

# National Transportation Safety Board

## Operating Plan

### Fiscal Year 2010



**National  
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# Operating Plan

National Transportation Safety Board  
Fiscal Year 2010



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# National Transportation Safety Board

## Fiscal Year 2010 Operating Plan

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## NTSB at a Glance (FY 2009 Data)

NTSB at a Glance	
Established:	April 1, 1967
Number of Employees:	Headquarters: 299 Regional: 92
Products Adopted by the Board: <sup>1</sup>	18 Major Reports 2 Summary Reports 1 Special Investigation Report 15 Accident Briefs
Major Accident Launches:	18
Other Accident Launches:	198
International Accident Launches:	10
Recommendations Issued:	174
Recommendations Closed:	87 Closed Acceptable Status 22 Closed Unacceptable Status
Vehicle Recorder Readouts:	374
Materials Laboratory Examination Reports:	110
Vehicle Performance Reports:	48
Internet Address:	<a href="http://www.nts.gov">www.nts.gov</a>

NTSB Mission		
<p>The NTSB's mission is to promote transportation safety by</p> <ul style="list-style-type: none"> <li>• maintaining our congressionally mandated independence and objectivity;</li> <li>• conducting objective, precise accident investigations and safety studies;</li> <li>• performing fair and objective airman and mariner certification appeals; and</li> <li>• advocating and promoting safety recommendations. And</li> </ul> <p>to assist victims of transportation accidents and their families.</p>		
Vision	Values	Strategic Goals
We identify and promote lessons learned from accident investigations to help make transportation safer.	The NTSB embraces the values of transparency, accountability, and integrity in our work. We are committed to these values every day and in every way.	<ul style="list-style-type: none"> <li>• Accomplish objective investigations of transportation accidents.</li> <li>• From investigations, recommend and advocate actions that will improve transportation safety.</li> <li>• Outstanding stewardship of resources.</li> <li>• Organizational excellence.</li> </ul>

<sup>1</sup> Included as performance measures in this operating plan.

## Background, Mission, and Mandate

The National Transportation Safety Board (NTSB) is an independent federal agency charged by Congress with determining the probable cause of transportation accidents, promoting transportation safety, and assisting victims of transportation accidents and their families. The NTSB investigates accidents, conducts safety studies, evaluates the effectiveness of other government agencies' programs for preventing transportation accidents, and reviews the appeals of enforcement actions involving aviation and mariner certificates issued by the Federal Aviation Administration (FAA) and the U.S. Coast Guard (Coast Guard), as well as the appeals of civil penalty actions taken by the FAA.

To help prevent accidents, the NTSB develops safety recommendations based on our investigations and studies. These are issued to federal, state, and local government agencies and to industry and other organizations in a position to improve transportation safety. Recommendations are the focal point of the NTSB's efforts to improve the safety of the nation's transportation system.

### *NTSB Mission*

*To promote transportation safety by*

- *maintaining our congressionally mandated independence and objectivity;*
- *conducting objective, precise accident investigations and safety studies;*
- *performing fair and objective airman and mariner certification appeals; and*
- *advocating and promoting safety recommendations. And*

*to assist victims of transportation accidents and their families.*

### *Investigative Mandate*

The NTSB is also charged to investigate every civil aviation accident in the United States and significant accidents in the other modes of transportation—highway, marine, pipeline, and railroad—and to issue safety recommendations intended to prevent future accidents. The agency's authority is derived from Title 49 of the United States Code, Chapter 11, and is governed under 49 *Code of Federal Regulations*, Chapter VIII. The Board of the NTSB consists of five presidentially-appointed members, each confirmed by the Senate for a 5-year term. One Board member is designated by the President as Chairman and another as Vice Chairman for 2-year terms. The Chairmanship requires separate Senate confirmation.

The NTSB determines the probable cause of the following:

- All U.S. civil aviation accidents and certain public-use aircraft accidents.
- Selected highway accidents.

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- Railroad accidents involving passenger trains or any train accident that results in at least one fatality or major property damage.
- Major marine accidents and marine accidents involving a public and a nonpublic vessel.
- Pipeline accidents involving a fatality or substantial property damage.
- Releases of hazardous materials in all forms of transportation.
- Selected transportation accidents that involve problems of a recurring nature.

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NTSB staff takes an unbiased approach to each accident that the agency investigates. Local authorities, industry representatives, and other agencies frequently participate as parties to NTSB investigations. Our main objective is to determine the probable cause of the accident and to extract lessons learned to prevent similar accidents in the future. NTSB investigations routinely examine all factors surrounding an accident, series of accidents, or serious incidents, thereby ensuring that regulatory agencies and the industry are provided a thorough and objective analysis of actual, as well as potential, deficiencies in the transportation system.

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# NTSB Organizational Chart (descriptions start on next page)

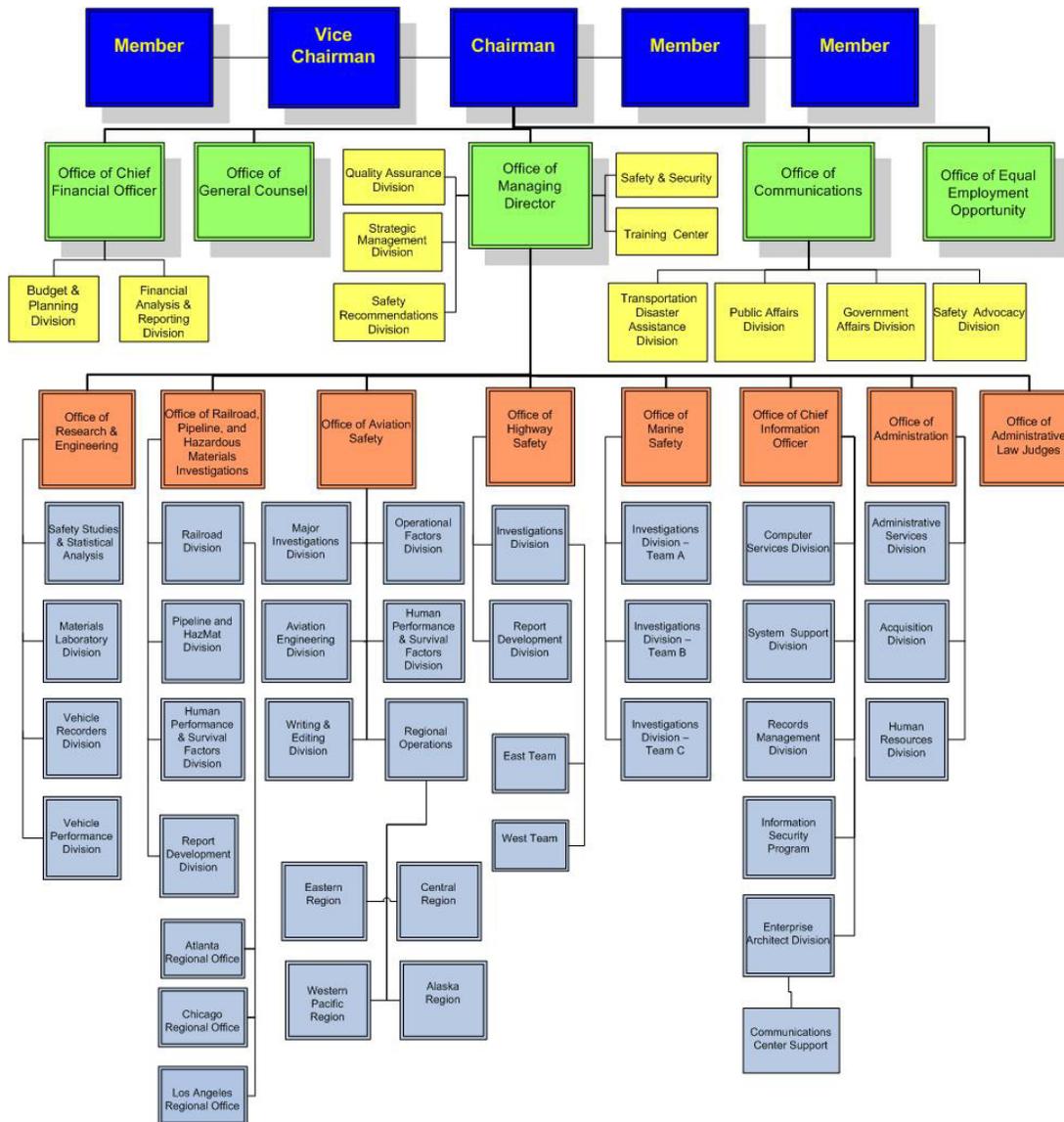


Figure 1. NTSB Organizational Chart

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## Organizational Units

As figure 1 indicates, the NTSB consists of several investigative modal offices, as well as a number of support functions, totaling about 400 employees. Each office contributes to the strategic goals of the agency through one or more of the 17 strategic objectives.

### *Office of Aviation Safety*

Within the NTSB, the Office of Aviation Safety (AS) has the responsibility for investigating aviation accidents and incidents and for proposing probable causes for the Board's approval. With only 80 accident investigators among a total staff of about 120 people, AS handles more than 1,600 aviation accidents and incidents annually. The office also works, in conjunction with the other offices, to formulate recommendations to prevent the recurrence of similar accidents and incidents and to otherwise improve aviation safety. Our investigations routinely examine all factors surrounding an accident ensuring that regulatory agencies and the industry are given a thorough and objective analysis of deficiencies in the transportation system. Most of the field investigations are led by a regional investigator from one of the four regional offices. As with other investigative modes at the NTSB, AS directly contributes to the agency's mission by accomplishing investigations and issuing recommendations to improve safety.

### *Office of Highway Safety*

The Office of Highway Safety (HS) investigates those accidents that have a significant impact on the public's confidence in highway transportation safety, generate high public interest and media attention, or highlight national safety issues. HS staff investigates accidents involving issues with wide-ranging safety significance, such as collapses of highway bridge structures, fatalities on public transportation vehicles (such as buses and vans), and collisions at highway/rail grade crossings. In addition to these more catastrophic events, HS also conducts studies based on trends emerging from NTSB accident investigations and from other research and accident data to identify common risks or underlying causes of accidents. As with the other investigative modes, HS conducts objective, precise accident investigations, analyzes the facts independently, and assists in advocating and promoting NTSB safety recommendations to help achieve the NTSB's mission of promoting transportation safety.

### *Office of Marine Safety*

The Office of Marine Safety (MS) investigates marine accidents on or under the navigable waters, internal waters, or the territorial sea of the United States and accidents involving U.S. commercial vessels worldwide. MS also investigates accidents involving U.S. public vessels and nonpublic vessels, and accidents that may involve the Coast Guard marine safety functions. The office may also investigate, independently or with another government, marine accidents in which the United States is a party of substantial interest, according to the International Maritime Organization's "Code for the Investigation of Marine Casualties and Incidents." In addition, MS investigations may include recurring accidents,

such as those related to recreational boating safety, and catastrophic accidents on U.S. waters whether or not the Coast Guard has jurisdiction.

MS safety recommendations are issued to federal government agencies, such as the Coast Guard, state agencies, vessel owners and operators, classification societies, and maritime industry organizations. MS also actively participates in U.S.-based and international groups to improve marine investigations and promote maritime safety.

### *Office of Railroad, Pipeline and Hazardous Materials Investigations*

The Office of Railroad, Pipeline and Hazardous Materials Investigations (RPH) has three distinct areas of responsibility for investigations: railroad accidents, pipeline accidents, and hazardous materials accidents across all modes of transportation. RPH analyzes selected rail accidents in depth, determining the probable causes and issuing safety recommendations to prevent the occurrence of similar accidents. Because of its small staff and limited resources, the Railroad Division cannot investigate all railroad accidents. To use its resources most efficiently, RPH has established criteria for use in the selection of accidents to be investigated. RPH also conducts studies of significant railroad safety issues, which are often based on a set of accident investigations involving similar issues. In other cases, the studies may be based on analyses of railroad safety programs, operating practices, or specific issues.

RPH is responsible for investigating pipeline accidents that cause a fatality, substantial property damage, or significant environmental impact. The office may also investigate accidents that highlight safety issues of national importance or involve a selected accident-prevention issue. RPH also is responsible for investigating accidents involving the transportation of hazardous materials. Hazardous materials safety issues frequently involve the performance of bulk hazardous materials containers, such as railroad tank cars and highway cargo tanks, in railroad and highway accidents.

RPH focuses its efforts on investigating accidents with safety issues that have the greatest potential to increase transportation safety. RPH will ensure that the depth of investigation is sufficient in each case, applying experience and judgment to resolve key issues and determine a course of action that, if implemented, will improve transportation safety.

### *Office of Research and Engineering*

Composed of four divisions, the Office of Research and Engineering (RE) provides technical support to accident investigations, conducts safety studies that examine safety issues in all modes of transportation, and provides periodic statistical reviews of aviation accidents. The Safety Studies and Statistical Analysis Division prepares safety reports based on analyses of transportation accident data, which are used to determine factors common to a series of events and to identify safety improvements or evaluate the worth of transportation-related devices or policy. The Vehicle Performance Division provides specialized aeronautical and mechanical engineering, biomechanics, and accident reconstruction support for all modes. The Vehicle Recorder Division extracts, formats, and analyzes data from aircraft flight data recorders, cockpit voice recorders, voyage data recorders, other surface recorders, and provides electronic engineering support for all accident investigation modes in examining communication and control systems. The Materials Laboratory Division performs expert

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multidisciplinary engineering and scientific analyses to determine whether the performance of materials and structures in accident conditions is related to the cause or severity of an accident, photographically documenting their findings throughout the failure analysis process. By conducting its analyses in the various divisions, RE directly influences the agency mission to accomplish objective investigations by conducting safety research and developing and advocating safety recommendations.

### *Office of Administration*

The Office of Administration (AD) is a business partner organization that coordinates and manages the infrastructure and support activities for the agency through three divisions: Administrative Services, Acquisitions, and Human Resources (HR). The goal of AD is to enable customers to carry out their mission responsibilities by delivering responsive high quality services. This office provides human resource management, employee and labor relations, facilities management and support, and acquisitions management. Other major functions managed by this office include physical inventory, shipping and receiving, telecommunications, and management of the NTSB's hearing room and conference center.

The AD staff uses key strategies and actions to support the mission of the agency. This includes the implementation of the *NTSB Strategic Human Capital Plan* and the incorporation of automation to more effectively manage and support program accomplishment. The office and its program contribute to the NTSB by providing for outstanding stewardship of resources and promoting organizational excellence.

### *Office of Administrative Law Judges*

The Office of Administrative Law Judges (ALJ) serves as the “court of appeal” for certificate holders such as airmen, mechanics, air agencies, or air carriers whenever the FAA or the Coast Guard takes a certificate action. The NTSB's administrative law judges hear, consider, and issue initial decisions on appeals filed with the agency. The judges are supported by the management, legal, and administrative staff in Washington and one regionally based staff member. This configuration enables the judges to efficiently hear and dispose of cases by providing a range of essential functions. ALJ promotes transportation safety by providing a fair and impartial adjudicatory process, assuring the protection of the parties' rights, and providing an impartial forum for the review of FAA certificate actions and denials.

### *Office of the Chief Financial Officer*

The Office of the Chief Financial Officer (CFO) provides policy guidance, manages the agency's financial resources, develops the budget requests for submission to the Office of Management and Budget and Congress, and executes the budget for resources appropriated to the NTSB by Congress. CFO also prepares the agency financial statements required by the Accountability of Tax Dollars Act of 2002 and analyzes the fee structure for services that the NTSB provides on a reimbursable basis, suggesting appropriate revisions to those charges to reflect costs incurred by the NTSB in providing those services. Additionally, the office is responsible for ensuring the NTSB's compliance with the Federal Managers' Financial Integrity Act of 1982. The office is a prime contributor to the agency's achievement of outstanding stewardship of resources.

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### *Office of the Chief Information Officer*

The primary mission of the Office of the Chief Information Officer (CIO) is to enable the execution of the NTSB safety mission by providing information technology (IT) services that support and improve key work processes. CIO also performs other critical agency functions, such as supporting the agency's compliance with the Freedom of Information Act (FOIA) and Privacy Act. CIO is committed to improving the operational efficiency and effectiveness of the NTSB by fully leveraging IT. To this end, CIO has adopted the following set of strategic principles to provide a framework for delivering IT services: Alignment, Enterprise Approach, Teamwork, Process Maturity, and Measurable Support for Best Practices. In addition, CIO has identified the following seven focus areas that support achievement of NTSB strategic goals and objectives, as well as IT strategic plan goals, while adhering to the principles identified above:

- Enterprise Architecture
- IT Security
- E-Government
- IT Capital Planning and Investment Control
- IT Infrastructure
- Information and Records Management
- IT Workforce Management

### *Office of General Counsel*

The Office of General Counsel (GC) is a service organization committed to supporting the broad mission of the NTSB and the individual investigative activities of the agency's various offices. GC supports NTSB leadership in managing the agency by ensuring that agency activities are conducted in accordance with the law. The goal of GC is to provide customers with high quality legal services in a timely and responsive fashion.

The office recognizes that as the legal function of a federal agency, it is obligated to ensure all elements of the organization serve the public interest—through proper stewardship of public monies—in the independent and thorough conduct of the NTSB's safety-critical accident investigations—and by objective, impartial review on appeal of the airman and mariner enforcement cases entrusted to the NTSB by Congress. In sum, GC helps NTSB employees accomplish the agency's mission more effectively, more efficiently, and consistent with the law.

### *Office of the Managing Director*

The Office of the Managing Director (MD) supports the NTSB mission by providing overall leadership for the management of the agency—including production, strategy, and support functions—as well as internal communications and organizational performance. MD strategies focus on enhancing individual and collective productivity with the appropriate tools and by employing innovative and sound management practices. MD ensures NTSB resources are allocated appropriately so that the agency performs its mission in the most cost-effective manner. The office coordinates the activities of the entire NTSB staff, is

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responsible for the day-to-day operation of the agency, and recommends and develops plans to achieve the NTSB's program objectives.

Within MD, the Strategic Management Division is responsible for performance management and reporting, which includes managing the development and publishing of the annual report to Congress, the *NTSB 2010-2015 Strategic Plan*, and this document. The Safety Recommendations Division is responsible for encouraging the U.S. Department of Transportation modal administrations, the U.S. Department of Homeland Security/Coast Guard, other Federal agencies, safety organizations, and industry recipients to implement the NTSB's recommendations, as well as for tracking the implementation of safety recommendations after they are issued to recipients (including maintaining statistics of recommendation adoption and acceptance rates). MD also includes the Quality Assurance Division, the Occupational Safety and Health program and the Training Center.

## Organizational Units

### *Office of Communications*

### Strategic Goal #1

The Office of Communications (OC) is responsible for designing and coordinating communications strategies to external stakeholders, including public affairs and government affairs activities, as well as coordinating support for the families of transportation disaster victims. The OC's Public Affairs Division is responsible for disseminating information on NTSB issues and activities to various media outlets. The office's Government Affairs Division is responsible for developing and maintaining the NTSB's relationship with Congressional stakeholders. OC is also responsible for safety advocacy, which is a key communications activity with outputs that include the following:

- State Advocacy—Efforts to improve safety by encouraging states to implement the NTSB's recommendations.
- Most Wanted List of Transportation Safety Improvements (Most Wanted List)—Critical changes needed to reduce transportation accidents and save lives.
- Management of the agency's Safety Alerts program.

### Strategic Goal #2

### Strategic Goal #3

Finally, OC's Transportation Disaster Assistance (TDA) Division coordinates public and private support response following transportation disasters for all modes of transportation, providing assistance to survivors, families of victims, communities, and commercial carriers. TDA services include family/victim support coordination, forensic services, communication with foreign governments, and interagency coordination. Moving forward, OC will continue to engage in advocacy efforts to promote safety recommendations, particularly those on the Most Wanted List; provide Incident Command Liaison, family assistance, and victim identification support; and initiate actions to develop the Rail Passenger Disaster Family Assistance Program.

### Strategic Goal #4

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# NTSB Strategic Goals and Strategic Objectives

Strategic Goal	Strategic Objective
<b>Accomplish Objective Investigations of Transportation Accidents</b>	Make Judicious Selections of Accidents to Investigate in Each Transportation Mode
	Appropriately Scale the Investigative Response to Accidents
	Develop and Maintain State-of-the-Art Investigative and Procedural Tools for Accident Investigations
	Ensure Effective Coordination and Delivery of Transportation Disaster Assistance to Accident Victims
<b>From Investigations, Recommend and Advocate Actions That Will Improve Transportation Safety</b>	Provide Objective and Independent Advice on Transportation Safety Issues
	Engage in Outreach with the Transportation Community to Advance Safety
	Advocate the Implementation of Safety Recommendations with Emphasis on the Most Wanted List of Transportation Safety Improvements
	Constructively Affect the Transportation Industry
	Improve Investigative Readiness by Identifying Emerging Safety Issues
	Maintain a Fair and Expeditious Appeals Process for Airmen and Mariners
<b>Outstanding Stewardship of Resources</b>	Employ Project Management Best Practices to Maximize the Effective Use of Agency Resources While Maintaining High Quality
	Effectively Use the Allocated Funds to Execute the Mission
	Utilize Effective Information Technology to Accomplish the Organization's Mission
<b>Organizational Excellence</b>	Integrate Long-Range Planning in All Elements of NTSB Business
	Align and Improve Human Capital Planning
	Maintain a Competent and Effective Workforce through Targeted Training and Employee Development
	Foster Effective Internal Communications

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## NTSB Strategic Goal #1: Accomplish Objective Investigations of Transportation Accidents

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### Objective 1.1 Make Judicious Selections of Accidents to Investigate in Each Transportation Mode

Because the resources available to the NTSB do not permit the investigation of every accident in every mode, for modes other than aviation, the agency will judiciously evaluate the significance of accidents to determine the level of investigative effort that would be necessary in each occurrence; this determination may mean not conducting an investigation in some cases. This selection process requires careful monitoring of accident events in each mode and a careful evaluation of safety issues by technical experts in each modal office. After this evaluation is complete, we will select accidents in which we launch on a case-by-case basis to ensure the maximum potential value to increase transportation safety. To determine success for this strategic objective, the NTSB will ensure that selected modes use formal launch criteria in the determination of whether to launch.

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### Objective 1.2 Appropriately Scale the Investigative Response to Accidents

#### To Achieve This Objective

In all modes, the agency will evaluate and refine our capacity to establish the appropriate scope of investigative activity and respond appropriately in both the on-scene and followup phases of accident investigations. Included in these scoping assessments will be a determination of the level of documentation and report development required for each case. Specifically, the production of reports in a timely manner ensures that necessary recommendations can be developed and issued to create the largest safety outcomes in the transportation industry. Because regulatory agencies need time to implement our recommendations, the NTSB works diligently to ensure that our process requires the minimum amount of time while still maintaining investigative quality. Where appropriate, the NTSB will make use of expedited report formats with added emphasis on electronic publication. Using state-of-the-art processes to publish our investigative findings in a more timely manner will enhance our impact on the transportation industry.

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In addition, RE will provide highly responsive support both at headquarters and, when required, with appropriate personnel on scene through custody of hardware (such as vehicle recorders) and data analysis. Specifically, the office will ensure availability of a competent investigative staff, readiness of laboratory facilities, and an effective command and communication structure to support any and all requests.

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### Relationship to Strategic Goal

To achieve target performance measures, the NTSB will have to focus on appropriately scaling the investigations, as well as the accident reports, so as to best utilize our resources. By improving our processes, the agency can partially compensate for some of the impact of staff reductions in recent years and continue to promote increased safety in the nation's transportation system. In particular, the effectiveness of this objective relates to quality, quantity, and timeliness.

Also essential to achieving this objective is RE's provision of timely technical and engineering support of the modal offices. The appropriate scaling of its response to accidents will assist in achieving Strategic Goal 1 and identifying and addressing issues that produce the greatest possible safety outcome for the U.S. transportation system.

### Performance Measures

Performance Measure Type	Measure Name	Office	FY09 Target Level	FY09 Results	FY10 Target Level
Output <sup>2</sup>	Number of products adopted by the Board including public hearings	AS	9	10	6
		HS	5	5	4
		MS	3	4	5
		RPH	6	6	5
Efficiency	Average time to complete board adopted reports	AS	15 months	13 months	17 months
		HS	15 months	15 months	20 months
		MS	15 months	17 months	14 months
		RPH	15 months	17 months	15 months
Output	Number of accident briefs adopted by the Board on notation	AS	N/A	N/A	10
Efficiency	Percent of on-scene major investigations involving RE for which RE provides treatment of evidence within 24 hours of receipt	RE	100%	100%	100%
Efficiency	Percent of scientific and engineering analyses performed by RE within agreed upon time frame	RE	N/A	N/A	75%
Output	Number of accident briefs completed and published	RPH	N/A	4	4

<sup>2</sup> Output performance measures are specific products or deliverables that are the end result of a set of activities. Outcome performance measures indicate public benefits or results that assess quality and effectiveness of an agency's performance. Efficiency measures are indicators of agency productivity.

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### Evaluation of Performance Measures

The NTSB will evaluate the achievement of these performance measures by counting the number of major investigative reports presented to and adopted by the Board at NTSB Board meetings, as well as the number of aviation accident briefs presented to and adopted by the Board in fiscal year (FY) 2010. In addition, the NTSB will count the number of briefs completed and published by RPH during the FY. Timeliness will be determined by calculating the average of the number of months from the date of an accident to Board adoption for all reports presented to the Board.

The success of these interrelated measures is critical to the ultimate effectiveness of the NTSB. With quality and timely investigations, reports, and factual analyses, the NTSB has a reliable basis to make thoughtful and comprehensive recommendations to prevent accidents and improve transportation safety.

## Strategic Goal #1

### **Objective 1.3 Develop and Maintain State-of-the-Art Investigative and Procedural Tools for Accident Investigations (Investigative Offices)**

#### To Achieve This Objective

The Principal Issues Management Model (PIMM) was initiated by RE in 2007 to evaluate the agency's accident investigation management practices, determine which are best practices, and integrate those practices with new problem solving/project management principals and techniques in selected accident investigations. The principal issues list is a comprehensive list of the safety issues developed in an accident investigation, including issues related to the probable cause(s) or contributing circumstances of the accident. After completing the evaluation of the PIMM pilot, RE will develop a report that identifies the "lessons learned" from the PIMM and considers recommendations for modifying the NTSB's accident investigation practices. Depending on the results of this evaluation, changes stemming from review of PIMM activities may be recommended in the future.

In cooperation with RE, MS will implement the PIMM as part of its accident investigation and follow-up procedures, along with prior participation by AS and RPH. The use of issue management principles and tools, including an event timeline, will enable investigators and management to focus on the specific issues of the investigation early in the process and eliminate those that are not pertinent to the investigation. This process will result in a work planning meeting focused on the accident issues and the remaining investigative work needed. MS also will institute formal analytical tools as part of the accident issue justification process. RE will foster improved project planning by implementing its principals and practices developed into various investigative projects.

#### Relationship to Strategic Goal

Use of PIMM program tools will enable the investigative report process to remain focused, avoiding delays in the development of both factual and analysis reports. Additionally,

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improvement tools, processes, and procedures used for investigation, analysis, and report writing could improve the quality and timeliness of MS products and recommendations. Effective management of the accident investigation process is as critical to the accomplishment of valid and timely accident investigations as ensuring that state-of-the-art facilities are available to support investigations. The primary rationale for undertaking the PIMM pilot project was to study and evaluate factors that contribute to accident investigation as a problem-solving exercise. Effective project planning will facilitate efficient deployment of our people, budget, and other resources, and both support and promote the strategic goal of outstanding stewardship of resources.

**Performance Measures**

Office	Performance Measure Type	Measure Name	FY09 Target Level	FY09 Results	FY10 Target Level
MS	Output	Implementation of Principles of Issue Management Model	1	Training only	1
RE	Output	Number of accident investigations using the Principal Issues Management Model in Aviation and Marine (1 per office)	3	5	2
RE	Output	Completion of evaluation report	N/A	N/A	1 report

**Evaluation of Performance Measures**

The PIMM is a promising tool to improve the investigative process. Each office that participates in the program will have its pilot evaluated to ensure continuous improvement. As additional tools are identified, the costs and benefits will be evaluated and those processes or tools that are adopted will be incorporated into the MS Quality Management System. RE, as the overall sponsor of the program will install evaluative tools into the model to ensure proper feedback and success. The office will complete a PIMM evaluation report, which will include an analysis of the success and challenges of various components of the model. The PIMM evaluation report will document each of the case studies from the PIMM pilot program, and identify the lessons learned from the pilot program. It will document the two technologies that were introduced as a part of PIMM, the Principal Issues List and the Accident Critical Events Sequences, which is a graphics tool that displays a correlation of investigative data. The evaluation report will also discuss accident investigation practices and procedures that should be incorporated in accident investigation practice, or that require further development and evaluation.

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Mandate**Objective 1.3 Develop and Maintain State-of-the-Art Investigative and Procedural Tools for Accident Investigations (Noninvestigative Offices)****To Achieve This Objective**

During FY2010, CIO will partner with AS and HS to develop a portal in SharePoint that provides a common place to collect, store, and use accident investigation data, including photos, documents, and other information pertinent to the investigative process. The pilot will also explore the inclusion of other standard products and processes and a means to track and manage resources applied to an accident investigation in participating offices. This measure will be considered complete when one or more accident portal interfaces involving AS and HS have been accomplished. If the pilot demonstrates the viability for implementation of standard accident investigation portals, the project will also yield a requirements document for development of such portals agencywide.

MD strives to include best practices to the fullest extent possible. These practices include lessons learned from the International Civil Aviation Organization (ICAO), the international body for aviation investigative standards. The office participated in the ICAO audit and analyzed the recommendations that were offered by ICAO. Based on the NTSB's analysis of these recommendations, an action plan was developed to implement recommendations that were deemed appropriate. Many of these recommendations were implemented during FY2009, and additional recommendations will be implemented in FY2010.

**Relationship to Strategic Goal**

Continuous improvement of work processes and supporting tools will enhance the NTSB's ability to determine the root causes of accidents and thus to improve transportation safety. Specifically, technology deployments, such as the SharePoint portal that supports collaboration, structured processes, and the ability to capture, process, and share data and information in the most efficient manner, will serve to leverage limited human capital resources across the organization.

In addition, using the best tools in the investigative process promotes the most effective investigations. Many of these tools can be garnered from practices developed and promulgated by ICAO. By utilizing appropriate investigative practices and standards developed by ICAO, the agency leverages the knowledge and experience of the international body and other independent investigative agencies around the world, and promotes the development of additional skills. These enhanced skills will help us achieve the objective to develop and maintain state-of-the-art investigative and procedural tools for accident investigations.

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## Performance Measures

Office	Performance Measure Type	Measure Name	FY09 Target Level	FY09 Results	FY10 Target Level
CIO	Output	Develop a pilot portal for accident investigations (participating modal offices AS and HS)	N/A	N/A	1 Portal
MD	Output	Completed action steps resulting from ICAO recommendations from the November 2007 audit	21	9	25

## Evaluation of Performance Measures

The first performance measure will be considered a success with the implementation of one or more pilot portals in the participating office. The measure also seeks to develop a set of requirements to facilitate the development of standard accident portals for each of the modal offices. Finally, as a followup to ICAO audit approaches, the completion of 25 of the ICAO recommendations will constitute completion of this measure during the FY.

## **Objective 1.4 Ensure Effective Coordination and Delivery of Transportation Disaster Assistance to Accident Victims**

### To Achieve This Objective

The NTSB's TDA staff will provide an Incident Command Liaison (ICL) to efficiently coordinate the NTSB's response with the on-scene emergency response. An ICL will be sent for all major aviation accidents and rail accidents as legislated. In addition, TDA staff will coordinate the resources of federal, state and local governments, volunteer organizations, and the air carrier or rail operator to meet the needs of aviation and rail disaster victims and their families. Using this model, TDA staff assists investigators in all modes with proactive and helpful interaction of accident victims and family members.

### Relationship to Strategic Goal

The ICL will provide the NTSB more timely and accurate information regarding the details of the accident and the initial emergency response. This will allow for a more judicious assessment of the resources needed to investigate the accident. TDA staff dispatched to fulfill family assistance and victim identification duties helps free the accident investigator-in-charge from handling these functions, providing a more efficient on-scene presence. All three performance measures support the agency's strategy of delivering effective assistance to transportation disaster victims.

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**Performance Measures**

Office	Performance Measure Type	Measure Name	FY09 Target Level	FY09 Results	FY10 Target Level
OC	Outcome	Percent of Incident Command Liaison support provided to major aviation accident investigations as legislated	100%	100%	100%
OC	Outcome	Percent of family assistance and victim identification support provided to other investigations as requested	50%	100%	50%
OC	Output	Number of key tasks completed toward full implementation of the NTSB's Rail Passenger Disaster Family Assistance program	N/A	N/A	2 key tasks

**Evaluation of Performance Measures**

Providing effective assistance to the victims and family members impacted by major transportation disasters is critical to the NTSB's mission. Ensuring proper linkage to the Incident Command System (ICS) and providing family assistance and victim identification support are pivotal family assistance responsibilities. TDA will track the number of accidents where assistance is requested by an investigator and provided. Implementation of the provisions of the Rail Passenger Disaster Family Assistance Act of 2008 will be measured by the completion of two key tasks. This program, once fully implemented, will ensure that victims and their families impacted by major rail disasters are properly assisted.

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## NTSB Strategic Goal #2: From Investigations, Recommend and Advocate Actions That Will Improve Transportation Safety

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### Objective 2.1 Provide Objective and Independent Advice on Transportation Safety Issues

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#### To Achieve This Objective

AS staff will work with Congress, as well as, congressional staff to advance aviation safety issues that are uncovered in our accident investigations. A number of approaches will be utilized for Congress to gain understanding of these issues, including in-person outreach with elected officials and committee staffers, participation in hearings and round tables, and timely responses to verbal or written inquiries. Also, RPH staff will provide advice and information on a wide range of topics that impact railroads, pipelines, and hazardous materials. In fact, all NTSB modal offices and other offices, as appropriate, will provide objective and independent advice to Congress. In turn, Congress may hold hearings, propose legislation, or take other legislative actions to improve the safety of all modes of transportation.

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The OC's office will seek out opportunities to represent the NTSB to Congress in the fairest manner possible; such efforts will help obtain the resources needed to run the agency. In an environment of limited resources, the NTSB must be diligent to ensure our agency mission is well understood by important outside stakeholders. In addition, the NTSB's work with Congress will be supported by developing appropriate testimony in response to scheduled hearings.

Strategic  
Goal #2

OC staff have identified essential NTSB programmatic issues and developed a strategy to work with key congressional contacts and other organizations. OC staff will continue to focus on issues of importance to the NTSB and its stakeholders/customers. The office's objective will be to continue to assist Congress and seek resources, such as increased funding and staffing levels, to improve our capabilities. The OC's office will continue to track the frequency of our assistance to Congress and congressional staff on safety issues by calculating the timeliness of our responses to requests. Tracking how the NTSB responds to certain product requests, including letters, faxes, testimonies, and Office of Management and Budget (OMB) requests, will enhance the NTSB's ability to be prompt and proactive in addressing congressional concerns.

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#### Relationship to Strategic Goal

This objective requires the modal offices to not only uncover safety issues in our investigative work, but also to influence the understanding of these issues by the legislators such that action can be taken. Congress provides funding to the FAA and, therefore, is in a unique position to influence action taken by the aviation rule makers with regard to aviation safety

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issues. Overall, as the NTSB gains insight into a wide range of safety issues, this will be used to provide advice and information to Congress.

Conducting NTSB mission work with Congress is critical to ensure that Congress fully understands the impact of our work. By ensuring such an understanding exists, the NTSB can obtain the maximum funding possible to expand our operations and maintain our effectiveness. With the appropriate level of funding and our hard work, the agency can develop recommendations that will continue to increase our impact on the safety of the transportation system. Providing objective and independent advice in a timely manner is an important aspect of this process.

**Performance Measures**

Performance Measure Type	Measure Name	Office	FY09 Target Level	FY09 Results	FY10 Target Level
Output	Congressional legislative actions (for example, hold hearings, propose legislation, etc.) regarding safety issues as a result of NTSB assistance	AS	N/A	N/A	2 or more actions
		RPH	1 action	4 actions	1 action
Efficiency	Congressional request response	OC	baseline	baseline	10 days

**Evaluation of Performance Measures**

AS and RPH will track congressional involvement and keep a count of legislative actions, such as congressional hearings held and legislation proposed regarding aviation, rail, pipeline, and hazardous materials safety issues that result from NTSB investigations. Both offices will maintain a running count of the applicable congressional legislative actions. Finally, OC will ensure that responses to congressional requests are issued within 10 days. Our ongoing review and monitoring of these metrics will help ensure that this performance measure is completed during the FY.

**Objective 2.2 Engage In Outreach With the Transportation Community to Advance Safety**

**To Achieve This Objective**

To promote the agency’s mission and lessons learned from accident investigations, MS will continue to be active in the marine transportation community by participating in public and marine industry activities consistent with our mission. At every opportunity, the office will press for the adoption of our high priority recommendations. In the international arena, the NTSB will participate in activities with investigative agencies from other countries to promote outreach. The NTSB has developed and published plans for AS and MS to

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ensure an integrated and systematic approach for international outreach and advocacy. The strategic plan for MS will be fully updated and republished this FY.

During FY2010, CIO will replatform the NTSB’s public website at [www.nts.gov](http://www.nts.gov) to a SharePoint environment. In addition to the technical change, the replatformed website will continue to address issues raised in a recent survey of public website customers. The issues include enhancing content, providing content in a timely manner, improving search capabilities, providing consistent and clear navigation, and facilitating the ability to interact with our customers through the deployment of improved web functionality. The measure is considered complete upon implementation of a replatformed and enhanced NTSB public website.

**Relationship to Strategic Goal**

Our participation in these activities will promote the agency mission in MS and stress the importance of a robust safety culture within the marine industry. Mainly, the NTSB influences transportation safety through the quality of our products and our reputation. Outreach on issues important to the NTSB is achieved through multiple channels that include attending and speaking at conferences, participating in transportation-related professional organizations, creating targeted public relations initiatives, supporting congressional liaison activities, and presenting products and information on our public website.

Products and information presented on the NTSB public website include a database of over 140,000 aviation accidents (1962–present), a database of NTSB safety recommendations (1967–present), the NTSB’s Most Wanted List, numerous dockets, safety reports, and other information relating to transportation safety and NTSB mission activities. Having all of this information in one easily accessible place allows a broad range of constituents, such as researchers, industry analysts, regulatory and law making bodies, and people from around the world to make use of the NTSB’s knowledge and products in a timely and cost effective manner for all parties. Providing a modern, updated public website with enhanced features will further improve the ability of our stakeholders to make productive use of the NTSB’s data and information. The effective presentation of data is an important aspect of outreach.

**Performance Measures**

Office	Performance Measure Type	Measure Name	FY09 Target Level	FY09 Results	FY10 Target Level
MS	Output	Update and publish the International Marine Strategic Plan	N/A	N/A	Publish plan
CIO	Output	Update and enhance NTSB public website to improve outreach	N/A	Enhanced pages	Enhanced website

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### Evaluation of Performance Measures

Outreach activities include any participation in or presentation to a marine industry group, such as a pilots' association and any of several Coast Guard safety advisory committees. Technical working groups are typically associated with delegation work/preparation for the International Maritime Organization. In order to make efficient use of funding, planning international engagement activities must be revisited annually and an agreed upon plan made available. The publishing of the plan is the main deliverable for this measure. Secondly, the website measure will be considered a success with the delivery of a replatformed, enhanced public website.

### **Objective 2.3 Advocate the Implementation of Safety Recommendations With the Emphasis on the Most Wanted List of Transportation Safety Improvements**

#### To Achieve This Objective

MS in cooperation with OC will develop a marine advocacy plan. This plan will give support for outstanding marine safety recommendations. These offices will develop target groups identified for our advocacy and include the approach in the plan. Such groups could include the Passenger Vessel Association, American Waterways Operators, the American Pilots Association, the Maritime Academy Council, and the Cruise Lines International Association. MS works directly with individual stakeholders and stakeholder groups in promoting acceptance of our marine recommendations.

RE will engage in a variety of advocacy activities to address RE-related Most Wanted List issues and other critical RE-related transportation safety issues, such as improving airplane simulation training, improving policies and regulations on the use of prescription and nonprescription drugs by transportation operators, requiring the use of aviation image recorders, improving main rotor blade bonding certification and testing requirements, improving aircraft icing certification and deice boot operation, and improving policies and regulations to address human fatigue in transportation.

OC and MD will use the NTSB's Most Wanted List to implement recommendations that affect or enhance transportation safety at the national and state levels or have a high level of public visibility/interest. Implementation of these recommendations will build a more positive or secure view of the transportation system in the eyes of the public. The federal portion of the Most Wanted List will address issues for which positive changes are needed primarily by federal agencies. The state portion of the Most Wanted List will address issues that require safety improvements at primarily the state level.

Finally, MD will engage in conference calls and meetings with the U.S. Department of Transportation and other recipients of safety recommendations to foster better understanding of the need for the safety improvements recommended. OC will engage in conference calls, coalition meetings, letters of support, testimony, and press conferences on behalf of state legislation in line with NTSB safety recommendations.

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Ensuring that the NTSB outreach efforts include advocating recommendations to groups mentioned above will promote transportation safety in the industry. By collaborating with industry/Coast Guard working groups, MS has direct input to both domestic and international rulemaking. In addition, implementation of RE-related Most Wanted List issues and other critical RE-related transportation safety issues is an opportunity for RE to increase the NTSB's impact on the safety of the transportation system. The NTSB will advocate our recommendations with the safety stakeholders in these groups. Overall, advocacy efforts by all NTSB offices contribute to our impact on the safety of the transportation system, which is the critical component of our agency's mission.

### Performance Measures

Office	Performance Measure Type	Measure Name	FY09 Target Level	FY09 Results	FY10 Target Level
MS	Output	Finalize and publish marine advocacy plan to include the Most Wanted List	1 plan	In progress	Publish plan
RE	Output	Number of advocacy efforts to address RE-related Most Wanted List issues and other critical RE-related transportation safety issues	6	7	6
OC/MD	Outcome	Number of successfully implemented Federal Most Wanted List recommendations within the last 5 years	8	20	20
OC	Outcome	Number of changes to legislation or regulations that address NTSB state Most Wanted List recommendations	7	35	10
OC/MD	Outcome	Number of advocacy efforts engaged in to increase NTSB impact on the safety of the transportation system	N/A	309	250

### Evaluation of Performance Measures

As the NTSB's most important product, safety recommendations are vital to the agency's basic accident prevention role. The safety recommendation process is the instrument used to bring about change to, and improvement in, the nation's transportation system. The NTSB established, and OC administers, the Most Wanted List to highlight recommendations that would have the greatest impact on transportation safety at the national level if implemented and that represent actions that the agency believes will build a more positive or secure view of the transportation system. The third and fourth performance measures calculate changes made to the Most Wanted List as a result of implemented safety recommendations. The last performance measure calculates those activities necessary for persuading recipients to implement safety recommendations.

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For FY2010, with regard to the third performance measure, OC and MD will calculate those safety recommendations on the federal portion of the Most Wanted List which have been implemented within the last 5 calendar years (CYs) (2005 through 2009). OC and MD selected CY instead of FY because the information is difficult to track, manually calculated, and the federal portion of the Most Wanted List is updated only once a year. Because FY2010 will end before CY 2010, NTSB staff selected CY 2009 as the end point.

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With regard to the fourth performance measure, OC selected a target level less than FY2009 results for several reasons. First, the 2009 state legislative sessions were unusually active, particularly as a result of federal financial incentives that were sunseting. Second, not all state legislatures will meet in 2010. Third, as safety recommendations on the state portion of the Most Wanted List are implemented, the available number of changes decreases.

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The last performance measure is new. In previous years, the NTSB tracked only advocacy efforts undertaken at the state level to implement state safety recommendations. The NTSB is now expanding the measure to track all safety recommendation advocacy efforts initiated to increase the NTSB's impact on the transportation safety system. The NTSB selected a target level less than FY2009 results because this measure is new and data from multiple years will need to be obtained before identifying an appropriate target.

## Strategic Goal #2

Finally, through our advocacy activities, RE will achieve this objective by demonstrating a positive influence with a recognizable outcome in each of the six issue areas. For example, a topic may be accepted by a government/industry working group or a conference may be organized to address a specific issue. MS will publish an advocacy plan to support the contribution of the office to this strategic objective.

## Objective 2.4 Constructively Affect the Transportation Industry

### To Achieve This Objective

It is not enough to merely conduct accident investigations, the NTSB must also use the information gained in those investigations to identify and promote lessons learned to help make transportation safer. For example, in general aviation investigations, often corrective actions can be taken locally, and safety results are the way that AS documents these improvements. For commercial aviation, because the FAA has the authority to impose rules and regulations on the aviation industry, it is the recipients of our recommendations. In order to constructively affect the transportation industry, AS staff must work closely with the FAA to encourage rulemaking or other legislative actions that will mandate improvements to aviation safety.

In the highway area, the NTSB monitors highway accidents to identify those that have potential new, nationwide safety issues. Because there are close to 7 million accidents per year and the NTSB can only investigate about 5 to 6 per year, the NTSB must be very selective in choosing which accidents to investigate. In identifying new issues that other highway safety organizations have not addressed, HS provides a unique and invaluable service to the transportation community.

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The NTSB improves safety by investigating accidents and making recommendations but is effective only when recommendations are acted upon. MS must be knowledgeable of the limitations of recommendation recipients to effect change due to legislative restrictions, business environment, or corporate culture. In developing appropriate and realistic recommendations, MS must consider history as well as an organization's incentives for adopting regulations. Furthermore, following up on recommendations has shown to be valuable in urging organizations, including state and federal organizations, to act on recommendations.

International parties are frequently the recipients of recommendations given the large volume of foreign flag vessels calling in U.S. ports. Some investigations have the potential to involve foreign governments whose own independent investigative bodies participate jointly in an investigation with MS investigators. Although not all such agencies are represented in the Marine Accident Investigators International Forum (MAIIF), a high number participate regularly. Additionally, lessons learned within the international organizations can benefit MS. By sharing MS lessons learned and investigative tools, international marine accident investigations will improve, enhancing marine safety internationally with direct and indirect benefits to the U.S.

RPH accident investigations document the facts and circumstances directly related to railroad, pipeline, and hazardous materials accidents. Analysis of these facts allows us to identify safety issues; reach findings, conclusions, and probable cause; and make safety recommendations to prevent the recurrence of accidents. By sharing the lessons learned from its accident investigations and the logic and reasoning for recommended changes, RPH can persuade those receiving safety recommendations that implementing the recommended actions can be effective in helping to prevent similar accidents.

While the NTSB cannot require that action on safety recommendations be implemented, RPH managers and staff can initiate many different activities to promote action on identified safety issues and recommendations. By clearly identifying new and recurring safety issues in accident investigation reports and identifying new or open safety recommendations that could reduce or prevent the likelihood of similar accidents, the following can be accomplished:

- Responsible government and industry organizations can focus on needed corrective actions or safety improvements.
- Conferences and national meetings can focus attention on lessons learned from accident investigations, safety issues, and open safety recommendations.
- Staff participation in industry safety standards and government regulatory advisory committee meetings can focus attention on safety recommendations, and staff explanations of the logic and reasoning behind the safety recommendations can be determining factors that result in the desired improvements.
- Periodic meetings with regulatory staff of modal agencies can reenergize action needed to complete the implementation of safety recommendations.

### **Relationship to Strategic Goal**

The NTSB's recommendations are derived from thorough investigations of accidents. Therefore, the NTSB is able to uncover safety issues that other federal, state, and local transportation safety organizations have overlooked or underappreciated. By thoroughly

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documenting causes in our accident reports and making recommendations, the NTSB helps direct the focus of other transportation safety organizations toward reducing accidents and improving transportation safety. This objective will address the actions that are taken to improve transportation safety as a result of our investigations and recommendations. All of the NTSB’s modes make significant contributions to this strategic objective.

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Historically, the Coast Guard has received more recommendations from the NTSB than any other entity. About 72 percent of recommendations made to the Coast Guard are classified “Closed—Acceptable Action.” MS will work to develop recommendations that can be implemented and will periodically reinforce with the Coast Guard the benefits of adopting recommendations. The goal for 2010 is to have 80 percent of recommendations classified “Closed—Acceptable Action.”

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RPH has constructively affected the transportation industry by successfully focusing its attention on the lessons learned from accident investigations and on recommended safety improvements that have resulted in the following: (1) standards or rulemaking committees actively working to address safety recommendations; (2) standards or regulations being drafted through rulemaking or industry processes; (3) final rules, industry standards, or operating procedures being adopted; (4) lessons learned from accident investigations and recommended actions for safety improvements being included on agendas at national conferences and highly visible public events; and (5) legislative action requiring that recommended safety improvements be implemented.

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**Performance Measures**

Office	Performance Measure Type	Measure Name	FY09 Target Level	FY09 Results	FY10 Target Level
AS	Outcome	Rulemaking or other legislative action taken by the FAA to improve aviation safety on issues identified in NTSB safety recommendations	N/A	N/A	6 actions
AS	Outcome	Percentage of regional investigations that result in documented safety improvements	10%	30%	30%
HS	Outcome	Percentage of major investigations that result in NTSB-adopted safety recommendations	100%	100%	100%
HS	Outcome	Action steps taken by transportation organizations as a result of safety issues identified by the NTSB	3	4	5
MS	Outcome	Percentage of recommendations to the Coast Guard and the maritime industry that are adopted	N/A	72.6%	80%
RPH	Outcome	Rulemaking or other proposed action by the FRA or other regulatory agencies to improve safety on issues identified in NTSB safety recommendations	1 action	6 actions	1 action

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## **Evaluation of Performance Measures**

For AS, the Electronic Accident Data Management System (eADMS) database<sup>3</sup> will be used to document the percentage of regional investigations that are closed with a safety improvement indicated in the safety results block. AS staff will maintain a log of rulemakings or other legislative actions that result from NTSB safety recommendations as documented in the *Federal Register*. HS will track the results of this performance measure to ensure progress toward the target level. MS will annually survey MAIF members and track Coast Guard recommendations. Finally, in order to evaluate the success of the above performance measure, RPH will maintain a running count of the following actions:

- Standards or rulemaking committees actively working to address safety recommendations.
- Standards or regulations that are drafted through rulemaking or industry processes.
- Final rules, industry standards, or operating procedures that are adopted.
- Occasions that lessons learned from accident investigations and recommended actions for safety improvements are included on agendas at national conferences and at highly visible public events.
- Legislative action that requires recommended safety improvements be implemented.

For all modes, this objective will be deemed a success as each of the outcome based performance measures associated with the objective are accomplished.

## **Objective 2.5 Improve Investigative Readiness by Identifying Emerging Safety Issues**

### **To Achieve this Objective**

In the aviation area, as a result of our investigations, AS can develop and issue safety recommendations that are supported by a fact-based rationale. However, there are often other still developing issues that have the potential to be identified as causes of accidents or to complicate the investigation of future accidents. These emerging issues might include trends that are beginning to be seen across accidents or the introduction of new technologies in the design of aircraft. AS will undertake an initiative aimed at identifying emerging aviation safety issues and highlighting them as potential subjects for studies or further discussion with stakeholders in the aviation industry. The office will contribute candidate topics to the NTSB's Emerging Issues List, which will be compiled by RE.

In contrast to AS, HS has the advantage of broad discretion over which accidents it chooses to investigate. HS sees it as its duty to uncover and investigate the most important *new*

<sup>3</sup> The NTSB aviation accident database contains information from 1962 and later about civil aviation accidents and selected incidents within the United States, its territories and possessions, and in international waters.

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highway accident issues during the course of each year. In this way, HS ensures that the efforts of its dedicated staff are directed toward generating the best possible safety outcome for the traveling public. The office will undertake an initiative aimed at identifying emerging transportation safety issues and highlighting them as potential subjects for NTSB studies or discussion with stakeholders in the transportation community. HS will contribute candidate topics for the NTSB's Emerging Issues List as warranted.

Organizational Units

In the marine mode, MS will continue to contribute candidate topics for the NTSB's Emerging Issues List, as warranted. In cooperation with RE, MS will develop a white paper on selected emerging marine safety issues and plan how the issues will convey information to industry to make it aware of safety benefits.

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Finally, as a result of its investigations and studies, NTSB can develop and issue safety recommendations that are supported by facts. Once implemented by the appropriate organizations, these recommendations contribute to a safer transportation system. All modal offices will identify emerging transportation safety issues, highlight them as potential factors in transportation accidents, and identify the means to best prepare the NTSB to investigate accidents related to the emerging issues. All modal offices will also contribute candidate topics to RE for the NTSB's Emerging Issues List as warranted.

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**Relationship to Strategic Goal**

By identifying emerging issues before they become causes or complicating factors in accidents, the NTSB increases the likelihood that it can make recommendations that will prevent future accidents and save lives. Also, by maintaining a focus on emerging trends and issues, staff can be equipped with the resources and knowledge to increase our impact on the safety of transportation. This also improves our readiness for future investigations.

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**Performance Measures**

Performance Measure Type	Measure Name	Office	FY09 Target Level	FY09 Results	FY10 Target Level
Output	Complete specific action (for example, hold a hearing, propose legislation, staff training, etc.) to advance industry awareness of issues identified on the Emerging Issues List	AS	1 action	1 action	2 actions
		HS	1 action	N/A	1 action
		MS	N/A	N/A	1 action
		RPH	N/A	N/A	1 action
Output	Develop and publish list of emerging transportation safety issues	RE	Publish list	List published	Publish list

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### **Evaluation of Performance Measures**

AS will maintain a log of actions taken (such as holding a public hearing or forum, hosting an industrywide meeting, issuing a safety recommendation, etc.) to advance awareness and/or address safety issues identified on the Emerging Issues List. MS will highlight emerging safety issues within the framework of outreach and advocacy efforts and will focus on specific actions to achieve the result. HS will conduct public hearings, symposia, and forums to help focus public attention on emerging highway safety issues that may be overlooked or underappreciated by policy makers. RE will continue to serve its role by analyzing emerging issues from all the modes and providing appropriate visibility through website publication. For all modes, the hallmark of success for this strategic objective will be the successful completion of specific actions, such as hearings and proposed legislation that will advance awareness of emerging safety issues.

## **Objective 2.6 Maintain a Fair and Expedient Appeals Process for Airmen and Mariners**

### **To Achieve This Objective**

Airmen and mariner cases are generally assigned for hearing to the administrative law judge whose circuit includes the geographic region in which the events underlying the certificate action occurred. From now on, ALJ will consider whether the assignment of a case according to region would negatively impact the amount of time it would take to hear the case. Under this initiative, schedule considerations will be taken into account when assigning cases. This also will ensure a more even distribution of cases among our judges and result in a more efficient use of judicial resources. Additionally, this will prevent undue delays in hearing cases that result from spikes in cases coming from the regional offices that would be assigned to the judge depending on the circuit in which it falls. This will most effectively utilize our human capital resources and prevent unnecessary delay in the scheduling and disposition of cases.

An emergency action is an enforcement action taken by the FAA when the administrator determines that public interest and air safety require the immediate suspension or revocation of an operator's certificate. As a consequence, this leaves the operator without use of the certificate during the pendency of the appeal. ALJ will hold emergency hearings within 30 days of receipt of the appeal thus allowing the maximum time for the full Board to render opinion and orders on the appeal. The measure will ensure that airmen who are the subject of an emergency action are given an expedited hearing and have a final disposition of their cases within 60 days from the date the appeals are received as required by statute. Further, airmen who receive a favorable decision from the NTSB are not unfairly deprived of the use of their certificates for a prolonged period of time.

The NTSB also seeks to efficiently manage both emergency and nonemergency appellate dockets for those appeals to the full NTSB Board by providing timely decisions at the Board level as well. To do so, the Office of General Counsel will submit to the Board Members draft opinions and orders for notation in emergency appeals within no more

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than 21 days from the date of receipt, or one week prior to the expiration of the agency’s statutory 60-day deadline, whichever date occurs earliest, thereby ensuring efficient and timely satisfaction of one of the NTSB’s core statutory responsibilities. Furthermore, GC will submit to the Board Members draft opinions and orders for notation in nonemergency appeals within 3 months of the case being fully briefed by the litigants, and thus ready for consideration by the Board. GC will also keep the backlog of nonemergency enforcement cases at a reasonable level, thereby meeting this important statutory responsibility in a timely manner.

**Relationship to Strategic Goal**

Considering timeliness and staff resources when assigning cases in the manner referenced above will facilitate the expeditious hearing of cases. In emergency cases, the certificate holder is precluded from using the certificate during the pendency of the appeal. Therefore, every effort will be made to limit the amount of time that such certificate holders who receive a favorable decision from the NTSB will not be deprived of the use of their certificates. With respect to nonemergency cases, this method of assignment will avoid situations in which cases languish due to uneven workloads among the judges at any particular time. Use of these strategies will contribute significantly to a fair and expeditious appeals process.

GC is primarily responsible for managing the NTSB’s enforcement appellate docket once cases are appealed to the full NTSB Board. GC must keep the docket at that level timely and responsive to litigants. These performance measures address the accuracy and efficiency with which GC supports agency functions by thorough planning and careful monitoring of its enforcement appeals activities.

**Performance Measures**

Office	Performance Measure Type	Measure Name	FY09 Target Level	FY09 Results	FY10 Target Level
ALJ	Outcome	Percentage of total cases disposed of during the fiscal year	50%	77%	75%
ALJ	Efficiency	Percentage of emergency hearings conducted within 30 days	N/A	N/A	90%
GC	Efficiency	Percentage of emergency opinions and orders submitted on time	95%	100%	95%
GC	Efficiency	Percentage of nonemergency opinions and orders submitted on time	80%	97%	85%
GC	Output	Total number of nonemergency enforcement backlog cases on hand	40	23	40

**Evaluation of Performance Measures**

ALJ will monitor the scheduling of hearings and the workload of each judge and make adjustments in case assignments or case transfers when bottlenecks in workflow occur.

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measures: extensive discovery considerations; legitimate scheduling conflicts with the parties and other witnesses; lack of courtroom space; spike in incoming cases or emergency cases that tax the availability of judges to hear cases. Additionally, an influx of emergency cases received around the same time period that taxes the ability of the judges to hold hearings in different locations during the same 30-day time frame may affect the achievement of this measure. Still, ALJ will monitor the metrics for this objective closely and ensure appropriate resources are allocated to increase the chance of completion.

GC will monitor all required filings and record those instances in which a filing deadline was not met. Success in this objective will be reflected in consistent, on-time filings in adjudicative proceedings so as not to jeopardize agency interests in litigation. In addition, a database will be maintained by the paralegal manager of the enforcement program within the office showing all processing dates for each enforcement case. Satisfying these objectives will result in the timely processing of all appeals before the full Board, thus preventing a backlog of cases. Timely processing of cases in this fashion will serve the interest of transportation safety and give appellants a fair and prompt adjudication in matters before the NTSB.

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Background,  
Mission, and  
Mandate**NTSB Strategic Goal #3: Outstanding  
Stewardship of Resources**Organizational  
Units**Objective 3.1 Employ Project Management Best Practices  
to Maximize the Effective Use of Agency Resources While  
Maintaining High Quality****To Achieve This Objective**Strategic  
Goal #1

RE will perform large-scale safety studies on issues of interest to the NTSB regarding transportation safety. RE will employ appropriate research methods and will use state-of-the-art computational tools to conduct statistical and advanced data analysis. The office will continue to develop safety study proposals, which is an important mission for RE.

Strategic  
Goal #2

AD will maintain a healthy, safe, secure, and accessible physical work environment. AD will ensure that the lessor and General Services Administration properly maintain our spaces at headquarters and the regional offices to ensure a healthy, safe, secure, and accessible work place. This commitment will be enforced by the regular inspection of all NTSB facilities to comply with a strict checklist comprising key requirements. In addition, when internal maintenance and facility requests are received, AD will expedite a solution to such requests in a timely manner. NTSB employees are extremely important customers.

Strategic  
Goal #3

CIO prepares reports for OMB on a regular basis on IT security, privacy, e-Gov activities, enterprise architecture, IPv6 compliance, capital planning and investment control, and other areas of e-government. CIO also is responsible for the NTSB's FOIA Program as well as ensuring best practice adoption, which is reviewed annually by the U.S. Department of Justice. As is the case with many major programs, goal objectives and results are evaluated on an ongoing basis and expectations are modified as programs mature and/or specific focus areas emerge. For example, privacy has become a more significant part of the annual Federal Information Security Management Act (FISMA) report in recent years.

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GC will conduct a number of activities to support this objective. For example, GC will ensure timely filing of required documents in all adjudicative forums handling employment cases related to the NTSB, thereby enhancing the effectiveness of NTSB counsel in employment litigation and helping maintain a professional mission-oriented workforce. GC will also respond to requests for ethics advice or to perform conflict reviews for new employees, thereby enhancing the ability of the NTSB to expeditiously employ highly qualified personnel.

**Relationship to Strategic Goal**

Safety studies generate findings that increase the NTSB's impact on the overall safety of the transportation system. By completing safety studies, RE will offer the NTSB, other

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governmental agencies, and the transportation industry the basic data and analysis by which to effect improvements in transportation safety.

Monitoring and efficiency are key elements for AD in maintaining outstanding stewardship of resources. By focusing on the efficiency of internal processes, such as facility inspections and service requests, AD fosters outstanding stewardship of resources by employing excellent project management principles in our work.

CIO considers adoption of governmentwide best practices and compliance with specific governmentwide mandates that will ensure the NTSB executes an appropriate IT Governance Program in planning, acquiring, securing, and operating IT systems and assets, as well as ensures that the agency operates an effective FOIA program. Adoption and continued execution of relevant best practices within CIO is an example of outstanding stewardship of resources.

Monitoring and efficiently using federal funds are key factors in maintaining outstanding stewardship of public resources. Because of the significant workload handled by the small legal staff supporting the agency’s management team and the mission activities of the individual offices, GC must be exceedingly efficient and attentive to its major programs.

**Performance Measures**

Office	Performance Measure Type	Measure Name	FY09 Target Level	FY09 Results	FY10 Target Level
RE	Output	Number of safety study proposals developed for consideration for notation	2	6	2
AD	Outcome	By the end of 2012, complete all facility inspections at every regional office in increments of 25% per year, based on availability of funds	25%	33%	25%
AD	Efficiency	Average number of days to complete request for service for internal programs	5 days	3.8 days	4 days
CIO	Output	Submit all required reports to OMB by established due dates	100%	100%	100%
GC	Efficiency	Percentage of required documents for adjudicative forums related to employment cases submitted timely	95%	100%	95%
GC	Efficiency	Percentage of new employee ethics and conflicts review requests responded to within 14 days	75%	85%	75%

**Evaluation of Performance Measures**

RE will continue its practice of developing and submitting safety study proposals, and completion of this measure will be satisfied with two topics developed and assessed for

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consideration as a study proposal. These studies will ensure that important issues of transportation safety are researched and analyzed. As in past years, RE will develop and assess two safety study proposals for possible adoption by the Board.

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By 2012, AD expects to complete all facility inspections at each regional office, inspecting 25 percent of the sites per year. Facilities operations staff personnel will conduct the physical site inspections by using a predetermined inspection checklist. AD will review the inspection checklist to ensure the space is healthy, safe, secure, and an accessible physical work environment. Also, AD is committed to providing timely response to service requests. The agency's service call program provides reports of actual service requests received, service requests completed, and length of time to complete requests. Total amount of time divided by the total number of service requests will provide the data concerning the average length of time to complete requests.

Strategic Goal #1

For CIO, the performance measure will be considered complete when all required reports are submitted within established due dates for FY2010.

Strategic Goal #2

GC will maintain a log of incoming requests for new employee orientation and track the time it takes to accomplish the ethics counseling and review. The office will be able to identify those accomplished within the target time period. GC will survey those permanent employees receiving new employee legal orientation over the preceding year to determine their satisfaction level. GC will also receive the percentage results from the Strategic Management Division, which will oversee the survey, once Zoomerang™ computerized survey results have been tabulated. The percentage of employees responding either satisfactory or higher will constitute this reportable metric. Satisfying these objectives will serve to attract, train, and maintain an effective workforce.

Strategic Goal #3

**Objective 3.2 Effectively Use the Allocated Funds to Execute the Mission**

To Achieve This Objective

AD will initiate, coordinate, and generate the NTSB annual procurement forecast to assist in proper acquisition planning. Additionally, the office will assess NTSB contracting requirements to identify effective and innovative solutions to acquisition matters to ensure the NTSB receives the best value of goods and services in a timely manner. By maximizing the use of the NTSB Training Center space, AD will offset some of the costs of renting and maintaining the space. Finally, AD will work collaboratively with appropriate NTSB offices to maximize cost recovery efforts at the Training Center.

Strategic Goal #4

In addition, by providing training services to customers and acquiring reimbursable funds generated through increased use of the Training Center, the NTSB will work to reduce the direct and indirect costs of delivering educational content at the facility. The training center will offer training rooms and/or common areas in the NTSB Conference and Training Centers to other organizations on a reimbursable basis, as well as coordinate the use of training space with the Training Office to enhance the utilization rate at the Training Center. All of these activities promote the most effective use of allocated funds.

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CFO staff will direct, manage, and provide policy guidance and oversight on financial management. To achieve this objective, the CFO will direct the monthly “closing-of-the-books” process, thereby ensuring efficient use and allocation of funds. The CFO measures listed here are required components of the “closing-of-the-books” process. Overall, CFO’s main responsibility is to ensure that the agency’s financial condition is accurately reflected by its financial statements.

### **Relationship to Strategic Goal**

Monitoring and efficiently using federal funds are key factors in maintaining outstanding stewardship of resources. The measure demonstrates the NTSB’s ability to utilize and control budgetary resources efficiently and effectively. CFO focuses on the efficiency of internal transactions, such as budget allocation to offices. In addition, CFO ensures that there is no double counting of obligations, which in turn promotes accuracy in the reporting of financial information.

Developing an efficient and effective budgeting process is critical to maintaining outstanding stewardship of public resources. Adequate allocation of funding is important to achievement of the strategic objective. Monitoring and efficiently using federal funds are key factors in maintaining outstanding stewardship of public resources. Timely submission of financial statements and response to audit questions allows CFO to effectively provide quality and accurate work to its customers. These financial management activities will allow the NTSB to improve the stewardship of the resources employed by the agency.

Finally, AD is responsible for ensuring that procurement activities are efficient and cost effective. The Procurement Award Lead Times (PALT) calculation goal points the agency toward more effective use of allocated funds, which leads to outstanding stewardship of resources. Moreover, AD’s stewardship of the Training Center’s revenues and expenses are a direct reflection of the agency’s commitment to businesslike and efficient operations. Improving the cost recovery of the Training Center contributes to the agency’s bottom line and exemplifies our strong stewardship of resources.

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Office	Performance Measure Type	Measure Name	FY09 Target Level	FY09 Results	FY10 Target Level
AD	Outcome	Ensure all contract requirements are awarded within NTSB established Procurement Award Lead Times	75%	96%	75%
AD	Outcome	Enhance cost recovery for NTSB Training Center equal to or greater than FY2009 levels	Greater than FY2008	Greater than FY2008	Greater than FY2009
CFO	Outcome	Ensure timely submission of annual financial statements to OMB, U.S. Department of the Treasury, and Congress within 7 business days of the established timeframe (all statements)	Yes	Yes	Yes
CFO	Efficiency	Percent of quarterly financial statements submitted to OMB within established timeframes (3 of 3 quarters)	75%	100%	100%
CFO	Efficiency	Timely issuance of budget allocation to NTSB offices	N/A	N/A	10 business days

**Evaluation of Performance Measures**

In order for AD to achieve the PALT percentage goal regarding contract requirements, the number of assignments awarded within established PALT is divided by the total number of assignments. This measurement will be calculated each quarter to capture the year-to-date percentage. In addition, the agency's mandate is to ensure that cost recovery efforts for the Training Center improves each and every year. Over the years, AD, in collaboration with MD and CFO, has developed internal tracking mechanisms that ensure close monitoring of Training Center revenues and expenses, and this ongoing review by NTSB management helps ensure that cost recovery continues to grow over time.

CFO will monitor the submission of required reports closely and ensure successful completion of this performance measure. CFO will ensure that budget allocations occur in a timely manner to internal offices so that performance based budgeting can occur at the office level, maximizing allocations to be considered along with necessary program expenses.

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## Objective 3.3 Utilize Effective Information Technology to Accomplish the Organization’s Mission

### To Achieve This Objective

This measure will execute a series of IT projects to improve NTSB business processes by more fully integrating and leveraging IT in reengineered NTSB business processes, as well as, improving communications technology to support NTSB employees in the office, in the field, and on approved telework assignments. To achieve this qualitative objective, CIO will undertake a number of more quantifiable projects to more effectively integrate and leverage IT across NTSB business processes.

The specific accomplishment of this objective will involve the deployment of the following outputs: implementing a secure wireless solution for agency laptops, enhancing the new SharePoint platform by implementing additional mission-related applications, and continuing to enhance components of the agency’s accident investigation systems (eADMS, Docket Management System, etc.).

### Relationship to Strategic Goal

The deployment/leveraging of IT serves to optimize NTSB resources, improve productivity, and strengthen communications among a variety of functional entities, which promotes outstanding stewardship of resources. Technology continues to drive efficiency in government, and the NTSB is a strong advocate for implementing this approach.

### Performance Measure

Office	Performance Measure Type	Measure Name	FY09 Target Level	FY09 Results	FY10 Target Level
CIO	Output	Implementation of information technology upgrades to support modal and administrative offices	N/A	N/A	Three upgrades

### Evaluation of Performance Measure

The performance measure will be considered complete when a number of IT projects—three upgrades—are completed in FY2010. Each of the activities has an electronic based component that will be manually verified at time of deployment. Over the life of the *NTSB 2010-2015 Strategic Plan*, a number of IT projects will be undertaken to improve the overall operational efficiency of modal and nonmodal offices. During each FY, specific projects will be identified and a separate percentage completion rate established. The completion rate will take into consideration the scope and interrelationships, if any, among the projects, the current state of resources available, and any additional external or internal factors present for that FY.

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Background,  
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Mandate**NTSB Strategic Goal #4: Organizational  
Excellence****Objective 4.1 Integrated Long-Range Planning in all Elements  
of NTSB Business****To Achieve This Objective**

RE will perform large-scale safety studies on issues of interest to the NTSB regarding transportation safety. RE will employ appropriate research methods and will use state-of-the-art computational tools to conduct statistical and advanced data analysis. The office will meticulously analyze the Aviation Accident Database to produce comprehensive annual reviews of general aviation and air carrier aviation.

CFO will direct, manage, and provide policy guidance and oversight on financial management. In addition, the office will prepare and present financial statements in an auditable condition to the oversight entity or its representatives for an audit opinion. Overall, CFO is responsible for ensuring that the agency financial condition is accurately reflected by its financial statements.

The Clinger-Cohen Act of 1996 requires the CIOs of federal agencies to develop plans that support the strategic direction of their agencies. In late FY2007, CIO completed and posted the NTSB's first IT strategic plan. The IT strategic plan will be reviewed and updated on an annual basis, as it was in FY2008 and FY2009, to adapt to changes in NTSB goals and objectives and/or changes to specific IT mandate requirements. CIO will solicit staff input to the development of our IT strategic plan and distribute the completed plan to all members of the CIO team and ensure that staff members know and understand the role they have to play in ensuring that our annual objectives are met.

MD will continuously foster and encourage an atmosphere of planning. Plans and their subsequent implementation will ensure the agency is following best practices in the government for continuous improvement. To that end, the office will ensure that high visibility reports are consistent with best practices in planning and project management. An example of such a report is the annual report, which will include performance measurement data from the planning process to complement its contents. In addition, MD has published and disseminated the *NTSB 2010-2015 Strategic Plan*. The strategic plan was under development during 2009 and was published on January 1, 2010.

**Relationship to Strategic Goal**

By completing annual aviation reviews, RE will offer the NTSB, other governmental agencies, and the transportation industry the basic data and analysis by which to effect improvements in transportation safety. These annual reviews have been an excellent statistical reference for many stakeholders, and the successful completion of the reviews

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involves long term planning, content development, and publishing over extended time periods. They are an important example of long range planning for the agency.

Monitoring and efficiently using federal funds are key factors in maintaining outstanding stewardship of public resources. Timely submission of financial statements and response to audit questions allows CFO to effectively provide quality and accurate work to its customers. These financial management activities will allow the NTSB to showcase organizational excellence at the agency.

The IT strategic plan will be the framework used to leverage IT, as appropriate, to achieve the mission in the most effective, efficient, and productive means possible. The implementation of the plan is another example of organizational excellence.

The development of plans demonstrates the effectiveness of MD to strategically achieve the agency’s goals through development and execution of various reports and plans to internal and external stakeholders. This office takes a proactive approach to demonstrate an atmosphere of continuous improvement by engaging in long-range planning, with improvements shown over time. Critical aspects of organizational excellence shown in all government agencies reflect proper long-range planning and are reported in plans such as the annual report and the strategic plan.

**Performance Measures**

Office	Performance Measure Type	Measure Name	FY09 Target Level	FY09 Results	FY10 Target Level
RE	Efficiency	Number of months to complete air carrier and general aviation annual reviews after the completion of investigating from a given prior calendar year	6 months	10.5 months	6 months
CFO	Outcome	Maintain auditable financial information	Auditable financial statements	Auditable financial statements	Auditable financial statements
CIO	Output	Publish updated IT strategic plan	2009 plan	Plan published	2010 plan
MD	Output	Publish annual report to Congress	2008 report	Report published	2009 report
MD	Output	Publish updated strategic plan	1 plan	Plan developed	1 plan

**Evaluation of Performance Measures**

The first performance measure will be considered complete and met with the completion of the air carrier and general aviation annual reviews. For the second performance measure, our external auditor will determine that our financial statements are considered to be in auditable financial condition. The next performance measure will be considered complete

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and met with the completion and publishing of the annual update to the IT strategic plan. Finally, the *NTSB 2010-2015 Strategic Plan* was published on January 1, 2010, and the *NTSB 2009 Annual Report to Congress* will be published by July 1, 2010; completion of both these efforts will constitute full success for these performance measures. Our evaluation of the overall planning process at the NTSB involves the assurance that best practices in project management and planning occur with all published plans, and that there exists a strong linkage between various component plans and the overall strategic plan.

## Organizational Units

### Objective 4.2 Align and Improve Human Capital Planning

#### To Achieve This Objective

AD will continue implementation of the strategic human capital plan and will conduct and complete an assessment of the effectiveness, efficiency, and merit system compliance of the agency's human capital management program. This assessment will be based on guidelines in an internal operations bulletin on Human Capital Accountability System Policy and Procedures (HR-GEN-004). The assessment will be documented in accordance with the Office of Personnel Management's (OPM) guidelines for the human capital management report. Findings will be used to further advance and enhance the human capital plan and achieve results in the agency's human capital management. In addition, AD will continue its process improvement efforts in personnel by ensuring that employees' official personnel files (OPF) are converted to electronic systems, and that other hiring action reforms occur during the FY.

## Strategic Goal #1

## Strategic Goal #2

The Occupational Safety and Health Program—a component of MD—is committed to improving workplace safety and health conditions for NTSB workers, while reducing the financial costs to U.S. taxpayers. The NTSB will focus on efforts to reduce the lost workday injury rate, and it will achieve this objective by promoting employee programs that reduce workplace related injuries and illnesses. The NTSB will provide the necessary training to ensure all employees know about workplace hazards and can minimize the chance of work related injuries. In addition, the agency fosters and encourages an atmosphere of health and well being, and advocates programs, such as Federal Occupational Health to assist employees in their health related goals.

## Strategic Goal #3

#### Relationship to Strategic Goal

## Strategic Goal #4

AD's assessment will identify how well the strategic human capital plan has been implemented, related successes and "best practices," as well as areas for further development. The purpose will be to enhance human capital planning, such as expanding the marketing of the NTSB as an employer of choice; expanding recruitment initiatives to achieve a more diverse, high quality workforce; and properly aligning people with mission-related core competencies. Results also may identify how to maintain and/or improve upon effective, timely, and streamlined staffing of vacancies. Results could also focus on working with program offices to close workforce gaps in agency mission critical occupations, identifying effective performance management tools, and/or developing effective employee and labor management considerations. The end result of this objective will be improved organizational excellence via strategic human capital planning.

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In addition, there is a federal government mandate, directed by OMB and administered by OPM, with regard to the conversion of paper official personnel files to electronic (e-OPF) format. This will provide a more efficient and effective OPF system, enabling the specialist and the employee to locate and access the employee's records in a more timely and effective manner.

A measure for this objective shows progress in reducing workplace injuries and illnesses, which in turn leads to improved productivity and quality of life for the NTSB workforce and lower costs for the NTSB. By providing safety courses, risk assessments, health and wellness services and seminars, the Occupational and Safety and Health program continues to optimize a workplace that reduces injuries, thereby controlling agency costs effectively.

### **Performance Measures**

Office	Performance Measure Type	Measure Name	FY09 Target Level	FY09 Results	FY10 Target Level
AD	Output	Complete human capital management report	N/A	N/A	1 report
AD	Output	Convert official personnel files to electronic format (e-OPF) for all NTSB employees	N/A	N/A	Yes
AD	Output	Complete 5 hiring reform actions by end of fiscal year	N/A	N/A	5 actions
MD	Outcome	Reduce rate of work-related injuries and illnesses per 100 employees	1.99	2.30	2.00

### **Evaluation of Performance Measures**

AD will conduct an assessment of the agency's human capital management program using guidelines established by our human capital accountability system policy and procedures. The results of the assessment will be documented according to OPM guidelines for the human capital management report. The human capital management report process will follow an action plan that will include a timeline. HR will gauge its success in terms of accomplishing the action plan, as well as the 5 hiring reform action items that result from the report.

With regard to the e-OPF initiative, the schedule for conversion will depend on the HR's capability to prepare all paper OPFs for transmittal to the scanning contractor by the established deadline and on the scanning contractor and the National Business Center to implement the conversion. The project will be evaluated against an established action plan that will include timelines and actions. The effectiveness of this conversion will be evaluated by customers, such as employees and human resource professionals.

MD staff will monitor work-related injuries and illnesses, and run periodic reports to ensure progress is maintained at or below the specified target level. Continued education and employee reinforcement of good safety practices will help achieve this objective.

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Mandate**Objective 4.3 Maintain a Competent and Effective Workforce Through Targeted Training and Employee Development****To Achieve This Objective**

The NTSB will ensure that staff has regular opportunities to participate in the advanced technical training and professional development essential to maintain and advance their critical investigative skills. The agency will work to build our management and leadership skills for the long term to ensure that the NTSB is prepared to renew the agency's leadership ranks. Our management team will ensure that all staff members have the opportunity to pursue training opportunities that will contribute to the development of their management, leadership, and job-specific skills. The NTSB will ensure that management and leadership development is an integral part of annual performance plans. The strategic human capital plan and the strategic training and development plan provide specific strategies to support this objective. The two plans work in concert to ensure that the NTSB fosters a training and development environment that embraces inclusiveness, equal opportunity, and diversity.

The NTSB faces serious challenges in developing and maintaining our current workforce due to a high degree of retirement-eligible employees and rapidly changing technology requiring highly specialized knowledge. Because of these factors, succession management is essential to avoid the potential for disruption in the effective management of the agency. The NTSB's approach to succession management is, in essence, a systematic approach for the organization to shape its leadership by developing a leadership pool to ensure continuity. With the NTSB's high retirement-eligible and qualified management workforce, it is especially important to ensure that fully trained successors are being developed. To that end, the NTSB has implemented several developmental programs to increase competencies at the agency. For example, the Management Candidate Program, the Executive Development Program, and the Upward Mobility Program have all been utilized to develop our internal workforce and these efforts will continue. Our training initiatives are designed to ensure equal opportunity in order to promote the most diverse workforce possible.

To foster workforce diversity in both internal and external recruitment, the NTSB has published the *NTSB Diversity Resources Guide*—a recruitment handbook for the agency—which has specific strategies and guidance designed to ensure the most diverse pool of applicants for external job vacancies as well as positions at the senior executive service level. In addition, the agency has a special emphasis program, which sponsors speaking events on a regular basis with a full range of cultural awareness topics. The NTSB will continue to utilize all effective means to foster workforce diversity and promote employee development at all levels of the organization, as well as in external recruitment.

**Relationship to Strategic Goal**

The agency's training and employee development programs are designed to foster the growth and realize the full potential of the NTSB workforce. The agency needs the most highly qualified, well-trained, and diverse workforce possible to achieve its mission. Our products are developed by people, and the quality of our products is a direct reflection of

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the skills and professionalism of our workforce. Therefore, a highly trained, diverse, and motivated workforce directly leads to organizational excellence.

**Performance Measures**

Office	Performance Measure Type	Measure Name	FY09 Target Level	FY09 Results	FY10 Target Level
All	Outcome	Initiate targeted outreach activities designed to attract diverse applicants by utilizing the Diversity Resources Guide for vacancies	N/A	Various	80% of all vacancies
All	Output	Completion of training plan	N/A	Yes	Yes

**Evaluation of Performance Measures**

The *NTSB Diversity Resources Guide* serves as the agency’s foundation for its diversity outreach strategies. In addition, the agency developed and implemented a checklist of specific actions to achieve when posting and filling a job vacancy that increase the chance of obtaining a diverse applicant pool. These actions, and many other efforts, ensure that the NTSB employs a broad approach when soliciting interest in working at our agency. Internally, the NTSB will evaluate success for this measure by determining the degree to which career development is promoted and fostered within the organization. All offices are expected to create an environment of continuous growth and learning with opportunities for upward mobility.

Training is strongly supported by the NTSB. Each office is responsible for creating a specialized training plan for the office, which includes the specific training needs for every employee. These training needs may be technical in nature or may include classes in the areas of management and leadership training, referred to as workforce development. Each office will ensure that its approved training plan is implemented to the fullest extent possible and that employees receive their respective training.

**Objective 4.4 Foster Effective Internal Communications**

The NTSB will pursue a comprehensive strategy aimed at improving the quality of communication and cooperation across office boundaries and up and down the entire organization. Communications, cooperation, and teamwork will be included in management performance evaluations. Our internal communications plan outlines a number of strategies and action steps to improve communication within the organization, as well as associated performance measures to gauge success. The principal method the agency uses to evaluate improved communications is the biennial (formally annual) communications survey, which has been conducted three times thus far. The results from these surveys have shown noted improvement over the 3-year period, and the agency expects positive communications to continue to grow at all levels of the organization. Performance measures for this objective will be included in the operating plan every other year when the survey is completed.

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### External Factors or Challenges

The occurrence of major accidents, foreign or domestic, is an external factor that is beyond the control of AS but which occurs on a frequent basis. Moreover, the occurrence of foreign accidents may impede our ability to achieve our goals. Technology is another external factor that affects our work in AS—both the internal technology the office uses and the ever-evolving technology employed in the aviation community. AS staff need to remain abreast of the evolution of new types of aircraft, components, navigation systems, software, operations, and training.

In general, the factors that impact HS are the same factors affecting the agency as a whole. They include the following: 1) Accidents featuring complex issues, major loss of life, and/or damage to property require a great deal of staff time and resources. For example, catastrophic highway disasters with high public visibility could have a significant impact on our ability to achieve our performance objectives. 2) Certain unusual or otherwise high profile accidents can also demand extraordinary levels of staff time and resources. Some accidents may appear to be “minor” in terms of lives lost or property damage, but the time, place, or circumstances may hold the attention of the public and of Congress. As a result, other investigations would likely be delayed. 3) Sometimes, in order to restore the public’s confidence following a major catastrophic accident, the NTSB will conduct public hearings or forums. Although these activities provide a very valuable service, they affect the timeliness of report production and delay completion. 4) A terrorist attack in any one transportation mode could cause the NTSB to shift its investigative focus away from the other modes and devote more time and resources toward investigating accidents in the mode that experienced such an attack in order to rule out intentional acts.

MS is affected by external factors to include stakeholders such as the Coast Guard, U.S. Army Corps of Engineers shipping firms, maritime trade organizations, and the boating and seagoing vacationing public. MS has an obligation to cooperate with these entities in the accident investigation process while maintaining our independence and the integrity of our investigations. MS personnel will continue to have an influence domestically and internationally through participation in marine industry forums and technical working groups. However, striking a balance between internal process excellence and timeliness and resource constraints for advocacy and outreach will mean missing some opportunities to deliver our message.

The ability of RPH to achieve its performance objectives could be affected by a number of external factors that include the following: 1) A single catastrophic railroad, pipeline, or hazardous materials accident would severely impact RPH’s ability to achieve its performance objectives. This type of devastating, complex, high profile accident will demand the time and attention of many RPH investigators and managers, and the investigation could last 2 years or longer. 2) An unusually high frequency of railroad, pipeline, or hazardous materials accidents requiring launches could severely impact RPH’s ability to achieve its performance

objectives. Response to multiple accidents could exhaust the resources of RPH and prolong completion of all office work products. 3) Major cuts to the NTSB budget or a significant shift in priorities could make it difficult for RPH to achieve its performance objectives. A reduction in RPH funding or staffing would force RPH to adjust its plans, potentially shifting focus away from the goals outlined in this plan. 4) Similar to HS factors, a terrorist attack in any one transportation mode could cause the NTSB to shift its investigative focus away from the other modes. A terrorist attack would result in more security concern and public attention toward the affected mode. This would likely force the NTSB to devote more time and resources toward investigating accidents in that mode in order to rule out intentional acts.

RE finds that the number and complexity of transportation accidents, both domestic and foreign, represents the most significant factor affecting our ability to fulfill our mission and meet all of our objectives. The continuing increase in the number of vehicle recorders from accidents in all transportation modes presents challenges to staff workload and technological facilities. Similar increases in technical demand are observed with respect to material failure cases, vehicle performance and simulation studies, and data analysis to support accident investigations.

Employee attrition is a key factor that could affect AD's ability, as well as the agency's as a whole, to achieve its performance goals. About 20 percent of the NTSB workforce is eligible to retire. Anticipated retirements may have a significant impact on the NTSB over the next several years and will affect institutional knowledge and memory. Moreover, the maturing workforce may require additional information technology training to close the skills gap to function more successfully in the future environment of new hardware and software platforms, and new networking capabilities. Aggressive marketing, outreach, and recruitment initiatives will be necessary to attract highly-skilled, diverse candidates to the NTSB. In addition, AD will need to be adept at managing staffing and resources. This demands that staff receive the appropriate training and technology to keep abreast of these shifting resources and how they could affect the delivery of acquisition, administrative, and human resources services.

CFO is affected by numerous external influences that are beyond the office's control. Examples of organizations that influence the NTSB include stakeholders such as Congress, OMB, and the Government Accountability Office.

CIO's achievement of our annual objectives may be adversely affected by a number of factors, including the following 1) Innovation in the area of IT will require a reliable commitment of staff and resources. If there are insufficient funds in the NTSB's budget and/or IT funding, then it will be difficult for our office to achieve our performance objectives. 2) The NTSB has a legal requirement to respond to FOIA requests and CIO plays a key role in meeting this responsibility. Barring some form of relief from inside or outside the agency, a major increase in FOIA petitions, for any reason, would place a heavy burden on staff and negatively impact our pursuit of annual performance objectives. 3) CIO staff takes every precaution in securing our IT systems against viruses and other attacks. Nevertheless, if the agency's systems are undermined by malicious activities, remediation and recovery could create such a drain on CIO resources that the office would have a difficult time achieving its stated objectives for the FY. 4) Requirements

Background,  
Mission, and  
Mandate

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Units

Strategic  
Goal #1

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Goal #4

Environmental  
Analysis

## Background, Mission, and Mandate

from outside auditors may negatively affect CIO team members' availability to support IT initiatives. Demands on personnel and resources for external audits or reviews could make it difficult for the office to meet scheduled tasks for IT projects or IT requests.

Like all offices, GC is affected by environmental factors. External factors include stakeholders such as the U.S. Department of Justice, OMB, OPM, various Inspectors General, professional and legal staff from our governing committees in Congress, the General Services Administration, and the White House Personnel Office. GC has an obligation to cooperate with, work with, and inform these entities. Outside law firms, on behalf of clients who suffer a loss as a result of a transportation accident, often seek to force the assistance of NTSB personnel in outside litigation, and GC must frequently resist such efforts in adversarial proceedings.

## Organizational Units

### Strategic Goal #1

### Internal Factors or Challenges

NTSB priorities may shift during the year, creating an impact on our ability to deliver products and do so in a timely manner. For example, if the Board votes to hold a public hearing, it will cause us to reprioritize workload as public hearings must be held promptly during the course of an investigation. Staffing will remain a challenge as additional staff reductions or retirements will further limit our production capability.

### Strategic Goal #2

The NTSB as an agency is responsible for investigating accidents in all transportation modes. If there are major changes in the agency's budget and staffing priorities, this could have implications for all offices and the achievement of our performance objectives. Such a shift in priorities could come about due to a catastrophic accident in any transportation mode. Public or congressional demands could bring about a similar priority shift.

### Strategic Goal #3

Due to limited resources in personnel and time, RPH for example can investigate only a fraction of the accidents that fall within its mandate. In another office example, RE finds that limited resources constrain or delay opportunities to engage in long range planning to ensure that the laboratories maintain their status as a world class accident investigation resource.

### Strategic Goal #4

A major decrease in funding for ALJ would have an adverse impact on ALJ's ability to fulfill its mission of preparing cases and hearing appeals. A decrease in budget and/or human resources would place a heavy burden on the remaining staff and necessarily divert attention away from the initiatives described in this plan. A major spike in the number of cases appealed to the NTSB, regardless of the cause, would make it very difficult for ALJ to achieve the goals described in this plan.

## Environmental Analysis

The law can be exceedingly complicated, including the body of law that deals with the management of a federal agency, as well as, the body of law associated with the conduct of the NTSB's core missions. With the small staff in GC, it is sometimes challenging to support these activities and proactively inform and educate our NTSB coworkers about the legal issues that accompany their mission-related activities.

Because much of OC's mission focuses on implementing the NTSB's recommendations through advocacy, travel is an integral part of the office's effectiveness. Although the office's planning process was designed to include flexibility in meeting its performance measures, any restrictions on travel—such as those that may result from operating under a Continuing Resolution—will necessarily affect the office's ability to offer in-person support for implementation of measures that will improve the safety of the transportation system.

Affecting the whole agency, and HR in particular, are potential impacts such as possible OPM changes to human capital management requirements and guidance; the capability of HR to prepare all paper OPFs for transmittal to the scanning contractor by the established deadline; and on the scanning contractor and the payroll provider to implement the conversion. In addition, it is the availability of staff to carry out these responsibilities, as well as the needed resources.

## Office Strengths

AS has a strong and balanced workforce, split evenly between headquarters investigators and regional investigators. The skills necessary to conduct accident investigations reside within our workforce. AS managers meet on a monthly basis to review the status of each project and ensure that workloads are recognized and balanced in the most effective manner.

Both the MS and HS have a strong cadre of both very experienced investigators and those with less experience but great enthusiasm for the mission. Senior leaders are committed to continuous improvement in internal processes and to making all phases of marine transportation safer. These offices are recognized worldwide as the benchmark for quality investigations; that reputation will be enhanced through continuous improvement. In addition, RPH has built a strong, but small, team of senior-level investigators-in-charge, group chairs, writers and editors, and transportation specialists to investigate accidents and to develop detailed reports and recommendations.

RE is comprised of technical experts in a wide range of scientific and engineering disciplines. These individuals are highly motivated and dedicated to the tasks of accident investigation and safety research. These scientists and engineers approach the tasks of accident investigation and research in a highly collaborative manner—both with NTSB colleagues and with experts from around the world. RE's laboratory facilities include the most sophisticated accident investigation equipment to date, which provides specialized analysis of accident investigation and safety research data.

AD will draw upon its staff to identify issues, problems, and challenges, as well as to devise alternative solutions to overcome challenges. In addition, it will work extensively and closely with OPM on the human capital management report requirements and with its payroll provider, the U.S. Department of the Interior's National Business Center, with regard to the e-OPF conversion. AD staff will also rely on action plans and periodic updates of them to ensure that obstacles are identified, solutions are devised, and goals are achieved.

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CIO will continue to build upon the following foundations put in place over the past couple of years: an enhanced technical infrastructure, strengthened processes and procedures, and a commitment to identify and close skill gaps in the technical workforce. By continuing to improve the NTSB's technology, processes, and human capital, CIO will achieve its objective of improving the operational efficiency and effectiveness of the NTSB.

**Organizational  
Units**

GC has a motivated staff experienced in the activities of the NTSB and able to balance competing demands on their time to address the myriad needs of the agency and its staff.

**Strategic  
Goal #1**

OC and MD personnel have developed an extensive network of contacts and partners who provide valuable information regarding the potential for safety recommendation implementation and who advocate implementation of safety recommendations and transportation disaster assistance. The offices are prepared to offer support in other formats, including conference calls and through correspondence, but note that there is often no substitute as effective as a face-to-face meeting.

**Strategic  
Goal #2**

**Strategic  
Goal #3**

**Strategic  
Goal #4**

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## Summary

The performance objectives presented in this plan are designed to strengthen and reinforce our business approach. As the agency continues to make progress toward our goals, the transportation system will benefit as incremental improvements are made that are directly linked as a cause of previous accidents. By accomplishing our mission, the NTSB will help maintain public confidence in the network by conducting thorough accident investigations and issuing clear, fact-based recommendations aimed at preventing future accidents. The NTSB will conduct thorough accident investigations as efficiently as possible. When investigations are complete, the NTSB will produce and distribute reports that demonstrate our independent, objective, fact-based approach to its work.

Constantly improving our investigative skills and producing timely, accurate investigations will encourage a greater acceptance of our recommendations by our stakeholders. This will lead to safer waters, airways, highways, railways, pipeline systems, and transport of hazardous materials, and that is our foremost objective. Realizing that the NTSB does not have the authority or responsibility to enforce our recommendations, the agency must work constantly with federal and state safety agencies, industry organizations, and the public to get our message across. In addition, the NTSB is committed to providing specialized engineering and scientific expertise to accident investigations and safety research in all transportation modes, and continuously bringing to bear new technology and innovation. In this plan, the demand for speed and efficiency is balanced against our commitment to independence, excellence, and the safety of the nation's transportation systems.

Moreover, continuously improving our advocacy and disaster assistance capabilities will contribute to the overall effectiveness of the NTSB, supporting the ultimate goal of increasing the safety of the transportation networks. The NTSB recognizes that we are also responsible for the effective and efficient use of the people, funds, and assets entrusted to us. This operating plan has been crafted—and will be executed—with these responsibilities in mind.

Consistently improving our administrative, acquisition, and human resource business partner services and employee skills contributes to the effective operation of the NTSB as a whole and its individual offices and, thus, the efforts to continue to improve the overall safety of the transportation system networks. AD is also responsible for the effective and efficient employment of human resources/staff, funds, and assets entrusted to us. For AD, its staff is its most valued asset. The office must manage its staff wisely and effectively, as articulated in the operating plan.

Constantly improving our financial skills contributes to the effective operation of the NTSB's investigative offices. In this sense, CFO can have an impact on improving the safety of the nation's transportation system. CFO is also responsible for the effective and efficient use of the funds and assets entrusted to it. For CFO, its staff is its most valued asset. The office must manage its staff wisely and with compassion.

Over the past 30 months, CIO has been focused on a number of specific program and process improvements. As a result of this focus, the NTSB has made great strides in remediating weaknesses associated with FISMA compliance and has improved the efficiency and effectiveness of the NTSB's FOIA Program. CIO has now begun to focus primarily on efforts aimed at improving underlying infrastructure components, modernizing existing applications, and introducing commercial-off-the-shelf tools to improve NTSB business processes.

Constantly improving our legal skills contributes to the effective operation of the NTSB's investigative offices and, thus, the agency's efforts to continue to improve the safety of the transportation networks. GC is also responsible for the effective and efficient use of the people, funds, and assets entrusted to it. In brief, GC strives to be a legal office recognized as responsive to its clients, precise in its legal analysis, clear in its written and oral communications, all while maintaining the highest professional legal standards for integrity and client confidentiality. The office intends to be proactive in its approach in order to reduce the number of matters that become significant legal disputes for the agency and agency personnel.

MD strives for continuous improvement to support the NTSB mission. The office primarily offers its support by providing for the allocation of resources across the agency, developing new processes, developing the agency's strategic vision, and providing overall leadership. The office constantly strives to improve staff technical and managerial skills to contribute to the effective operation of the investigative offices of the NTSB and thus to improve the safety of the transportation industry. In MD, as with offices throughout the agency, its employees, and the office's commitment to safety are valued. This operating plan has been developed and will be executed to carry out the important responsibilities of the NTSB.

## Other NTSB Planning Resources

- **NTSB Strategic Plan:** The [NTSB 2010-2015 Strategic Plan](#) is published every 3 years, and includes a 5-year or greater time span. The strategic plan describes the agency's mission, vision, strategic goals and objectives. It serves as the foundation of planning activities of the agency, and sets the direction for agency operations and management functions to support the objectives in the plan. It describes the agency's approach to data analysis, evaluation and performance management.
- **Annual Report:** The [NTSB 2008 Annual Report to Congress](#) is published yearly and contains a summary of new and ongoing accident investigations. It also includes material on the role of advocacy of the Most Wanted List, the use of enhanced technology to support the NTSB mission, and a performance summary.
- **Performance and Accountability Report:** The *Performance and Accountability Report* (2008, 2009) is published annually and contains significant financial and performance-related data for the agency. Elements include a management discussion and analysis, an organizational assessment, an independent auditor's report, a balance sheet, and other financial statements.
- **Strategic Human Capital Plan:** The [NTSB Strategic Human Capital Plan](#) contains the agency's overall framework for human capital planning, based on OPM's workforce planning model. It identifies a responsive course of action with responsibilities and outcomes, utilizing OPM's succession management and human capital assessment and accountability concepts and methodology.
- **Strategic Training and Development Plan:** The *NTSB 2010-2015 Strategic Training and Development Plan* outlines the relationship between training initiatives at the agency and the human capital plan. The plan contains specific training strategies, describes efforts to reduce gaps in NTSB competencies, and details the agency's initiatives to address succession planning.
- **IT Strategic Plan:** The [NTSB IT Strategic Plan](#) outlines the NTSB's long-term approach to address IT issues, within the broad confines of Clinger-Cohen and *FISMA* requirements. It discusses in detail the NTSB's seven IT strategic goals and short- and long-term strategies to achieve those goals.
- **2008 Performance Summary:** The [NTSB 2008 Performance Summary](#) was published in December 2008 and shows the achievement of FY2008 operating plan performance measures. It also contains a description of the planning process and a comparison of total performance measures in FYs 2008 and 2009.



**National  
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