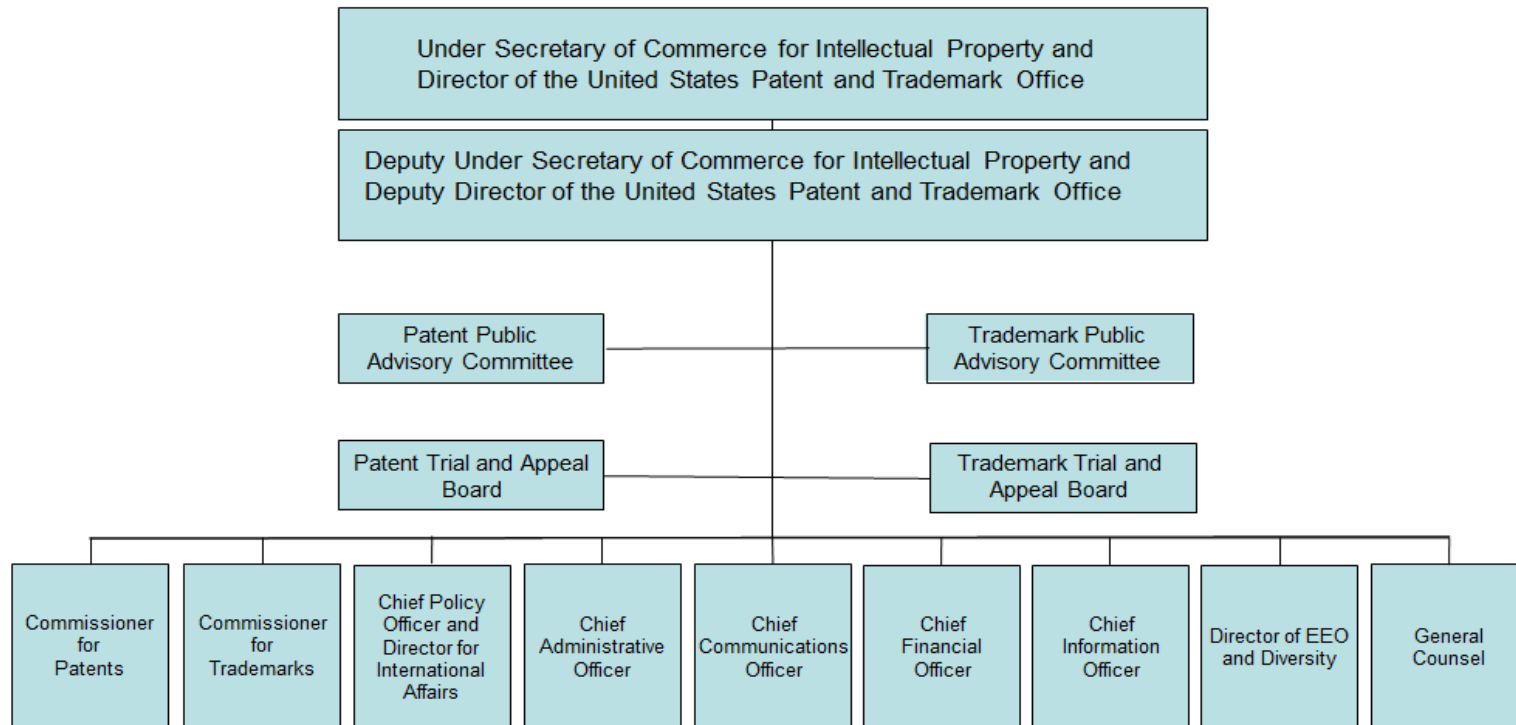
The USPTO is headquartered in Alexandria, Virginia. In FY 2012, the USPTO opened a satellite office in Detroit, Michigan, and identified three other sites – Denver, Colorado; Silicon Valley, California; and Dallas, Texas -- where the USPTO has been operating from temporary spaces. The permanent Denver satellite office opened in June 2014, the Silicon Valley office is on track to open in the spring of 2015, and the Dallas satellite office is scheduled to open in the fall of 2015. In addition, the USPTO has two storage facilities located in Virginia and Pennsylvania.

Section 1.2: Mission Statement

The USPTO Mission is to: Foster innovation, competitiveness and economic growth, domestically and abroad by delivering high quality and timely examination of patent and trademark applications, guiding domestic and international intellectual property policy, and delivering intellectual property information and education worldwide, with a highly-skilled, diverse workforce.

Section 1.3: Organizational Structure

UNITED STATES PATENT AND TRADEMARK OFFICE



Stakeholder Engagement – The USPTO engages its stakeholders in the strategic planning process upon which this APP is based. This was done by posting a draft strategic plan and providing a dedicated e-mail address for public comment; holding a public forum; and sending a draft plan to the USPTO’s two public advisory committees, three bargaining unit Presidents, DOC, OMB and the Congress. All comments were reviewed by senior managers from all business units, and appropriate changes made to the final plan. On-going, the USPTO ensures that stakeholder input is received on critical issues, such as the Patent initiative to work with stakeholders to refine long-term pendency goals, while considering requirements of the IP community.

Part 2: Cross-Agency Priority Goals

The USPTO neither leads nor contributes to cross-agency priority goals.

Part 3: Strategic Goals and Objectives

Section 3.1: Corresponding DOC Strategic Goals and Objectives

DOC Goal	DOC Objective Number	DOC Objective Name	USPTO Strategic Goal	USPTO Leader: Name, Title, Organization/Activity
TRADE AND INVESTMENT: Expand the U.S. economy through increased exports and inward foreign investment that lead to more and better American jobs.	#1.1	Increase opportunities for U.S. companies by opening markets globally.	Provide Domestic and Global Leadership to Improve Intellectual Property Policy, Protection and Enforcement Worldwide	<u>Shira Perlmutter</u> , Chief Policy Officer and Director for International Affairs
INNOVATION: Foster a more innovative U.S. economy – one that is better at inventing, improving, and commercializing products and technologies that lead to higher productivity and competitiveness.	#2.2	Increase the capacity of U.S. regional economies to accelerate the production of value-added goods and services by providing services to and investment in businesses and communities.	Optimize Patent Quality and Timeliness	<u>Margaret Focarino</u> , Commissioner for Patents <u>Mary Boney Denison</u> , Commissioner for Trademarks <u>Shira Perlmutter</u> , Chief Policy Officer and Director for International Affairs
	#2.3	Strengthen the Nation’s digital economy by championing policies that will maximize the potential of the internet, expanding broadband capacity, and enhancing cybersecurity to provide a robust environment for innovation.	Optimize Trademark Quality and Timeliness	
	#2.5	Accelerate growth of innovation-intensive economic sectors by building public and private capacity to invent, improve and commercialize new products and services.	Provide Domestic and Global Leadership to Improve Intellectual Property Policy, Protection and Enforcement Worldwide	

Section 3.2: Strategies for Objectives

In its *2014-2018 Strategic Plan*, the USPTO adopted the following strategies to continue progress in meeting its mission and achieving its vision as a model IP office for the world.

- Rely on a balanced approach of skilled human capital, application of the best technologies, and continually improved processes to achieve a quality focused, cost effective and responsive organization.
- Maintain a cadre of talented staff with the technical and legal expertise and vision to guide and support the USPTO of the 21st century.
- Achieve a sustainable funding model that provides the resources for a high-performing organization, while recognizing budgetary pressures and the need for cost containment.
- Enhance international cooperation and harmonization in IP legislation, regulatory requirements, policies, and procedures.

Section 3.3: Progress Update for DOC Strategic Objectives

Benefits: In a global economy, the property rights of American inventors must be protected not only in the United States, but internationally as well. The USPTO plays a leadership role in promoting effective domestic and international protection and enforcement of IP rights by advocating U.S. government IP rights policy, working to develop unified standards for international IP rights, providing policy guidance on domestic IP rights issues, and fostering innovation. The USPTO advises the President and Federal agencies on national and international IP rights policy matters and trade-related aspects of IP rights, and conducts technical assistance and capacity-building programs for foreign governments seeking to develop or improve their IP rights regulatory and enforcement mechanisms.

Objective 1.1: Increase opportunities for U.S. companies by opening markets globally.

The USPTO will pursue strategies to ensure U.S. commercial and economic interests are advanced in trade agreements and in other international fora, and with foreign governments; and work to reduce foreign trade barriers.

The USPTO contributes to the fulfillment of this objective by training foreign government officials on best practices to protect and enforce IP.

- **Progress to Date:** In FY 2014 4,960 foreign officials were trained on best practices to protect and enforce IP.
- **Next Steps:** Continue training foreign officials.

Objective 2.2: Increase the capacity of U.S. regional economies to accelerate the production of value-added goods and services by providing services to and investment in businesses and communities.

- Progress to Date: The USPTO opened the Denver Satellite Office on June 30, 2014, and signed a lease for permanent space in Silicon Valley in July 2014.
- Next Steps: Progress is on-going to open permanent locations in Silicon Valley, California in spring 2015 and Dallas, Texas in fall 2015.

Objective 2.3: Strengthen the Nation's digital economy by championing policies that will maximize the potential of the internet, expanding broadband capacity, and enhancing cybersecurity to provide a robust environment for innovation.

The USPTO and NTIA will develop public record and policy recommendations on critical digital copyright issues identified in the Copyright Green Paper.

- Progress to Date: The *Green Paper on Copyright Policy, Creativity, and Innovation in the Digital Economy* was released in July 2013. In April 2014, the DOC's Internet Policy Task Force announced a series of roundtable discussions that were held between May and July 2014 in cities around the country. The IPTF also worked on the issues identified in the Green Paper; i.e., (1) establishing an ongoing multi-stakeholder dialogue on improving the operation of the notice and takedown system under the Digital Millennium Copyright Act (DMCA); (2) soliciting public comment and convening roundtables around the country on three policy issues—the legal framework for the creation of remixes, the relevance and scope of the first sale doctrine in the digital environment, and the application of statutory damages in the context of individual file-sharers and secondary liability for large scale online infringement; and (3) convening an interagency group to consider the appropriate role for the government, if any, to help improve the online licensing environment, including access to comprehensive public and private databases of rights information.
- Next Steps: Prepare a draft of the Copyright White Paper.
- Risk/Challenges: Polarization of public debates on digital copyright.

Objective 2.5: Accelerate growth of innovation-intensive economic sectors by building public and private capacity to invent, improve and commercialize new products and services.

USPTO Key Strategies: Optimize patent and trademark application review efficiency and quality and improve enforcement of IP rights.

The USPTO contributes to the fulfillment of this objective through its Agency Priority Goal to *Improve Patent Processing Time and Quality* -- By September 30, 2015, the Department of Commerce will reduce patent pendency for first action and total pendency from the end of FY 2012 levels of 21.9 and 32.4 months to 15.7 and 26.4 months; as well as reduce the unexamined patent application backlog of 608,300 to 534,900. Additionally, the patent quality composite score will be improved from 72.4 percent to 100 percent of the FY 2015 target.

* Note: Currently projecting not to meet APG targets by end of FY 2015.

In addition, the USPTO will implement Glossary Pilot Program as part of Executive Action No. 2; (2) complete patent examiner transition to Cooperative Patent Classification (CPC) system; and (3) advise and assist international counterparts in promoting meaningful, effective and balanced IP protection and enforcement worldwide.

- Progress to Date: The USPTO made progress in achieving its long-term pendency targets, although the interim targets for FY 2014 were slightly below plan due to a focus on carrying out new initiatives. The USPTO initiated the examiner transition to the CPC in October 2013; launched the six-month Glossary Pilot program on June 2, 2014; hosted the third in a regular series of public Software Partnership meetings in December 2013, and another in July 2014; and modified examiner production and workflow systems in October 2013 to reduce the backlog of RCEs..
- Next Steps: Continue progress meeting performance targets; by January 2015, examiners will complete CPC training, enabling them to search in CPC and place CPC symbols on published patent applications and patent grants; continue with the Glossary Pilot; and reduce the backlog of RCE's by almost 65 percent from the beginning of FY 2013 through the end of FY 2016.
- Risk/Challenge: Lack of full access to fee revenue could prevent/delay execution of agency initiatives.

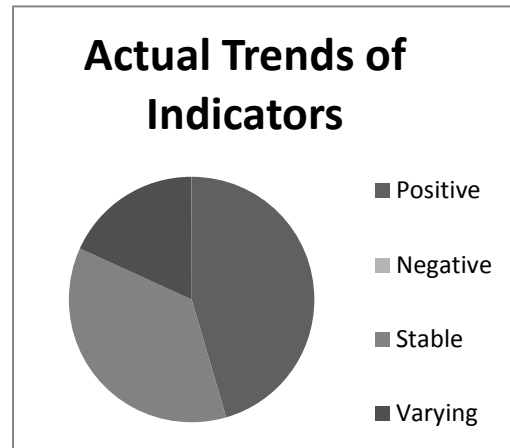
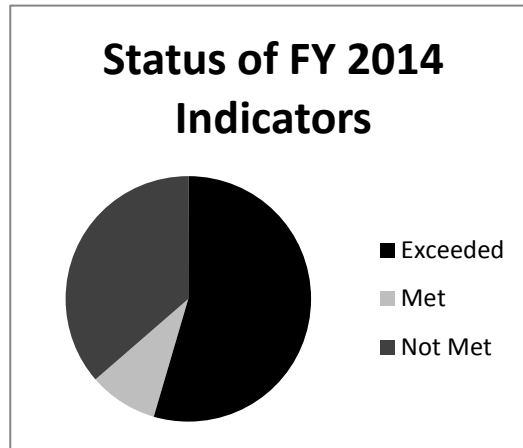
FY 2014 Accomplishments are addressed in the Progress to Date narratives above, as follows:

- Implement Cooperative Patent Classification System (CPC) – CPC is operational at USPTO. Substantial progress towards completing examiners' transition to CPC was made in FY 2014, with full implementation expected by January 2015.
- Implement White House Executive Actions – The USPTO has taken, and continues to take, actions to implement all seven Executive Actions; for example expanding patent examiner technical training, hosting roundtables with regard to AIA trials, establishing a patent litigation web site, and holding additional Pro Bono programs.
- Reduce Application Backlog – The backlog of unexamined patent applications has been reduced by almost 16 percent since FY 2009.
- Advise and assist international counterparts in promoting meaningful, effective, and balanced IP protection and enforcement worldwide – The USPTO trained 4,960 foreign government officials on best practices to protect and enforce IP.

- The USPTO opened the Denver Satellite Office on June 30, 2014, and signed a lease for permanent space in Silicon Valley in July 2014.
- The USPTO continued work on The *Green Paper on Copyright Policy, Creativity, and Innovation in the Digital Economy* that was released in July 2013. The next step will be preparation of the Copyright white paper.

Part 4: Performance Goals / Indicators

Section 4.1: Summary of Performance



Status is based on the following standard:

Exceeded	More than 100 percent of target
Met	90 - 100 percent of target
Not Met	Below 90% of target

An indicator with a positive trend is one in which performance is improving over time while a negative trend is an indicator that has declining performance. A stable trend is one in which the goal is to maintain a standard, and that that is occurring. A varying trend is one in which the data fluctuates too much to indicate a trend. At a minimum these indicators must have three years of data.

Section 4.2: Summary of Indicator Performance

Objective 1.1: Increase opportunities for U.S. companies by opening markets globally.

Indicator	Target	Actual	Status	Trend
Number of Foreign Government Officials Trained on Best Practices to Protect and Enforce Intellectual Property	4,300	4,960	Exceeded	Varying

Objective 2.5: Accelerate growth of innovation-intensive economic sectors by building public and private capacity to invent, improve and commercialize new products and services.

Indicator	Target	Actual	Status	Trend
Patent Average First Action Pendency (Months)	17.4	18.4	Met	Positive
Patent Average Total Pendency (Months)	26.7	27.4	Met	Positive
Patent UPR Unexamined Application Backlog	593,700	605,646	Met	Positive
Patent Quality Composite Score	83-91	75.0	Not Met	Positive

Indicator	Target	Actual	Status	Trend
Trademark Average First Action Pendency (Months)	2.5 – 3.5	3.0	Met	Stable
Trademark Average Total Pendency (Months)	12.0	9.8	Exceeded	Stable
Trademark First Action Compliance Rate (Percent)	95.5	95.8	Exceeded	Stable
Trademark Final Compliance Rate (Percent)	97.0	97.2	Exceeded	Stable
Trademark Exceptional Office Action (Percent)	28.0	43.0	Exceeded	Positive
Percentage of prioritized countries for which country teams have implemented at least 75 percent of action steps in the country-specific action plans toward progress along following dimensions: 1. Institutional improvements of IP office administration for advancing IPR 2. Institutional improvements of IP enforcement entities 3. Improvements in IP laws and regulations 4. Establishment of government-to-government cooperative mechanisms	75.0	100	Exceeded	Varying

Section 4.3: Detailed Indicator Plans and Performance

Objective 1.1: Increase opportunities for U.S. companies by opening markets globally.

INDICATOR	NUMBER OF FOREIGN GOVERNMENT OFFICIALS TRAINED ON BEST PRACTICES TO PROTECT AND ENFORCE INTELLECTUAL PROPERTY – DOC STRATEGIC OBJECTIVE 1.1							
Description	The Global Intellectual Property Academy (GIPA) offers training programs on protection, utilization and enforcement of IP rights, patents, trademarks, and copyrights. It is through the GIPA training programs that the USPTO is instrumental in achieving its objectives of advancing IP right policies and halting IP theft.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	N/A	N/A	4,300	6,300	6,500
Actual	N/A	N/A	4,338	9,217	7,078	4,960		
Status			N/A	N/A	N/A	Met		
Trend	The trend line indicates that the performance trend is variable with significant variability of the direction of the trend line in predicting future results.							
Actions to be taken/Future Plans	Continue to promote the protection and enforcement of IP of American innovators and creators on both the domestic and international levels.							
Adjustments to targets	The USPTO is authorized by statute to provide guidance, to conduct programs and studies, and to interact with IP offices worldwide and with international intergovernmental organizations on matters involving IP.							
<u>Validation and Verification</u>								
<u>Data Source</u>	<u>Frequency</u>	<u>Data Storage</u>	<u>Internal Control Procedures</u>			<u>Data Limitations</u>	<u>Actions to be Taken</u>	
Policy and International Affairs' reports and databases	Monthly input and reporting	Reports	Manual reports and analysis.			None	None	

Objective 2.5: Accelerate growth of innovation-intensive economic sectors by building public and private capacity to invent, improve and commercialize new products and services.

INDICATOR	PATENT AVERAGE FIRST ACTION PENDENCY (MONTHS) -- DOC STRATEGIC OBJECTIVE 2.5							
Description	This measure indicates the average time from the Utility, Plant and Reissue (UPR) application filing date to the date of mailing the First Office action. The measure is based on a three-month rolling time period. This is one of the two primary measures to track timeliness in the Patent organization.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	27.5	25.4	23.0	22.6	18.0	17.4	15.7	14.6
Actual	25.8	25.7	28.0	21.9	18.2	18.4		
Status	Exceeded	Not Met	Not Met	Exceeded	Not Met	Met		
Trend	The trend line indicates that the performance trend is positive with some variability of the direction of the trend line in predicting future results.							
Explanation	The implementation of new initiatives in FY 2014, including the RCE backlog reduction efforts and the implementation of CPC, directly impacted production in the short term. The temporary reduction of resources to RCEs limited the extent to which new-case backlog and patent pendency could be reduced.							
Actions to be taken/Future Plans	The FY 2016 budget plans modify the hiring plans shown in the FY 2015 Budget. Under the revised plans, the Patent organization will begin its soft landing to achieve a patent examiner staffing level that is aligned with an ideal backlog and steady state pendency levels in FY 2015. This will be done by hiring 450 patent examiners in FY 2015 (a net of only 59 after attrition, and 550 less than the 1,000 projected in the FY 2015 President's Budget). In FY 2016, the new hires will be 250 or 95 fewer than projected attritions. This change, coupled with leveraging the nationwide workforce to facilitate hiring examiners with significant prior IP-related experience, and continuing to use overtime and incentives to increase production will enable the USPTO to achieve an optimal working level inventory of unexamined patent applications in FY 2018, and achieve its performance targets of 10 months for first action pendency and 20 months for total patent pendency in FY 2019. This will meet stakeholder expectations and also allow the Office to effectively align the demands of incoming workload with production capacity.							
Adjustments to targets	Reducing patent pendency and the backlog of unexamined patent applications is an Agency Priority Goal. We continue to make progress in reducing patent pendency and will continue, with stakeholder input, to modify long-term Patent plans as needed.							
Validation and Verification								
Data Source	Frequency	Data Storage	Internal Control Procedures			Data Limitations	Actions to be Taken	
Patent Application Location Monitoring (PALM) system	Daily input, monthly reporting	PALM, automated systems, reports	Accuracy of supporting data is controlled through internal program edits in the PALM system. Final test for reasonableness is performed internally by patent examiners, supervisors, and program management analysts.			None	None	

INDICATOR	PATENT AVERAGE TOTAL PENDENCY (MONTHS) -- DOC STRATEGIC OBJECTIVE 2.5							
Description	Patent total pendency is the average time in months for a complete review of a UPR patent application, from the filing date to issue or abandonment of the application. The measure is based on a three-month rolling time period. This is one of the two primary measures to track timeliness in the Patent organization. Requests for Continued Examination (RCEs) are not included.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	37.9	34.8	34.5	34.7	30.1	26.7	26.4	24.6
Actual	34.6	35.3	33.7	32.4	29.1	27.4		
Status	Exceeded	Not Met	Exceeded	Exceeded	Exceeded	Met		
Trend	The trend line indicates that the performance trend is positive with little variability of the direction of the trend line in predicting future results. However, the trend line from 2000 to 2010 was negative.							
Explanation	The implementation of new initiatives in FY 2014, including the RCE backlog reduction efforts and the implementation of CPC, directly impacted production in the short term. The temporary reduction of resources to RCEs limited the extent to which new-case backlog and patent pendency could be reduced.							
Actions to be taken/Future Plans	The FY 2016 budget plans modify the hiring plans shown in the FY 2015 Budget. Under the revised plans, the Patent organization will begin its soft landing to achieve a patent examiner staffing level that is aligned with an ideal backlog and steady state pendency levels in FY 2015. This will be done by hiring 450 patent examiners in FY 2015 (a net of only 59 after attrition, and 550 less than the 1,000 projected in the FY 2015 President's Budget). In FY 2016, the new hires will be 250 or 95 fewer than projected attritions. This change, coupled with leveraging the nationwide workforce to facilitate hiring examiners with significant prior IP-related experience, and continuing to use overtime and incentives to increase production will enable the USPTO to achieve an optimal working level inventory of unexamined patent applications in FY 2018, and achieve its performance targets of 10 months for first action pendency and 20 months for total patent pendency in FY 2019. This will meet stakeholder expectations and also allow the Office to effectively align the demands of incoming workload with production capacity.							
Adjustments to targets	Reducing patent pendency and the backlog of unexamined patent applications is an Agency Priority Goal. We continue to make progress in reducing patent pendency and will continue to modify long-term Patent plans as needed.							
Validation and Verification								
Data Source	Frequency	Data Storage	Internal Control Procedures		Data Limitations		Actions to be Taken	
PALM system	Daily input, monthly reporting	PALM, automated systems, reports	Accuracy of supporting data is controlled through internal program edits in the PALM system. Final test for reasonableness is performed internally by patent examiners, supervisors, and program management analysts.		None		None	

INDICATOR	PATENT UPR UNEXAMINED APPLICATION BACKLOG – DOC STRATEGIC OBJECTIVE 2.5							
Description	The unexamined patent application backlog is the number of new utility, plant, and reissue (UPR) patent applications in the pipeline at any given time which are awaiting a First Office Action by the patent examiner. Continuation, continuation-in-part, and divisional applications are included in the total.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target		722,100	659,000	615,300	566,800	593,700	534,900	484,495
Actual	718,835	708,535	669,625	608,283	584,998	605,646		
Status	N/A	Exceeded	Not Met	Exceeded	Not Met	Met		
Trend	The trend line indicates that the performance trend is positive with little variability of the direction of the trend line in predicting future results.							
Explanation	The implementation of new initiatives in FY 2014, including the RCE backlog reduction efforts and the implementation of CPC, directly impacted production in the short term. The temporary reduction of resources to RCEs limited the extent to which new-case backlog and patent pendency could be reduced.							
Actions to be taken/Future Plans	The USPTO has modified the hiring plans shown in the FY 2015 Budget. Under the revised plans, the Patent organization will begin its soft landing to achieve a patent examiner staffing level that is aligned with an ideal backlog and steady state pendency levels in FY 2015. This will be done by hiring 450 patent examiners in FY 2015 (a net of only 59 after attrition, and 550 less than the 1,000 projected in the FY 2015 President's Budget). In FY 2016, the new hires will be 250 or 95 fewer than projected attritions. This change, coupled with leveraging the nationwide workforce to facilitate hiring examiners with significant prior IP-related experience, and continuing to use overtime and incentives to increase production will enable the USPTO to achieve an optimal working level inventory of unexamined patent applications in FY 2018, and achieve its performance targets of 10 months for first action pendency and 20 months for total patent pendency in FY 2019. This will meet stakeholder expectations and also allow the Office to effectively align the demands of incoming workload with production capacity.							
Adjustments to targets	Reducing patent pendency and the backlog of unexamined patent applications is an Agency Priority Goal. We continue to make progress in reducing patent pendency and will continue to modify long-term Patent plans as needed.							
Validation and Verification								
Data Source	Frequency	Data Storage	Internal Control Procedures		Data Limitations		Actions to be Taken	
PALM system	Daily input, monthly reporting	PALM, automated systems, reports	Accuracy of supporting data is controlled through internal program edits in the PALM system. Final test for reasonableness is performed internally by patent examiners, supervisors, and program management analysts.		None		None	

INDICATOR	PATENT QUALITY COMPOSITE SCORE-- DOC STRATEGIC OBJECTIVE 2.5							
Description	These metrics are measures of the propriety of the final disposition of individual applications, i.e., allowance or final rejection; the propriety of the actions taken during the course of examination in individual applications, i.e., first and subsequent actions on the merits by examiners; the degree to which the initial search performed by the examiner and the First Action on the Merits (FAOM) conforms with the best practices of the USPTO; the degree to which patent examiner behaviors in the prosecution of all patent applications reveals trends indicative of quality concerns; the degree to which the experience of examiners reveals trends and issues indicative of quality concerns. The overall Quality Composite is a weighted combination of these seven components.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	N/A	48 - 56	65 - 73	83 - 91	100	*
Actual	N/A	N/A	30.7	72.4	71.9	75.0		
<i>Item 1: Final Disposition Compliance Rate (Percent)</i>	94.4	96.3	95.4	96.6	96.2	95.6—97.0	97.0	*
<i>Item 2: In-Process Compliance Rate (Percent)</i>	93.6	94.9	95.2	95.9	96.3	94.6—97.0	97.0	*
<i>Item 3: Pre FAOM Search Review</i>	N/A	N/A	94.6	97.2	97.6	94.6—96.4	97.0	*
<i>Item 4: Complete FAOM Search Review (Percent)</i>	N/A	N/A	90.9	91.2	90.5	90.9—94.0	97.0	*
<i>Item 5: Quality Index Report (Percent)</i>	N/A	N/A	89.5	89.8	90.8	88.3—94.0	94.0	*
<i>Item 6: External Quality Survey (Response Ratio – Positive to Negative)</i>	N/A	N/A	3.0:1	5.2	5.8	3.1—5:1	5:1	*
<i>Item 7: Internal Quality Survey (Response Ratio – Positive to Negative)</i>	N/A	N/A	4.3:1	9.4	7.4	4.3—5.6:1	6:1	*
Status	N/A	N/A	N/A	Exceeded	Met	Not Met		
Trend	The trend line indicates that the performance trend is positive with some variability of the direction of the trend line in predicting future results.							
Explanation	Although the USPTO achieved 100% of goal in six of the seven metrics that comprise the Quality Composite Score, there was one metric that underperformed in FY 2014. The underperforming metric is a relatively new metric that was developed concurrent with the implementation of the Quality Composite Score at the start of FY 2011. As part of its new Quality Initiative, the USPTO believes that further refinements are needed in this metric and intends to work with the PPAC and our stakeholders to reassess the target originally established for this metric.							
Actions to be taken/Future Plans	Quality and training are an integral part of the examination process, and include initiatives focused on pendency reduction based on revised performance plans.							

INDICATOR	PATENT QUALITY COMPOSITE SCORE (Continued)							
Adjustments to targets	* As part of our quality initiatives, we intend to evaluate and refine our quality metrics with our stakeholders, as stated in the 2014-2018 Strategic Plan.							
	<u>Validation and Verification</u>							
<u>Data Source</u>	<u>Frequency</u>	<u>Data Storage</u>	<u>Internal Control Procedures</u>	<u>Data Limitations</u>	<u>Actions to be Taken</u>			
Office of Patent Quality Assurance (OPQA) Database System, PALM and Quality Index Report database and Collected Surveys	Daily input, semi-annual, and quarterly reporting	OPQA database, automated systems, reports	The statistician runs quality control checks in which certain dependent data fields are checked against each other; and data validation and audits per contract specifications	Since the measure is based on a sample, there is sampling error associated with the metric.	None			

INDICATOR	TRADEMARK AVERAGE FIRST ACTION PENDENCY (MONTHS)							
Description	This measure reflects the timeliness of the first office action as measured from the date of application filing (or notification date for 66(a) filings) to the first office action in months.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	2.5 – 3.5	2.5 – 3.5	2.5 – 3.5	2.5 – 3.5	2.5 – 3.5	2.5 – 3.5	2.5 – 3.5	2.5 – 3.5
Actual	2.7	3.0	3.1	3.2	3.1	3.0		
Status	Met	Met	Met	Met	Met	Met		
Trend	The trend line indicates that the performance trend is maintaining standards with slight variability of the direction of the trend line in predicting future results.							
Actions to be taken/Future Plans	Filings of new applications are expected to increase on average by about five to seven percent year over year. To handle the expected increase in workloads, the Office plans to increase examination staff by a net total of 48 new examining attorney positions, as well as support and specialized positions. Offsetting the incremental costs, the Office expects to manage overtime usage due to timely hiring and by setting appropriate levels of production incentives.							
Adjustments to targets	Trademark applicants have requested first action pendency within 2.5 to 3.5 months as optimal for meeting their needs.							
Validation and Verification								
<u>Data Source</u>	<u>Frequency</u>	<u>Data Storage</u>	<u>Internal Control Procedures</u>		<u>Data Limitations</u>		<u>Actions to be Taken</u>	
Trademark Reporting and Monitoring (TRAM) database	Daily input, monthly reporting	TRAM automated systems, reports	Accuracy of supporting data is controlled through internal program edits in the TRAM system. Final test for reasonableness is performed internally by trademark management, supervisors, and program management analysts.		None		None	

INDICATOR	TRADEMARK AVERAGE TOTAL PENDENCY (MONTHS)							
Description	This measure reflects the timeliness of the disposal of a trademark application. It is measured from the date of filing to date of registration, abandonment or issuance of a notice of allowance, excluding applications that are suspended, awaiting further action, or involved in <i>inter partes</i> proceedings.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	13.0	13.0	12.5	12.0	12.0	12.0	12.0	12.0
Actual	11.2	10.5	10.5	10.2	10.0	9.8		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	The trend line indicates that the performance trend is maintaining standards with slight variability of the direction of the trend line in predicting future results.							
Actions to be taken/Future Plans	Filings of new applications are expected to increase on average by about five to seven percent year over year. To handle the expected increase in workloads, the Office plans to increase examination staff by a net total of 48 new examining attorney positions, as well as support and specialized positions. Offsetting the incremental costs, the Office expects to manage overtime usage due to timely hiring and by setting appropriate levels of production incentives.							
Adjustments to targets	Trademark applicants have requested 12.0 months or less total pendency as optimal for meeting their needs.							
Validation and Verification								
Data Source	Frequency	Data Storage	Internal Control Procedures			Data Limitations	Actions to be Taken	
TRAM database	Daily input, monthly reporting	TRAM automated systems, reports	Accuracy of supporting data is controlled through internal program edits in the TRAM system. Final test for reasonableness is performed internally by trademark management, supervisors, and program management analysts.			None	None	

INDICATOR	TRADEMARK FIRST ACTION COMPLIANCE RATE (PERCENT)							
Description	This measure is the percentage of applications reviewed meeting the criteria for decision making conducted on random sample of applications including first office actions to determine the soundness of decision-making under the Trademark Act.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	95.5	95.5	95.5	95.5	95.5	95.5	95.5	95.5
Actual	96.4	96.6	96.5	96.2	96.3	95.8		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	The trend line indicates that the performance trend is maintaining standards with slight variability of the direction of the trend line in predicting future results.							
Actions to be taken/Future Plans	Under the quality assurance program the results of an examiner's first and final office action are reviewed for the quality of the substantive basis for decision making, search strategy, evidence, and writing. Based on the data collected from those reviews, the Office has targeted both electronic and traditional training initiatives addressing specific problem areas. This program also provides prompt feedback to examining attorneys when their work products are reviewed.							
Adjustments to targets	Trademark's management has determined that 95.5 percent first action compliance is an optimal level to operate. A new more rigorous measure of quality has been introduced to expand the criteria for evaluating quality of the examiner's decision and writing.							
Validation and Verification								
Data Source	Frequency	Data Storage	Internal Control Procedures		Data Limitations		Actions to be Taken	
Office of Trademark Quality Review and Training (OTQRT) Report	Daily input, monthly reporting	OTQRT Report database	Accuracy of supporting data is controlled through internal program edits in the OTQRT system. Final test for reasonableness is performed internally by trademark examiners, supervisors, and program management analysts.		None		None	

INDICATOR	TRADEMARK FINAL COMPLIANCE RATE (PERCENT)							
Description	This measure is the percentage of evaluations meeting the criteria for decision making conducted on a random sample of applications that received a final decision regarding registrability (i.e., registration eligibility) under the Trademark Act either by approval or final refusal.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	97.0	97.0	97.0	97.0	97.0	97.0	97.0	97.0
Actual	97.6	96.8	97.0	97.1	97.1	97.2		
Status	Exceeded	Not Met	Met	Exceeded	Exceeded	Exceeded		
Trend	The trend line indicates that the performance trend is maintaining standards with slight variability of the direction of the trend line in predicting future results.							
Actions to be taken/Future Plans	Under the quality assurance program the results of an examiner's first and final office action are reviewed for the quality of the substantive basis for decision making, search strategy, evidence, and writing. Based on the data collected from those reviews, the Office has targeted both electronic and traditional training initiatives addressing specific problem areas. This program also provides prompt feedback to examining attorneys when their work products are reviewed.							
Adjustments to targets	Trademark's management has determined that 97.0 percent final action compliance is an optimal level to operate. A new more rigorous measure of quality has been introduced to expand the criteria for evaluating quality of the examiner's decision and writing.							
Validation and Verification								
<u>Data Source</u>	<u>Frequency</u>	<u>Data Storage</u>	<u>Internal Control Procedures</u>		<u>Data Limitations</u>		<u>Actions to be Taken</u>	
OTQRT Report	Daily input, monthly reporting	OTQRT Report database	Accuracy of supporting data is controlled through internal program edits in the OTQRT system. Final test for reasonableness is performed internally by trademark examiners, supervisors, and program management analysts.		None		None	

INDICATOR	TRADEMARK EXCEPTIONAL OFFICE ACTION (PERCENT)							
Description	This measure is the percentage of evaluations exceeding the statutory requirement decision making conducted on a random sample of applications that received a first office action regarding registrability under the Trademark Act.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	N/A	15.0	20.0	23.0	28.0	36.0	37.0
Actual	N/A	N/A	23.6	26.1	35.1	43.0		
Status	N/A	N/A	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	The trend line indicates that the performance trend is positive with slight variability of the direction of the trend line in predicting future results.							
Actions to be taken/Future Plans	Under the quality assurance program the results of an examiner's first and final office action are reviewed for the quality of the substantive basis for decision making, search strategy, evidence, and writing. Based on the data collected from those reviews, the Office has targeted both electronic and traditional training initiatives addressing specific problem areas. This program also provides prompt feedback to examining attorneys when their work products are reviewed.							
Adjustments to targets	Trademark's management has determined that 30 percent is an optimal level considering the impact of new hires in the examining corps. This is a new more rigorous measure of quality to expand the criteria for evaluating quality of the examiner's decision making, search strategy and writing.							
	Validation and Verification							
Data Source	Frequency	Data Storage	Internal Control Procedures		Data Limitations		Actions to be Taken	
OTQRT Report	Daily input, monthly reporting	OTQRT Report database	Accuracy of supporting data is controlled through internal program edits in the OTQRT system. Final test for reasonableness is performed internally by trademark examiners, supervisors, and program management analysts.		None		None	

INDICATOR	PERCENTAGE OF PRIORITIZED COUNTRIES FOR WHICH COUNTRY TEAMS HAVE IMPLEMENTED AT LEAST 75 PERCENT OF ACTION STEPS IN THE COUNTRY-SPECIFIC ACTION PLANS TOWARD PROGRESS ALONG FOLLOWING DIMENSIONS: 1. INSTITUTIONAL IMPROVEMENTS OF IP OFFICE ADMINISTRATION FOR ADVANCING IPR 2. INSTITUTIONAL IMPROVEMENTS OF IP ENFORCEMENT ENTITIES 3. IMPROVEMENTS IN IP LAWS AND REGULATIONS 4. ESTABLISHMENT OF GOVERNMENT-TO-GOVERNMENT COOPERATIVE MECHANISMS							
Description	Tracks the USPTO's efforts in relation to prioritizing countries of interest for purposes of improved IP protection and enforcement, capacity building, and legislative reform, including creation of country/region strategic plans and specific action plans.							
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	N/A	50.0	75.0	75.0	75.0	75.0	75.0	75.0
Actual	N/A	75.0	100.0	75.0	100.0	100.0		
Status	N/A	Exceeded	Exceeded	Met	Exceeded	Exceeded		
Trend	The trend line indicates that the performance trend is maintaining standards with significant variability of the direction of the trend line in predicting future results.							
Actions to be taken/Future Plans	Continue to promote the protection and enforcement of IP of American innovators and creators on both the domestic and international levels.							
Adjustments to targets	The USPTO is authorized by statute to provide guidance, to conduct programs and studies, and to interact with IP offices worldwide and with international intergovernmental organizations on matters involving IP.							
Validation and Verification								
<u>Data Source</u>	<u>Frequency</u>	<u>Data Storage</u>	<u>Internal Control Procedures</u>			<u>Data Limitations</u>		<u>Actions to be Taken</u>
Policy and International Affairs' reports and databases	Monthly input and reporting	Reports	Manual reports and analysis.			None		None

Non-Recurring Indicators

Indicator discontinued beginning in FY 2015

INDICATOR	PERCENT OF FOREIGN OFFICIALS TRAINED WHO HAVE INITIATED OR IMPLEMENTED A POSITIVE CHANGE IN THE IP SYSTEMS IN THEIR ORGANIZATION AND/OR COUNTRIES					
Description	GIPA offers training programs on protection, utilization and enforcement of IP rights, patents, trademarks, and copyrights. It is through the GIPA training programs that the USPTO is instrumental in achieving its objectives of advancing IP right policies and halting IP theft. The USPTO is developing survey tools to evaluate the effectiveness and impact of these training programs. These evaluation and measurement survey tools provide methodologically rigorous data collection and analyses in place of more subjective, ad hoc, non-standardized anecdotal materials. The survey questions are approved by the OMB. The tools will include pre-program, post-program and alumni surveys. The use of the three surveys will allow the USPTO to collect data spanning the life of the GIPA training cycle.					
	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target	N/A	N/A	N/A	75.0	75.0	75.0
Actual	N/A	N/A	79.0	69.3	100.0	
Status						
Trend	The trend line indicates that the performance trend is positive with significant variability of the direction of the trend line in predicting future results.					
Explanation (if not met in FY 2014)						

Part 5: Other Information

None

Part 6: Agency Priority Goals

APG Statement, Overview and Goal Leader

Goal	Advance Commercialization of New Technologies by Reducing Patent Application Pendency and Backlog			
Performance Indicator(s)	Patent First Action Pendency, Patent Total Pendency, Unexamined Patent Application Backlog, and Patent Quality Composite Score			
Description	By September 30, 2015, the Department will reduce patent pendency for first action and total pendency from the end of FY 2012 levels of 21.9 and 32.4 months to 15.7 and 26.4 months, as well as the unexamined patent application backlog of 608,300 to 534,900. Additionally, the Patent quality composite score will be improved from 72.4 percent to 100 percent of the FY 2015 target.			
	FY 2013 (Actual)	FY 2014	FY 2015*	
Patent First Action Pendency	18.2 months	17.4 months	15.7 months	
Patent Total Pendency	29.1 months	26.7 months	26.4 months	
Unexamined Patent Application Backlog	584,998	593,700	534,900	
Patent Quality Composite Score	65-73	83-91	100 percent of the FY 2015 target	
Comments	Although financial adjustments brought on by budget sequestration and updated estimates of fee revenue early in the year impacted our ability to achieve FY 2013 patent first action pendency target, we continue to make progress in reducing patent pendency.			

* Note: Currently projecting not to meet APG targets by end of FY 2015

Part 7: Resource Requirements Table

<i>(Dollars in thousands)</i>	FY 2014	FY 2015 President's Budget	FY 2015 Current Plan	FY 2016 President's Budget	FY 2017 Estimate	FY 2018 Estimate	FY 2019 Estimate	FY 2020 Estimate
USPTO GOAL 1: OPTIMIZE PATENT QUALITY AND TIMELINESS								
Amount	2,685,191	2,850,075	2,969,569	3,130,701	3,059,340	3,121,438	3,187,084	3,271,624
Full Time Equivalent (FTE)	10,874	12,029	11,768	12,063	12,017	11,953	11,983	12,096
USPTO GOAL 2: OPTIMIZE TRADEMARK QUALITY AND TIMELINESS								
Amount	262,802	274,134	298,715	300,814	296,958	303,190	309,472	318,364
FTE	888	990	987	1,061	1,113	1,158	1,208	1,256
USPTO GOAL 3: PROVIDE DOMESTIC AND GLOBAL LEADERSHIP TO IMPROVE INTELLECTUAL PROPERTY POLICY, PROTECTION AND ENFORCEMENT WORLDWIDE								
Amount	49,464	66,689	62,546	67,533	66,322	67,102	67,825	68,570
FTE	131	184	165	190	190	190	190	190
Amounts not Supporting Goals*	2,000	2,000	2,000	2,000	2,000	2,000	2,000	2,000
USPTO Requirements	2,999,457	3,192,898	3,332,830	3,501,048	3,424,620	3,493,730	3,566,382	3,660,557
FTE	11,894	13,203	12,920	13,314	13,319	13,301	13,381	13,542
Fee Collections	3,172,236	3,441,458	3,142,115	3,206,672	3,284,930	3,563,755	3,661,370	3,863,980
Other Income/Recoveries	35,887	21,800	27,800	27,800	27,800	27,800	27,800	27,800
Funding to(-) / from(+) Operating Reserve	(208,666)	(270,360)	162,915	266,576	111,890	(97,825)	(122,788)	(231,223)
TOTAL FUNDING	2,999,457	3,192,898	3,332,830	3,501,048	3,424,620	3,493,730	3,566,382	3,660,557
Operating Reserve: Patents	493,711	950,851	372,674	142,106	44,775	137,196	246,606	454,854
Operating Reserve: Trademarks	157,246	119,480	115,367	79,359	64,800	70,204	83,582	106,557

* Amounts transferred to the Department of Commerce Office of the Inspector General (OIG).
 Due to rounding, numbers presented in tables throughout this document may not add up precisely to the totals provided and percentages may not precisely reflect the absolute figures.

Part 8: Other Information

Section 8.1: Major Management Priorities, Challenges, and Risks

The USPTO's strategic goals also address the following Department of Commerce – Office of the Inspector General – Management Challenges:

Innovation: The USPTO must address a variety of internal and external challenges, including waiting times for filings, responding to stakeholder concerns about patent quality, and advocating for greater protection for IP rights. USPTO must also address challenges related to managing its large and dispersed workforce.

- The USPTO's efforts to reduce the patent backlog, improve processing times, and implement patent reform are addressed in the FY 2016 Budget Plans: Summary of Requirements section of the Executive Summary, and the Patent Program section of this Budget.
- The USPTO advocates for U.S. Government IP policy by increasing its presence and activities domestically and internationally. works with the business, community and other government agencies to secure international protection of IP rights, including the use of bilateral relationships to encourage improvements in the laws and policies of other countries as well as in the implementation of effective enforcement regimes; and to strengthen multilateral arrangements regarding IP rights. The USPTO also leverages its relationships in international fora to strengthen international IP systems and protection to create efficiencies in the patent and trademark areas. Further details are included in the Intellectual Property Policy, Protection, and Enforcement (IP PP&E) Program section of this Budget.
- The USPTO's expansion country-wide through the satellite offices and the telework program emphasizes the importance of managing a large and dispersed work force (for example, by building a Senior Leadership Development Program); ensuring the security of employees at all USPTO locations; continuing to enhance our telework environment by expanding telework opportunities and developing skill sets specific to leadership in a telework environment; and establishing a Labor Management Forum (LMF) to focus on topics of mutual interest.

Operational Excellence: This goal calls on all facets of the DOC to maintain “customer-focused” drive.

- The USPTO Strategic Plan contains several objectives/initiatives related to innovation and improvements in customer service, such as:
 - The Patent goal objective to continue and enhance stakeholder and public outreach, focused on key USPTO programs such as the Ombudsman Program, the pro bono program, partnerships, and the CPC system.

- The Trademark goal objective to continue and enhance stakeholder and public outreach that is focused on the law school clinic program, education programs on the value of the Federal trademark registration system, as well as the importance of filing for registrations in foreign countries.
- The IP PP&E goal initiatives focused on improving the methods for increasing awareness of, and educating users here and in foreign countries on the importance of IP.

Major Management Priorities include the following:

- Implementation of the USPTO Management Goal objectives and initiatives that are included in the *USPTO 2014-2018 Strategic Plan*.
- Office-specific contributions to government-wide management initiatives such as priorities established through Executive Order (EO) can be found in the USPTO's FY 2016 Budget: The Congressional Budget Justification where required funding to meet energy conservation requirements under EO 13423 and EO 13514 are documented.
- Execution of the Management goal objective to enhance internal and external relations, which focuses on the processes that are being used to fulfill the USPTO's education/outreach portion of its mission.

Section 8.2: Cross-Agency Collaborations

None

Section 8.3: Evidence Building

The USPTO relies on research and evaluations from a variety of sources to make informed decisions based on analysis. For example, the USPTO considers a number of economic factors and relevant indicators when forecasting its workload, such as the overall condition of the U.S. and global economies, spending on technological innovation activities, and investments leading to the commercialization of new products and services. The USPTO is authorized under title 35 of the U.S. Code to conduct programs, studies, or exchanges of items or services regarding domestic and international intellectual property law and the effectiveness of intellectual property protection domestically and throughout the world. Research and studies are frequently carried out under the auspices of the USPTO's Office of the Chief Economist. For example, in April 2012, Secretary of Commerce John Bryson introduced [*Intellectual Property and the U.S. Economy: Industries in Focus*](#), a report jointly authored by the Economics and Statistics Administration (ESA) and the USPTO.

- The USPTO also receives advice from its two Public Advisory Committees (PACs), which reviews the policies, goals, performance, budget, and user fees of the USPTO and prepares annual reports with regard these matters which are sent to the

Congress. The input and advice from the Patent PAC was particularly useful during the recent patent fee setting process. Patent Public Advisory Reports, particularly their input regarding the establishment of the new patent fee schedule in March 2013, which can be found at: <http://www.uspto.gov/about/advisory/ppac/index.jsp>, and Trademark Public Advisory Reports that can be found at: <http://www.uspto.gov/about/advisory/tpac/index.jsp>

- The USPTO regularly engages its stakeholders in the development of new initiatives and pilot program. The USPTO's patent initiatives and pilot programs are described at the following location http://www.uspto.gov/patents/init_events/index.jsp

In May 2014, the USPTO published a paper entitled "Monetizing Marks: Insights from the USPTO Trademark Assignment Dataset," along with a public-use dataset that contained detailed information on assignments, mergers, security interests, and other transactions involving trademarks that were recorded at the USPTO. These data were released as part of an ongoing initiative to make patent and trademark information available in a form convenient for public use and academic research. In releasing the data, the USPTO aims to encourage new streams of research on trademarks, the market for brands, trademark collateralization, and the evolving ways owners are employing and monetizing their IP assets.

In FY 2014, Congress continued its review of our nation's copyright laws. It held numerous hearings and introduced several pieces of copyright-related legislation in FY 2014. In July 2013, the U.S. Department of Commerce's Internet Policy Task Force (IPTF) released the paper "Copyright Policy, Creativity, and Innovation in the Digital Economy" ("Green Paper") to advance discussion of copyright issues critical to economic growth. The Green Paper was drafted by the USPTO with input from the National Telecommunications and Information Administration (NTIA). In FY 2014, the IPTF worked on the issues identified in the Green Paper. This involved (1) establishing an ongoing multi-stakeholder dialogue on improving the operation of the notice and takedown system under the Digital Millennium Copyright Act (DMCA); (2) soliciting public comment and convening roundtables around the country on three policy issues—the legal framework for the creation of remixes, the relevance and scope of the first sale doctrine in the digital environment, and the application of statutory damages in the context of individual file-sharers and secondary liability for large scale online infringement; and (3) convening an interagency group to consider the appropriate role for the government, if any, to help improve the online licensing environment, including access to comprehensive public and private databases of rights information.

Section 8.4: Hyperlinks

Hyperlinks are included in Section 8.3, above.

Section 8.5: Data Validation and Verification

The FY 2014 Summary of Performance and Finance Information includes in the Secretary's Statement an assessment of the reliability and completeness of the Department's performance data.

Section 8.6: Lower-Priority Program Activities

Not applicable to the USPTO. The President's Budget identifies the lower-priority program activities, where applicable, as required under the GPRA Modernization Act, 31 U.S.C. 1115(b)(10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget>.