

# National Transportation Safety Board Annual Performance Plan Fiscal Year 2017



**National  
Transportation  
Safety Board**

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## FY 2017 Annual Performance Plan

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## Executive Summary

The National Transportation Safety Board's (NTSB's) FY 2017 Annual Performance Plan (Plan), outlines the resources and strategies NTSB will use to achieve agency priorities and improve agency performance. The Plan outlines the priorities and performance goals for the next fiscal year to ensure NTSB continues to meet the mission to be a premier organization improving transportation safety. This Plan is guided by NTSB's [Strategic Plan 2013 through 2017](#), and complies with the [Government Performance and Results Modernization Act of 2010](#) (GPRA Modernization Act) and the Office of Management and Budget's [\(OMB\) Circular A-11](#).

This Plan strives to provide stakeholders, including NTSB employees, the transportation public and other agencies, and Congress, with transparency and understanding around NTSB's performance goals by drawing a clear line from the agency's mission to the strategic goals, strategic objectives, performance goals, and performance indicators and targets.

The Plan includes four strategic goals supported by strategic objectives and performance goals.

The 2013-2017 strategic goals are to:

Goal 1: Conduct effective accident investigations

Goal 2: Recommend and advocate actions to improve transportation safety

Goal 3: Conduct fair and expeditious adjudication of airman and mariners appeals from the Federal Aviation Administration and the U.S. Coast Guard enforcement actions and certificate appeals

Goal 4: Provide outstanding mission support

This Plan addresses NTSB's key challenges and leverages agency strengths. NTSB continues to experience senior management retirements necessitating a greater focus on staff and leadership development as well as capturing valuable institutional knowledge. NTSB's greatest strength continues to be its dedicated, knowledgeable, and professional staff. It also captures the full spectrum of NTSB's activities to accomplish national priorities in five modes of transportation—aviation, highway, marine, railroad, and pipeline. This report is defined in the following sections:

**NTSB Mission and Organizational Structure** summarizes how the agency is organized, governed, and managed.

**Performance Management at NTSB** summarizes the agency's approach to performance management, strategic planning, and performance reporting, as well as how the agency uses data, evidence, evaluations, and reporting to manage performance.

**Performance Reporting and Planning** presents NTSB's Annual Performance Plan organized by strategic goal and strategic objective. It shows up to three years of historical performance. This presentation provides a unique opportunity to see performance trends across multiple years within a program, as well as the linkages between multiyear performance goals and their annual components and how these performance metrics support the strategic objectives.



## Mission and Organizational Structure

### Mission/Vision

To be a Premier Organization Improving  
Transportation Safety

### Legislative Mandate

**Maintaining** our congressionally mandated independence and objectivity;  
**Conducting** objective, precise accident investigations and safety studies;  
**Performing** fair and objective airman and mariner certification appeals;  
**Advocating** and **promoting** safety recommendations; and,  
**Assisting** victims of transportation accidents and their families.

### Core Values

Safety  
Excellence  
Independence  
Integrity  
Diversity and Inclusion; and,  
Transparency

The National Transportation Safety Board (NTSB) is an independent federal agency charged by Congress with investigating every civil aviation accident in the United States and significant accidents in other modes of transportation—railroad, highway, marine and pipeline. The NTSB determines the probable cause of the accidents and issues safety recommendations aimed at preventing future accidents. In addition, the NTSB carries out special studies concerning transportation safety and coordinates the resources of the federal government and other organizations to provide assistance to victims and their family members impacted by major transportation disasters.

### NTSB HISTORY

The NTSB originated in the Air Commerce Act of 1926, in which the US Congress charged the US Department of Commerce with investigating the causes of aircraft accidents. Later, that responsibility was given to the Civil Aeronautics Board's Bureau of Aviation Safety when it was created in 1940. In 1967, Congress consolidated all transportation agencies into a new US Department of Transportation (DOT) and established the NTSB as an accident investigation agency within the newly created DOT. In 1974, Congress passed the Independent Safety Board Act, which severed the NTSB's ties to the DOT.



### *The NTSB's Vital Role in Transportation Safety*

With the responsibility vested by Congress to investigate every civil aviation accident in the United States and significant accidents in other modes of transportation—railroad, highway, marine, and pipeline, the NTSB determines the probable cause of accidents and develops recommendations that will prevent future accidents or reduce their effects in terms of injury, loss of life, or damage to property. Safety recommendations are a focal point of NTSB's effort to improve the safety of the nation's and the world's transportation systems and are issued to agencies, industry, and other organizations in a position to effect change.

The NTSB promotes transportation safety, assists victims of transportation accidents and their families, conducts safety studies, and prepares accident reports based on investigation and analyses of transportation accident and incident data. NTSB investigations are used to determine factors common to a series of events and to identify safety improvements or evaluate the effectiveness of transportation-related devices or policies. Safety studies enhance the NTSB's corporate knowledge, enabling it to better perform our transportation safety mission. Additionally, the NTSB serves as the appellate authority for enforcement actions involving aviation and mariner certificates issued by the Federal Aviation Administration (FAA) and US Coast Guard (USCG), as well as the appeals of civil penalty actions taken by the FAA.

Since the NTSB's inception in 1967, we have investigated more than 144,000

aviation accidents and thousands of surface transportation accidents. On call 24 hours a day, 365 days a year, NTSB investigators traveled throughout the country and to every corner of the world. Because of this dedication, the NTSB is recognized as the world's leading accident investigation agency.

The NTSB has issued more than 14,400 safety recommendations to more than 2,300 recipients in all transportation modes as a result of our investigations. Since 1990, the NTSB has published a [\*Most Wanted List\*](#) (MWL) of transportation safety improvements, which highlights safety-critical actions that the DOT modal administrations, USCG, and others should take to help prevent accidents and save lives.

The NTSB does not have authority to regulate transportation equipment, personnel, or operations or to initiate enforcement action. However, because of our reputation for objectivity and thoroughness, the NTSB has achieved such success in shaping transportation safety improvements that, over the last 5 years, those who are in a position to effect these changes have implemented more than 71 percent of the agency's recommendations. Many safety features currently incorporated into airplanes, helicopters, automobiles, commercial motor vehicles, trains, pipelines, and marine vessels had their genesis in these recommendations





NTSB’s organizational structure is designed to accomplish its mission through sound business, management, and safety oversight. The NTSB has five Board Members, each nominated by the President and confirmed by the Senate to serve 5-year terms. One Member is designated by the President as Chairman and another as Vice Chairman for 2-year terms. The chairmanship requires separate Senate confirmation. When there is no designated Chairman, the Vice Chairman serves as Acting Chairman. Figure 1 depicts NTSB’s organizational structure, current as of October 2016.

The NTSB Chairman serves as the chief executive officer for the agency. The Chairman, Vice Chairman, and Board Members establish policies on transportation safety issues; review and approve major accident reports, safety studies, and safety recommendations; and provide appellate review of FAA certificate and certain civil penalty actions, as well as USCG license actions. They also preside over accident or other transportation safety hearings, testify before congressional committees, and participate in agency go-teams on major investigations.

The NTSB’s headquarters office is located in Washington, DC. The NTSB also has investigators strategically located in Ashburn, Virginia; Denver, Colorado; Anchorage, Alaska; and Seattle, Washington (see the figure 2 for NTSB’s US regional presence). The Office of Aviation Safety has organized the staff assigned in the 48 contiguous states into three mega-regional offices; Alaska forms a fourth region. In addition, two aviation investigators are based in Hawaii.

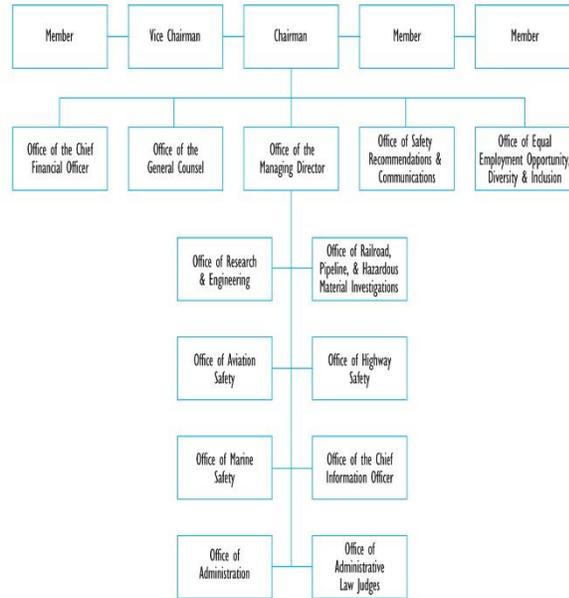


Figure 1: NTSB Organization Chart

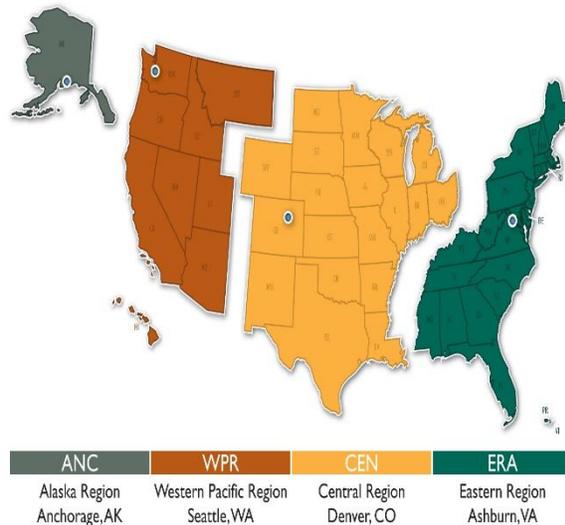


Figure 2: NTSB Regional Presence



## Performance Management

In accordance with the [GPRA Modernization Act of 2010](#), the NTSB's framework for performance management starts with the [NTSB's Strategic Plan](#), which serves as the foundation for establishing long-term priorities and developing performance goals, objectives, and metrics by which the NTSB can gauge achievement of its stated outcomes. Progress toward the NTSB's *Strategic Plan* is measured using quarterly reviews and analysis. This focus promotes active management engagement across the NTSB. Additional information is available in the [NTSB's Strategic Plans and Reports](#).

## Strategic Goals Overview

NTSB developed a new strategic plan in 2012 to encompass the period from FY 2013 to 2017. This plan, identifies four strategic goals and 9 related objectives which influence the day-to-day work at the NTSB. The four strategic goals are:

- ❖ Goal 1: Conduct effective accident investigations
- ❖ Goal 2: Recommend and advocate actions to improve transportation safety
- ❖ Goal 3: Conduct fair and expeditious adjudication of airman and mariners appeals from the Federal Aviation Administration and the U.S. Coast Guard enforcement actions and certificate appeals
- ❖ Goal 4: Provide outstanding mission support

## Management Objectives and Priorities

The structure of the FY 2013-2017 NTSB *Strategic Plan* aligns Strategic Goals 1 through 3 to mission-focused efforts while Strategic Goal 4 aligns to NTSB's overall management objectives to support the mission and mandates for the agency. The emphasis on efficiency, transparency, accountability, and effectiveness of NTSB programs in Goal 4 serves to highlight efforts across the agency to enable enhanced program performance in strengthening program integrity, creating innovations for data access and use, investing in the NTSB workforce, and promoting sustainability. See figure 3 which showcases this performance framework.



Figure 4: NTSB Performance Goal Framework

## Performance Management

Performance goals and measurement are powerful tools to advance an effective, efficient, and productive government. NTSB regularly collects and analyzes performance data to inform decisions. NTSB staff constantly strives to achieve meaningful progress and find ways to achieve positive impacts. The NTSB utilized three types of metrics in achieving performance: Outcome (OC); Output (OP) and Efficiency (EF).

The NTSB continually improves its performance management which leads to more consistent performance results across NTSB’s mission and makes the best use of the resources entrusted to the agency. Over the past several fiscal years, this performance-based culture has remained a focus of agency management and staff and continues to be enhanced during FY 2017 as the performance metrics and target levels are evaluated throughout the year. The NTSB is optimistic that its results-oriented culture will continue to evolve and promote better governance in the future, leading to further improvements in transportation safety.

### Reporting on Progress

Continuous improvement rests on ongoing cycles of assessing performance, examining data, and employing lessons learned to improve practices internally and externally. Creating a culture of continuous improvement is at the heart of the NTSB’s efforts to see better performance results



overall. The NTSB is committed to doing its part to bring innovative ideas, convening influence, and any other resources that will help achieve the outcomes to improve transportation safety.

### *Assessment Rating Scales and Success Criteria*

NTSB evaluates its progress towards achieving its performance metrics on a traffic light rating system (i.e., the green, yellow, and red color ratings). NTSB uses these success criteria, combined with explanations of the ratings and sources provided by program officials, to review and validate each rating. On occasion, NTSB will assign a gray rating to a performance metric that cannot be assessed against its success criteria for various reasons including a change in data availability or are-assessment of the metric determined as not feasible for measurement, etc.

Table 1: Performance Metrics Results Criteria

Rating	Status
Green	Target achieved
Yellow	Progress being made
Red	Minimal progress
Gray	Not assessed

### *Key Factors Affecting the Achievement of the Strategic Goals*

The NTSB's ability to achieve our strategic goals may be influenced by the changing balance of industry operations, other federal, state, and local government activities, national priorities, market forces, and resource availability. The following factors may affect the achievement of strategic goals for fiscal year 2017:

- Advances in new technologies in all modes of transportation
- Challenges in achieving closure of significant recommendations.
- Retaining and recruiting staff with critical technical experience.
- Retirement or attrition of key personnel.
- Budgetary constraints, including fluctuations in appropriations.



# Performance Reporting and Planning

## Summary of Strategic Goals and Objectives

The table below summarizes NTSB’s FY 2017 strategic goals and objectives. The objectives support and complement the strategic goals. Each strategic objective has performance goals with measurable indicators and targets. Performance indicators use available data to provide a way to determine if NTSB’s goals and objectives are met in the proposed time frame. Targets serve to establish a level of performance NTSB strives to achieve. NTSB reviews performance indicators and targets to assess the effectiveness of programs and takes into account how risks and opportunities impact achieving our strategic goals and objectives. This assessment allows the agency to make adjustments to improve performance throughout each year and the strategic plan timeframe.

Table 2: Summary of Strategic Goals and Objectives

<u>Strategic Goals</u>	<u>Strategic Objectives</u>
Goal 1: Conduct effective accident investigations	1.1: Select and scale an appropriate response to accident investigations and incidents 1.2: Select and appropriately scale the NTSB’s work on international accidents, incidents, and safety issues 1.3: Continue to effectively coordinate and deliver transportation disaster assistance to accident victims 1.4: Engage in outreach with Transportation Community to Improve awareness of lessons learned from accident investigations nationally and internationally
Goal 2: Recommend and advocate actions to improve transportation safety	2.1: Identify New and Creative Ways to Advocate Safety Recommendations and Other Safety Actions
Goal 3: Conduct fair and expeditious adjudication of airman and mariners appeals from the Federal Aviation Administration and the U.S. Coast Guard enforcement actions and certificate appeals	3.1: Effectively Manage the Appeals Process and Appropriately Protect the Rights of Airmen and Mariners Seeking the NTSB’s Review While Balancing their interests with Considerations of Aviation and Marine Safety
Goal 4: Provide outstanding mission support	4.1: Ensure Efficiency in Utilizing Agency Resources and Financial Data for Management Decision-making
	Objective 4:2: Align and Improve Human Capital Planning and Diversity
	Objective 4:3: Improve Employee Engagement and Inclusion



# Strategic Goals, Objectives and Performance Metrics

## Strategic Goal 1: Conduct effective accident investigations

Strategic Goal 1 focuses on the NTSB’s key challenges of identifying those accidents in each transportation mode that represent the most important targets of investigative opportunity, determining the scope and scale of such investigations, and conducting safety studies to help to prevent similar accidents in the future.

Our status as an independent federal agency sets us apart from other stakeholders in the transportation industry. Our most important stakeholder is the traveling public, and we are concerned with one principal objective: promoting transportation safety. Conducting independent accident investigations is a critical component of our mission, and it is done with transparency, accountability, and integrity, which are core values of the agency.

The NTSB is obligated to participate in aviation investigations in foreign countries when they involve US carriers or US-manufactured or -designed equipment. These efforts help ensure the continued safe operation of US-built or -designed aircraft. Our participation in foreign aviation investigations has led to improvements in aviation safety here and abroad. NTSB-led domestic investigations have also benefitted from the participation of other international accident investigation agencies. Our role in international activities for all modes of transportation includes unique challenges but with our continued advocacy and outreach, we can showcase lessons learned and improve awareness of these investigations nationally and internationally.

Accomplishing Strategic Goal 1 will foster a transportation industry that is better prepared to address safety issues. The NTSB applies the following objectives, strategies, and performance measures to achieve this goal:

Table 3: Summary of Goal 1 Objectives and Metrics

<u>Strategic Objectives</u>	<u>Performance Metrics</u>
1.1: Select and scale an appropriate response to accident investigations and incidents	Number of products adopted by the Board Average time (in months) to complete Board adopted products Number of products produced to improve transportation safety
1.2: Select and appropriately scale the NTSB’s work on international accidents, incidents, and safety issues	Number of international cooperative activities completed
1.3: Continue to effectively coordinate and deliver transportation disaster assistance to accident victims	Percent of Transportation Disaster Assistance to Non-Legislated Accidents
1.4: Engage in Outreach with Transportation Community to Improve awareness of Lessons Learned from Accident Investigations Nationally and Internationally	Number of outcome-oriented safety results involving industry or government stakeholders



**Strategies**

- Increase the number of products to improve transportation safety.
- Continue to advance our role in international accidents and to participate in investigations in foreign countries.
- Assist disaster victims in all modes of transportation.
- Continue to showcase how we improve the transportation community through the many products we produce, including accident briefs, videos, newsletters, safety accomplishments and results.
- Increase advocacy efforts on emerging safety issues through ongoing dialogue with relevant government and other stakeholders, testimony, and other public communications.

Table 4: Goal 1 Performance Metrics

Goal	Indicator	Office	2014 Actual	2015 Actual	2016 Actual	2017 Target
1.1.1 OP	Number of products Adopted by the Board	AS	29	25	18	20
		HS	10	18	20	12
		MS	4	5	5	5
		RPH	14	31	11	10
		RE	5	10	8	2
1.1.2 EF	Average time (in months) to complete Board-adopted reports	AS	8.4	14.5	7	≤15
		HS	6	7	8	≤12
		MS	12	6.9	11.4	≤15
		RPH	6	8.1	5	≤14
		RE	7	5	4.5	≤15
1.1.3 OP	Number of Products Produced to Improve Transportation Safety	AS	N/A	N/A	321	240
		HS	N/A	N/A	20	15
		MS	N/A	N/A	22	20
		RPH	N/A	N/A	8	6
		SRC	N/A	N/A	296	250
1.2.1 OP	Number of International Cooperative Activities Completed	AS	14	29	22	13
		MS	4	3	5	4
1.3.1 OP	Percent of Transportation Disaster Assistance to Non-Legislated Accidents	SRC	N/A	N/A	N/A	75%
1.4.1 OC	Number Outcome-Oriented Safety Results	AS	12	29	78	75
		HS	15	25	29	20
		MS	2	4	15	10
		RPH	5	13	46	25
		RE	8	4	56	25
		SRC	N/A	N/A	339	275

*Key Challenges and Issues*

The costs of transportation accidents to society are significant, and as activities in the US transportation system grow, so will the potential for accidents and associated costs. Accompanying this growth are enormous increases in the system’s complexity, which must be addressed with techniques and methods of accident investigation that are equally complex. A key challenge for the NTSB is to identify those accidents in each transportation mode that represent the most important targets of investigative opportunity and to determine the appropriate scope and scale of such



investigations. This selection process must balance the significance of the safety issues involved against the limited investigative resources available to the NTSB and the depth of the investigation required to develop the safety issues.

To conduct thorough accident investigations, NTSB investigators must stay abreast of the latest technologies in the transportation industry; this requires substantial and continuing training. The NTSB is challenged to identify the available resources and staff to provide training in these areas and schedule timely and appropriate training, working around the number and timing of accidents and the limited number of NTSB investigators. The participation of the NTSB aviation and marine safety staff in global accident investigations has increased. This level of international participation for aviation safety presents a particular challenge because the office must also continue to meet its mandate to investigate all aviation accidents in the United States. In addition, international marine accidents involving foreign-flagged vessels accounted for 38 percent of NTSB marine accident investigations in the last five years.

### Strategic Goal 2: Recommend and advocate actions to improve transportation safety

Because our mission is to be a premier organization improving transportation safety, Strategic Goal 2, which affects the safety of the entire transportation system, cascades into strategic objectives that emphasize advocacy and outreach. Issuing, advancing, and closing safety recommendations are key NTSB functions. This goal also emphasizes our need to promote items on the MWL. The MWL is designed as a transparent tool to increase awareness of, and support for, the most critical changes needed to reduce transportation accidents and save lives. Leveraging our unique position in the safety industry, we believe it is necessary to lead the transportation community with integrity to ensure that emerging safety issues are being addressed and that political leadership is aware of public policy implications.

To achieve this goal, the NTSB applies the following objectives, strategies, and measures:

Table 5: Summary of Goal 2 Objective and Metric

<u>Strategic Objectives</u>	<u>Performance Metrics</u>
2.1: Identify New and Creative Ways to Advocate Safety Recommendations and Other Safety Actions	Number of safety recommendations closed acceptably during the fiscal year

This measure indicates performance on implementation of safety recommendations—the heart of the agency’s mission. This measure will count the number of recommendations closed acceptably (successfully implemented) during the fiscal year. Implementation of safety recommendations is largely outside of staff control and depends on more factors than can be listed such as economic conditions, funding levels, and the current political climate.

#### Strategies

- Implement appropriate safety recommendations from investigations and safety studies.



- Publicly recognize safety recommendations that are implemented and those that not being implemented result in persistent risk.
- Publicize the up-to-date status of all safety recommendations through the NTSB website and other public communication channels.

Table 6: Goal 2 Performance Metric

Goal	Indicator	Office	2014 Actual	2015 Actual	2016 Actual	2017 Target
2.1.1 OP	Number of safety recommendations closed acceptably during the fiscal year	SRC	159	110	81	75

Key Challenges and Issues

The nation’s level of transportation activity, which highly correlates with economic activity, continues to increase. As our skies, highways, waterways, and railways become more congested, the potential for transportation accidents increases. With limited resources, the NTSB is challenged to identify ways to achieve implementation of its open safety recommendations.

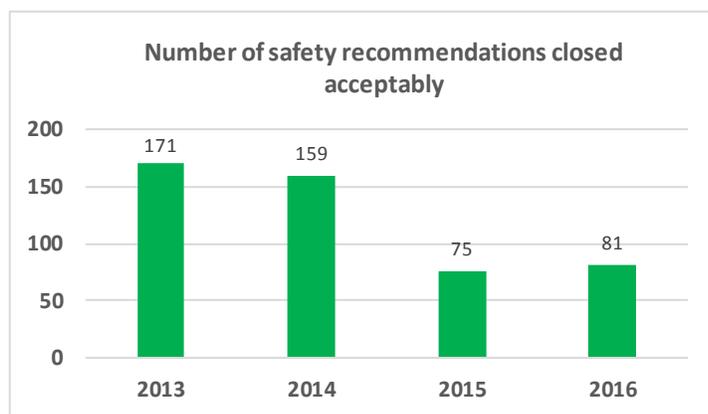


Figure 5: Four-year analysis of safety recommendations

Finally, because of the length and complexity of the rulemaking process, federal agencies are frequently not implementing NTSB recommendations in a timely fashion. The NTSB is challenged to ensure that the rulemaking process, which can take years, does not hamper the successful implementation of recommendations. Figure 5 shows the number of recommendations closed acceptably has decreased, only 486 recommendations have been closed acceptably.



**Strategic Goal 3: Conduct fair and expeditious adjudication of airman and mariners appeals from the Federal Aviation Administration and the U.S. Coast Guard enforcement actions and certificate appeals**

Strategic Goal 3 recognizes our continuing commitment to providing a fair appeals process for airmen and mariners to ensure thorough and independent adjudication while providing due process to those affected and safeguarding the integrity of the aviation and marine safety enforcement system.

**Strategies**

- Continue to increase administrative law judges’ case closure rate.
- Continue to decrease non-emergency backlog cases on hand.

Table 7: Summary of Goal 3 Objectives and Metrics

<u>Strategic Objectives</u>	<u>Performance Metrics</u>
3.1 Effectively manage the appeals process and appropriately protect the rights of airmen and mariners seeking the NTSB’s review while balancing their interests with considerations of aviation and marine safety	Total number of non-emergency enforcement backlog cases on hand
	Percentage of emergency cases closed within 27 days
	Percentage of non-emergency cases closed within 180 days

Table 8: Goal 3 Performance Metrics

Goal	Indicator	Office	2014 Actual	2015 Actual	2016 Actual	2017 Target
3.1.1 OP	Total number of non-emergency enforcement backlog cases on hand	GC	8	5	4	<15
3.1.2 EF	Percentage of emergency cases closed within 27 days	ALJ	N/A	N/A	N/A	95%
3.1.3 EF	Percentage of non-emergency cases closed within 180 days	ALJ	N/A	N/A	N/A	90%

*Key Challenges and Issues*

The NTSB serves as the “Court of Appeals” for airmen and mariners facing the loss or suspension of their licensing certificates or the imposition of a civil penalty. As the level of transportation activity increases, the potential for transportation accidents increases, resulting in more enforcement cases. Therefore, effective management of the appeal process becomes more challenging. We will continue to promote transportation safety by adjudicating appeals of certificate actions and denials, providing due process to those affected, and ensuring the integrity of the aviation and maritime safety enforcement system.



### Strategic Goal 4: Provide outstanding mission support

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Providing mission support in achieving our first three goals is imperative if we are to retain our leadership in influencing changes, increasing transparency and outreach, and advancing transportation safety. Strategic Goal 4 captures the overall nature of the organization—excellence—and ensures that we are able to fulfill our broad mission.

The strategic objectives for this goal consist in maintaining agency resources. This implies managing financial resources, improving employee safety and health knowledge, human capital, diversity, and inclusion; and maintaining effective communications. This goal emphasizes the agency's challenge to enhance information and data management and to ensure reliable and consistent information for management and staff. We remain focused on hiring the best qualified people and effectively capturing and transferring knowledge.

We foster a culture of leadership, diversity, and accountability that enables decision-making while promoting teamwork and collaboration. In addition, we strive to meet challenges with innovation and urgency. Collectively, these efforts support our fulfillment of this strategic goal as well as our mission of independently advancing transportation safety.

To achieve this goal, the NTSB applies the following strategies:

#### Strategies

- Provide accurate, timely, and useful financial information to agency managers and staff to support effective decision-making.
- Manage agency information and utilize the latest information technologies to improve the productivity, effectiveness, and efficiency of agency programs and to enhance the availability and usefulness of information to all users, both within and outside the agency.
- Use innovative strategies to recruit, develop, and retain a well-qualified, diverse workforce.
- Create an agency-wide performance culture focused on individual and organizational accountability to achieve NTSB's programmatic goals and priorities.
- Sustain a learning environment that provides for continuing improvement in performance through knowledge management, performance feedback, engagement, training, coaching, and mentoring.
- Continue to foster a discrimination-free working environment and ensure maximum opportunities for all employees to use their talents in supporting of NTSB's mission and goals.
- Continue to identify new and improved methods of communicating internally and externally.



Table 9: Summary of Goal 4 Objectives and Metrics

<u>Strategic Objectives</u>	<u>Performance Metrics</u>
4.1 Ensure efficiency in utilizing agency resources and financial data for management decision-making	Obtain a modified or better opinion on financial statements
	Operate an effective management controls program
	Implement IT solutions to increase innovation and collaboration into the NTSB’s mission and administrative processes
	Percentage of regulation parts updated each year
4.2 Align and improve human capital planning and diversity	Number of activities supporting EEO and Diversity Outreach
4.3 Improve employee engagement, satisfaction, and inclusion	Number of employee engagement, satisfaction, and inclusion actions
	Percentage of staff trained on the New Inclusion Quotient

Table 10: Goal 4 Performance Metrics

Goal	Indicator	Office	2014 Actual	2015 Actual	2016 Actual	2017 Target
4.1.1 OC	Obtain a modified or better opinion on financial statements	CFO	Yes	Yes	Yes	Yes
4.1.2 OC	Operate an effective management controls program	Agency	Yes	Yes	Yes	Yes
4.1.3 OC	Implement IT solutions to increase innovation and collaboration into the NTSB’s mission and administrative processes	CIO	12	7	4	4
4.1.4 OC	Percentage of regulation parts updated each year	GC	N/A	N/A	20%	20%
4.2.1 OP	Number of activities supporting EEO and Diversity Outreach	Agency	N/A	N/A	41	1 per Office Director & Deputy (22)
4.3.1 OP	Number of employee engagement, satisfaction, and inclusion actions	Agency	N/A	N/A	44	2 actions per office (24)
4.3.2 OP	Percentage of staff trained on the New Inclusion Quotient ( <i>agency cumulative metric</i> )	Agency	N/A	N/A	60%	75%

### Key Challenges and Issues

The NTSB has earned a reputation for thorough and independent investigations of transportation accidents. To maintain that reputation, we are committed to continuously develop managerial, leadership, and workforce skills needed to ensure the quality of the accident investigations for which we are well known. This initiative includes the entire NTSB organization—investigative offices, business support offices, and agency leadership. We are faced with the challenge of developing our workforce in an environment of technological changes and dwindling resources.



The NTSB addresses these challenges through effective long-range planning and excellent communication. Long range planning in human capital management, as well as in core operations, ensures that the NTSB is ready to deal with any future investigative needs. The NTSB's enhanced focus on planning results in a workforce and processes that are capable and flexible enough to respond effectively to any and all issues and challenges. Effective communication at all levels of the organization supports the continuous improvement of our plans and processes. We will devote time and resources to thinking strategically, promoting employee engagement, as well as encouraging the development of our staff. To achieve our long-term vision, we must effectively plan and communicate while maintaining our primary commitment to improving transportation safety. We believe that the initiatives in place will provide the necessary balance to foster success of this strategic goal.

## Management Review

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NTSB uses a quarterly data driven review process. Each designated goal leader is responsible for the progress in meeting the goals, reporting the results, and making operational adjustments. The Office of the Managing Director coordinates these quarterly reviews.

## Program Evaluation and Research

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NTSB will use the results of the quarterly reviews and its annual performance report as a data reference for future development of the strategies, goals, measures, and targets. For this Plan, each office provided their analysis and support for each performance goal. Several performance goal indicators in this Plan are new for 2017. As a result, historical data are not available for some goals. These indicators are marked as N/A in the Summary Performance Indicator and Target tables. The results from the quarterly reviews and these evaluations will be included as some of the factors considered in determining NTSB's Plan.

## Data Management and Reliability

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Data management and reliability are important in determining performance outcomes. Currently, the data are reviewed and verified by Strategic Management Program Manager and finalized with the Office of Managing Director. In FY 2016, the Office of the Managing Director began developing a new strategic management communication and reporting tool. This tool will be housed as a web portal where each office will be responsible for entering and tracking their performance metric data. This new portal streamlines the performance reporting process and supports the validation and verification of reported metrics. Combined with an enterprise data integrity program, data storage will be expanded and analysis and reporting capabilities will be strengthened.



## Performance Metric Definitions

<b>Title</b>	Number of Products adopted by the Board
<b>Objective</b>	1.1 Select and scale an appropriate response to accident investigations and incidents
<b>Definition</b>	This measure counts the number of products that each investigative office delivers to the Board for adoption, either at a Board Meeting or by vote on a Notation item. A product is defined as a completed report, safety study, safety report, accident brief, standalone safety recommendation letter, safety alerts, safety issue/position papers, Most Wanted List items, response to proposed rulemaking, as well as any public hearings or forums held.
<b>Data Source</b>	Data will be collected from the Correspondence, Notation, & Safety Recommendations Database (CNS) and each product presented to the Board for their adoption at a Board meeting or by vote on a Notation item.
<b>Calculation</b>	A count of the number of products adopted either at a Board Meeting or by vote on a Notation item.
<b>Limitations</b>	Factors beyond our control such as major launch activity or limited Board Meeting date availability may restrict the number of reports adopted at Board Meetings.
<b>Measure Type:</b>	Output <span style="float: right;"><b>New:</b> No</span>

<b>Title</b>	Average time (in months) to completed Board adopted products
<b>Objective</b>	1.1 Select and scale an appropriate response to accident investigations and incidents
<b>Definition</b>	This measure captures the average time that it takes an investigative Office to deliver NTSB products to the Board for adoption, either at a Board Meeting or by vote on a Notation item. A product is defined as a completed report, safety study, safety report, accident brief, response to proposed rulemaking, as well as any public hearings or forums held. Adoption date normally is defined as adoption by Board Members at a Board Meeting. However, for some notation items which are not scheduled for a board meeting, 30 days will be added to the date in which the product goes on notation. Timeliness is established when all votes are recorded, or the end of the 30-day period, whichever comes first.  Each fiscal year, each office may select one accident investigation to be completed and presented to the Board within one year. If this investigation affects other products and resources, the office will not be penalized for the delay. An adjustment of the delay will be used in calculating this measure.
<b>Data Source</b>	Data, including the date of the accident, approval of the safety study topic and public hearings and forums by the Board, and safety report begin date and the date that the Board adopted the product will be collected from the Correspondence, Notation, and Safety Recommendations Database (CNS).
<b>Calculation</b>	A count of the number of months between the accident date, approval of the safety study topic and public hearings and forums by the Board, safety report begin date and the Board adoption date will be determined for each product and an average will be calculated. If a product has been delayed due to the selection of the accident investigation designated for completion within one year, the time of delay can be subtracted from the other products completion dates.  <i>Example: If during the fiscal year, the designated investigation pushes resources back 6 months, then 6 months can be subtracted from the overall products average time.</i>
<b>Limitations</b>	Factors beyond our control such as major launch activity or limited Board Meeting date availability may restrict the number of reports adopted at Board Meetings. The agency strives to achieve completion of investigative products within 16 months of the date of the accident. To accomplish this, we assess the complexity of the investigations and staff workload to set the target level as appropriate.
<b>Measure Type:</b>	Efficiency <span style="float: right;"><b>New:</b> No</span>



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<b>Title</b>	Number of Products Produced to Improve Transportation Safety	
<b>Objective</b>	1.1 Select and scale an appropriate response to accident investigations and incidents	
<b>Definition</b>	<p>This measure counts the number of transportation and safety products that each investigative office produces to improve transportation safety or solutions that investigators develop that can be readily implemented because they do not involve significant funding or changes to regulations.</p> <p>The purpose of this measure is track all agency work used to improve transportation safety that is in addition to those that require adoption by the Board. A product to improve transportation safety could include, but is not limited to the following: delegated briefs, regional aviation briefs, videos, newsletters, safety accomplishments or results as tracked by the modal offices and other significant or newly created products.</p>	
<b>Data Source</b>	A log of the number of applicable products will be kept by the Office.	
<b>Calculation</b>	A manual or electronic count of the applicable products.	
<b>Limitations</b>	Factors beyond our control such as major launch activity may restrict the number of other products produced. Development and implementation of other products may be impacted by budget, personnel resources constraints, and timelines.	
<b>Measure Type:</b>	Output	<b>New:</b> No

<b>Title</b>	Number of international cooperative activities completed	
<b>Objective</b>	1.2 Select and appropriately scale the NTSB's work on international accidents and incidents	
<b>Definition</b>	<p>This measure will count the number of aviation and marine international cooperative activities completed. The offices' count will include the following actions: (1) international launches to participate in the on-scene phase of international investigations, (2) significant travel (domestic or international) to support international aviation and marine accident /serious incident investigations, and/or (3) U.S. team comments to draft ICAO and IMO reports where significant U.S. resources have been applied.</p>	
<b>Data Source</b>	An electronic log of the number of applicable international cooperative activities.	
<b>Calculation</b>	An electronic count of the number of activities.	
<b>Limitations</b>	Factors beyond our control such as the number of international accidents that warrant a launch or limited staff resources due to domestic workload priorities may restrict the number of activities the office completes.	
<b>Measure Type:</b>	Output	<b>New:</b> No



<b>Title</b>	Percent of Transportation Disaster Assistance to Non-Legislated Accidents	
<b>Objective</b>	1.3 Continue to effectively coordinate and deliver Transportation Disaster Assistance (TDA) to accident victims	
<b>Definition</b>	<p>This performance measure tracks the Transportation Disaster Assistance Division’s (TDA’s) ability to be responsive to internal requests for support from the modal investigative divisions. It reports the percentage of requests for which TDA provides support when asked by the investigator in charge or other investigative staff. TDA is responsible for coordinating federal government resources to support local and state governments, disaster relief organizations, and the resources of the operator (i.e. air or rail carrier) following a subset of transportation accidents (49 USC 1136 and 1139) to meet the needs of transportation disaster victims and their families, while also providing support for NTSB investigative activities. TDA staff also coordinate and deliver services to accident victims and family members associated with “non-legislated” accidents.</p> <p><b>Non-legislated accidents</b> include aviation and rail accidents that do not meet the criteria established by 49 USC 1136 and 49 USC 1139, highway, marine, pipeline, and any other accidents investigated by the NTSB.</p> <p>Legislated accidents are defined under <a href="#">49 USC 1136</a> and <a href="#">1139</a> as:</p> <p>For aviation (<a href="#">49 USC 1136</a>):</p> <ol style="list-style-type: none"> <li>1) Involving a domestic air carrier that holds a certificate of public convenience and necessity (CPCN) or involving a foreign air carrier that has economic authority to operate within the US. (Note: TDA and DOT maintain a list of domestic and foreign carriers that includes emergency management contact information and their filed assurances as specified by 49 USC 41113 and 41313)</li> <li>2) Accident occurs in the US or its territories.</li> <li>3) Accident results in a major loss of life.</li> </ol> <p>For rail (<a href="#">49 USC 1139</a>):</p> <ol style="list-style-type: none"> <li>1) Involves a rail passenger carrier as defined under 49 USC 1139 (pasted below, but in practice as this point in time it applies to Amtrak)</li> <li>2) Accident results in a major loss of life.</li> </ol> <p>(h) DEFINITIONS—In this section: (1) RAIL PASSENGER ACCIDENT—The term “rail passenger accident” means any rail passenger disaster resulting in a major loss of life occurring in the provision of—(A) interstate intercity rail passenger transportation (as such term is defined in section 24102); or (B) interstate or intrastate high-speed rail (as such term is defined in section 26105) transportation, regardless of its cause or suspected cause. (2) RAIL PASSENGER CARRIER—The term “rail passenger carrier” means a rail carrier providing— (A) interstate intercity rail passenger transportation (as such term is defined in section 24102); or (B) interstate or intrastate high-speed rail (as such term is defined in section 26105) transportation, except that such term does not include a tourist, historic, scenic, or excursion rail carrier.</p>	
<b>Data Source</b>	The total number of requests for which TDA provided support, and any requests TDA was unable to support.	
<b>Calculation</b>	Requests are tracked by a spreadsheet. To calculate the percentage, divide the total number of investigations where TDA provided support (numerator) by the total number of requests for those services (denominator), then multiply by one hundred. This is a manual calculation.	
<b>Limitations</b>	Multiple simultaneous accidents could affect TDA’s ability to provide support.	
<b>Measure Type:</b>	Outcome	<b>New:</b> Yes



<b>Title</b>	Number of outcome-oriented safety results involving industry or government stakeholders
<b>Objective</b>	1.4 Engage in outreach with transportation community to improve awareness of lessons learned from accident investigations nationally and internationally
<b>Definition</b>	The Offices of Aviation, Highway, Marine Safety, Research & Engineering, Rail, Pipeline & Hazardous Materials Investigations and Communications provide advice and information on a wide range of topics that affect transportation safety. In addition, Congress may take actions such as holding hearings, proposing legislation, or other actions to improve transportation safety based on NTSB investigations or recommendations. Each offices will count the following actions: (1) standards or rulemaking committees actively working to address safety recommendations (these may span multiple years), (2) staff participation in committees, conferences, and other speaking engagements including providing technical papers on safety topics in which NTSB staff are included on the agenda (domestic or international), (3) legislative action that requires recommended safety improvements to be implemented, (4) advocacy related travel, including MWL and non-MWL items (i.e. funded by Advocacy funds or Office Support funds); or (5) testimony provided by staff at the request of federal or state governments or officials; or (6) other significant events or activities may also be included.
<b>Data Source</b>	A manual or electronic log of the number of applicable outreach-oriented safety results will be kept by the Office. The Office of Safety Recommendations & Communications will provide the data for trips funded by Advocacy funds.
<b>Calculation</b>	A manual or electronic count of the applicable outreach-oriented safety results will be kept.
<b>Limitations</b>	There is no difficulty in collecting the measurement data, but factors beyond our control such as higher-priority issues that Congress must deal with may prevent the agency from taking action on safety issues.
<b>Measure Type:</b> Output	<b>New:</b> No



## FY 2017 Annual Performance Plan

<b>Title</b>	Number of safety recommendations closed acceptably during the fiscal year	
<b>Objective</b>	2.1 Identify new and creative ways to advocate safety recommendations and other safety actions	
<b>Definition</b>	This measure indicates performance on implementation of safety recommendations—the heart of the agency’s mission. This measure will count the number of recommendations closed acceptably (successfully implemented) during the fiscal year. Board Order 70B Section 4 defines a safety recommendation. The following designations of a closed status will be used in the calculation of this measure: CEX (Closed—Exceeds Recommended Action), CAA (Closed—Acceptable Action), and CAAA (Closed—Acceptable Alternate Action).	
<b>Data Source</b>	This information is tracked in the Correspondence, Notation, and Safety Recommendations Database (CNS).	
<b>Calculation</b>	Data are compiled by the Office of the Managing Director’s Safety Recommendations and Quality Assurance Division on the number of safety recommendations implemented during the fiscal year.	
<b>Limitations</b>	Implementation of safety recommendations is largely outside of staff control and depends on more factors than can be listed such as economic conditions, funding levels, and the current political climate.	
<b>Measure Type:</b>	Output	<b>New:</b> No

<b>Title</b>	Total number of non-emergency enforcement backlog cases on hand	
<b>Objective</b>	3.1 Effectively manage the appeals process and appropriately protect the rights of airmen and mariners seeking the NTSB’s review while balancing their interests with considerations of aviation and marine safety	
<b>Definition</b>	This measure reports the number of non-emergency enforcement cases pending in the Office of General Counsel inventory. Non-Emergency draft opinions and orders are defined as the enforcement cases where the Administrator of the Federal Agency Aviation Administration (FAA) or the Commandant of the Coast Guard has not immediately revoked or suspended an airman’s or mariner’s certificate, and as a consequence, the case has no statutorily imposed deadline as in emergency enforcement cases. However, because the affected airman or mariner may still be in possession of his or her license or certificate, undue delay in achieving a final decision by the Board may potentially affect transportation safety. The office’s responsibility is to ensure action by the full Board within a reasonable period of time.	
<b>Data Source</b>	A database will be maintained by the paralegal manager of the enforcement program within the Office of General Counsel showing all processing dates for each enforcement case.	
<b>Calculation</b>	Open enforcement cases will be tallied and tracked on a monthly basis, and the backlogged actively managed accordingly. Every effort will be made to continue to drive the backlog to as close to zero cases pending Board action once fully briefed by the parties to the enforcement action. Total open cases will be aggregated at the end of the evaluation period. This will be a manual calculation.	
<b>Limitations</b>	None.	
<b>Measure Type:</b>	Output	<b>New:</b> No



<b>Title</b>	Percentage of emergency cases closed within 27 days	
<b>Objective</b>	3.1 Effectively manage the appeals process and appropriately protect the rights of airmen seeking the NTSB’s review while balancing their interests with considerations of aviation safety	
<b>Definition</b>	The measurement is intended to demonstrate the expeditious disposition of emergency cases by the Office of Administrative Law Judges (ALJ).	
<b>Data Source</b>	The Office of Administrative Law Judges database	
<b>Calculation</b>	<p>The measure is intended to demonstrate Office of Administrative Law Judges (ALJ’s) compliance with the Board’s Rules of Practice requiring that an expedited hearing be conducted within 30 days of receipt of the appeal (pursuant to 49 CFR 821.56(a) and the statutory requirement that both appeal levels are completed within 60 days) when the Administrator takes an emergency action against an airman’s certificate. An enforcement action is designated as an emergency by the Federal Aviation Administration when the Administrator determines that public interest and air safety require the immediate suspension or revocation of an airman or operator certificate, and as a consequence, leaves the airman or operator without use of the certificate during the pendency of the appeal.</p> <p>To calculate the measure, an inquiry will be made of the ALJ database to generate the number of emergency cases received and the date the case was received, as well as the number of emergency cases closed during the quarter. The denominator is the total number of emergency cases received during the reporting period. The numerator is the total number of emergency cases closed during the reporting period within 27 days. Divide the two numbers to generate the percentage of emergency cases disposed of during the reporting period.</p>	
<b>Limitations</b>	The following are possible reasons why a case cannot be closed at this level within 27 days: lack of courtroom space; spike in incoming emergency cases that tax the availability of Judges to hear cases; planned and unexpected unavailability of judges, e.g., retirement, extended sick leave, scheduled training, and scheduled vacation; multiple sessions of a case; and extraordinary circumstances beyond our control.	
<b>Measure Type:</b>	Outcome	<b>New:</b> Yes



<b>Title</b>	Percentage of non-emergency cases closed within 180 days
<b>Objective</b>	3.1 Effectively manage the appeals process and appropriately protect the rights of airmen seeking the NTSB's review
<b>Definition</b>	The measurement is intended to demonstrate the expeditious disposition of cases by the Office of Administrative Law Judges (ALJ).
<b>Data Source</b>	The Office of Administrative Law Judges database
<b>Calculation</b>	<p>The Administrative Law Judges conduct formal hearings and issue initial decisions on appeals of airmen filed with the Safety Board. The NTSB serves as the "court of appeals" for any airman, mechanic or operator when certificate action is taken by the Federal Aviation Administration, when applications for certificates are denied, or when civil penalties are assessed by the FAA.</p> <p>The measure is intended to demonstrate Office of Administrative Law Judges (ALJ's) compliance with management goals of efficient processing of appeals and petitions for review.</p> <p>To calculate the measure, an inquiry will be made of the ALJ database to generate the number of non-emergency cases received and the date the case was received, as well as the number of non-emergency cases closed during the quarter. The denominator is the total number of non-emergency cases received during the reporting period. The numerator is the total number of non-emergency cases closed during the reporting period within 180 days. Divide the two numbers to generate the percentage of non-emergency cases closed during the reporting period.</p>
<b>Limitations</b>	<p>The following are possible reasons why a case cannot be scheduled for disposition: pending criminal actions involving the same airman stemming from the same matter; the pendency of a case on appeal before the Board that is likely to result in precedent dispositional of the subject case; extensive discovery considerations; legitimate scheduling conflicts with the parties and other witnesses; lack of courtroom space; spike in incoming cases that tax the availability of Judges to hear cases; planned and unexpected unavailability of judges, e.g., retirement, extended sick leave, scheduled training and vacation; multiple sessions of a case; and other matters beyond our control. (In some cases, the parties actually request delaying the disposition of the case.) Based on emergency cases caseload, resources may be re-assigned to those cases due to their expediency which may affect the timeliness of this metric.</p>
<b>Measure Type:</b>	Outcome
<b>New:</b>	Yes



## FY 2017 Annual Performance Plan

<b>Title</b>	Obtain a modified or better opinion on financial statements
<b>Objective</b>	4.1 Ensure efficiency in utilizing agency resources and financial data for management decision-making
<b>Definition</b>	<p>This measure indicates the success of the Office of the Chief Financial Officer's (CFO) efforts to ensure the financial integrity of the NTSB, as well as, assure external stakeholders that the agency takes its fiduciary responsibility seriously. An audit is conducted annually by an independent public accounting firm under contract to the Department of Transportation Office of Inspector General (DOTIG). The audit usually runs from April to November with the audit opinion issued in November for the previous fiscal year (e.g. the opinion issued in November 2015 is for FY 2015 which ended on October 31, 2015). The CFO must receive an audit opinion on the financial information before submission to external stakeholders.</p> <p><b>This measure will report on audit results from the previous fiscal year.</b></p>
<b>Data Source</b>	Auditable financial records include, but are not limited to, general ledger transactions, budget allocations, payroll records, accounting system entries and records, monthly, quarterly, and annual financial statements and footnotes, mandatory external financial reports, and other financial documents.
<b>Calculation</b>	<p>A series of source documents, spreadsheets, narratives, and/or reports are used in the collection of data and submitted to the auditor selected by the DOTOIG. To maintain auditable financial information, the CFO relies on a complex system of internal controls which includes general fan financial internal controls as required by OMB-Circular A-123 (Management and Accountability); production and review of monthly financial statements and analytics and daily review of financial information as early warning indicators should the financial information need to be corrected. This measure will be considered achieved and designated GREEN when a clean or unqualified audit opinion has been received from the DOTOIG.</p> <p>This measure will be reported on an annual basis.</p>
<b>Limitations</b>	This measure is a lagged measure because the year-end financial statements cannot be issued and reviewed until after the close of the fiscal year.
<b>Measure Type:</b>	Outcome
<b>New:</b>	No



## FY 2017 Annual Performance Plan

<b>Title</b>	Operate an effective management controls program	
<b>Objective</b>	4.1 Ensure efficiency in utilizing agency resources and financial data for management decision-making	
<b>Definition</b>	<p>The Federal Managers' Financial Integrity Act (FMFIA) requires agencies to establish internal control and financial systems that provide reasonable assurance of achieving the three objectives of internal control, which are:</p> <ul style="list-style-type: none"> <li>• Effectiveness and efficiency of operations;</li> <li>• Compliance with regulations and applicable laws; and</li> <li>• Reliability of financial reporting.</li> </ul> <p>FMFIA requires the agency head to provide an annual Statement of Assurance on whether the agency has met these requirements. This measure provides assurance the success of the NTSB's efforts to ensure the NTSB management control program is working effectively and has properly protected our resources from waste, fraud, or misuse. The Office of the Chief Financial Officer (OCFO) leads a year round program to review and test the agency management controls which culminates in the annual FMFIA Assurance Letter.</p>	
<b>Data Source</b>	Audits or reviews performed by external parties such as Government Accountability Office, Department of Transportation Office of the Inspector General, Office of Personnel Management, etc. Internal control reviews performed by OCFO or other NTSB offices. Annual FMFIA risk assessments completed by NTSB offices.	
<b>Calculation</b>	The OCFO will monitor the results of NTSB risk assessments, internal control reviews, external audits and reviews and any related corrective actions taken by NTSB offices. The CFO will consult with the Senior Management Oversight Council (SMOC) on the results of this year's process. The CFO incorporates any SMOC feedback into the draft report and will propose the content of the Annual FMFIA Assurance Letter to be signed by the Chairman. This measure will be reported on an annual basis.	
<b>Limitations</b>	None	
<b>Measure Type:</b>	Outcome	<b>New:</b> No

<b>Title</b>	Implement IT solutions to increase innovation and collaboration into the NTSB's mission and administrative processes	
<b>Objective</b>	4.1 Ensure efficiency in utilizing agency resources and financial data for management decision-making	
<b>Definition</b>	<p>This measure tracks the implementation of a number of IT projects that will improve and increase innovation and collaboration. These implemented projects will enhance communication and the overall internal and external experience in accessing and using NTSB products and services to include:</p> <ol style="list-style-type: none"> <li>1. Evaluate the technical infrastructure and produce a high-level strategic plan to implement an enterprise class technical infrastructure, as appropriate, to support NTSB operations today and into the future.</li> <li>2. Evaluate the application infrastructure and systems and produce a high-level strategic plan to implement an enterprise class application infrastructure and systems, as appropriate, to support NTSB operations today and into the future.</li> <li>3. Complete assessment of OCIO staff and resources and implement structure to strategically support innovation, current operations and the efficient delivery of solutions to NTSB offices.</li> <li>4. Evaluate productivity tools and solutions and deliver solutions as appropriate.</li> </ol>	
<b>Data Source</b>	Office of the Chief Information Officer IT Projects	
<b>Calculation</b>	Manual count the number of implementations, enhancement and/or upgrades	
<b>Limitations</b>	The total number of implementations, enhancements and upgrades may be impacted by budget and personnel resources as well as specific customer driven requirements.	
<b>Measure Type:</b>	Outcome	<b>New:</b> No



## FY 2017 Annual Performance Plan

<b>Title</b>	Percentage of regulation parts updated each year
<b>Objective</b>	4.1 Ensure efficiency in utilizing agency resources and financial data for management decision-making
<b>Definition /Purpose</b>	<p>The purpose of this measure is to demonstrate the NTSB’s process to ensure its regulatory parts remand up-to-date and accurate. Executive Order (EO) 13579, “Regulation and Independent Regulatory Agencies,” issued July 11, 2011, directs independent regulatory agencies to review all regulations to ensure they are up-to-date and comply with the principles articulated in the order. The order states the “independent regulatory agencies should consider how best to promote retrospective analysis of rules that may be outdated, ineffective, insufficient, or excessively burdensome, and to modify, streamline, expand, or repeal them in accordance with what has been learned.”</p> <p>Although the NTSB is not an independent <i>regulatory</i> agency, it nevertheless has undertaken a retrospective review of its regulations. In the interest of transparency and ensuring its regulations accurately reflect the agency’s processes for investigations and hearings, as well as other administrative matters, such as the availability of information and the provision of deposition testimony, the NTSB has opted to review all its agency regulations and take action to update them and develop regulatory guidance to interpret regulations, where appropriate.</p> <p>This is a long-term measure that will be implemented over the next four to five years. The NTSB will take action to review and update, on average, 20 percent of its regulatory parts per year, for the next four years. Currently, the agency maintains 18 regulatory parts, all codified within title 49 of the <i>Code of Federal Regulations</i>.</p> <p>The NTSB will update various rulemaking parts in accordance with informal rulemaking procedure and solicit comments from the public. All phases can be worked on simultaneously and not in a specified order. Some regulations may surpass the four-year long-term goal, given the required comment period that must follow all notices of proposed rulemaking under the Administrative Procedure Act.</p>
<b>Data Source</b>	NTSB Unified Regulatory Agenda; Executive Order 13579, “Regulation and Independent Regulatory Agencies” (76 FR 41587, July 14, 2011); 49 <i>Code of Regulations</i> parts 800, 801, 802, 803, 804, 805, 806, 807, 821, 825, 826, 830, 831, 835, 837, 840, 845, and 850.
<b>Calculation</b>	The NTSB will update approximately 25 percent of its 18 regulatory parts in Fiscal Year 2016. The NTSB will compute this by a manual count of the number of parts updated for the fiscal year.
<b>Limitations</b>	Staffing resources may hinder the NTSB’s progression of rulemaking projects. In addition, the technical nature of each rulemaking project may limit the agency’s fulfillment of its projected timeframes.
<b>Measure Type:</b> Outcome	<b>New:</b> No



<b>Title</b>	Number of activities supporting EEO and Diversity Outreach
<b>Objective</b>	4.2 Align and improve human capital planning and diversity
<b>Definition</b>	<p>The purpose of this measure is to improve the senior leadership’s (Office Directors &amp; Deputy Directors) engagement and collaborative efforts through their personal and direct participation in activities/initiatives that promote the NTSB’s Equal Employee Opportunity (EEO) and diversity outreach programs.</p> <p>Workforce diversity is defined as a collection of individual attributes that together help agencies pursue organizational objectives efficiently and effectively. These include, but are not limited to, characteristics such as national origin, language, race, color, disability, ethnicity, gender, age, religion, sexual orientation, gender identity, socioeconomic status, veteran status, and family structures. The concept also encompasses differences among people concerning where they are from and where they have lived and their differences of thought and life experiences.<sup>1</sup> The senior leadership demonstrates a commitment to workforce diversity that values the uniqueness of individuals and their varied viewpoints by actively participating in any of the following:</p> <ul style="list-style-type: none"> <li>• Evaluates past hiring efforts that inform future outreach efforts to take positive actions to expand the pool of qualified applicants.</li> <li>• Designs and performs strategic outreach and recruitment to reach a diverse, qualified group of potential applicants to secure a high-performing workforce drawn from all segments of American society.</li> <li>• Collaborates with Human Resources Division (HRD) and the Office of Equal Employment Opportunity, Diversity and Inclusion (EEODI) regarding workforce initiatives.</li> <li>• Participates in outreach events with professional diverse organizations, employee resource groups, and other programs/activities that demonstrate a commitment to supporting the objectives of EEO and diversity programs.</li> <li>• Participates in networking and/or recruitment/outreach events at colleges and universities, including Historically Black Colleges and Universities, Hispanic Serving Institutes and Tribal Colleges and Universities to educate attendees on NTSB’s mission and our Science, Technology, Engineering, and Math (STEM) related internships and employment opportunities.</li> <li>• Partners with minority serving institutions by mentoring/coaching members/students and sharing opportunities about NTSB STEM and other careers.</li> <li>• Promotes NTSB employment/internship opportunities with a focus on STEM, targeting universities/organizations with a high concentration of minorities, women, individuals with disabilities, and/or veterans.</li> </ul>
<b>Data Source</b>	Recruitment data, training provided by the Office of EEODI, HRD activities/initiatives
<b>Calculation</b>	Manual count of activities in which Office Directors & Deputy Directors personally participated or led. Review data sources, action plans, and/or evidence of the activities/initiatives that support EEO and diversity outreach programs. This measure will be reported on an annual basis.
<b>Limitations</b>	Factors beyond our control such as budgetary constraints, personnel resources and timelines may affect activities as well as funding in support of activities/initiatives.
<b>Measure Type:</b>	Output   New: No

<sup>1</sup> Office of Personnel Management, <https://www.opm.gov/policy-data-oversight/diversity-and-inclusion/reports/diagency-specific-strategic-planning-guidance.pdf>



## FY 2017 Annual Performance Plan

<b>Title</b>	Number of employee engagement, satisfaction, and inclusion actions
<b>Objective</b>	4.3 Improve employee engagement, satisfaction, and inclusion
<b>Definition</b>	<p>The purpose of this measure is to improve NTSB's employee engagement and inclusion to maximize their potential to contribute fully to the Agency's mission. Effective workplace inclusion efforts promote opportunity, interaction, communication, information and decision-making to cultivate a culture that encourages collaboration, flexibility, and fairness to enable employees to contribute to their full potential and further retention. Inclusion can be defined as a culture that connects each employee to the organization; encourages collaboration, flexibility, and fairness; and leverages diversity throughout the organization so that all individuals are able to participate and contribute to their full potential<sup>2</sup>.</p> <p>Each office receives feedback regarding their engagement status based on informal or formal feedback, which may be derived from the Federal Employee Viewpoint Survey (FEVS), a tool that measures employees' perceptions of whether, and to what extent, conditions characterizing successful organizations are present in their agencies. The FEVS provides valuable insights into how employees feel about their jobs, and what their manager and agency leaders can do to increase their engagement, and make them feel more appreciated and productive.</p> <p>Each office demonstrates a commitment to workforce diversity and workplace inclusion and engagement that values the uniqueness of individuals and their varied viewpoints. Office senior executives, managers and supervisors actively engage with employees, showing respect for their diverse backgrounds, experiences, talents, abilities, thoughts, and opinions to encourage the open exchange of ideas.</p> <p>Among the actions which NTSB office senior executives, managers and supervisors may take to improve employee engagement are as follows:</p> <ul style="list-style-type: none"> <li>• Uses the results of the New IQ scan data, the FEVS, or other informal sources to gain insights into areas of focus to support a diverse and inclusive environment that fosters fairness, openness, cooperation, support, and empowerment.</li> <li>• Develops action plans and demonstrates improved employee inclusion and engagement by analyzing results of FEVS, formal or informal employee feedback, to take appropriate action.</li> <li>• Serves as mentors or coaches to develop employees to their full potential.</li> <li>• Provides employees with appropriate opportunities to learn and grow through special assignments, mentoring programs, details, workgroups, and challenging projects.</li> <li>• Communicates openly and frequently with employees to improve trust and establish an accepting environment that encourages cooperation and collaboration.</li> <li>• Recognizes, rewards, and/or promotes employees, as appropriate, for their accomplishments to show employees that their contributions are valued.</li> <li>• Partners with the EEODI office in leading Special Emphasis Programs to promote diversity within the workforce.</li> </ul>
<b>Data Source</b>	EVS results, training and development opportunities, detail/mentoring opportunities, employee feedback surveys, listening sessions, and other indicators identified appropriate for measurement.
<b>Calculation</b>	Manual count of the activities in which senior executives, managers and supervisors led to improve employee engagement, satisfaction and inclusion. Review data sources, action plans, and/or evidence of the activities/initiatives that engages employees and cultivates a high performing, motivated, and productive workforce. This measure will be reported on an annual basis.
<b>Limitations</b>	Factors beyond our control such as budgetary constraints, personnel resources and timelines may affect activities as well as funding in support of activities/initiatives.
<b>Measure Type:</b>	Output
<b>New:</b>	No

<sup>2</sup> Office of Personnel Management., <https://www.opm.gov/policy-data-oversight/diversity-and-inclusion/reports/agency-specific-strategic-planning-guidance.pdf>



<b>Title</b>	Percentage of staff trained on the New Inclusion Quotient
<b>Objective</b>	4.3 Improve employee engagement, satisfaction, and inclusion
<b>Definition</b>	<p>The purpose of this measure is to improve employee engagement by evaluating and creating a more inclusive work environment by implementing the New Inclusive Quotient (IQ) derived from the Federal Employee Viewpoint Survey (FEVS). The FEVS is a tool that measures employees' perceptions of whether, and to what extent, conditions characterizing successful organizations are present in their agencies. The FEVS provides valuable insights into how employees feel about their jobs, what their manager and agency leaders can do to make them feel more engaged, more appreciated, and more productive. From the FEVS, 20 questions were taken to form the New Inclusive Quotient Perception Scan. The New IQ is synonymous with Inclusive Intelligence which can be defined as “the intentional, deliberate, and proactive acts that increase work group intelligence by making people feels they “belong” and are “uniquely” valued.”</p> <p>The New IQ is built on the concept that individual behaviors, repeated over time, form the habits that create the essential building blocks of an inclusive environment. The ideology shares a way to foster five inclusive habits: <b>fairness, openness, cooperation, support, and empowerment</b>. These behaviors can be learned, practiced, and developed into habits of inclusiveness and subsequently improve the inclusive intelligence of NTSB members.</p> <p>Implementation includes various stages and activities for completion. The NTSB’s first step in implementing this concept is to train employees on the New IQ. The goal is to leverage inclusive intelligence for engagement, innovation and collaboration. Review of the annual FEVS and the New IQ perception scan administered by the Office of EEODI will assist in gauging the agency’s perception on employee engagement and inclusiveness. Additional trainings and future implementation will be conducted based on the results of these surveys.</p>
<b>Data Source</b>	Training provided by the Office of EEODI; FEVS: New IQ Perception Scan results
<b>Calculation</b>	<p><b>At least 25% of staff in each office must be trained during the FY on the New IQ to count toward achievement of this measure.</b> Sign-in sheets by the Office of EEODI and/or the Office will be utilized to track attendance. To calculate the agency percentage, divide the total number of staff trained on the New IQ (numerator) by the total number of staff in the agency (denominator).</p> <p>For calculation purposes and standardization, total agency staff is 430 based on the FTE status as of 10/1/16. This measure will be reported on an annual basis.</p>
<b>Limitations</b>	Factors beyond our control such as budgetary constraints, personnel resources, launch activity may affect training completion.
<b>Measure Type:</b> Outcome	
<b>New:</b> No	