

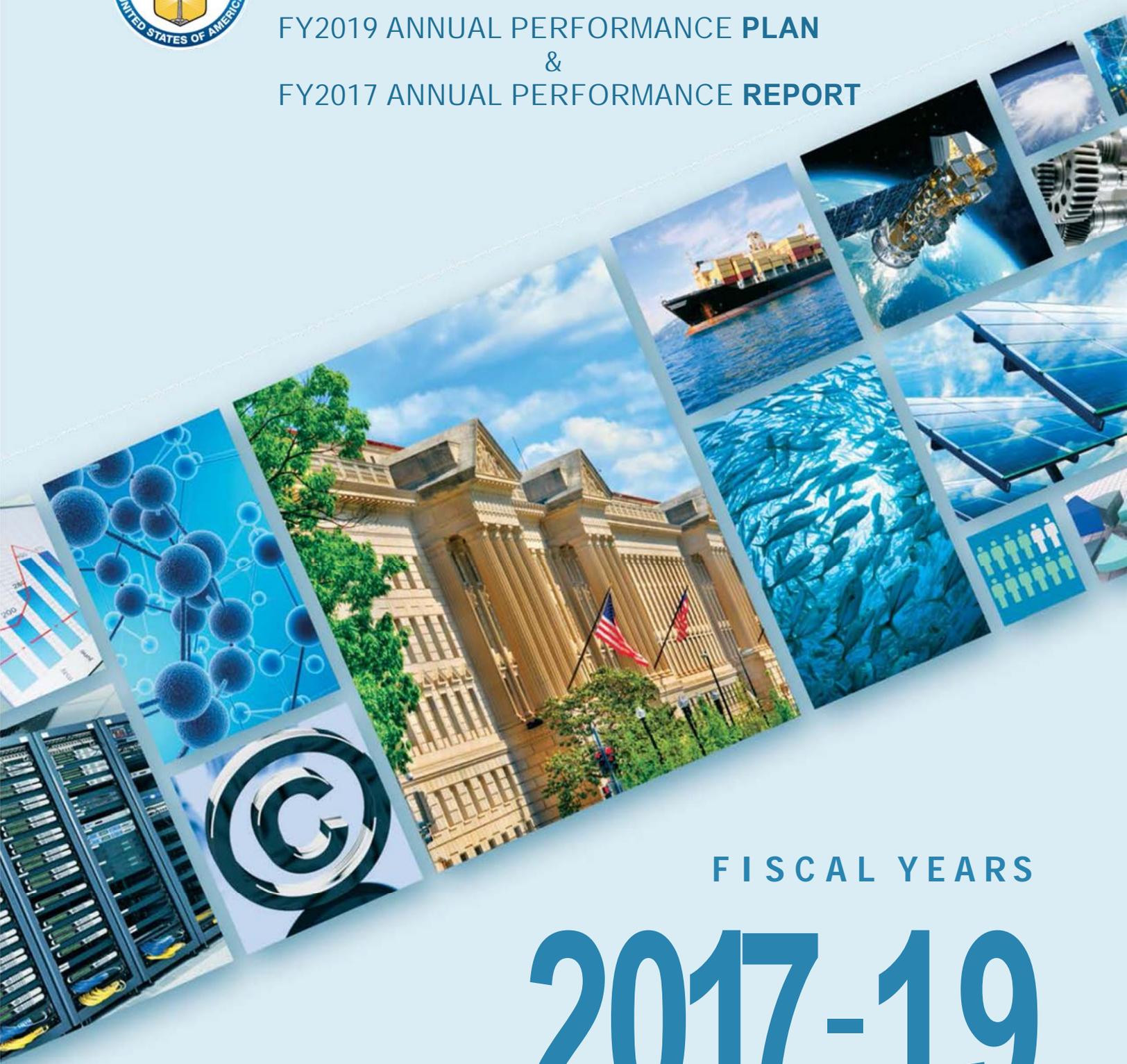


# U.S. DEPARTMENT OF COMMERCE

FY2019 ANNUAL PERFORMANCE PLAN

&

FY2017 ANNUAL PERFORMANCE REPORT



FISCAL YEARS

# 2017-19



# THE DEPARTMENT AT A GLANCE

## HISTORY AND ENABLING LEGISLATION

The Department of Commerce was originally established by Congressional Act on February 14, 1903 as the Department of Commerce and Labor (32 Stat. 826; 5 U.S.C. 591) and was subsequently renamed the U.S. Department of Commerce by President William H. Taft on March 4, 1913 (15 U.S.C. 1512). The defined role of the new Department was “to foster, promote, and develop the foreign and domestic commerce, the mining, manufacturing, and fishery industries of the United States.”

## MISSION

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

The Department is composed of 11 bureaus and Departmental Management.

- Bureau of Economic Analysis (BEA)
- Bureau of Industry and Security (BIS)
- Census Bureau
- Economic Development Administration (EDA)
- International Trade Administration (ITA)
- Minority Business Development Agency (MBDA)
- National Institute of Standards and Technology (NIST)
- National Technical Information Service (NTIS)
- National Telecommunications and Information Administration (NTIA)
- National Oceanic and Atmospheric Administration (NOAA)
- U.S. Patent and Trademark Office (USPTO)
- Departmental Management (DM)

## FY 2018-22 STRATEGIC GOALS

- Strategic Goal 1: Accelerate American Leadership
- Strategic Goal 2: Enhance Job Creation
- Strategic Goal 3: Strengthen U.S. Economic and National Security
- Strategic Goal 4: Fulfill Constitutional Requirements and Support Economic Activity
- Strategic Goal 5: Customer-Centric Service Excellence

## LOCATION

The Department is headquartered in Washington, D.C., at the Herbert Clark Hoover Building, which is located on eight acres of land covering three city blocks. The Department also has field offices in all states and territories and maintains offices in more than 86 countries worldwide.

## EMPLOYEES

As of September 30, 2017, the Department had approximately 47 thousand employees.

## BUDGET AUTHORITY

The Department’s FY 2017 net budget authority was approximately \$9.53 billion.

## INTERNET

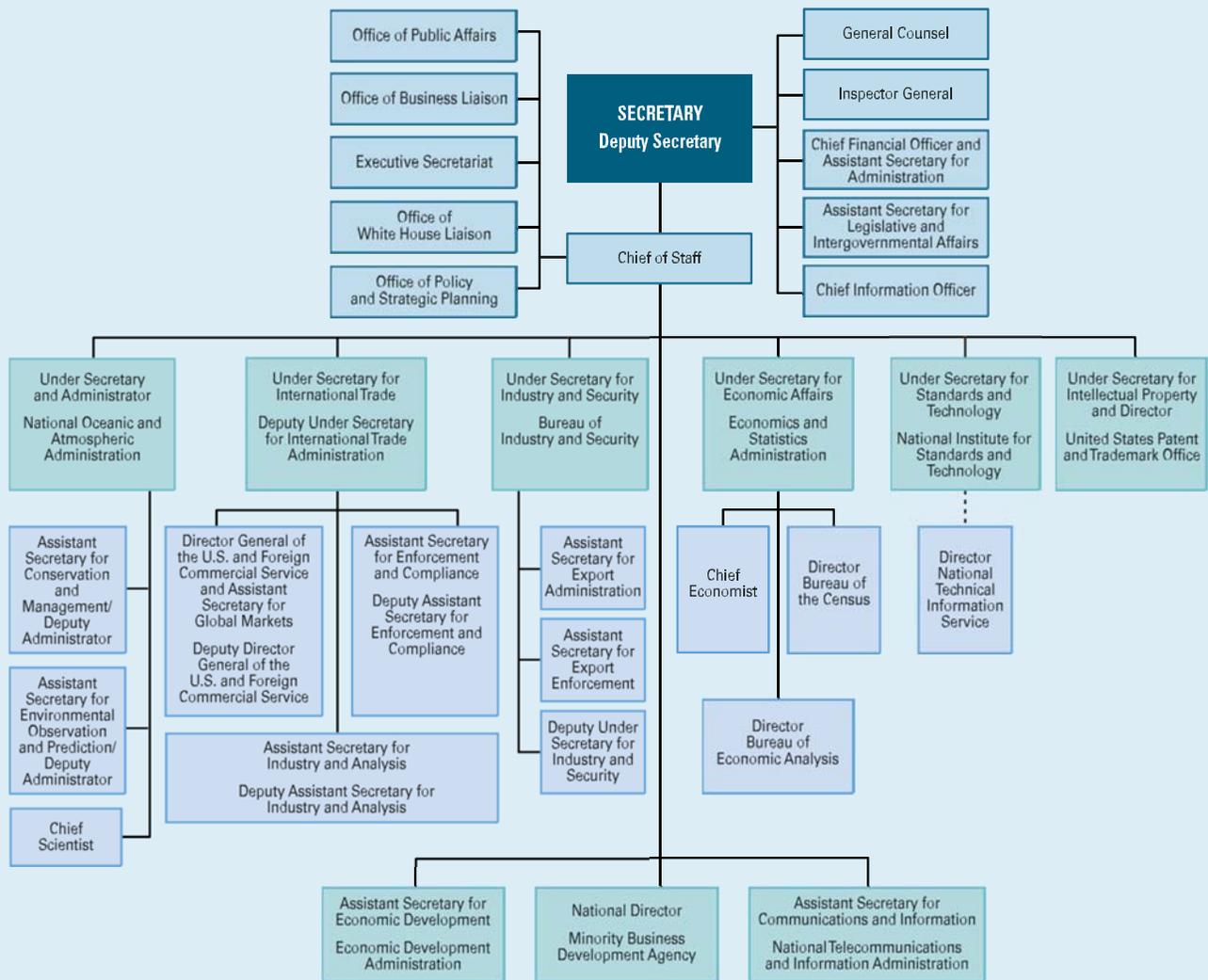
The Department’s Internet address is [www.commerce.gov](http://www.commerce.gov).

# MISSION AND ORGANIZATION

## MISSION

To Create the Conditions for Economic Growth and Opportunity.

## U.S. DEPARTMENT OF COMMERCE



# THE DEPARTMENT OF COMMERCE PROCESS FOR STRATEGIC PLANNING AND PERFORMANCE REPORTING

## BACKGROUND ON FEDERAL AGENCY STRATEGIC PLANNING

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FY 2017 was exceptional in many ways. Mid-fiscal year a new administration moved into the White House and assumed leadership of federal agencies. FY 2017 was also the first year that all major federal agencies are developing and issuing new strategic plans on the same schedule. The Government Performance and Results Modernization Act (GPRMA) of 2010 requires cabinet agencies to publish new strategic plans one year after a new administration begins. The process of developing the plans for FY 2018–FY 2022 began in the Spring of calendar year 2017. Drafts were provided to the Office of Management and Budget (OMB) in September 2017. Final agency FY 2018–FY 2022 Strategic Plans were published in February of 2018.

Commerce's FY 2014–FY 2018 Strategic Plan broadly guided Departmental activities through FY 2017. However, the focus after the inauguration in January was on defining and refining the priorities and policies of the new administration. Some priorities were articulated during the Presidential campaign; others are being developed as the new team governs. Many leadership positions are filled well into the Administration's first year and these new principals will modify and refine plans as they work with the agencies they lead.

GPRMA also requires agencies to establish Agency Priority Goals (APGs). APGs set two-year targets for initiatives that are significant and would benefit from a well-orchestrated sprint. Most major departments have three to five APGs that are selected by top leadership and approved by OMB, an extension of the White House. More information about the current suite of APGs can be found on [www.Performance.gov](http://www.Performance.gov). The four APGs that Commerce will monitor and execute during FY 2018-FY 2019 are:

Commerce FY 2018-19 Agency Priority Goals
<p><b>Prepare for a Full, Fair, and Accurate 2020 Census</b> The Census Bureau will prepare for execution of an accurate, secure, and cost-effective 2020 Decennial Census U.S. population count by conducting the 2018 end-to-end census test and analyzing and incorporating the results, initiating in-field address canvassing by September 30, 2019, and designing for optimal self-response with a nationwide target of 60.5 percent.</p>
<p><b>Mitigate Flood Impacts</b> By September 30, 2019, NOAA's National Weather Service will improve decision support services by demonstrating a new flood inundation mapping capability serving 25 million people (i.e., 8 percent of the U.S. continental population) residing in flood-vulnerable freshwater basins and delivering an enhanced excessive rainfall outlook product that extends the lead time of high risk predictions from two to three days.</p>
<p><b>Accelerate Patent Processing</b> By September 30, 2019, the USPTO will reduce patent pendency to less than 15 months for first action pendency and less than 24 months for total pendency from end of fiscal year 2017 results of 16.3 months and 24.2 months, respectively.</p>
<p><b>Remove Foreign Trade Barriers</b> ITA will facilitate fair competition in international trade for U.S. firms and workers by improving the number of trade barriers reduced, removed, or prevented by 10 percent annually in fiscal years 2018 and 2019.</p>

The Strategic Plan and APG implementation monitoring process described later in this section continued through the end of calendar year 2016. However, in FY 2017, emphasis and executive attention focused on creating a program/ policy framework for the next four years. With the exception of top priority actions, strategic plan monitoring is more bureau-based until a new plan is adopted. Now that the FY 2018-22 Strategic Plan is published, the Department-level review process will be modified to accommodate the preferences of the Secretary and Deputy Secretary.

## **ORGANIZATION OF THE DEPARTMENT OF COMMERCE FY 2014–2018 STRATEGIC PLAN**

The FY 2014 – 2018 Department of Commerce Strategic Plan, the plan in effect during FY 2017, was organized by goal areas, strategic objectives, strategies, and performance indicators. This structure is standard for federal agencies and is established in guidance from OMB. The goal areas are major elements of the Department mission, i.e., Trade and Investment, Innovation, Environment, Data, and Operational Excellence. Strategic objectives (three to five per goal area) state specific important outcomes the Department aims to achieve, e.g., “Strengthen fair competition in international trade.” Strategies are approaches that will be used to achieve a strategic objective, e.g., “Monitor and ensure compliance with trade agreements.” Performance indicators are measures of success, e.g. “Number of trade agreement compliance cases resolved successfully.”

## **ROUTINE MONITORING OF THE STRATEGIC PLAN**

The Department’s Strategic Plan Review and Implementation (SPRI) meetings have been one forum for monitoring the strategic plan and refining strategies and tactics on an ongoing basis. Monthly SPRI meetings included the administration- appointed bureau leaders, the Deputy Secretary, and principals of the Office of the Secretary. The Secretary attended intermittently. The Deputy Secretary chaired the reviews. At every meeting, a goal area and related objectives and priorities were discussed. Progress, challenges, and risks were identified and benefited from the collective talents and resources of the group. Strategies and tactics were at times revised or enhanced to accelerate progress or reduce risks.

The Strategic Plan was also monitored and advanced through weekly Operating Committee meetings. These meetings included the Secretary, the Deputy Secretary, policy principals, and the bureau leaders responsible for results under discussion. Discussion and reporting followed a prescribed format and follow-up actions were assigned.

Performance indicator data on APGs and Cross-Agency Priority Goals (addressing multi-agency priorities) have been posted to a public website: [www.Performance.gov](http://www.Performance.gov). This is a legal requirement, and will continue into the new administration. Before the data and explanations are published on the site, the tracking information is reviewed by bureau leadership and OMB.

Internal bureau-centric metric review processes vary in approach and schedule but are systematic. Data on mission support initiatives (Human Resources, Acquisition, Financial Management, etc.) are tracked on an online dashboard and reviewed at quarterly meetings with the Chief Financial Officer/Assistant Secretary for Administration (CFO/ASA). The various “CXO” Councils (Human Capital, Information Technology, Acquisition, Finance) also review dashboards of metrics.

## **CROSS-AGENCY PRIORITY (CAP) GOALS**

Per the GPRA Modernization Act requirement to address Cross-Agency Priority (CAP) Goals in the annual performance plan and report, please refer to [www.Performance.gov](http://www.Performance.gov) for the Department’s contributions to those goals and progress, where applicable.

## **DEPARTMENT OF COMMERCE FY 2018-2022 STRATEGIC GOALS AND OBJECTIVES**

The FY 2018–2022 Department of Commerce Strategic Plan builds on what the Department achieved and learned in FY 2014–2018. The strategic goals and objectives established in the Department’s FY 2018–2022 Strategic Plan are listed below. The complete plan can be viewed online at [www.commerce.gov](http://www.commerce.gov)

### **Strategic Goal 1 – Accelerate American Leadership**

Strategic Objective 1.1 – Expand Commercial Space Activities

Strategic Objective 1.2 – Advance Innovation

Strategic Objective 1.3 – Strengthen Intellectual Property Protection

### **Strategic Goal 2 – Enhance Job Creation**

Strategic Objective 2.1 – Increase Aquaculture Production

Strategic Objective 2.2 – Reduce and Streamline Regulations

Strategic Objective 2.3 – Strengthen Domestic Commerce and the U.S. Industrial Base

Strategic Objective 2.4 – Increase U.S. Exports

Strategic Objective 2.5 – Increase Inward Investment Into the United States

### **Strategic Goal 3 – Strengthen U.S. Economic and National Security**

Strategic Objective 3.1 – Enforce the Nation’s Trade Laws and Security Laws

Strategic Objective 3.2 – Enhance the Nation’s Cybersecurity

Strategic Objective 3.3 – Reduce Extreme Weather Impacts

Strategic Objective 3.4 – Deploy Public Safety Broadband

### **Strategic Goal 4 – Fulfill Constitutional Requirements and Support Economic Activity**

Strategic Objective 4.1 – Conduct a Full, Fair, and Accurate Decennial Census

Strategic Objective 4.2 – Provide Accurate Data to Support Economic Activity

### **Strategic Goal 5 – Deliver Customer-Centric Service Excellence**

Strategic Objective 5.1 – Engage Commerce Employees

Strategic Objective 5.2 – Accelerate Information Technology Modernization

Strategic Objective 5.3 – Consolidate Functions for Cost Savings

# FY 2017 PERFORMANCE SUMMARY

## OVERVIEW

The performance indicators below are a representative sample of the approximately 200 measures that are tracked at the Departmental level. The indicators presented in this report were selected based on significance, as well as accessibility (easy to understand without a technical background).

### 1. TRADE AND INVESTMENT

The Agency Priority Goal (APG) in the Trade and Investment goal area has been “Percentage of Global Markets’ clients that achieved their export objectives.” Global Markets is a business unit of the International Trade Administration (ITA). It assists U.S. businesses (ITA’s clients) to start exporting or increase exports. This measure reflects Global Markets’ emphasis on customer service. In FY 2017, the target of 73 percent was exceeded; 78 percent of clients achieved their objectives. The percentage of clients highly likely to recommend Global Markets assistance, 86 percent, compares favorably to the service ratings of well-regarded private sector companies.

In FY 2017, ITA increased emphasis on enforcement of trade agreements and conventions. They far exceeded their target of responding to 298 business petitions regarding unfair practices; they worked with over one thousand businesses. Results on this measure will vary a lot year to year depending on the demand for counseling. “Commercial advocacy wins” are instances where ITA has helped a U.S. business win a contract with a foreign government or used diplomacy to remove a barrier to U.S. exports. There were 459 “wins” in FY 2017.

Performance Measure	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Target	FY 2017 Actual
Percentage of Global Markets clients that achieved their export objectives	67%	73%	73%	78%	73%	78%
Percentage of clients highly likely to recommend Global Markets	78%	83%	84%	86%	82%	86%
Number of clients assisted by Global Markets	18,126	17,593	25,029	26,852	28,000	30,110
Number of antidumping and countervailing duty petition counseling sessions	N/A	N/A	N/A	655	298	1,038
Number of commercial advocacy wins	N/A	343	287	472	330	459

N/A = Not Available

### 2. INNOVATION

The Department supports innovation with cutting-edge research by the scientists at the National Institute of Standards and Technology (NIST). NIST also makes its facilities available to researchers from industry. In FY 2017, 442 businesses used NIST equipment to test ways to improve their products. The National Telecommunications and Information Administration (NTIA) provides highly used research and information on broadband use and developments. One way NTIA measures its reach is by counting document downloads. It also provides consulting to communities on how broadband can be leveraged to expand their business base. In FY 2017, NTIA assisted 400 communities.

Performance Measure	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Target	FY 2017 Actual
Number of businesses using NIST research facilities	N/A	514	444	435	325	442
Number of times NTIA research publications are downloaded	N/A	7,707	8,960	8,800	8,000	8,089
Communities that NTIA assisted in gaining economic benefits from broadband	N/A	N/A	337	449	250	400

N/A = Not Available

The U.S. Patent and Trademark Office (USPTO) missed the target for reducing the time for first action on a patent application; this will be addressed by increased use of technology and process improvements. USPTO has continued to reduce the patent backlog and the time required for a final patent determination. USPTO's efforts to improve cycle-time and patent quality help reduce the time from invention to commercialization of a product.

Performance Measure	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Target	FY 2017 Actual
Patent first action pendency (months)	18.2	18.4	17.3	16.2	14.8	16.3
Patent total action pendency (months)	29.1	27.4	26.6	25.3	24.8	24.2
Patent backlog	584,998	605,646	553,221	537,655	485,300	526,579

### 3. ENVIRONMENT

The National Oceanic and Atmospheric Administration (NOAA) advances U.S. resilience to extreme weather and works with individual communities toward that end. As shown in the metric below many hometowns are benefiting from increased resilience. NOAA has an admirable record for peer-reviewed research; NOAA research focuses on weather, climate, and the oceans. As indicated in the last measure in the matrix below, they also have an admirable record of success supporting populations of endangered species. The Fish Stock Sustainability Index measures progress in maintaining fishing at levels that will permit future generations to fish.

Performance Measure	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Target	FY 2017 Actual
Percentage of U.S. coastal states and territories demonstrating annual improvement in resilience to weather and climate hazards	57%	54%	60%	74%	66%	69%
Annual number of peer-reviewed publications related to environmental understanding and prediction	1,676	1,759	1,860	1,697	1,700	1,678
Number of protected species designated as threatened, endangered or depleted with stable or increasing population levels	30	37	31	31	30	30
Fish Stock Sustainability Index	719.0	746.0	761.5	754.0	754.0	756.5

NOAA skill and lead time for predicting weather can and does save lives. The "skill score" is a measure of accuracy and it hit an all-time high for temperature forecasts. Lead time for warnings is very important for extreme weather. Winter storm warning lead time is now 22 hours. NOAA is using "super-computing" to perfect the models and extend warning lead times. Accurate flash flood predictions are also needed for public safety. NOAA is working to improve the models that predict dangerous flooding. To this end, it opened the National Water Center in 2014. The National Water Center leverages interagency (U.S. Geological Survey, Army Corps of Engineers) expertise to improve water resource forecasts.

Performance Measure	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Target	FY 2017 Actual
U.S. temperature forecast skill	26	26	25	24	26	34
Winter storm warning – Leadtime (hours)	22	22	21	21	20	22
Severe weather warnings for flash floods – Accuracy	78%	78%	79%	80%	76%	78%

#### 4. DATA

Commerce's FY2014–FY2018 Strategic Plan presented data as a national asset that can increase competitiveness and save lives (e.g., weather data). In FY 2017, the Department continued to make more of its data sets available in API format, i.e., a format that facilitates linking datasets. NOAA and the Census Bureau data support industries that package the information for local and regional consumption.

The Census Bureau is planning a 2020 Decennial Census that will hinge on a centralized, state of the art information technology (IT) architecture. This IT investment will eventually support all of the Census Bureau's survey products. The Census Bureau and the Bureau of Economic Analysis (BEA) continue to meet their deadlines for data releases that are the basis of critical government and business decisions.

Performance Measure	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Target	FY 2017 Actual
Percentage of data processed and delivered to the user community (relative to all data transmitted to NOAA from NOAA-managed satellites)	99.5%	99.7%	99.35%	99.3%	98.5%	99.49%
Percentage of key activities for cyclical census programs completed on time to support effective decision-making by policymakers, businesses, and the public	90%	90%	100%	100%	90%	100%
Percentage of key data products for Census Bureau programs released on time to support effective decision-making of policymakers, businesses, and the public (Economic Indicators)	100%	100%	100%	100%	100%	100%
Percentage of key data products for Census Bureau programs released on time to support effective decision-making of policymakers, businesses, and the public (Other Key Products: Econ, Geo, and Demo)	90%	86%	87%	84%	90%	85%
BEA timely releases of economic statistics	62	65	65	74	74	74

#### 5. OPERATIONAL EXCELLENCE

There are many granular measures in the Operational Excellence goal area that help identify support services that need improvement, e.g., measures of customer satisfaction with individual processes and services, cycle-times, and cost effective new practices. Strategic level measures are often milestones for implementing new approaches to major functions, e.g., organizational development, IT architecture, and acquisition. New approaches reflect government-wide initiatives/reforms in the President's Management Agenda, which states the administration's priorities for improved operations.

As these proceed, the Department monitors employee survey results (see below) to assess if the culture supports excellence. The survey data below is the percent of staff who responded positively on the questions in the index. Both index scores are above the federal averages (69 for engagement; and 58 for results).

One-way environmental responsibility is monitored is by tracking the Department's use of renewable energy. There has been steady improvement for five years. Enterprise acquisition practices are assessed in part through savings. That measure shows notable progress.

Performance Measure	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Target	FY 2017 Actual
Federal Employee Viewpoint Survey–Employee Engagement Index	70	70	68	69	69	71
Federal Employee Viewpoint Survey–Results Oriented Culture Index	61	61	60	60	61	62
Commerce use of renewable energy as a percentage of total facility electricity use	4.9%	6.2%	7.7%	10%	7.5%	14.6%
Savings achieved through effective acquisition practices	\$21M	\$18M	\$17M	\$35M	\$18M	\$36M

# LOOKING FORWARD

The Department of Commerce is committed to creating the conditions for economic growth and opportunity. Much work has been completed and the Department remains committed to addressing continuing challenges, as well as new and emerging issues, as it strives to achieve the Department's strategic objectives.

Despite many gains and achievements, the Department recognizes areas of major potential impact on the effectiveness and efficiency of its programs and operations. The Department has undertaken and planned extensive actions to address these challenges, and is committed to making further progress.

As a new decade draws closer on the horizon, the Department will continue to work with businesses, universities, communities, and the Nation's workers to promote job creation, economic growth and sustainable development. Departmental leadership is dedicated to making informed decisions when establishing program priorities as the Nation navigates familiar territories, and builds on core achievements; all while facing great uncertainty and emerging challenges. Balancing risk and opportunity in key programs, operations, and strategies will be a key contribution to the overall improved standards of living for Americans.

## BALANCING RISK AND OPPORTUNITY

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Departmental managers and leaders handle complex and risky mission and mission support activities, such as preparing for and responding to natural disasters, and managing safe information technology (IT) systems. While it is not possible to eliminate all uncertainties in these types of projects, there are approaches that can help plan and manage them.

One such methodology used at the Department is Enterprise Risk Management (ERM). Recognized and cited by the U.S. Government Accountability Office (GAO) as a good practice for managing risk, the Department's ERM effort provides ways to better anticipate and manage risk across the organization. Successful ERM programs find ways to develop an organizational culture that allows employees to openly discuss and identify risks, as well as potential opportunities to enhance organizational goals or value. For example, Departmental officials sought to embed a culture of risk-awareness across the Department by defining cascading roles of leadership and responsibility for ERM across the Department and for each of its bureaus. Additionally, the Department leveraged this forum to share bureau best practices; develop a common risk lexicon; and address cross-bureau risks, issues, and concerns regarding ERM practice and implementation. These roles should support the ERM program and promote a risk management culture. They also help promote transparency, oversight, and accountability for successful ERM.

Consideration of the Department's changing priorities and emerging risks is particularly valuable in helping the Department focus its oversight efforts. The Department's ERM Framework is designed to facilitate a risk-based approach to its day-to-day business. The Department annually utilizes several processes and sources to identify, manage, and mitigate fraud risks. These processes and sources include, but are not limited to, the Agency Risk Profile, GAO High-Risk List, and Mission Critical Programs and Activities List, and Annual Strategic Review.

## EMERGING CHALLENGES

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The underlying strength of the Department is the ability of its bureaus to work together and share expertise to drive economic growth. This same collaborative effort is leveraged to address the challenging areas that remain a priority for Department leadership. Securing Department systems and information, deploying a Nationwide Public Safety Broadband Network, and modernizing the Department's legacy IT systems and improving data quality are examples of areas for improvement that benefit from collaborative solutions. The Department is dedicated to developing processes to facilitate this need, which include conducting Milestone Review Boards (MRBs). The MRB is a Department-level multi-disciplinary meeting that reviews performance indicators and progress against milestones. The board meetings direct further data collection and/or course corrections to keep critical projects on track. A balance of oversight and proactive risk management will be an ongoing process to address these challenge areas.

## HUMAN CAPITAL

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The Department of Commerce strives to be a model employer by building and maintaining a highly-skilled and diverse workforce. The Department takes pride in ranking 2nd out of 18 large federal agencies in the 2017 Best Places to Work, the most comprehensive and authoritative rating of employee satisfaction and commitment in the federal government produced by the Partnership for Public Service and American University's Institute for the Study of Public Policy Implementation. Internships, leadership development programs, technical training opportunities, telework, and succession plans are used by bureaus as vehicles for making progress in the recruitment, development, and retention of a highly-skilled and diverse workforce. Acknowledging that people are the key to mission accomplishment, Departmental leadership continues to implement and evaluate programs to ensure that there is succession planning for future work force needs, including building those in the area of financial management.

In FY 2017, the Department hosted approximately 360 Pathway Program interns, recent graduates, and Presidential Management fellows. Of these, approximately 19 served as accountants, budget analysts, and auditors, including two new hires and 13 who were converted to permanent positions, within finance and accounting offices in the Bureau of Economic Analysis, Census Bureau, International Trade Administration, NIST, NOAA, and the Office of Inspector General. To maintain a highly-skilled workforce, the Department's retention and succession strategies include the increased use of telework. In FY 2017, approximately 42 percent of Departmental employees (61 percent of accounting and budgeting employees) engaged in telework. Telework is used by the Department to position itself as an "employer of choice" in attracting qualified employees, facilitating employee work/life balance, increasing employee satisfaction and engagement, and potentially increasing employee productivity.

Also in FY 2017, the Department's Enterprise Services (ES) organization was stood up. ES is transforming the way the Department delivers mission-enabling services by implementing intra-departmental, multi-function enterprise service operations in the areas of Human Resources (HR), Information Technology (IT), Acquisitions, and Financial Management to the Office of the Secretary and the Department's 12 bureaus. In support of transforming the Department's HR program, ES migrated approximately 30 thousand employees to HRConnect, resulting in all Department bureaus being on a single, enterprise HR management system platform. ES also transitioned the first set of HR transactional services—Position Action Request (PAR) processing for two servicing HR offices—to its vendor for completion. Lastly, ES commenced providing Contact Center services related to HRConnect and PAR processing. Moving transactional work to ES allows HR professionals to focus on the high value, strategic services important to client bureaus in meeting their mission.

In addition, ES continued to be successful in delivering several critical services in the area of Acquisitions and IT, yielding enterprise-wide benefits and cost savings for the Department. Efforts will continue in FY 2018, and beyond, to transition additional HR services (e.g., Compensation and Benefits, Recruiting and Hiring, etc.) and functions (e.g., Financial Management) to the ES service delivery model. The focus of ES is on enabling improvements to its customers' experience, performance management, mission focus, and value.

## **FY 2018 Top Management Challenges**

The Commerce Office of the Inspector General (OIG) has identified the following seven management challenges within the Department, as noted in its FY 2018 Top Management Challenges report, located online at:

[https://www.oig.doc.gov/OIGPublications/2017-09-29\\_FY\\_2018\\_TMC\\_final\\_Secured.pdf](https://www.oig.doc.gov/OIGPublications/2017-09-29_FY_2018_TMC_final_Secured.pdf)

<b>FY 2018 Management Challenge Identified by DOC OIG</b>	<b>Department FY 18-22 Strategic Objectives to Address the Challenge*</b>
1. Delivering a Timely 2020 Census that Maintains or Improves Data Quality but Costs Less per Household than the 2010 Census	Objective 4.1 - Conduct a Full, Fair, and Accurate Decennial Census
2. Ensuring the Continuity of Environmental Satellite Observations	Objective 3.3 - Reduce Extreme Weather Impacts
3. Securing Department Systems and Information	Objective 5.2 – Accelerate Information Technology Modernization
4. Deploying a Nationwide Public Safety Broadband Network	Objective 3.4 - Deploy Public Safety Broadband
5. Efficiently and Effectively Enforcing Laws that Promote Fair and Secure Trade	Objective 3.1 – Enforce the Nation’s Trade Laws and Security Laws
6. Modernizing the Department’s Legacy IT Systems and Improving Data Quality	Objective 5.2 – Accelerate Information Technology Modernization
7. Implementing Processes to Improve Management of the Department’s Contracts, Grants, and Cooperative Agreements	Objective 5.3 – Consolidate Functions for Cost Savings

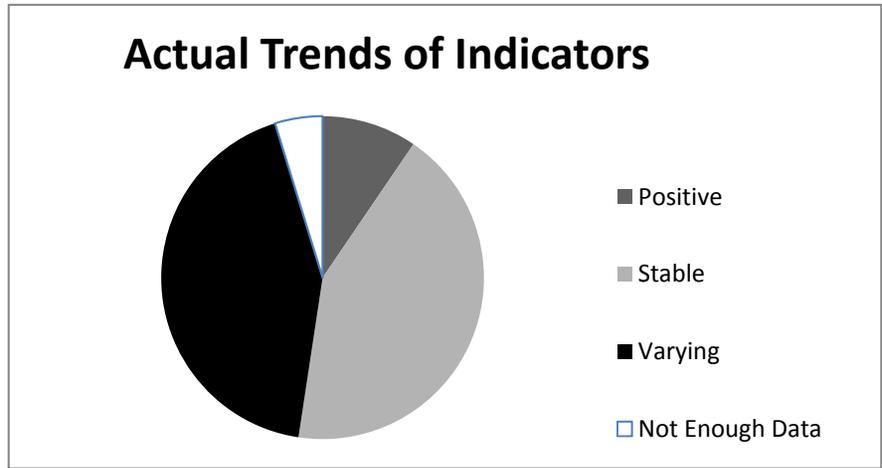
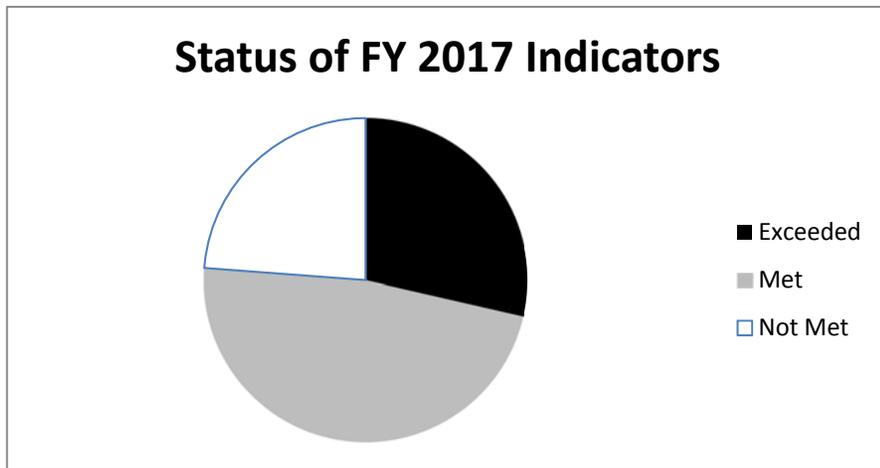
**DEPARTMENTAL MANAGEMENT**

Departmental Management’s objective is to develop and provide policies and procedures for administrative planning, oversight, coordination, direction and guidance to ensure the implementation of the Department’s mission. DM is comprised of the following three accounts:

- The Salaries and Expenses appropriation provides funding for the development and implementation of Departmental policies, coordinates the bureaus’ program activities to accomplish the Departmental mission, and provides funds for the development and implementation of the Department’s internal policies, procedures, and other administrative guidelines;
- The Working Capital Fund provides necessary centralized services to client bureaus; and
- The Herbert C. Hoover Building (HCHB) Renovation and Modernization account provides no-year funding for the Department’s expenses associated with the renovation and modernization of HCHB.

**Performance Indicator Information**

*Summary of Indicator Performance*



In FY 2017, DM reported results on 21 of 22 performance indicators. Of those indicators, DM exceeded six targets (28%), met ten targets (48%) and did not meet five targets (24%). Of the 21 indicators, two (10%) had a positive trend, nine (43%) had a stable trend, none had a negative trend, nine (43%) had a varying trend, and one (4%) did not have enough data to determine a trend.

## Summary of FY 2017 Indicator Performance

### Contributing offices are as follows:

OFM: Office of Financial Management  
 OAM: Office of Acquisition Management  
 OCIO: Office of the Chief Information Officer  
 OHRM: office of Human Resources Management

Note: In the following section, five years of past data (FY 2012 – FY 2017) appear for each indicator unless the indicator began in a later year (e.g., FY 2014). In those cases, only the years for which data are reported appear.

Indicator Name / Contributing Office	Target	Actual	Status	Trend
Score on the Employee Engagement Index of the Federal Employee Viewpoint Survey (OFM)	69%	71%	Exceeded	Varying
Score on the New Inclusion Quotient (New IQ) of the Federal Employee Viewpoint Survey (OFM)	64%	66%	Exceeded	Varying
Percentage of high-volume processes with customer feedback elements (OAM)	100%	100%	Met	Not enough data
Score on the Results-Oriented Performance Culture Index of the Federal Employee Viewpoint Survey (FEVS) (OFM)	61%	62%	Exceeded	Varying
Provide accurate and timely financial information and conform to federal standards, laws, and regulations governing accounting and financial management (OFM)	Eliminate any repeat significant deficiency within 1 year of determination Complete FY 2017 A-123 assessment of internal controls	The significant deficiency (FISCAM) from FY 2016 remains and a material weakness was identified.  Completed FY 2017 A-123 assessment of Internal Controls	Not Met	Stable
Unmodified audit opinion (OFM)	Unmodified	Unmodified	Met	Stable
For each administrative / business system, maintain compliance and alignment with OMB initiatives (OFM)	Compliance	Maintained compliance	Met	Stable
Dollars awarded using high-risk contracting authorities (OAM)	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high risk contracting authorities	\$222M	Met	Positive
Savings achieved through more effective acquisition practices (millions) (OAM)	\$18	\$36	Exceeded	Varying
Cybersecurity Cross Agency Priority (CAP) Goal average for the Department (OCIO)	95%	TBD	TBD	TBD
Percentage of internal customers satisfied with core mission support processes (OCIO)	75%	Discontinued	Not applicable	Not applicable

Continuous Monitoring (OCIO)	Continuous Monitoring – ongoing near real-time awareness and assessment of information security risks to support risk management decisions (95%)	The Enterprise Security Operations Center implemented a Departmental Incident Management System to report, track, and manage all Commerce cyber incidents.  Hardware Asset Management: 83%; Software Asset Management: 81%; Vulnerability Management: 92%; Configuration Management: 96%;	Met	Stable
Cost / Schedule Overruns (OCIO)	IT investments have cost/schedule overruns and performance shortfalls averaging less than 10%	On average, for its major IT investments, the Department was within a 20% positive variance (under budget) and was within a 30% schedule variance.	Not Met	Stable
Strong Authentication (OCIO)	Strong Authentication - ensure only authorized privileged and unprivileged users have access to federal information systems following the HSPD-12 Personal Identity Verification standard (100% privileged users and 85% unprivileged users)	Privileged users: 97% Unprivileged users: 89%	Met	Stable
Trusted Internet Connection Consolidation (OCIO)	Trusted Internet Connection Consolidation – ensures external network traffic passing through a TIC or Managed Trusted Internet Protocol Services (MTIPS) provider. (100%)	TIC Consolidation is at 100% via MTIPs and TICAP for all bureaus.	Met	Stable
Trusted Internet Connection Capabilities (OCIO)	Trusted Internet Connection Capabilities – ensure NOAA TIC service meets TIC 2.0 requirements (100%)	NOAA's TIC 2.0 compliance at 98% (59/60) based on the DHS FY17 TIC Capability Validation (TCV) report critical controls	Met	Stable
Security Compliance Reviews (OCIO)	Perform IT Security Compliance Reviews of all OUs and 20 assessments	Conducted 27 analyses, reviews, and assessments, including an RMF Continuous Monitoring Check of all 270 Department of Commerce FISMA-reportable systems.	Met	Stable
Mission-Critical Occupation Staffing (MCO) Staffing (Average deviation of populations from targets) (OHRM)	5%	9%	Exceeded	Varying
Permanent Attrition (rate of permanent employees that intentionally separated, without agency incentive or action) (OHRM)	7%	7%	Met	Varying

Hiring Timeline (Average number of calendar days to complete hiring actions) (OHRM)	65	89	Not Met	Varying
Disability Hires (Percentage of new hires that have a disability) (OHRM)	13%	21.9%	Exceeded	Positive
Veteran Hires (Percentage of new hires that are veterans) (OHRM)	26%	10.2%	Not Met	Varying
Candidate Quality (Percentage of managers saying referred applicants had skills to perform the job) (OHRM)	70%	54%	Not Met	Varying

### **DETAILED INDICATOR PLANS AND PERFORMANCE**

#### **Current / Recurring Indicators**

Indicator	Score on the Employee Engagement Index of the Federal Employee Viewpoint Survey							
Category	Key							
Type	Customer Service							
Description	The Employee Engagement Index consists of 15 FEVS questions, concentrating on factors that lead to an engaged workforce (e.g., supporting employee development, communicating agency goals).							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target				67%	67%	69%	71%	71%
Actual	70%	70%	70%	68%	69%	71%		
Status				Exceeded	Exceeded	Exceeded		
Trend	Varying							
Actions to be taken	None							
Adjustments	The FY 2017 and FY 2018 targets are based on the FY 2016 FEVS Employee Engagement index results.							

Indicator	Score on the New Inclusion Quotient (New IQ) of the Federal Employee Viewpoint Survey							
Category	Key							
Type	Customer Service							
Description	The New Inclusion Quotient (New IQ) consists of 20 FEVS questions with the highest correlation to inclusive environments. The New IQ is built on the concept that individual behaviors, repeated over time, form the habits that create the essential building blocks of an inclusive environment. The New IQ has four questions in common with the Employee Engagement Index, and workplace inclusion is a contributing factor to organizational performance.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target				66%	64%	64%	66%	66%
Actual	65%	64%	64%	63%	63%	66%		
Status				Met	Met	Exceeded		

Trend	Varying						
Actions to be taken	None						
Adjustments	The FY 2018 and FY 2019 targets are based on the FY 2017 FEVS New IQ index results						

Indicator	Percentage of high-volume processes with customer feedback elements			
Category	Key			
Type	Process			
Description	Complete and effective customer feedback loops will be identified for the Department's 20 highest volume externally facing processes. Process owners must demonstrate how customer feedback is used to inform operational improvements and decisions before the loop will be counted as complete.			
	FY 2016	FY 2017	FY 2018	FY 2019
Target	100%	100%	100%	100%
Actual	100%	100%		
Status	Met			
Trend	Not enough data			
Actions to be taken	None			
Adjustments	None			
Notes	The Federal Digital Strategy Team identified four DoC processes with high volume customer contacts (patents, trademarks, weather information and the 2020 Census). All four get feedback from advisory groups and two get on-going feedback from customers. The approaches for all four will have been upgraded in FY 2016/2017. In addition, the universe for this indicator was expanded in FY 2016 to include all high volume customer services processes of DoC. .			

Indicator	Score on the Results-Oriented Performance Culture Index of the Federal Employee Viewpoint Survey (FEVS)							
Category	Key							
Type	Customer Service							
Description	This index is made up of 13 FEVS questions, which taken together indicate the extent to which employees believe their organizational culture promotes improvement in processes, products and services, and organizational outcomes.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target				61%	61%	61%	62%	62%
Actual	61%	61%	61%	60%	60%	62%		
Status				Met	Met	Exceeded		
Trend	Varying							
Actions to be taken	None							
Adjustments	The FY 2018 and FY 2019 targets are based on the FY 2017 FEVS Results-Oriented Performance Culture index results.							



Trend	Maintain standard, Stable trend
Explanation for not met	One repeat significant deficiency remains and one new material weakness was identified. The repeat finding is related to IT controls tested under Financial Information System Controls Audit Manual (FISCAM). This has been a repeat finding for the Department since FY 2012. The material weakness is related to the improper recording of internal use software.
Actions to be taken	The Department will develop corrective actions and continue to monitor the implementation progress to ensure that they stay on track.

<b>Indicator</b>	<b>Unmodified audit opinion</b>						
Category	Supporting (Non-Strategic Plan)						
Type	Efficiency						
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 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	Unmodified	Unmodified	Unmodified	Unmodified	Unmodified	Unmodified	Unmodified
Actual	Unmodified	Unmodified	Unmodified	Unmodified	Unmodified		
Status	Met	Met	Met	Met	Met		
Trend	Maintain Standard, Stable trend.						
Actions to be taken	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						

<b>Indicator</b>	<b>For each administrative / business system, maintain compliance and alignment with OMB initiatives</b>						
Category	Supporting (Non-Strategic Plan)						
Type	Process						
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 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	Compliance	Compliance	Compliance	Compliance	Compliance	Compliance	Compliance
Actual	Maintained compliance	Maintained compliance	Maintained compliance	Maintained compliance	Maintained compliance		
Status		Met	Met	Met	Met		
Trend	Maintain standard; Stable trend.						
Actions to be taken	The BAS project intends to follow the shared services process as stated in OMB Memorandum M-13-08						

<b>Indicator</b>	<b>Dollars awarded using high-risk contracting authorities</b>						
Category	Supporting (Non-Strategic Plan)						
Type	Intermediate Outcome						
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 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high risk contracting authorities	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high risk contracting authorities	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high risk contracting authorities	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high risk contracting authorities	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high risk contracting authorities	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high risk contracting authorities	Maintain 10 percent reduction in share of dollars obligated under new contract actions using high risk contracting authorities
Actual	\$228M	\$279M	\$367M	\$324M	\$222M		
Status	Met	Met	Met	Met	Met		
Trend	Positive						

<b>Indicator</b>	<b>Savings achieved through more effective acquisition practices (millions)</b>						
Category	Supporting (Non-Strategic Plan)						
Type	Outcome						
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 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	\$18	\$18	\$18	\$18	\$18	\$16.9	\$31
Actual	\$29	\$18.1	\$17	\$25	\$36		
Status	Exceeded	Exceeded	Met	Exceeded	Exceeded		
Trend	Maintain Standard, Varying Trend						

<b>Indicators – (OCIO)</b>	<b>A. Cost / Schedule Overruns</b> <b>B. Continuous Monitoring</b> <b>C. Strong Authentication</b> <b>D. Trusted Internet Connection Consolidation</b> <b>E. Trusted Internet Connection Capabilities</b> <b>F. Security Compliance Reviews</b>
Category	Supporting (Non-Strategic Plan)
Type	Outcome

Description	<p>VALUE: The Department's significant annual investment in information technology (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, the Department embarked upon updating its IT infrastructure and initiating an IT Shared Services Initiative aimed at consolidating commodity services across bureaus to gain economies of scale, improve service delivery, and improve customer satisfaction. As part of this effort, six IT shared services were identified and prioritized for deployment in the FY2016-FY2017 timeframe. As these IT shared services are deployed, OCIO will focus on the delivery and measurement of achieved functionality and improvements in customer satisfaction and 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 information technology systems. If systems security were to be compromised, the effective accomplishment of the Department's mission would be in jeopardy. The Department follows the NIST Risk Management Framework (RMF) process to ensure that information and systems are adequately protected throughout their lifecycle. This includes a rigorous assessment of security controls to provide the necessary assurance that an information system can securely process, store, or transmit information. The assessment encompasses all management, operational, and technical controls that protect a system. By following the RMF process, the Department continuously monitors the status of its systems and the adequacy of the controls.</p> <p>In FY 2017, the Department of Commerce (DOC) worked aggressively to enhance its IT security posture and improve its performance in the Cyber Security Cross Agency Priority (CyberCAP) areas as well as other FISMA areas. An enterprise view of the real-time security posture of DOC's systems is being enabled through the Enterprise Cybersecurity Monitoring and Operations (ECMO) program and Enterprise Security Operations Center (ESOC). Additional monitoring tools are currently being deployed and integrated in FY 2017 and FY 2018 as a result of DOC's participation in the DHS's Continuous Diagnostics and Mitigation (CDM) program. DOC met six Anti-Phishing and Malware Defense (APMD) metrics by deploying new network protection tools as well as making a phishing exercise tool available at the enterprise level. DOC will continue to improve its APMD performance through enhanced training exercises and use of additional tools and supporting processes for anti-virus protection, intrusion prevention systems, scanning mobile devices, and the implementation of an enterprise Dynamic Execution Environment (DEE). DOC made progress in Strong Authentication / PIV use through stricter enforcement of technical requirements to use PIV for logical access. A PIV-interoperability solution has been identified to aid in providing PIV badges to DOC populations that were previously unable to receive them. Additional improvements will be realized through DOC's ongoing efforts to cultivate a culture of analytics and IT security awareness.</p>
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Actual	Enterprise Security Operations Center achieved functional initial operating capability on 9/25/2014. Current deployment of enterprise monitoring capability at 113% of projected deployment.	The Enterprise Security Operations Center is operating 24X7 and is ingesting data feeds from NOAA, DOC HQ, NTIA and BEA.  The Enterprise Cybersecurity Monitoring & Operations (ECMO) deploys continuous Monitoring Agents on 100% of targeted assets for FY16.  Hardware Asset Management - 76%; Software Asset Management:84%; Vulnerability Management:74%; Configuration Management:91%	The Enterprise Security Operations Center reached complete operational capability in August 2016 and is now ingesting data feeds from all Commerce bureaus  Hardware Asset Management:71%; Software Asset Management: 77%; Vulnerability Management: 91%; Configuration Management: 99%; Overall:79% (based on average of all individual ISCM metrics)	The Enterprise Security Operations Center implemented a Departmental Incident Management System to report, track, and manage all Commerce cyber incidents.  Hardware Asset Management:83%; Software Asset Management: 81%; Vulnerability Management: 92%; Configuration Management: 96%;		
Status	Met	Met	Not Met	Met		
Trend	Stable trend.					
Actions to be taken	DHS Continuing Diagnostics and Mitigation (CDM) Task Order 2 for hardware and software asset management and Vulnerability and Secure configuration management tools and services was awarded on 9/21/15. Currently the awardee,					
	Northrup Grumman, is in the process of designing and deploying Phase 1 (CRED MGMT) tools throughout DOC bureaus. Phase 2 (PRIV MGMT) contractor, KCG-ManTech, is conducting design meeting with DOC bureaus with deployments scheduled to begin in Nov. 2017.					
Adjustments	Dependent on CDM deployment schedule, as resources are limited.					
Information Gaps	None					

C. Strong Authentication								
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	Increase security training completion rate to 80% for privileged users (role-based)	Percentage of systems in production with valid Accreditation and Authorization (A&A) is 100%	Strong Authentication - ensure only authorized employees have access to federal information systems following the HSPD-12 Personal Identity Verification standard (75%)	Strong Authentication- ensure only authorized employees have access to federal information systems following the HSPD-12 Personal Identity Verification standard (75%)	Strong Authentication – ensure only authorized privileged and unprivileged users have access to federal information systems following the HSPD-12 Personal Identity Verification standard (100% privileged users and 85% unprivileged users)	Strong Authentication - ensure only authorized privileged and unprivileged users have access to federal information systems following the HSPD-12 Personal Identity Verification standard (100% privileged users and 85% unprivileged users)	Strong Authentication - ensure only authorized privileged and unprivileged users have access to federal information systems following the HSPD-12 Personal Identity Verification standard (100% privileged users and 85% unprivileged users)	Strong Authentication - ensure only authorized privileged and unprivileged users have access to federal information systems following the HSPD-12 Personal Identity Verification standard (100% privileged users and 85% unprivileged users)
Actual	Trained Authorizing Officials and System Owners throughout the Department with quarterly workshops. Achieved greater than 85% of required security training for privileged users (role-based).	99% of systems in production with valid Accreditation and Authorization	Strong Authentication aggregated totals for non-privileged and privileged access is 72% as of 9/29/2014 which represents a 100% increase from FY2013.	Privileged users:86% Unprivileged users:81%	Privileged users: 90% Unprivileged users: 86%	Privileged users: 97% Unprivileged users: 89%		
Status	Met	Met	Met	Met	Exceeded	Met (Unprivileged: Exceeded, Privileged: Not met)		
Trend	Maintain standard, stable trend.							
Adjustments	Targets mandated by OMB							

<b>D. Trusted Internet Connection Consolidation</b>						
	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	Trusted Internet Connection Consolidation – consolidate external Internet traffic and ensure a set of common security capabilities (95%)	Trusted Internet Connection Consolidation – consolidate external Internet traffic and ensure a set of common security capabilities (95%)	Trusted Internet Connection Consolidation – ensures external network traffic passing through a TIC or Managed Trusted Internet Protocol Services (MTIPS) provider. (100%)	Trusted Internet Connection Consolidation – ensures external network traffic passing through a TIC or Managed Trusted Internet Protocol Services (MTIPS) provider. (100%)	Trusted Internet Connection Consolidation – ensures external network traffic passing through a TIC or Managed Trusted Internet Protocol Services (MTIPS) provider. (100%)	Trusted Internet Connection Consolidation – ensures external network traffic passing through a TIC or Managed Trusted Internet Protocol Services (MTIPS) provider. (100%)
Actual	TIC Consolidation 100% via MTIPS for all OUs except NOAA who is in process of establishing TICAP services	TIC Consolidation is at 98% via MTIPS and TICAP.	TIC Consolidation is at 100% via MTIPs and TICAP for all bureaus.	TIC Consolidation is at 100% via MTIPs and TICAP for all bureaus.		
Status	Met	Met	Met	Met		
Trend	Stable trend.					

<b>E. Trusted Internet Connection Capabilities</b>						
	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	Trusted Internet Connection Capabilities – ensure NOAA TIC service meets TIC 2.0 requirements (100%)	Trusted Internet Connection Capabilities – ensure NOAA TIC service meets TIC 2.0 requirements (100%)	Trusted Internet Connection Capabilities – ensure NOAA TIC service meets TIC 2.0 requirements (100%)	Trusted Internet Connection Capabilities – ensure NOAA TIC service meets TIC 2.0 requirements (100%)	Trusted Internet Connection Capabilities – ensure NOAA TIC service meets TIC 2.0 requirements (100%)	Trusted Internet Connection Capabilities – ensure NOAA TIC service meets TIC 2.0 requirements (100%)
Actual	NOAA TIC 2.0 compliance at 87.5%, planned date to reach 100% is 9/30/2015.	NOAA's TIC 2.0 compliance at 83% (43/52) based on critical controls and planned to be 98% in Q2FY16	NOAA's TIC 2.0 compliance at 85% (44/52) based on the DHS FY16 TIC Capability Validation (TCV) report critical controls	NOAA's TIC 2.0 compliance at 98% (59/60) based on the DHS FY17 TIC Capability Validation (TCV) report critical controls		
Status	Met	Not Met	Not Met	Met		
Trend	Stable					

<b>F. Security Compliance Reviews</b>								
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	Perform IT Security Compliance reviews	Perform IT Security compliance review of all OUs and 30 assessments	Perform IT Security compliance review of all OUs and 22 assessments	Perform IT Security Compliance Reviews of all OUs and 20 assessments	Perform IT Security Compliance Reviews of all OUs and 20 assessments	Perform IT Security Compliance Reviews of all OUs and 20 assessments	Perform IT Security Compliance Reviews of all OUs and 20 assessments	Perform IT Security Compliance Reviews of all OUs and 20 assessments

Actual	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	Security compliance review of all OUs and 34 assessments	Completed Security compliance reviews of all OUs and 22 assessments	Completed Security Compliance Reviews of all OUs and 15 assessments	Conducted 87 analyses, reviews, and assessments and compliance checks for participating bureaus.	Conducted 27 analyses, reviews, and assessments, including an RMF Continuous Monitoring Check of all 270 Department of Commerce FISMA-reportable systems.		
Status	Met	Met	Met	Met	Met	Met		
Trend	Maintain standard, stable trend.							
Notes	The parameters constituting an "assessment" changed between FY 2016 & 2017, hence the significant variance in actual performance vs the FY 2016 target. For 2017 & 2018, parameters will revert back to 2015 method.							

Indicators (OHRM)	<b>A. Mission-Critical Occupation Staffing</b> <b>B. Permanent Attrition</b> <b>C. Hiring Timeline</b> <b>D. Candidate Quality</b> <b>E. Disability Hires</b> <b>F. Veteran Hires</b>
Category	Supporting (Non-Strategic Plan)
Type	Outcome
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.

<b>A. Mission-Critical Occupation (MCO) Staffing (Average deviation of populations from targets)</b>						
	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	5%	5%	5%	5%	5%	5%
Actual	5%	10%	8%	9%		
Status	Met	Met	Met	Met		
Trend	Varying					
Actions to be taken	None					
Adjustments	None					
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."					

<b>B. Permanent Attrition (rate of permanent employees that intentionally separated, without agency incentive or action)</b>							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	11%	11%	7%	7%	7%	7%	7%
Actual	6%	7%	7%	7%	7%		
Status	Exceeded	Exceeded	Met	Met	Met		
Trend	Stable						
Notes	Indicator began in FY 2013. During FY 2015, the measure parameters were refined to better align with employee engagement by excluding nature of action codes, such as death and separations initiated by agency action, that do not reflect an employee's deliberate desire and intention to leave the agency. Based on the analysis of Commerce-wide and Government data, the target was revised in FY 2015.						

<b>C. Hiring Timeline (Average number of calendar days to complete hiring actions)</b>								
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	80	80	65	65	65	65	65	65
Actual	84	103	91	88	101	89		
Status	Met	Not Met	Not Met	Not Met	Not Met	Not Met		
Trend	Varying							
Explanation for not met	The 24 days beyond the target can be mostly attributed to issuing the tentative offer and acceptance (6 days longer than OPM standard); issuing the official job offer (5 days longer); the time the job announcement remained open (3 days longer), the manager's review and interview of applicants (3 days longer); and security processing (3 days longer). Additionally, the mandated hiring freeze that went into effect January 2017 contributed to some delays in the hiring process.							

<b>D. Candidate Quality (Percentage of managers saying referred applicants had skills to perform the job)</b>								
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target			70%	70%	70%	70%	70%	70%
Actual	61%	62%	63%	64%	62%	54%		
Status			Met	Met	Not Met	Not Met		
Trend	Varying							
Explanation for not met	This target is based on the percent of managers that provided a rating of 8 or higher on a scale of 1 - 10 to the question "Applicants referred had the skills to perform the job" in the Chief Human Capital Officer's Management Satisfaction Survey. Less than 50% of managers in CENSUS, BIS, NIST, NOAA, NTIS, and OS that answered the survey provided a rating of 8 or higher in this question, which contributed to not meeting the target of 70%.							

<b>E. Disability Hires (Percentage of new hires that have a disability)</b>							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target		9.0%	10.0%	12.5%	13.0%	13.5%	14.0%
Actual	12.3%	7.3%	12.3%	15.1%	21.9%		
Status		Not Met	Exceeded	Exceeded	Exceeded		
Trend	Positive						
Notes	The FY 2018 target has been established as 13.5% based on incremental increases of .5% between FY 2016 to FY 2019.						

<b>F. Veteran Hires (Percentage of new hires that are veterans)</b>							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target		16.4%	20.2%	27.5%	25.9	23.2%	TBD
Actual	13.4%	12.5%	13.7%	13.9%	10.2%		
Status		Not Met	Not Met	Not Met	Not Met		
Trend	Varying						
Explanation for not met	The FY 2017 hiring freeze, coupled with limited resources to actively market and recruit veterans were significant factors in the decrease of veterans hiring from FY2016 to FY2017.						
Adjustments	Annual targets for Commerce are based upon the previous year's average for the group of agencies with populations of 40,000 to 80,000, as established by the President's Council on Veteran Employment. Since averages are determined based on previous year's actual hiring rate, the FY 2019 target will not be established until after FY 2018.						

**Non-Recurring Indicators**

<b>Indicator</b>	<b>Percentage of internal customers satisfied with core mission support processes</b>			
Category	Key			
Type	Customer Service			
Description	Customer satisfaction will be monitored for core mission support services in the Department's Human Resources, IT, Acquisitions, and Financial Management portfolios. Data will be gathered continuously through transactional feedback as well as periodic, targeted pulse surveys. This measure is expected to come online in FY 2016.			
	FY 2016	FY 2017	FY 2018	FY 2019
Target	70%	75%	80%	80%
Actual	73%	Discontinued		
Status	Exceeded			
Trend	Not enough data			
Actions to be taken	Per the new Strategic Plan, this indicator was discontinued as a GPRA measure in FY 2017. Results are still being tracked internally.			

**Resource Requirements Table**

	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Actual	FY 2018 CR Annualized	FY 2019 Base	Increase / Decrease	FY 2019 Request
<b>Total Budget Authority</b>	56.2	51.1	55.5	56.0	57.7	58.0	57.6	58.8	+0.2	59.0
<b>Total Positions</b>	195	196	193	193	199	200	220	220	-20	200

Positions do not include staff funded by the Working Capital fund.

**NOTE:** The following performance goals for implementing the Administration’s **Regulatory Reform Agenda** are included here per [Memorandum-17-23, “Guidance on Regulatory Reform Accountability under Executive Order 13777, titled “Enforcing the Regulatory Reform Agenda.”](#)

Indicator		Public Input for Executive Order 13771						
Category	Supporting (Non-Strategic Plan)							
Type	Process							
Description	Number of evaluations to identify potential E.O. 13771 deregulatory actions that include opportunity for public input and/or peer review.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target						N/A	40	40
Actual								
Status								
Trend	New indicator – not enough data.							
Explanation (if not met in 2017)	NOT APPLICABLE							
Adjustments to targets	NOT APPLICABLE SINCE IT IS A NEW INDICATOR							
Actions to be taken / Future Plans	<p>The Department is committed to engaging with its stakeholders and is sensitive to their input in all areas of the Department’s mission. The three bureaus of the Department that primarily issue regulations are NOAA, BIS and PTO. All three of these routinely engage with their stakeholders and seek their input for deregulatory actions. For example, NOAA manages fisheries by working through 8 regional fishing councils that have representatives from industry, local fishing communities and non-governmental groups – each Council meets 4-5 times a year, with a number of other smaller Council subcommittees meeting. NOAA also convenes multi-stakeholder Take Reduction Teams to help develop regulations which minimize fisheries impacts on protected species, holds a number of public hearings on proposed regulations of interest, and also attends various stakeholder forums (e.g. Seafood Expos). PTO has two public advisory committees – the Patent Public Advisory Committee (PPAC) and Trademark Public Advisory Committee (TPAC) – comprised of members of USPTO’s stakeholder community. PPAC and TPAC both hold public quarterly with PTO for briefings on USPTO programs and activities, and at each of these eight quarterly public meetings, PTO provides updates on regulatory reform work and seeks stakeholder input on regulatory reform issues. BIS also has a number of Technical Advisory Committees, two of which – the Regulations and Procedures Technical Advisory Committee (RPTAC) and the Transportation and Related Equipment Technical Advisory Committee (TransTAC) – discuss development and status of amendments to the Export Administration Regulations at each of their quarterly meetings.</p>							
Reason for New Indicator	As per <a href="#">OMB M-17-23</a>							

Indicator	E.O. 13777/EO 13771 Recommendations							
Category	Supporting (Non-Strategic Plan)							
Type	Process							
Description	Number of EO 13771 deregulatory actions recommended by the Regulatory Task Force to the agency head, consistent with applicable law							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	n/a	n/a	n/a	n/a	n/a	7	25	13
Actual						7		
Status						Met		
Trend	New indicator – not enough data.							
Explanation (if not met in 2017)	NOT APPLICABLE							
Actions to be taken / Future Plans	The Executive Order 13771 Task Force for Regulatory Reform will continue to meet periodically to consider and evaluate potential deregulatory actions the various bureaus within the Department could undertake.							
Adjustments to targets	NOT APPLICABLE SINCE IT IS A NEW INDICATOR							
Notes	This goal and the goal for the next indicator are likely to be the same because DOC's Regulatory Reform Task Force works closely with the various program offices and bureaus to ensure that the recommended deregulatory actions can be implemented in a realistic time period. The Task Force was only established a few months after EO 13771 was issued. The Task Force relies heavily on the bureaus to present those actions that could be taken that are deregulatory.							
Reason for New Indicator	As per <a href="#">OMB M-17-23</a>							

Indicator	E.O. 13771/13777 Deregulatory Actions taken							
Category	Supporting (Non-Strategic Plan)							
Type	Outcome or Output							
Description	Number of EO 13771 deregulatory actions issued that address recommendations by the Regulatory Task Force							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	n/a	N/a	n/a	n/a	n/a	7	25	13
Actual						7		
Status						Met		
Trend	New indicator – not enough data.							
Explanation (if not met in 2017)	NOT APPLICABLE							
Notes	This goal and the goal for the prior indicator are likely to be the same because DOC's Regulatory Reform Task Force works closely with the various program offices and bureaus to ensure that the recommended deregulatory actions can be implemented in a realistic time period. Over the past year, the recommendations of the task force for the most part have been implemented by the bureaus.							
Reason for New Indicator	As per <a href="#">OMB M-17-23</a>							
Actions to be taken / Future Plans	The Executive Order 13771 Task Force for Regulatory Reform will continue to meet periodically to consider and evaluate potential deregulatory actions the various bureaus within the Department could undertake.							

Indicator	E.O. 13771 regulatory and deregulatory actions taken							
Category	Supporting (Non-Strategic Plan)							
Type	Outcome or Output							
Description	Number of E.O. 13771 regulatory actions and, separately, E.O. 13771 deregulatory actions issued.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	n/a	n/a	n/a	n/a/	n/a	7 deregulatory & 0 regulatory	25 deregulatory & 3 regulatory	13 deregulatory & 3 regulatory
Actual						7 deregulatory & 0 regulatory		
Status						Met		
Trend	New indicator – not enough data.							
Actions to be taken / Future Plans	The Executive Order 13771 Task Force for Regulatory Reform will continue to meet periodically to consider and evaluate potential deregulatory actions the various bureaus within the Department could undertake.							
Notes	This goal and the goal for the two prior indicators are likely to be the same because DOC's Regulatory Reform Task Force works closely with the various program offices and bureaus to ensure that the recommended deregulatory actions can be implemented in a realistic time period.							
Reason for New Indicator	As per <a href="#">OMB M-17-23</a>							

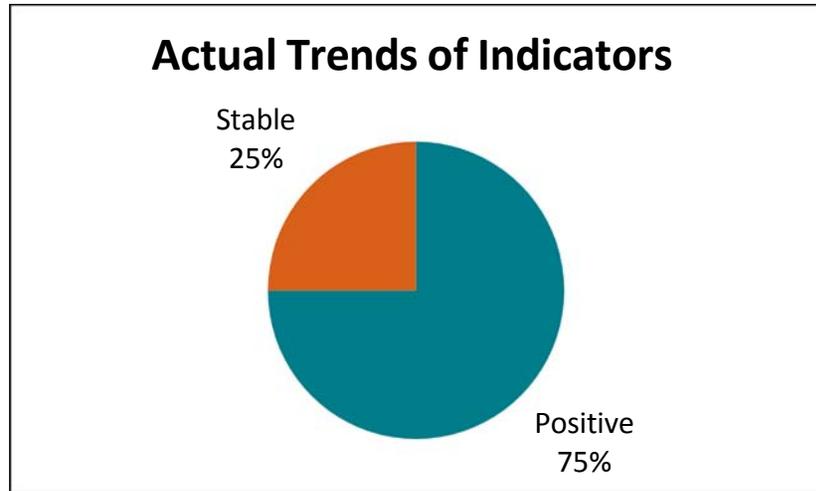
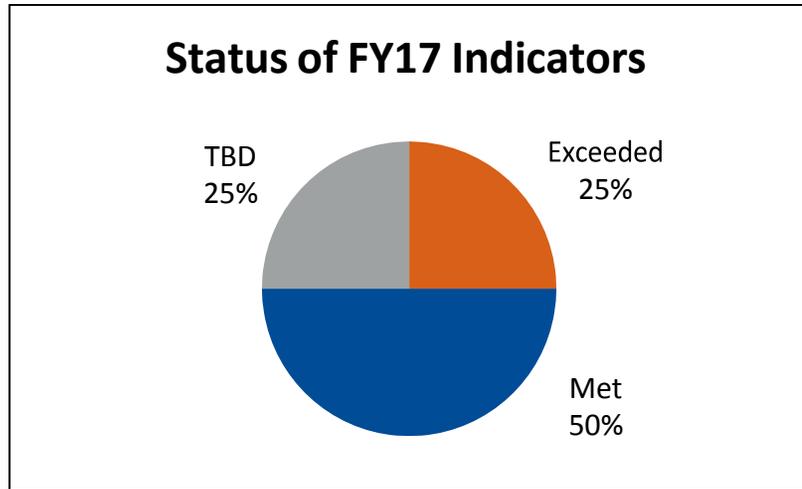
Indicator	Total incremental costs/savings of E.O. 13771 actions							
Category	Supporting (Non-Strategic Plan)							
Type	Outcome or Output							
Description	Total incremental cost of all EO 13771 regulatory actions and EO 13771 deregulatory actions (including cost or cost savings carried over from previous fiscal years).							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	n/a	n/a	n/a	n/a	n/a	-\$1.2 million	-\$750,000	0
Actual								
Status								
Trend	New indicator – not enough data.							
Actions to be taken / Future Plans	DOC's Office of General Counsel is working closely with OIRA to understand how this number is calculated for future years, and is still evaluating what cost savings there may be from FY 2017 that could be carried over to FY 2018 for this indicator.							
Actions to be taken / Future Plans	DOC's Office of General Counsel is working closely with OIRA to understand how this number is calculated for future years, and is still evaluating what cost savings there may be from FY 2017 that could be carried over to FY 2018 for this indicator.							
Notes	The Department is following the requirements of E.O. 13771 and associated guidance to make these calculations.							
Reason for New Indicator	As per <a href="#">OMB M-17-23</a>							

**FY 2019 ANNUAL PERFORMANCE PLAN / FY 2017 ANNUAL PERFORMANCE REPORT**

**Bureau of Economic Analysis**

**Performance Indicator Information**

*Summary of Indicator Performance*



- BEA exceeded targets in one out of four indicators, or 25%. Two out of four, or 50% of performance indicators were met; the remaining indicator was still TBD at time of submission.
- All four indicators have positive or stable trends.

**Summary of FY 2017 Indicator Performance**

Indicator Name	Target	Actual	Status	Trend
Timeliness: Reliability of delivery of economic statistics (number of scheduled releases on time)	74	74	Met	Positive
Relevance: Customer satisfaction (5 point scale)	4.0	4.2	Exceeded	Positive
Accuracy: Percent of GDP estimates correct	85%	TBD	TBD	Positive
Complete all major strategic milestones related to improving economic statistics	Completed Successfully	Completed Milestones	Completed Successfully	Stable

## Detailed Indicator Plans and Performance

### Current / Recurring Indicators

Indicator	ENTER NAME/TITLE							
Category	<b>Timeliness: Reliability of delivery of economic statistics (the number of scheduled releases issued on time).</b>							
Type	Key							
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 2017, BEA exceeded the target of planned releases and has no indication that this target will not be met in 2018.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	62	62	62	65	65	74	74	74
Actual	62	62	65	65	74	74	TBD	TBD
Status (i.e. Exceeded, Met, Not Met)								
Trend	Positive							
Actions to be Taken / Future Plans	BEA has no plans to change this indicator.							

Indicator	Relevance: Customer satisfaction (on a 5 point scale)							
Category	Key							
Type	Customer Service							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	4.0	4.0	4.0	4.0	4.0	4.0	4.0	4.0
Actual	4.3	4.1	4.0	4.0	4.0	4.2	TBD	TBD
Status	Exceeded	Exceeded	Met	Met	Met	Exceeded	TBD	TBD
Trend	Positive							

<b>Indicator</b>	<b>Accuracy: Percent of GDP estimates correct.</b>							
Category	Key							
Type	Contextual							
Description	This performance measure tracks BEA's ability to accurately estimate its most important statistic, 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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	85%	83%	83%	83%	83%	85%	85%	85%
Actual	87%	84%	86%	87%	89%	TBD	TBD	TBD
Status (i.e. Exceeded, Met, Not Met)	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	TBD	TBD	TBD
Trend	Positive							
Notes	Availability of the accuracy index will always lag fiscal year reporting since it is tied to GDP release timing.							

<b>Indicator</b>	<b>Complete all major strategic milestones related to improving economic accounts.</b>							
Category	Supporting (Strategic Plan)							
Type	Process							
Description	Clearly describe the indicator and what it comprises, including how the indicator reflects the bureau's mission and any "ingredients" integral to the indicator that may not be apparent from its name/title.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	Complete	Complete	Complete	Complete	Complete	Complete	Complete	Complete
	Milestones	Milestones	Milestones	Milestones	Milestones	Milestones	Milestones	Milestones
Actual	Completed Successfully	Completed Successfully	Completed Successfully	Completed Successfully	Completed Successfully	Completed Successfully	TBD	TBD
Status (i.e. Exceeded, Met, Not Met)	Met	Met	Met	Met	Met	Met	TBD	TBD
Trend	Stable							

### **Other Indicators**

None

### **Non-Recurring Indicators**

None

# FY 2019 ANNUAL PERFORMANCE PLAN / FY 2017 ANNUAL PERFORMANCE REPORT

## **BUREAU OF INDUSTRY AND SECURITY**

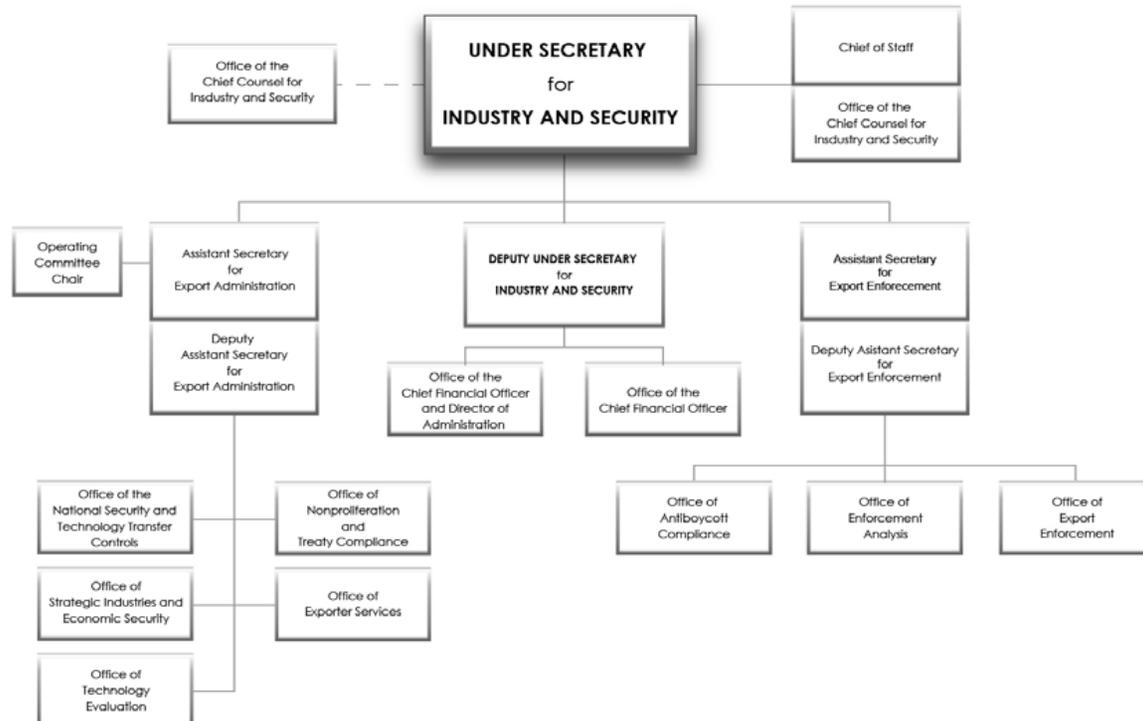
### **MISSION STATEMENT**

The Bureau of Industry and Security (BIS) addresses the challenges that arise where business and security intersect. Its mission is to advance U.S. national security, foreign policy, and economic interests, by ensuring an effective export control and treaty compliance system, and promoting continued U.S. strategic technology leadership.

### **OVERVIEW**

The Bureau of Industry and Security (BIS) is a licensing, regulatory, and enforcement agency that advances U.S. national security, foreign policy, and economic objectives by ensuring an effective export control and treaty compliance system and by promoting continued U.S. strategic technology leadership and a strong defense industrial base. BIS administers and enforces the Export Administration Regulations (EAR), which regulate the export and reexport of commercial commodities and technology, as well as less sensitive military items. BIS has a team of special enforcement agents and analysts, singularly focused on enforcing export control regulations. The special agents are located in offices in nine major U.S. cities and in six major economic hubs abroad.

### **ORGANIZATIONAL STRUCTURE**



## **PLANNED ACTIONS FOR ACHIEVING FY 2019 PERFORMANCE TARGETS**

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 annually in Washington, DC, and the Export Control Forum, held annually in California, BIS will co-sponsor approximately twenty five other events scheduled for locations around the country. BIS will also continue to offer a wide variety of online educational offerings and electronic or in-person counseling.

BIS will also continue all of the other activities described above, including reviewing more than 30,000 export license applications and related tasks, reviewing export and other data to identify, investigate and prosecute potential violations of the EAR, undertake industry sector surveys, and ensure U.S. industry compliance with the Chemical Weapons Convention and the U.S.-International Atomic Energy Agency Safeguard Agreement.

### **Detailed Indicator Plans and Performance**

#### **Current / Recurring Indicators**

<b>Indicator</b>	<b>Number of Exporters Educated and Trained through Outreach Activities related the transition of items from the U.S. Munitions List to the Commerce Control List. .</b>							
Category	PERFORMANCE INDICATOR							
Type	OUTCOME							
Description	The transition of items from the U.S. Munitions List to the Commerce Control List has moved tens of thousands of items -- mostly parts and components -- from the U.S. Munitions List to the more flexible Commerce Control List. The move has enabled 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 important changes.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target		4,000	28,000	48,000	48,000	48,000	25,000	20,000
Actual		4,000	69,948	50,830	46,633	28,000	NA	NA
Status		Met	Exceeded	Exceeded	Met	Not Met	NA	NA
Trend	Both the target and actual trends have remained stable.							
Explanation (if not met in 2017)	The transition of items from the U.S. Munitions List to the Commerce Control List is mostly completed. BIS did not publish any new rules relating to reform in 2017.							
Actions to be taken / Future Plans	Future plans are to focus on the categories left to transition. BIS will measure the number of exporters educated and trained through outreach activities related to 500 and 600 Series Controls of the U.S. Munitions List that is transitioning to the Commerce Control List.							
Adjustments to targets	FY 2018 and FY 2019 targets are adjusted as a result.							

<b>Indicator</b>	<b>Number of export transactions completed under the new authority of Commerce export licenses and license exceptions.</b>							
Category	PERFORMANCE INDICATOR							
Type	OUTPUT							
Description	Export Control Reform (ECR) has moved tens of thousands of items -- mostly parts and components -- from the U.S. Munitions List to the more flexible Commerce Control List. The move has enabled more nuanced distinctions among technologies, destinations, and end users than under the State Department's International Traffic in Arms Regulations. BIS will track shipments of such items made under the Automated Export System.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target			NA	80,000	100,000	150,000	150,000	150,000
Actual			42,837	126,798	144,888	137,281	NA	NA
Status			NA	Exceeded	Exceeded	Met	NA	NA
Trend	Not enough data to determine trend.							

<b>Indicator</b>	<b>Percent of licenses requiring interagency referral referred within nine days.</b>							
Category	PERFORMANCE INDICATOR							
Type	PROCESS							
Description	Generally, export license applications for dual-use items (products that may have both civilian and military applications) and less sensitive munitions items fall into two categories: 1) referred licenses, including 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 referral 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 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 processes. 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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	98%	98%	98%	98%	98%	98%	98%	98%
Actual	97%	98%	98%	91%	92%	94%	NA	NA
Status	Met	Met	Met	Not Met	Not Met	Met	NA	NA
Trend	This is to maintain standard measure. Both the target and actual trends have remained stable.							

Indicator	Percent of attendees rating seminars highly.							
Type	PROCESS							
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 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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	93%	93%	93%	93%	93%	93%	93%	93%
Actual	93%	91%	91%	90%	93%	94%	NA	NA
Status	Met	Met	Met	Not Met	Met	Exceeded	NA	NA
Trend	Both the target and actual trends are positive.							

Indicator	Number of actions that result in a deterrence or prevention of a violation and cases that result in a criminal and/or administrative charge/action.							
Type	OUTCOME							
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 Anti-boycott Compliance (OAC) advice line inquiries that result in prevention or deterrence.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	850	850	1,100	1,000	1,000	1,200	1,200	1,200
Actual	1,162	1,403	1,473	1,442	1,717	1,832	NA	NA
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	NA	NA
Trend	Both the target and actual trends are positive.							

Indicator	Percent of licenses requiring Information Triage Unit (ITU) report completed by Export Enforcement (EE) within ten Executive Order (EO) days of referral.							
Type	PROCESS							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target			90%	90%	90%	90%	90%	90%
Actual			96%	93%	93%	96%	NA	NA
Status			Exceeded	Exceeded	Exceeded	Exceeded	NA	NA
Trend	Both the target and actual trends have remained stable.							

<b>Indicator</b>	<b>Number of End-Use Checks (EUCs) completed.</b>							
Category	PERFORMANCE INDICATOR							
Type	OUTPUT							
Description	<p>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 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</p> <p>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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	850	850	850	850	850	850	850	850
Actual	994	1,033	1,044	1,031	985	1,089	NA	NA
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	NA	NA
Trend	Both the target and actual trends are positive.							

<b>Indicator</b>	<b>Median processing time for new regime regulations (months)</b>							
Type	PROCESS							
Description	<p>Changes to regime control lists have been agreed to by the members of the multilateral regimes, who are the U.S. 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 from plenary meeting dates 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</p>							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	2	2	2	2	2	2	2	2
Actual	2	2	2	2	3	1	NA	NA
Status	Met	Met	Met	Met	Exceeded	Not Met	NA	NA
Trend	This is to maintain standard measure. Both the target and actual trends have remained stable.							

<b>Indicator</b>	<b>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.</b>							
Type	OUTPUT							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	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	Both the target and actual trends have remained stable.							

<b>Indicator</b>	<b>Percent of electronic export information (EEI) transactions reported in the Automated Export System (AES) in compliance with the Export Administration Regulations (EAR).</b>							
Type	OUTPUT							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target				99%	99%	99%	99%	99%
Actual				99%	99%	99%	NA	NA
Status				Met	Met	Met	NA	NA
Trend	Both the target and actual trends have remained stable.							

<b>Indicator</b>	<b>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.</b>							
Type	PROCESS							

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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target				100%	100%	100%	100%	100%
Actual				100%	100%	100%	NA	NA
Status				Met	Met	Met	NA	NA
Trend	Both the target and actual trends have remained stable.							

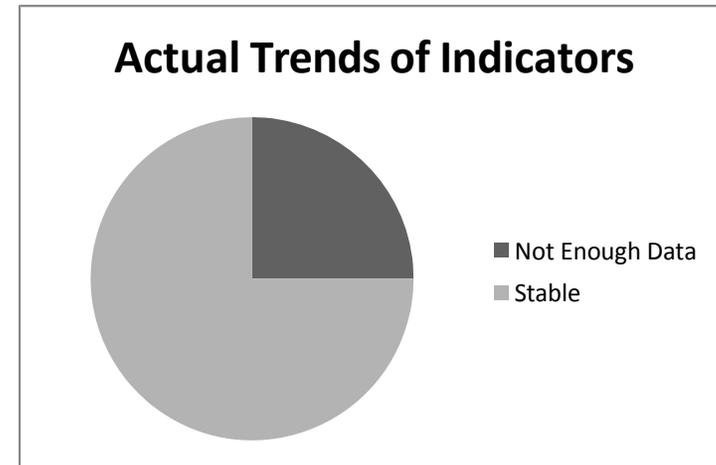
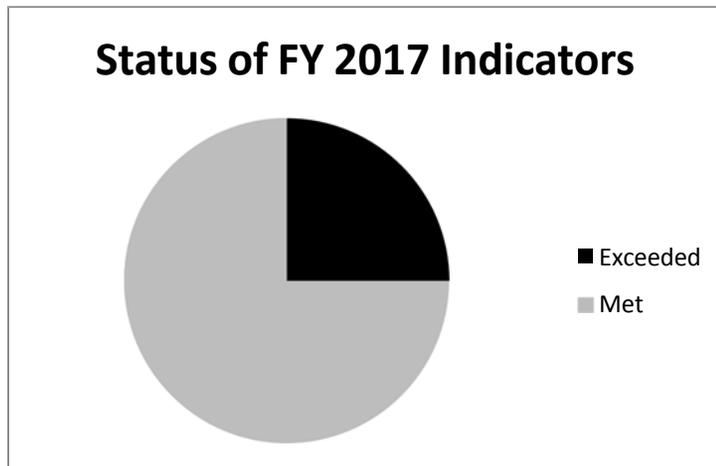
### **Resource Requirements Table**

	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Enacted	FY 2018 Estimate	FY 2019 Base	Increase / Decrease	FY 2019 Request
Trade and Investment:										
<b>Total Budget Authority</b>										
<b>Direct</b>	102,443	94,414	101,532	103,107	112,710	112,500	113,500	116,078	0	116,078
<b>Reimbursable</b>	1,228	968	10	629	1,294	2,900	2,900	2,900	0	2,900
<b>Total</b>	103,671	95,382	101,542	103,736	114,004	115,400	116,400	118,978	0	118,978
<b>Total Positions</b>	366	390	390	390	414	420	432	436	0	436

## FY 2019 ANNUAL PERFORMANCE PLAN / FY 2017 ANNUAL PERFORMANCE REPORT

### *Census Bureau*

#### Performance Indicator Information



#### Summary of FY 2017 Indicator Performance

- One indicator (25.0%) was exceeded, three indicators were met (75.0%), and no indicators were not met.
- Four indicators had trends (three years or more of data) of which 100% were stable.

Indicator Name	Target	Actual	Status	Trend
Milestones met in increasing the cost efficiency of 2020 Decennial Census	<ol style="list-style-type: none"> <li>1) Complete the 2016 address canvassing test</li> <li>2) Conduct a nationwide mail-out test of self-response</li> <li>3) Begin building a partnership database in FY 2017 and begin planning of 2020 Census Integrated Communications</li> </ol>	<ol style="list-style-type: none"> <li>1) Completed the 2016 address canvassing test</li> <li>2) Conduct a nationwide mail-out test of self-response</li> <li>3) Began building a partnership database in FY 2017 and begin planning of 2020 Census Integrated Communications</li> </ol>	Met	Stable
Milestones met in developing Census information technology (IT) enterprise to enhance collection, processing, and dissemination of data	<ol style="list-style-type: none"> <li>1) Release CEDCaP capabilities for the 2017 Economic Census</li> <li>2) Release CEDCaP capabilities for the 2017 Census Test (Decennial)</li> <li>3) Release CEDCaP capabilities for the 2018 Address Canvassing End-to-End Test (Decennial)</li> </ol>	<ol style="list-style-type: none"> <li>1) Released CEDCaP capabilities for the 2017 Economic Census</li> <li>2) Released CEDCaP capabilities for the 2017 Census Test (Decennial)</li> <li>3) Released CEDCaP capabilities for the 2018 Address Canvassing End-to-End Test (Decennial)</li> </ol>	Met	Not enough data to determine trend
Percentage of key data products for Census Bureau programs released on time to support effective decision-making of policymakers, businesses, and the public	<ol style="list-style-type: none"> <li>1) 100% of Economic Indicators</li> <li>2) 90% of other key products <ul style="list-style-type: none"> <li>• Economics</li> <li>• Geographics</li> <li>• Demographics</li> </ul> </li> </ol>	<ol style="list-style-type: none"> <li>1) 100% of Economic Indicators</li> <li>2) 85% of other key products <ul style="list-style-type: none"> <li>• Economics</li> <li>• Geographics</li> <li>• Demographics</li> </ul> </li> </ol>	Met	Stable
Percentage of key activities for cyclical census programs completed on time to support effective decision-making by policymakers, businesses and the public.	90%	100%	Exceeded	Stable

## Detailed Indicator Plans and Performance

### Current / Recurring Indicators

Indicator	2020 Decennial Census planned operational efficiencies and program milestones met							
Category	Key							
Type	Outcome							
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.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
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	<ol style="list-style-type: none"> <li>1) Conduct testing of self-response strategies</li> <li>2) Conduct one field test: (field staff management and operations control)</li> <li>3) Prove in approach to field management processes and systems</li> <li>4) Conduct research and testing for selecting approaches for supporting non-English languages for the 2020 Census</li> </ol>	<ol style="list-style-type: none"> <li>1) Complete the 2016 address canvassing test</li> <li>2) Conduct a nationwide mail-out test of self-response</li> <li>3) Begin building a partnership database in FY 2017 and begin planning of 2020 Census Integrated Communications</li> </ol>	<ol style="list-style-type: none"> <li>1) Finalize the Language Support Plan and non-English questionnaires and non-questionnaire materials for the 2020 Census</li> <li>2) Implement LUCA for the 2020 Census</li> <li>3) Conduct Self Response operations for the 2018 End-to-End Census Test</li> <li>4) Deliver 2020 Census Questions to Congress</li> </ol>	<ol style="list-style-type: none"> <li>1) Conduct the Address Canvassing Operations for 2020 Decennial Census</li> <li>2) Open Area Census Offices</li> <li>3) Ensure that the final 2020 Census Architecture and IT Roadmap reflects the latest Census system design</li> <li>4) Deliver final 2020 Census Operational Plan</li> <li>5) Complete Authorization to Operate</li> </ol>

					<ul style="list-style-type: none"> <li>5) Conduct feasibility test of field operations</li> <li>6) Conduct testing of Group Quarters design</li> </ul>		<ul style="list-style-type: none"> <li>5) Open 2020 Census Regional Census Centers</li> <li>6) Identify space, sign leases, and design/buildout Wave 1 and Wave 2 Area Census Offices</li> <li>7) Complete Authorization to Operate process related to the 2020 Census as scheduled with less than 15% of Plans of Action and Milestones exceeding their completion date</li> </ul>	<p>process related to the 2020 Census as scheduled with less than 15% of Plans of Action and Milestones exceeding their completion date</p>
Actual			Two field tests that will inform cost and quality goals for the 2020 Census	Completed Preliminary design for key components of the 2020 Census to achieve cost and quality goals	<ul style="list-style-type: none"> <li>1) Complete - Conducted testing of self-response strategies.</li> <li>2) Complete- Conducted one field test: (field staff management and operations control).</li> <li>3) Complete- Proved in approach to field management</li> </ul>	<ul style="list-style-type: none"> <li>1) Completed the 2016 address canvassing test</li> <li>2) Conducted a nationwide mail-out test of self-response</li> <li>3) Began building a partnership database in FY 2017 and began planning of 2020 Census Integrated Communications</li> </ul>		

					<p>processes and systems.</p> <p>4) Complete-Conducted research and testing for selecting approaches for supporting non-English languages for the 2020 Census</p> <p>5) Complete-Conducted feasibility test of field operations</p> <p>6) Complete-Conducted testing of Group Quarters design</p>			
Status (i.e. Exceeded, Met, Not Met)			Met	Met	Met	Met		
Trend	Stable							
Actions to be Taken / Future Plans	Continue quarterly reviews of performance data and status reports. Execute the 2018 End-to-End Census Test in order to obtain lessons learned and in FY 2019 begin major field operations and in-field address canvassing, as well as final preparations for the collection 2020 Census respondent data in FY 2020.							
Adjustments to Targets	<p>Because of the Continuing Resolution through April FY 2017, Decennial Census operated at FY 2016 funding levels. Consequently, in January 2017, a number of operations were paused such as the 2017 MAF Coverage Study, the Coverage Measurement Survey, and the Partnership Program. The Partnership Program was not completely descope, but a number of objectives were delayed. The Partnership Contact Database 2.0 and portal continued development but was no longer targeted to deploy by the end of FY 2017. Nonetheless, the Partnership Contact Database 1.0 was built in 2016 and is in use.</p> <p>Since the FY 2018 Congressional Justification, additional FY 2018 targets were added for greater visibility of the 2018 End-to-End Census Test and other key 2020 Decennial Census milestones.</p>							
Notes	<p>Decennial Directorate conducted the 2016 Address Canvassing Test, but the final report was not delivered because it was in review before the end of the 4<sup>th</sup> Quarter of FY 2017. The Decennial Directorate reported the overall target “Complete the 2017 Address Canvassing Test” as met.</p> <p>The Census Bureau revised the language of this indicator to focus on program milestones and operational efficiencies.</p>							

Indicator	Milestones met in developing Census information technology (IT) enterprise to enhance collection, processing, and dissemination of data							
Category	Key							
Type	Outcome							
Description	The Census Bureau has initiated two enterprise programs focused on establishing shared services, minimizing redundancy, lowering complexity, and identifying cost savings for data collection, processing, and dissemination.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target						1) Release CEDCaP capabilities for the 2017 Economic Census 2) Release CEDCaP capabilities for the 2017 Census Test (Decennial) 3) Release CEDCaP capabilities for the 2018 Address Canvassing End-to-End Test (Decennial)	1) Release CEDCaP capabilities for the 2018 End-to-End Test (Decennial) 2) Release 75% of American Fact Finder datasets via the Census Enterprise Dissemination Services and Consumer Information (CEDSCI)	1) Release systems into production in support of the early 2020 Census Operations including Address Canvassing 2) Release 100% of American Fact Finder datasets via CEDSCI and 10% of non-American Fact Finder dataset released.
Actual						1) Released CEDCaP		

						capabilities for the 2017 Economic Census 2) Released CEDCaP capabilities for the 2017 Census Test (Decennial) 3) Released CEDCaP capabilities for the 2018 Address Canvassing End-to-End Test (Decennial)		
Status (i.e. Exceeded, Met, Not Met)						Met		
Trend	Not enough data to determine trend							
Actions to be Taken / Future Plans	Develop capabilities in support of the 2020 Census operations, including resolution of appropriate technical challenges discovered in the 2018 End-to-End Test, deliver capabilities for 2020 Census Address Canvassing, and support the Decennial program with performance and integration testing.							
Adjustments to Targets	<p>In October 2017, the 2020 Census program cancelled the field portion of the 2017 Census Test. As a result, the component of CEDCaP involved in the field data collection (Address Listing and Mapping, Enumeration and Control System - Field) did not need to deploy functionality. The Internet Self-Response and the Operational Control System - Survey did release functionality for the 2020 Census program's production 2017 Census Test in March 2017. During FY2018, the target for the release of the CEDCaP capabilities for the 2017 Economic Census was removed.</p> <p>The Census Bureau added performance targets for the Center for Enterprise Dissemination Services and Consumer Innovation (CEDSCI) for FY 2018 and FY 2019.</p>							

Indicator	Percentage of key data products for Census Bureau programs released on time to support effective decision-making of policymakers, businesses, and the public							
Category	Supporting (Non-Strategic Plan)							
Type	Outcome							
Description	Ensuring that data products are released on schedule is essential.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	1) 100% of Economic Indicators 2) At least 90% of other key products	1) 100% of Economic Indicators 2) At least 90% of other key products	1) 100% of Economic Indicators 2) 90% of other key products	1) 100% of Economic Indicators 2) 90% of other key products • Economics • Geographics • Demographics	1) 100% of Economic Indicators 2) 90% of other key products • Economics • Geographics • Demographics	1) 100% of Economic Indicators 2) 90% of other key products • Economics • Geographics • Demographics	85% of other key products • Economics • Geographics • Demographics	85% of other key products • Economics • Geographics • Demographics
Actual	1) 100% of Economic Indicators 2) At least 90% of other key products	1) 100% of Economic Indicators 2) At least 90% of other key products	1) 100% of Economic Indicators 2) 86% of other key products	1) 100% of Economic Indicators 2) 87% of other key products • Economics • Geographics • Demographics	1) 100% of Economic Indicators 2) 84% of other key products • Economics • Geographics • Demographics	1) 100% of Economic Indicators 2) 85% of other key products • Economics • Geographics • Demographics		
Status	Met	Met	Met	Met	Met	Met		
Trend	Stable							
Explanation (if Target not met in FY 2017)	<p>Due to processing delays for the SIPP 2014 Panel Wave 1 data, the Wave 2 Public Use File and preliminary research files were not released in FY 2017 as planned. The targets slipped until 4th quarter of FY 2018.</p> <p>Five Current Population Survey products were released and met the annual target, but two files were released one quarter later than anticipated.</p>							
Actions to be Taken / Future Plans	Continually assess by monitoring survey response rates, individual and macro-level reporting of data, coverage of the demographic groups and business population, and comparison of projected costs and actual expenditures.							
Adjustments to Targets	For FY 2018 and 2019, the target for “100% of Economic Indicators” released on time was elevated to its own performance indicator because of the need to highlight this critical Census Bureau mission. In addition, the target for the other key products was lowered from 90% to 85% because there are fewer products that contribute to the performance indicator.							
Notes	For the FY 2017 projected full-year estimate of target #2, 85% of products were met. Three SIPP targets within the Demographic Programs were not met. This overall result is considered met because it is within the 90% of the target.							
Information Gaps	None							

## New Indicators

Indicator	Complete key activities in support of the Economic Census and Census of Governments on time							
Category	Supporting (Non-Strategic Plan)							
Type	Outcome							
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.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target						Majority of key activities completed by the end of the fiscal year: 1) Economic Census and 2) Census of Governments	Majority of key activities completed by the end of the fiscal year: 1) Economic Census and 2) Census of Governments	Majority of key activities completed by the end of the fiscal year: 1) Economic Census and 2) Census of Governments
Actual						Majority of key activities completed by the end of the fiscal year: 1) Economic Census and 2) Census of Governments		
Status (i.e. Exceeded, Met, Not Met)						Met		
Trend	New indicator – not enough data							
Actions to be taken / Future Plans	<p>2017 Economic Census: Complete the initial mailout by May 31, 2018; Begin microdata analysis by June 30, 2018; Begin microdata analysis by June 30, 2018; and Release E-Correspondence and Centurion electronic reporting instruments to production by May 31, 2018.</p> <p>2017 Census of Governments: Mail finance survey forms by May 31, 2018, and release component data by September 2018.</p>							

Adjustments to Targets	Not applicable since it is a new indicator
Notes	Historical operational targets and actual data with that can be associated with the new indicator and its targets are only for FY 2017.
Reason for New Indicator	This performance indicator provides greater visibility and transparency to two key censuses.
Indicator(s) being replaced	This performance indicator replaces “Percentage of key activities for cyclical census programs completed on time to support effective decision-making by policymakers, businesses and the public.” The discontinued indicator included targets from other projects and programs that are cyclical in nature, such as the 2020 Decennial Census.

Indicator	Percentage of principal economic indicators released on time							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
Description	Ensuring that data products are released on schedule is essential. OMB Statistical Directive Number 3 requires that the data for the principal economic indicators be released within prescribed time periods.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	100% of Economic Indicators	100% of Economic Indicators	100% of Economic Indicators	100% of Economic Indicators	100% of Economic Indicators	100% of Economic Indicators	100% of Economic Indicators	100% of Economic Indicators
Actual	100% of Economic Indicators	100% of Economic Indicators	100% of Economic Indicators	100% of Economic Indicators	100% of Economic Indicators	100% of Economic Indicators		
Actions to be taken / Future Plans	All monthly and quarterly economic indicators and related releases as scheduled.							
Adjustments to Targets	NOT APPLICABLE SINCE IT IS A NEW INDICATOR							
Reason for New Indicator	This performance indicator was previously a target under “Percentage of key data products for Census Bureau programs released on time to support effective decision-making of policymakers, businesses, and the public.” As its own measure, this new performance indicator provides greater visibility to the supporting mission that the Census Bureau provides to produce critical economic data.							

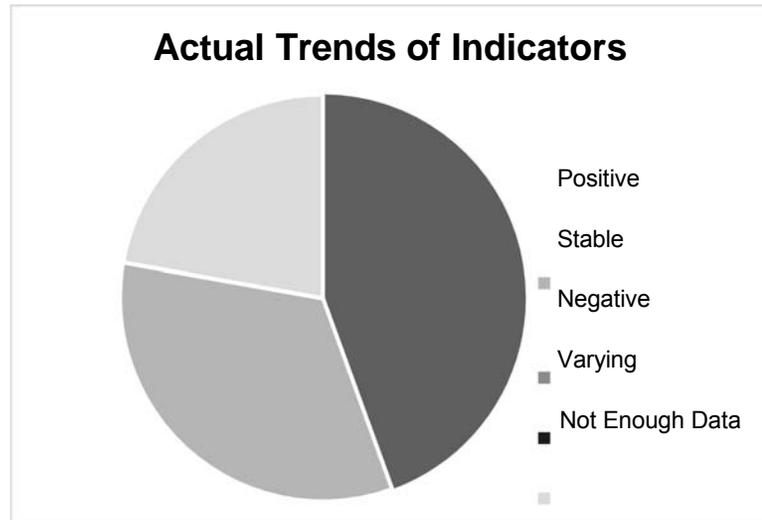
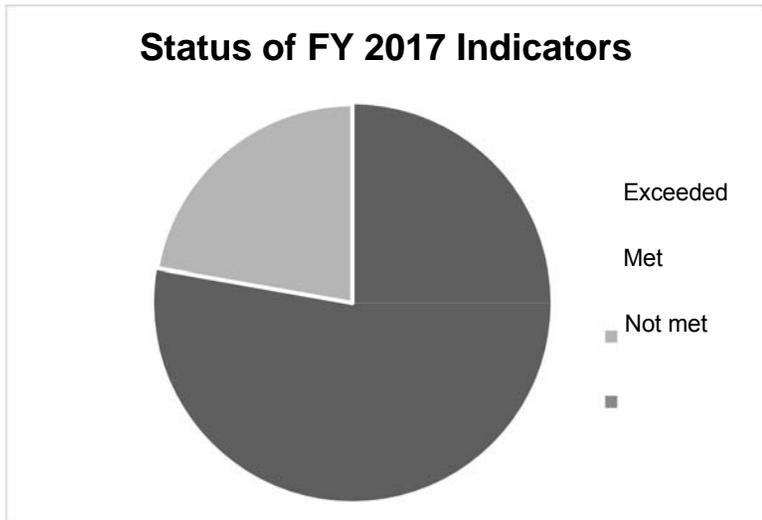
**Non-Recurring Indicators**

<b>Indicator</b>	<b>Percentage of key activities for cyclical census programs completed on time to support effective decision-making by policymakers, businesses and the public.</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Outcome							
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.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	At least 90%	At least 90%	90%	90%	90%	90%		
Actual	At least 90%	At least 90%	90%	100%	100%	100%		
Status (i.e. Exceeded, Met, Not Met)	Met	Met	Met	Exceeded	Exceeded	Exceeded		
Trend	Stable							
Adjustments to Targets	2020 Decennial Census and Geographic Support Services paused the 2017 Master Address File (MAF) Coverage study because of anticipated funding levels for FY 2017. The 2016 MAF Coverage Study data analysis was completed.							
Justification for Elimination	The discontinued indicator has been replaced by separate indicators for the 2020 Decennial Census, Economic Census, and Census of Governments.							

**FY 2019 ANNUAL PERFORMANCE PLAN / FY 2017 ANNUAL PERFORMANCE REPORT**

**National Institute of Standards and Technology**

**Performance Indicator Information**



In FY 2017, seven (78%) of NIST’s indicators exceeded their targets and two (22%) met their targets. Seven indicators had trends. Of those seven, four (57%) indicators had positive trends and three (43%) had stable trends.

**Summary of FY 2017 Indicator Performance**

Indicator Name	Target	Actual	Status	Trend
Dollar amount of co-investment by non-federal sources in DOC-supported Manufacturing USA institutes	\$6M	\$8.89M	Exceeded	Not enough data
Number of businesses using NIST research facilities	325	442	Exceeded	Stable
Relative citation impact of NIST-authored publications	1.6	1.66	Exceeded	Stable
Number of critical infrastructure sectors with work products integrating the Cybersecurity Framework	14	16	Exceeded	Positive
Number of public safety communications stakeholder R&D roadmaps	3	3	Met	Positive
Percentage of MEP clients receiving in-depth technical assistance that increase their competitiveness	64%	65.2%	Exceeded	Positive

Number of firms receiving in-depth technical assistance from MEP centers	9187	8,927	Met	Stable
Number of MEP centers partnering with skills training providers (eg, community colleges) to link manufacturing firms with skills training resources	48	49	Exceeded	Positive
Number of communities working with NIST to pilot the Community Resilience Planning Guide	6	8	Exceeded	Not enough data

### **Detailed Indicator Plans and Performance**

#### **Current / Recurring Indicators**

<b>Indicator</b>								
<b>Dollar amount of co-investment by non-federal sources in DOC-supported Manufacturing USA institutes</b>								
<b>Category</b>								
Key								
<b>Type</b>								
Outcome								
<b>Description</b>								
This indicator reflects how well the focus area of the Manufacturing USA (formerly National Network for Manufacturing Innovation) 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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target						\$6M	\$15M	\$29M
Actual					\$0	\$8.89M		
Status					Met	Exceeded		
Trend	Not enough data to determine trend							
Explanation (if not met in 2017)	N/A							
Actions to be taken / Future Plans	NIST will continue to support its role coordinating the Manufacturing USA Program by overseeing the planning, management, coordination and congressional reporting of the Manufacturing USA Program, convening and supporting the network of institutes, providing shared services and promoting best practices to identify and address challenges and opportunities that span technology areas and cut across agency missions, and managing Commerce-sponsored manufacturing innovation institutes selected through a competitive process on topics proposed by industry. NIST will continue to effectively manage and find opportunities to collaborate with the Commerce-sponsored manufacturing institute, the National Institute for Innovation in Manufacturing Biology.							

Indicator	Number of businesses using NIST research facilities							
Category	Key							
Type	Intermediate Outcome							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target			215	225	275	325	325	300
Actual			514	444	435	442		
Status			Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Negative							
Actions to be taken / Future Plans	<p>Starting in FY 2018, CRADAs that are a part of the National Cybersecurity Center of Excellence will not be counted in this indicator, since they will be reflected in the new NCCoE partner indicator. Furthermore, NIST anticipates that budget cuts in 2019 are likely to decrease the number of NIST facilities available for partnerships.</p> <p>NIST will work with stakeholders across its programs to ensure NIST's research programs and capabilities are well-matched to their needs. Where appropriate, NIST will seek to increase access to its unique capabilities and cultivate partnerships that will increase the dissemination and impact of NIST's measurement science and standards work. Specifically, NIST's programs in advanced communications for the public safety sector will target partnerships that expand their reach.</p>							
Adjustments to targets	None							
Information Gaps	Data for industry use of NIST user facilities not yet final for full FY17. May not include all instances of industry use of NIST research facilities indirectly through support of academic research.							

Indicator	Relative citation impact of NIST-authored publications							
Category	Key							
Type	Outcome							
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 expected citation rate for similar publications in 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. The average for US institutions is about 1.3.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	1.1	1.1	1.5	1.5	1.5	1.6	1.5	1.3
Actual	1.35	1.58	1.44	1.42	1.49	1.66		
Status	Exceeded	Exceeded	Met	Met	Met	Exceeded		
Trend	Positive							

Adjustments to targets	The FY 2018 target was decreased because cuts to the Laboratory Programs in FY 2018 are likely to decrease scientific output. Furthermore, cuts to NIST's Construction of Research Facilities budget account force research funds to be used for facility maintenance and repairs, further decreasing scientific output.
Notes	Actuals for FY 2012 – FY2016 have been updated to reflect most recent data available. Data is calculated based on calendar year, not fiscal year.
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. Most recent datum is most likely to change. Calendar year 2017 data only includes publications in the Web of Science as of October 31, and is likely missing hundreds of documents published in 2017.

### **Non-Recurring Indicators**

<b>Indicator</b>	<b>Number of firms receiving in-depth technical assistance from MEP centers</b>							
Category	Key							
Type	Intermediate Outcome							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target			8340	8750	8986	9187	Discontinued	
Actual	7614	8140	8353	8419	8921	8927		
Status			Exceeded	Met	Met	Met		
Trend	Positive							
Explanation (if not met in 2017)	This is based on ¾ year data. We project that this indicator will be met for FY2017.							
Information Gaps	Indicator represents ¾ year data. Finals will be available by January.							
Justification for elimination	NIST will retire this indicator in 2018 since the President's Request discontinues federal funds for the MEP program.							

<b>Indicator</b>	<b>Percentage of MEP clients receiving in-depth technical assistance that increase their competitiveness</b>							
Category	Key							
Type	Outcome							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target			60%	62%	63%	64%	Discontinued	
Actual	61%	59%	58%	56%	59.7%	65.2%		
Status			Met	Met	Met	Exceeded		

Trend	Varying
Explanation (if not met in 2017)	This is based on ¾ year data. We project that this indicator will be met for FY2017.
Information Gaps	Indicator represents ¾ year data. Finals will be available by January.
Justification for elimination	NIST will retire this indicator in 2018 since the President's Request discontinues federal funds for the MEP program.

Indicator	Number of critical infrastructure sectors with work products integrating the Cybersecurity Framework							
Category	Key							
Type	Intermediate Outcome							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target			10	12	13	14	Discontinued	
Actual			9	12	16	16		
Status			Met	Met	Exceeded	Exceeded		
Trend	Positive							
Actions to be taken / Future Plans	NIST will continue to work with stakeholders to refine and improve the Framework and support its implementation by critical infrastructure sectors, as well as other sectors.							
Justification for elimination	NIST will discontinue this indicator in 2018 because it has fulfilled the general target of ensuring use of the Cybersecurity Framework by all 16 critical infrastructure sectors as defined in originating executive order.							

Indicator	Number of Public safety communications stakeholder R&D roadmaps							
Category	Supporting (non-Strategic Plan)							
Type	Intermediate Outcome							
Description	This indicator demonstrates significant milestones and the value of NIST's convening and technical roles in advanced communications related to communications for public safety. NIST will receive funds starting in 2015 from the 2012 Middle Class Tax Relief act to perform R&D that supports FirstNet, the broadband first responder communications network. In addition to legislatively-mandated R&D topics, NIST has worked with stakeholders to prioritize additional critical R&D topics. From this prioritization, and working closely stakeholders, NIST will develop an R&D roadmap for each topic.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target				1	2	3	Discontinued	
Actual				1	2	3		
Status				Met	Met	Met		
Trend	Positive							
Explanation (if not met in 2017)	N/A							

Actions to be taken / Future Plans	NIST will continue to engage with stakeholders to make progress against the R&D roadmaps through a combination of intramural research and extramural grants, contracts, prizes, and challenges. In addition, NIST continues to discuss future R&D needs to fulfill the communications needs of the public safety community and revise plans as appropriate.
Justification for elimination	NIST will retire this indicator in 2018 because it will have completed roadmaps on the most significant research areas facing public safety communications.

Indicator	Number of MEP centers partnering with skills training providers (e.g., community colleges) to link manufacturing firms with skills training resources							
Category	Key							
Type	Output							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target			50	55	53	48	Discontinued	
Actual			54	54	53	49		
Status			Met	Met	Met	Exceeded		
Trend	Stable							
Adjustments to targets	None							
Notes	MEP 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. The FY 2017 target represents 96% of the MEP system partnering with a workforce development organization.							
Justification for elimination	NIST will retire this indicator in 2018 since the President's Request discontinues federal funds for the MEP program.							

Indicator	Number of Communities Working with NIST to Pilot the <i>Community Resilience Planning Guide</i>							
Category	Supporting (non-Strategic Plan)							
Type	Intermediate Outcome							
Description	This indicator demonstrates that NIST consistently produces useful and relevant community resilience guidance and training materials that local governments can use to develop their long-term resilience plans. Communities that use the Community Resilience Planning Guide can strengthen resilience and improve their ability to continue or restore vital services in a more timely way, and to build back better after damaging events. That makes them better prepared for future events and more attractive to businesses and residents alike.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target					3	6	7	Discontinued
Actual					3	8		
Status					Met	Exceeded		
Trend	Not enough data to determine trend.							

Explanation (if not met in 2017)	N/A
Actions to be taken / Future Plans	NIST published the Community Resilience Planning Guide, Version 1 in September 2015 and will revise and update the Guide in future years. NIST will publish training materials (Guide Briefs) and host online user forums to support the effective use of the Community Resilience Planning Guide. NIST will maintain a relationship with communities that use the NIST community resilience guidance documents to identify opportunities to improve or develop new guidance and tools, and develop success stories that can be shared with other communities. Success stories for early adopters can illustrate how the resilience guidance can be implemented, identify strengths and weaknesses in the process, and its benefits.
Adjustments to targets	None
Notes	The term “community” refers to a place that is designated by geographical boundaries and functions under the jurisdiction of a governance structure, such as a town, city, or county.
Information Gaps	This indicator measures the number of communities piloting the Guide. Since the Community Resilience Planning Guide is freely available for download, the indicator may only capture communities that self-disclose usage of the Guide.
Justification for elimination	NIST published the Community Resilience Planning Guide, Version 1 in September 2015 and will revise and update the Guide in future years. NIST’s efforts to pilot the Guide with select communities provided valuable insights to future research directions and useful products to support community resilience, which will be the focus of NIST’s efforts going forward.

**Proposed NEW Indicators**

<b>Indicator</b>	<b>Number of companies and organizations exposed to NCCOE produced cybersecurity practice guides and other products.</b>							
Category	Key							
Type	Intermediate Outcome							
Description	This indicator seeks to demonstrate that awareness of NCCoE work products is increasing among companies and organizations. It also demonstrates value perceived by users and stakeholders in NCCoE’s work products, since exposure mechanisms are voluntary. Companies and organizations exposed to NCCoE products may include technology partners and CRADA collaborators, Community of Interest participants, and other entities.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target							5500	6000
Actual								
Trend	New indicator - not enough data							
Information Gaps	This indicator does not capture adoption of NCCoE work products as this is primarily based only on anecdotal information today.							



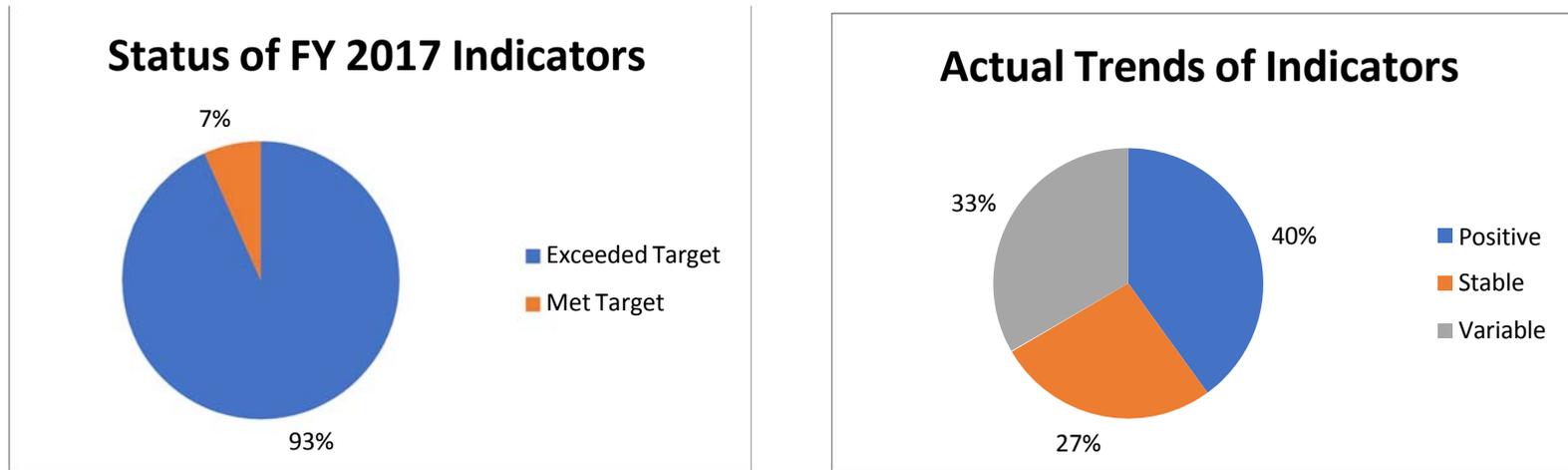
Actual								
Trend	New indicator - not enough data							
Actions to be taken / Future Plans	In spring 2018, NIST plans to launch Online Informative References to which will transition Framework informative references into an online format. This will enable expansion of informative references and industry resources by providing a standardized process and format for other organizations (ex, standards bodies, industry) to express the relationship of their resources to the Framework. It will also allow users to search and select the most appropriate references to meet their needs.							
Information Gaps	Use of the Cybersecurity Framework outside of the Federal Government is voluntary. This indicator is dependent on publicly available Cybersecurity Framework Resources. Resources not issued publicly may result in an information gap.							
Reason for New Indicator	The Cybersecurity Framework is aimed at helping any organization – regardless of sector, size, degree of cybersecurity risk, or cybersecurity sophistication – to understand, manage, and communicate cybersecurity risks. Organizations have unique risks – different threats, different vulnerabilities, different risk tolerances – and how they implement the practices in the Framework will vary. An increasing number and diversity of resources available to help organizations use the Cybersecurity Framework is an indicator of a healthy ecosystem, and will provide insight into NIST’s success in providing relevant products for the Nation.							

<b>Indicator</b>	<b>Cumulative number of collaborators on NCCoE projects</b>							
Category	Key							
Type	Intermediate Outcome							
Description	This indicator demonstrates that NCCoE work products are valuable to industry. Companies that participate in NCCoE projects partner with NIST through Technology Partnerships, Cooperative Research and Development Agreements, and Interagency Agreements. These partnerships are in-depth, active collaborations. The outputs of these projects become publicly available to the whole community in work products like NIST Special Publications, fact sheets, and demos.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target							123	140
Actual								
Status								
Trend	New indicator - not enough data							
Adjustments to targets	NOT APPLICABLE SINCE IT IS A NEW INDICATOR							
Information Gaps	This indicator does not capture adoption of NCCoE work products as this is primarily based only on anecdotal information today.							
Reason for New Indicator	The NCCoE is a critical component of NIST’s efforts to strengthen the Nation’s cybersecurity. It is a collaborative hub where industry organizations, government agencies, and academic institutions work together to address businesses’ most pressing cybersecurity challenges. This public-private partnership enables the creation of practical cybersecurity solutions for specific industries or broad, cross-sector technology challenges. This indicator will provide insight into NIST’s success in providing relevant products for the Nation.							

# FY 2019 Annual Performance Plan/FY 2017 Annual Performance Report

## International Trade Administration

### Performance Indicator Information



### Summary of FY 2017 Indicator Performance

Indicator	Target	Actual	Status	Trend
Number of foreign trade barriers removed, reduced, or prevented (annual)	80	115	Exceeded	Variable
Number of Commercial Diplomacy/Advocacy WINS (annual)	330	459	Exceeded	Variable
Export impact of trade barriers removed, reduced, or prevented-dollars of created or retained (millions)	\$1,800M	\$4.3B	Exceeded	Positive
Dollar exports generated from Export Trading Companies (billions)	\$24.0B	\$23.5B	Met	Variable
Dollar value of U.S. contracts from advocacy wins	Contextual indicator	\$54.7 B	N/A (no target)	Variable

Percentage of Global Market clients that achieved their export objectives (AGENCY PRIORITY GOAL)	75%	78%	Exceeded	Positive
Number of clients assisted by Global Markets	28,000	30,110	Exceeded	Positive
Percentage of clients highly likely to recommend Global Markets assistance.	82%	86%	Exceeded	Positive
Number of investment clients assisted by the Department (ITA)	2,400	6,671	Exceeded	Positive
Percent of antidumping (AD) and countervailing duty (CVD) determinations issued within statutory and/or regulatory deadlines	91%	96%	Exceeded	Stable
Number of antidumping and countervailing duty petition counseling sessions	298	1,038	Exceeded	Not enough data
Number of trade agreement compliance cases resolved successfully	34	36	Exceeded	Positive
Percentage of Compliance and Market Access cases initiated that are reviewed for Agreement Relevancy within the established time frame	90%	100%	Exceeded	Stable
Percentage of AD and CVD duty cash deposit and liquidation instructions issued timely to U.S. Customs and Border Protection	88%	95%	Exceeded	Stable
Percentage of AD and CVD duty cash deposit and liquidation instructions issued accurately to U.S. Customs and Border Protection	86%	99%	Exceeded	Stable

### Detailed Indicator Plans and Performance

#### Current / Recurring Indicators

Indicator	Number of foreign trade barriers removed, reduced, or prevented (annual) – Agency Priority Goal							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
Description	This indicator captures the results of ITA's efforts to level the playing field for U.S. business by increasing the number of trade barriers reduced, removed, or prevented. The measure tends to fluctuate over time as the outcome (foreign governments agreeing to voluntarily honor trade agreement obligations) is dependent on actions by sovereign nations which are outside of direct U.S. control.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target				70	75	80	126	139
Actual			74	41	110	115		
Status				Not Met	Exceeded	Exceeded		
Trend	Variable							

Indicator	Number of Commercial Diplomacy/Advocacy WINS							
Category	Key							
Type	Immediate Outcome							
Description	This measure captures the results of ITA's front-line diplomatic engagement with foreign governments in support of a U.S. company or industry. A WIN occurs when a foreign government action/decision as a result of engagement results in the following outcomes for a U.S. company or industry: reduced/removed/prevented trade barrier; reduced/removed threat to U.S. business/economic interest; foreign compliance with a trade agreement; facilitated an export transaction; or, a U.S. company has a signed contract for a foreign procurement. The measure tends to fluctuate over time as the outcome (foreign governments agreeing to voluntarily honor trade agreement obligations) is dependent on actions by sovereign nations which are outside of direct U.S. control.							
	FY 2012	FY 2013	FY 2014	FY 2014	FY 2016	FY 2017	FY 2018	FY 2019
Target			225	250	300	330	300	300
Actual			343	287	472	459		
Status			Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Variable							

<b>Indicator</b>	<b>Export impact of prevention, reduction or removal of trade barriers – dollars of exports created or retained (millions)*</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Intermediate Outcome							
Description	This indicator captures the total export impact of the collaborative work done by ITA and its federal partners to resolve trade barriers by their removal, prevention or reduction. Trade barriers can include tariffs and a variety of non-tariff indicators such as: standards; domestic content requirements; foreign ownership requirements; intellectual property rights; and, import barriers such as licensing, customs and regulations.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target				\$1,500M	\$1,650M	\$1,800M	\$1,800M	TBD
Actual		\$1,784M	\$151M	\$3,576M	\$4.2B	\$4.3B		
Status				Exceeded	Exceeded	Exceeded		
Trend	Positive							
Actions to be taken	ITA will continue to assess this metric to determine whether any further improvements may be warranted.							

<b>Indicator</b>	<b>Dollar exports generated from Export Trading Companies (billions)</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Intermediate							
Description	The Export Trading Company Act allows U.S. businesses to form export joint ventures called Export Trading Companies (ETC). These ETCs are formed for various purposes such as to negotiate lower shipping rates, pool resources to expand an export market base, avoid export rivalry by coordinating an export strategy, and sell 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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target				\$22.5B	\$23.5B	\$24.0B	\$24.0B	\$24.0B
Actual	\$24.5B	\$25.2B	\$23.8B	\$24.8B	\$21.0B	\$23.5B		
Status				Exceeded	Met	Met		
Trend	Variable							
Notes	Pursuant to 15 CFR Part 325, full receipt by ITA of all current participating ETC's reported export sales generally lags about 12 months from reporting year. Accordingly, FY 17 Actual is an estimate. Past year Actuals revised.							

<b>Indicator</b>	<b>Percentage of Global Markets (GM) clients that achieved their export objectives</b>							
Category	Key							
Type	Customer Service							
Description	This measure evaluates the effectiveness in helping companies achieve 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. GM focuses on understanding client exporting needs, and providing services to meet those needs.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target			69%	71%	73%	75%	74%	75%

Actual	68%	67%	73%	73%	78%	78%		
Status			Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Information Gaps	The data source is only from GM's fee-based services.							

<b>Indicator</b>	<b>Number of clients assisted by Global Markets (GM)</b>							
Category	Key							
Type	Output							
Description	This indicator illustrates GM's reach into the U.S. business community.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	20,709	20,800	22,150	23,000	23,000	28,000	22,000	22,000
Actual	18,945	18,126	17,593	25,029	28,692	30,110		
Status	Not met	Not met	Not met	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Actions to be taken / Future Plans	ITA is currently focusing on improving the efficiency of operations, such as through enhancements to digital services. This will likely affect the number of clients assisted during FY 2018. Once efficiency measures are fully implemented, ITA expects the number of clients assisted to increase.							
Notes	This measure illustrates Global Markets' annual effectiveness in providing export counseling and assistance to additional U.S. companies.							

<b>Indicator</b>	<b>Percentage of clients highly likely to recommend Global Markets assistance.</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Customer Service							
Description	This indicator illustrates the level of client satisfaction with Global Markets and will be used to improve the quality and efficiency of service delivery.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target		66%	69%	71%	81%	82%	83%	84%
Actual	82%	78%	83%	84%	86%	86%		
Status		Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Information Gaps	The data source is only from GM's fee-based services.							

<b>Indicator</b>	<b>Number of investment clients assisted by the Department (ITA)</b>							
Category	Key							
Type	Output							

Description	This measure captures the number of domestic and foreign firms, as well as domestic Economic Development Organizations, assisted by the Department of Commerce to attract inward investment into the United States. Commerce serves as the co-chair for the interagency Investment Working Group and is the lead coordinator of investment promotion across the USG.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target			900	1,600	1,760	2,400	3,500	3,800
Actual			1,038	1,651	6,072	6,671		
Status			Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Adjustments to targets	Targets for FY 2018 and 2019 were increased over previous projections.							

<b>Indicator</b>	<b>Percent of antidumping (AD) and countervailing duty (CVD) determinations issued within statutory and/or regulatory deadlines</b>							
Category	Key							
Type	Process							
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), 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 identified in the context of an AD/CVD proceeding.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	90%	90%	91%	91%	91%	91%	91%	91%
Actual	95%	96%	92%	93%	95%	96%		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Stable							
Actions to be taken	This indicator was introduced in FY2015 and there are no plans for it to be modified or discontinued.							
Notes	Although this performance metric was reported in previous budget submissions beginning in FY 2009, it was introduced in the FY 2015 APP.							

<b>Indicator</b>	<b>Number of antidumping and countervailing duty petition counseling sessions</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
Description	This measure captures petition counseling assistance to U.S. companies and their workers, including counseling resulting from contacts initiated by companies or their workers and outreach to U.S. companies. Such counseling improves the understanding of, and access to, the U.S. trade laws dealing with injurious dumping and foreign government subsidies that can impede the competitiveness of U.S. companies and workers.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	N/A	N/A	N/A	N/A	259	298	298	298

Actual					655	1,038		
Status					Exceeded	Exceeded		
Trend	Not Enough Data							
Actions to be taken / Future Plans	This indicator was introduced in FY 2016.							

<b>Indicator</b>	<b>Number of trade agreement compliance cases resolved successfully</b>							
Category	Key							
Type	Output							
Description	This indicator provides the number of successful case conclusions (usually barriers removed) in trade agreements compliance cases. The measure tends to fluctuate over time as the outcome (foreign governments agreeing to voluntarily honor trade agreement obligations) is dependent on actions by sovereign nations which are outside of direct U.S. control.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target				32	33	34	35	36
Actual	41	39	20	24	33	36		
Status				Not Met	Met	Exceeded		
Trend	Positive							
Notes	Actual performance data is available from FY 2012. Actual planning and data collection started in FY 2015.							

<b>Indicator</b>	<b>Percentage of compliance and market access cases initiated that are reviewed for Agreement Relevancy within the established time frame</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Process							
Description	This indicator captures the timely analysis and determination of whether a compliance and market access case is subject to a Relevant Agreement for cases. E&C has 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 categorized as pending while additional information is being obtained.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target			85%	90%	90%	90%	90%	90%
Actual	91%	89%	96%	95%	100%	100%		
Status				Exceeded	Exceeded	Exceeded		
Trend	Stable							
Notes	Actual performance data is available from FY 2010. Actual planning and data collection started in FY 2015							

<b>Indicator</b>	<b>Percentage of AD and CVD duty cash deposit and liquidation instructions issued timely to U.S. Customs and Border Protection (CBP)</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Process							
Description	This indicator captures the timeliness of cash deposit and liquidation instructions issued by E&C to CBP to ensure collection and appropriate duties for merchandise subject to AD and CVD proceedings.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target				88%	88%	88%	88%	88%
Actual			93%	94%	93%	95%		
Status				Exceeded	Exceeded	Exceeded		
Trend	Stable							
Actions to be taken	This indicator was introduced in FY 2015 and there are no plans for it to be modified or discontinued.							

<b>Indicator</b>	<b>Percentage of AD and CVD duty cash deposit and liquidation instructions issued accurately to U.S. Customs and Border Protection (CBP)</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Process							
Description	The 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 AD and CVD proceedings.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target				86%	86%	86%	86%	86%
Actual			97%	97%	99%	99%		
Status				Exceeded	Exceeded	Exceeded		
Trend	Stable							
Actions to be taken / Future Plans	This indicator was introduced in FY 2015 and there are no plans for it to be modified or discontinued.							

### **Other Indicators**

<b>Indicator</b>	<b>Dollar Value of U.S. contracts from advocacy wins</b>							
Type	Contextual							
Description	The estimated dollar value (in billions) of U.S. goods or services to a foreign government of contracts signed by U.S. businesses or their representatives with U.S. Government assistance. Commerce serves as the Chair of the Interagency Task Force on Commercial Advocacy and is the lead coordinator of advocacy efforts across the U.S. Government.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Actual	\$73.9	\$16.2	\$75.8	\$26.8	\$36.2	\$54.7		



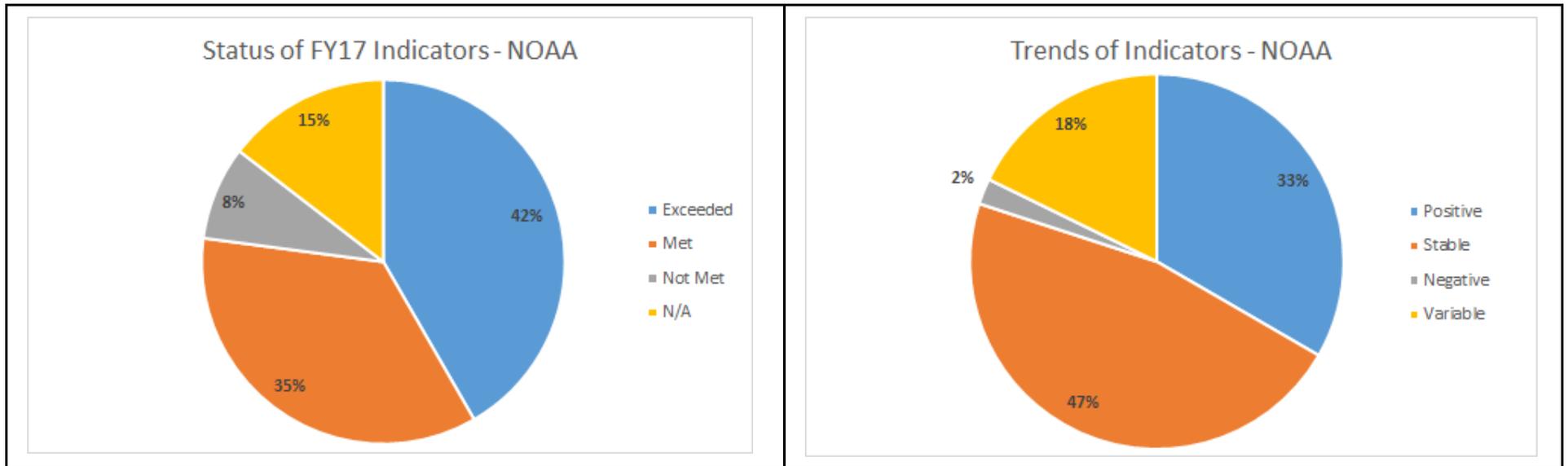
Actual	28%	25%	23%	30%	27%	27%		
Status (i.e. Exceeded, Met, Not Met)	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Variable							
Reason for New Indicator	This indicator supports the proposed FYs 2018-2022 DOC Strategic Plan							

<b>Indicator</b>	<b>Percent of identified foreign trade remedy proceedings affecting and of interest to U.S. parties that are addressed through informal/formal intervention or dispute settlement</b>							
Category	Supporting (Strategic Plan)							
Type	Contextual							
Description	This measure reports on the success of trade remedy actions undertaken by foreign governments including countervailing duty, antidumping, and safeguard proceedings involving U.S. interests. The misuse of trade remedy actions by foreign administering authorities can limit or eliminate market opportunities for U.S. exports. ITA's advocacy as reflected by this measure helps to ensure that U.S. companies are given fair treatment under national trade remedy laws and international agreements.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	90%	90%	90%	90%	90%	90%	90%	90%
Actual	97%	95%	93%	90%	92%	92%		
Status (i.e. Exceeded, Met, Not Met)	Exceeded	Exceeded	Exceeded	Met	Exceeded	Exceeded		
Trend	Variable							
Reason for New Indicator	This indicator supports the proposed FYs 2018-2022 DOC Strategic Plan							

## FY 2019 / FY 2017 Annual Performance Plan and Report

### National Oceanic and Atmospheric Administration

#### Performance Indicator Information



Overall, 20 (42%) indicators Exceeded targets, 17 (35%) Met targets, and 4 (8%) had Not Met targets in FY17. Seven (15%) measures did not have targets. Of the indicators presented here, 45 had at least three years of data and thus have a Trend result.

Of the indicators with a Trend, 15 (33%) had a Positive trend, 21 (47%) had a Stable trend, 1 (2%) had a Negative trend, and 8 (18%) had a trend status of Varying.

## Summary of FY 2017 Indicator Performance

INDICATOR	FY17 TARGET	FY17 ACTUAL	STATUS	TREND
Annual number of peer-reviewed publications related to environmental understanding and prediction	1700	1678	MET	Variable
Annual economic and societal benefits from Sea Grant activities as measured by jobs created/retained (reported by each individual Sea Grant College)	20,770	7,100	NOT MET	Variable
Key milestones completed on time for satellites and ship deployments	2	2	MET	Stable
Base Funded Days-at-Sea for NOAA Ships	2,985	2,554	NOT MET	Positive
Annual number of OAR R&D products transitioned to a new stage(s) (development, demonstration, or application).	65	65	MET	Stable
Number of fishermen, seafood processors and aquaculture industry personnel who modify their practices using knowledge gained in fisheries sustainability and seafood safety.	N/A*	19,900	N/A**	N/A***
Increase annual number of NOAA partnerships with the private sector (# of Cooperative Research and Development Agreements executed)	N/A	14	N/A	Variable
Percentage of data processed and delivered to operational users (NWS and other NOAA line offices, US military and operational partners) from NOAA-managed satellites.	98.5%	99.49%	EXCEEDED	Stable
The cumulative number of NOAA datasets made openly available via Partners' cloud platforms to the public, America's Weather Enterprise and other environmental information stakeholders.	N/A	6	N/A	N/A
Reduction in gap between high-performance computing deployed and what is needed to meet modeling requirements	N/A	13	N/A	N/A

U.S. Temperature Forecast Skill	26	34	EXCEEDED	Stable
Percentage of ingested environmental data safely archived to ensure consistent long-term stewardship and usability of the data (per National Archives and Records Administration (NARA) standards)	98%	98%	MET	Stable
Severe Weather Warnings Tornadoes - Storm Based Lead Time (Minutes)	13	9	NOT MET	Stable
Severe Weather Warnings Tornadoes - Storm Based Accuracy (%)	72%	58%	NOT MET	Stable
Severe Weather Warnings Tornadoes - Storm Based False Alarm Ratio (%)	71%	72%	MET	Stable
Severe Weather Warnings for Flash Floods - Lead Time (minutes)	63	73	EXCEEDED	Variable
Severe Weather Warnings for Flash Floods - Accuracy (%)	76%	77%	EXCEEDED	Stable
Hurricane Forecast Track Error (48-Hour) (nautical miles)	68	56****	EXCEEDED	Variable
Hurricane Forecast Intensity Error (48 hour) (knots)	12	13	MET	Variable
Accuracy (%) (Threat Score) of Day 1 Precipitation Forecasts	33%	34%	EXCEEDED	Positive
Winter Storm Warnings - Lead Time (Hours)	20	22	EXCEEDED	Stable
Winter Storm Warnings - Accuracy (%)	90	87	MET	Stable
Marine Wind - Percentage of Accurate Forecasts	78%	81%	EXCEEDED	Positive
Marine Wave Heights - Percentage of Accurate Forecasts	81%	84%	EXCEEDED	Positive
Aviation Ceiling/Visibility Forecast Accuracy Instrument Flight Rules (IFR)	65%	63%	MET	Stable
Aviation Ceiling/Visibility False Alarm Ratio (%) Instrument Flight Rules (IFR)	38%	37%	EXCEEDED	Positive
Geomagnetic Storm Forecast Accuracy (%)	40%	65%	EXCEEDED	Positive

American Customer Satisfaction Index for NOAA's National Weather Service	80	82	N/A	Stable
Number of Storm Ready Communities	N/A	2750	N/A	Positive
Number of Tsunami Ready Communities	N/A	249	N/A	Positive
Number of communities that utilize Digital Coast	5500	7040	EXCEEDED	Positive
Annual number of Coastal, Marine, and Great Lakes Ecological Characterizations that Meet Management Needs	48	100	EXCEEDED	Stable
Cumulative number of coastal, marine and Great Lakes issue-based forecasting capabilities developed and used for management	113	108	MET	Positive
Percentage of Tools, Technologies, and Information Services that are used by NOAA Partners/Customers to Improve Ecosystem-based Management	91%	94%	EXCEEDED	Stable
Percentage of U.S. coastal states and territories demonstrating annual improvement in resilience capacity to weather and climate hazards	66%	69%	EXCEEDED	Positive
Hydrographic data acquired to support safe and efficient maritime commerce and for community resilience to storms and other coastal hazards (in square nautical miles) Reduce the Hydrographic Survey Backlog within Navigationally Significant Areas (square nautical miles surveyed per year)	2287	2480	EXCEEDED	Variable
Percent of top 175 U.S. seaports with access to Physical Oceanographic Real-Time Systems (PORTS®), which improves the safety and efficiency of marine transportation	35%	37%	EXCEEDED	Stable
Cumulative percent of U.S. and territories surveyed to improve vertical reference system for modernized height/elevation data	62%	64%	EXCEEDED	Positive
Percent of all coastal communities susceptible to harmful algal blooms verifying use of accurate HAB forecasts	23%	23%	MET	Stable

Number of natural resource environments managed by the Office of National Marine Sanctuaries in which water, habitat, and living resource quality is stable or improving	9	9	MET	Stable
Fish Stock Sustainability Index (FSSI)	754	756.5	MET	Positive
Percent of Stocks For Which Catch is below the Specified Annual Catch Limit (ACL)	82%	91.9%	EXCEEDED	Stable
Percentage of FSSI Fish Stocks with Adequate Population Assessments and Forecasts	63.8%	63.3%	MET	Stable
Percentage of Protected Species Stocks with Adequate Population Assessments and Forecasts	19.9%	19.3%	MET	Positive
Number of Protected Species Designated as Threatened, Endangered or Depleted with Stable or Increasing Population Levels	30	30	MET	Stable
Number and Percentage of Actions Ongoing or Completed to Recover Endangered and Threatened Species	48.7%	48%	MET	Positive
Number of Habitat Acres Restored	11,050	10,207	MET	Negative
Annual Number of Coastal, Marine, and Great Lakes Habitat Acres Acquired or Designated for Long-term Protection	800	6782	EXCEEDED	Variable

\* N/A in the Target field denotes a performance measure created for FY18. FY17 targets do not exist, while baseline performance data may exist.

\*\* N/A in the Status field denotes a new measure that does not have an FY17 target.

\*\*\* N/A in the Trend field denotes a new measure for which a performance trend has not yet been established. Trend status is only given to measures with at least three years of performance data.

\*\*\*\* CY 2017 figure is preliminary. Final values will be available in April 2018.

**Recurring Indicators:**

Indicator	<b>NEW: Annual number of OAR R&amp;D products transitioned to a new stage(s) (development, demonstration, or application).</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
Description	<p>The measure captures the count of significant and discrete OAR research and development products that have transitioned to development, demonstration, or an application. Products include transitions occurring within OAR and applying group(s) outside of OAR. This includes research, development, and demonstration performed and supported by OAR as well as utilization of OAR R&amp;D products by external parties. The stages are defined as:</p> <ol style="list-style-type: none"> <li>1. <u>Development</u>: when OAR research is used to start or enhance significant new development activities (e.g., modeling efforts begin to incorporate OAR field study findings into a predictive model.)</li> <li>2. <u>Demonstration</u>: when a demonstration of OAR research and/or development starts with the purpose of demonstrating that the R&amp;D is appropriate for transition to operation or other applications (e.g., a new version of a tool for forecasters begins evaluation in a NOAA testbed.)</li> <li>3. <u>Application</u>: Examples of applications and the types of products transitioned include the following: <ul style="list-style-type: none"> <li>• Transitions to operations (e.g., new observing technologies enter operations, updated models enter operations)</li> <li>• Providing information for decision-makers (e.g., completion of peer-reviewed assessments, external development of resource management policies based on OAR research findings).</li> <li>• Transition to commercial applications(e.g., patent, new technology used in a commercial product)</li> </ul> </li> </ol> <p>Note that this measure counts the number of products that advance, not the number of uses of those products. If a product advances through multiple stages in a year, it may be listed for each stage to which it advances. If multiple OAR labs/programs contribute to an advancement (including providing financial resources), they can each count the advancement.</p>							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	n/a	n/a	n/a	65	65	65	42	42
Actual	n/a	n/a	66	72	65	65	TBD	
Status				Exceeded	Met	Met		NEW
Trend	Stable							
Explanation (if not met in FY 2016)	n/a							
Adjustments to targets	None							
Notes	This is a pilot measure. As the measure is developed and implemented, changes will be made to refine it. FY2017 is the projected full-year.							

<b>Indicator</b>	<b>NEW: Number of fishermen, seafood processors and aquaculture industry personnel who modify their practices using knowledge gained in fisheries sustainability and seafood safety.</b>							
Category	Key (Strategic Plan)							
Type	Output							
Description	<p>This measure tracks Sea Grant's success in assisting industry personnel with the adoption of responsible harvesting and processing techniques that improve social, economic, and ecological sustainability.</p> <p>Industry personnel include recreational, commercial (wild and cultured), and subsistence fishery participants, processors, and retailers. Practices include techniques, technologies and best management practices adopted. Fisheries sustainability and seafood safety refers to any combination of the ability of the ecosystem to remain diverse and productive; the social, cultural, and economic resilience of the fishing community; personal or crew safety; and quality and safety of the seafood product. Interactions with industry personnel should result in a behavioral change. Thus, conferences, social media, or handouts on fishing practices should not count unless there is evidence of behavioral change (e.g., survey or personal communication).</p>							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target								60,000
Actual	35,000	184,000	53,000	62,200	40,243	19,900	TBD	
Status (i.e. Exceeded, Met, Not Met)								NEW
Trend	Varying							
Notes	Historical data exists for FY2010 through FY2017. This metric is new in FY2019 APP as part of the FY 2018 DOC Strategic Plan.							

<b>Indicator</b>	<b>NEW: Increase annual number of NOAA partnerships with the private sector (# of Cooperative Research and Development Agreements executed)</b>							
Category	Supporting (Strategic Plan)							
Type	Output							
Description	<p>A Cooperative Research and Development Agreement (CRADA) is a written agreement between a private company and NOAA to work together on a project. Created as the result of the Stevenson-Wydler Technology Innovation Act of 1980, as amended by the Federal Technology Transfer Act of 1986, a CRADA allows NOAA and non-Federal partners to optimize their resources, share technical expertise in a protected environment, share intellectual property emerging from the effort, and speed the commercialization of NOAA developed technology.</p> <p>CRADAs are one of the principal mechanisms used by NOAA laboratories to engage in collaborative efforts with non-federal partners to achieve the goals of technology transfer. The CRADA, which is not an acquisition or procurement vehicle, is designed to be a relatively easy mechanism to implement, requiring less time and effort to initiate than previous methods for working with non-government organizations.</p>							

	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target								8
Actual	4	1	5	14	5	14	TBD	
Status (i.e. Exceeded, Met, Not Met)								NEW
Trend	Varying							
Explanation (if Target not met in FY 2017)	New metric for FY 2019.							
Notes	Historical data exists for FY2010 through FY2017. This metric is new in FY2019 APP as part of the FY 2018 DOC Strategic Plan.							

Indicator	Annual number of peer-reviewed publications related to environmental understanding and prediction							
Category	Key							
Type	Output							
Description	The annual number of peer reviewed publications is an indicator of productivity and relevance and is tracked using online 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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	1200	1200	1200	1500	1500	1700	1100	1050
Actual	1800	1676	1759	1860	1697	1678		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Met		
Trend	Varying							
Explanation (if not met in FY 2016)	n/a							
Actions to be taken / Future Plans	None							
Adjustments to targets	The FY2015 target was increased to 1500 due to exceeding the FY2012-2014 target of 1200. The FY17 target was increased to 1700 due to exceeding the FY2015-2016 target of 1500. FY2017 is the actual full-year. The FY19 target was decreased to 1050 to reflect the FY19 President's Budget submission.							
Notes	NOAA-wide data collection began in FY2011 through the DOC Balanced Scorecard reporting. Budget narrative performance measures are chosen as the best indicators of progress in execution of a particular program, project, or activity (PPA) Budget Category. Their targets may contribute to a broader NOAA-wide corporate measure that is tracking a strategic goal or enterprise objective (captured and evaluated within a line or staff office annual operating plan). As such, the publications measure components found in the budget submission are only a subset of the NOAA total count shown.							
Information Gaps	The 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 2011 have not been captured.							

Indicator	<b>Annual economic and societal benefits from Sea Grant activities as measured by jobs created/retained (reported by each individual Sea Grant College)</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Customer Service							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	4,000	4,000	9,600	9,600	9,600	20,770	0	0
Actual	3,800	15,000	17,500	10,700	20,770	7,100		
Status	Not Met	Exceeded	Exceeded	Exceeded	Exceeded	Not Met		
Trend	Varying							
Explanation (if not met in FY 2017)	This measure highlights change in economic impact - the 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). As such the economic dollar value, jobs or businesses can vary each year depending on what technical assistance or innovation occurs in any given year.							
Notes	FY2017 showing actual full-year.							
Information Gaps	Current efforts are focused on better defining the measure standards.							

Indicator	<b>NEW: The cumulative number of NOAA datasets made openly available via Partners' cloud platforms to the public, America's Weather Enterprise and other environmental information stakeholders.</b>							
Category	Supporting FY18-22 DOC Strategic Plan							
Type	Output							
Description	The measure is the cumulative number of instances of NOAA datasets made openly available via Partners' cloud platforms through collaborations with selected Industry Partners. In this developmental phase, NOAA does not determine which datasets or how many datasets to make available on Partner's cloud platforms, but the Partners do so with NOAA experts' support. Future measures are highly dependent upon the Partners' investments, including whether or not the Project continues past Q2FY19.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target					NA	NA	15	20
Actual					3	6		
Status	NA	NA	NA	NA	NA	NA		

Explanation (if Target not met in FY 2017)	New performance measure for FY18.
Actions to be Taken	The Big Data Project's experimental phase has been extended through Q2FY19. The status of the project beyond that date is TBD.
Adjustments to Targets	Targets are to be achieved on a best-effort basis through Cooperative Research And Development Agreements (CRADAs) with selected industrial partners, and thus may be subject to changes beyond NOAA control.
Notes	Associated with the NOAA Big Data Project
Information Gaps	The NOAA Big Data Project formally began in FY15 but data were not publicly served through Partners' cloud platforms until FY16.

Indicator	Reduction in gap between high-performance computing deployed and what is needed to meet modeling requirements							
Category	Key							
Type	Outcome							
Description	The indicator shows the overall growth, in petaflops(PF), of the operational and research and development High Performance Computing capability. Our current enterprise supplies 16PF to support modeling requirements across NOAA. Growth in capacity will lessen the gap in current modeling requirement and provide additional capability to the modeling community within NOAA.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target						13PF	16PF (30%)	17PF (5.8%)
Actual						13PF		
Status						MET		
Trend	N/A							
Explanation (if Target not met in FY 2017)	<b>New Indicator, no target for FY17</b>							
Actions to be Taken	Continue to pursue recapitalization efforts. Larger recapitalization effort to begin in 2020							
Notes	The indicator is the overall capacity growth, measured in petaflops, in the operational and research and development HPC enterprise. This growth is attained by procurement or replacement of aging computational components.							

Information Gaps	Growth Rate will be generally tied to the overall budget. Flat budget conditions may result in a loss of capacity due to rising maintenance costs.
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Indicator	U.S. Temperature Forecasts Skill							
Category	Key							
Type	Output							
Description	<p>Seasonal outlooks are used by sectors of the U. S. economy, such as energy, agriculture, transportation, etc. as one factor in resource decision making. ). Seasonal outlooks are reported as the probability of temperature being above normal, near normal, below normal or, where no definite seasonal guidance can be provided, equal chances.</p> <p>This is the cumulative skill calculated for regions where predictions are made. These forecasts are verified using a 48 month running mean of Heidke Skill score 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). Specific calculations for this measure may be found at:  <a href="http://www.cpc.ncep.noaa.gov/products/predictions/90day/skill_exp.html">http://www.cpc.ncep.noaa.gov/products/predictions/90day/skill_exp.html</a> and  <a href="http://www.cpc.noaa.gov/products/predictions/long_range/tools/briefing/seas_veri.grid.php">http://www.cpc.noaa.gov/products/predictions/long_range/tools/briefing/seas_veri.grid.php</a></p>							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	21	22	23	24	25	26	26	26
Actual	29	26	26	25	24	34		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Stable							
Actions to be taken / Future Plans	<p>The following actions are being undertaken to meet outyear goals for this measure and improve seasonal predictions:</p> <ol style="list-style-type: none"> <li>1. CPC has established a Climate Test Bed (CTB) and has redirected nearly 25% of its federal and contract staff to accelerate improvements in seasonal climate prediction.</li> <li>2. Increased collaboration with EMC, CDC, GFDL and the reorganized NOAA/OAR and its Climate Program Office is expected to enhance opportunities for model diagnostics and testing by teams of internal and external scientists through formal Announcements of Opportunity in support of the CTB.</li> <li>3. CPC will continue the successful collaborative forecast process, which includes scientists from ESRL and IRI and their experimental forecast tools in CPC's operational seasonal forecast discussions each month. This exposes the CPC operational process to the best nationwide expertise, and an advanced look at cutting-edge science.</li> </ol>							
Adjustments to targets	<p>No changes were made to this indicator since the previous Congressional submission. This indicator is based on a 4-year running mean of the annual score. 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. 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 improve NWS performance.</p>							
Notes	<p>NWS began reporting this measure in its Congressional Justification beginning in FY 2003. These data are available from 1995 to present.</p>							

Indicator	Key milestones completed on time for satellites and ship deployments							
Category	Key							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target			SAT: 7 SHIPS: 0	SAT: 2 SHIPS: 0	SAT: 3 SHIPS: 0	SAT: 2 SHIPS: 0	SAT: 2 SHIPS: 2	SAT: 1 SHIPS: 2
Actual			SAT: 7 SHIPS: 0	SAT: 2 SHIPS: 0	SAT: 3 SHIPS: 0	SAT: 2 SHIPS: 0		
Status			Met	Met	Met	Met		
Notes	SHIPS: FY 2018 Q2: Issue Request for Proposal (RFP) for preliminary NAV ship design. FY 2018 Q3: Complete Milestone #2 (Project Approval) documentation; submit to DOC. FY 2019 Q4: Complete N/V Class A AGOR Variant Preliminary Design Phase, Continue Force Architecture efforts on the requirements analysis and concept design for Class B and C Vessels.							

Indicator	Base Funded Days-at-Sea for NOAA Ships							
Category	Supporting							
Type	Output							
Description	Days-At-Sea is the unit used to annually plan mission time aboard NOAA ships. Approximately 100 survey and research missions are planned and executed each year. A DAS is a day in which the ship is underway, under its own power, for greater than one hour, conducting mission operations, training, sea trials, or calibration. Also included are days in which hydrographic ships are not underway but are conducting operations aboard one or more ship-based launches.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target (base funded)	2,725	2,443	2,702	2,980	2,802	2,985	2,783	2,710
Actual (base funded)	2,623	2,199	2,159	2,498	2,414	2,554		
Status	Not Met	Not Met	Not Met	Not Met	Not Met	Not Met		
Trend	POSITIVE: (FY15: 84%, FY16: 86%, FY17: 86%)							
Explanation	Unscheduled ship systems repairs and loss of days due to weather.							
Actions to be Taken / Future Plans	Execution of progressive maintenance on all ships, completing service life assessments on 12 of 16 ships to evaluate capacity for extended service, initiating new ship construction to replace aging vessels.							
Notes	Data available for planned/actual DAS through 2007 Methodology has not changed over time.							



Trend	Directional: Stable							
Accuracy (%)								
Target	72	72	72	72	72	72	72	72
Actual	69	57	60	58	61	58		
Status	Met	Not Met	Not Met	Not Met	Not Met	Not Met		
Trend	Directional: Stable							
False Alarm Ratio (%)								
Target	72	72	72	72	71	71	71	71
Actual	73	74	70	70	69	72		
Status	Met	Met	Met	Met	Met	Met		
Trend	Directional: Stable							
Explanation (if not met in FY 2017)	<p>August and September of 2017 will likely be remembered more for land-falling tropical cyclones than tornadoes. However, with well over 400 Tornado Warnings issued (431) as a direct result of Hurricanes Harvey and Irma, there was a substantial statistical impact on the performance metrics for tornadoes in this FY. With around 2,400 Tornado Warnings issued across the country in FY17 before either of these hurricanes made landfall, just under 20% of the total Tornado Warnings in this FY were issued between these two tropical cyclones. Before landfall of either Harvey or Irma, the NWS Tornado Warning Probability of Detection (POD) and average Lead Time (LT) were already under their respective goals. The False Alert Ratio (FAR) however, at 70%, was just under the goal of 71%. In the aftermath of both Harvey and Irma, with only 76 reported tornadoes that resulted from these tropical systems, the FAR rose to 72% when combining these events with the rest of the FY. Nationally, outside of the Hurricane Irma, only a handful of tornadoes were reported during the month of September 2017, which did not substantially impact these metrics.</p>							
Actions to be taken / Future Plans	<p>Improvements in NWS national Tornado average lead-time and accuracy goals are based on:</p> <ul style="list-style-type: none"> <li>- Upgrading high resolution models for forecaster situational awareness</li> <li>- Enabling GIS for Partners</li> <li>- Operationally implementing tools such Multi-Radar Multi-Sensor System (MRMS), and the advanced radar scanning methods Automated Volume Scan Evaluation and Termination (AVSET) and Supplemental Adaptive Intra-Volume Low-Level Scan (SAILS)</li> <li>- Training NWS forecasters as to use new forecast tools and guidance products</li> </ul>							
Adjustments to targets	No changes were made to this indicator since the previous Congressional submission.							
Notes	NWS began reporting this measure in its Congressional Justification beginning in FY 2000 for compliance with Government Performance and Results Act (GPRA) for 1993. These data are available from 1986 to present. Historically, tornado warnings were issued and verified on a countywide basis. Starting in FY 2008, the storm-based warnings were implemented with verification based solely for the areas impacted by the warning and event.							

Indicator	<b>Severe Weather Warnings for Flash Floods - Lead Time (minutes) and Accuracy (%)</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Lead Time (min)								
Target	42	58	60	61	61	63	63	65
Actual	53	63	54	64	72	73		
Status	Exceeded	Exceeded	Met	Exceeded	Exceeded	Exceeded		
Trend	Variable							
Accuracy (%)								
Target	74	74	74	76	76	76	76	76
Actual	76	78	78	79	80	77		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Stable							

<p>Actions to be taken / Future Plans</p>	<p>In FY2012, the NWS reevaluated the current and out-year national average flash flood warning lead-time goals based on the current storm-based flash flood warnings data from FY2008 through Q3 and part of Q4 (July 31), FY2012. The NWS Flash Flood Average lead-time goal increases to 58-min for FY 2013 is a result of this evaluation. Subsequent increases to out-year NWS national Flash Flood Warning average lead-time and accuracy goals are based on:</p> <p>Implementation of new water resource capabilities including distributed hydrologic modeling which will provide stream flow predictions at ungaged locations. Current flash flood detection capabilities are largely based on decision assistance tools which utilize precipitation estimates, rather than overland and streamflow modeling. (FY2018-FY2020)</p> <p>Recommendations and requirements delivered by the Evolving Rapid-Onset Flooding Services Requirements and Operations Concept Team on how to enhance the ability of the NWS to deliver services for rapid-onset flooding using existing and emerging tools to improve forecaster situational awareness, rapid-onset flood risk analysis, warning decision support tools, and simplified messaging. (FY2017-FY2018)</p> <p>Continued training on 1) precipitation estimation techniques, software enhancements and water resources modeling capabilities, and 2) decision support.</p>
	<p>Note the current and out-year national average flash flood warning accuracy goals remain consistent with those originally proposed in FY2010.</p>
<p>Adjustments to targets</p>	<p>No changes were made to this indicator since the previous Congressional submission.</p>
<p>Notes</p>	<p>NWS began reporting this measure in its Congressional Justification beginning in FY 2000 for compliance with GPRA. These data are available from 1986 to present. Historically, flash flood warnings were issued and verified on a countywide basis. Starting in FY 2010, the storm-based warnings were implemented with verification based solely for the areas impacted by the warning and event.</p>

Indicator	<b>Hurricane Forecast Track Error (48-Hour)</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
Description	<p>The public, private sectors, emergency managers, and government institutions at all levels in this country and abroad use NOAA tropical cyclone forecasts to make decisions regarding the protection of life and property. This goal measures the difference between the projected and actual location of the center of tropical cyclones in nautical miles (nm) for the Atlantic Basin, averaged over all the 48-hour forecasts occurring during the calendar year. Because tropical cyclones are relatively rare events, this measure can show significant annual volatility. 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.</p>							
	FY 2012	CY 2013	CY 2014	CY 2015	CY 2016	CY 2017	CY 2018	CY 2019
Target	84	83	81	77	71	68	65	62
Actual	69	103	65	77	61	56*		
Status	Exceeded	Not Met	Exceeded	Met	Exceeded	Exceeded		
Trend	Variable							

Explanation (if not met in FY 2016)	CY 2017 figure is preliminary. Final values will be available in April 2018.
Adjustments to targets	Targets for FY 2017 and beyond were adjusted to reflect the FY 2015 and FY 2017 decreases in the HFIP. These revised targets additionally reflect recent performance trends and improvements in Hurricane Weather Research and Forecasting model.
Notes	NWS began reporting this measure in its Congressional Justification beginning in FY 2003. These data are available from 1970 to present. CY 2017 GPRA final values will be available after the verification period. <b>* Annual Hurricane Season begins June 1 and ends November 30. The final values are produced after a verification and validation period. Calendar Year (CY) 2017 Hurricane GPRA will be available in April 2018.</b>

Indicator	<b>Hurricane Forecast Intensity Error (48 hour)</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
Description	The public, private sectors, emergency managers, and government institutions at all levels in this country and abroad use NOAA tropical cyclone forecasts to make decisions regarding the protection of 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. 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 2012	CY 2013	CY 2014	CY 2015	CY 2016	CY 2017	CY 2018	CY 2019
Target	15	12	12	12	12	12	12	12
Actual	12	10.5	10	11	10	13		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Met		
Trend	Variable							
Explanation (if not met in FY 2016)	CY 2017 figure is preliminary. Final values will be available in April 2018							
Adjustments to targets	Targets for FY 2017 and beyond were adjusted to reflect performance trends, anticipated impacts of model upgrades and FY 2017 decreases in the HFIP.							
Notes	NWS began reporting this measure in its Congressional Justification beginning in FY 2003. These data are available from 1970 to present CY 2017 GPRA final values will be available after the verification period. <b>* Annually Hurricane Season begins June 1 and ends November 30. The final values are produced after a verification and validation period. Calendar Year (CY) 2017 Hurricane GPRA will be available in April 2018.</b>							

Indicator	<b>Accuracy (%) (Threat Score) of Day 1 Precipitation Forecasts</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
Description	<p>Precipitation forecasts and other foundational general weather guidance developed by the Weather Prediction Center are used extensively by the weather enterprise, the military, international interests, and NWS WFOs and RFCs to inform daily weather forecast. This information is used by government entities, economic sectors, and the general public to manage daily lives and activities and make resource decisions. This performance measure tracks the ability of the weather forecasters of NOAA's Weather Prediction Center (WPC) 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 WPC focuses on relatively heavy amounts of precipitation because of the major safety and economic impacts such heavy precipitation can have in producing flooding, alleviating drought, and affecting river navigation.</p>							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	31	31	32	32	32	33	33	33
Actual	33	33	33	33	36	34		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Actions to be taken / Future Plans	<p>The following actions are being undertaken to meet outyear goals for this measure:</p> <ol style="list-style-type: none"> <li>1. The NCEP Central Computer System will continue to be upgraded in its computational speed and memory storage capabilities allowing the running of more sophisticated numerical modeling systems of the hydrosphere.</li> <li>2. During the next several years, NCEP 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.</li> <li>3. Training by the WPC staff and visiting scientists on the use of new model information (e.g., ensembles) will assist the WPC forecasters in making improved precipitation predictions.</li> <li>4. NCEP established a Hydrometeorological Testbed at WPC beginning in FY 2006 for the purpose of improving precipitation forecasts.</li> </ol>							
Adjustments to targets	No changes were made to this indicator since the previous Congressional submission.							
Notes	NWS began reporting this measure in its Congressional Justification beginning in FY 2000 for compliance with GPRA. These data are available from 1993 to present.							

Indicator	Winter Storm Warnings - Lead Time (Hours) and Accuracy (%)							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Lead Time (hours)								
Target	19	20	20	20	20	20	20	20
Actual	18	22	22	21	21	22		
Status	Met	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Stable							
Accuracy (%)								
Target	90	90	90	90	90	90	90	90
Actual	89	89	89	85	85	87		
Status	Not Met	Met	Met	Met	Met	Met		
Trend	Stable							
Explanation (if not met in FY 2017)	Winter storm statistics for FY17 are available through September 2017. The latest accuracy (POD) is 87% (vs. 90% FY17 goal), and the lead time (LT) was 22 hours (FY 17 goal of 20 hours). These numbers are consistent with the last several winters and either close to or above targeted values. Lead times continue to outpace the goal, which may be having a small impact on somewhat lower POD numbers. In addition, a somewhat uneven application of more impact based verification vs snowfall amounts may also be impacting these statistics. However, overall trends are steady.							
Actions to be taken / Future Plans	<ol style="list-style-type: none"> <li>As forecasters work with higher resolution models such as Weather Research and Forecasting (WRF) model, they learn more about model tendencies, allowing more precise and timely warnings.</li> <li>Deploy advanced ensemble modeling techniques. Ensemble techniques provide forecasters with probabilistic information applicable to issuing winter storm warnings.</li> <li>Dual polarization radars, satellite upgrades, and access to Terminal Doppler Weather Radar (TDWR) – Enables forecasters to observe the formation/dissipation of mesoscale snow bands, which result in locally higher snow accumulation (i.e., lake effect snow).</li> <li>Develop additional training and coordination support with National Centers.</li> </ol>							
Adjustments to targets	No changes were made to this indicator since the previous Congressional submission.							

Notes	NWS began reporting this measure in its Congressional Justification beginning in FY 2001. These data are available from 1998 to present. From 1998 through 2006 statistics were calculated manually. Automated verification with additional quality control began in October 2007 to present.
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Indicator	Marine Wind - Percentage of Accurate Forecasts & Marine Wave Heights - Percentage of Accurate Forecasts							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
Description	<p>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; accuracy is defined in terms of error. For the Day 1 marine wind speed forecast, errors less than 5 knots are defined as accurate. Since FY2014, a higher threshold of forecast errors has been used to define correct forecasts whenever higher wind speeds have occurred. Hence, wind speed forecasts with errors less than (7 knots, 10 knots, 15 knots) are accurate forecasts when the observed wind speed equals or exceeds (20 knots, 34 knots, 48 knots) respectively.</p> <p>For the Day 1 wave height forecast, errors less than 2 feet are defined as accurate. Since FY2014, a higher threshold of forecast errors has been used to define correct forecasts whenever higher waves have occurred. Hence, all wave height forecasts with errors less than (4 feet, 6 feet) are accurate forecasts when the observed wave height equals or exceeds (10 feet, 20 feet) respectively.</p> <p>These measures use complex skill scores to analyze individual wind speed and wave height components.</p>							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Wind (%)								
Target	71	74	74	75	78	78	79	79
Actual	76	76	78	80	80	81		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Directional: Positive							
Wave Height (%)								
Target	75	75	76	76	81	81	82	82
Actual	78	81	84	84	85	84		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Directional: Positive							
Actions to be taken	Implementation of increased training opportunities detailed on Performance Website.							
Notes	NWS began reporting this measure in its Congressional Justification beginning in FY 2001. Legacy statistics are available from FY 1994 through FY 2012. New marine verification program began FY 2013. Beginning in FY 2013, Wind and Wave verification extended out to 5 and 7 days respectively, while the legacy program was limited to verifying Day 1.							

Indicator	Aviation Ceiling/Visibility Forecast Accuracy & False Alarm Ratio (%) Instrument Flight Rules (IFR)							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
Description	<p>Visibility and cloud ceiling forecasts are critical for aircraft safety and efficient operations. When visibility or cloud ceilings are low, pilots rely on instruments to navigate instead of visual reconnaissance. The Federal Aviation Administration establishes Instrument Flight Rule (IFR) thresholds—visibility less than three statute miles and/or cloud ceilings at, or below, 1000 feet—for safety. NWS assesses the quality of IFR threshold forecasts in response to these requirements. Fundamental statistical metrics, specifically Probability of Detection (POD) and False Alarm Ratio (FAR), are used to track IFR forecast performance. Probability of Detection (POD), also known as Accuracy, is a ratio that describes the number of times IFR is correctly forecasted compared to the total number of IFR occurrences. FAR is a ratio that describes the number of IFR forecasts when IFR was not observed compared to the total number of forecast attempts. These two metrics must always be used in conjunction, as one can be improved at the expense of the other. Greater accuracy and a minimized FAR result in safer flights and fewer flight delays; conversely, poorer accuracy and an increased FAR result in a greater incidence of unnecessary flight delays.</p>							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Accuracy (%)								
Target	65	65	65	65	65	65	65	65
Actual	61	62	62	65	63	63		
Status	Not Met	Not Met	Met	Met	Met	Met		
Trend	Stable							
False Alarm Ratio (%)								
Target	40	38	38	38	38	38	38	38
Actual	39	37	36	34	38	37		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Met	Exceeded		
Trend	Positive							
Actions to be taken / Future Plans	<p>Operational emphasis focuses on detecting IFR conditions and making accurate and precise forecasts. Results of improvements to TAF products at 30 busiest airports indicate focused attention on the TAF improves the accuracy. Additional training and coordination on impact of the TAF on air traffic will continue to highlight the importance of providing timely and accurate forecasts. Other efforts are centering on refining performance measures, such as lead time to occurrence and cessation, impacts to operations measures, and other quantitative methods to reveal ways to improve forecast skill and technique. Significant improvement in forecast skill is not achievable without infusion of new science and technology.</p>							
Adjustments to targets	No changes were made to this indicator since the previous Congressional submission.							
Notes	NWS began reporting accuracy and false alarm rates for aviation forecast metrics for ceiling and visibility in its Congressional Justification beginning in FY 2001. Data for aviation performance measure with IFR thresholds—visibility less than three statute miles and/or cloud ceilings at, or below, 1000 feet are available since 2005.							

Indicator	Geomagnetic Storm Forecast Accuracy (%)							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
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 a percentage that reflects the amount of time that the SWPC geomagnetic storm forecast is correct over a 24-hour period. The 24 hour geomagnetic storm forecast is considered accurate if a G1 or greater storm event was correctly predicted. This calculation also includes geomagnetic storms which were not forecast. This measure is verified based on ground-based magnetometer observations. This measure is averaged over the 60 most recent geomagnetic storms to maintain statistical significance.</p>							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target			51	53	53	40	56	57
Actual			40	57	68	65		
Status			Not Met	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Actions to be taken / Future Plans	<p>Methods to improve performance for FY17-20:</p> <ul style="list-style-type: none"> <li>- WSA-Enlil Solar Wind Model Enhancements;</li> <li>- Forecaster Training and Improved Model Interpretation and Application;</li> <li>- WSA-Enlil Solar Wind Model Continuing Validation and Improvement;</li> <li>- Implementation of ensemble modeling techniques;</li> <li>- Interpretation and Application of NASA Solar Terrestrial Relations Observatory (STEREO) Observations.</li> <li>- Note STEREO has a finite mission lifetime due to nature of its orbit and one of the two STEREO spacecraft is potentially lost and no longer providing observations.</li> </ul>							
Adjustments to targets	<p>The FY17 target was established in FY14 when NOAA was failing to meet performance goals. Since then, the performance of this measure has recovered and new goals for FY18 and beyond have been set to better reflect the longer-term performance of this measure. This measure has shown strong variability over time. Some of that variability can be explained by the variability of geomagnetic storm intensity and frequency over both the solar cycle and between solar cycles. Big storms, of which the current solar cycle has been largely devoid of, can be more obvious and easier to forecast.</p>							
Notes	<p>NWS began reporting this measure in its Congressional Justification beginning in FY 2013. In FY 2013, this measure was the average over 30 storms and represented the percentage of days that a geomagnetic storm event at Earth was correctly forecast by the Space Weather Prediction Center (SWPC). These data are available from 2009 to present.</p>							

Indicator	Customer Satisfaction Index (CSI)							
Category	Key							
Description	<p>Weather information users are surveyed continuously by means of a web-based, pop-up survey on NWS web pages throughout the Nation. A sample size of approximately 6,000 responses is collected quarterly for a maximum of 24,000 annual responses.</p> <p>The Customer Satisfaction Index (CSI) score is calculated as a weighted average of three survey questions that measure different facets of satisfaction with NWS services. American Customer Satisfaction Index (ACSI) researchers use proprietary software technology to estimate the weighting. The three questions include the overall satisfaction of NWS services, expectations of service, and a comparison to an ideal organization. Indexes are reported on a 0 to 100 scale.</p> <p>The ACSI was started in the United States in 1994 by researchers at the University of Michigan, in conjunction with the American Society for Quality in Milwaukee, Wisconsin, and CFI Group in Ann Arbor, Michigan. The Index was developed to provide information on satisfaction with the quality of products and services available to consumers. The survey data serve as inputs to an econometric model that benchmarks customer satisfaction with more than 300 companies in 43 industries and 10 economic sectors, as well as various services of federal and local government agencies.</p>							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Actual	84	82	84	80	82	82		
Notes	Scores in the 80s are considered excellent by CFI Group. The NWS exceeded those scores. Additionally, scores are based on public opinion and calculated at and/or near the end of the calendar year.							

Indicator	Number of communities that utilize Digital Coast							
Category	Supporting (Strategic Plan)							
Type	Output							
Description	<p>Digital Coast is a web-platform providing coastal geospatial information. This measure, obtained via web statistics, provides a level of depth beyond traditional measures, such as number of visits or page views, which allows the effort to assess where its users are coming from. Given that the Digital Coast effort is national in scope, yet local in its approach to providing geospatial information to address coastal issues, such as coastal resilience, this measure provides valuable information that is used to direct outreach efforts and content development. 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.</p> <p>In 2015, new green infrastructure tools were added to help coastal communities consider natural and nature-based systems to absorb and filter excess water and reduce flooding. These tools include an interactive interface, a guide for spatial analysts and a cost-benefit algorithm to determine solutions providing the best value for financial investment.</p>							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	2,807	3,275	4,750	5,375	5,500	5,500	5,500	5,000
Actual	4,663	5,221	5,249	6,330	5,043	7,040		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Met	Exceeded		



Status		Met	Met	Met	Met	Met		
Trend	Stable							
Notes	Data goes back to FY2009.							

Indicator	<b>NEW: Percent of top 175 U.S. seaports with access to Physical Oceanographic Real-Time Systems (PORTS®), which improves the safety and efficiency of marine transportation</b>							
Category	Supporting (Strategic Plan)							
Type	Outcome							
Description	<p>According to the U.S. Army Corps of Engineers, who tracks the number of vessel transits and cargo tonnage that pass through the 300 or so ports in the U.S. on an annual basis, over 95 percent of all annual U.S. cargo tonnage passes through the nation's top 175 seaports. This measure is the percentage of the top 175 U.S. seaports that benefit from NOAA's PORTS® a real-time integrated system of sensors working together to provide mariners with accurate and reliable information about environmental conditions in the seaport. Economic studies show PORTS® can provide a 50% or more reduction in accidents and over \$50M in economic benefits.</p> <p>NOAA's Center for Operational Oceanographic Products and Services (CO-OPS), collects and disseminates real-time information on tides, water levels, currents, and other coastal observations that help improve the safety and efficiency of marine transportation, as well as providing important information to the coastal management community.</p> <p>Achieving this Strategic Goal is dependent upon partner coordination and availability of partner funding.</p>							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target				35%	35%	35%	38%	39%
Actual				35%	35%	37%		
Status				Met	Met	Exceeded		
Trend	Stable							

Indicator	<b>Hydrographic data acquired to support safe and efficient maritime commerce and for community resilience to storms and other coastal hazards (in square nautical miles)</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Output							

Description	<p>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 boaters, the commercial fishing industry, port authorities, coastal zone managers, marine spatial and emergency planners. Targets for this measure are set by formula, based on available contract funds and expected days at sea. However, actual area collected will vary depending on the location and characteristics (depth, bottom complexity) of the areas surveyed.</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"> <li>• 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.</li> <li>• 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 (<a href="http://www.nauticalcharts.noaa.gov/hsd/docs/NHSP_2011.pdf">http://www.nauticalcharts.noaa.gov/hsd/docs/NHSP_2011.pdf</a>), but is working to add them.</li> </ul>							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	2,200	3,000	2,671	2,556	2,509	2,287	2,279	2,279
w/supplemental		120	258					
Total Target	2,200	3,120	2,929	2,556	2,509	2,287	2,279	2,279
Actual (Original)	2,947	2,285	2,207	3,135	3,296	2,480		
Impact of Recovery								
Funds								
Total Actual (Adjustments reflecting Original and Recovery Act Funds)	2,947	2,285	2,207	3,135	3,296	2,480		
Status	Exceeded	Not Met	Not Met	Exceeded	Exceeded	Exceeded		
Trend	Variable							
Notes	This performance measure is shared with OMAO. Data goes back to FY2003.							
Information Gaps	None							

Indicator	<b>Cumulative percent of U.S. and territories surveyed to improve vertical reference system for modernized height/elevation data</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Outcome							
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. In FY15, LIDAR data was collected to update charted depths for St. Croix, US Virgin Islands, along a shoreline last charted 35 years ago.</p> <p>"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</p> <p>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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	20%	28%	36%	45%	53%	62%	70%	79%
Actual	23.9%	31%	36%	45%	55%	64%		
Status	Exceeded	Exceeded	Met	Met	Exceeded	Exceeded		
Trend	Positive							
Notes	Data goes back to FY2010.							

Indicator	<b>Fish Stock Sustainability Index (FSSI) (cumulative)</b>							
Category	Key (Strategic Plan)							
Description	<p>NMFS measures the performance of U.S. Federal fisheries through the Fish Stock Sustainability Index (FSSI). The FSSI is an index of sustainability for domestic commercial and recreational fish stocks in the U.S. The index is comprised of 199 stocks, representing 85% of the total catch of all stocks. These 199 stocks were selected for their importance to commercial and recreational fisheries, including considerations of economic, ecological and social value. The index is scored on a 1,000-point scale, with each stock given a score between 0 and 4 (0=status unknown; 4=meets all sustainable fishing criteria). The FSSI increases when NMFS determines that the status of a stock has improved: it is either no longer subject to overfishing, is no longer overfished, its biomass has increased to at least 80 percent of target, or it is rebuilt. These are all factors that contribute to sustainably managed fisheries. For more information: <a href="http://www.nmfs.noaa.gov/sfa/fisheries_eco/status_of_fisheries/fssi.html">http://www.nmfs.noaa.gov/sfa/fisheries_eco/status_of_fisheries/fssi.html</a></p>							
Type	Outcome							

	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target (FSSI 1)*	603.5	617.0	NA					
Actual (FSSI 1)*	606.0	618.5	640.5					
Target (FSSI 2)*			756 (602/796)	749 (596.5/796)	758 (603.5/796)	754 (600.5/796)	763 (607.5/796)	769.5 (612.5/796)
Actual (FSSI 2)*	689 (548.5/796)	719 (572.5/796)	746 (594/796)	761.5 (606.5/796)	754 (600.5/796)	756.5 (602.5/796)		
Status	Exceeded	Exceeded	Met	Exceeded	Not Met	Met		
Trend	Positive							
Notes	<p>* In FY 2014, NOAA revised the number and make-up of stocks in the index, as well as the score calculation methodology, in order to allow more flexibility regarding the number of stocks in the index. Although these changes resulted in a general increase in scores (since the maximum score increased from 920 to 1,000), the trend in scores remains the same. However, scores under FSSI 1 are not directly comparable to scores under FSSI 2.</p> <p>The numbers in parentheses are the raw scores used to derive the index score. The numerator is the total of all individual stock scores (each is between 0 and 4). The denominator is the maximum possible raw score (199 x 4 = 796). These numbers are not provided for FSSI 1 because those scores are simply the total of the individual stock scores.</p>							

Indicator	Percent of Stocks For Which Catch is below the Specified Annual Catch Limit (ACL) (cumulative)							
Category	Supporting							
Type	Intermediate Outcome							
Description	This measure tracks the percentage of fish stocks that are below their annual catch limit (ACL) in a given year. In 2007, Congress enacted a requirement to use ACLs to end and prevent overfishing. The use of ACLs has been successful in ending and preventing overfishing, as stock assessments have shown the number of stocks subject to overfishing continuing to decline. Performance is measured by comparing the final annual catch estimate to the ACL for each stock that has an ACL. If the final annual catch estimate for the stock is less than the ACL, NOAA will report that the stock did not exceed its ACL. For more information: <a href="http://www.nmfs.noaa.gov/sfa/management/acls_ams/index.html">http://www.nmfs.noaa.gov/sfa/management/acls_ams/index.html</a>							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target				79.5%	81%	82%	83%	84%
Actual			91%	89.7%	90.7%	91.9%		
Status				Exceeded	Exceeded	Exceeded		
Trend	Stable							

Indicator	Percentage of FSSI Stocks with Adequate Population Assessments and Forecasts (cumulative)							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
	(FSSI), actual data for years prior to FY 2014 are not comparable to data for FY 2014 and beyond due to the recent revisions to FSSI (see above).							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	57.4%* (132/230)	57.0%* (131/230)	64.8% (129/199)	67.3% (134/199)	61.3% (122/199)	63.8% (127/199)	64.8% (129/199)	64.3% (128/199)
Actual	56.1%* (129/230)	58.3%* (134/230)	63.3% (126/199)	64.3% (128/199)	62.3% (124/199)	63.3% (126/199)		
Status	Met	Exceeded	Met	Met	Exceeded	Met		
Trend	Stable							
Notes	<p>Since this measure covers the same fish stocks as the FSSI, actual data for years prior to FY 2014 are not comparable to data for FY 2014 and beyond. Data for these years was calculated with a different set of fish stocks. Denominators have been provided for reference.</p> <p>Actuals for FY 14-15 were updated following the discovery of reporting errors in the data.</p>							

Indicator	Percentage of Protected Species Stocks with Adequate Population Assessments and Forecasts (cumulative)							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
Description	<p>This measure tracks the percentage of protected species stocks for which adequate assessments are available. Assessments are vital to determine the scientific basis for supporting and evaluating the impact of management actions. To be deemed adequate, assessments must be based on recent quantitative or qualitative analysis sufficient to determine current stock status based on a variety of data category levels (e.g., life history, threats, stock structure, assessment quality, assessment frequency, and abundance), and conservation status. Stock status projections are highly dependent on survey frequencies, assessment timeframes, and fiscal constraints. 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 continues to increase as new species are listed and as new stocks of listed species and marine mammals are identified—the latter typically indicates increased knowledge about population stock structure. Denominators are shown for reference.</p>							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	19.5% (78/400)	22.0% (88/400)	18.9% (78/412)	21.6% (89/412)	20.7% (89/429)	19.9% (85/428)	21.7% (93/429)	24.9% (107/429)
Actual	19.3% (77/400)	19.0% (76/400)	15.0% (62/412)	18.7% (77/412)	19.2% (82/428)	19.3% (83/429)		
Status	Met	Not Met	Not Met	Not Met	Not Met	Met		
Trend	Increasing							

Indicator	<b>Number of Protected Species Designated as Threatened, Endangered or Depleted with Stable or Increasing Population Levels (cumulative)</b>							
Category	Key							
Type	Outcome							
Description	This measure tracks progress toward the recovery of endangered, threatened, or depleted protected species under NMFS' jurisdiction. These species are listed as threatened or endangered under the Endangered Species Act (ESA) or as depleted under the Marine Mammal Protection Act (MMPA). Recovery of threatened, endangered, or depleted species can take decades. It may not be possible to recover or de-list a species in the near term, but progress can be made to stabilize or increase the species population. For some species, this means trying to stop steep population declines, while for others it means trying to increase their numbers.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	28	27	28 (84)	34 (74)	31 (90)	30 (90)	30 (92)	30 (92)
Actual	29	30	37 (84)	31 (73)	31 (89)	30 (90)		
Status	Exceeded	Exceeded	Exceeded	Met	Met	Met		
Trend	Stable							
Adjustments to targets	The total number of species was reduced from 95 to 90 due to information showing that 5 species live primarily in international waters. In FY 2018 we will begin tracking two newly listed species.							
Notes	The numbers in parentheses denote the total number of species that are listed as threatened, endangered, or depleted. This number increases when new species are listed or when existing listed species are split into separate stocks, and decreases when species are de-listed or when separate stocks of a listed species are merged. This number decreased from 90 when the FY 2016 target was set to 89 because on March 11, 2016, the U.S. District Court for the District of Alaska issued a decision vacating NMFS's December 28, 2012, listing of the Arctic ringed seal as threatened. Therefore, at this time, Arctic ringed seals are not listed as a threatened species under the ESA. This number increases from 89 to 95 in FY 2017 because two populations of green turtles have been split into six distinct population segments (DPS), while one globally listed species of humpback whale has been separated into three DPS's for a net increase of six listed species.							
Information Gaps								

Indicator	<b>Number and Percentage of Actions Ongoing or Completed to Recover Endangered and Threatened Species (Cumulative)</b>							
Category	Supporting (Strategic Plan)							
Type	Output							
Description	This measure tracks the progress of ongoing or completed recovery actions included in NMFS approved recovery plans for species listed as threatened or endangered under the Endangered Species Act (ESA). The ESA requires NMFS to prepare							

	recovery plans for each endangered or threatened species. The plans include a list of actions necessary to remove species from the ESA. These recovery actions may include items that can be completed in a year; or other actions, including monitoring, that may take many years to complete or are 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. Denominators are shown as a reference.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target		44.6% (1,875/4,202)	44.4% (1,979/4,457)	46.2% (2,070/4,482)	49.1% (2,229/4,542)	48.7% (2,213/4,545)	48.2% 2,241/4,653	48.8% 2,270/4,653
Actual	44.3% (1,862/4,202)	45.1% (1,897/4,202)	45.2% (2,013/4,457)	48.1% (2,157/4,482)	49.2% (2,233/4,542)	48.0% (2,183/4,545)		
Status		Exceeded	Exceeded	Exceeded	Met	Met		
Trend	Positive							
Adjustments to targets	The revised targets for FY 17-19 target have been adjusted for numerous errors discovered during a transition of all recovery action tracking from the FWS Recovery Online Activity Reporting (ROAR) database to the NMFS Recovery Action Mapping Tool (RAMT). These errors resulted in 63 fewer actions included as Ongoing or Complete. In addition, a duplicate recovery plan was included in the FY 2017 targets with a total of 299 actions targeted to be Ongoing or Completed. Finally, during a quality review of the data, NMFS discovered that many of the thousands of actions appear in multiple plans but are the same action (benefiting multiple species) and so were being counted multiple times. As a result, the denominator in the outyear targets was much too high. The revised targets (including FY 17) reflect rectification of these errors and are comparable to the previous targets. With data tracking consolidated into a single NMFS database, these errors should not recur.							
Notes	The numbers in parentheses are the raw numbers used to derive the percentages. The numerator is the total number of actions targeted or accomplished. The denominator is the total number of actions in all recovery plans during that fiscal year. The denominators illustrate the increasing number of total actions across all recovery plans, resulting mostly from an increasing number of plans. The total number of actions increased from 4,542 in 2016 to 9,575 in 2017 due to a number of new salmon recovery plans that added thousands of new actions to the total that need to be completed.							

Indicator	<b>Number of Habitat Acres Restored (annual)</b>
Category	Supporting (Strategic Plan)
Type	Output
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 are supportive of anadromous species (i.e., species that migrate from the sea to freshwater to spawn). 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. This measure does not include restoration conducted through the Species Recovery Grants. Examples of projects that contribute to this measure include hydrologic reconnection of wetlands, shellfish and coral reef restoration, and dam removal and fish passage.

	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	80,007 (6,007 RC + 74,000 PCSRF)	60,228 (8,228 RC + 52,000 PCSRF)	40,820 (11,820 RC + 29,000 PCSRF)	32,460 (9,460 RC + 23,000 PCSRF)	23,922 (8,522 RC + 15,400 PCSRF)	11,050 (4,153 RC + 6,760 PCSRF)	17,280 (4,400 RC + 12,880 PCSRF)	22,300 (8,000 RC + 14,300 PCSRF)
Actual	58,120 (8,242 + 49,878 PCSRF)	46,656 (9,005 RC + 37,712 PCSRF – 61 joint)	31,311 (9,354 RC + 22,007 PCSRF – 50 joint)	22,975 (10,363 RC + 12,688 PCSRF – 76 joint)	21,232 (8,844 RC + 12,388 PCSRF)	10,207 (4,153 RC + 6,054 PCSRF)		
Status	Not Met	Not Met	Not Met	Not Met	Not Met	Met		
Trend	Negative							
Adjustments to targets	Targets for FY2019 have not been set because retiring this measure is under consideration, pending completion of the DOC FY2018-22 Strategic Plan.							
Notes	Acres reported for this measure are restored under two programs, the NMFS Habitat Program Restoration Center (RC) and the Pacific Coastal Salmon Recovery Fund (PCSRF). The numbers in parentheses report the individual total acres targeted or restored for these programs. In some cases, there were acres restored by both programs together, which have been reported as joint acres in order to eliminate double counting. Prior to FY 2011, PCSRF acres were not comparable to RC acres and so were not reported together.							

Indicator	<b>NEW: Number of natural resource environments managed by the Office of National Marine Sanctuaries in which water, habitat, and living resource quality is stable or improving</b>							
Category	Supporting (Strategic Plan)							
Type	Outcome							
Description	Each natural resource protection site within the National Marine Sanctuary System periodically assesses the condition of those natural resources. The Office of National Marine Sanctuaries (ONMS) works with independent experts to identify and document resource trends in Condition Reports produced during the management plan review cycle. This measure reports the number of environments, defined for each site in its respective Condition Report (e.g., nearshore, offshore, entire site), rated as having “stable” or “improving” water, habitat and living resource quality in their most current evaluation. An environment is considered to be maintaining or improving water, habitat and living resource quality if trends for no more than 20% of Condition Report questions have been rated as declining.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target						9	9	10
Actual				9	9	9		
Status						Met		
Trend	Stable							

**FY 2019/2017 Annual Performance Plan and Report**  
(National Oceanic and Atmospheric Administration – NOAA)

**OTHER INDICATORS**

Indicator	Percentage of ingested environmental data safely archived to ensure consistent long-term stewardship and usability of the data (per National Archives and Records Administration (NARA) standards)							
Description	Ensures that NOAA safely archives critical data and information according to NARA standards.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	98%	98%	98%	98%	98%	98%	98%	98%
Actual	99%	99%	99%	100%	98%	98%		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Met	Met		
Notes	Consistent long-term stewardship of NOAA's geophysical, oceans, coastal, weather and climate data							
Information Gaps								

Indicator	Number of StormReady Communities
Description	<p>Americans live in the most severe weather-prone country on Earth. StormReady and TsunamiReady support a Weather-Ready Nation by preparing communities for the occurrence of high impact environmental events. On an annual basis NWS target 100 new StormReady Communities and 10 new TsunamiReady communities pending funding availability.</p> <p>StormReady supports NWS' disaster risk reduction strategy and is offered to provide guidance and incentive to officials who want to improve their hazardous weather and flood operations. A long-term goal for the program is to make every county or county-equivalent in the United States StormReady. The 2010 U.S. Census identifies 3,234 county or county-equivalents in the United States. We are 34 percent of the way there with 1,092 county or county-equivalents currently recognized as StormReady.</p> <p>A StormReady Community is defined as a local government* entity or facility** that has the authority and ability to adopt the StormReady recognition guidelines for the residents and visitors within its jurisdiction.</p> <p>*The term "local government" means –  (A) A county, parish, borough, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a nonprofit corporation under State law), regional or interstate government entity, or agency or instrumentality of a local government;  (B) An Indian tribe or authorized tribal organization, or Alaska Native village or organization; and  a rural community, unincorporated town or village, or other public entity, which has the ability to achieve StormReady</p>

	recognition. **The term “facility” for a StormReady community exclusively means - universities, military installations, state/national parks, power plants/utilities, transportation centers (e.g., airports), theme parks/entertainment complex, and large event venues (e.g. stadiums).							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Actual (cumulative):	1,909	2,090	2,242	2,409	2,597	2,750		
Notes								
Information Gaps	None							

Indicator	Number of TsunamiReady Communities							
Description	<p>A TsunamiReady County or Community or Tribe is defined as a coastal local government entity* that has the authority and ability to adopt the TsunamiReady recognition guidelines for the residents and visitors within its jurisdiction.</p> <p>*The term “local government” here means –</p> <p>(A) a county, parish (LA), borough (AK), or municipality (PR)</p> <p>(B) an incorporated municipality, city, town, or township</p> <p>(C) an Indian tribe or authorized tribal organization, or Alaska Native village or organization</p> <p>(D) a military installation</p> <p><i>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.</i></p>							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Actual (cumulative)	122	155	177	189	199	249		
Notes								
Information Gaps	None							

**NON-RECURRING INDICATORS**

The following indicators are discontinued.

Indicator	Annual number of Coastal, Marine, and Great Lakes Ecological Characterizations that Meet Management Needs							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
Description	<p>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.</p> <p>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.</p>							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	51	48	48	48	48	48	Retired	Retired
Actual	51	48	48	48	48	100		
Status	Met	Met	Met	Met	Met	Exceeded		
Trend	Stable							
Actions to be taken / Future Plans	NOAA will retire this measure in FY18. Due to the wide range of types of characterizations performed by different NOAA programs, combining these various activities into a single measure has not proved to add value for management purposes.							

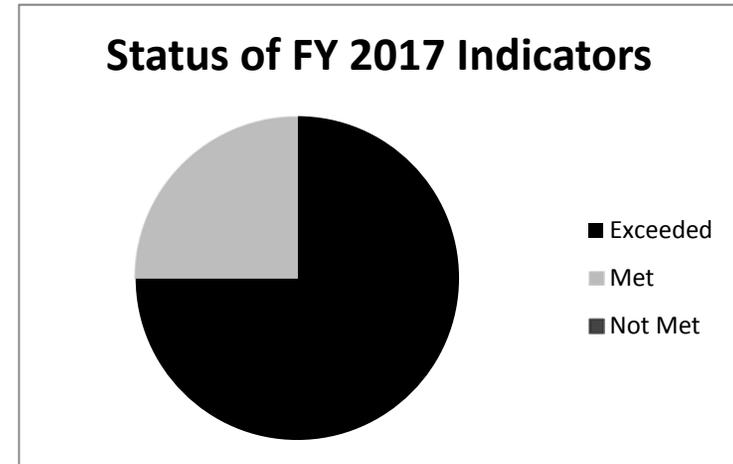
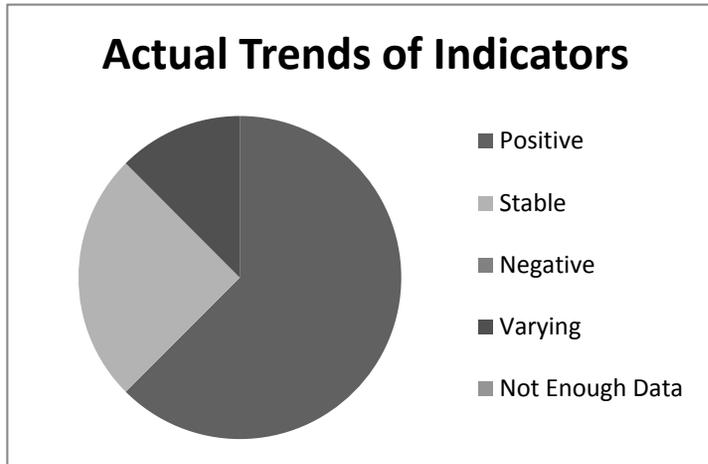
Indicator	<b>Cumulative number of coastal, marine and Great Lakes issue-based forecasting capabilities developed and used for management</b>							
Category	Supporting (Strategic Plan)							
Type	Output							
Description	Geographically specific forecasts will allow resource managers to: make decisions 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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	55	63	69	73	92	113	Retired	Retired
Actual	58	63	69	73	91	108		
Status	Exceeded	Met	Met	Met	Met	Met		
Trend	Positive							
Actions to be taken / Future Plans	NOAA is replacing this measure with “Percent of all coastal communities susceptible to harmful algal blooms verifying use of accurate HAB forecasts.”							
Adjustments to targets	FY2017 target revised based on reassessment of capacity of NOS to develop and support additional forecasts.							
Notes	Actual. Data goes back to FY2006.							

Indicator	<b>Percentage of Tools, Technologies, and Information Services that are used by NOAA Partners/Customers to Improve Ecosystem-based Management</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
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). In 2015, NOS developed the <a href="#">Lake Level Viewer</a> to portray the impacts of lake level change on coastal areas and resources, enabling NOAA partners and customers to better address sustainability, planning for infrastructure, conserving habitat, and zoning restrictions.</p> <p>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. The number of available tools changes annually via development or retirement, therefore the percentage for a given year doesn't automatically suggest a 100% target.</p> <p>Benefits of better management of the Nation's coastal, marine, and Great Lakes resources accrue to all citizens through sustainable ecosystems that provide jobs, products and services that are unique to coastal and ocean areas.</p>							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	88%	89%	90%	87%	91%	91%	Retired	Retired
Actual	88%	91%	100%	89%	100%	94%		
Status	Met	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Stable							
Actions to be taken / Future Plans	NOAA will retire this measure in FY18. In implementation, this measure has not proved to add value for management.							
Notes	Actual. Data goes back to FY2007.							

**FY 2019 ANNUAL PERFORMANCE PLAN / FY 2017 ANNUAL PERFORMANCE REPORT**

**National Telecommunications and Information Administration**

**Performance Indicator Information**



**Summary of Indicator Performance**

- Of the eight indicators, six actuals (75%) exceeded their targets and two actuals (25%) met their targets;
- There were eight indicators that had trends (more than three years of data); and
- Of those indicators with trends, two (25%) had positive trends, five (62.5%) had stable trends, and one (12.5%) have variable trend.

**Summary of FY 2017 Indicator Performance**

Indicator Name	Target	Actual	Status	Trend
Percentage of NTIA positions substantially adopted or successful at international meetings	75%	95%	Exceeded	Stable
Identify up to 500 MHz of spectrum to support wireless broadband	66%	66%	Met	Stable
In coordination with DOC operating units, conduct outreach activities with government, industry, and multistakeholders groups to identify and address privacy and global free flow of information issues	6 public forums and proceedings	7 multistakeholder meetings	Exceeded	Stable



Actual	Achieved >80% of NTIA positions substantially adopted/successful at international meetings	Achieved >80% of NTIA positions substantially adopted/successful at international meetings	Achieved 95% of NTIA positions substantially adopted/successful at international meetings	Achieved 95% of NTIA positions substantially adopted/successful at international meetings	Achieved 95% of NTIA positions substantially adopted/successful at international meetings	Achieved 95% of NTIA positions substantially adopted/successful at international meetings		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Stable							
Adjustments to targets	Due to FY19 budget cuts and staff reduction, NTIA will limit participation in critical international treaty-making conferences, bilateral and multilateral meetings, multi-stakeholder meetings, and regional communications conferences. Lack of participation and engagement by NTIA decreases the performance on adoption of U.S. policies and creates a substantial risk that some countries would push for expanded governmental and intergovernmental powers regulating cyberspace and the Internet.							

<b>Indicator</b>	<b>In coordination with DOC operating units, conduct outreach activities with government, industry, and multistakeholder groups to identify and address privacy and global free flow of information issues</b>							
Category	Supporting (Non-Strategic Plan)							
Type	Intermediate Outcome							
Description	Partner with stakeholders from industry, consumer groups, government, academia, and technical community to work towards 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 rather will ensure the process is open, transparent, and consensus-based							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target			6 public forums and proceedings	4 public forums and proceedings				
Actual			9 multistakeholder meetings	10 multistakeholder meetings	7 multistakeholder meetings	7 multistakeholder meetings		
Status			Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Stable							
Adjustments to targets	Due to FY19 budget cuts and staff decreases, NTIA will substantially de-scope the size and number of NTIA-convened cybersecurity and Internet multistakeholder processes, severely limiting the trusted venue for developing cross-sector, voluntary cybersecurity, privacy and emerging technology policies amongst government, the private sector, the technical community, civil society, and academics.							

Indicator	Communities to which NTIA provides technical assistance							
Category	Key							
Type	Output							
Description	Provide broadband technical assistance to unserved and underserved communities to attract new business investments and spur economic growth. Various communities that were unable to receive NTIA assistance during the BTOP grant period can now 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 will assist.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target				175 communities	250 communities	250 communities	145 communities	145 communities
Actual				337 communities	449 communities	400 communities		
Status				Exceeded	Exceeded	Exceeded		
Trend	Positive							
Actions to be taken / Future Plans	Collection of data							
Adjustments to targets	The budget cuts will reduce the number of communities being served by broadband technical assistance.							
Notes	Communities served are not cumulative							

Indicator	Number of times research publication are downloaded annually							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
Description	Develop telecommunications engineering research publications, software programs, and data sets that 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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target			7,000 downloads	7,300 downloads	7,500 downloads	8,000 downloads	7,000 downloads	7,000 downloads
Actual			7,707 downloads	8,960 downloads	8,748 downloads	8,089 downloads		
Status			Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Positive							
Adjustments to targets	Advanced research technology transferred by publications is giving way to technology transferred through software programs and data set releases. This is a new phenomenon and no trend information is available, but the audience for the software and data sets is known to be smaller than the audience for publications. Resource constraints are also reducing the average number of new research publications available each year.							

Notes	Metric is restated to include downloads of software programs and data sets. Software and data sets represented 23% of downloads in FY 2017 versus 13% of downloads in FY 2014. As the number of print publications decreases and the number of published software programs and data sets increase, the metric will also transition to total downloads.
Information Gaps	None.

Indicator	Successfully completed deliverables under reimbursable agreements (on time, on budget, and accepted)							
Category	Supporting (Non-Strategic Plan)							
Type	Process							
Description	Perform research on cost-reimbursable basis for other federal agencies under 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 three success parameters – on time, on budget, and accepted – for each deliverable under all agreements.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target			95% of customer satisfaction surveys meet expectations on three parameters	95% of customer satisfaction surveys meet expectations on three parameters	95% of customer satisfaction surveys meet expectations on three parameters	95% of customer satisfaction surveys meet expectations on three parameters	95% of customer satisfaction surveys meet expectations on three parameters	95% of customer satisfaction surveys meet expectations on three parameters
Actual			Achieved 98% customer satisfaction on three parameters	Achieved 99% customer satisfaction on three parameters	Achieved 99% customer satisfaction on three parameters	Achieved 99% customer satisfaction on three parameters		
Status			Exceeded	Exceeded	Exceeded	Exceeded		
Trend	Stable							

**Non Recurring Indicators**

Indicator	Identify up to 500 MHz of spectrum to support wireless broadband							
Category	Key							
Type	Output							
Description	NTIA is undertaking tasks to make available 500 MHz (in bandwidth) of spectrum to support wireless broadband service by 2020. NTIA, with input from federal agencies and the Federal Communications Commission (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 towards 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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	Meet 66% of annual milestones regarding the identification of 500 MHz for wireless broadband	Meet 66% of annual milestones regarding the identification of 500 MHz for wireless broadband	Meet 66% of annual milestones regarding the identification of 500 MHz for wireless broadband	Meet 66% of annual milestones regarding the identification of 500 MHz for wireless broadband	Meet 66% of annual milestones regarding the identification of 500 MHz for wireless broadband	Meet 66% of annual milestones regarding the identification of 500 MHz for wireless broadband	Retire	Retire
Actual	Achieved 100% of annual milestones	Achieved 100% of annual milestones	Achieved 100% of annual milestones	Achieved 80% of annual milestones	Achieved 97% of annual milestones	Achieved 66% of annual milestones		
Status	Exceeded	Exceeded	Exceeded	Exceeded	Exceeded	Met		
Trend	Stable							
Explanation (if not met in 2017)	Not Applicable							
Actions to be taken / Future Plans	NTIA will continue to pursue the identification of spectrum for repurposing from federal to non-federal or shared use, but will reorient the target to a broader goal.							
Adjustments to targets	Performance against the target was greatly reduced from previous years.							
Notes	NTIA proposes a new indicator that aligns with NTIA's Strategic Initiative for Increased Spectrum Access							
Information Gaps	N/A							
Justification for elimination	NTIA proposes retiring this indicator since it specifically addresses a goal set by the previous administration and does not address the requirements imposed by the Spectrum Pipeline Act (PL 114-74).							

Indicator	Number of government and private test-bed facilities partnering with the Center for Advanced Communications							
Category	Supporting (Non-Strategic Plan)							
Type	Output							
Description	The Center for Advanced Communications (CAC) will become a single point of contact for engaging industry and other government agencies on advanced communications technologies. The CAC will increase its partnerships, in particular, in the area of testing, validation, and conformity assessments.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target				2 partnerships	2 partnerships	5 partnerships	Retire	Retire
Actual				0 partnerships	0 partnerships			
Status				Not Met	Not Met			
Trend	Not enough data							
Explanation (if not met in 2017)	This indicator was predicated on signing an agreement with NIST to develop the Center for Advanced Communications. The agreement was never signed, so the indicator never came to fruition.							
Actions to be taken / Future Plans	Retire this indicator							
Adjustments to targets	None.							
Notes	None.							
Information Gaps	None.							
Justification for elimination	The CAC activity is no longer being pursued by NTIA and NIST.							

Indicator	Miles of broadband networks deployed (Infrastructure Projects)							
Category	Key							
Type	Outcome							
Description	BTOP funded projects provide broadband services in unserved and enhance broadband in underserved areas of the U.S. 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 (CAIs), such as schools, libraries, hospitals, and public safety facilities. This indicator's target is the cumulative total number of miles of network deployed using BTOP funding.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	50,000	100,000	113,000	118,000	116,000	116,000	Retire	Retire
Actual	78,699	111,361	113,555	115,565	117,072	117,072		
Status	Exceeded	Exceeded	Met	Not Met	Exceeded	Exceeded		
Trend	Stable							
Justification for elimination	The grant program is all but closed, with only two grants that remain open. The program no longer measures miles deployed.							

<b>Indicator</b>	<b>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</b>							
Category	Key (Non-Strategic Plan)							
Type	Outcome							
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 a plan for the construction, operation, maintenance, and improvement of the nationwide public safety broadband network, upon completion of the 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 the radio access network.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target		Issue RFP	Issue RFPs	RFP Development and Consultation with Regional, State, Tribal, and Local Jurisdictions	Issue RFP	Complete RFP Process	Retire	Retire
Actual		Issuance of 11 Requests for Information (RFIs)	Consultation with State, Tribal, and Local jurisdictions initiated. Two additional RFIs released	Completed consultation with 50 of the 56 states and territories	Issued RFP	Completed RFP Process; Awarded network partner contract.		
Status		Not Met	Not Met	Met	Met	Met		
Trend	Stable							
Justification for elimination	The network partner contract has been awarded. New indicator proposed to track progress.							

**Proposed NEW Indicators**

Indicator	Create a pipeline of spectrum for mission-critical government services and commercial providers							
Category	Key							
Type	Intermediate Outcome							
Description	Create and institutionalize enduring processes that foster full, efficient, and effective use of radio spectrum and result in a pipeline that provides sufficient spectrum access opportunities to meet the increasing needs of the Federal Government, State and Local entities providing mission critical services, as well as commercial wireless services. The required ongoing analyses combined with various possible band-repurposing options 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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target							Meet 66% of annual milestones	Meet 66% of annual milestones
Actual								
Status								
Trend	New indicator – not enough data.							
Explanation (if not met in 2017)	Not applicable, since it wasn't a 2017 target							
Actions to be taken / Future Plans	NTIA will continue to conduct spectrum assessments in order to support informed and timely spectrum sharing decisions, as well as produce band studies in order to identify spectrum for repurposing from federal to non-federal or shared use.							
Adjustments to targets	Not applicable, since this is a new indicator							
Notes	This revised indicator aligns with NTIA's Strategic for Increased Spectrum Access, as well as the draft new DOC Strategic Plan (Strategy 2.3a).							
Information Gaps	Not applicable							
Reason for New Indicator	To broaden the indicator measure, to update text to remove specific reference to goal of previous administration, and to incorporate the requirements imposed by the Spectrum Pipeline Act (PL 114-74).							
Indicator(s) being replaced	Spectrum identified for commercial broadband use (Previous OSM 500 MHz Goal)							

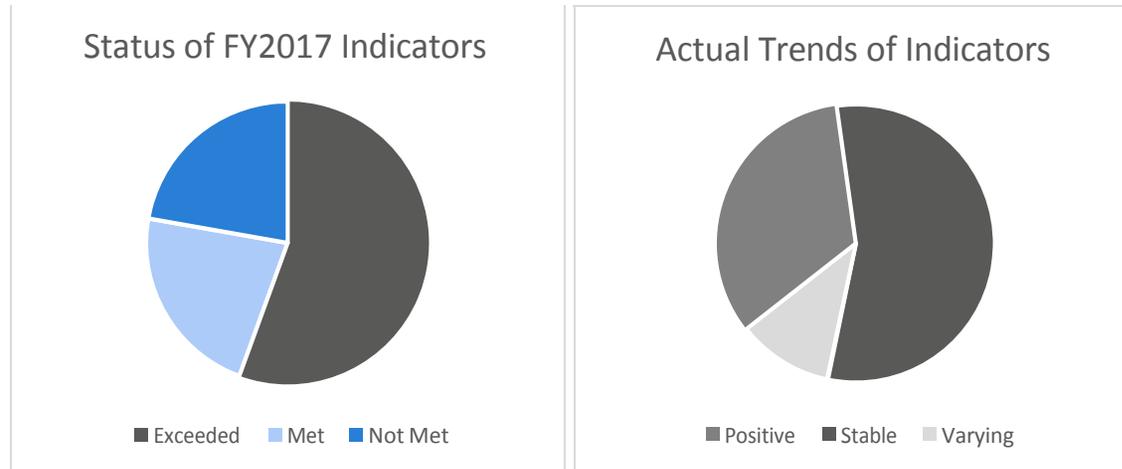
Indicator	Deploy, operate, and maintain a nationwide public safety broadband network							
Category	Supporting (Non-Strategic Plan)							
Type	Intermediate Outcome							
Description	Deploy, operate, and maintain a nationwide public safety broadband network. With its selection of a network partner in 2017, FirstNet has begun its initial five-year period of technical implementation and providing services to public safety first responders.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target							Stagger deployment of FirstNet core network and nationwide functions. Initiate Band 14 RAN build-out for Opt-In states	Target public safety device connections and Band 14 coverage in Opt-In states
Actual								
Status								
Trend	New indicator – not enough data.							
Explanation (if not met in 2017)	Not Applicable. There wasn't a 2017 target							
Actions to be taken / Future Plans	Measurement of network adoption by public safety users against targets within NPSBN contract							
Adjustments to targets	Not applicable since this is a new indicator							
Reason for New Indicator	Represents next phase in the FirstNet program							
Indicator(s) being replaced	This indicator is replacing the previous indicator of the Request for Proposal (RFP) and contract award, which have been met.							

## U.S. PATENT AND TRADEMARK OFFICE

### FY 2019 ANNUAL PERFORMANCE PLAN / FY 2017 ANNUAL PERFORMANCE REPORT

#### Detailed Indicator Plans and Performance

#### Performance Indicator Information



#### Summary of Performance

- A total of 9 indicators; 5 (55.6%) were exceeded, 2 (22.2%) were met, and 2 (22.2%) were not met
- A total of 9 indicators had trends (more than three years of data); and,
- Of those 9 indicators with trends, 1 (11.1%) was varying, 3 (33.3%) were positive, and 5 (55.6%) were stable.

**Summary of FY 2017 Indicator Performance**

Indicator	Target	Actual	Status	Trend
Number of people, including foreign government officials and U.S. stakeholders, trained on best practices to protect and enforce intellectual property	5,000	4,134	Not Met	Varying
Patent Average First Action Pendency (Months)	14.8	16.3	Not Met	Positive
Patent Average Total Pendency (Months)	24.8	24.2	Met	Positive
Trademark Average First Action Pendency (Months)	2.5-3.5	2.7	Met	Stable
Trademark Average Total Pendency (Months)	12.0	9.5	Exceeded	Stable
Trademark First Action Compliance Rate (Percent)	95.5	97.3	Exceeded	Stable
Trademark Final Compliance Rate (Percent)	97.0	98.3	Exceeded	Stable
Trademark Exceptional Office Action (Percent)	40.0	45.0	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: <ol style="list-style-type: none"> <li>1. Institutional improvements of IP office administration for advancing IPR</li> <li>2. Institutional improvements of IP enforcement entities</li> <li>3. Improvements in IP laws and regulations</li> <li>4. Establishment of government-to-government cooperative mechanisms</li> </ol>	75.0	100.0	Exceeded	Stable

**Current / Recurring Indicators**

Indicator	<b>NUMBER OF PEOPLE, INCLUDING FOREIGN GOVERNMENT OFFICIALS AND U.S. STAKEHOLDERS, TRAINED ON BEST PRACTICES TO PROTECT AND ENFORCE INTELLECTUAL PROPERTY</b>							
Category	Key							
Type	Output							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target			4,300	6,300	5,000	5,000	5,000	5,000
Actual	9,217	7,078	4,960	5,283	4,975	4,134		
Status			Met	Not Met	Not Met	Not 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.							
Explanation (if not met in 2017)	While the USPTO was below its target with respect to the number of foreign officials trained, this was due to a decision to shift its focus toward training more U.S. small- and medium-sized enterprises on how to navigate foreign IP systems.							
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	USPTO had actual information for this indicator from FY 2011 to FY 2013, it did not use this as a GPRA indicator until FY 2014 and thus did not have targets for FY 2011 to FY 2013.							
Information Gaps	None							

Indicator	<b>PATENT AVERAGE FIRST ACTION PENDENCY (MONTHS)</b>							
Category	Key							
Type	Outcome							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	22.6	18.0	17.4	15.7	14.8	14.8	15.4	14.5
Actual	21.9	18.2	18.4	17.3	16.2	16.3		
Status	Exceeded	Not Met	Met	Not Met	Not 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 (if not met in 2017)	The USPTO hired only 144 patent examiners in FY 2017 instead of the planned 600 due to government-wide hiring freeze. This combined with less-than-expected overtime usage prevented the USPTO from making its first action pendency target.
Actions to be taken / Future Plans	Although the FY 2019 Budget projects that overall UPR filings will be flat, serialized filings--which are the largest component--are projected to increase 1.5 percent annually through FY 2023. As a result of these variable filing trends, coupled with a pause in hiring patent examiners in the second half of FY 2017, the USPTO has modified its patent examiner hiring plans to 390 examiner hires a year from FY 2018 through FY 2023, which represents about 50 new hires above the attrition level each year. Although the target has been revised, the USPTO will continue to work toward achieving 10 months first action pendency and 20 months total pendency, as well as reducing the backlog.
Adjustments to targets	The staffing plan brings the patent examining capacity to an optimal level to address the current patent application inventory and the expected number of new patent applications. Changes to planned hiring levels, however, will change projected results. Once the USPTO achieves the optimal pendency levels, the agency will continue to closely monitor inventory and application filing levels to continue calibrating the examination capacity to maintain patent pendency goals while investing in quality.

Indicator	PATENT AVERAGE TOTAL PENDENCY (MONTHS)							
Category	Key							
Type	Outcome							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	34.7	30.1	26.7	26.4	25.4	24.8	25.0	23.8
Actual	32.4	29.1	27.4	26.6	25.3	24.2		
Status	Exceeded	Exceeded	Met	Met	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. However, the trend line from 2000 to 2010 was negative.							
Actions to be taken / Future Plans	Although the FY 2019 Budget projects that overall UPR filings will be flat, serialized filings--which are the largest component--are projected to increase 1.5 percent annually through FY 2023. As a result of these variable filing trends, coupled with a pause in hiring patent examiners in the second half of FY 2017, the USPTO has modified its patent examiner hiring plans to 390 examiner hires a year from FY 2018 through FY 2023, which represents about 50 new hires above the attrition level each year. Although the target has been revised, the USPTO will continue to work toward achieving 10 months first action pendency and 20 months total pendency, as well as reducing the backlog.							

Adjustments to targets	The staffing plan brings the patent examining capacity to an optimal level to address the current patent application inventory and the expected number of new patent applications. Changes to planned hiring levels, however, will change projected results. Once the USPTO achieves the optimal pendency levels, the agency will continue to closely monitor inventory and application filing levels to continue calibrating the examination capacity to maintain patent pendency goals while investing in quality.
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Indicator	PATENT STATUTORY COMPLIANCE METRICS							
Category	Key							
Type	Outcome							
Description	This metric measures the degree to which a patent is correctly issued in compliance with all the requirements of Title 35 as well as the relevant case law at the time of issuance. A statutorily compliant office action includes all applicable rejections and any asserted rejection is correct in that the decision to reject is based on sufficient evidence to support a conclusion of unpatentability.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Statute 35 USC 101 (including utility and eligibility)								
Target					Baseline	93.0 - 98.0%	97.0%	TBD
Actual					97.4%	96.5%		
Status						Met		
Statute 35 USC 102 (prior art compliance)								
Target					Baseline	90.0 – 95.0%	95.0%	TBD
Actual					95.9%	94.4%		
Status						Met		
Statute 35 USC 103 (prior art compliance)								
Target					Baseline	88.0 – 93.0%	93.0%	TBD
Actual					90.4%	92.4%		
Status						Met		
Statute 35 USC 112 (35 USC 112(a),(b) including (a)/(b) rejections related to 35 USC 112(f))								
Target					Baseline	87.0 - 92.0%	93.0%	TBD
Actual					93.7%	92.6%		
Status						Met		
Trend	Not enough data to determine trend.							

Actions to be taken / Future Plans	The FY 2017 Statutory Compliance Targets are ranges to take into account each metric's statistical confidence level. The bounds of each range were set to project the impact of a new review standard that were implemented in FY 2017. Under this new review standard, the USPTO will focus not only on assessing the correctness of the examiner's ultimate decision to allow or reject under a particular statute, but will also evaluate whether the examiner's rationale for supporting their rejection is sufficient. It is anticipated that more instances of non-compliance will be identified since this standard sets more rigorous criteria for compliance on each statutory basis compared to the previous review standard which emphasized assessing the overall correctness of the examiner's decision to allow or reject a claim under a particular statute.
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Indicator	TRADEMARK AVERAGE FIRST ACTION PENDENCY (MONTHS)							
Category	Key							
Type	Outcome							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
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	3.1	3.2	3.1	2.9	3.1	2.7		
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	The Trademark organization is committed to maintaining an average first action pendency of 2.5 to 3.5 months and an average total pendency of 12 months or less. Trademark application filings exhibit a strong correlation with the general state of the economy as measured by the growth of the Gross Domestic Product (GDP) and venture capital. The U.S. economy continues to grow at a slow rate that has proven to be resilient in the face of persistent economic malaise in Europe, the Middle East, and North Africa. The Budget assumes that the economic growth will be sustained, which will boost trademark filings to the projected average annual growth rate between five and eight percent. Given this continued growth in applications, the Trademark organization will need to continue increasing its trademark examining attorney staffing levels to maintain its quality and pendency targets.							

Indicator	TRADEMARK AVERAGE TOTAL PENDENCY (MONTHS)							
Category	Key							
Type	Outcome							
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 inter partes proceedings.							
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	12.0	12.0	12.0	12.0	12.0	12.0	12.0	12.0
Actual	10.2	10.0	9.8	10.1	9.8	9.5		
Status	Exceeded	Exceeded	Exceeded	Exceeded	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	The Trademark organization is committed to maintaining an average first action pendency of 2.5 to 3.5 months and an average total pendency of 12 months or less. Trademark application filings exhibit a strong correlation with the general state of the economy as measured by the growth of the Gross Domestic Product (GDP) and venture capital. The U.S. economy continues to grow at a slow rate that has proven to be resilient in the face of persistent economic malaise in Europe, the Middle East, and North Africa. The Budget assumes that the economic growth will be sustained, which will boost trademark filings to the projected average annual growth rate between five and eight percent. Given this continued growth in applications, the Trademark organization will need to continue increasing its trademark examining attorney staffing levels to maintain its quality and pendency targets.							

Indicator	TRADEMARK FIRST ACTION COMPLIANCE RATE (PERCENT)							
Category	Supporting							
Type	Outcome							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	95.5	95.5	95.5	95.5	95.5	95.5	95.5	95.5
Actual	96.2	96.3	95.8	96.7	97.1	97.3		
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.							



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	The Trademark organization continues its efforts to improve quality in a cost-effective manner. To raise the bar, the Trademark organization has instituted what is known as an Exceptional Office Action emphasizing comprehensive excellence in office actions, which expands upon the existing first and final action standards for correct decision-making. An Exceptional Office Action is one that reflects correct decision-making, includes excellent evidentiary support, and is exceptionally well-written.

<b>Indicator</b>	<b>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:</b>							
	<ol style="list-style-type: none"> <li>1. INSTITUTIONAL IMPROVEMENTS OF IP OFFICE ADMINISTRATION FOR ADVANCING IPR</li> <li>2. INSTITUTIONAL IMPROVEMENTS OF IP ENFORCEMENT ENTITIES</li> <li>3. IMPROVEMENTS IN IP LAWS AND REGULATIONS</li> <li>4. ESTABLISHMENT OF GOVERNMENT-TO-GOVERNMENT COOPERATIVE MECHANISMS</li> </ol>							
Category	Key							
Type	Outcome							
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 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	75.0	75.0	75.0	75.0	75.0	75.0	65.0	65.0
Actual	75.0	100.0	100.0	100.0	100.0	100.0		
Status	Met	Exceeded	Exceeded	Exceeded	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.							
Explanation (if not met in 2017)	NOT APPLICABLE							
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.							

### Resource Requirements Table

<i>(Dollars in thousands)</i>	FY 2017 Actual	FY 2018 President's Budget	FY 2018 Current Plan	FY 2019 PB Submission	FY 2020 Estimate	FY 2021 Estimate	FY 2022 Estimate	FY 2023 Estimate
<b>USPTO GOAL 1: OPTIMIZE PATENT QUALITY AND TIMELINESS</b>								
Amount	2,875,256	2,887,575	3,069,228	3,078,877	3,138,265	3,278,517	3,373,306	3,443,643
Full Time Equivalent (FTE)	11,385	11,517	11,385	11,480	11,537	11,588	11,639	11,694
<b>USPTO GOAL 2: OPTIMIZE TRADEMARK QUALITY AND TIMELINESS</b>								
Amount	281,884	292,887	324,141	323,258	332,245	361,586	383,575	403,422
FTE	1,072	1,123	1,191	1,244	1,331	1,434	1,547	1,664
<b>USPTO GOAL 3: PROVIDE DOMESTIC AND GLOBAL LEADERSHIP TO IMPROVE INTELLECTUAL PROPERTY POLICY, PROTECTION AND ENFORCEMENT WORLDWIDE</b>								
Amount	46,852	63,393	54,132	57,132	57,403	58,806	60,029	61,195
FTE	138	194	159	161	161	161	161	161
Amounts not Supporting Goals <sup>1</sup>	2,000	2,000	2,000	2,000	2,000	2,000	2,000	2,000
USPTO Requirements	3,205,992	3,245,855	3,449,501	3,461,266	3,529,913	3,700,910	3,818,909	3,910,260
FTE	12,596	12,835	12,735	12,885	13,028	13,183	13,346	13,519
Fee Collections	3,078,887	3,321,024	3,430,123	3,416,366	3,551,159	3,713,311	3,983,970	4,008,633
Other Income/Recoveries	39,445	22,257	39,445	39,445	39,445	39,445	39,445	39,445
Funding to(-) / from(+) Operating Reserve	87,659	(97,427)	(20,067)	5,455	(60,690)	(51,846)	(204,505)	(137,818)
<b>TOTAL FUNDING</b>	<b>3,205,992</b>	<b>3,245,855</b>	<b>3,449,501</b>	<b>3,461,266</b>	<b>3,529,913</b>	<b>3,700,910</b>	<b>3,818,909</b>	<b>3,910,261</b>
Operating Reserve: Patents	252,926	384,659	271,070	255,484	290,518	314,988	475,169	550,878
Operating Reserve: Trademarks	120,652	104,880	122,572	132,703	158,359	185,736	230,060	292,171

<sup>1</sup> Amounts transferred to the Department of Commerce Office of the Inspector General

## **APPENDIX A: FY 2019 Evidence Submission (per M-15-11)**

### **Section 1. Agency Strategy to Advance the Use of Evidence in Decision Making**

#### **(a) Current Efforts and Future Plans**

The Department has implemented four strategies during the past two years to increase the use of evidence in decision making: 1) Make more data available and accessible; 2) develop and execute an annual evidence agenda; 3) foster increased cross-bureau collaboration; and 4) leverage regular forums to review evidence. The following key initiatives illustrate the Department's progress in increasing data availability and improving accessibility—NOAA's advancement of its Big Data Project to improve access to terabytes of data per day by partnering with commercial cloud providers; the Census Bureau's collaboration with developers to increase available application programming interfaces (APIs); USPTO's launch of a new Open Data Portal and enhancements to its API catalog; and ITA's Data Services Platform and GitHub site that provide trade data resources and APIs.

By having its Strategic Goal leaders develop annual evidence agendas, the Department encouraged alignment of evidence activities with strategic priorities. The FY 19 portfolio of evidence and learning agenda is aligned to the new strategic goal areas in our draft FY 2018-2022 Strategic Plan. Cross-bureau collaboration continues to progress through best practice sharing via the Department's Performance Excellence Council (PEC) and Strategic Planning Working Group. The Department considered key evidence during the FY 18 Annual Strategic Review. The Commerce IT Review Board (CITRB), the Commerce Working Capital Review Board (CWCRB), HR Stat, and CFO/ASA Stat all involve regular reviews of performance information. Additionally, the Department has piloted the use of enhanced dashboards and data visualization.

Current efforts will continue and expand in the future. Each of the aforementioned big data and API initiatives have plans for further development. Several programs within the Department have procured, or are in the process of procuring, customer relationship management (CRM) software that will profoundly improve work processes, customer service, and the ability to conduct significantly more sophisticated customer data segmentation and analyses. BIS is working with interagency partners to develop an automated process to evaluate the bona fides of foreign parties to export transactions and link data within BIS systems. NIST is leading an initiative to revise all International Systems of Units to be defined in terms of physical constants of the universe by 2018. The Department will also be responsive to the recommendations of the bipartisan Commission on Evidence-Based Policy Making, which received administrative support from the Census Bureau.

#### **(b) Recent Major Progress**

In addition to notable process in making more data available and accessible, a major achievement was publication of the "Building Smarter Data for Evaluating Business Assistance Programs" a guide for practitioners. The Department was a leader of the Evaluating Business Technical Assistance Program (EBTAP) working group which developed this guidebook and championed its publication in May 2017. The Department recently revised legal language in the federal funding opportunities (FFO) and standard terms & conditions documents to notify grantees that data they provide may be used for program evaluation. This new policy affects more than 5,000 grants across the Department worth approximately \$1.3 billion and opens the door to increased use of

administrative data for evaluation and learning. ITA built on the success of Global Markets' collaboration with the Census Bureau on a quasi-experimental analysis of the impact of export promotion program. The Department has worked with the Census Bureau's Center for Economic Studies (CES) and Center for Administrative Records Research and Applications (CARRA) to increase the number of collaborative interagency analysis and use of Federal Statistical System Research Data Centers (FSRDCs). The Department also shared many of these best practices directly with the Commission on Evidence-Based Policy Making.

- (c) Current Barriers. Capacity is the fundamental challenge in advancing the use of evidence in decision making. Many of the best practices cited by OMB in Chapter 6 of the President's FY 18 Budget are implemented by agencies that have resources specifically authorized for program evaluation and "what works" clearing houses. At the direction of OMB, the Department conducted an assessment of performance and evaluation capacity within Department headquarters and all 12 bureau headquarters. The results of this assessment were presented to OMB during the FY 16 Annual Strategic Review meeting with a discussion of the capacity of our smaller bureaus where one or two employees may be responsible for managing budget, performance, evaluation and risk management. The implementation of the Program Management Improvement and Accountability Act (PMIAA) could either improve or exacerbate these challenges depending on whether the approach fosters synergies with the current Federal Performance Framework. Funding will be needed for training to effectively execute this new mandate.
- (d) Development and Use of a Learning Agenda. The development of our agenda employed environmental scanning, visioning, and foresight approaches. In preparation for strategic planning, the Department conducted an environmental scan of macro-level trends and key influencers of global trade, regulations, jobs, technology, environment, and intellectual property.

Previous year's learning agendas were aligned with the FY 2014-2018 Strategic Plan and encouraged the use of logic models across the Department. Our FY 19 learning agenda was fully integrated into the planning and budget formulation processes and is included in the text of the strategic objectives in the four goal areas: 1) exports and foreign direct investment; 2) innovation and competitiveness; 3) data and scientific intelligence; and 4) customer-centric service excellence. This integration will make the Annual Strategic Reviews more robust and data based.

## **Section 2. Top-Priority Requests**

The continuation and expansion of CRM capabilities across the Department is believed to have the most potential to improve both capacity and evidence. A CRM is used to track services provided to a client. It can also track cycle time, and customer satisfaction. If thoughtfully designed, it can facilitate program evaluation by compiling information needed to match client data with data in statistical business surveys. CRMs also can be used for analytics to determine critical success factors when business assistance is provided. Therefore, the Department has taken a major step to streamline the acquisition and interoperability of CRM systems by establishing a standard blanket purchase agreement through our recently created enterprise services contracting office.

ITA is working to improve evidence as it analyzes the results of their annual survey of export promotion customers. The annual survey will be enhanced this year with CRM data. ITA is also estimating the impact of trade barriers reduced, removed, or prevented, as it conducts case studies of several trade barriers removed in the last five years. These efforts will provide insight on the long-term impact of ITA's trade barrier work and better focus future trade policies.

### **Section 3. Updates on M-14-06, “Guidance for Providing and Using Administrative Data for Statistical Purposes”**

- (a) Recent Progress. The Department deployed an integrated approach to improve the use of administrative data. First and foremost, the Department completely removed a historical barrier to the access and use of administrative data by revising and clarifying its policy and legal language for all new grants. Second, best practices and lessons learned were identified, documented, and shared by the publishing of the “Building Smarter Data for Evaluating Business Assistance Programs” guidebook. And third, the Department increased training and awareness of opportunities to use administrative data by hosting a dedicated training session on this topic during the 2017 Big A Conference training in concert with training and communication with our community of practice via the Department’s Performance Excellence Council (PEC).
- (b) Priorities. The further maturity of CRM systems across the Department provides the most promise to improve the use of administrative data. CRM systems provide improved management and access to real-time operations data for analysis. They also have the capability to share and integrate data via APIs with other authoritative administrative data sources which enables lower cost and more timely evaluation.
- (c) Current Barriers. To scale the use of administrative data, many components of the Department’s workforce will need to develop better analytical knowledge and skills. While the Department is home to some of America’s top economists and technical experts, many frontline employees and program managers lack the know how to successfully exploit the latest digital revolution, leverage the capabilities offered by CRM systems and other data tools, and conduct rigorous program analyses and evaluations.
- (d) Data Stewardship. The Department established a CRM executive development team to assess the adoption of CRMs across the 12 bureaus and Department headquarters. This initiative is a critical pathway to improve data stewardship as it seeks to establish a uniform data methodology for all CRM instances, develop CRM data standards, and recommend an enterprise-wide approach to CRM data governance. Additionally, the Department has worked to modernize and streamline the collection, analysis, and warehousing of performance indicators that are used in annual budget justifications, annual performance plans, and annual performance reports. Census, ITA, NOAA, and USPTO are each working with external stakeholders within their respective developer and data user communities to improve the identification, sharing, and stewardship of specific data sets that are deemed most valuable to these stakeholders. Progress is evident on the respective bureau data portal websites which are actively updated and enhanced based on customer feedback.