



***FEDERAL MARITIME COMMISSION***

***FINAL ANNUAL PERFORMANCE PLAN***

***FOR FY 2007***

**February 2006**

## LIST OF ACRONYMS

<i>1984 Act</i>	<i>Shipping Act of 1984</i>
<i>AR</i>	<i>Area Representative</i>
<i>BCL</i>	<i>Bureau of Certification and Licensing</i>
<i>CADRS</i>	<i>Office of Consumer Affairs and Dispute Resolution Services</i>
<i>ERB</i>	<i>Executive Resources Board</i>
<i>FMC/Commission</i>	<i>Federal Maritime Commission</i>
<i>FTE</i>	<i>Full Time Equivalent Employee</i>
<i>FY</i>	<i>Fiscal Year</i>
<i>GPRA</i>	<i>Government Performance and Results Act</i>
<i>GS</i>	<i>General Schedule</i>
<i>HHG</i>	<i>Household Goods</i>
<i>IP</i>	<i>Internet Provider</i>
<i>IPv4</i>	<i>Internet Protocol Version 4</i>
<i>IP v6</i>	<i>Internet Protocol Version 6</i>
<i>IT</i>	<i>Information Technology</i>
<i>MR</i>	<i>Monitoring Report</i>
<i>NVOCC</i>	<i>Non-Vessel-Operating Common Carrier</i>
<i>NSA</i>	<i>NVOCC Service Arrangement</i>

<i>OIT</i>	<i>Office of Information Technology</i>
<i>OMB</i>	<i>Office of Management and Budget</i>
<i>OS</i>	<i>Office of the Secretary</i>
<i>OSRA</i>	<i>Ocean Shipping Reform Act of 1998</i>
<i>OTI</i>	<i>Ocean Transportation Intermediary</i>
<i>RPI</i>	<i>Regulated Persons Index</i>
<i>PVO</i>	<i>Passenger Vessel Operator</i>
<i>SC</i>	<i>Service Contract</i>
<i>SES</i>	<i>Senior Executive Service</i>
<i>SOW</i>	<i>Statement of Work</i>
<i>SQL</i>	<i>Structured Query Language</i>
<i>VOCC</i>	<i>Vessel-Operating Common Carrier</i>

## INTRODUCTION

This document comprises the FMC's Final Annual Performance Plan for FY 2007. This plan is closely linked to the agency's Strategic Plan and it sets forth objective performance goals and narrow, measurable performance indicators as to facilitate implementation and assessment of performance.

For FY 2007, we have continued the modified approach for our annual planning first implemented with our Revised Final Plan for FY 2005. Agency performance goals now are tied directly to our Strategic Goals instead of our budget program activities. This has resulted in the development of broader performance goals better suited to the achievement of agency-wide objectives, as opposed to more narrowly focused goals tailored to the responsibilities of individual units. It also facilitates our aim of utilizing a more inclusive, collaborative approach in conducting our ongoing activities, which we believe both enhances decision-making and improves ultimate results. Addressing our performance goals in this fashion also has enabled us to link planning, budgeting and performance more effectively.

Our Plan for FY 2007 focuses on broadening our efforts to implement the President's Management Agenda initiative to expand electronic government. Several performance goals were formulated to improve the management of information by utilizing technology to streamline and simplify the delivery of services and information to regulated entities and the public, and to improve our databases so the staff can more effectively identify regulated entities, complaints, and potential abuses.

Several performance goals were developed to facilitate the monitoring of regulated activities to ensure compliance with the statutes and regulations administered by the Commission. Performance goals also were developed to enhance our management capabilities, with particular focus on effectively using our performance appraisal system to guide employee growth and career development, and ensuring implementation of an appropriate succession plan.

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

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

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

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

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

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

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

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

The Commission used its existing consultation process in developing this Plan. We have kept key Congressional Committees apprised of our efforts, and have responded to any inquiries. We continued our ad hoc meetings and visits with industry officials to discuss the state of U.S. ocean shipping and the FMC's oversight responsibilities. In coordination with the various sectors of the maritime industry, we are holding periodic briefings by industry experts designed to provide Commission staff with valuable information on industry services, operations, business practices, and regulatory concerns. And we plan to initiate a broader outreach program to expand our extant seminar series, where agency staff travel to various locations to exchange information and discuss relevant issues with the industry and the shipping public. The information and opinions we received via these various efforts have assisted us in developing our performance goals and implementing approaches. It is clear that those involved in the various sectors of U.S. ocean shipping understand the Commission's major program activities and, at the same time, the Commission is cognizant of the views of all parties with whom it interacts.

In line with OMB guidance, the Commission has reflected the resources needed to accomplish its various functions. We have provided FTE and funding figures for each Strategic Goal, which reflect what we believe will be required to accomplish the performance goals and “steady state” functions under each respective Strategic Goal. Accordingly, all Commission resources are accounted for in this Plan, i.e., the figures under each Strategic Goal, when summed, reflect the full FTE and funding levels of our FY 2007 budget.

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

## FMC VISION AND MISSION

The FMC's vision is:

*Fairness and Efficiency in U.S. Maritime Commerce.*

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

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

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

## **FMC STRATEGIC GOALS**

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

## **LINKAGE BETWEEN MISSION STATEMENT AND STRATEGIC GOALS**

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

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

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

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

We also have a specific strategic goal that focuses on making effective use of advancements in IT to improve the efficiency of our operations and enhance our exchange of information with external parties. Carrying out the agency's mission in times of budgetary limitations dictates that we appropriately utilize all available resources. Dynamic changes continue to be made in

this area, and the Commission intends to take advantage of any improvement that can enable it to perform its functions more effectively. We hope to improve our business operations so as to add efficiency to the Commission's dissemination and receipt of information. We intend to perform the research and analysis necessary to identify the best options for implementing technical enhancements to facilitate our efforts to achieve our mission.

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

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

## **I. STRATEGIC GOAL: Efficient Regulatory Process**

48 FTEs and \$8,234,000 will be required to accomplish this goal.

### **2007 Steady State Activities:**

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

Note: Goal has been revised to reflect the funding included in, and workyears funded by, the President's FY2007 Budget.

**I. STRATEGIC GOAL: Efficient Regulatory Process - Continued**

Performance Goal	Related Strategic Goals/Outcomes/ Means	Outcome	Performance Indicator	Process/Activity	Performance Measure/Evaluation
<p>1. Provide for and encourage the electronic filing of monitoring reports and minutes.</p>	<p>-Encourage use of electronic filing.                      -Refine agreement minutes and monitoring report rules.</p>	<p>-Reduce labor hour and cost burden on the public associated with submitting monitoring reports and minutes to the agency.                      -Reduce agency resources needed to process and review these documents.                      -Improved quality and accuracy through the use of automated checks.                      -Quicker analysis of submitted information and speedier dissemination of the results of those analyses.                      -Reduced problems relating to compliance with monitoring report and minutes requirements.</p>	<p>-The proportion of monitoring reports and minutes submitted electronically as a percent of the total submitted.                      -The percent of electronic monitoring reports and minutes submitted timely compared to the percent of hard copies submitted timely.                      -Staff time spent converting hard copy monitoring reports and minutes to electronic format.                      -Estimate of staff time saved through electronic receipt of monitoring reports and minutes.</p>	<p>-Develop a web-based application to facilitate compilation/secure submission of agreement monitoring reports.                      -For users unable to connect to the Internet, develop an Adobe-editable form with the same features.                      -A user-friendly front-end to be designed/implemented to allow staff easy retrieval, review &amp; analysis of monitoring report data.                      -Develop a system to allow agreements to securely submit electronic copies of minutes &amp; related attachments using FMC's website.                      -Document system to have a user-friendly front-end to facilitate management of submitted minutes, as well as accurate search &amp; retrieval of documents and terms.                      -Proactively demonstrate the monitoring report &amp; minutes automated systems to filing counsels &amp; agreement administrators to encourage maximum electronic submission.</p>	<p>-Feedback from filing counsels and agreement administrators regarding the effectiveness of electronic submission of monitoring reports and minutes.                      -Absence of technical difficulties encountered by end users and lack of technical assistance required.                      -Lower proportion of monitoring reports and minutes received in the form of hard copies.</p>

**I. STRATEGIC GOAL: Efficient Regulatory Process - Continued**

<b>Performance Goal</b>	<b>Related Strategic Goals/Outcomes/ Means</b>	<b>Outcome</b>	<b>Performance Indicator</b>	<b>Process/Activity</b>	<b>Performance Measure/Evaluation</b>
2. By 9/30/07, Automate FMC Forms 78 & 83.	-Encourage use of electronic filing.	-More user friendly and convenient process for the industry to file forms. -Increase accuracy of NSA and SC registration information being filed. -Access to certain registration information in standard format to generate any necessary reports. -Consistent retrieval of accurate NSA and SC registration information.	-Electronic file forms. -Easy access to efficient & useful information. - Registration information retrieved in a more systematic manner. -Reductions in time involved in completing review process. -Elimination / reduction of paper documents.	- Develop an electronic online form to accommodate the submission of registration information. -Redesign registration databases to capture registration information. -Link/integrate database to other Commission- related databases. -Have necessary safeguards & security protections in place, including e-signature to ensure authenticity of filer signature.	-Feedback from filing public on the efficacy of online filing. -Staff assessment of time and effort expended in review process. -Centralized database containing pertinent information on filing parties to NSAs and SCs.
3. Enable the electronic filing of OTI bonds.	-Encourage use of electronic filing.	-Ability of sureties to file bonds and bond riders electronically via the Commission's website. -Reduction in burden and cost for industry. -More timely and effective staff review process.	-Facilitate filing of OTI bonds by sureties and/or OTIs -Improve BCL's ability to receive and process surety bonds and bond riders. -Contributes to a streamlined OTI licensing process.	-Meet with sureties and other Federal agencies to discuss benefits of electronic bond filings. -Develop system plan and implementation plan. -Develop Statement of Work (SOW) and work with OIT to develop electronic bond system (in-house- versus contract out)	-Successful completion of each step in developing an electronic system. -Ease of filing and retrieval for industry and FMC. -Assess staff time and effort expended in review process.

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

46 FTEs and \$7,126,000 will be required to accomplish this goal.

### **2007 Steady State Activities:**

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

**II. STRATEGIC GOAL: Compliance - Continued**

<b>Performance Goal</b>	<b>Related Strategic Goals/Outcomes/ Means</b>	<b>Outcome</b>	<b>Performance Indicator</b>	<b>Process/Activity</b>	<b>Performance Measure/ Evaluation</b>
<p>1. Expand OTI Monitoring/Audit Program.</p>	<p>-Increase dialogue with industry to encourage voluntary compliance. -Use databases to ensure lawful activities.</p>	<p>-Improved compliance by VOCCs and OTIs. -Facilitate FMC awareness of level of OTI compliance with Shipping Act. -Fewer instances of transportation users being negatively impacted by the actions of unlawful operators.</p>	<p>-Improved compliance with statute and regulations by OTIs and VOCCs. -Equitable competition among licensed and bonded OTIs minimizing unlicensed OTI activity. -Enhance protection of shipping public.</p>	<p>-Develop pool of OTIs from which to audit based on following criteria: all 1<sup>st</sup> time licensees; factors such as unlicensed experience, Shipping Act violations, complaints, AR input; randomly selected from RPI. -Develop plan and format &amp; identify resources needed to implement program (questionnaire - mail/ phone/fax); on-site visit; combination of the two formats; other. -Develop follow-up action steps.</p>	<p>-Assess audit results annually - review audit plan &amp; audit universe to enhance effectiveness of program. -Review outreach &amp; licensing programs based on audit results at least every two years - identify any changes to procedures, new initiatives, or re-focus of licensing or outreach activities.</p>

**II. STRATEGIC GOAL: Compliance - Continued**

Performance Goal	Related Strategic Goals/Outcomes/ Means	Outcome	Performance Indicator	Process/Activity	Performance Measure/ Evaluation
2. Enhance the PVO monitoring program.	-Enhance monitoring program.	<ul style="list-style-type: none"> <li>-Timely and accurate submission of reports and records.</li> <li>-Facilitate BCL's oversight to protect passenger payments.</li> <li>-On-site inspections of PVOs that submit questionable data.</li> <li>-Improved communications between BCL and PVOs</li> </ul>	<ul style="list-style-type: none"> <li>-BCL's ability to effectively perform oversight of PVO operations and activities.</li> <li>-PVO compliance with statute &amp; regulations.</li> <li>-Ability to identify financially risky operators.</li> </ul>	<ul style="list-style-type: none"> <li>-Develop procedures to assist staff review of monitoring process.</li> <li>-Prepare PVO monitoring schedules.</li> <li>-Detailed review of PVO reports &amp; records.</li> <li>-Requirement that all follow-up actions are documented (e-mail, telephone, notes, etc.).</li> <li>-Develop plan to assess program operations.</li> </ul>	<ul style="list-style-type: none"> <li>-Monthly &amp; quarterly reviews are conducted by BCL to ensure implementation of monitoring program and assess effectiveness of the program.</li> <li>-BCL assesses results of reviews &amp; reports and makes changes as necessary.</li> <li>-Ongoing monitoring of staff efforts.</li> <li>-Bureau Director oversees staff efforts.</li> </ul>

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

15 FTEs and \$2,551,000 will be required to accomplish this goal.

#### **2007 Steady State Activities:**

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

**III. STRATEGIC GOAL: Balanced Enforcement - Continued**

<b>Performance Goal</b>	<b>Related Strategic Goals/Outcomes/ Means</b>	<b>Outcome</b>	<b>Performance Indicator</b>	<b>Process/Activity</b>	<b>Performance Measure/Evaluation</b>
<p>1. Effectively address unlicensed OTI activity of entities participating in international ocean transportation of HHG.</p>	<ul style="list-style-type: none"> <li>-Increase dialogue with external entities to educate.</li> <li>-Utilize databases to ensure lawful activities.</li> </ul>	<ul style="list-style-type: none"> <li>-Increased public awareness of protection provided in using licensed/ lawful OTI entities.</li> <li>-Decreased usage of unlawful OTIs for transportation of HHG.</li> <li>-Decrease in instances of transportation users being harmed by unscrupulous operators.</li> </ul>	<ul style="list-style-type: none"> <li>-Number of licensed OTIs.</li> <li>-Consumer complaint information.</li> <li>-Contacts with industry and government entities concerned with consumer protection in HHG movements.</li> </ul>	<ul style="list-style-type: none"> <li>-Information disseminated on website regarding lawful and unlawful OTIs involved in international ocean transportation of HHG.</li> <li>-Use industry databases and publications, Internet, trade associations and other government entities to identify possible unlawful entities.</li> <li>-Use outreach and education efforts to encourage voluntary compliance.</li> <li>-Compliance and enforcement efforts directed at entities identified by consumer complaints, and at lawful VOCC and NVOCC entities providing transportation services to unlawful OTIs.</li> </ul>	<ul style="list-style-type: none"> <li>-Review of databases, etc., and contacts made with identified entities to encourage voluntary compliance.</li> <li>-Feedback from consumers and industry with respect to compliance efforts.</li> <li>-Feedback of other government and industry components involved in the compliance activity.</li> </ul>

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

10 FTEs and \$1,557,000 will be required to accomplish this goal.

##### **2007 Steady State Activities:**

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

**IV. STRATEGIC GOAL: Technological Efficiencies - Continued**

<b>Performance Goal</b>	<b>Related Strategic Goals/Outcomes/ Means</b>	<b>Outcome</b>	<b>Performance Indicator</b>	<b>Process/Activity</b>	<b>Performance Measure/Evaluation</b>
<p>1. Integrate CADRS complaint database with other agency databases.</p>	<p>-Use modern technologies to improve results. -Automate agency systems.</p>	<p>-Combined agency-wide database consisting of CADRS complaint data, and data from other agency components, with regard to Commission's regulated community. -Appropriate agency-wide access to newly integrated database. -Increased understanding of industry trends, conditions, and practices. -More effective and efficient compliance activities.</p>	<p>-An integrated database that contains available data relevant to the Commission's regulatory responsibility. -Access to integrated database provides timely &amp; accurate CADRS data, which can be easily integrated into reports, investigations, license application reviews, and comparisons.</p>	<p>-Work with other agency components and IT to integrate CADRS database with other agency databases. -Work with IT to allow agency personnel to have access to appropriate areas of the new database.</p>	<p>-Periodically assess progress in integrating CADRS database with other agency databases and report progress to OS and senior staff.</p>

**IV. STRATEGIC GOAL: Technological Efficiencies - Continued**

<b>Performance Goal</b>	<b>Related Strategic Goals/Outcomes/ Means</b>	<b>Outcome</b>	<b>Performance Indicator</b>	<b>Process/Activity</b>	<b>Performance Measure/Evaluation</b>
<p>2. Complete the redesign of the agency's Intranet.</p>	<p>-Use modern technologies enhancements to enhance work processes.</p>	<p>-Redesign &amp; modernize current FMC Intranet and align it w/new FMC public website.                      -Information &amp; participation from all bureaus/offices to ensure comprehensive &amp; correct site.                      -Intranet content reorganized to improve efficiency and access.                      -Relevant information missing from site will be considered, compiled, and added.                      -Issues regarding functionality &amp; technological implementation of site identified &amp; addressed.</p>	<p>-Participation &amp; agreement of agency bureau/office reps on design &amp; content.                      -Intranet website restructured to be compatible with FMC public site.                      -Where feasible, FMC staff provided access to internal FMC databases &amp; info through Intranet.                      -Positive feedback from Chairman &amp; SES.</p>	<p>-In conjunction with other agency components, OS will work with FMC IT staff and contractor to redesign FMC Intranet site.                      -Create task force with bureau/office reps.                      - Hold periodic meetings to discuss &amp; determine design, functionality, and content.                      -Coordinate w/ program and IT staff on initiatives to facilitate FMC staff access to internal FMC information through agency's Intranet where appropriate.</p>	<p>-Intranet site is redesigned, tested and launched.                      -Feedback from FMC staff.</p>

**IV STRATEGIC GOAL: Technological Efficiencies - Continued.**

<b>Performance Goal</b>	<b>Related Strategic Goals/Outcomes/ Means</b>	<b>Outcome</b>	<b>Performance Indicator</b>	<b>Process/Activity</b>	<b>Performance Measure/Evaluation</b>
3. Implement new Internet upgrade.	<ul style="list-style-type: none"> <li>-Use modern technologies to improve results.</li> <li>-Provide public access to agency systems.</li> </ul>	<ul style="list-style-type: none"> <li>-Elimination of IP address limitations.</li> <li>-Network performance improvements.</li> <li>-Appropriate IP security.</li> <li>-Reduce network administration.</li> </ul>	<ul style="list-style-type: none"> <li>-Successful upgrade from IPv4 to IPv6.</li> <li>-Positive feedback from stakeholders and public.</li> <li>-Increased accessibility to agency via Internet.</li> </ul>	<ul style="list-style-type: none"> <li>-Complete inventory of existing equipment.</li> <li>-Conduct impact analysis.</li> <li>-Select products and capabilities.</li> <li>-Acquire new hardware and/or software.</li> <li>-Configure hardware and/or software.</li> <li>-Develop IPv6-related policies.</li> <li>-Develop &amp; implement a test plan.</li> <li>-Deploy hardware and/or software.</li> </ul>	<ul style="list-style-type: none"> <li>-Agency senior management assesses efforts to migrate to upgraded Internet.</li> <li>-Provide reports to OMB identifying progress.</li> <li>-OMB Enterprise Architecture Assessment Framework review.</li> </ul>

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

13 FTEs and \$2,006,000 will be required to accomplish this goal.

### **2007 Steady State Activities:**

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

**V. STRATEGIC GOAL: Management Capabilities - Continued**

Performance Goal	Related Strategic Goals/Outcomes/ Means	Outcome	Performance Indicator	Process/Activity	Performance Measure/Evaluation
<p>1. Fully implement the agency's succession plan for senior managers, and continue the Emerging Leaders program for internal staff at the GS 11-13 level.</p>	<p>-Anticipate future skill problems &amp; recruit.                      -Provide necessary training.                      -Implement policies to enable employees to reach full potential.</p>	<p>-Agency can fill leadership positions with trained, competent staff as vacancies occur.                      -No significant reduction in effectiveness and efficiency of agency operations.                      -Employees are motivated to demonstrate their abilities and skills in support of agency mission.                      -Future supervisors and managers are well versed in management/ leadership philosophies and principles, and better equipped to lead staff in line with existing agency culture.</p>	<p>-Increase in individual and group training offerings relevant to managing/ leadership skills.                      -Agency able to absorb expected attrition &amp; meet current &amp; ongoing mission needs.                      -Identifiable increase in leadership skills of new supervisors.</p>	<p>-Appropriate training and/or developmental experiences identified for participating employees.                      -ERB oversees another SES Candidate Development Program.                      -Emerging Leaders program identifies, trains and develops future supervisors and managers.                      -Evaluate/modify development programs and plans to maintain strategic alignment with overall mission, and promote integration of training programs with overall mission accomplishment.</p>	<p>-Approved succession plan.                      -Chairman oversees progress of SES Candidate Development and Emerging Leaders Programs.                      -Existence of trained, capable staff to fill vacant leadership positions.</p>

**V. STRATEGIC GOAL: Management Capabilities - Continued**

Performance Goal	Related Strategic Goals/Outcomes/Means	Outcome	Performance Indicator	Process/Activity	Performance Measure/Evaluation
<p>2. Evaluate the effectiveness of the Commission's new performance appraisal system.</p>	<ul style="list-style-type: none"> <li>-Develop and monitor performance plans to manage human capital.</li> <li>-Encourage policies to help employees demonstrate abilities and achieve potential.</li> </ul>	<ul style="list-style-type: none"> <li>-Performance appraisal system results in a focus on results rather than process, and on accomplishments rather than volume of work produced.</li> <li>-Performance appraisal system is implemented in a way to effectively provide feedback, guide careers, and link the staff's achievements to the agency's mission and stated policy objectives.</li> <li>-Performance appraisal system is implemented to increase communication between supervisors and employees.</li> </ul>	<ul style="list-style-type: none"> <li>-Consensus among managers and employees that new appraisal process is effectively conveying accurate assessments of performance.</li> <li>-Evidence that new system is being implemented effectively and efficiently.</li> </ul>	<ul style="list-style-type: none"> <li>-Task Force or other mechanism to collect data and impressions of new appraisal system.</li> <li>-Data and impressions analyzed and conveyed to the Chairman and senior management.</li> </ul>	<ul style="list-style-type: none"> <li>-Senior management meets to discuss appraisal process implementation data and impressions.</li> <li>-Chairman evaluates agency progress at efficiently implementing new process.</li> <li>-Chairman reviews final appraisals, and reviews Task Force's collection of data and impressions, and speaks with a cross-section of employees to determine success of new system.</li> </ul>