

DRAFT TEXT FOR THE FCC'S STRATEGIC PLAN, 2003-2008

Table of Contents

Message from the Chairman	2
About the FCC	2
Mission	3
General Goals	3
General Objectives by Goal	4
Key Factors	6
Means and Strategies	
Goal 1 – Broadband	7
Goal 2 – Spectrum	9
Goal 3 – Media	11
Goal 4 – Homeland Security	13
Goal 5 – Competition	14
Goal 6 – Modernize the FCC	16
Performance Goals for each General Goal	18
Evaluation Plans	18
Budget Category Crosswalk to General Goals	19

MESSAGE FROM THE CHAIRMAN

I am pleased to provide you with this Strategic Plan for fiscal years 2003 through 2008.

Since passage of the Government Performance and Results Act (GPRA) in 1993, which requires Federal agencies to prepare strategic and performance plans, the role of and environment surrounding the FCC have changed significantly. This strategic plan reflects the direction in which the FCC must proceed if the American people and economy are to continue to benefit from the ongoing developments in global communications.

This plan contains the following elements, consistent with the requirements of OMB Circular A-11, which requires that a strategic plan contain:

- A comprehensive mission statement;
- A description of general goals and objectives;
- A description of the means and strategies that will be used to achieve the goals and objectives;
- A description of the relationship between performance goals in the annual performance plan and general goals and objectives in the strategic plan;
- Identification of key factors that could affect achievement of the general goals and objectives; and
- A description of program evaluations used, and a schedule for future evaluations.

This strategic plan provides each of these six required sections and adheres to both OMB's terminology and definitions in these required elements. Additionally, this strategic plan provides additional information in three sections not required by OMB.

ABOUT THE FCC

The FCC is an independent Federal agency directly responsible to Congress. The FCC was established by the Communications Act of 1934 and is charged with regulating interstate and international communications by radio, television, wire, satellite, and cable.

The FCC is directed by five Commissioners appointed by the President and confirmed by the Senate for 5-year terms, except when filling an unexpired term. The President designates one of the Commissioners to serve as Chair. Only three Commissioners may be representatives of the same political party. None of them can have a financial interest in any Commission-related business. The Chairman and other Commissioners supervise FCC activities, delegating selected responsibilities to six Bureaus and ten staff offices.

MISSION¹

It is the mission of the Federal Communications Commission to ensure that the American people have available, without discrimination, rapid, efficient, Nation and world-wide communication services at reasonable charges.

GENERAL GOALS

Since its founding, the United States has steadily transformed its economy through the use of technology. Communications technologies have been one of the primary drivers of our robust economy. Over the coming years, it is expected that continued progress will depend on the availability of reliable, innovative communications products and services.

The FCC is responsible to Congress and the American people for ensuring that an orderly and competitive framework exists within which communications products and services can be quickly and affordably provided. Additionally, the FCC must also address public policy objectives such as public health and safety – as related to communications - and ensure the fulfillment of public responsibilities such as universal availability of basic telephone service, including in rural areas; making telecommunications services accessible to people with disabilities; and protecting and informing consumers about their rights. In support of this mission, the FCC in accordance with its statutory authority has six core goals for the next five years. They are:

- BROADBAND:** Establish regulatory policies that promote competition, innovation, and investment in broadband services and facilities while monitoring progress toward the deployment of broadband services in the United States and abroad. 47 U.S.C. § 157 and note.
- SPECTRUM:** Encourage the highest and best use of spectrum domestically and internationally in order to encourage the growth and rapid adoption of new technologies. 47 U.S.C. § 309 (j); 303 (g).
- MEDIA:** Revise media regulations so that timely development and delivery of new technologies is encouraged, media ownership rules promote competition and diversity in a comprehensive, legally sustainable manner, and the migration to digital modes of delivery is facilitated. 47 U.S.C. §§336, 307(b); Telecommunications Act of 1996 § 202(h)
- HOMELAND SECURITY:** Provide leadership in evaluating and strengthening the Nation’s communications infrastructure, in ensuring rapid restoration of that infrastructure in the event of disruption, and in ensuring that essential public health and safety personnel have effective communications services available to them in emergency situations. 47 U.S. C. §§ 151, 606, 337.

¹ 47 U.S.C § 151 – Title 1, Section 1 of the Communications Act of 1934, as amended.

COMPETITION: Support the Nation’s economy by ensuring there is a comprehensive and competitive framework within which the communications revolution can continue so that all consumers can make meaningful choices among and have equal access to communications services. 47 U.S.C. §§ 251, 271, 253, 254.

MODERNIZE THE FCC: Emphasize performance and results through excellent management, develop and retain independent mission-critical expertise, and align the FCC with dynamic and converging communications markets. 47 U.S.C. § 155(a).

GENERAL OBJECTIVES BY GOAL

Broadband

- Encourage the availability of broadband to all Americans.
- Conceptualize broadband in a way that includes any platform capable of providing high-bandwidth intensive content.
- Provide an environment for broadband to promote investment and innovation.
- Harmonize regulation of competing broadband services that are provided via different technologies and network architectures.
- Strongly enforce market-opening requirements.
- Monitor social and economic developments in order to provide ongoing national and international policy leadership and consumer education in the emerging broadband arena.

Spectrum

- Develop and implement market-oriented allocation and assignment policies, where consistent with law.
- Vigorously protect against harmful interference and enforce public safety-related rules.
- Conduct effective and timely licensing activities that encourage efficient use of the spectrum.
- Provide adequate spectrum for better public safety and commercial purposes.
- Serve as a dependable information source for Congress and the American people on the complex issues inherent in using our finite spectrum resource.

Media

- Promote the goals of competition and diversity
- Build and continually update a solid factual and analytic foundation for media ownership regulation.
- Encourage the timely development and deployment of digital services.

Homeland Security

- Evaluate and strengthen measures for protecting the Nation's communications infrastructure.
- Facilitate rapid restoration of the U.S. communications infrastructure and facilities after disruption by a threat or attack.
- Develop policies that promote access to effective communications services by public safety, public health, and other emergency and defense personnel in emergency situations.

Competition

- Foster competition across the entire telecommunications sector.
- Simplify and enforce interconnection and other competition-related rules.
- Promote universal service.
- Ensure that consumers have choices among communication services and are protected in the increasingly competitive telecommunications landscape.
- Continually evaluate and report on the competitive environment for communications services.

Modernize The FCC

- Structure the FCC so that it can flexibly respond to Congress, consumers, and the communications industries in a timely manner.
- Provide and sustain mission-critical training and development in order to ensure excellence among a diverse and expert staff.
- Offer employees educational and advancement opportunities.

KEY FACTORS²

A new type of migration is occurring today. Past migrations involved the physical movement of people from one place to another leading to the diffusion of cultures, tools, habits, ideas, and forms of political organization. Today's migrations involve not the movement of people but fundamental shifts in what author Clayton Christensen calls "disrupting technologies." These disruptive technologies are rapidly changing how people live because they unleash the power of what renowned economist Joseph Schumpeter called "creative destruction." Schumpeter, increasingly regarded as the father of the New Economy, saw that technological change "incessantly revolutionizes the economic structure from within." Rather than "reform," a relatively pedestrian, incremental notion, the world today faces Schumpeterian revolution – largely because of information and communication technologies.

In this ever-changing arena, the FCC is called upon to ensure that the American people enjoy the advantages of fully competitive communications markets while having access to communications services at just, reasonable, and affordable rates.

To successfully carry out this mission the FCC must balance technological, economic, legal, and organizational factors. These factors are broadly discussed below. Fuller detail on these factors is found in the following section on Means and Strategies as they pertain to each of the FCC's goals and objectives.

Technological Factors

Emerging technologies underpin the hopes and plans for continuing today's communication revolution into the future.

Popular scenarios of an always-connected future may assume levels and concentrations of technologies that, in some cases, do not yet exist or exist only in configurations or at prices the market is currently unwilling to bear. Thus, the FCC must balance regulations that encourage and support development and deployment of innovative communications technologies with candid reporting to Congress and the American public on the viability of varied communications technologies.

Economic Factors

The Telecommunications Act of 1996 directed the FCC to promulgate rules that encourage competition in order to offer consumers a variety of communications services at reasonable prices. It is the consumer whose welfare stands at the forefront of the FCC's policies, and it is the consumer who ultimately determines which communications technologies will succeed and which will fail based upon whether those technologies provide products or services that consumers value.

² OMB Circular A-11 uses the term "key factors" to describe what is more commonly known as the "environmental scan." They note, "A strategic plan should identify those key factors, external to the agency, that could significantly affect the achievement of general goals and objectives."

Legal Factors

The FCC's ability to conduct its business is affected by laws as ultimately interpreted by the courts. The FCC is also impacted by its work with elected state and local officials in efforts to increase competition in communications markets. In addition, the FCC joins the State and Commerce Departments in representing the United States in international negotiations and treaties related to increasingly globalized communications services.

Organizational Factors

Any FCC action is highly dependent on its workforce and the tools that they have to do their jobs. Like many Federal agencies, many in the FCC's workforce are approaching retirement age. In addition many of the agency's tools – especially its computers, technical equipment, physical infrastructure, and financial tools – need to be updated.

Thus, the FCC faces significant technological, economic, legal, and organizational challenges in its endeavor to successfully accomplish its six core goals.

MEANS AND STRATEGIES³

Goal 1 - Broadband:

Establish regulatory policies that promote competition, innovation, and investment in broadband services and facilities while monitoring progress toward the deployment of broadband services in the United States and abroad.

Broadband technologies, which encompass all evolving high-speed digital technologies that provide consumers integrated access to voice, high-speed data, video-on-demand, and interactive delivery services, are a fundamental component of the communications revolution – a revolution that has had and will have profound impact on social and economic institutions in the U.S. and abroad. Fully-evolved broadband will have this impact because it:

- Virtually eliminates geographic distance as an obstacle to acquiring information, and
- Dramatically reduces the time it takes to access information.

All will benefit as broadband's technologies are developed and deployed. Nonetheless:

- The infrastructure is not yet ubiquitous,
- Relative costs of deployment remain high compared to narrowband,

³ Section 210.8 of OMB Circular A-11 calls for a description of how the general goals and objectives will be achieved, which it says is "often called the means and strategies." OMB requires that the strategic plan "describe the processes, skills, technologies, and various resources that will be used to achieve the general goals and objectives." In this section the FCC has chosen to restate the general goals and objectives plus note specific environmental or key factors in order to assist the reader in understanding the means and strategies that are proposed.

- Access is limited in underserved areas, and
- Adoption rates remain low relative to availability.

Therefore, the following objectives are set for broadband:

Objectives:

- Encourage the availability of broadband to all Americans.
- Conceptualize broadband in a way that includes any platform capable of providing high-bandwidth intensive content.
- Provide an environment for broadband to promote investment and innovation.
- Harmonize regulation of competing broadband services that are provided via different technologies and network architectures.
- Strongly enforce market-opening requirements.
- Monitor social and economic developments in order to provide ongoing national and international policy leadership and consumer education in the emerging broadband arena.

Factors:

- Technological -
 - Broadband infrastructure is not yet universally deployed
 - As broadband infrastructure develops, it appears that an increasing number of traditional telecommunications services will migrate to broadband platforms.
- Economic -
 - From a consumer's perspective, today's broadband has a high cost relative to dial-up services.
 - Some of those who may be most capable of completing the broadband infrastructure build-out argue that competitive access requirements reduce their incentive to invest and place them at a competitive disadvantage when compared to platforms like cable.
- Legal -
 - The FCC is in the midst of several proceedings regarding the appropriate regulation of broadband services.
 - The existing regulations were largely drafted prior to the evolution of broadband services.
- Organizational -
 - The appropriate role for the FCC in the emerging broadband market needs to be clearly understood throughout the agency.

Means and Strategies:

- Processes to -
 - Study and understand domestic and global markets for broadband technologies.
 - Clarify regulatory classification and access obligations, where appropriate.
 - Eliminate unnecessary regulatory barriers to deployment.
 - Participate in national/international dialogues regarding multiple technologies and their applications.
 - Educate American consumers about broadband and its applications.
 - Carry out strong enforcement of market opening requirements.

- Skills to -
 - Study and understand markets and technologies.
 - Conduct innovative rulemaking, deregulatory decision making, and effective policy analysis.
 - Carry out international communication and negotiation.
 - Facilitate conversations among key groups (state and local governments and industry) to identify best practices.
- Resources needed -
 - Text will be provided in June/July as 2004 budget request developed.

Goal 2 - Spectrum:

Encourage the highest and best use of spectrum domestically and internationally in order to encourage the growth and rapid adoption of new technologies.

The promise of emerging communications technologies could mean:

- Having the emergency dispatcher know exactly where your teenager is when he or she has to call for emergency help from a wireless phone (E911);
- Ubiquitous, mobile broadband connections via your new Third Generation (3-G) wireless phone that allow you to be part of a video conference with people around the world while you're traveling; or
- Quickly and easily synchronizing data from your cellular phone, your PDA, your laptop, and your desktop computer without having to plug-in, run wires, or use cradles – all through wireless networking.

These and hundreds of other promising technologies are dependent on one resource – spectrum. Spectrum encompasses the entire range of electromagnetic radio frequencies used in the transmission of sound, data, and video. The FCC and National Telecommunications and Information Administration (NTIA) share responsibility for managing the spectrum. NTIA manages spectrum used by the Federal government (e.g., air traffic control and national defense) and the FCC is responsible for spectrum used by others, including individuals (e.g., garage door openers and computer modems), private organizations (e.g., radio and television broadcasters), and public safety and health officials (e.g., police and EMT's).

Because there is a finite amount of spectrum and a growing demand for it, effectively managing the available spectrum is a strategic issue for the FCC and the NTIA. Therefore, the following objectives are established:

Objectives:

- Develop and implement market-oriented allocation and assignment policies.

- Vigorously protect against harmful interference and enforce public safety-related rules.
- Conduct effective and timely licensing activities that encourage efficient use of the spectrum.
- Provide adequate spectrum for better public safety and commercial purposes.
- Serve as a dependable information source for Congress and the American people on the complex issues inherent in using our finite spectrum resource.

Factors:

- Technological -
 - Explosive growth in new technologies – particularly handheld and wireless devices.
 - Increasing demand for spectrum requires new and innovative management techniques to use spectrum more efficiently.
 - Methods for avoiding and mitigating harmful interference, and increasing opportunities for spectrum sharing and re-use, require further study.
- Economic -
 - The competing demands for this resource require trade-offs between users including commercial services, national defense, and public safety.
 - Where spectrum relocation is desirable, crafting economic incentives for incumbent spectrum users to relocate continues to prove challenging.
- Legal -
 - U.S. policies in regard to spectrum management may need to shift to a greater market-orientation in order to permit flexible and agile response to technological and economic factors.
 - Judicial challenges have had an impact on the rights and responsibilities of the FCC in relation to spectrum that has been previously auctioned.
 - Congress sometimes mandates the timing of auctions.
 - Jurisdictional issues between the agencies charged with spectrum management (in particular NTIA and FCC) and competing demands may lead to new ways to achieve more efficient spectrum management.
 - Differences between international and domestic spectrum allocation policies may lead to lack of parity and inconsistency between U.S. and foreign licensing processes.
- Organizational -
 - The FCC needs sufficient human expertise and technical equipment to appropriately deal with issues, negotiate resolutions, and enforce interference and public safety requirements.

Means and Strategies

- Processes to -
 - Study and understand U.S. spectrum use and market conditions related to spectrum.
 - Provide bands to promote flexible technology development.
 - Use the Technical Advisory Committee to develop recommendations to promote spectral efficiency.
 - Refine licensing assignment processes.
 - Educate American consumers about spectrum management issues, especially interference.

- Carry out strong and effective enforcement in harmful interference and public safety situations.
- Skills to -
 - Study and understand market conditions.
 - Collaborate and communicate with industry and advisory committees.
 - Conduct innovative reengineering to speed up licensing processes.
 - Carry out sound engineering studies on impacts of spectrum sharing.
- Resources needed -
 - Text will be provided in June/July as 2004 budget request developed.

Goal 3 - Media:

Revise media regulations so that timely development and delivery of new technologies is encouraged, media ownership rules promote competition and diversity in a comprehensive, legally sustainable manner, and the migration to digital modes of delivery is facilitated.

The FCC is responsible for developing and modifying broadcasting and other media rules and policies in order to address changing technologies and changing competition and ownership patterns. The challenges in this area arise from:

- Increases in the availability of competitive services,
- Changing ownership patterns,
- Converging markets and industries, and
- Increasingly rapid changes in technologies employed by service providers.

Consistent with statutory directives, these factors have led the FCC to make rebuilding the factual and analytical foundation of its media ownership regulations and competition policies a top priority. The FCC will examine whether current forms of media regulation are achieving statutory policy objectives and determine how changes in regulations may affect the policy goals of competition, diversity, and localism. A critical aspect of the FCC’s responsibility to ensure that the public is served by an efficient and competitive set of media services is the full facilitation of the transition to digital broadcast television.

In support of this direction, the following objectives are established:

Objectives:

- Promote the goals of competition and diversity.
- Build and continually update a solid factual and analytic foundation for media ownership regulation.
- Encourage the timely development and deployment of digital services.

Factors:

- Technological -
 - Advances in technology create a potential for significant increases in competition.
 - The transition to digital television and digital radio is technologically challenging and requires coordination among various industries.
- Economic –
 - Ongoing changes in the methods of delivering news and entertainment programming introduce uncertainty and thus, risk, into communications markets.
 - Economic factors may spur consolidation.
 - Changes in ownership patterns potentially affect competition and diversity.
 - DTV transition requires significant, up-front financial investment from content providers, service outlets, and equipment suppliers prior to the full roll-out of the technology and eventual recouping of investment.
- Legal -
 - Court decisions have affected, and may continue to affect, the FCC's ownership limits.
 - Congress has mandated a transition to DTV that will require coordination with all aspects of the distribution system.
 - Pressure to clear broadcasters from various parts of the spectrum in order to make it available for new wireless services, including public safety, will continue to grow.
- Organizational -
 - FCC staff must continually update their knowledge and skills in order to provide economic and legal justification for media ownership and other regulations that serve the public.

Means and Strategies:

- Processes to -
 - Gather data on media markets using all appropriate resources.
 - Use rulemaking to explore new ownership models.
 - Develop coherent cross-media ownership policies.
 - Establish proper technical framework for the digital transition to progress.
 - Seek innovative ways, in collaboration with industry, to facilitate digital transition.
 - Educate American consumers about media regulation and related issues, such as DTV conversion.
 - Implement strong and effective enforcement programs.
 - Evaluate impact of FCC rules and practices on markets and consumers so that those rules that serve as barriers to innovation may be eliminated.
- Skills to -
 - Gather, analyze, and communicate information with Congress and consumers.
 - Conduct innovative rulemaking.
 - Collaborate with industry.
- Resources needed -
 - Text will be provided in June/July as 2004 budget request developed.

Goal 4 - Homeland Security:

Provide leadership in evaluating and strengthening the Nation's communications infrastructure, in ensuring rapid restoration of that infrastructure in the event of disruption, and in ensuring that essential public health and safety personnel have effective communications services available to them in emergency situations.

In the aftermath of the September 11, 2001 terrorist attacks in New York and Washington, D.C., all Americans were reminded of the importance of reliable, easily available, and interchangeable communications systems – both for emergency personnel responding to a tragedy and individuals checking on friends and family.

The FCC plays an essential role - along with other government agencies and private sector providers - in ensuring a reliable, robust, interoperable communications infrastructure.

To fully and effectively carry out its role in promoting homeland security, network protection, interoperability, redundancy, and reliability, the FCC has established the following objectives:

Objectives:

- Evaluate and strengthen measures for protecting the Nation's communications infrastructure.
- Facilitate rapid restoration of the U.S. communications infrastructure and facilities after disruption by a threat or attack.
- Develop policies that promote access to effective communications services by public safety, public health, and other emergency and defense personnel in emergency situations.

Factors:

- Technological -
 - The U.S. economy and society is increasingly dependent on interconnected communications technologies.
 - There are an increasing number of threats – natural and man-made – to these interconnected communications technologies.
- Economic -
 - The globally interconnected nature of many of today's communications technologies is a significant contributing factor to the growth of the U.S. economy, but also exposes it to a wider variety of threats.
- Legal -
 - Increasingly, there will be competing claims to spectrum between governmental agencies, whose primary priority is homeland security or national defense, and private sector entities interested in flexibly using commercial spectrum to underpin new technologies and open new economic markets.

- The FCC must maintain ongoing, highly integrated relationships with state and local regulators who are heavily involved in the use of spectrum as it relates to public safety.
- Organizational -
 - FCC staff must continually update their knowledge in order to fully understand national and international implications of the threats to communications technologies under homeland security scenarios.

Means and Strategies

- Processes to -
 - Use existing entities (NRIC, MSRC) to come up with best practices.
 - Work closely with the Defense Department and other Federal, state, and local agencies to establish priorities and procedures in regard to spectrum use.
 - Collaborate with industry and government entities to ensure network protection, reliability, and redundancy.
 - Increase governmental and non-governmental awareness of emergency remediation procedures, such as the Telecommunications Service Priority (TSP) system
 - Work with industry to resolve interoperability restraints.
 - Facilitate the deployment of life-saving E911 technologies.
 - Establish appropriately balanced policies for wireless priority access.
 - Enforce interference and public safety regulations.
- Skills to -
 - Gain full technical knowledge of the actual impact of various spectrum practices on interference.
 - Negotiate technically sound and socially fair prioritized policies, procedures, and agreements.
 - Encourage the use of best practices among industry and government entities.
 - Respond quickly in emergency situations.
 - Foresee and plan for the unexpected.
- Resources needed –
 - Text will be provided in June/July as 2004 budget request developed.

Goal 5 - Competition:

Support the Nation’s economy by ensuring there is a comprehensive and competitive framework within which the communications revolution can continue so that all consumers can make meaningful choices among and have equal access to communications services.

The Telecommunications Act of 1996 directed the FCC to take action to remove statutory, regulatory, and operational barriers to local telephone services competition. In 1998 the FCC

established a framework of national rules. These early rules focused on three entry points for local competition:

- Full facilities-based entry,
- Purchase of unbundled network elements from the incumbent local exchange carrier, and
- Resale of the incumbent's retail services.

Today's focus is on:

- Concerns about differential access to communications services,
- Questions about which, if any, of the emerging communications technologies should be included in definitions of universal service, and
- How best to stop deceptive and illegal practices such as telemarketing fraud.

In support of these issues, the following objectives are established:

Objectives:

- Foster competition across the entire telecommunications sector.
- Simplify and strongly enforce interconnection and other competition-related rules.
- Promote universal service.
- Ensure that consumers have choices among communication services and are protected in the increasingly competitive telecommunications landscape.
- Continually evaluate and report on the competitive environment for communications services.

Factors

- Economic –
 - The telecommunications sector of the economy is currently in a financial slump.
 - Consumer advocates suggest that a decade-plus of mergers have not always produced effective competition.
 - Some newer market entrants raise concerns about barriers to entry imposed both by uncertainties surrounding FCC regulation and the practices of existing market participants.
- Legal -
 - Deceptive and illegal communications practices – such as slamming, cramming, telemarketing fraud and abuse – continue and, therefore, demand continuing FCC response and oversight.
 - There are currently no federal performance measures that allow an objective assessment of how incumbent local exchange carriers are doing in providing required facility and infrastructure access (either on an unbundled or special access basis) to competitive carriers.
 - Interconnection and pricing obligations imposed by FCC regulation remain under review for some of the newer communications technologies. At the same time, the scope of unbundling obligations is also under judicial review.
- Organizational -
 - Ensuring staff is properly trained to achieve the appropriate balance between consumer protection and competition promotion is an ongoing challenge.

Means and Strategies:

- Processes to –
 - Review FCC rules continually to ensure they remain properly balanced and reflective of constantly changing technologies.
 - Foster facilities-based competition.
 - Increase digital broadband competition from multiple technology platforms.
 - Simplify and then enforce interconnection rules.
 - Encourage universal service in a manner that provides competition.
 - Enforce interconnection and other competition-related regulations.
 - Study and evaluate the competitive forces at work in communications markets
- Skills to –
 - Review, analyze, and rework regulations.
 - Understand constantly changing technologies.
 - Understand, explain, and encourage competition.
- Resources needed –
 - Text will be provided in June/July as 2004 budget request developed.

Goal 6 - Modernize the FCC:

Emphasize performance and results through excellent management, develop and retain independent mission-critical expertise, and align the FCC with dynamic and converging communications markets.

The FCC has committed itself to making the fundamental changes necessary to become a more responsive, efficient, and effective agency capable of facing the technological and economic opportunities of the new millennium.

While these changes have begun with an agency-wide reorganization and additional dedication of resources to recruiting, training, equipping, and deploying an expert workforce, much remains to be done as the agency seeks to capitalize on its competencies in:

- Promoting competition, innovation, and investment in broadband services and facilities,
- Encouraging the highest and best use of spectrum domestically and internationally,
- Revising media regulations so that new technologies flourish alongside diversity and localism,
- Providing leadership in strengthening the defense of the Nation's communications infrastructure, and
- Supporting the Nation's economy by ensuring an appropriate competitive framework for the future unfolding of the communications revolution.

To meet these requirements, the FCC has set the following objectives:

Objectives:

- Structure the FCC so that it can flexibly respond to Congress, consumers, and the communications industries in a timely manner.
- Provide and sustain mission-critical training and development in order to ensure excellence among a diverse and expert staff.
- Offer employees educational and advancement opportunities.

Factors:

- Technological -
 - Carrying out the mission of the FCC requires highly trained, expert staff capable of assessing and understanding technological and industry trends and enforcing technical requirements with up-to-date technological tools.
- Organizational -
 - Organizational, staffing, and accountability structures need to be continually optimized to allow the FCC staff to deal with today's fast-changing communications markets.
 - Maintaining an on-going training and staff development program – particularly essential since communications technologies change so rapidly – is a challenge given the FCC's budget.
 - Civil service rules regarding financial remuneration and the FCC's budget limit the FCC's ability to compete for certain types of mission-critical expertise in comparison to what is available for those types of expertise in the private sector.

Means and Strategies:

- Processes to –
 - Develop and reward effective, results-oriented management.
 - Identify ways to leverage technology to improve/streamline various FCC operations (such as licensing, regulatory fee assessment, registration, and financial operations) in order to reduce backlogs and be more responsive to consumers and communications services providers.
 - Hire, train, equip, and retain a diverse and expert staff essential to the FCC's critical functions.
 - Continually review the Commission's organization plan in order to facilitate streamlined operations in line with communications markets.
- Skills to –
 - Identify and reward results-oriented managers.
 - Innovatively reengineer traditional processes – such as licensing and fee assessment and collection – to operate more quickly and with greater financial accountability.
 - Integrate and leverage appropriate information technologies into all aspects of FCC operations.
 - Establish and operate programs of mission-critical information access and learning for staff.

- Anticipate and structurally respond to the impacts of future communications markets convergence. Adjust administrative authorities, responsibilities, and resources accordingly.
- Conduct appropriate workforce planning for both retirements and those whose functions change due to the implementation of information technologies.
- Integrate new technologies into existing and reengineered processes, where appropriate.
- Resources needed –
 - Text will be provided in June/July as 2004 budget request developed.

PERFORMANCE GOALS FOR EACH OF THE GENERAL GOALS⁴

Text for this section will be supplied in July/August as the Annual Performance Plan is finalized.

EVALUATION PLANS⁵

The FCC is dedicated to ensuring that both the mission and resources entrusted to it are properly and effectively managed. The performance of the FCC is evaluated in several ways – through the Annual Performance Report and the annual financial audit, by investigations and audits conducted by the Inspector General and General Accounting Office, and via formal program evaluations carried out by staff in the Office of the Managing Director.

During the first year of this strategic plan, the Managing Director’s staff plans a formal program evaluation on the timeliness of the FCC’s many licensing systems. The evaluation will include identification of current standards for processing licenses, the processes and procedures that underlie these current standards, best practices of other licensing bodies, and recommendations – if warranted – for universal processing standards throughout the FCC.

In each of the subsequent years of this Strategic Plan, the Managing Director’s staff will identify and conduct at least one formal program evaluation per year. These evaluations will be based upon the issues most relevant at that time and will be designed not to duplicate or conflict with audit and inspection plans of the Inspector General.

⁴ OMB Circular A-11 calls for the strategic plan to “briefly outline: (a) the type, nature, and scope of the performance goals being included in annual plans; (b) the relation between the performance goals and the general goals and objectives; and (c) the relevance and use of performance goals in helping determine the achievement of general goals and objectives.” The FCC is still in the process of developing this portion of the strategic plan. Suggestions on performance goals are welcome from all those reviewing this document during its draft stages.

⁵ OMB Circular A-11, Section 210.11 states, “a strategic plan should contain a schedule for future program evaluations, including the methodology to be used.”

BUDGET CATEGORIES/STRATEGIC GOALS CROSSWALK

Goal Budget Category	Broadband	Spectrum	Media	Homeland	Competition	Modernize
Enforcement						
Competition						
Licensing						
Spectrum						
Consumer Information						