

National Transportation Safety Board
Annual Performance Report
Fiscal Year 2017



*Making Transportation Safer
Yesterday, Today, Tomorrow*

November 2017



NATIONAL TRANSPORTATION SAFETY BOARD

FY 2017 ANNUAL PERFORMANCE REPORT

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Executive Summary

The National Transportation Safety Board's (NTSB's) Fiscal Year (FY) 2017 Annual Performance Report (APR) outlines our annual performance on current strategies to achieve agency priorities, promote organizational change, and improve performance. The APR provides stakeholders—the traveling public, the transportation industry, government agencies, and Congress—with a comprehensive view of our success on performance goals, objectives, and metrics for FY 2017. In addition, the APR shows how our performance goals draw a clear line from our mission through performance metrics and targets. The APR 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](#).

Over the last 3 years, we improved strategic management, planning, and performance reporting to support organizational change. Senior leadership challenged agency staff to improve current products, processes, technology, and communication. Based on internal and external environmental assessments, we created two task forces that provided valuable recommendations on analyzing performance data, improving strategic thinking, and using innovative solutions to achieve organizational goals and objectives. Leadership has engaged with staff to understand their concerns and suggestions through listening sessions, and we are working to implement the associated lessons learned.

The strategic goals reported on in 2017 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

This APR addresses our key challenges and leverages agency strengths. As agency personnel retire, we have put greater focus on staff and leadership development while ensuring we capture valuable institutional knowledge. This document also details the full spectrum of our 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.



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[Strategic 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 our Annual Performance Plan organized by strategic goal and objective and shows up to 3 years of historical performance. This presentation provides a unique opportunity to see performance trends across multiple years within a program, the links between multiyear performance goals and their annual components, and how these performance metrics support the agency's strategic objectives.



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Agency Mission, History, and Organizational Structure

Mission

Making transportation safer by conducting independent accident investigations, advocating safety improvements, and deciding airmen and mariners' certification appeals.

Vision

To be THE BEST place to work in the federal government.

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

Assisting victims of transportation accidents and their families



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Core Values

Integrity

We hold ourselves and each other to the highest ethical standards and are committed to being fair, honest, respectful, inclusive, and objective in our work and in our treatment of others.

Transparency

We encourage openness, collaboration, and feedback to ensure clarity and trust.

Independence

We are impartial and objective.

Excellence

We are thorough, rigorous, and accurate; we continuously seek diverse perspectives in all that we do.



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About the National Transportation Safety Board

The 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. We determine the probable cause of the accidents we investigate, and issue safety recommendations aimed at preventing future accidents. In addition, we conduct special transportation safety studies and coordinate the resources of the federal government and other organizations to assist victims and their family members who have been impacted by major transportation disasters.

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. That responsibility was transferred to the Civil Aeronautics Board's Bureau of Aviation Safety when it was created in 1940. In 1967, Congress consolidated all US transportation agencies into a new US Department of Transportation (DOT) and established the NTSB as an independent agency within the DOT. In creating the NTSB, Congress envisioned that a single organization with a clearly defined mission could more effectively promote a higher level of safety in the transportation system than could the individual modal agencies working separately. Since 1967, the NTSB has investigated accidents in the aviation, highway, marine, pipeline, and railroad modes, as well as accidents related to the transportation of hazardous materials.

In 1974, Congress reestablished the NTSB as a separate entity outside of the DOT, reasoning that "No federal agency can properly perform such (investigatory) functions unless it is totally separate and independent from any other . . . agency of the United States." Because the DOT has broad operational and regulatory responsibilities that affect the safety, adequacy, and efficiency of the transportation system, and transportation accidents may suggest deficiencies in that system, the NTSB's independence was deemed necessary for proper oversight. The NTSB, which has no authority to regulate, fund, or be directly involved in the operation of any mode of transportation, conducts investigations and makes recommendations from an objective viewpoint.

Role in Transportation Safety

Since our 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, our investigators travel throughout the country and to every corner of the world in response to transportation disasters.

Our investigations are used to determine the probable cause of an accident, examine safety issues related to that and to similar accidents, and devise recommendations to prevent reoccurrence. We have issued more than 14,600 safety recommendations to more than 2,300 recipients in all transportation modes, over 82% of which have been implemented.



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Since 1990, we have compiled and published a [Most Wanted List](#) (MWL) of transportation safety improvements, which highlights safety-critical recommendations that the DOT modal administrations, states, and transportation industry should take to help prevent accidents and save lives.

Safety studies enhance our agency's corporate knowledge, enabling us to better perform our mission. Additionally, we serve as the appellate authority for enforcement actions involving aviation and mariner certificates issued by the Federal Aviation Administration (FAA) and US Coast Guard (USCG), and we adjudicate appeals of civil penalty actions taken by the FAA.

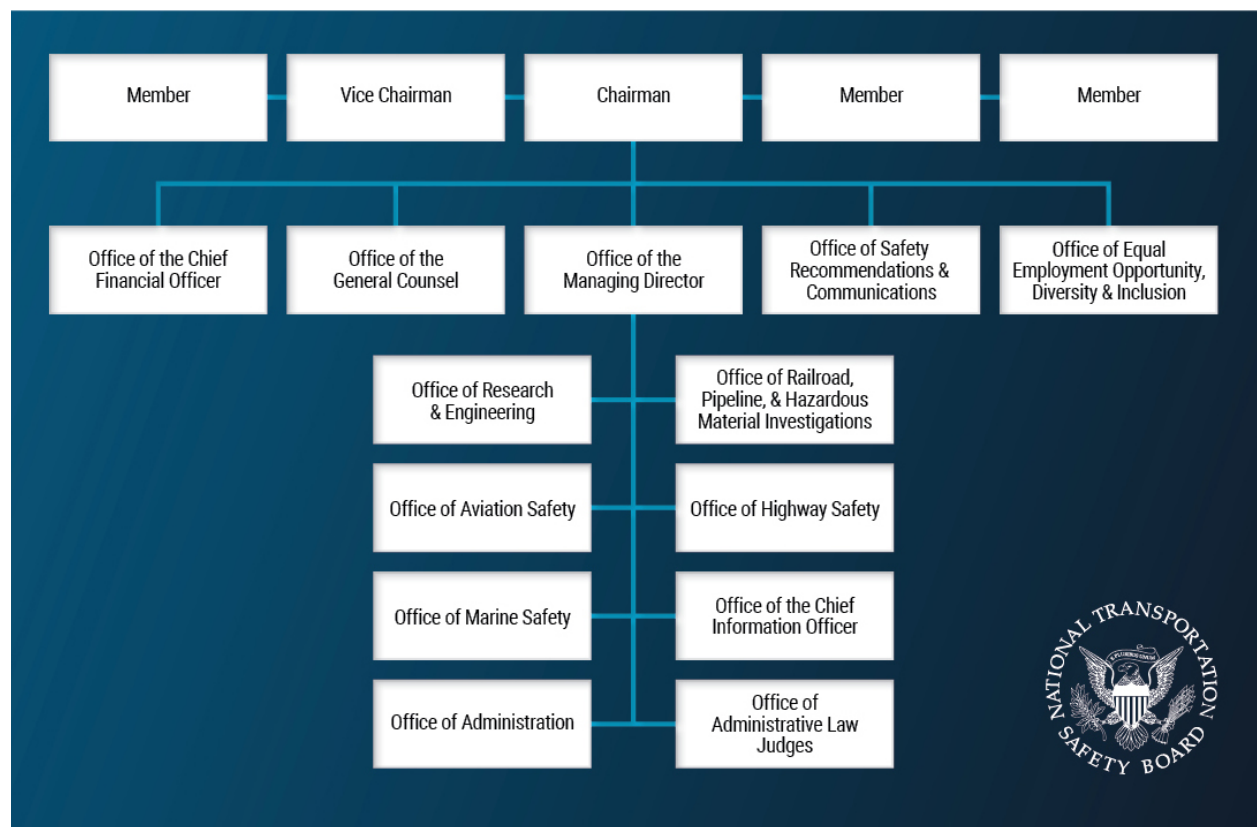


Figure 1: NTSB Organizational Chart

Our organizational structure is designed around sound business and management principles. We have 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 a 2-year term. The chairmanship requires separate Senate confirmation. When there is no designated Chairman, the Vice Chairman serves as Acting Chairman. Figure 1 shows our organizational structure as of October 2016.



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The NTSB is headquartered in Washington, DC. We also have investigators located in regional offices in Ashburn, Virginia; Denver, Colorado; Anchorage, Alaska; and Seattle, Washington (Figure 2 shows NTSB’s US regional presence). The Office of Aviation Safety has organized the staff assigned in the 48 contiguous states into three regions; Alaska forms a fourth region.



Figure 2: NTSB Regional Presence



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Strategic Management

In accordance with the [GPRA Modernization Act of 2010](#), our framework for strategic management starts with the [NTSB's FY 2013 Through 2017 Strategic Plan](#), which establishes long-term priorities and develops performance goals, objectives, and metrics by which we can gauge our achievement. Progress toward our *Strategic Plan* is measured using quarterly reviews and analysis. This focus promotes active management engagement across the agency. Additional information is available in the [NTSB's Strategic Plans and Reports](#).

Strategic Goals Overview

Our strategic plan identifies four goals and nine related objectives that 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 FAA and the USCG enforcement actions and certificate appeals
- ❖ Goal 4: Provide outstanding mission support

Management Objectives and Priorities

The structure of the [FY 2013 Through 2017 Strategic Plan](#) aligns Strategic Goals 1 through 3 to mission-focused efforts, while Strategic Goal 4 aligns with our overall management objectives to support the agency's mission and mandates. The emphasis on efficiency, transparency, accountability, and program effectiveness in Goal 4 highlights our efforts to enhance performance and strengthen program integrity, innovate data access and use, invest in our workforce, and promote sustainability. Figure 3 illustrates this performance framework.



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Figure 3: NTSB Performance Goal Framework

Performance Management

Performance goals and measurement are powerful tools to advance an effective, efficient, and productive government. We regularly collect and analyze strategic performance data to inform our decisions. Our staff constantly strives to achieve meaningful progress and find ways to make positive impacts.

We continually review our strategic performance management process to improve and provide more consistent performance results. Over the past several fiscal years, agency management and staff have focused on performance and continue to do so during FY 2017 after evaluating our performance measures and target levels throughout the year. We are optimistic that this results-oriented focus 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 performance assessment, data examination, and employing lessons learned. Creating a culture of continuous improvement is at the heart of our efforts to see better performance results overall. We are committed to researching and



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implementing innovative ideas, convening influence, and utilizing resources to help achieve outcomes that will improve transportation safety.

Assessment Rating Scales and Success Criteria

We evaluate our progress towards achieving our performance metrics on a traffic-light rating system (i.e., green, yellow, and red color ratings). We use these success criteria, combined with explanations of the ratings and sources provided by program officials, to review and validate each rating. On occasion, we 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 when re-assessment of the metric determines it's not feasible for measurement.

Table 1: Performance Metrics Results Criteria

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



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Performance Reporting and Planning

We set aggressive targets for our FY 2017 metrics and met **88%** of the 17 metrics tracked. Below is a highlighted assessment of our performance results in FY 2017.

- ❖ **70** products were adopted by the Board, compared to a target of **42**. This measure includes accident reports, investigative hearings, forums, and roundtables. Below are a few of the products adopted:
 - Safety Forum: [Runway Incursion Safety Issues, Prevention, and Mitigation](#)
 - Roundtable: [Advanced Driver Assistance Systems—Strategies for Increasing Commercial Vehicle \(Heavy-Duty Trucks\) Adoption](#)
 - Investigative Hearing: [Investigative Hearing, Lockhart, TX, Balloon Accident](#)
 - Panel Event and Roundtable: [Reaching Zero Crashes: A Dialogue on the Role of Advanced Driver Assistance Systems](#)
- ❖ We surpassed our target of **430** outreach efforts with industry and stakeholders by conducting **957** outreach events and activities. The Office of Safety Recommendations and Communications accomplished a large majority of this outreach pursuing advocacy items on the MWL and making specific outreach efforts to external stakeholders.
- ❖ We created **1,160** non-Board adopted products, exceeding our target of **531**. These products included, but were not limited to, delegated briefs, Board summary reports, videos, news releases, blogs, newsletters, and safety accomplishments and results.
- ❖ The Offices of Aviation and Marine Safety conducted **19** international cooperative outreach activities, compared to our target of **17**. The offices surpassed their goal thanks to an increased number of launches and requests for assistance from international counterparts.
- ❖ Management successfully supported Equal Employment Opportunity (EEO) and diversity outreach, employee engagement, and inclusion actions. Directors and deputies conducted **29** EEO and diversity outreach activities, bypassing our target of **22**. In addition, **38** different engagement and inclusion actions were implemented by managers, compared to our target of **24**. Senior Executive Service (SES) mentoring, supervisor active committee memberships, employee development discussions, and regular meetings helped staff increase knowledge, and implementing various office actions helped encourage engagement and employee satisfaction.



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Strategic Goals, Objectives, and Performance Metrics

Strategic Goal 1: Conduct effective accident investigations

Strategic Goal No. 1 focuses on our key challenges of identifying those accidents in each transportation mode that represent the most important targets of investigative opportunity, conducting safety studies to help to prevent similar accidents in the future, and creating other products to improve transportation safety. 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 among the agency's core values.

We are obligated to participate in aviation investigations in foreign countries when they involve US carriers or US-manufactured or -designed equipment. This participation helps ensure the continued safe operation of US-built or -designed aircraft. In addition, we have a strong international marine program, under which we investigate major marine casualties involving foreign-flagged vessels in US territorial waters and those involving US-flagged vessels anywhere in the world. Our participation in foreign aviation investigations has led to improvements in aviation and marine safety in the United States 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 No. 1 fosters a transportation industry that is better prepared to address safety issues. We applied the following strategies, objectives, and performance metrics to achieve this goal.

Strategies

- ❖ Increase the number of products to improve transportation safety.
- ❖ Continue to advance our role in international accidents and participate in investigations in foreign countries.
- ❖ Assist disaster victims in all modes of transportation.
- ❖ Continue to showcase how we improve transportation safety through the many items we produce, including accident briefs, videos, and newsletters, safety accomplishments and results.



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- ❖ Increase advocacy efforts on emerging safety issues through ongoing dialogue with relevant government and other stakeholders, testimony, and other public communications.

Summary Goal 1 Performance Goals, Objectives, and Metrics

Objective 1.1: Select and scale an appropriate response to accident investigations and incidents

Metrics

- ❖ Number of products adopted by the Board
- ❖ Average time (in months) to complete Board-adopted products
- ❖ Number of products produced to improve transportation safety

Objective 1.2: Select and appropriately scale the NTSB's work on international accidents, incidents, and safety issues

Metric

- ❖ Number of international cooperative activities completed

Objective 1.3: Continue to effectively coordinate and deliver transportation disaster assistance to accident victims

Metric

- ❖ Percent of transportation disaster assistance support provided to nonlegislated accidents

Objective 1.4: Engage in Outreach with Transportation Community to Improve awareness of Lessons Learned from Accident Investigations Nationally and Internationally

Metric

- ❖ Number of outcome-oriented safety results involving industry or government stakeholders

Performance Analysis

Working with Congress, other government agencies, and industry groups, we actively lead efforts to create a safer transportation system. During FY 2017, we adopted 69 products and conducted outreach efforts to advance transportation safety among industry and government stakeholders, which led to important safety results. We also promoted transportation safety improvements that could be readily implemented without significant funding or changes to regulations. The number



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of products we produced to improve transportation safety for FY 2017—delegated briefs, regional aviation briefs, videos, newsletters, and other significant or newly created products—was **1,160**, which more than doubled our target of **531**.

Table 2: Goal 1 Performance Metrics 3-year History by Office

Aviation Safety

Performance Measure Type	Measure Name	2015 Results	2016 Results	2017 Target	2017 Results
Objective 1.1: Select and scale an appropriate response to accident investigations and incidents					
Output	Number of products adopted by the Board	25	18	20	33
Efficiency	Average time (in months) to complete Board-adopted products	14.5	7	≤ 15	9
Output	Number of products to improve transportation safety	N/A	321	240	318
Objective 1.2: Select and appropriately scale the NTSB's work on international accidents, incidents, and safety issues					
Output	Number of international cooperative activities completed	29	22	13	15
Objective 1.4: Engage in Outreach with Transportation Community to Improve awareness of Lessons Learned from Accident Investigations Nationally and Internationally					
Outcome	Number of outcome-oriented safety results	29	78	75	88



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Highway Safety

Performance Measure Type	Measure Name	2015 Results	2016 Results	2017 Target	2017 Results
Objective 1.1: Select and scale an appropriate response to accident investigations and incidents					
Output	Number of products adopted by the Board	18	20	12	13
Efficiency	Average time (in months) to complete Board-adopted products	7	8	≤ 12	11.1
Output	Number of products to improve transportation safety	N/A	8	15	20
Objective 1.4: Engage in outreach with the transportation community to improve awareness of lessons learned from accident investigations nationally and internationally					
Outcome	Number of outcome-oriented safety results	25	29	20	30

Marine Safety

Performance Measure Type	Measure Name	2015 Results	2016 Results	2017 Target	2017 Results
Objective 1.1: Select and scale an appropriate response to accident investigations and incidents					
Output	Number of products adopted by the Board	5	5	5	8
Efficiency	Average time (in months) to complete Board-adopted products	6.9	11.4	≤ 15	12.13
Output	Number of products to improve transportation safety	N/A	22	20	35
Objective 1.2: Select and appropriately scale the NTSB's work on international accidents, incidents, and safety issues					
Output	Number of international cooperative activities completed	3	5	4	4
Objective 1.4: Engage in outreach with the transportation community to improve awareness of lessons learned from accident investigations nationally and internationally					



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Performance Measure Type	Measure Name	2015 Results	2016 Results	2017 Target	2017 Results
Outcome	Number of outcome-oriented safety results	4	15	10	26

Railroad, Pipeline, and Hazardous Materials

Performance Measure Type	Measure Name	2015 Results	2016 Results	2017 Target	2017 Results
Objective 1.1: Select and scale an appropriate response to accident investigations and incidents					
Output	Number of products adopted by the Board	31	11	10	12
Efficiency	Average time (in months) to complete Board-adopted products	8.1	5	≤ 14	16
Output	Number of products to improve transportation safety	N/A	8	6	14
Objective 1.4 Engage in outreach with the transportation community to improve awareness of lessons learned from accident investigations nationally and internationally					
Outcome	Number of outcome-oriented safety results	13	46	25	33

Research and Engineering

Performance Measure Type	Measure Name	2015 Results	2016 Results	2017 Target	2017 Results
Objective 1.1: Select and scale an appropriate response to accident investigations and incidents					
Output	Number of products adopted by the Board	10	8	2	4
Efficiency	Average time (in months) to complete Board-adopted products	5	4.5	≤ 15	9
Objective 1.4: Engage in outreach with the transportation community to improve awareness of lessons learned from accident investigations nationally and internationally					



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Performance Measure Type	Measure Name	2015 Results	2016 Results	2017 Target	2017 Results
Outcome	Number of outcome-oriented safety results	4	56	25	64

Safety Recommendations and Communication

Performance Measure Type	Measure Name	2015 Results	2016 Results	2017 Target	2017 Results
Objective 1.1: Select and scale an appropriate response to accident investigations and incidents					
Output	Number of products to improve transportation safety	N/A	296	250	773
Objective 1.3: Continue to effectively coordinate and deliver transportation disaster assistance to accident victims					
Output	Percent of transportation disaster assistance provided to nonlegislated accidents	N/A	N/A	75%	100%
Objective 1.4: Engage in outreach with the transportation community to improve awareness of lessons learned from accident investigations nationally and internationally					
Outcome	Number of outcome-oriented safety results	N/A	339	275	716

Key Challenges and Issues

As the complexity of transportation accidents increase, the agency must develop accident investigation techniques and methods that are equally complex. A key challenge for us is to identify those accidents in each transportation mode that represent the most important targets of investigative opportunity and 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 us and the depth of the investigation required to develop the safety issues.

To conduct thorough accident investigations, our investigators must stay abreast of the latest technology in the transportation industry; this requires substantial and continuing training. We are 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



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our limited number of investigators. The number of major accidents and activities worldwide in which our aviation and marine safety staff participate continues to increase, and the agency completed **19** major foreign accident investigations and cooperative activities in FY 2017. This level of international participation for aviation safety presents a 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 have accounted for 30 percent of our marine accident investigations during the past 5 years.

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

Because our mission is to be a premier organization that improves transportation safety, Strategic Goal No. 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 safety issues on and off the MWL. The MWL is designed to be a transparent tool that increases 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, we applied the following strategies, objectives, and performance metrics.

Strategies

- ❖ Implement appropriate safety recommendations from investigations and safety studies.
- ❖ Publicly recognize safety recommendations that are implemented and those that, if not implemented, result in persistent risk.
- ❖ Publicize the up-to-date status of all safety recommendations through the NTSB website and other public communication channels.

Summary Goal 2 Performance Goals, Objectives, and Metrics

Objective 2.1: Identify new and creative ways to advocate safety recommendations and other safety actions

Metric

- ❖ Number of safety recommendations closed acceptably during the fiscal year



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Performance Analysis

This metric assesses our performance on safety recommendation implementation—the heart of the agency’s mission. It counts the number of recommendations closed acceptably during the fiscal year. Safety recommendation implementation 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.

Table 3: Goal 2 Performance Metrics 3-year History by Office

Safety Recommendations and Communication

Performance Measure Type	Measure Name	2015 Results	2016 Results	2017 Target	2017 Results
Objective 2.1: Identify new and creative ways to advocate safety recommendations and other safety actions					
Output	Number of safety recommendations closed acceptably during the fiscal year	110	81	75	114

Key Challenges and Issues

As our skies, highways, waterways, and railways become more congested, the potential for transportation accidents increases. Our limited resources make it challenging to identify ways to encourage recipients to implement open safety recommendations.

Because of the length and complexity of the rulemaking process, federal agencies are frequently not implementing our recommendations in a timely fashion. We are challenged to ensure that the rulemaking process, which can take years, does not hamper successful recommendation implementation. Figure 4 shows the number of recommendations closed acceptably over the last 5 years.



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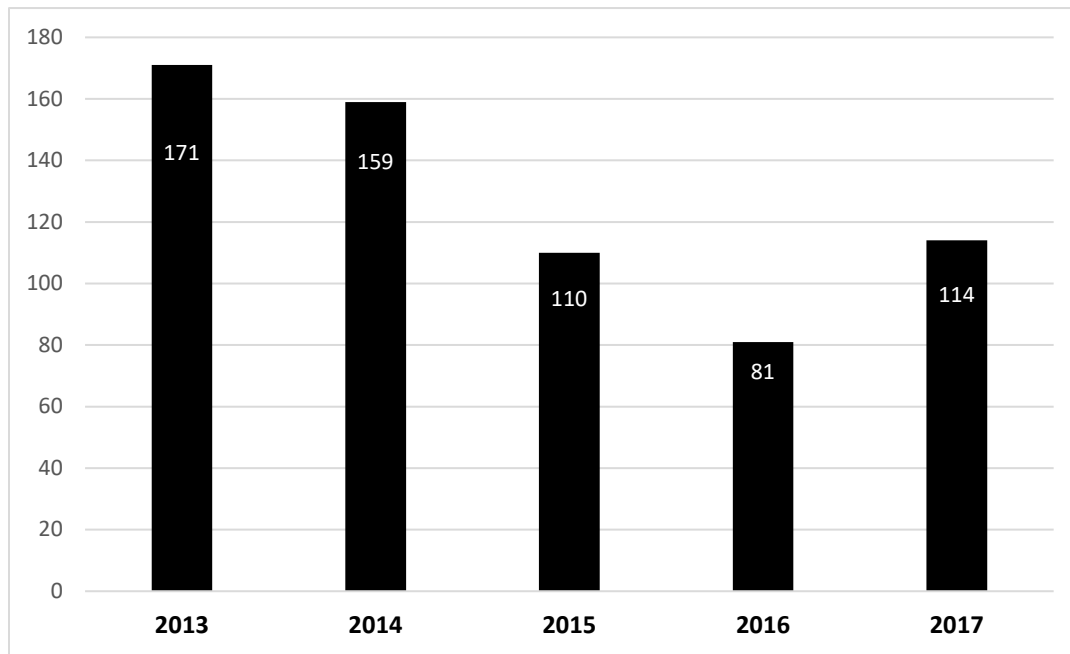


Figure 4: Number of safety recommendations closed acceptably over the last 5 years.

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 No. 3 acknowledges our continuing commitment to providing a fair appeals process for pilots and mariners. We must ensure thorough and independent adjudication while providing due process to those affected and safeguarding the integrity of the aviation and marine safety enforcement system. To achieve this goal, we applied the following strategies, objectives, and performance metrics.

Strategies

- ❖ Continue to improve the Office of Administrative Law Judges' (ALJ's) efficiency in closing emergency and nonemergency cases.
- ❖ Continue to decrease the backlog of nonemergency cases in our Office of the General Counsel.



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Summary Goal 3 Performance Goals, Objectives, and Metrics

Objective 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

Metrics

- ❖ Total number of nonemergency enforcement backlog cases on hand
- ❖ Percentage of emergency cases closed within 27 days
- ❖ Percentage of nonemergency cases closed within 180 days

Performance Analysis

We continue to strive to keep the nonemergency enforcement backlog to less than 15 days. Although pilots’ cases have become more complex, the ALJ continues to meet its targets on closing emergency and nonemergency cases for the fiscal year.

Table 4: Goal 3 Performance Metrics 3-year History by Office

General Counsel

Performance Measure Type	Measure Name	2015 Results	2016 Results	2017 Target	2017 Results
Objective 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					
Output	Total number of nonemergency enforcement backlog cases on hand	5	4	≤ 15	6

Administrative Law Judges

Performance Measure Type	Measure Name	2015 Results	2016 Results	2017 Target	2017 Results
Objective 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					



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Performance Measure Type	Measure Name	2015 Results	2016 Results	2017 Target	2017 Results
Efficiency	Percentage of emergency cases closed within 27 days	N/A	N/A	95%	88%
Efficiency	Percentage of nonemergency cases closed within 180 days	N/A	N/A	90%	58.6%

Key Challenges and Issues

The NTSB serves as the court of appeals for airmen and mariners facing loss or suspension of their licensing certificates or imposition of a civil penalty. As the level of transportation activity increases, the potential for transportation accidents increases, resulting in more enforcement cases; consequently, it becomes more challenging to effectively manage the appeals process.

In FY 2017, ALJ introduced two new metrics for emergency and nonemergency cases to show its continued effort to close cases efficiently. Per [49 CFR Sec 821.56\(a\)](#), the agency is required to begin an emergency hearing in within 30 days of receiving an appeal. The metric for FY 2017 was written to show emergency case closure within 30 days instead of cases scheduled for hearing within 30 days. ALJ provided a stretch goal of closing these types of cases within 27 days based on the metric language. After reviewing the regulatory language, we have decided to revise the metric to correctly describe the actions the agency must take to schedule cases within 30 days. For FY 2017, the office closed 88% of the emergency cases within the 27-day timeframe; upon reviewing the data, we determined that the office had closed 100% of cases within 30 days.

The office proposed a stretch target of closing at least 90% of nonemergency cases within 180 days. Because of staffing shortages and increased focus on hearing emergency cases within 30 days, the office closed 58.6% of nonemergency cases within 180 days. Overall, the ALJ received 240 number of cases in FY 2017 and closed 197, resulting in 82% closed for the fiscal year. As Figure 5 shows, the office continues to close cases for the fiscal year, despite the cases having become more complex.



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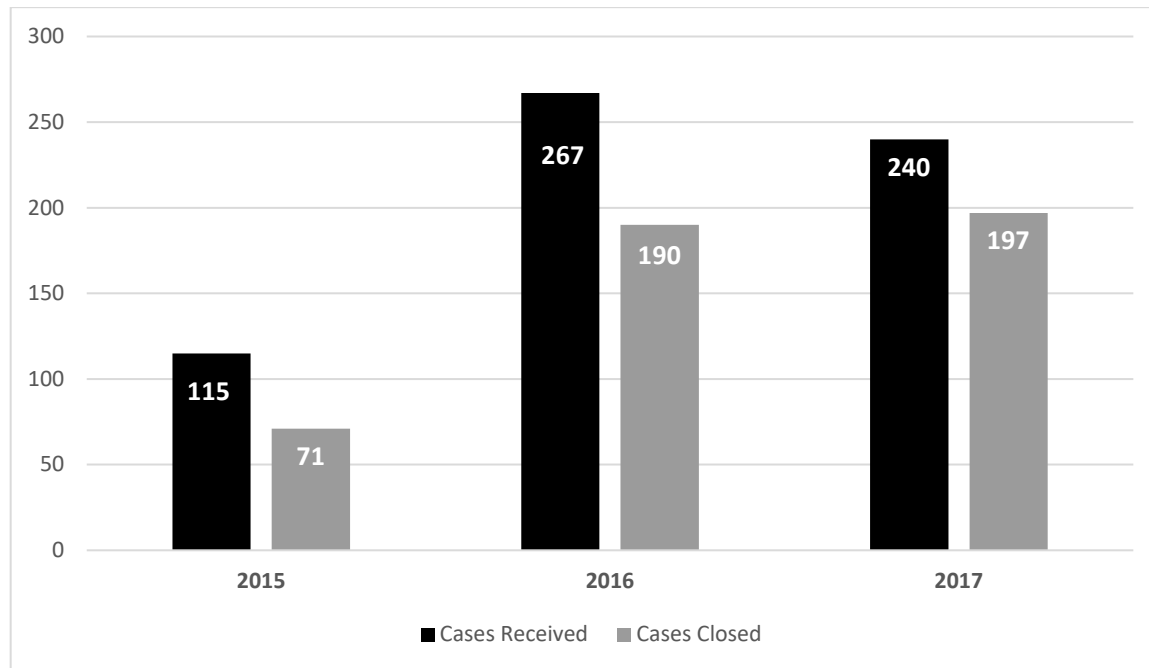


Figure 5: Number of Cases Closed by the Office of Administrative Law Judges

Strategic Goal 4: Provide outstanding mission support

Providing outstanding mission support is imperative to achieving our first three goals if we are to retain our leadership, influence changes, increase transparency and outreach, and advance transportation safety. Strategic Goal No. 4 captures our agency's core value of excellence and ensures that we can fulfill our broad mission.

The strategic objectives for this goal are to maintain agency resources; effectively manage financial resources; improve employee safety and health knowledge, human capital, diversity, and inclusion; and maintain effective communication. This goal also emphasizes our challenge to enhance our information and data management systems to ensure reliable and consistent information for staff. We remain focused on hiring the right 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, we applied the following strategies, objectives, and performance metrics.



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Strategies

- Provide accurate, timely, and useful financial information to agency managers and staff to support effective decision-making
- Manage agency information and employ information technology (IT) to improve the productivity, effectiveness, and efficiency of agency programs and enhance information availability and usefulness to all users, both within and outside the agency
- Use innovative strategies to recruit, develop, and retain a high-quality, diverse workforce
- Create an agency-wide performance culture focused on individual and organizational accountability to achieve our programmatic goals and priorities
- Sustain a learning environment that improves performance through knowledge management, performance feedback, engagement, training, coaching, and mentoring
- Continue to foster a work environment that is free from discrimination and provides maximum opportunity for all employees to use their diverse talents in support of our mission and goals
- Continue to identify new and improved methods of communicating internally and externally

Summary Goal 4 Performance Goals, Objectives, and Metrics

Objective 4.1: Ensure efficiency in utilizing agency resources and financial data for management decision-making

Metrics

- ❖ 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

Objective 4.2: Align and improve human capital planning and diversity

Metric

- ❖ Number of activities supporting EEO and diversity outreach

Objective 4.3: Improve employee engagement, satisfaction, and inclusion



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Metrics

- ❖ Number of activities supporting EEO and diversity outreach
- ❖ Number of employee engagement, satisfaction, and inclusion actions
- ❖ Percentage of staff trained on the New Inclusion Quotient (New IQ)

Performance Analysis

Monitoring and efficiently using federal funds is key to outstanding resource stewardship, and our performance demonstrates our ability to use and control budgetary resources efficiently and effectively. By focusing on the efficiency and effectiveness of internal controls and processes, we promote accuracy in financial and nonfinancial information reporting. We are committed to improving our operational efficiency and effectiveness by fully leveraging our IT capabilities. We strive to have IT services that support and improve key work processes. For the second fiscal year, we analyzed [Executive Order 13579](#), “Regulation and Independent Regulatory Agencies,” issued July 11, 2011, to ensure we are up to date. This executive order directed independent regulatory agencies to review all regulations to ensure they are compliant with the articulated principles. We updated 30% of our regulations during FY 2017.

In FY 2017, we reported on our commitment to our staff by encouraging satisfaction, engagement, diversity, and inclusion. Management at all levels made it a priority to mentor others and address communication barriers. Staff continued their training on the New IQ, which fosters five inclusive habits: fairness, openness, cooperation, support, and empowerment. The agency exceeded its target to train 75% of staff on the New IQ, training 81% over the last 2 fiscal years.

Table 5: Goal 4 Performance Metrics 3-year History by Office

Chief Financial Officer

Performance Measure Type	Measure Name	2015 Results	2016 Results	2017 Target	2017 Results
Objective 4.1: Ensure efficiency in utilizing agency resources and financial data for management decision-making					
Outcome	Obtain a modified or better opinion on financial statements	Yes	Yes	Yes	Yes
Outcome	Operate an effective management controls program	Yes	Yes	Yes	Yes



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Chief Information Officer

Performance Measure Type	Measure Name	2015 Results	2016 Results	2017 Target	2017 Results
Objective 4.1: Ensure efficiency in utilizing agency resources and financial data for management decision-making					
Outcome	Implement IT solutions to increase innovation and collaboration into the NTSB's mission and administrative processes	7	5	4	4

General Counsel

Performance Measure Type	Measure Name	2015 Results	2016 Results	2017 Target	2017 Results
Objective 4.1: Ensure efficiency in utilizing agency resources and financial data for management decision-making					
Outcome	Percentage of regulation parts updated each year	N/A	20%	20%	30%

Agency

Performance Measure Type	Measure Name	2015 Results	2016 Results	2017 Target	2017 Results
Objective 4.2: Align and improve human capital planning and diversity					
Output	Number of activities supporting EEO and diversity outreach	N/A	41	22	29
Objective 4.3: Improve employee engagement, satisfaction, and inclusion					
Output	Number of employee engagement, satisfaction, and inclusion actions	N/A	43	24	38
Output	Percentage of staff trained on the New Inclusion Quotient (<i>agency cumulative metric</i>)	N/A	60%	75%	81%



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Key Challenges and Issues

We have earned a reputation for thoroughly and independently investigating transportation accidents. We are committed to developing the 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.

The challenge this poses for us is figuring out how to develop our workforce amid technological changes and dwindling resources. We address it by effective long-range planning and excellent communication. Long-range planning in human capital management, as well as in core operations, ensures that we are fully equipped to deal with any future investigative needs. Our enhanced focus on successful planning results in engagement, innovation, and processes that ensure we are capable and flexible enough to respond effectively to issues and challenges. Effective communication at all levels of the organization ensures that we continually improve our plans and processes. We will devote time and resources to thinking strategically, promoting employee engagement, and encouraging staff development. 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 we have in place will provide the necessary balance to ensure success with this strategic goal.



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Acronyms and Abbreviations

Table 6: Acronyms and Abbreviations

Abbreviation and Acronym	Definition
ALJ	Office of Administrative Law Judges
APR	Annual Performance Report
DOT	Department of Transportation
EEO	Equal Employment Opportunity
FAA	Federal Aviation Administration
FY	Fiscal Year
GPRA	Government Performance and Results Modernization Act of 2010
IT	Information Technology
MWL	NTSB Most Wanted List
NTSB	National Transportation Safety Board
New IQ	The New Inclusion Quotient
OMB	Executive Office of the President Office of Management and Budget
SES	Senior Executive Service
USCG	US Coast Guard