

FY 2006 Annual Performance Plan
National Telecommunications and Information Administration

The National Telecommunications and Information Administration (NTIA) serves as the President's principal adviser on telecommunications and information policy matters and develops forward looking spectrum policies that ensure efficient and effective spectrum access and use. NTIA manages all spectrum use by Federal government departments and agencies and examines how the radio frequency spectrum is used and managed in the United States. NTIA will work to foster competition and universal service in telecommunications, will promote broadband deployment, will continue to promote the transition of the Internet domain name system to the private sector, and will support the Administration's positions on Internet taxation, ENUM, IPv6, and cybersecurity. NTIA's research laboratory, the Institute for Telecommunication Sciences (ITS), will perform telecommunications research, conduct cooperative research and development with U.S. industry and academia, and provide technical engineering support to NTIA and to other Federal agencies.

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

One of NTIA's primary missions is to serve as the President's principal policy advisor on telecommunications and information issues and to serve as the Administration's primary voice on them. NTIA will fulfill this policy-setting role in a number of ways: by preparing and issuing special reports on topics including Internet use and protocols, providing Administration views on actions proposed by the Federal Communications Commission (FCC); seeking requests for public comment on specific issues; and encouraging dialogue with the private sector through sponsorship and participation in conferences, workshops, and other forums

NTIA will continue to examine an array of spectrum management policy issues dealing with innovative approaches to spectrum management and the effectiveness of current processes. This examination will be conducted in tandem with the FCC's proceedings on spectrum management policy, in which NTIA will participate on behalf of the Administration. NTIA also will participate on behalf of the Administration in FCC and Congressional proceedings on telecommunications policies, including the development of appropriate regulatory treatment for broadband services deployment.

NTIA's spectrum management and policy activities promote efficiencies affecting all users of spectrum. The availability of the radio frequency spectrum is key to the development and implementation of innovative telecommunications technologies such as Ultra wideband (UWB) and Third Generation (3G) wireless services. NTIA's activities include (1) identifying and supporting new wireless technologies that promise innovative applications for customers of the federal and private sectors; (2) providing the 56 federal agencies with the spectrum needed to support their missions for national defense, law enforcement and security, air traffic control, national resource management, and other public safety services (3) working with the Administration and Federal agencies to transition 45 MHz of spectrum to the private sector; ; (4) developing plans and policies to use the spectrum effectively; (5) supporting the United States' future spectrum needs globally through participation, in conjunction with State and the FCC, in the International Telecommunication Union to establish approved standards; (6) performing telecommunications research and engineering to improve understanding of radio-wave transmission and thereby improving spectrum utilization and the performance of radio-communications systems; and (7) supporting and implementing the President's Spectrum Management Initiative

NTIA is active on a several Internet related issues, including ICANN reform and continuing Internet privatization of domain name management both domestically and internationally, proposals regarding Internet services and content, and the combination of Internet and telecommunications addressing (ENUM). NTIA will pursue policies promoting international trade in telecommunications products and services, promoting consistent international approaches to telecommunications policies, and improving relations with Western Hemisphere neighbors. All of these activities will require substantial coordination among NTIA's program offices, as well as interagency coordination to develop the Administration's positions

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

Priorities/Management Challenges

The Presidential Executive Memorandum released in November 2004, directed the Department of Commerce and other Federal agencies to develop a plan and implement recommendations for i) improving policies that affect spectrum use by State and local governments and the private sector, ii) improving the Federal spectrum management process as a whole. NTIA, working with the FCC, the Department of State, and other partners, is a vital component in this Presidential initiative to develop a "Spectrum Policy for the 21st Century." It is the top priority for NTIA and a focus of the Administration. In addition, NTIA will support the President's goal of universal, affordable access to broadband technology by the year 2007. NTIA will develop policy proposals and promote opportunities to provide these high-speed information services to all Americans. The challenge for NTIA's management will be to actively engage critical partners in addressing these priorities, including the Congress, FCC, and international bodies

Unit Cost Measures

NTIA is developing unit cost measures for its “Timeliness of Processing” spectrum assignment requests (Performance measure 1a) for use in FY 2005 and beyond. This measure will provide a means for determining the efficiency and effectiveness of meeting the needs of NTIA’s Federal agency customers for spectrum support in accomplishing their missions.

PART Assessment

NTIA will evaluate spectrum management and policy analysis and development programs through a PART assessment in FY 2005.

FY 2006 Program Changes

NTIA’s FY 2006 activities support DOC Strategic Goal 2, Foster Science and Technological Leadership by protecting intellectual-property, enhancing technical standards and advancing measurement science, and General Goal/Objective 2.3, Advance the development of global e-Commerce and enhanced telecommunications and information services. NTIA’s FY 2006 budget request includes funding to maintain ongoing programs that support domestic and international policy development, federal spectrum management, and related research.

	Base		Increase/Decrease	
	FTE	Amount	FTE	Amount
Spectrum Efficiency and Planning -Incentives	1	205,000	3	795,000
International Spectrum Management	2	400,000	1	400,000
Public Telecom Facilities, Planning and Construction	13	21,478,000	(13)	(19,478,000)
ICANN Membership	0	0	0	100,000
Interference Temperature and Radio Noise Research	0	0	3	2,087,000

Target and Performance Summary

	FY 2001 Actual	FY 2002 Actual	FY 2003 Actual	FY 2004 Actual	FY 2005 Target	FY 2006 Target
Performance Goal 1: Ensure that the allocation of radio spectrum provides the greatest benefit to all people						
Timeliness of Processing	New	New	Fifteen Business Days	< Twelve Business Days	< Twelve Business Days	< Twelve Business Days
Number of frequency bands evaluated to determine possible improvements that could be made to use spectrum more efficiently	New	New	New	New	1	2
Percentage of requests accomplished on line ¹			55%	97%	Discontinued	Discontinued
Completeness and accuracy of agency assignment requests ¹			87%	93%	Discontinued	Discontinued
Customer satisfaction survey on training course ¹			90% satisfactory or better	95% satisfactory or better	Discontinued	Discontinued
Performance Goal 2: Promote the availability and support new sources of advanced telecommunications and information services						
Support new telecom and info technology by advocating Administration views in FCC docket filings and Congressional proceedings	New	New	New	New	5 dockets and proceedings	5 dockets and proceedings
Quality of Basic Research as Reflected in Peer-reviewed Publications	New	New	5 Publications	7 Publications	6 Publications	6 Publications
Level of Technology Transfer Activities Conducted with the Private Sector through the Cooperative Research and Development Agreements	New	New	5 Cooperative Research and Development Agreements	5 Cooperative Research and Development Agreements	3 Cooperative Research and Development Agreements	3 Cooperative Research and Development Agreements
Provide the Policy Framework for Introduction of New Technology ²	New	New	New spectrum, ICANN reform	Reports, conferences, workshops	Reports, conferences, workshops	Reports, conferences, workshops
Policy Customer Survey	New	New	Postponed	50 customers	Discontinued	Discontinued
Digital Broadcasting Conversion ³	New	New	79 grants	Discontinued	Discontinued	Discontinued
Timeliness of grant awards ³	New	New	100%	Discontinued	Discontinued	Discontinued
Percentage of the U.S. covered by public broadcasting signals ³	New	New	95% TV 90% Radio	Discontinued	Discontinued	Discontinued

1. NTIA has discontinued these measures as the measures did not reflect the outcomes of NTIA activities. Customer satisfaction will continue to be assessed within NTIA, however.
2. For FY 2006, NTIA has combined two performance goals and replaced discontinued measures into the one output measure, advocating Administration views in FCC docket filings and Congressional proceedings.

- Measures associated with grants for digital television conversion, timeliness of grant awards, and public broadcasting coverage have been discontinued as those objectives have been achieved.

Resource Requirements Summary

(Dollars in thousands. Funding reflects total obligations)
 Information Technology (IT)
 Full Time Equivalent (FTE)

	FY 2001 Actual	FY 2002 Actual	FY 2003 Actual	FY 2004 Actuals	FY 2005 Enacted / Actual	FY 2006 Base	Increase/ Decrease	FY 2006 Request
Performance Goal 1: Ensure that the allocation of radio spectrum provides the greatest benefit to all people								
Salaries and Expenses	\$21,472	\$23,444	\$24,516	\$28,536	\$38,953	\$39,648	\$2,795	\$42,443
Performance Goal 2: Promote the availability and support new sources of advanced telecommunications and information services								
Salaries and Expenses	9,276	9,730	10,015	11,245	29,483	13,936	2,187	16,123
Public Telecom Facilities, Planning, and Construction	44,188	47,592	45,930	26,853	22,187	21,478	(19,478)	2,000
Information Infrastructure Grants	46,206	15,486	17,141	17,810	1,160	0	0	0
Grand Total								
Total Funding ^{1,2}	121,142	96,252	97,602	84,444	91,783	75,062	(14,496)	60,566
Direct	101,774	77,147	77,355	61,187	40,712	39,546	(16,096)	23,450
Reimbursable ¹	19,368	19,105	20,247	23,257	51,071	35,516	1,600	37,116
IT Funding ³	5,400	5,400	5,400	5,400	5,400	5,400	0	5,400
FTE	244	244	251	269	295	296	2	298

- Reimbursable funding included in total funding.
- Carryover included in total funding
- IT funding included in total funding

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

Performance Goal 1: Ensure that the allocation of radio spectrum provides the greatest benefit to all people

Corresponding DOC Strategic Goal:

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

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

Rationale:

The National Telecommunication and Information Administration's (NTIA's) spectrum management activities and its policy activities support efficient and effective use of spectrum. The availability of radio frequency spectrum is a key to the development and implementation of innovative telecommunications technologies such as Ultra wideband (UWB), Third Generation (3G) wireless and other wireless broadband services

Program Increases/Decreases:

Program Initiative	Funding Request	Anticipated Impact	Location in the Budget
Spectrum Efficiency and Planning -Incentives	\$795,000	Development of proposals for greater use of economic mechanisms, such as fees, as spectrum management tools.	Salaries and Expenses, Domestic and International Policies
International Spectrum Management	\$400,000	Prepare for and participate in WRCs and implement results nationally.	Salaries and Expenses, Spectrum Management

Measure 1a: Timeliness of Processing

Explanation of Measure: NTIA has made substantial improvements over the years in the time required to process frequency assignment actions requested by the federal agencies. This measure will permit NTIA to continue to track improvements in processing time through implementation of the paperless spectrum initiative. NTIA expects that the target will improve dramatically in FY 2008 and beyond as investments in the paperless spectrum initiative are realized. Improvements in processing time allow NTIA's federal agency customers to more effectively accomplish their missions in ensuring our homeland security, maintaining public safety and the federal transportation infrastructure, and supporting law enforcement.

Measure 1b: Number of frequency bands evaluated to determine possible improvements that could be made to use spectrum more efficiently

FY 2006 Target: No changes have been made in the current year targets for the timeliness of processing measure from the figures as stated in the

Explanation of Measure: In FY 2004, NTIA completed a spectrum efficiency study on the 162-174 MHz band. The same methodology will be used to evaluate Federal spectrum use on a band by band basis and identify improvements. In FY 2005, NTIA will examine the Federal government land mobile bands, 406-420 and 138-144 MHz. NTIA plans to evaluate all Federal government efficiency and effectiveness. NTIA's methodology will be able to determine how Federal agencies can improve spectrum efficiency by comparing radiocommunication technologies. Spectrum efficiencies gained in Federal government usage can free spectrum for other Federal services or new and innovative communications services by the private sector.

FY 2005 Plan. NTIA expects that targets will improve dramatically in FY 2008 and beyond as investments in the paperless spectrum initiative are realized. The frequency band evaluation measure is new.

Program Evaluations:

NTIA management reviewed and assessed policy and program priorities in the development of FY 2005 and 2006 budgets. In FY 2004 and continuing through FY 2005, NTIA will work with other Federal agencies to develop action plans to implement the collective set of recommendations to improve spectrum management policy and planning as part of the Administration's Spectrum Management Initiative. The FY 2006 request also supports recommendations under this Initiative.

Cross-cutting Activities:

Intra-Department of Commerce:

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

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

Other Government Agencies:

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

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

State Department: In FY 2002, NTIA initiated discussions with the FCC and the State Department to develop an action plan to facilitate the efficient functioning of the nation's spectrum management team at home and abroad.

NTIA leads a high-level inter-agency task force as part of its support for the President's Spectrum Management Policy Initiative. The recommendations of the Task Force will have a substantial impact on FY 2005 and FY 2006 activities.

Government/Private Sector:

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

External Factors and Mitigating Strategies:

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

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

Corresponding DOC Strategic Goal:

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

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

Rationale:

NTIA management plans for multi-year efforts in a number of policy areas and receives requests to conduct policy analysis and other activities from the Secretary, the White House, and the Congress. NTIA is one of the Executive Branch's principal advisors on domestic and international telecommunications and information technology issues. These activities include testimony on behalf of the Administration in Congressional proceedings, and through development and coordination of Administration views in proceedings conducted by the Federal Communications Commission (FCC). In addition to its policy-related activities, the National Telecommunications and Information Administration (NTIA) supports innovative telecommunications and information technologies through basic research performed at its laboratory, the Institute for Telecommunication Sciences (ITS). ITS performs extensive basic research on quality of digital speech, audio and video compression, and transmission characteristics. This research has the potential to improve both the performance of telecommunications networks and the availability of digital content on the Internet. Basic research at ITS also supports U.S. positions in international standard-setting bodies and NTIA's development of Administration policies related to the introduction of new technologies, such as ultra wideband (UWB), third generation (3G) wireless and broadband services.

Program Increases/Decreases:

Program Initiative	Funding Request	Anticipated Impact	Location in the Budget
ICANN membership fees	\$100,000	Improve U.S. ability to effect DOC/Administration goal of privatizing Internet management	Salaries and Expenses, Domestic and International Policies
Interference Temperature and Radio Noise Research	\$2,087,000	Develop complete interference concept methodology for use in spectrum management.	Salaries and Expenses, Telecommunications Sciences Research

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

Explanation of Measure: NTIA fulfills its policy-setting role in a number of ways: by preparing and issuing special reports on topics that emerge over time; testifying before Congress and other organizations that are concerned with telecommunications policy; providing the Administration's views on actions proposed by the Federal Communications Commission; issuing requests for public comment on specific issues; and encouraging dialogue with the private sector through sponsorship and participation in conferences, workshops, and other forums. NTIA will continue to examine an array of spectrum management policy issues in FY 2006 dealing with innovative approaches to spectrum management and the effectiveness of current processes. This examination will be conducted in tandem with the FCC's proceedings on spectrum management policy, in which NTIA will participate on behalf of the Administration and as part of the President's Spectrum Management Policy Initiative. NTIA also will participate on behalf of the Administration in FCC and Congressional proceedings on telecommunications policies, including the development of appropriate regulatory treatment for broadband services deployment. A number of Internet related policy issues will require NTIA action, including ICANN reform and continuing privatization of Internet domain name management both domestically and internationally, proposals regarding Internet services and content, and the combination of Internet and telecommunications addressing (ENUM). In association with the ICANN membership fees funding request, NTIA will maintain an internal performance measure on the percentage of ICANN/GAC policy recommendations that promote privatizing Internet management. NTIA will pursue policies promoting international trade in telecommunications products and services, promoting consistent international approaches to telecommunications policies, and improving relations with Western Hemisphere neighbors. All of these activities will require interagency coordination to develop the Administration's positions. These activities directly benefit the American public through promotion of universal, affordable availability of advanced telecommunications and information technologies -- such as broadband and wireless services -- that support productivity, growth and job creation in most industrial sectors.

Measure 2b: Quality of Basic Research as Reflected in Peer-reviewed Publications

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

Measure 2c: Level of Technology Transfer Activities Conducted with the Private Sector through the Cooperative Research and Development Agreements

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

FY 2006 Target: For FY 2006, NTIA has combined two performance goals and replaced measures on surveys of policy customers and policy successes into the one output measure of advocating Administration views in FCC docket filings and Congressional proceedings. NTIA has struggled with attempts to measure and set targets for policy-related activities since well before GPRA was implemented. Telecommunications and information policy-related activities account for some 30 percent of NTIA's total budget and are integral to implementing the recommendations of the Presidential initiative to develop a "Spectrum Policy for the 21st Century." This measure permits NTIA to report on activities associated with the five highest policy priorities for the Department of Commerce and the Administration in each fiscal year. The target of five dockets and proceedings is an estimate of the activities that will rise to Administration and Departmental attention, based on prior years. NTIA will participate in relevant dockets and proceedings as they arise.

Program Evaluations:

NTIA management reviewed and assessed policy and program priorities in the development of FY 2005 and 2006 budgets. NTIA also meets regularly with DOC management in the development of appropriate policy priorities. ITS research will focus on supporting those spectrum management reform activities and assessments undertaken in NTIA's policy development.

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

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

Other Government Agencies:

NTIA works with the White House and other federal agencies to develop and coordinate Administration-wide policy statements. NTIA serves as the manager of federal government spectrum while the Federal Communications Commission (FCC) manages the non-federal spectrum. Since spectrum is often shared, NTIA and the FCC regularly engage in coordination of spectrum uses and spectrum policies. ITS conducts research under contract for a wide variety of federal agencies, including the White House National Communications Agency, the Departments of Defense and Transportation.

Government/Private Sector:

NTIA obtains private-sector views on a broad range of telecommunications and information policy issues through formal proceedings in which public comments are solicited and through public conferences, workshops, and meetings on specific subjects. ITS conducts extensive technology transfer activities through CRADAs with private sector entities.

External Factors and Mitigating Strategies:

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

Data Validation and Verification

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

Performance Measure	Data Source	Frequency	Data Storage	Internal Control Procedures	Data Limitations	Actions to be taken
Timeliness of Processing	Interdepartment Radio Advisory Committee (IRAC) Support Branch, Office of Spectrum Management (OSM)	Monthly, Annually	Office of Spectrum Management Computer Services Division	Automated Data Processing (ADP) routines	Classified information is not included in public data	Collection of data
Number of frequency bands evaluated to determine possible improvements that could be made to use spectrum more efficiently	Activities are reflected on NTIA website; weekly reports to the Secretary of Commerce; annual report to Congress	Annual	Office of Spectrum Management, Spectrum Engineering and Analysis Division	Inspection	None	None
Support new telecom and info technology by advocating Administration views in FCC docket filings and Congressional proceedings	Activities are reflected on NTIA website; weekly reports to the Secretary of Commerce; annual report to Congress	Annual	Office of Policy Coordination and Management	Inspection	Data is not quantitative but rather a qualitative assessment of current policy directions and plans.	None
Quality of Basic Research as Reflected in Peer-reviewed Publications	ITS	Annual	ITS	Inspection	None	Collection of data
Level of Technology Transfer Activities Conducted with the Private Sector through the Cooperative Research and Development Agreements	ITS	Annual	ITS	Inspection	None	Collection of data

