

FY 2007 President's Budget – NTIA PERFORMANCE PLAN

Exhibit 3A

FY 2007 Annual Performance Plan

National Telecommunications and Information Administration

National Telecommunications and Information Administration Mission Statement

The National Telecommunications and Information Administration (NTIA) serves as the President's principal adviser on telecommunications and information policy matters and develops forward looking spectrum policies that ensure efficient and effective spectrum access and use. NTIA manages all spectrum use by Federal government departments and agencies and examines how the radio frequency spectrum is used and managed in the United States. A large part of NTIA's policy activities is devoted to making spectrum use more efficient and identifying opportunities to make encumbered spectrum available to new uses. Both domestically and internationally, NTIA will foster competition and universal service in telecommunications, will promote broadband deployment, will continue to oversee the transition of the Internet domain name system to the private sector, and will continue to advance the Administration's positions on VOIP, ENUM, IPv6, and cybersecurity. NTIA's research laboratory, the Institute for Telecommunication Sciences (ITS), will perform telecommunications research, conduct cooperative research and development with U.S. industry and academia, and provide technical engineering support to NTIA and to other Federal agencies. NTIA's policy, spectrum management, and research programs will support emerging technologies and uses of spectrum resources for affordable, alternative communications services.

NTIA's activities support DOC Strategic Goal 2, Foster Science and Technological Leadership by protecting intellectual-property, enhancing technical standards and advancing measurement science, and General Goal/Objective 2.3, Advance the development of global e-Commerce and enhanced telecommunications and information services. NTIA's functions promote science and technological leadership through basic research in telecommunications technologies, support for U.S. positions in international standard-setting bodies, promotion of advanced telecommunications and information infrastructure development in the United States, enhancement of domestic competitiveness, improvement of foreign trade opportunities for U.S. telecommunications firms, and facilitation of more efficient and effective use of the radio spectrum. These activities directly benefit the American public through the universal, affordable availability of advanced telecommunications such as broadband and wireless services. Telecommunications and information technologies support productivity, growth and job creation in most industrial sectors. NTIA's activities will therefore promote U.S. economic success and lead to a new period of economic acceleration and job expansion.

In a “Memorandum for the Heads of Executive Departments and Agencies” dated November 30, 2004, the President directed that an Implementation Plan be developed in FY 2005 for the recommendations contained in a two-part series of reports released by the Secretary of Commerce in June 2004, under the title *Spectrum Policy for the 21st Century - The President’s Spectrum Policy Initiative Reports*. The President also directed among other things that the Secretary of Commerce shall develop a Federal Strategic Spectrum Plan and shall assist in the formulation of a National Strategic Spectrum Plan. The purpose of the Initiative is to promote the development and implementation of a U.S. spectrum policy that will foster economic growth; ensure our national and homeland security; maintain U.S. global leadership in communications technology development and services; and satisfy other vital U.S. needs in areas such as public safety, scientific research, federal transportation infrastructure, and law enforcement. The bulk of NTIA’s resources will be directed toward achieving the President’s goal of spectrum management reform. NTIA’s spectrum management activities are intertwined with its policy activities in that existing uses of spectrum by both the private and federal sectors must be examined to determine how spectrum management changes will affect new and innovative spectrum-using services that provide benefits to all consumers. NTIA also will continue to examine an array of spectrum management policy issues dealing with innovative approaches to spectrum management and the effectiveness of current processes. This examination will be conducted in tandem with the FCC’s proceedings on spectrum management policy, in which NTIA will participate on behalf of the Administration.

Another of NTIA’s primary missions is to serve as the President’s principal policy advisor on domestic and international telecommunications and information issues and to be the Administration’s primary voice on them. NTIA will fulfill this policy-setting role in a number of ways: by advocating globally for foreign regulatory and policy regimes that encourage competition and innovation; by preparing and issuing special reports on topics of broad interest; providing the Administration’s views on actions proposed by the Federal Communications Commission (FCC); issuing requests for public comment on specific issues; and encouraging dialogue with the private sector through sponsorship and participation in conferences, workshops, and other forums.

NTIA also will participate on behalf of the Administration in FCC and Congressional proceedings on telecommunications policies, including the development of appropriate regulatory treatment for broadband services deployment. A number of Internet related policy issues will require NTIA action, including ICANN reform and continuing Internet privatization, domain name management both domestically and internationally, proposals to regulate Internet services and content, and the combination of Internet and telecommunications addressing (ENUM). NTIA will pursue policies promoting international trade in telecommunications products and services, promoting consistent international approaches to telecommunications policies, and improving relations with countries with rapidly expanding markets. All of these activities will require substantial coordination among NTIA’s program offices, as well as interagency coordination to develop the Administration’s positions.

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

Priorities/Management Challenges

The President’s “Memorandum for the Heads of Executive Departments and Agencies” dated November 30, 2004, sets out NTIA’s priorities. NTIA, working with the FCC, the Department of State, and other partners, is a vital component in this Presidential initiative to develop a “Spectrum Policy for the 21st Century.” The President’s Spectrum Reform Initiative will fundamentally change the business of spectrum management over the next five years. Given the scope of this initiative and the opportunities it presents, it is the top priority for NTIA and a focus of the Administration. Implementing the specific recommendations that are developed for spectrum management reforms will continue to be priorities for NTIA. In addition, NTIA will support the President’s goal of universal, affordable access to broadband technology by the year 2007. NTIA will continue to develop policy proposals and promote opportunities to provide these high-speed information services to all Americans. NTIA management will meet this challenge by involving the Congress, the FCC, international bodies all other interested parties in the development and implementation of policy recommendations.

Unit Cost Measures

NTIA will complete development of unit cost measures for its “Timeliness of Processing” spectrum assignment requests (Performance measure 1a) for use in FY 2006 and beyond. This measure will provide a means for determining the efficiency and effectiveness of meeting the needs of NTIA’s Federal agency customers for spectrum support in accomplishing their missions.

PART Assessment

NTIA conducted a PART assessment in FY 2005 and has changed performance measures as a result.

FY 2007 Program Changes

NTIA’s FY 2007 activities support DOC Strategic Goal 2, Foster Science and Technological Leadership by protecting intellectual-property, enhancing technical standards and advancing measurement science, and General Goal/Objective 2.3, Advance the development of global e-Commerce and enhanced telecommunications and information services. NTIA’s FY 2007 budget request includes funding to maintain ongoing programs that remain necessary for domestic and international policy development, federal spectrum management, and related research.

Performance Goal 1: Ensure that the allocation of and access to radio spectrum provides the greatest benefit to all people; fosters economic growth; satisfies vital U.S. needs including U.S. national and homeland security, public safety, scientific research, Federal transportation infrastructure, natural resource management, and law enforcement; and maintains U.S. global leadership in communication technology development and services.								
Measure	Requestor	Measure	2002 Actual	2003 Actual	2004 Actual	2005 Actual	2006 Target	2007 Target
1a. Frequency Assignment Processing Time	Federal Agencies	Target Avg time (days) for completion	New	<15	<12	8.2	<9	<9
1b. Certification Request Processing Time	Federal Agencies	Target Avg time (months) for completion	New	New	<6	<6	<4	<3
1c. Space System Coordination Request Processing Time	Federal Agencies	Target % of coordination actions meeting the target avg time (days) for approval of Agency requests	New	New	80<21	80<21	80<18	90<18
1d. Spectrum Plans and Policies Processing Time	FCC	Target Avg time (work days) for providing comments	New	New	<15	<15	<15	<15
1e. Spectrum Management Improvements		Total Planned Milestones (136)	N/A	N/A	N/A	5	39	29
		Target # of milestones to be completed (108) /actual # of milestones to be completed				3/5	31/NA	23/NA

	FY 2002 Actual	FY 2003 Actual	FY 2004 Actual	FY 2005 Actual	FY 2006 Target	FY 2007 Target
Performance Goal 1: Ensure that the allocation of and access to radio spectrum provides the greatest benefit to all people; fosters economic growth; satisfies vital U.S. needs including U.S. national and homeland security, public safety, scientific research, Federal transportation infrastructure, natural resource management, and law enforcement; and maintains U.S. global leadership in communication technology development and services.						
Number of frequency bands evaluated to determine possible improvements that could be made to use spectrum more efficiently	New	New	New	1	Discontinued	Discontinued

	FY 2002 Actual	FY 2003 Actual	FY 2004 Actual	FY 2005 Actual	FY 2006 Target	FY 2007 Target
Performance Goal 2: Promote the availability and support new sources of advanced telecommunications and information services people						
2a. Support new telecom and info technology by advocating Administration views in FCC docket filings and Congressional proceedings	New	New	New	5 dockets and proceedings	5 dockets and proceedings	5 dockets and proceedings
2b. Number of website views for research publications ²	New	New	New	New	70K/Mo	75K/Mo
Quality of Basic Research as Reflected in Peer-reviewed Publications	New	5 Publications	6 Publications	6 Publications	Discontinued	Discontinued
Level of Technology Transfer Activities Conducted with the Private Sector through the Cooperative Research and Development Agreements	New	5 Cooperative Research and Development Agreements	5 Cooperative Research and Development Agreements	5 Cooperative Research and Development Agreements	Discontinued	Discontinued
Provide the Policy Framework for Introduction of New Technology	New	New	Spectrum, ICANN reform	Reports, conferences, workshops	Discontinued	Discontinued

1. New measure incorporating frequency band evaluations measure (1b).
2. New measure replacing number of peer-reviewed publications and CRADA measures.

Resource Requirements Summary

(Dollars in Thousands)

	FY 2002 Actual	FY 2003 Actual	FY 2004 Actual	FY 2005 Actual	FY 2006 Estimate	FY 2007 Base	Increase/ Decrease	FY 2007 Request ¹
Performance Goal 1: Performance Goal 1: Ensure that the allocation of and access to radio spectrum provides the greatest benefit to all people; fosters economic growth; satisfies vital U.S. needs including U.S. national and homeland security, public safety, scientific research, Federal transportation infrastructure, natural resource management, and law enforcement; and maintains U.S. global leadership in communication technology development and services.								
Salaries and Expenses	\$23,444	\$24,516	\$28,536	\$30,401	\$45,889	\$39,124	\$0	\$39,124
Performance Goal 2: Promote the availability and support new sources of advanced telecommunications and information services								
Salaries and Expenses	9,730	10,015	11,245	13,989	31,485	13,879	0	13,879
Public Telecom Facilities, Planning, and Construction	47,592	45,930	28,853	23,417	22,745	21,719	(21,719)	0
Information Infrastructure Grants	15,486	17,141	17,810	2,049	1,053	0	0	0
Grand Total								
Total Funding	96,252	97,602	84,444	69,856	101,172	74,722	(21,719)	53,003
Direct	77,147	77,355	61,187	42,389	42,296	39,556	(21,719)	17,837
Reimbursable	19,105	20,247	23,257	27,467	58,876	35,166	0	35,166
IT Funding ²	5,400	5,400	5,400	5,086	5,287	5,287	548	5,835
FTE	244	251	269	259	271	271	(13)	258

1. The Digital Television Transition and Public Safety Fund program has only recently been created for NTIA. Performance measures will be developed as part of the management plan.

2. Total NTIA IT outlays (from NTIA Ex. 23 & 53) included in total funding

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

Performance Goal 1: Performance Goal 1: Ensure that the allocation of and access to radio spectrum provides the greatest benefit to all people; fosters economic growth; satisfies vital U.S. needs including U.S. national and homeland security, public safety, scientific research, Federal transportation infrastructure, natural resource management, and law enforcement; and maintains U.S. global leadership in communication technology development and services.

Corresponding DOC Strategic Goal:

Strategic Goal 2 Foster Science and Technological Leadership by protecting intellectual-property, enhancing technical standards and advancing measurement science

General Goal/Objective 2.3, Advance the development of global e-Commerce and enhanced telecommunications and information services

Rationale:

The availability of the radio frequency spectrum is key to the development and implementation of innovative telecommunications technologies. The National Telecommunication and Information Administration's (NTIA's) spectrum management activities are therefore intertwined with its policy activities in that existing uses of spectrum by both the private and federal sectors must be examined to determine where spectrum will be made available for new and innovative spectrum-using services that provide benefits to all consumers. In a "Memorandum for the Heads of Executive Departments and Agencies" dated November 30, 2004, the President directed that an Implementation Plan be developed in FY 2005 for the recommendations contained in a two-part series of reports released by the Secretary of Commerce in June 2004, under the title *Spectrum Policy for the 21st Century - The President's Spectrum Policy Initiative Reports*. The purpose of the Initiative is to promote the development and implementation of a U.S. spectrum policy that will foster economic growth; ensure our national and homeland security; maintain U.S. global leadership in communications technology development and services; and satisfy other vital U.S. needs in areas such as public safety, scientific research, federal transportation infrastructure, and law enforcement. The bulk of NTIA's resources will be directed toward achieving the President's goal of spectrum management reform. NTIA's other spectrum management activities include (1) identifying and supporting new wireless technologies that promise innovative applications for customers of the federal and private sectors; (2) providing the 63 federal agencies with the spectrum needed to support their missions for national defense, law enforcement and security, air traffic control, national resource management, and other public safety services; (3) developing plans and policies to use the spectrum effectively; (4) satisfying the United States' future spectrum needs globally through participation with the 190 other countries of the International Telecommunication Union in establishing binding treaty agreements through world radio-communication conferences; (5) and improving, through telecommunications research and engineering, the understanding of radio-wave transmission and thereby improving spectrum utilization and the performance of radio-communications systems.

Program Increases/Decreases:

None.

Measurement Explanation

The availability of the radio frequency spectrum is key to the development and implementation of innovative telecommunications technologies. The National Telecommunication and Information Administration's (NTIA's) spectrum management activities are therefore intertwined with its policy activities in that existing uses of spectrum by both the private and federal sectors must be examined to determine where spectrum will be made available for new and innovative spectrum-using services that provide benefits to all consumers and at the same time, ensure that spectrum is available for critical and vital radiocommunications for national and homeland security, law enforcement, natural resource management and other public safety activities.

In a “Memorandum for the Heads of Executive Departments and Agencies” dated November 30, 2004, the President directed that an Implementation Plan be developed in FY 2005 for the recommendations contained in a two-part series of reports released by the Secretary of Commerce in June 2004, under the title *Spectrum Policy for the 21st Century - The President’s Spectrum Policy Initiative Reports*. The purpose of the Initiative is to promote the development and implementation of a U.S. spectrum policy that will foster economic growth; ensure our national and homeland security; maintain U.S. global leadership in communications technology development and services; and satisfy other vital U.S. needs in areas such as public safety, scientific research, federal transportation infrastructure, and law enforcement.

Based on the above, the measures for spectrum management cover:

(1) **Spectrum Requirements**. Satisfy the near-term and future spectrum requirements of the Federal agencies (63) to operate their radiocommunications that provide the public with national and homeland security, law enforcement, transportation control, natural resource management, and other public safety services during peacetime and emergencies; coordinate on spectrum requests from the private sector via the FCC and neighboring foreign governments; coordinate on space satellite system spectrum requirements from foreign governments; and obtain foreign country coordination on U.S. Government space satellite system spectrum requirements.

(2) **Spectrum Plans and Policies**. Formulate, establish, and implement plans and policies domestically and internationally for the 21st century that: (a) ensure the effective, efficient, and equitable use of the radio frequency spectrum resource both domestically and internationally; (b) protect critical and vital Federal government services; (c) promote spectrum access to the private sector to introduce new technologies that provide innovative communication services to the public and Federal government; and (d) satisfy the spectrum needs of the Federal government and the private sector, including the State and local public safety community;

(3) **Spectrum Management Improvements**. Improve the spectrum management process that provides the above through the implementation of 24 recommendations made to the President in June 2004 based on the President’s direction to the Department of Commerce in the President’s Executive Memoranda released in June 2003 and the acceptance of the recommendations and further direction by the President in November 2004; and,

(4) **Supporting Activities**. Provide the necessary support to attain the goals above efficiently and effectively through the use of automated information technology, engineering and analysis, and coordination with and advice of the Federal agencies through the Interdepartment Radio Advisory Committee, participation in the FCC rulemaking process, and participation with foreign countries and in international telecommunication fora.

Target and Performance Summary

Performance Goal 1: Ensure that the allocation of and access to radio spectrum provides the greatest benefit to all people; fosters economic growth; satisfies vital U.S. needs including U.S. national and homeland security, public safety, scientific research, Federal transportation infrastructure, natural resource management, and law enforcement; and maintains U.S. global leadership in communication technology development and services.

To meet this goal, the measures are divided into 3 areas: (a) spectrum requirements (current Federal agency spectrum needs, spectrum certification requests (future spectrum needs), and space system coordination requests), (b) spectrum plans and policies (domestic -federal rules and regulations and FCC rule-making) and world radio conferences), and (c) improvements to the spectrum management process which will establish the President’s Spectrum Policy Initiative for the 21st Century.

a. Spectrum Requirements Performance Measures.

1. Frequency Assignment Requests Performance Measure.

(a) **Federal Agencies.** NTIA authorizes the federal agency use of the frequency spectrum in a timely manner so they can operate their radiocommunications. NTIA ensures that each assignment approved does not cause interference to other spectrum users nor will it receive harmful interference from other spectrum users and that each assignment complies with the rules, regulations and standards within NTIA’s Manual. The measure contains the planned average target time to obtain approval, the number of requests for a frequency assignment, the average time it took to provide approval, and a comparison of actual time for approval versus the target.

Measure	Requestor	Measure	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011
1a. Frequency Assignment Processing Time	Federal Agencies	Target Avg time (days) for completion	New	<15	<12	8.2	<9	<9	<5	<3	<3	<3
		Actual No. of actions completed	69575	74657	85625	83660						
		Actual Avg time (days) for approval	15.32	12.42	9.41	8.2						

2. Spectrum Certification Requests Performance Measure.

(a) **Federal Agencies.** NTIA certifies in a timely manner as per OMB Circular A-11, that spectrum will be available in the future for Federal agency planned radiocommunications. NTIA’s approval prevents an agency from developing communications in the wrong frequency band and could cause or receive interference from other spectrum users that could result in being unable to implement the system and the loss of all the funding that was necessary to develop the communication system. The performance measure contains the planned average target time to obtain approval, the number of requests for spectrum support, the average time it took to provide approval, and a comparison of actual time for approval versus the target.

Measure	Requestor	Measure	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011
1b. Certification Request Processing Time	Federal Agencies	Target Avg time (months) for completion	New	New	<6	<6	<4	<3	<3	<2	<2	<2
		Actual No. of actions completed	NA	NA	185	161						
		Actual Avg time (months) for approval	NA	NA	4	3.5						

3. Space System Coordination Requests Performance Measure.

(a) **Federal Agencies.** NTIA provides approval and coordination domestically and internationally in a timely manner for an agency to operate its planned satellite communications. Coordination with other satellite spectrum users is essential to prevent interference to each other in light of the high costs of developing and implementing satellite communication systems.. The performance measure contains the planned average target time to obtain approval for coordination actions within the Space Systems Subcommittee process, the number of space system coordination requested, and the percentage of actions meeting target approval time.

(b) **Foreign Countries.** NTIA also provides coordination to foreign satellite spectrum users to ensure that their systems do not interfere with U.S. satellite and terrestrial spectrum users. The performance measure contains the target percentage of responses to other countries meeting the ITU required timeframes, the number of space systems coordination requested, and the percentage of coordination actions completed on time.

Measure	Requestor	Measure	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	
Ic. Space System Coordination Request Processing Time	Federal Agencies	Target % of coordination actions meeting the target avg time (days) for approval of Agency requests	New	New	80<21	80<21	80<18	90<18	90<14	90<14	95<14	95<14	
		Actual No. of coordination actions (messages) completed	NA	NA	991	661							
		Actual % meeting target approval time	NA	NA	100	100							
	Foreign Countries	Target percentage of responses to other countries meeting ITU required timeframes	New	New	80	80	90	90	90	90	95	95	95
		Actual No. of coordination actions completed	NA	NA	226	174							
		Actual % of coordination actions completed on time	NA	NA	100	100							

b. Spectrum Plans and Policies Performance.

FCC Requests for NTIA Coordination on FCC Rulemakings. Most the frequency spectrum is shared between the private sector and the Federal government. As such, there are constant changes in the spectrum allocations, rules and regulations developed and maintained by the FCC and NTIA to address access by new telecommunication technologies and services to ensure interference free operation between all spectrum users and a level playing field to promote competition. FCC accomplishes this task on behalf of the private sector through public rulemaking and NTIA does this through advice of the Interdepartment Radio Advisory Committee (IRAC). NTIA and the FCC have agreed in a memorandum of agreement that they would mutually perform the necessary coordination on rulemakings within 15 days or less. This agreement prevents unnecessary delays in gaining access to the spectrum, thus ensuring that the costs of regulatory processes on technology and services deployment are minimized. This performance measure contains the planned average target time to obtain NTIA coordination, the number of requests, the average time it took to provide coordination and a comparison of the actual time for coordination versus the target.

1d Spectrum Plans and Policies Processing Time	FCC	Target Avg time (work days) for providing comments	<u>New</u>	<u>New</u>	≤15	≤15	≤15	≤15	≤15	≤15	≤15	≤15
		Actual No. of rulemaking requests	NA	NA	31	29						
		Actual Avg time (work days) for providing comments	NA	NA	14	14						

c. Spectrum Management Improvements Performance Measures.

NTIA has been directed by the President in November 30, 2004, to implement his Spectrum Policy Initiative by implementing 24 recommendations contained in two reports submitted by the Secretary of Commerce and coordinated with Federal agencies in the OMB coordination process. The recommendations call for improvements in the spectrum management process to meet the goals in the Performance Goal 1 above. NTIA has prepared an implementation plan with 136 milestones to be completed over the next 5 years as shown in Appendix 1. The performance measure contains the planned target of the number of milestones required to satisfy the 24 recommendations for each fiscal year until completed and for each of the four major goals in the President’s spectrum policy initiative. The actual number of milestones completed will be compared with the target.

Measure	Requestor	Measure	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011
1e. Spectrum Management Improvements		Total Milestones Planned (136)	N/A	N/A	N/A	5	39	29	22	14	14	13
		Target # of milestones to be completed (107)/actual # of milestones completed				3/5	31/NA	23/NA	18/NA	11/NA	11/NA	10/NA

FY 2007 Targets: Changes and additions have been made in the current year measures and targets for the spectrum management goal as a result of the PART conducted in FY 2005. NTIA expects that targets will continue to improve dramatically in FY 2007 and beyond as investments in the paperless spectrum initiative are realized.

Program Evaluations

NTIA management reviewed and assessed policy and program priorities in the development of FY 2006 and 2007 budgets. In addition, in a “Memorandum for the Heads of Executive Departments and Agencies” dated November 30, 2004, the President directed that an Implementation Plan be developed in FY 2005 for the recommendations contained in a two-part series of reports released by the Secretary of Commerce in June 2004, under the title *Spectrum Policy for the 21st Century - The President’s Spectrum Policy Initiative Reports*. The President also directed among other things that the Secretary of Commerce shall develop a Federal Strategic Spectrum Plan and shall assist in the formulation of a National Strategic Spectrum Plan. The bulk of NTIA’s resources will be directed toward achieving the President’s goal of spectrum management reform. These efforts will result in improved policies for use of the spectrum by Federal, State and local governments and the private sector, as well as improvements in the spectrum management process as a whole. In FY 2006 and continuing through FY 2007, NTIA will develop action plans to implement the collective set of recommendations presented in the overall program of spectrum management reform.

Cross-cutting Activities:**Intra-Department of Commerce:**

Technology Administration and National Oceanic and Atmospheric Administration: Participate on the Interagency GPS Executive Board, which with DOD jointly manages the GPS satellite program as a national asset.

NOAA: Represented on NTIA's Interdepartment Radio Advisory Committee, which assists in assigning frequencies to U.S. Government radio stations and in developing and executing policies, programs, procedures, and technical criteria pertaining to the allocation, management, and use of the spectrum.

Other Government Agencies:

NTIA authorizes spectrum assignments for 56 federal government agencies to operate radio-communications systems. NTIA works with the 23 other major spectrum using federal agencies on IRAC to manage frequency assignment requests. NTIA represents the interests of 33 other agencies on the IRAC. NTIA serves as the manager of federal government spectrum while the Federal Communications Commission (FCC) manages the non-federal spectrum.

FCC: Since spectrum is often shared, NTIA and the FCC regularly engage in coordination of spectrum uses and spectrum policies. Uses of shared frequency bands are coordinated with the FCC.

State Department: NTIA works with the State Department in its international activities, including conferences and representation on international organizations.

NTIA leads a high-level inter-agency task force as part of its support for the President's Spectrum Management Policy Initiative. Each agency has responsibilities delineated in the "Memorandum for the Heads of Executive Departments and Agencies" dated November 30, 2004.

Government/Private Sector:

- International bodies such as the International Telecommunication Union (ITU), in which NTIA participates as the U.S. representative, establish permissible uses of frequency bands.
- NTIA coordinates on spectrum management issues through advisory committees and special information-sharing initiatives.

External Factors and Mitigating Strategies:

Congress, from time to time, has required some changes in federal use of radio frequency spectrum, which can affect availability of frequencies to suit federal needs. The speed of development and implementation of wireless technologies will affect the level and type of demand by federal agencies for certain frequencies. The Federal Communications Commission initiates numerous spectrum-related proceedings in which NTIA participates on behalf of the Administration. NTIA anticipates and prepares for these developments through management meetings, participation on interagency task forces, and monitoring.

Performance Goal 2: Promote the availability and support new sources of advanced telecommunications and information services

Corresponding DOC Strategic Goal:

Strategic Goal 2 Foster Science and Technological Leadership by protecting intellectual-property, enhancing technical standards and advancing measurement science

General Goal/Objective 2.3, Advance the development of global e-Commerce and enhanced telecommunications and information services

Rationale:

NTIA’s policy-related activities are among the agency’s most visible and have a large impact on consumers and industries both domestically and internationally. A large part of NTIA’s domestic and international policy efforts will be devoted to achieving the President’s goal of spectrum management reform. NTIA management also plans for multi-year efforts in a number of policy areas and receives requests to conduct policy analysis and other activities from the Secretary, the White House, and the Congress. NTIA is the Executive Branch’s principal voice on domestic and international telecommunications and information technology issues. These activities are accomplished primarily through testimony on behalf of the Administration in Congressional proceedings, through development and coordination of Administration views in proceedings conducted by the Federal Communications Commission (FCC), and through advocacy in international and bilateral fora. In addition to its policy-related activities, NTIA supports innovative telecommunications and information technologies through basic research performed at its laboratory, the Institute for Telecommunication Sciences (ITS). ITS performs extensive basic research on quality of digital speech, audio and video compression, and transmission characteristics. This research has the potential to improve both the performance of telecommunications networks and the availability of digital content on the Internet. Basic research at ITS also supports U.S. positions in international standard-setting bodies and NTIA’s development of Administration policies related to the introduction of new technologies, such as ultra wideband (UWB), third generation (3G) wireless and broadband services.

Program Increases/Decreases:

None.

Measure 2a: Support new telecom and info technology by advocating Administration views in FCC docket filings and Congressional proceedings

	FY 2002 Actual	FY 2003 Actual	FY 2004 Actual	FY 2005 Actual	FY 2006 Target	FY 2007 Target
2a. Support new telecom and info technology by advocating Administration views in FCC docket filings and Congressional proceedings	New	New	New	5 dockets and proceedings	5 dockets and proceedings	5 dockets and proceedings

Explanation of Measure: NTIA fulfills its policy-setting role in a number of ways: by preparing and issuing special reports on topics that emerge over time; testifying before Congress and other organizations that are concerned with telecommunications policy; providing the Administration’s views on actions proposed by the Federal Communications Commission; issuing requests for public comment on specific issues; and encouraging dialogue with the private sector through sponsorship and participation in conferences, workshops, and other forums. NTIA will continue to examine an array of spectrum management policy issues in FY 2007 dealing with innovative approaches to spectrum management and the effectiveness of current processes. This examination will be conducted in tandem with the FCC’s proceedings on spectrum management policy, in which NTIA will participate on behalf of the Administration and as part of the President’s Spectrum Management Policy Initiative. NTIA also will participate on behalf of the Administration in FCC and Congressional proceedings on telecommunications policies, including the development of appropriate regulatory treatment for broadband services deployment. A number of Internet related policy issues will require NTIA action, including ICANN reform and continuing

Internet privatization, domain name management both domestically and internationally, proposals to regulate Internet services and content, and the combination of Internet and telecommunications addressing (ENUM). NTIA will advocate globally for foreign regulatory and policy regimes that promote international trade in telecommunications products and services by encouraging competition and innovation and improve relations with key trading partners including Mexico and Canada and countries with rapidly expanding markets, such as China and India. All of these activities will require substantial coordination among NTIA's program offices, as well as interagency coordination to develop the Administration's positions. These activities directly benefit the American public through promotion of universal, affordable availability of advanced telecommunications and information technologies -- such as broadband and wireless services -- that support productivity, growth and job creation in most industrial sectors.

Measure 2b: Number of website views for research publications

	FY 2002 Actual	FY 2003 Actual	FY 2004 Actual	FY 2005 Actual	FY 2006 Target	FY 2007 Target
2b. Number of website views for research publications ²	New	New	New	New	70K/Mo	75K/Mo

Explanation of Measure: NTIA will measure the number of website "hits" on its on-line research publications, replacing the measure of the number of peer-reviewed articles that are published in technical journals and publications. This measure will indicate the reception and utility of research results within the spectrum research and engineering community. Many government agencies and private sector organizations use these research publications to improve effectiveness in the planning, procurement and configuration of systems. This basic research directly benefits the American public through promotion of advanced telecommunications and information infrastructure development in the United States, enhancement of domestic competitiveness, improvement of foreign trade opportunities for U.S. telecommunications firms, and facilitation of more efficient and effective use of the radio spectrum.

FY 2007 Targets: For FY 2007, NTIA will measure the number of website "hits" on its on-line research publications, replacing the measure of the number of peer-reviewed articles that are published in technical journals and publications and number of CRADAs. This measure will indicate the reception and utility of research results within the spectrum research and engineering community. This change is a result of the FY 2005 PART.

Program Evaluations:

NTIA management reviewed and assessed policy and program priorities in the development of FY 2006 and 2007 budgets. NTIA also meets regularly with DOC management in the development of appropriate policy priorities. ITS research will focus on supporting those spectrum management reform activities and assessments undertaken in NTIA's policy development.

Cross-cutting Activities:

Intra-Department of Commerce:

NTIA supports the Secretary of Commerce on a broad range of telecommunications policy issues. NTIA works with the Technology Administration and the International Trade Administration on international issues, the Economics and Statistics Administration on Internet penetration and use measurements and analysis and with the Technology Administration on domain name and technology policy issues. ITS supports NTIA's policy-related activities by providing empirical analysis, and also supports NTIA's spectrum management activities through spectrum occupancy measurements and other technical support activities. ITS performs public safety telecommunications research under contract to NIST.

Other Government Agencies:

NTIA works with the White House and other federal agencies to develop and coordinate Administration-wide policy statements. NTIA serves as the manager of federal government spectrum while the Federal Communications Commission (FCC) manages the non-federal spectrum. Since spectrum is often shared, NTIA and the FCC regularly engage in coordination of spectrum uses and spectrum policies. ITS conducts research under contract for a wide variety of federal agencies, including the White House National Communications Agency, the Departments of Defense and Transportation. Internationally, NTIA works with the White House, the State Department, the Federal Communications Commission (FCC) and the Office of the U.S. Trade Representative to shape policies in international, regional and bilateral fora which support competition, innovation and trade in telecommunications and information products and services.

Government/Private Sector:

NTIA obtains private-sector views on a broad range of telecommunications and information policy issues through formal proceedings in which public comments are solicited and through public conferences, workshops, and meetings on specific subjects. ITS conducts extensive technology transfer activities through CRADAs with private sector entities. ITS cosponsors the annual International Symposium on Advanced Radio Technologies, which attracts attendees from around the world.

External Factors and Mitigating Strategies:

Consideration of telecommunications and information policy issues is affected by the activities of independent regulatory agencies (such as the Federal Communications Commission and the Federal Trade Commission) and by priorities established for NTIA by the Secretary of Commerce, the White House, and Congress. NTIA works closely with these entities in the establishment of policy priorities. Rapidly developing issues in the Internet and telecommunications industry sectors sometimes makes it difficult for government institutions to coordinate timely policy responses. Regular interagency meetings on policy issues will assist in the development of timely Administration positions. The number of projects that ITS can conduct is limited by the size of its scientific and technical staff and the availability of funding through other government agencies, as well as NTIA.

Data Validation and Verification

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

Performance Measure	Data Source	Frequency	Data Storage	Internal Control Procedures	Data Limitations	Actions to be taken
Timeliness of Processing	Interdepartment Radio Advisory Committee (IRAC) Support Branch, Office of Spectrum Management (OSM)	Monthly, Annually	Office of Spectrum Management, Computer Services Division	Automated Data Processing (ADP) routines	Classified information is not included in public data	Collection of data
Certification Request Processing Time	Interdepartment Radio Advisory Committee (IRAC) Support Branch, Office of Spectrum Management (OSM)	Monthly, Annually	Office of Spectrum Management, Computer Services Division	Automated Data Processing (ADP) routines	Classified information is not included in public data	Collection of data
Space System Coordination Request Processing Time	Interdepartment Radio Advisory Committee (IRAC) Support Branch, Office of Spectrum Management (OSM)	Monthly, Annually	Office of Spectrum Management, Computer Services Division	Automated Data Processing (ADP) routines	Classified information is not included in public data	Collection of data
Spectrum Management Improvements	Office of Spectrum Management (OSM)	Monthly, Annually	Office of Spectrum Management, Associate Administrator	NTIA document clearance process, OMB/Interagency clearance process	None	None
Support new telecom and info technology by advocating Administration views in FCC docket filings and Congressional proceedings	Activities are reflected on NTIA website; weekly reports to the Secretary of Commerce; annual report to Congress	Annual	Office of Policy Coordination and Management	Inspection	Data is not quantitative but rather a qualitative assessment of current policy directions and plans.	None
Number of website views for research publications ¹	ITS	Monthly	ITS, webserver	Inspection	None	Collection of data

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