



**U.S. Department of  
Transportation**

**BUDGET  
ESTIMATES**

**FISCAL YEAR 2008**

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**FEDERAL MOTOR CARRIER  
SAFETY ADMINISTRATION**

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**SUBMITTED FOR THE USE OF THE  
COMMITTEES ON APPROPRIATIONS**

# **FISCAL YEAR 2008 PERFORMANCE BUDGET ESTIMATES SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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FY 2008

**FMCSA**

# **OVERVIEW**

Section 1



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## ADMINISTRATOR'S OVERVIEW

The Federal Motor Carrier Safety Administration's (FMCSA) proposed FY 2008 budget request of \$528 million is exactly at the level authorized by the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). This budget request is an important investment in safety for the American people. FMCSA's funding has yielded significant dividends in improved highway safety, as evidenced by the fact that **in 2005 the number of fatalities in crashes involving large trucks decreased and the fatality rate was at one of its lowest levels in 30 years.** In addition, the number and rate of persons injured in crashes with large trucks also decreased.

As encouraged as we are by the positive results in 2005, it has become clear that our gains have reached a plateau, and further reductions in the fatality rate are becoming harder and harder to attain. In response, beginning in FY 2005, FMCSA launched major initiatives to reexamine and reengineer core safety activities. In FY 2008, the Agency will be at a critical juncture in beginning the implementation of some of its most far reaching initiatives. FY 2008 will also be an important year for initial testing and evaluation of the Comprehensive Safety Analysis 2010 (CSA 2010) and COMPASS projects. These projects are reengineering all aspects of FMCSA's enforcement operations and support systems, respectively, with the goal of increasing the efficiency, effectiveness, and reach of the Agency's core operations. FY 2008 is also the mid-point of the Agency's new Strategic Plan for 2006-2011, which has been aligned with the new U.S. Department of Transportation (DOT) Strategic Plan for 2006-2011. These redesigned and refocused Strategic Plans form the backbone of this FY 2008 budget request and our future efforts.

Even though FMCSA has been working with our safety partners to achieve safety improvements, we are committed to searching for new solutions. The Agency's focus on safety and continuous efforts to improve current operations, as well as test new innovations are hallmarks of the FMCSA's commitment to doing everything it can to achieve its safety goal. FMCSA is in the process of self-evaluation to find areas for improvement and better accomplish its objectives as reflected in the Agency's priorities and throughout the FY 2008 budget request.

### **FY 2008 Priorities: Agency-wide, Secretarial and Presidential**

FMCSA's commitment to improving safety and increasing the efficiency and effectiveness of its operations includes strong support for the FMCSA priorities, DOT Secretarial priorities, and the President's second term priorities.

The Agency's priorities for FY 2008 provide increased focus on FMCSA's contribution to our primary goals of highway safety and hazardous materials (HAZMAT) safety. One of the Agency's most important priorities for FY 2008 is increased focus on the role of drivers in preventing crashes. The Large Truck Crash Causation Study and other analyses show that influencing driver behavior is the biggest factor in crash prevention. While FMCSA's traditional focus has been on improving the safety of motor carrier companies, this research shows that there are gains to be had from an increased focus on drivers, and this is one of the primary areas where the Agency is looking for future improvements in safety. Several new driver initiatives are detailed in this FY 2008 budget request.

Another Agency priority in FY 2008 is testing and validation of CSA 2010 operational concepts and introduction of new COMPASS functionality to replace legacy computer support systems. CSA 2010 is reinventing the Agency's core enforcement and compliance activities. COMPASS is reengineering the technology and systems tools the Agency uses to conduct these activities. Together, these projects represent a comprehensive modernization of the Agency's processes and procedures, and funding these projects is a commitment to future increases in the effectiveness and efficiency of these processes and procedures.

In addition to modernizing processes and procedures, another Agency priority is to optimize our organizational structure to increase organizational efficiency. As priorities change, the structure of FMCSA must change as well in order to achieve the maximum safety results. Every facet of the Agency will be reexamined to deliver improved performance within the boundaries of the Agency's resources.

The FY 2008 budget request also reflects the Agency's priority on bus safety. While large truck-related crashes account for far more fatalities than bus-related crashes, buses are still a critical component of the motor carrier industry. Buses account for more passenger traffic in the United States than all other commercial modes of transportation combined. Several high profile incidents in FY 2005 and FY 2006 served as reminders of the importance of bus passenger safety. In response, FMCSA is increasing its bus safety enforcement activities.

In FY 2008, FMCSA is also starting the process of looking at ways to further advance large truck and bus safety in the reauthorization cycle that will follow when the SAFETEA-LU authorization expires at the end of FY 2009. The Agency will work with its Federal and State partners, as well as safety advocacy groups to develop innovative and comprehensive proposals for improving safety. In FY 2008, the Agency will place a priority on developing these.

FMCSA is also one of the leading DOT Agencies in supporting the Secretarial Priority of Emergency Preparedness and Disaster Response. FMCSA personnel participated in the Federal response to a large number of hurricanes in 2005, including Hurricanes Katrina and Rita, as well as in the planning for a response to a potential pandemic influenza outbreak. The Agency's FY 2008 budget request reflects this increased priority, and this issue is also a new element that has been added to the FMCSA Strategic Plan for FY 2006-2011.

FMCSA is also contributing to the DOT-led National Strategy to Reduce Congestion on America's Transportation Network – a national congestion relief initiative. FMCSA will develop and utilize electronic safety and credentials monitoring devices to inspect vehicles and drivers to decrease the impact on congestion caused by roadside safety activities. This will help to maintain the flow of commerce to decrease delays in the flow of goods and deliveries. Congestion has been growing in all transportation modes, and its cumulative effects have been slowing the movement of goods and impeding both national and global commerce. As part of FMCSA's contribution to congestion relief, we will work closely with our State, Federal, and industry partners to develop electronic safety and credential monitoring devices. These devices work to reduce the amount of time carriers spend

### **FY 2008 Agency Priorities:**

- **Continue Focus on Driver Safety in All Programs**
- **Test and Validate CSA 2010 and Continue COMPASS Introduction**
- **Optimize Organizational Structure and Increase Organizational Efficiency**
- **Increase Focus on Bus Safety**
- **Begin Identifying Reauthorization Proposals to Advance CMV Safety**

entering and exiting weight stations, inspection facilities and during roadside inspections, reducing the congestion that builds around these particular areas.

The President’s second term priorities include development of International Trade Data Systems to consolidate access to international trade data across the Federal Government. FMCSA is proud to support this priority by being the first Federal Agency to partner with the Department of Homeland Security/Customs and Border Protection on the Automated Commercial Environment/International Trade Data System (ACE/ITDS). FMCSA is a leading partner in developing and testing these systems for the U.S. northern and southern border operations.

In order to address these priorities, FMCSA also conducted a thorough review of previous budgets, current resource execution rates and projected future needs as part of our efforts to improve organizational efficiency. It became clear that as we increased our core enforcement activities and programs over the years, the rising average annual costs of full time equivalent (FTE) personnel costs had also grown. The hiring of almost 100 FTE in FY 2005-2006 brought the Agency out of a personnel deficit and included a significant increase of inspectors along the southern border. In addition, field staff that entered service in lower grades over the years have moved up to higher pay grades as they gained experience, according to career ladder programs. These employees execute the core of the Agency’s mission, as over 83 percent of our total staff is in the field on the front lines of motor carrier enforcement nationwide. We had not adequately projected these grade increases in past budgets and we believe that a one-time budget adjustment will remedy this oversight.

The FY 2008 budget recognizes that the average annual cost per FTE at FMCSA will rise from approximately \$93 thousand in FY 2006 to \$100 thousand in FY 2008. This constitutes a proposed reallocation of approximately \$8 million from program funds into personnel costs and benefits. We have been able to reallocate funds by making internal program adjustments; extending delivery periods over multiple years and reducing outputs of some less-critical projects. We have planned these changes so as to not impact performance outcomes or mission critical operations.

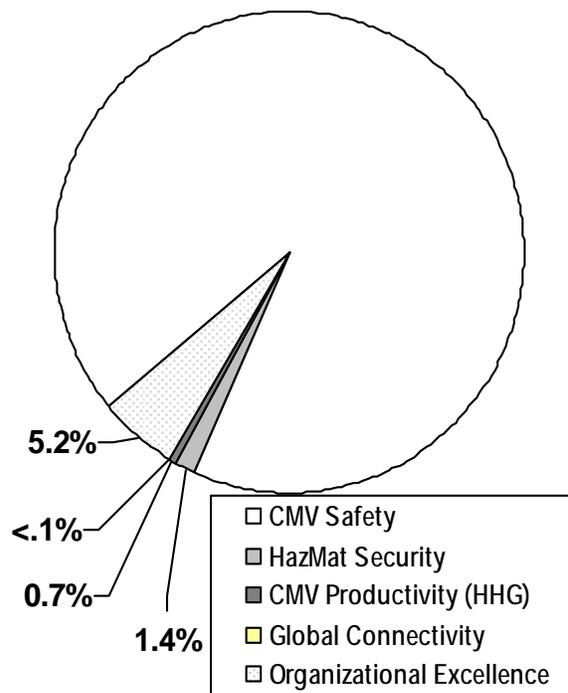
**DOT/FMCSA Strategic Objectives:**

FMCSA’s FY 2008 budget request reflects the strategic objectives of FMCSA and DOT as follows:

**Commercial Motor Vehicle Safety**

The lion’s share—92.7 percent—of the Agency’s budget request focuses on reducing large truck and bus crashes. In partnership with the States, FMCSA uses grants to enforce commercial truck and bus safety laws, with special attention to those carriers registered as haulers of the most dangerous, high-hazard cargoes.

FMCSA FY 2008 Budget by DOT/FMCSA Strategic Objective



### Commercial Motor Vehicle Security

FMCSA applies 1.4 percent of its budget to programs that will help ensure that felons and other security-risk individuals are not licensed to transport commodities that could become mobile weapons of mass or significant destruction. The Agency also uses this funding to ensure that we are able to continue to carry out our mission during disasters and crises, as well as support the Federal efforts in responding to disasters.

### Commercial Motor Vehicle Productivity

Although less than 1 percent of its overall budget, FMCSA expects that FY 2008 funding will allow the Agency and its State partners to seek better ways of educating the American public about relocating and using responsible household goods (HHG) movers, while responding to abuses by unscrupulous household carriers.

### Global Connectivity

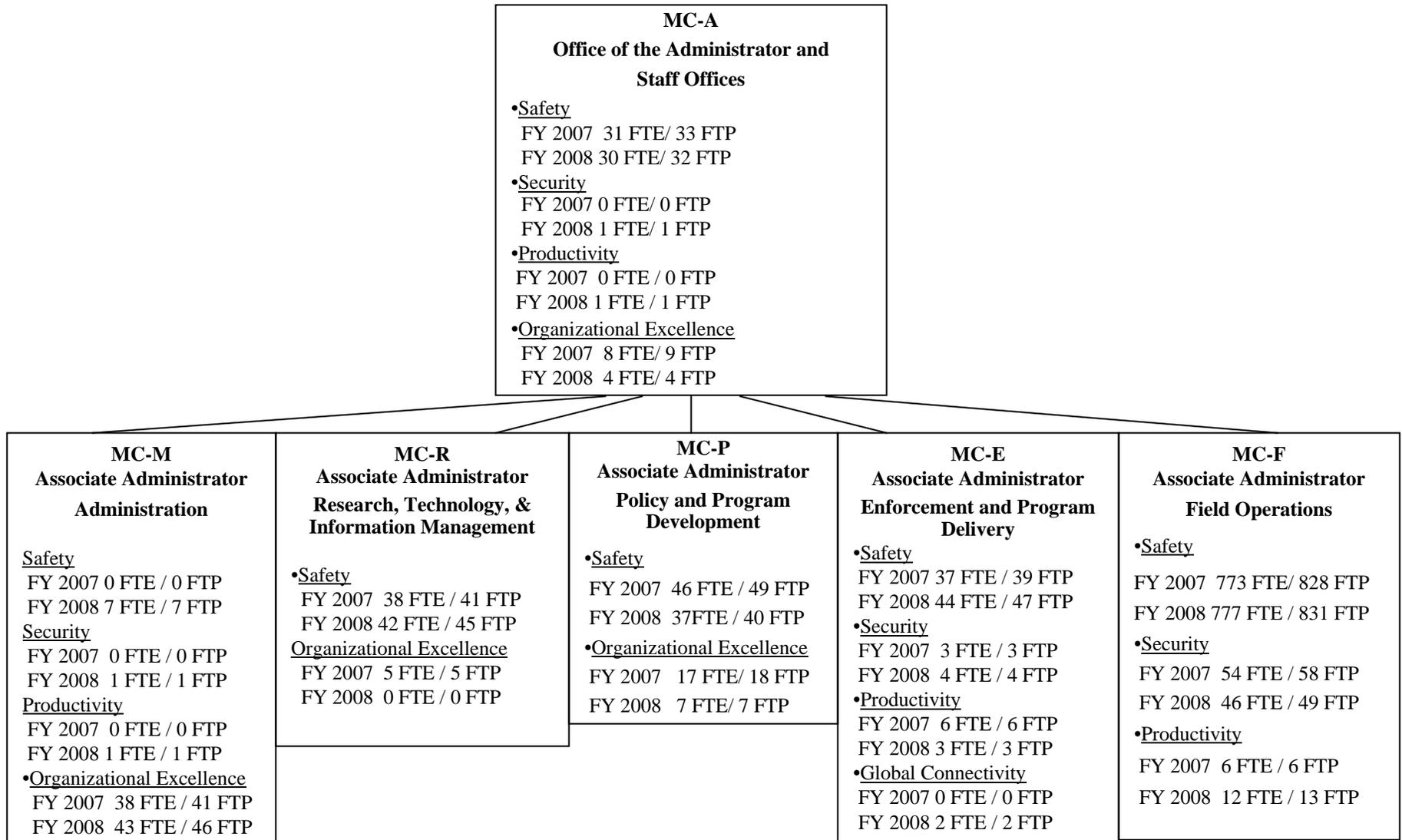
FMCSA's Automated Commercial Environment/ International Trade Data Systems (ACE/ITDS) partnership is improving the Agency's ability to identify and inspect higher risk cargoes at our border ports of entry to assess the potential risk of cross-border carriers and their drivers. This program accounts for less than 0.1 percent of FMCSA's budget.

### Organizational Excellence

FMCSA dedicates approximately 5.2 percent of its budget to Organizational Excellence which addresses improving the internal workings of the Agency. FMCSA will be undertaking activities for continuous organizational improvement. Our organizational improvement activities will result in a more highly-trained and motivated workforce, enhanced cost-control measures, and improved decision-making processes, leading to a more successful completion of our mission objectives. In addition, these activities make the Agency a significant contributor to DOT's achievement of a "green" rating for most elements of the President's Management Agenda (PMA).

Federal Motor Carrier Safety Administration

Organization Chart



+/- for rounding.

Total FY 2007 PB: 1,062 FTE / 1,136FTP

Total FY 2008 Request: 1,062 FTE / 1,136 FTP

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FY 2008

**FMCSA**

**BUDGET SUMMARY**  
**TABLES**

Section 2



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**FISCAL YEAR 2008 PERFORMANCE BUDGET ESTIMATES  
SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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**EXHIBIT II-1**

**COMPARATIVE STATEMENT OF NEW BUDGET AUTHORITY  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
Appropriations, Obligation Limitations, and Exempt Obligations  
(\$000)**

<b>ACCOUNT NAME</b>	<b>FY 2006 ACTUAL</b>	<b>FY 2007 CR</b>	<b>FY 2007 PRES. BUD. 1/</b>	<b>FY 2008 REQUEST</b>
Motor Carrier Safety Operations Program	210,870	210,870	223,000	228,000
Motor Carrier Safety Grants	279,180	279,180	297,502	300,000
<b>TOTAL</b>	<b>490,050</b>	<b>490,050</b>	<b>520,502</b>	<b>528,000</b>

1/ MCSAP funding includes \$3.502 million in RABA adjustment to be transferred by FHWA

**EXHIBIT II-2**

**FY 2008 BUDGET REQUEST BY APPROPRIATION ACCOUNT  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
Appropriations, Obligation Limitations, and Exempt Obligations  
(\$000)**

<u>ACCOUNTS</u>	<u>FY 2006 ACTUAL</u>	<u>FY 2007 CR</u>	<u>FY 2007 PRES. BUD. 1/</u>	<u>FY 2008 REQUEST</u>
Motor Carrier Safety Operations & Programs				
Operating Expenses	146,178	150,338	151,107	172,659
Research & Technology	9,983	6,883	10,296	7,550
Information Management	38,671	37,611	43,175	33,329
Regulatory Development	10,162	10,162	12,455	9,462
Outreach and Education	3,960	3,960	4,000	4,000
PRISM Operations	926	926	967	0
CMV Operations Grants	990	990	1,000	1,000
Sub-Total Motor Carrier Safety Operations & Programs	210,870	210,870	223,000	228,000
Motor Carrier Safety Grants				
MCSAP Grants	186,120	186,120	197,000	202,000
RABA MCSAP	0	0	3,502	0
Border Enforcement Grants	31,680	31,680	32,000	32,000
CDL Improvement Grants	24,750	24,750	25,000	25,000
CVISN Grants	24,750	24,750	25,000	25,000
PRISM Grants	4,950	4,950	5,000	5,000
Safety Improvement Grants	1,980	1,980	3,000	3,000
CDLIS Grants	4,950	4,950	7,000	8,000
Sub-Total Motor Carrier Safety Grants	279,180	279,180	297,502	300,000
<b>TOTALS:</b>	<b>490,050</b>	<b>490,050</b>	<b>520,502</b>	<b>528,000</b>
[Discretionary]	490,050	490,050	520,502	528,000
[Mandatory]				

**RECEIPTS FROM NON-FEDERAL SOURCES**

Motor Carrier Safety Operations & Programs	16,572	15,844	15,844	16,129
<b>TOTALS:</b>	<b>16,572</b>	<b>15,844</b>	<b>15,844</b>	<b>16,129</b>

**PROPRIETARY AND OTHER GOVERNMENTAL RECEIPTS**

Motor Carrier Safety Operations & Programs	N/A		N/A	N/A
<b>TOTALS:</b>	<b>0</b>		<b>0</b>	<b>0</b>

1/ MCSAP funding includes \$3.502 million in RABA adjustment to be transferred by FHWA

**EXHIBIT II-3**

**FY 2008 BUDGET REQUEST BY STRATEGIC OBJECTIVE  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
Appropriations, Obligation Limitations, and Exempt Obligations  
(\$000)**

APPROPRIATION / PROGRAM ACTIVITY/PERFORMANCE GOAL	STRATEGIC GOALS					TOTAL
	SAFETY	SECURITY & RESPONSE	REDUCED CONGESTION	GLOBAL CONNECTIVITY	ORG. EXC.	
<b><u>MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS</u></b>	<b><u>188,504</u></b>	<b><u>7,179</u></b>	<b><u>3,645</u></b>	<b><u>352</u></b>	<b><u>28,320</u></b>	<b><u>228,000</u></b>
<b>Commercial Motor Vehicle (CMV) Safety</b>	<b>188,504</b>					<b>188,504</b>
Save lives and reduce injuries by preventing truck and bus crashes.	180,119					180,119
Save lives and reduce injuries by preventing and minimizing the severity of Hazardous Materials incidents involving Commercial Motor Vehicles	8,385					8,385
<b>CMV Security</b>		<b>7,179</b>				<b>7,179</b>
Reduce the vulnerability of CMV transportation to threats, violence, and natural disasters		7,179				7,179
<b>CMV Productivity</b>			<b>3,645</b>			<b>3,645</b>
Decrease traffic congestion in pursuit of safety			500			500
Improve responsiveness to HHG complaints			3,145			3,145
<b>CMV Global Connectivity</b>				<b>352</b>		<b>352</b>
Facilitate a more efficient cross border motor carrier transportation system that enables economic growth and development.				352		352
<b>Organizational Excellence</b>					<b>28,320</b>	<b>28,320</b>
Provide an adaptable, world-class, mission-oriented organizational infrastructure in support of all FMCSA mission, objectives and strategies					28,320	28,320
<b><u>MOTOR CARRIER SAFETY GRANTS</u></b>	<b><u>300,000</u></b>	<b><u>0</u></b>	<b><u>0</u></b>		<b><u>0</u></b>	<b><u>300,000</u></b>
<b>Commercial Motor Vehicle (CMV) Safety</b>	<b>291,000</b>					<b>291,000</b>
Save lives and reduce injuries by preventing truck and bus crashes.	291,000					291,000
Save lives and reduce injuries by preventing and minimizing the severity of Hazardous Materials incidents involving Commercial Motor Vehicles	9,000					9,000
<b>TOTAL FY 2008 REQUEST</b>	<b>488,504</b>	<b>7,179</b>	<b>3,645</b>	<b>352</b>	<b>28,320</b>	<b>528,000</b>
<b>FTE (direct funded only)</b>	<b>935</b>	<b>51</b>	<b>16</b>	<b>2</b>	<b>58</b>	<b>1,062</b>

+/- 1 due to rounding.

**EXHIBIT II-3A**

**FY 2008 INFORMATION TECHNOLOGY (IT) BUDGET REQUEST BY IT INVESTMENT  
AND STRATEGIC OBJECTIVE  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
Appropriations, Obligation Limitations, and Exempt Obligations  
(\$000)**

APPROPRIATION / PROGRAM ACTIVITY/PERFORMANCE GOAL	STRATEGIC GOALS					TOTAL
	SAFETY	SECURITY & RESPONSE	REDUCED CONGESTIO	GLOBAL CONNECTIVITY	ORG. EXC.	
<b>IT Modernization</b>	21,583					21,583
Provide business transformation and IT modernization to better support FMCSA's safety programs, dynamically respond to evolving business requirements, and more tightly integrate business processes with the IT systems	21,583					21,583
<b>E-Gov</b>					2,000	2,000
Provide an adaptable, world-class, mission-oriented organizational infrastructure in support of all FMCSA mission, objectives and strategies					2,000	2,000
<b>TOTAL FY 2008 REQUEST</b>	<b>21,583</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2,000</b>	<b>23,583</b>
<b>FTE (direct funded only)</b>	<b>44</b>				<b>1</b>	<b>45</b>

+/- 1 due to rounding.

**EXHIBIT II-4**

**FY 2008 BUDGET REQUEST RECAP BY ACCOUNT  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
BUDGET AUTHORITY  
(\$000)**

<u>ACCOUNTS</u>	<u>FY 2006 ACTUAL</u>	<u>FY 2007 CR</u>	<u>FY 2007 PRES. BUD. 1/</u>	<u>FY 2008 REQUEST</u>
Motor Carrier Safety (LAE) 2/		-27,123		
National Motor Carrier Safety Program 2/		-3,420		
Motor Carrier Safety Operations & Programs	210,870	223,000	223,000	228,000
CA Rescission 2/		-2,230		
Motor Carrier Safety Grants	279,180	294,000	297,502	300,000
CA Rescission 2/		-2,940		
<b>TOTALS:</b>	<b>490,050</b>	<b>481,287</b>	<b>520,502</b>	<b>528,000</b>
[Discretionary]	0	-35,713	0	0
[Mandatory]	490,050	517,000	520,502	528,000

1/ MCSAP funding includes \$3.502 million in RABA adjustment to be transferred by FHWA

2/ CA rescissions

**EXHIBIT II-5**

**FY 2008 BUDGET REQUEST RECAP BY ACCOUNT  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
OUTLAYS  
(\$000)**

<b><u>ACCOUNTS</u></b>	<b>FY 2006 ACTUAL</b>	<b>FY 2007 CR</b>	<b>FY 2007 PRES. BUD.</b>	<b>FY 2008 REQUEST</b>
Motor Carrier Safety (LAE)	125,948	82,703	N/A	N/A
National Motor Carrier Safety Program	96,920	73,403	N/A	N/A
Border Enforcement Program	2,943	9,481	0	N/A
Motor Carrier Safety Operations & Programs	136,513	201,914	221,787	219,026
Motor Carrier Safety Grants	73,430	270,916	284,310	284,435
<b>TOTALS:</b>	<b>435,754</b>	<b>638,417</b>	<b>506,097</b>	<b>503,461</b>
[Discretionary]	435,754	638,417	506,097	503,461

EXHIBIT II-6

SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
Appropriations, Obligation Limitations, and Exempt Obligations  
(\$000)

MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS

	SHOW AS NON ADDS										SHOW AS NON ADDS				
	FY 2007 Pres Bud	FY 2007 PC&B by Program	FY 2007 # FTE Per Program	FY 2007 Contract Expenses	2007 Pay Raises	2008 Pay Raises	FTE Annualization	WCF Increase/ GSA Rent Decrease	Technical Adjustment 2/ Inflation/ Deflation	FY 2007 Adjusted Base	Program Increases/ Decreases	FY 2008 PC&B Program	FY 2008 FTE Program	FY 2008 Contract Program	FY 2008 Request
<b>ADMINISTRATIVE EXPENSES</b>															
PERSONNEL RESOURCES (FTE)	1,062														
Direct FTE	1,062								1,062						1,062
<b>GENERAL OPERATING EXPENSES</b>															
Personnel Pay, Compensation & Benefits (10)	95,190	88,736	990		809	2,232	0	0	98,231	7,149	7,149			105,380	
Contractual Services & Supplies (20)								0	0	0		0			
Travel (21)	14,526								320	14,846	(2,081)		(2,081)	12,765	
Transportation (22)	250								6	256	(256)		(256)	0	
Rent/Comm/Util (23)	531								12	542	5,822		5,822	6,364	
Printing/Reproductions (24)	546								12	558	666		666	1,224	
Other Services (25)	18,097		18,097						398	18,495	6,182		6,182	24,677	
Supplies (26)	1,399								31	1,430	(538)		(538)	891	
Equipment (31)	3,802								84	3,886	(1,641)		(1,641)	2,245	
GSA Rent (23.1)	12,680								279	12,959	(1,765)		(1,765)	11,194	
Working Capital Fund	4,087								90	4,177	3,742		3,742	7,919	
<b>OPERATIONS TOTAL</b>	<b>151,107</b>	<b>88,736</b>	<b>990</b>	<b>18,097</b>	<b>809</b>	<b>2,232</b>	<b>0</b>	<b>0</b>	<b>1,230</b>	<b>155,378</b>	<b>17,281</b>	<b>7,149</b>	<b>0</b>	<b>10,132</b>	<b>172,659</b>
<b>CONTRACT PROGRAMS</b>															
Research & Technology Program	10,296	896	10	10,296					0	227	10,523	(2,973)		(2,973)	7,550
Information Management Program	43,175	2,420	27	43,175					0	950	44,125	(10,796)		(10,796)	33,329
Regulatory Development Program	12,455	2,151	24	12,455					0	274	12,729	(3,267)		(3,267)	9,462
Outreach & Education	4,000	986	11	4,000					0	88	4,088	(88)		(88)	4,000
PRISM Operations 3/	967									21	988	(988)		(988)	0
<b>PROGRAMS TOTAL</b>	<b>70,893</b>	<b>6,454</b>	<b>72</b>	<b>69,926</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,560</b>	<b>72,452</b>	<b>(18,112)</b>	<b>0</b>	<b>0</b>	<b>(18,112)</b>
<b>GRANTS</b>															
CMV Operators Grants	1,000								0	21	1,021	(21)		(21)	1,000
<b>GRANTS TOTAL</b>	<b>1,000</b>								<b>0</b>	<b>21</b>	<b>1,021</b>	<b>(21)</b>		<b>(21)</b>	<b>1,000</b>
<b>OPERATIONS &amp; PROGRAMS ACCOUNT TOTAL</b>	<b>223,000</b>	<b>95,190</b>	<b>1,062</b>	<b>88,023</b>	<b>809</b>	<b>2,232</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2,811</b>	<b>228,851</b>	<b>(851)</b>	<b>7,149</b>	<b>0</b>	<b>(8,000)</b>

MOTOR CARRIER SAFETY GRANTS

GRANTS															
MCSAP	197,000								0	201,334					202,000
Basic/Incentive	150,538									3,312	153,849	1,626		155,475	
High Priority (up to \$15M)	15,000									330	15,330	(330)		15,000	
New Entrant (up to \$29M)	29,000									638	29,638	(638)		29,000	
Admin Take Down (up to 1.25%)	2,463									54	2,517	8		2,525	
RABA MCSAP 1/	3,502								0	(3,502)	0			0	
CDL Improvement	25,000								0	550	25,550	(550)		25,000	
Border Enforcement Grants	32,000								0	704	32,704	(704)		32,000	
PRISM	5,000								0	110	5,110	(110)		5,000	
CVISN	25,000								0	550	25,550	(550)		25,000	
Safety Data Improvement	3,000								0	66	3,066	(66)		3,000	
CDLIS	7,000								0	154	7,154	846		8,000	
<b>GRANTS ACCOUNT TOTAL</b>	<b>297,502</b>								<b>0</b>	<b>(1,368)</b>	<b>300,468</b>	<b>(468)</b>		<b>300,000</b>	
<b>GRAND TOTAL</b>	<b>520,502</b>	<b>95,190</b>	<b>1,062</b>	<b>88,023</b>	<b>809</b>	<b>2,232</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,443</b>	<b>529,319</b>	<b>(1,319)</b>	<b>7,149</b>	<b>0</b>	<b>(8,000)</b>

1/ MCSAP funding includes \$3.502 million in RABA adjustment to be transferred by FHWA

2/ Technical Adjustment of the FY2007 Enacted to account for the #% rescission to adjust current services to properly show program increases for the SAFETEA-LU FY 2008 levels

3/ PRISM Operations is requested at the same level within the operating expenses

**EXHIBIT II-7**

**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
PERSONNEL RESOURCES - SUMMARY  
TOTAL FULL-TIME EQUIVALENTS**

	<b>FY 2006 ACTUAL</b>	<b>FY 2007 CR</b>	<b>FY 2007 PRES. BUD.</b>	<b>FY 2008 REQUEST</b>
<b><u>DIRECT FUNDED BY APPROPRIATION</u></b>				
Motor Carrier Safety Operations & Programs (MCSOP)	1,007	1,040	1,062	1,062
<b>SUBTOTAL, DIRECT FUNDED</b>	<b>1,007</b>	<b>1,040</b>	<b>1,062</b>	<b>1,062</b>
<b><u>REIMBURSEMENTS / ALLOCATIONS / OTHER</u></b>				
<b>Reimbursements and 'Other'</b>				
Motor Carrier Safety Operations & Programs (MCSO&P)	52	52	52	57
<b>Allocations from other Organizations</b>				
Motor Carrier Safety Operations & Programs (MCSO&P)	0	0	0	0
<b>SUBTOTAL, REIMBURSE./ALLOC./OTH.</b>	<b>52</b>	<b>52</b>	<b>52</b>	<b>57</b>
<b>TOTAL FTE</b>	<b>1,059</b>	<b>1,092</b>	<b>1,114</b>	<b>1,119</b>

**INFO:**

Allocations to Other Agencies

**EXHIBIT II-9**

**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
RESOURCE SUMMARY - STAFFING  
FULL-TIME PERMANENT POSITIONS**

	<u>FY 2006 ACTUAL</u>	<u>FY 2007 CR</u>	<u>FY 2007 PRES. BUD.</u>	<u>FY 2008 REQUEST</u>
<b><u>DIRECT FUNDED BY APPROPRIATION</u></b>				
Motor Carrier Safety Operations & Programs (MCSOP)	1,077	1,113	1,136	1,136
<b>SUBTOTAL, DIRECT FUNDED</b>	<hr/> <b>1,077</b> <hr/>	<hr/> <b>1,113</b> <hr/>	<hr/> <b>1,136</b> <hr/>	<hr/> <b>1,136</b> <hr/>
<b><u>REIMBURSEMENTS / ALLOCATIONS / OTHER</u></b>				
<b>Reimbursements and 'Other'</b>				
Motor Carrier Safety Operations & Programs (MCSO&P)	56	56	56	61
<b>Allocations from other Organizations</b>				
Motor Carrier Safety (LAE)				
<b>SUBTOTAL, REIMBURSE./ALLOC./OTH.</b>	<hr/> <b>56</b> <hr/>	<hr/> <b>56</b> <hr/>	<hr/> <b>56</b> <hr/>	<hr/> <b>61</b> <hr/>
<b>TOTAL POSITIONS</b>	<hr/> <b>1,133</b> <hr/>	<hr/> <b>1,168</b> <hr/>	<hr/> <b>1,192</b> <hr/>	<hr/> <b>1,197</b> <hr/>

**INFO:**

Allocations to Other Agencies

FTP numbers do not change in relation to positions filled.



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FY 2008

**FMCSA**

**BUDGET**

**by**

**APPROPRIATION**

**ACCOUNT**

**Section 3**



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**FISCAL YEAR 2008 PERFORMANCE BUDGET ESTIMATES  
SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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FY 2008

**FMCSA**

**BUDGET**

**by**

**APPROPRIATION**

**ACCOUNT**

Section 3A

Motor Carrier Safety  
Operations & Programs



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**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**  
*Trust Funds*  
**MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS**  
*(LIQUIDATION OF CONTRACT AUTHORIZATION)*  
*(LIMITATION ON OBLIGATIONS)*  
*(HIGHWAY TRUST FUND)*

For payment of obligations incurred in the implementation, execution and administration of the motor carrier safety operations and programs pursuant to section 31104(i) of title 49, United States Code, and sections 4127 and 4134 of Public Law 109-59, \$228,000,000, to be derived from the Highway Trust Fund (other than the Mass Transit Account), together with advances and reimbursements received by the Federal Motor Carrier Safety Administration, the sum of which shall remain available until expended: Provided, That none of the funds derived from the Highway Trust Fund in this Act shall be available for the implementation, execution or administration of programs the obligations for which are in excess of \$228,000,000, for “Motor Carrier Safety Operations and Programs”, of which \$7,550,000, to remain available until September 30, 2010, is for the research and technology program and \$1,000,000 shall be available for commercial motor vehicle operator’s grants to carry out section 4134 of Public Law 109-59.

# MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS

## Appropriation Summary by Program Activity (\$000)

	<b>FY 2006 Actual</b>	<b>FY 2007 CR</b>	<b>FY 2007 Pres Bud</b>	<b>FY 2008 Request</b>	<b>FY 2007 Delta</b>	<b>% Change</b>
Operating Expenses 1/	\$143,030	\$150,338	\$151,107	\$172,659	\$21,552	14.8%
Research & Technology	\$9,983	\$6,883	\$10,296	\$7,550	(\$2,746)	-26.7%
Information Management	\$41,671	\$37,611	\$43,175	\$33,329	(\$9,846)	-22.8%
Regulatory Development	\$10,310	\$10,162	\$12,455	\$9,462	(\$2,993)	-24.0%
Outreach and Education	\$3,960	\$3,960	\$4,000	\$4,000	\$ 0	0.0%
PRISM 2/	\$926	\$926	\$967	\$0	(\$ 967)	-100.0%
CMV Operators Grants	\$990	990	1,000	\$1,000	\$ 0	0.0%
<b>TOTAL</b>	<b>\$210,870</b>	<b>\$210,870</b>	<b>\$223,000</b>	<b>\$228,000</b>	<b>\$5,000</b>	<b>2.2%</b>

Note: Totals may not add due to rounding

<b>FTE Direct Funded</b>	<b>1,007</b>	<b>1,040</b>	<b>1,062</b>	<b>1,062</b>	<b>0</b>	<b>0.0%</b>
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1/ Includes for FY 2008 PRISM Operations

2/ PRISM Operations is requested at the same level under the operating expenses

### Program and Performance Statement

This account provides the necessary resources to support motor carrier safety program activities and maintain the agency's administrative infrastructure. Funding will support nationwide motor carrier safety and consumer enforcement efforts, including Federal safety enforcement activities at the U.S./Mexico border to ensure that Mexican carriers entering the U.S. are in compliance with Federal Motor Carrier Safety Regulations. Resources are also provided to fund motor carrier regulatory development and implementation, information management, research and technology, safety education and outreach, and the 24-hour safety and consumer telephone hotline.

## MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS

### Summary Analysis of Change from FY 2007 PB to FY 2008 (\$000)

Item	Change from FY 2007 PB to FY 2008	PC&B	FTE	Contract Cost	Appropriation Total
<b>FY 2007 BASE</b>					
<b>Motor Carrier Safety Operations &amp; Programs</b>		<b>[\$95,190]</b>	<b>[1,062]</b>	<b>[\$88,023]</b>	<b>\$223,000</b>
<b>Adjustment to Base</b>					
Salaries and Benefits	\$3,041	[\$3,041]			
Contractual Services & Supplies					
Travel	\$320			[\$320]	
Transportation	\$6			[\$6]	
Rent/Comm/Util	\$12			[\$12]	
Printing/Reproduction	\$12			[\$12]	
Other Service	\$398			[\$398]	
Supplies	\$31			[\$31]	
Equipment	\$84			[\$84]	
GSA Rent	\$279			[\$279]	
Working Capital Fund	\$90			[\$90]	
<b>Programs &amp; Grant</b>					
Research & Technology	\$227			[\$227]	
Information Management	\$950			[\$950]	
Regulatory Development	\$274			[\$274]	
Outreach & Education	\$88			[\$88]	
PRISM Operations	\$21			[\$21]	
CMV Operators Grants	\$21			[\$21]	
<b>Subtotal Adjustments To Base</b>		<b>[\$3,041]</b>		<b>[\$2,811]</b>	<b>\$5,852</b>
<b>New or Expanded Programs</b>					
Salaries and Benefits	\$7,149	[\$7,149]			
Travel	-\$2,081			[-\$2,081]	
Transportation	-\$256			[-\$256]	
Rent/Comm/Util	\$5,822			[\$5,822]	
Printing/Reproduction	\$666			[\$666]	
Other Service	\$6,182			[\$6,182]	
Supplies	-\$538			[-\$538]	
Equipment	-\$1,641			[-\$1,641]	
GSA Rent	-\$1,765			[-\$1,765]	
Working Capital Fund	\$3,742			[\$3,742]	
<b>Programs</b>					
Research & Technology	-\$2,973			[-\$2,973]	
Information Management	-\$10,796			[-\$10,796]	
Regulatory Development	-\$3,267			[-\$3,267]	
Outreach & Education	-\$88			[-\$88]	
PRISM Operations	-\$988			[-\$988]	
CMV Operators Grants	-\$21			[-\$21]	
<b>Subtotal Adjustments To Base</b>		<b>[\$7,149]</b>		<b>[-\$8,001]</b>	<b>-\$852</b>
<b>TOTAL Adjustment To Base</b>		<b>[\$10,190]</b>		<b>[-\$5,190]</b>	<b>\$5,000</b>
<b>FY 2008 REQUEST</b>		<b>[\$105,380]</b>	<b>[1,062]</b>	<b>[\$82,833]</b>	<b>\$228,000</b>

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## Detailed Justification for Operating Expenses

Operating Expenses	FY 2008 Request: \$172.7 M
<p><b>Overview:</b></p> <p>Operating expenses provide operating and administrative funding for FMCSA’s core activities including: CMV safety enforcement and compliance operations; hazardous materials enforcement and compliance operations; border enforcement, hazardous materials security operations and outreach; emergency preparedness; household goods enforcement and compliance operations; organizational excellence, program support and oversight. Operating expenses support the primary mission of FMCSA to reduce crashes, injuries and fatalities involving large trucks and buses through development and enforcement of data and science-driven regulations, education, and partnerships with the States.</p>	
<p><b>FY 2007 Base:</b></p> <p>Operating expenses fund salaries and benefits, travel, communications, rents, utilities, services, supplies, equipment and field program operations and oversight; and headquarters operations to support a nationwide safety and security workforce with offices in all 50 States and the District of Columbia.</p>	
<p><b>Anticipated FY 2007 Accomplishments:</b></p> <p>In FY 2007, FMCSA requested 14 additional FTE. This request includes the annualization of 3 FTE of the 6 approved positions for Regulatory Effectiveness and Quality Assurance initiatives funded half year in FY 2006. The remaining 11 FTE are half-year funding of 22 new positions (described below) required to better advance enforcement activities, training, grants management/oversight, and other program administrative activities in support of the provisions of the Safe, Accountable, Flexible, Efficient Transportation Equity Act – A Legacy for Users (SAFETEA-LU).</p> <p>FMCSA requested the addition of 3 full time positions to support the Commercial Driver’s License (CDL) program in meeting its safety goals and increased capacity. One of these FTPs would coordinate with a new CDL Working Group required by SAFETEA-LU, identify program weaknesses and provide recommendations for improvement, and subsequently lead the implementation of new or improved CDL strategies identified by the group. The second FTP will work in CDL grants management and is necessary due to a combination of increased CDL funding and reduced Federal Highway Administration (FHWA) technical support in FY 2007. The third FTP will coordinate development of an FMCSA CDL grants management process; coordinate FMCSA participation in the Department’s “grants.gov” electronic grants application process; and, design and implement a package of CDL fraud reducing activities among all the States. With the addition of these FTE, FMCSA expects to complete 15 reviews of State CDL programs.</p> <p>FMCSA requested the addition of 3 full time positions to support the MCSAP Performance Review (MPR) process and to assist and monitor Divisions and States as they implement actions to address any program deficiencies or needed improvements identified during the MPR.</p> <p>FMCSA requested the addition of 3 full time positions to support the Department and the Agency’s strategic objectives relating to cross-border operations and international cooperation. One FTP will be assigned as a liaison with the Bureau of Customs and Border Protection (CBP) on the</p>	

operational, technical, and administrative aspects of these programs to work with the Department of Homeland Security (DHS) to address CMV global connectivity, productivity, and safety. The second FTP will focus on the financial and administrative management of the \$32 million Border Enforcement Grant Program which provides funds to all the northern and southern border States. The third FTP will be responsible for coordinating activities directed at establishing North American motor carrier safety regulation compatibility among the three North America Free Trade Agreement (NAFTA) countries.

FMCSA requested the addition of 1 full time position to establish the position of Chief Medical Examiner, as mandated by SAFETEA-LU, which amends 49 USC §31149 (b).

FMCSA requested the addition of 2 full time positions to coordinate the merger of the Medical Certification with the CDL licensing process. These FTP will also manage CDL judicial outreach and education activities. The merger of Medical Certification with CDL is required by Section 215 of MCSIA.

FMCSA requested the addition of 1 full time position to support the COMPASS modernization program, the Agency's largest business process re-engineering and systems modernization program to date. The program was planned in FY 2005 and initiated in FY 2006. This position will manage changes to information technology systems, develop training programs, manage performance measures critical to assessing status and outcomes, and develop a risk plan that includes contingencies and mitigation strategies. This position is the agency modernization champion providing strategic direction to drive change and ensure customer buy-in and support for the changes required.

FMCSA requested the addition of 2 full time positions to meet necessary human resources support requirements. To function adequately, FMCSA must be able to accommodate the human resource needs of management across organizational lines. The new FTP will focus on functions that are not being performed adequately, such as policy development, assistance with benefits and retirement, and pay administration.

FMCSA requested the addition of 1 full time position to meet Agency objectives for enhanced E-Gov activity. This FTE will enable FMCSA to continue projects in direct support of the President's Management Agenda, specifically the Proud to Be III initiatives related to the Privacy Act. FMCSA must complete the review of approximately 50 systems and software programs to determine which have Privacy Act impacts. Required System of Records Notices and Privacy Impact Assessments must be completed to meet PMA requirements. This position will provide needed support and direction in support of additional rulemakings associated with reauthorization and OMB's new emphasis on the privacy impacts of rulemaking.

FMCSA requested the addition of 1 full time position for Financial Processing and Operations. This FTP will be dedicated to support the improved accounting processes required to eliminate material weaknesses. This FTP will be responsible for overseeing confidential contract/personnel information, performing financial statements and account analyses, updating standard operating procedures, providing information for the Highway Trust Fund Annual Financial Report, overseeing the fund managers' reconciliations, reviewing the SF-133 Report on Budget Execution and comparing them to the SF-132 Apportionment and Reapportionment Schedule, analyzing the monthly financial statements and reconciling reimbursable agreements.

FMCSA requested the addition of 2 full time positions for grants management administration. These FTP are necessary to support a more robust, expanded approach to financial management oversight of FMCSA's multiple grant programs. These dedicated FTP resources will enable FMCSA to meet requirements of the Single Audit Act and OMB Circular A-123, "Management's Responsibility for Internal Control." The grants financial specialists will be responsible for updating policies and procedures to ensure internal controls are in place for good stewardship of grant funds, tracking allocations to verify that Allocation Memoranda have been properly signed and recorded in the grants management and accounting systems and monitoring grant obligations and expenditures to determine if States are executing their programs according to their plans and advising grant program managers of excessive over or under spending. They will also perform reviews of grant financial procedures and documents for each of the 50 States on a three year cycle to prepare for the HTF financial statement audit.

FMCSA requested the addition of 3 full time positions for contracting and acquisition management. These 3 FTP are needed to ensure compliance with the Competition in Contracting Act, the Bona Fide Needs Statute and the Federal Acquisition Regulations. They will conduct a top-down study of acquisitions activities, develop and implement instructions for cooperative and reimbursable agreements, enhance contract audit processes, conduct audits of the Government Purchase Card (GPC), reassess internal acquisition policies and procedures, and conduct customer training.

#### Modernization of Safety Programs

Faced with the challenges of a growing safety mission, FMCSA in FY 2003 initiated Comprehensive Safety Analysis (CSA) 2010, an ambitious program to realign, strengthen, consolidate where possible, and focus its safety programs and enforcement operations. This program is discussed in more detail in the CSA 2010 performance element portion of Section IV of this budget document. Further discussion of these activities can be found in Section 4.

There was no specific request for funds to support CSA 2010 in the FY 2007 budget request. Activities for this initiative were previously decentralized and budgeted under individual activity areas that contribute to the success of these cross-cutting activities. For FY 2007, these activities draw from the areas of research and technology, enforcement, and the Office of the Assistant Administrator and Chief Safety Officer.

The CSA 2010 initiative has a total of 114 milestones beginning in FY 2007 through FY 2010. For FY 2007 the Agency is targeting 65 milestones for completion, or 57 percent of the total milestones. In FY 2007, FMCSA will:

- Develop and test new driver and carrier measurement systems;
- Complete planning for a pilot test;
- Begin development of new data resources, systems and software requirements;
- Begin development of new rulemakings and legislation proposals;
- Begin development of training for FMCSA field staff and State partners; and,
- Conduct at least one public listening session to keep the Agency's partners and stakeholders informed, and obtain their feedback as we progress.

### PRISM Operations:

For the FY 2008 budget, as part of our ongoing efforts to improve efficiencies in management accounting, FMCSA will merge the PRISM Operations account into the overall FMCSA Operating account for simplified accounting of resources. As the PRISM Operations account in previous budgets covered such expenses as travel, supplies and other administrative expenses, it can be absorbed into the Operating Expenses account, which covers the same types of expenses for the entire Agency

For FY 2007, FMCSA will allocate PRISM Grants to an additional 2 states, increasing the number of participating states to 49. The Agency will also establish information system connections between 25 state vehicle registration agencies and FMCSA to allow state agencies to check motor carrier safety status prior to issuing license plates.

### Safety Operations:

In FY 2007, Level III (driver) inspections will equal at least 25 percent of all roadside inspections to improve focus on driver safety, and there will be an increased State delivery of the New Entrant program.

FMCSA also anticipates the following accomplishments:

- 7,000 New Entrant Audits;
- 10,000 Compliance Reviews;
- 2,500 Conditional Carrier Reviews;
- 13,500 Motorcoach Inspections;
- 525 Motorcoach Compliance Reviews (25% will be conducted by States);
- 7,600 Border Motorcoach Inspections;
- 3,000 Border Safety Audits;
- 100,000 Southern Border Drivers License Checks; and,
- 100,000 Southern Border Vehicle and Driver Inspections.

### HAZMAT Operations:

FMCSA HAZMAT program will be in the third year of implementing the HAZMAT Permitting program for certain carriers of high-hazard materials. During FY 2007, the HAZMAT Permitting program will be fully integrated into the overall HAZMAT program. FMCSA will reduce the time it takes to process HAZMAT permit applications from the FY 2006 average of 150 days to 120 days by the end of FY 2007.

Another top priority for FY 2007 is to continue implementation of additional enforcement authority under the SAFETEA-LU legislation. In FY 2007, FMCSA's HAZMAT program places a higher emphasis on conducting compliance reviews of HAZMAT shippers. In FY 2005 and 2006, FMCSA conducted research on identifying high risk HAZMAT shippers. In FY 2007, FMCSA will implement and verify this new methodology.

As part of its efforts to more effectively and efficiently deploy its resources, FMCSA is working to develop estimates of the effectiveness of HAZMAT enforcement activities. Applying the estimates of the effectiveness of compliance reviews to the HAZMAT program suggests that in 2001 (the most recent year of analysis), FMCSA estimates the compliance review program conducted on HAZMAT carriers prevented 350 crashes, saving the lives of 16 people and avoiding \$138 million in costs. These benefits are in addition to the prevention of serious incidents resulting from

improved compliance with hazardous materials regulations.

In FY 2007, FMCSA anticipates the following accomplishments:

- 50 Cargo Tank Facility Reviews;
- 265 HAZMAT Shipper Reviews;
- 2,500 HAZMAT Compliance Reviews (1,900 by Federal Staff, 600 by State officers);
- 325 HAZMAT Compliance Reviews on carriers that apply for HAZMAT Safety Permits;
- 6,200 HAZMAT Package Inspections (6,000 by Federal Staff, 200 by State officers); and,
- 2,500 HAZMAT security operations (a combination of Security Sensitivity Visits and Security Contact reviews).

Real ID Act:

FMCSA included no funding in the FY 2007 budget request for activities related to the implementation of the DHS-led Real ID Act. The language of the Act only assigns DOT a coordinating role in the implementation process. FMCSA has had extensive meetings with the National Highway Traffic Safety Administration and the Office of the Secretary to try and determine what, if any, role DOT or FMCSA will have as implementation of the Act continues.

While it is clear that there could be a major role for the Department due to our experience and expertise in working with State licensing agencies, implementing information technology systems to allow communication among States and verification of documents, and overseeing State implementation of the Federal Commercial Driver's License information, no specific role has been established at this point.

Complaint and Safety Violation Hotline:

FMCSA will continue to provide the toll-free Consumer Complaint and Safety Violation Hotline and related Web site to receive, monitor, and address consumer complaints. The Agency will also continue to develop, coordinate, and implement public education/outreach, media/marketing relations, and production services to assist FMCSA in communicating the Agency's safety messages to the truck and bus industry, the general public, and to Federal and State enforcement personnel.

### **FY 2008 Budget Request:**

For FY 2008, FMCSA requests \$172.7 million/1,062 FTE. This request does not include 11 FTE of the 22 approved positions for support of SAFETEA-LU initiatives funded half year in FY 2007. The balance of these positions is not requested in FY 2008 because FMCSA has determined that by reallocating existing FTE we can provide the necessary support to implement SAFETEA-LU initiatives while staying within the SAFETEA-LU authorization limits and not further increasing personnel costs. This FTE reallocation is part of FMCSA's strategy to modernize and optimize operational effectiveness and increase organizational efficiency. Substantial progress has been made in filling many vacancies that had existed since the agency's formation six years ago. The hiring of almost 100 FTE in FY 2005-2006 brought the Agency out of a personnel deficit and included a significant increase in the number of inspectors along the southern border. However, the filling of these vacancies and the FY 2004 adjustment of the field grade structure resulted in an increase of \$8 million in the personnel costs and benefits (PC&B) account. This increase is reflected in this FY 2008 budget request, so rather than further increase personnel costs by requesting the remaining 11 FTE in FY 2008, FMCSA will reallocate existing FTE to perform the required functions.

### Modernization of Safety Programs

As discussed in the FY 2007 accomplishments section above, CSA 2010 is a cross cutting initiative that involves participation by almost every program in the Agency including Research and Technology, Information Management, Regulatory Development, Enforcement Operations and others. In previous years, activities conducted by these programs that contributed towards the development of CSA 2010, were funded within each of their individual accounts. In contrast to previous years, FMCSA has identified specific resource requirements totaling \$5.6 million to support CSA 2010 in the FY 2008 budget request, so as to centrally account for CSA 2010 activities under a single performance element.

Required activities for this new initiative fall into three broad categories. The first category involves activities that support the FMCSA technical teams that are developing the new operational model, including pilot testing and new enforcement interventions for drivers and motor carriers. The second category involves activities that support the other FMCSA program offices, including the drafting and development of new rulemakings, legislative proposals, enforcement policies, training for FMCSA field staff and State partners, outreach, new data systems and software development, and new measurement systems for drivers and motor carriers. The third category supports the CSA 2010 development team activities and travel as they develop the new operational model.

The CSA 2010 initiative has a total of 114 milestones beginning in FY 2007 through FY 2010. For FY 2008 the Agency plans to complete 29 of these milestones, for a cumulative total of 82 percent completion of the all initiative requirements.

In FY 2008, FMCSA will:

- Begin the pilot test and evaluation,
- Continue development of new data resources, systems and software requirements,
- Continue development of new rulemakings, legislation, and enforcement policies,
- Continue training development; and,
- Conduct at least one public listening session to keep the Agency's partners and stakeholders informed, and obtain their feedback as we progress.

### PRISM Operations:

For the FY 2008 budget, as part of our ongoing efforts to improve efficiencies in management accounting, FMCSA will merge the PRISM Operations account into the overall FMCSA Operating account for simplified accounting of resources. As the PRISM Operations account in previous budgets covered such expenses as travel, supplies and other administrative expenses, it can be absorbed into the Operating Expenses account, which covers the same types of expenses for the entire Agency. PRISM operating expenses in FY 2008 are being requested at the same level as in the FY 2007 budget submission.

For FY 2008, FMCSA will continue to allocate PRISM Grants to 49 participating states. The Agency will continue to establish information system connections between state vehicle registration agencies and FMCSA to allow state agencies to check motor carrier safety status prior to issuing license plates.

( For more information on the PRISM Grant accomplishments, refer to the PRISM Grant write up in Section 3B and Section 4A)

### Safety Operations:

In FY 2008, FMCSA is proposing that States continue to identify high CMV crash corridors and propose actions for reducing the frequency and severity of crashes in these corridors in their Commercial Vehicle Safety Plans (CVSPs). FMCSA will ensure that Level III inspections equal at least 27 percent of all roadside inspections to increase the focus on driver safety and all State CVSPs will include a compliance plan for addressing motor coach safety. FMCSA also expects to complete 15 reviews of State CDL programs in FY 2008.

Other anticipated accomplishments in FY 2008 include:

- 5,000 New Entrant Audits;
- 10,000 Compliance Reviews;
- 2,500 Conditional Carrier Reviews
- 13,500 Motorcoach Inspections;
- 525 Motorcoach Compliance Reviews (25% will be conducted by States);
- 7,600 Border Motorcoach Inspections;
- 3,000 Border Safety Audits;
- 100,000 Southern Border Drivers License Checks; and,
- 100,000 Southern Border Vehicle and Driver Inspections.

### HAZMAT Operations:

FMCSA will fully integrate the HAZMAT Permitting program within the FMCSA safety program and will conduct 325 compliance reviews on carriers applying for HM safety permits. We will conduct research into a methodology for identifying high risk HM shippers, HAZMAT crossing the southern border, service life of cargo tanks, cargo tank design and research to update FMCSA's current HAZMAT Risk assessment tool. FMCSA will also advance the deployment of technologies to detect radioactive materials on trucks by working with the Department of Energy and selected States.

In FY 2008, FMCSA will continue to survey the HAZMAT motor carrier industry to gather

information vital to conduct analyses concerning the safety of the industry. The Agency will initiate a Radioactive Transportation Program to support the transportation of high level radioactive material to a Nevada repository.

We will complete the HM Shipper Prioritization Program and review State Commercial Motor Vehicle Safety Plans to bring uniformity to the HAZMAT programs at the State level. FMCSA will enhance the "FMCSA State HM Program Modal Guidebook" from a follow-up study that determines a State's HM Program develop a reauthorization proposal for HM Safety. FMCSA will reduce the time it takes to process HAZMAT permit applications to 90 days by the end of FY 2008. The Agency will also target a reduction in the number of HAZMAT crashes involving CMVs to no more than 238.

FMCSA also expects to complete the following HAZMAT activities in FY 2008:

- 75 Cargo Tank Facility Reviews;
- 280 HAZMAT Shipper Reviews;
- 2,560 HAZMAT Compliance Reviews (1,940 by Federal Staff, 620 by State officers);
- 325 HAZMAT Compliance Reviews on carriers that apply for HAZMAT Safety Permits;
- 6,300 HAZMAT Package Inspections (6,000 by Federal Staff, 300 by State officers);
- 25 HAZMAT Materials Tests; and,
- 2,500 HAZMAT security operations (a combination of Security Sensitivity Visits and Security Contact reviews).

## Detailed Justification for Research and Technology Program

Research and Technology Program	FY 2008 Request: \$7.6 M
<b>Overview:</b>	
<p>FMCSA's Research and Technology (R&amp;T) program supports the Agency's goals of reducing the number and severity of crashes involving commercial motor vehicles and enhancing the efficiency of commercial motor vehicle operations through:</p> <ul style="list-style-type: none"><li>• Conducting scientific studies; and</li><li>• Adopting, testing, and deploying innovative driver, carrier, vehicle, and roadside best practices and technologies.</li></ul> <p>The Research and Technology program aligns with the Department's and the Research, Innovation and Technology Administration's (RITA) overall program processes through FMCSA's Research Executive Board (REB), which is a review and prioritization process of proposed projects. In developing this budget request, the Board considers DOT, RITA, and FMCSA safety priorities, the DOT and FMCSA Strategic Plans, the DOT and FMCSA R&amp;T Strategic Plans, agency rulemaking plans and activities, as well as input from the most recent stakeholder forums.</p>	
<b>FY 2007 Base:</b>	
<p>The R&amp;T program is focused on significantly improving commercial motor vehicle safety, hazardous material transportation safety, and the effectiveness of FMCSA and State safety interventions. The development of the R&amp;T program is based on the continuous involvement of industry, government, and academic stakeholders, and implementation of FMCSA's R&amp;T 5-Year Strategic Plan (FY 2005-FY 2009).</p>	
<b>Anticipated FY 2007 Accomplishments:</b>	
<p>The R&amp;T program strategic objective "Produce Safer Drivers" supports the FMCSA strategic objective "Commercial Motor Vehicle Safety" and the DOT strategic objective "Safety" by continuing research aimed at understanding and reducing fatigue for commercial drivers, studying driver feedback via on-board monitoring sensors and technologies, developing baseline health statistics for commercial drivers, and evaluating medical examiner performance and associated medical tests. New research will focus on the demonstration of new roadside safety technologies and operational concepts that will improve enforcement, safety, and compliance and will support the enhancement of safety belt use within the trucking industry.</p> <p>The R&amp;T program strategic objective "Improve Safety of Commercial Motor Vehicles" supports the FMCSA strategic objective "Commercial Motor Vehicle Safety" and the DOT strategic objective "Safety" by continuing research aimed at accelerating the deployment of vehicle-based, and other safety and security technologies to reduce crashes. New projects will research the safety impacts of strategies to control the speed of commercial vehicles, improve the securement of cargo, and qualify cargo tanks for high-hazard hazardous materials transport.</p>	

The R&T program strategic objective “Produce Safer Carriers” supports the FMCSA strategic objective “Commercial Motor Vehicle Safety” and the DOT strategic objective “Safety” by continuing the support of a comprehensive safety analysis initiative aimed at improving the safety and effectiveness of FMCSA oversight of carriers. A new project will focus on enforcement of controlled substances and alcohol use.

The R&T program strategic objective “Advance Safety through Information-Based Initiatives” supports the FMCSA strategic objective “Commercial Motor Vehicle Safety” and the DOT strategic objective “Safety” by continuing research aimed at assuring interoperability of systems supporting safety, security, and productivity and providing technical assistance to States, as well as support the activities of the Transportation Research Board. We will initiate a new study focused on serious crashes involving hazardous materials.

The R&T program strategic objective “Improve Security Through Safety Initiatives” supports the FMCSA strategic objective “Hazardous Materials (HM) Security” and the DOT strategic objective “Security” by a new project that analyzes security risk in the routing requirements for hazardous materials shipments.

The R&T program strategic objective “Enable and Motivate Internal Excellence” supports the FMCSA strategic objective “Organizational Excellence” and the DOT strategic objective “Organizational Excellence” by continuing initiatives addressing the President’s Management Agenda for Research through refinement of project evaluation tools, decision models, and metrics, and promoting awareness of outcomes of the R&T program.

Safety is the major priority area supported by FMCSA R&T. In addition, the FMCSA R&T program supports the Secretary’s priorities and cross modal initiatives. The priorities, initiatives, and related FY 2007 R&T projects are listed below:

- Security
  - Security Measures in Routing of Hazardous Materials
- Hazardous Materials Transportation Safety
  - Cargo Tanks in Lethal Service
  - Expansion of Hazardous Materials Serious Crash Analysis
- Partnerships
  - Transportation Research Board Cooperation
- Human Factors Research
  - Chronic Fatigue Mitigation
  - Assessment and Refinement of Fatigue Risk Management program
  - Motorcoach Driver Fatigue
  - On-Board Monitoring Field Operational Test

- Improving Heavy Truck Ergonomics (with NHTSA) to Reduce Fatigue and Improve Driver Health
- Indirect Viewing Systems (with NHTSA)
- New On-Board Safety Technology Countermeasures
- National Advanced Driving Simulator (NADS) Virtual Field Operational Test – Collision Warning System
- Viability of Employing a Simulator in the CDL program
- Adaptive Vehicle Speed Control (with NHTSA and FHWA)
- Safety Belt Countermeasure Device

In addition, FMCSA participates in, but is not requesting FY 2007 funding for, departmental initiatives on global positioning system and hydrogen-fueled vehicles.

**FY 2008 Budget Request:**

For FY 2008, FMCSA requests \$7.6 million. These funds represent a reallocation of resources to support our current FTE as part of the Agency priority for optimization and efficiency. The FTE adjustment is described at more length in the Administrator’s Overview and Detailed Justification of Operating Expenses portions of the budget.

The R&T program strategic objective “Produce Safer Drivers” supports the FMCSA strategic objective “Commercial Motor Vehicle Safety” and the DOT strategic objective “Safety.” The Large Truck Crash Causation Study (LTCCS) identified driver factors as the most important issue contributing to CMV crashes. As a result, in the strategic objective of “Producing Safer Drivers,” FMCSA R&T program will analyze data collected for the LTCCS and the Naturalistic Driving Program to gain a better understanding of the precursors to different crash types and how these crashes can be prevented. Additionally, a separate study will evaluate driver behavior, performance, and outcome differences of high risk and low risk CMV drivers. R&T continues research and development through the Small Business Innovative Research Program (SBIR) program to develop an unobtrusive fatigue monitoring system that can detect and warn drivers who are drowsy or about to fall asleep. R&T will support Secretary Mineta’s efforts to increase the number of CMV drivers who use their safety belts. R&T will explore the development of a low cost, easily installed device to increase safety belt use through the SBIR program. Emphasis on bus/motorcoach safety is a major agency initiative in FY 2008. R&T will support updating the model curriculum for training motorcoach drivers. FMCSA R&T program will continue the CDL 3<sup>rd</sup> Party Testing Anti-Fraud and Employer Notification Service (ENS) project. The CDL 3<sup>rd</sup> Party Testing Anti-Fraud project will result in the development of a software package to be used by State motor vehicle administrations to manage the skills testing portion of the CDL application process and detect and/or deter fraud perpetrated during CDL skills testing activities. The final phase of the ENS project will provide training and administrative assistance to States that will implement the system developed in Phases I and II. This will allow FMCSA to further examine issues related to implementation in specific State information-technology infrastructures. A significant benefit of a national ENS system

will be for carriers to check motor vehicle records for their drivers who have a change in their record instead of the required annual check on all drivers. The Smart Roadside Operations Initiative will focus on the demonstration of new roadside safety technologies and operational concepts that will improve enforcement, safety, and compliance within the trucking industry.

The R&T program strategic objective “Improve Safety of Commercial Motor Vehicles” supports the FMCSA strategic objective “Commercial Motor Vehicle Safety” and the DOT strategic objective “Safety” by continuing research aimed at accelerating the deployment of vehicle-based, and other safety and security technologies to reduce crashes. New projects will research the safety impacts of an all-weather indirect viewing system with 360-degree vision capability, and further the development of the enhanced vision system in Phase III of this ongoing project

The R&T program strategic objective “Produce Safer Carriers” supports the FMCSA strategic objective “Commercial Motor Vehicle Safety” and the DOT strategic objective “Safety” by continuing programs aimed at producing science-based regulations to advance the Agency’s strategic and policy goals. FMCSA research will support rulemaking activities by gathering and consolidating research for inclusion into the Agency’s rulemakings and required analyses.

The R&T program strategic objective “Improve Security Through Safety Initiatives” supports the FMCSA strategic objective “Hazardous Materials Security” and the DOT strategic objective “Security” by continuing work on refining the routing procedures for hazardous materials shipments to take account of both safety and security risks.

The R&T program strategic objective “Produce Safer Carriers” supports the FMCSA strategic objective “Commercial Motor Vehicle Productivity” and the DOT strategic objective “Congestion” by continuing programs to install, test, and evaluate the safety benefits of a State-wide wireless inspection network where CMV drivers’ logs and vehicle fault codes are electronically checked.

The R&T program strategic objective “Advance Safety through Information-Based Initiatives” supports the FMCSA strategic objective “Commercial Motor Vehicle Safety” and the DOT strategic objective “Safety” by continuing programs aimed at assuring interoperability of systems supporting safety, security, and productivity and providing technical assistance to States to enhance them, and support the activities of the Transportation Research Board.

The initiatives included in the FY 2008 FMCSA R&T program have been selected by following the R&D Investment Criteria specified by the Office of Management and Budget, and coordinated within the Department with the Research and Innovative Technologies Administration (RITA). These investment criteria are:

Relevance: This criterion is achieved by following the FMCSA R&T 5-Year Strategic Plan developed with the input of stakeholders from government, industry, and academia,

which is consistent with the strategic goals specified by DOT and FMCSA. From a tactical point of view, the FY 2008 budget request was assembled by using the input of a series of stakeholder meetings and the recommendations of an FMCSA cross-organizational Research Executive Board that reviewed proposed projects and studies based on technical and investment merit. The FY 2008 budget request reflects the recommendations of this Board on what should be funded and how much it should be funded, based on the Agency's and Department's priorities, stakeholders' input, and rulemaking and reauthorization objectives. The execution of the R&T strategic plan covers FY 2005-FY 2009; therefore the expectation is that the activities funded in FY 2008 will be critical in contributing to a reduction of commercial motor vehicle-related crashes, fatalities, injuries, and losses, and enhanced operational efficiency.

Quality: This criterion is achieved by prioritizing the proposed initiatives using a methodology based on the impact the initiative is expected to have on safety, its expected feasibility, and its need for resources. A new, standardized approach to cost-benefit analysis for research recommendations and safety technologies has been drafted and will be piloted in new projects. The results of all influential projects will be independently reviewed by experts and the largest projects will include the contribution of an expert panel. Wherever possible and effective, funds will be allocated competitively and risk will be managed on all initiatives by designing and applying risk mitigation countermeasures documented in the Standard Operating Procedures of the FMCSA Office of Research and Technology.

Performance: This criterion is achieved by using three sets of performance metrics to ensure that projects continue to address the strategic objectives of the DOT, RITA, and FMCSA: output metrics for the different kinds of deliverables produced by specific projects; outcome metrics that evaluate the outcomes of specific projects or of the entire program; and impact metrics which are indicators of changes in commercial vehicle safety and, in general, in the society. An example of such metrics is the number of safety technologies that have been evaluated by the R&T program and are in actual use by carriers and States.

The Office of Research and Analysis has worked to develop an appropriate set of performance measures in FY 2006 and has coordinated our efforts with other research programs and institutions to define measures that are both relevant to FMCSA and DOT and recognized by the research community. Performance will be monitored by using three sets of performance metrics to ensure that projects continue to address the strategic objectives: output metrics for the different kinds of deliverables produced by specific projects; outcome metrics that evaluate the outcomes of specific projects or of the entire program; and impact metrics which are indicators of changes in commercial vehicle safety and, in society in general. An example of such metrics is the number of safety technologies that have been evaluated by the Research and Technology Program and are actually in use by carriers and States.

One of the goals of the R&T program is to support FMCSA's safety mission. A performance metric that will be tracked is R&T's support for the agency mission based

on study completions for a particular fiscal year. On an annual basis R&T completions will be tracked to functional areas within FMCSA's mission that it supported (i.e., policy, rulemaking, enforcement), or for outside stakeholders/customers in outreach effort to improve safety. For instance, this measurement of the outcome of the research is the HM Risk Assessment study which will assess the additional safety risks posed by HM transportation. The outcomes of this research could lead to changes in the SafeStat algorithm, which resulted in better identification of high risk HM carriers.

Relevance, a key element of the President's Management Agenda that the Agency uses to prioritize Research and Development projects, is assured by the means in which the R&T program was developed. The FY 2008 R&T program was developed by an annual call for R&T proposals; proposals vetted and ranked by Research Executive Board (REB). The role of each REB member is to insure that the R&T projects being proposed are relevant to FMCSA's mission. Also relevance is further assured through adherence to the R&T Strategic Plan. The R&T Strategic Plan was developed with internal and external stakeholder input. The R&T Strategic Plan will be updated in FY 2007 to align with the new FMCSA and DOT Strategic Plan. FMCSA plans to track the percentage of projects started, out of the total number of projects identified in the updated R&T Strategic Plan.

Another output metric generally used for R&T programs is overall quality of the program. An assessment of the overall quality of each of the R&T projects will be completed by peer review assessments of whether the R&T projects met the requirements identified in their applicable work statement. Additionally, the Office will begin to track aspects of program management such as the percentage of R&T projects that were completed within budget and on schedule; the percentage of R&T projects that were competitively awarded; and the number of active partnerships agreements with prominent research organizations in the United States and internationally.

In FY 2006 and FY 2007, the above performance metrics will be tracked to establish baseline for FY 2008, and the Office will begin to report targets and goals in FY 2009.

## Detailed Justification for Information Management Program

Information Management	FY 2008 Request: \$33.3 M
<p><b>Overview:</b></p> <p>The Federal Motor Carrier Safety Administration (FMCSA) is a data-driven, citizen-centered organization. Information Management (IM) is the backbone of FMCSA program development, execution and evaluation. The information management program ensures that FMCSA maintains maximum operational effectiveness and efficiency necessary to make safety program decisions, and uses the highest quality data possible to perform sound statistical, economic and environmental analyses.</p>	
<p><b>FY 2007 Base:</b></p> <p>Information Management includes collecting, monitoring and maintaining high quality Federally- and State-reported safety data; IM activities involve analyzing crash, economic, and other data for rulemakings and other agency initiatives. The program requires developing, implementing and maintaining Agency-wide information systems to support regulatory and environmental analyses, enforcement operations, policy and program development, and program effectiveness assessment.</p>	
<p><b>Anticipated FY 2007 Accomplishments:</b></p> <p>The goal of the IM program is to continue to collect timely, accurate, and complete data and to allow for FMCSA and its safety partners to make informed policy, program, and regulatory development and enforcement decisions that will reduce crashes, injuries, and fatalities.</p> <p>In FY 2007, FMCSA will conduct the following initiatives:</p> <ul style="list-style-type: none"><li>• Expand and enhance State safety data quality improvement efforts by providing expert technical assistance and long- and short-term financial assistance by 80/20 matching grants;</li><li>• Provide on-site safety data quality reviews and offsite assessments;</li><li>• Operate and maintain DataQs, an electronic means for filing concerns and requesting corrections to Federal and State data released to the public by FMCSA;</li><li>• Conduct crash data analyses, based on information in the large truck crash causation and the bus crash causation study databases, designed to reduce the number and severity of crashes involving large trucks and buses to enhance capabilities;</li><li>• Conduct economic and environmental analyses for the agency's significant rulemakings;</li><li>• Update program effectiveness reviews to examine the quantitative safety benefits of FMCSA's compliance review program and roadside interventions;</li><li>• Implement the Carrier-Driver Citation Data System and enable driver safety and</li></ul>	

- data extraction for FMCSA's prioritization algorithms, provide commercial driver data to roadside enforcement officers, and support policy and program decisions;
- Implement short term goals of the CSA 2010 program and conduct the initial analysis and design of the Unified Registration System;
  - Complete "to-be" business process and data models and begin work on the design and construction of the COMPASS end-state data base environment, which will enable the consolidation and retirement of FMCSA's legacy systems over the next several years of the COMPASS program;
  - Expand the scope and user base of the single-sign-on, Web services, portal, and reporting capabilities and other foundational technologies deployed in FY 2006; and,
  - Provide high quality technical support of FMCSA information systems for the entire user community.

Specific elements of the IM program also include:

#### COMPASS

When the COMPASS program is completed, FMCSA will have undergone a business transformation, fully aligning its IT operations with its business processes and practices, and will have created a new foundation for subsequent IT enhancements. FMCSA business processes will:

- Leverage data more effectively to facilitate intelligent decision-making;
- Facilitate more timely sharing of data between FMCSA headquarters, field offices, and partner organizations;
- Increase the productivity of field resources and the effectiveness of activities;
- Provide additional management tools focused on effectively scheduling and allocating FMCSA resources to support the mission, and measuring the efficiency of FMCSA processes;
- Provide flexible, configurable workflows that can be tailored to suit the needs of different FMCSA and partner organizations;
- Focus on the customer when interacting with carriers and other industry partners across processes and when providing self-service capabilities; and,
- Support the CSA 2010 business strategies and operational model.

#### Operations and Maintenance

In FY07, the IM program will accommodate the operation and maintenance of FMCSA's systems that will be replaced (or retired) during the period of FY 2006 through FY 2009 by the modernization effort described above, as well as operations and maintenance of the COMPASS components that were implemented in FY 2006. This level of effort will be limited to minimal operations and maintenance support for the current systems, which is expected to decrease significantly over the next several years as the legacy systems are retired and COMPASS is deployed. However, some minimal enhancements may be

required within the current system environment if absolutely essential due to new or changed regulations, policy, and procedures; implementation of short term goals of the CSA 2010 initiative; or the initial analysis and design for the Unified Registration System. COMPASS development would be delayed if the changes are not made within the current system environment. In addition, as COMPASS rolls out components in FY 2007, operations and maintenance associated with COMPASS are included in this initiative. Specifically, operations and maintenance will be conducted on the following systems:

- **Motor Carrier Management Information System (MCMIS) Operations and Maintenance:** Specific operations and maintenance activities include programming resources, operational costs, data entry and data center hosting facilities to process and store records in MCMIS.
- **MCMIS Help Desk and Data Dissemination for Public, FMCSA and Enforcement staff users:** This particular help desk assists the public with questions regarding such concerns as applications for operating authority and USDOT registration, insurance requirements or any issues related to FMCSA's services to the public. Online services to the public and the motor carrier industry have resulted in a greater number of users seeking assistance in using our systems and complying with registration regulations.
- **SAFETYNET Maintenance and Operations / Technical Support for all FMCSA systems:** This category provides for technical support of FMCSA field systems for the entire user community. FMCSA field system applications include MCMIS, SAFER, SAFETYNET, and roadside and investigative systems such as ASPEN, CAPRI, CaseRite, Uniform Fine Assessment, and the rest of the FMCSA custom safety software. Technical support is provided by means of a call center, laptop repair or exchange program, software change notification system and on-line technical support.
- **Roadside and Investigative System Software Development & Support:** This funding will allow FMCSA to operate and maintain all field systems software other than SAFETYNET, including the Roadside Technology Suite, CaseRite, Query Central, Uniform Fine Assessment, and the rest of the custom field safety software that FMCSA provides nationally.
- **Carrier-Driver Citation Data System:** In FY 2007, this initiative will be in an operations mode, in which the data will be extracted and used in FMCSA's prioritization algorithms. This work will also help provide commercial driver data to roadside enforcement officers and will help to support policy and program decisions.

#### Web Development and Maintenance:

In FY 2007, the Web sites currently in place will continue to be migrated over to the COMPASS portal environment to optimize customer access and reduce maintenance costs. This migration and reengineering of existing web sites will continue throughout FY 2007. Continued expansion of government-to-citizen, government-to-business, and government-to-government web sites will likely take place during FY 2007. All major requirements and associated resources for new web site development will be redirected to the COMPASS initiative.

In FY 2007 the IM program will address the day-to-day operations and maintenance support for the main FMCSA website, the KnowZone, Share the Road, and other FMCSA-funded Web sites including managing and posting content, maintaining the compulsory Section 508 compliance, and ensuring that all our web sites and systems have the highest level of IT security. In addition, the funding will allow for the maintenance, expansion and improvement of the Analysis and Information Online (A&I) site.

#### Information Technology Infrastructure:

In FY 2007, FMCSA will have migrated its headquarters back office operations to the DOT common operating environment. However, the back office support for its field staff will still be maintained by FMCSA. FMCSA will continue to operate and improve efficiencies within the infrastructure to ensure that all of FMCSA employees perform their day-to-day work by access to administrative, safety and email systems 24 hours a day, 7 days a week. This funding supports the hardware, software, and wide area networks, which are the primary methods of exchanging safety information among field offices, headquarters, and MCMIS. This project ensures that system interruptions are kept to a minimum through continued maintenance, upgrades, monitoring, and technical support.

#### E-Government/President's Management Agenda Support:

These funds will support the continued expansion and enhancement of the key information resource management processes throughout the agency, including: IT strategic planning, IT capital planning, portfolio management, enterprise architecture, configuration management, IT workforce planning, IT project management, business process documentation, and IT security. IT security will continue to be one of the most critical tasks in the Chief Information Officer's portfolio. In FY 2007, FMCSA will continue to support government-wide E-gov initiatives and Department-wide initiatives, including grants.gov, e-rulemaking, Business Gateway, and E-authentication.

The benefits of the E-Government request are: 1) continued management of our IT portfolio to ensure that our investments are the most sound in meeting the mission of FMCSA, 2) ensure that our information systems are secure from outside threats and our data are accurate and reliable for use by our Federal and State enforcement staff, 3) ensuring that our systems are 508-compliant to make them accessible to anyone, and 4) to continue to support government-wide and department-wide initiatives, including e-authentication and business gateway.

In addition to improving the ability to meet the statistical, economic and environmental analysis requirements of FMCSA's rulemakings and other initiatives, the funding will be used to continue program effectiveness assessments, including updates to the quantitative safety benefits of FMCSA's Compliance Review and Roadside Intervention Models (CRRIM). Additionally, the program will continue development of the Resource Allocation Model, a new management decision support tool to aid FMCSA managers in better understanding the impact of changes in budgets and resource levels on the major safety programs—specifically compliance reviews and roadside inspections.

FMCSA's Data Quality Improvement Program is focused on providing more timely, accurate and consistent information to FMCSA field and headquarters staff as well as State, motor carrier industry and general public users of FMCSA data and analysis. FMCSA has been successful working with the States to improve the timeliness and accuracy of State-reported crash and inspection data to MCMIS, as well as the completeness of crash data.

**Technical Assistance for Safety Data Improvement:**

Improving data quality is one of FMCSA's highest priorities. Because of the Agency's reliance on data to identify unsafe carriers and target them for enforcement action, both the Administrator and the DOT Inspector General have identified the improvement of data quality as an Agency priority. FY 2007 goals include improvement in data quality and successful implementation of the COMPASS information technology modernization project, which directly supports all FMCSA business processes, including CSA 2010, New Entrant, Unified Registration System and many more.

In FY 2007, FMCSA will continue to assist States to improve the timeliness, accuracy and completeness of safety data reported via SAFETYNET to MCMIS. FMCSA will continue to work closely with State partners with the goal that 34 States will meet upload criteria for data submissions; thereby ensuring continual improvement in the timeliness, accuracy and completeness of State-reported motor carrier crash and inspection data. The analysis program will complete at least four offsite State data quality assessments and two of on-site reviews to assess the relative quality of crash and inspection data collection and reporting at the individual State level. FMCSA will complete annual updates to the CRRIM results and, depending on funding availability, will consider revisions to the current methodology based on early CSA2010 outcomes. The Agency will continue development of a resource allocation model.

**FY 2008 Budget Request**

For FY 2008, FMCSA requests \$33.3 million. These funds represent a reallocation of resources to support our current FTE as part of the Agency priority for optimization and efficiency. The FTE adjustment is described at more length in the Administrator's Overview and Detailed Justification of Operating Expenses portions of the budget.

The IM budget is divided into five major components: COMPASS, Systems Operations and Maintenance, E-Government, and Data Analysis.

This request funds the next stage of implementation of COMPASS, although at a slower pace than the original business case presented in the FY 2007 budget. In FY 2008, the COMPASS Program will be transitioning to the very important work included in Release 4 and initiating the work in Release 3. The work included in Release 4 is specific to Regulatory Compliance Monitoring. This release will expand the workflow and rule engine capabilities to include the regulatory compliance monitoring that occurs with company records. This release will also prepare COMPASS for implementation of those CSA 2010 initiatives that are ready to be deployed in FY 2008 and beyond. The target audience for this release will be the program offices, field offices, and operations support teams.

This release will replace much of the daily monitor processing done in MCMIS and L&I, including generation of letters to carriers. Upon completion of this Release, there will be a reduction in legacy systems support as L&I will be discontinued and select functionality within MCMIS will no longer require support.

Also in FY 2008, the COMPASS Program will begin work specific to Release 3. This work will focus on the streamlining and integration of the registration and licensing application. This work was earlier reviewed by the FMCSA Executive Steering Committee which resulted in a feasibility study. The scope of the work will cover changes to the registration and maintenance process and use of existing information to allow for enhanced awareness of both the New Entrant program and a Carrier's requirements pertaining to the program. This will be an expansion to the Carrier portal developed in the COMPASS Pilot and Release 2 by adding the ability to apply and maintain data. This will be implemented using a combination of workflow and rule engine logic. As a result of completion of this work, select functionality within various legacy systems (e.g., MCMIS, L&I, SAFER, EMIS) will no longer be supported.

In FY 2008, legacy systems will be in an operations and maintenance mode, with implementation of enhancements that are required by regulatory, statutory, and policy changes only.

For FY 2008, FMCSA has set a goal for 36 States to achieve green status for timeliness, accuracy, and completeness criteria in the area of data management. This represents a new performance measure for data quality that has been made more stringent from the FY 2007 goals. We will complete at least four offsite State data quality assessments. The program will also complete onsite data quality reviews with at least two States to assess relative quality of crash and inspection data collection and reporting at the individual State level. We will complete annual updates to the CRRIM results or consider revisions to the methodologies based on CSA2010 outcomes. The Agency will continue development of the resource allocation model, with development of a beta version anticipated. We also will complete work on environmental cost of crashes

research.

As a result of its research to estimate the environmental costs of CMV crashes, FMCSA will have a better understanding of the full cost impacts of CMV crashes, most notably crashes involving hazardous materials. Such work will allow for a more robust benefit-cost analysis of FMCSA's rulemakings, which will allow for better decision making. As such, the results of this study also assist the Department with meeting its Environmental Stewardship strategic goals, in that it provides additional data and analysis on freight system impacts that will help the Department reduce impacts to the environment caused by the movement of freight along our transportation network.

*(For a more in-depth description of each IM program area and budget please see the Information Management Appendix, pages 5-21 – 5-43)*

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## Detailed Justification for the Regulatory and Standards Development Program

<b>Regulatory and Standards Development and Oversight</b>	<b>FY 2008 Request: \$9.5 M</b>
<p><b>Overview:</b></p> <p>Regulatory development and oversight provide the foundation for FMCSA’s compliance and enforcement operations. The three functions related to this program are regulatory development, medical qualifications oversight, and evaluation activities. These functions serve as key elements for achieving increased safety by establishing safety standards, improving operator fitness, and strengthening Agency programs through the analysis of program effectiveness.</p>	
<p><b>FY 2007 Base:</b></p> <p>Funding for this program supports contract services and other expenses related to the development of new, amended, and more effective safety regulations and medical standards through the rulemaking, exemption, waiver and pilot program processes, as well as program evaluation studies and other evaluation activities.</p>	
<p><b>Anticipated FY 2007 Accomplishments:</b></p> <p>The Regulatory Development request includes funding for Regulatory Development, Medical Qualifications Oversight, and Evaluation Activities as follows:</p> <p><u>Regulatory Development:</u></p> <p>In FY 2007, FMCSA will use the requested resource level to efficiently manage a large and dynamic roster of active, real-time regulatory projects, in addition to eliminating a much-reduced backlog of old regulatory projects. Beginning in FY 2007, FMCSA will implement two new performance goals regarding the percentage of significant and non significant rulemakings that are processed within 15 days of their targeted submission and completion dates. In addition, FMCSA will continue to work to develop regulatory documents, and continue to improve and streamline its management of these rulemakings by building on the benefit derived from the Congressionally-mandated regulatory ombudsman position. That position currently focuses on moving regulatory documents through the Office of the Secretary and the Office of Management and Budget, and the Agency is exerting these same techniques to the internal movement of rulemakings.</p> <p>In FY 2007, the Agency will continue to issue the final rules under the Congressional mandates in SAFETEA-LU, based on an average 22 month rulemaking schedule. These regulations will enhance FMCSA’s ability to meet Agency goals and will be aligned with our greater focus on driver performance in such areas as medical qualifications of drivers and requirements for obtaining commercial drivers’ licenses. In FY 2007, FMCSA will be able to propose necessary changes to the first set of regulatory programs reviewed under our expected FY 2006 evaluation capability, making FMCSA regulations more</p>	

effective and timely. It is expected that these first early evaluations will include an assessment of the impact of the Agency's important hours of service regulations. While the final rule will have been in effect a little over one year at the start of FY 2007, we would launch this effort late in FY 2007 to maximize data collection available for meaningful analysis regarding the safety impact of the rule. Reviews of the impact of rules on small businesses will also continue, as well as the initiation of any rulemakings to respond to the findings gleaned from these evaluations. As part of its overall regulatory responsibility, FMCSA will continue to support regulations with timely responses to petitions for rulemakings, requests for pilots, exemptions, and waivers, as well as formal interpretations.

#### Medical Qualifications Oversight:

The requested FY 2007 funding would provide for operation of the Agency's Medical Review Board (MRB). The MRB provides FMCSA with expert medical resources for making decisions on the fitness of CMV driver applicants with impairments, and serves as an authoritative and on-site resource of medical expertise to plan, develop and revise the Agency's medical standards. The requested funding would also support implementation of the MRB's comprehensive plan to review and update medical standards for qualifying CMV drivers to reflect the latest medical and scientific knowledge and technologies. FMCSA will reduce the average amount of time to process medical exemption requests to 180 days. The Board will review 30% of all existing medical standards, initial or ongoing, in conjunction with a Medical Rulemaking Plan.

The FY 2007 request for this segment would also fund the ongoing maintenance of FMCSA's National Registry of Certified Medical Examiners (NRCME) and establish a certification and accreditation process. The NRCME will permit the Agency to better monitor the quality, practices, and current licensing status of medical examiners that perform required medical examinations of millions of commercial motor vehicle drivers. Establishment of the registry of qualified medical examiners responds to the National Transportation Safety Board, which issued eight safety recommendations in September 2001 recommending that FMCSA establish comprehensive standards for qualifying medical examiners who conduct drivers' physical qualification examination.

In implementing the MRB and the NRCME, FMCSA will be developing training for medical examiners on a scale never before attempted in any Federal transportation safety administration. These activities will have a substantial impact on millions of commercial motor vehicle drivers and members of the medical community, as well as hundreds of thousands of motor carriers.

A summary of FMCSA's anticipated accomplishments for FY 2007 include:

- Implement the Agency's comprehensive plan to review and update Federal medical requirements (science-based standards) for commercial drivers through the newly created Medical Review Board, completing review of thirteen current medical standards and development of at least two new medical standards;
- Implement the second stage of the NRCME (training and certification program),

completing the medical examiner curriculum and test development, and beginning the formal accreditation process;

- Revise and develop the model Skill Performance Evaluation Certificate program, using the performance-based, field-driven model;
- Complete the final regulatory action on merging the medical certification process with the CDL licensing process<sup>1</sup>; and,
- Provide streamlined technical support functions and educational outreach activities (using web-based and enhanced communication strategies) for the public and the Agency.

Evaluation Activities:

For FY 2007, FMCSA requests \$1.5 million for evaluation activities, which primarily represents a realignment of existing resources from the Information Management program.

With regard to the FMCSA’s evaluation activities, the Agency will continue to expand its capabilities for critically examining the impact of its rules and program efforts by continuing to enhance current activities and adding additional functions in FY 2007 and beyond. The outcome of these broad evaluations and assessments provide critical information that help program managers adjust strategies, evaluate resource investments, and if needed, refocus effort. These activities are vital to ensure the Agency’s efforts are yielding improved outcomes. These evaluation activities are summarized in table 3A-1 below.

As summarized in Table 3A-1, below, FMCSA, recognizing the merit in systematically reviewing its program performance, plans to steadily increase its program evaluation capability. In FY 2007, the Agency will add Project Management Oversight functions, as further detailed below.

Table 3A-1

Evaluation Activity	FY 2006 Plans <sup>1</sup>	FY 2007 Plans <sup>1</sup>
<b>Program Evaluation</b>	<ul style="list-style-type: none"> <li>• Compliance Review Impact Model</li> <li>• Roadside Impact Model</li> <li>• PRISM Program</li> <li>• SafeStat</li> <li>• Performance Linkages</li> </ul>	<ul style="list-style-type: none"> <li>• Compliance Review Impact Model</li> <li>• Roadside Impact Model</li> <li>• MCSAP Grants</li> <li>• Information Management Program</li> <li>• CVISN Program</li> </ul>

<sup>1</sup> Relates to NTSB recommendations H-01-17 through H-01-24; and, OIG MCSIA follow-up audit (ongoing).

<b>Quality Assurance (QA) Reviews</b>	<ul style="list-style-type: none"> <li>• Develop program plan and guidance</li> <li>• Pilot Review of Border Operations</li> </ul>	<ul style="list-style-type: none"> <li>• Enforcement Case Processing</li> </ul>
<b>Regulatory Effectiveness Reviews</b>	<ul style="list-style-type: none"> <li>• Develop program plan and guidance</li> <li>• Minimum Levels of Financial Responsibility for Motor Carriers</li> </ul>	<ul style="list-style-type: none"> <li>• Qualifications of Drivers</li> </ul>
<b>Project Management Oversight</b>	N/A	<ul style="list-style-type: none"> <li>• Develop program content</li> </ul>

<sup>1</sup> Specific topics to be evaluated are determined annually by senior managers based on safety criticality and other criteria. The selected topics are subject to change based on the Administrator's priorities.

Existing -- Evaluation functions:

- Program Evaluations – In FY 2007, FMCSA will complete its annual evaluations of the Agency's Compliance Review and Roadside Inspection/Traffic Enforcement programs. In addition, FMCSA will initiate three new program evaluations to assess the contribution, value, and/or impact of the Agency's programs toward accomplishment of their stated objectives.
- Quality Assurance (QA) Reviews – In response to an OMB recommendation resulting from a FY 2004 Program Assessment Rating Tool (PART) Evaluation of FMCSA's Operations and Programs, FMCSA developed procedures, guidelines, and processes to implement an Agency-wide long range Quality Assurance (QA) Review Program to ensure Agency programs and practices are consistent, standardized, and are applied in a uniform and timely manner. Recurring yearly Quality Assurance Reviews provide management a comprehensive and systematic evaluation of FMCSA's activities to see if they are structured and implemented in a consistent fashion. In FY 2007, FMCSA will conduct one new Quality Assurance Review to assess the consistency of selected agency processes and procedures.

- Regulatory Effectiveness Reviews – In response to an OMB recommendation resulting from a FY 2004 PART Evaluation of FMCSA’s Operations and Programs, FMCSA developed methodologies, guidelines, and procedures to implement an Agency-wide long range Regulatory Effectiveness Review Program. The Regulatory Effectiveness Program will provide management officials with a comprehensive and recurring review of Agency Regulations that evaluate their timeliness and effectiveness in achieving Departmental and Agency goals and objectives. In FY 2007, FMCSA plans to conduct an assessment of 49 CFR Part 383 regarding the qualification of drivers.

New Start -- Evaluation Functions for FY 2007:

Project Management Oversight – In FY 2007, FMCSA will establish a Project Management and Oversight function to critically assess Agency investment decisions, document best project management practices across the organization, coordinate communications, and monitor the performance of significant projects to ensure they are on schedule, are properly managed and stay within budgetary levels. This new function is being funded from reallocation of existing resources.

### **FY 2008 Budget Request**

For FY 2008, FMCSA requests \$ 9.5 million. These funds represent a reallocation of resources to support our current FTE as part of the Agency priority for optimization and efficiency. The FTE adjustment is described at more length in the Administrator’s Overview and Detailed Justification of Operating Expenses portions of the budget. Based on anticipated funding and activities, FMCSA will achieve the following accomplishments for this performance element:

#### Regulatory and Standards Development:

In FY 2008, FMCSA will close out the backlog of pending regulatory actions from FY 2002 (a total of 43 actions). Some of the primary areas of concentration in the regulatory and standards arena in FY2008 will be a speed management activity, the National Agenda for Bus and Truck Safe Drivers, Plain-English Driver Assistance Literature (PEDAL), ongoing regulatory and policy development as well as subject-matter guidance and outreach to stakeholders and partners. FMCSA will propose changes to regulatory programs reviewed under our evaluation capability to make FMCSA regulations more effective and timely. FMCSA will continue to achieve two new performance goals to increase the percentage of significant and non significant rulemakings that are processed within 15 days of their targeted submission and completion dates.

FMCSA will have a large regulatory and standards development workload in FY 2008 including:

- Publishing a final rule on Grade Crossing Clearance Space;
- Publishing NPRMs on CMV brake maintenance, periodic inspection, stopping distances and accessibility equipment;
- Publishing Sensor Study Reports on Mini-Field Operations Test and Special Topics;
- Publishing an ANPRM on driver indirect vision (mirrors, etc.);
- Beginning activities for follow-on cargo securement study;
- Contributing to DOT Speed Management Team activities;
- Completing Phase II of the National Agenda for Bus and Truck Safe Drivers;
- Implementing provisions of the Plain-English Driver Assistance Literature (PEDAL) program regarding 49 CFR Part 390 issues; and,
- Analyzing and proposing revisions for all FMCSA regulatory guidance involving 49 CFR Part 390.

#### Medical Oversight:

In FY 2008, FMCSA will appoint additional MRB members, renew the MRB charter, and convene the MRB to continue their review of medical standards. FMCSA will reduce the average amount of time to process medical exemption requests to 175 days. By the end of FY 2008, we will analyze 70% of FMCSR medical standards and guidelines, completing a minimum of five comprehensive and expedited reviews. FMCSA will add Occupational Health and Safety Specialists or Occupational Health Clinicians to support medical exemption and certificate program transition, initially at headquarters. We will develop the long-term schedule of research and evaluation activities to support the medical program.

#### **Medical Standards, Research and Technical Support:**

FMCSA will implement the new rulemaking action-plan for FMCSR medical standards, a coordinated plan to integrate rulemaking actions, medical program and enforcement programs. We will conduct five medical research proceedings. FMCSA will also evaluate the telephone call center, including a program targeted toward drug/alcohol issues.

#### **Key Partnerships:**

FMCSA will partner with other organizations to successfully implement the driver medical oversight activities. We will conduct an American College of Occupational and Environmental Medicine (ACOEM) Visiting Scholar program and complete one priority research project. The Agency will support CDC NIOSH research collaboration in completing one priority research project. We will lead a national scientific meeting that focuses on CMV health standards, policies and emerging issues and establish at least three new partnerships to collaborate on CMV driver health and safety issues.

### **National Registry**

FMCSA will publish the National Registry Final Rule in FY 2008, as required by SAFETEA-LU. We will conduct a public meeting regarding the National Registry program and develop a long-term plan for the Registry. FMCSA will finalize the FMCSA Medical Examiner test and curriculum, and begin testing and training. The Agency will establish the network of accredited organizations that will provide testing and training and develop a Medical Examiner Handbook. We will complete the Role Delineation Study, and Medical Examiner Performance Study.

### **Exemption and Certificate Program**

FMCSA will implement the Federal vision exemption program model. We will also implement a revised Federal Vision standard. In response to Congressional directives in SAFETEA-LU, we will implement program improvements, including fair and effective eligibility criteria, outcome measures and technological solutions (e.g. web-based application process). FMCSA will conduct regular teleconferences with Agency medical specialists in the States and convene regular skill performance evaluation (SPE) program meetings. We will complete the Federal SPE program evaluation and implement long-term SPE program improvement plan for the Agency, maximizing web-based solutions.

### Evaluation Activities:

FMCSA will conduct the second annual Senior Leaders Planning Retreat to continue to define Agency priorities in order to determine resource requirements, set programmatic goals and begin development of the reauthorization. FMCSA will begin development of an electronic tracking system to monitor multiple project milestones and cross-relate activities to allow management to leverage resources more appropriately.

FMCSA will initiate an Organizational Assessment capability to examine the organization of FMCSA offices and divisions to determine whether they are organized in the most efficient manner, and whether the existing resources could be realigned for better performance. This supports the Administrator's priority to "optimize organizational structure and increase organizational efficiency." After five years as an Operating Administration within DOT, FMCSA needs to take a comprehensive look at its own organizational structure, workforce needs and lines of business. The Agency is still working under the original structure set in place when we transitioned from an Office within FHWA to a separate operating administration. The assessment will function similarly to a program evaluation, but will look at the performance of the organization itself, rather than individual programs.

With regard to the FMCSA's evaluation activities, the Agency will continue to expand its capabilities by continuing to enhance current activities and adding additional functions in FY 2008 and beyond. The outcome of these broad evaluations and assessments provide critical information that help program managers adjust strategies, evaluate resource investments and refocus effort. These activities are vital to ensure the Agency's efforts are yielding improved outcomes. These evaluation activities are summarized in Figure 4F-7 below.

Figure 4F-7

Evaluation Activity	FY 2007 Plans <sup>1</sup>	FY 2008 Plans <sup>1</sup>
<b>Program Evaluation</b>	<ul style="list-style-type: none"> <li>• Compliance Review Impact Model</li> <li>• Roadside Impact Model</li> <li>• Information Management Program</li> <li>• CVISN Program</li> </ul>	<ul style="list-style-type: none"> <li>• Compliance Review Impact Model</li> <li>• Roadside Impact Model</li> <li>• Information Management Program</li> <li>• CVISN Program</li> <li>• New Entrant Safety Audits</li> </ul>
<b>Quality Assurance (QA) Reviews</b>	<ul style="list-style-type: none"> <li>• Enforcement Case Processing</li> <li>• Travel Card Procedures</li> </ul>	<ul style="list-style-type: none"> <li>• Purchasing Procedures</li> </ul>
<b>Regulatory Effectiveness Reviews</b>	<ul style="list-style-type: none"> <li>• Qualifications of Drivers</li> </ul>	<ul style="list-style-type: none"> <li>• Hours of Service</li> </ul>
<b>Project Management Oversight</b>	<ul style="list-style-type: none"> <li>• Develop program content</li> </ul>	<ul style="list-style-type: none"> <li>• Develop Project Milestone Tracking System</li> </ul>
<b>Organizational Assessment</b>	<ul style="list-style-type: none"> <li>• Begin Collecting Baseline Findings from Previous Program Evaluations</li> </ul>	<ul style="list-style-type: none"> <li>• Conduct 1-year Organizational Assessment</li> </ul>

<sup>1</sup> Specific Topics to be evaluated are determined annually by senior managers based on safety criticality and other criteria.

As summarized in Figure 4F-7 above, FMCSA plans to steadily increase its program evaluation capability. In FY 2008, the Agency intends to add Organizational Assessment capabilities to its overall evaluation capabilities, as further detailed below.

Existing -- Evaluation functions:

- Program Evaluations – In FY 2008, FMCSA will complete its annual evaluations of the Agency’s Compliance Review and Roadside Inspection/Traffic Enforcement programs. In addition, FMCSA will continue two evaluations and initiate one new program evaluation to assess the contribution, value, and/or impact of the Agency’s programs toward accomplishment of their stated objectives.

- Quality Assurance (QA) Reviews – In response to an OMB recommendation resulting from a FY 2004 PART Evaluation of FMCSA’s Operations and Programs, FMCSA developed procedures, guidelines, and processes to implement an Agency-wide long range Quality Assurance (QA) Review Program to ensure Agency programs and practices are consistent, standardized, and are applied in a uniform and timely manner. Recurring yearly QA Reviews provide management a comprehensive and systematic evaluation of FMCSA’s activities to see if they are structured and implemented in a consistent fashion. In FY 2008, FMCSA will conduct one new QA Review to assess the consistency of selected agency processes and procedures.
- Regulatory Effectiveness Reviews – In response to an OMB recommendation resulting from a FY 2004 PART Evaluation of FMCSA’s Operations and Programs, FMCSA developed methodologies, guidelines, and procedures to implement an Agency-wide long range Regulatory Effectiveness Review Program. The Regulatory Effectiveness Program will provide management a comprehensive and recurring review of Agency Regulations that evaluate their timeliness and effectiveness in achieving Departmental and Agency goals and objectives. In FY 2008, FMCSA plans to initiate one new Regulatory Effectiveness Review.
- Project Management Oversight – In FY 2008, FMCSA will establish a Project Management and Oversight function to critically assess Agency investment decisions, document best project management practices across the organization, coordinate communications, and monitor the performance of significant projects to ensure they are on schedule, are properly managed and stay within budgetary levels.

New Start -- Evaluation Functions for FY 2008:

- Organizational Assessment – In FY 2008, FMCSA will establish an Organizational Assessment capability to review and optimize the organizational structure across the agency, ensuring that the structure remains lean and comports to modern accepted business practices. This new function is being funded from reallocation of existing resources.

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## Detailed Justification for Outreach and Education Program

Outreach and Education	FY 2008 Request \$4 M
<p><b>Overview:</b> FMCSA conducts outreach and education activities as an effective countermeasure strategy to reduce fatalities, injuries and crashes involving commercial motor vehicles. FMCSA works with public and private sector organizations and other Federal agencies to promote the safe operation of commercial motor vehicles (CMVs) and prevent crashes. Outreach and education activities are a countermeasure that is intended to increase public and industry awareness of large truck and bus safety issues. This increased public and industry awareness enhances the effect of the Agency's compliance and enforcement activities, as well as the effect of other key strategies of FMCSA and its partner organizations.</p>	
<p><b>FY 2007 Base:</b> FMCSA's Outreach and Education Program provides funding for targeted campaigns to improve large truck and bus safety, often conducted in conjunction with other safety partners such as the National Highway Traffic Safety Administration and State highway agencies, and provides consumer information related to household goods (HHG) movers to prevent moving fraud.</p>	
<p><b>Anticipated FY 2007 Accomplishments:</b>            In FY 2007, FMCSA/NHTSA will build on direction provided by Congress as a result of Government Accountability Office (GAO) reviews, by improving the results of the Agency's outreach and education activities. While the Agency has made gains through its traditional education and outreach activities, the program and message will be more aggressively applied to clearly identified target groups if we are to reach the next level of safety improvements.</p> <p>Education and outreach will be key elements in improving the effectiveness of enforcement and other programs in FY 2007 and beyond. In order to achieve this, FMCSA will use lessons learned from the National Highway Traffic Safety Administration (NHTSA), States and other organizations with more robust outreach programs. Anticipated accomplishments of the FMCSA improved outreach and education program include:</p> <p><u>Implement Coordinated Outreach and Education Strategy:</u> FMCSA will develop and implement an overall strategy to engage key national organizations and their State and local affiliates in promoting CMV safety. The Agency will develop specific outreach strategies to identify "gatekeepers of target populations" to implement programs that are designed to have the maximum impact on target audiences. This strategy will be designed in coordination with key Federal, State, local governments and private partners to take advantage of shared goals and multiply the reach of existing resources.</p> <p><u>Conduct Targeted Outreach:</u> In conjunction with partner organizations, FMCSA will identify specific safety problems and conduct targeted outreach activities to address these problems. These priority program areas include:</p> <ul style="list-style-type: none"> <li>• Ticketing Aggressive Cars and Trucks (TACT) enforcement model in two States with high CMV fatality rates.</li> </ul>	

- CMV Safety Belt Partnership Program - A joint program with NHTSA and FMCSA. In order to demonstrate an increase in CMVs safety belt usage rate by 10 percent between 2006 and 2009, FMCSA plans to carry out new safety belt usage outreach and education activities targeted to targeted sub-groups that do not currently use safety belts. By the end of FY 2007, FMCSA hopes to achieve a safety belt usage rate of 59% among CMV drivers.
- HHG Consumer Information Program – FMCSA will increase consumer awareness of their rights and responsibilities before a household goods move in interstate commerce.
- Partner with the U.S. Postal Service to reach nearly 15 million consumers planning to move with FMCSA’s moving fraud prevention message.
- Launch an education and outreach HHG campaign during the 2007 moving season.
- Work with GSA to distribute 50,000 HHG brochures through its Federal Citizen Information Center.

Improve Oversight: A May 2003 GAO report recommended that FMCSA develop a systematic strategy for evaluating the outcomes of its outreach and education programs. In response, FMCSA will measure the effectiveness of its activities each time the Agency conducts an education or outreach initiative. In this way, FMCSA can ensure that individual programs are having the desired effect and reaching the intended audience(s).

Support the Public: In FY 2007, FMCSA will also continue its outreach initiative that communicates threat characteristics, security tips, procedures, and advice to CMV drivers, carriers, and law enforcement agencies. As the Hazardous Materials Permitting Program’s security initiatives continues to develop, effective outreach efforts will be required to inform Federal, State, and industry of developments to the program. In addition to discussing security during on-site visits (SSVs or SCRs), FMCSA’s outreach will:

- Communicate immediately with 300,000-500,000 drivers to alert them of security threats or changes in the security status;
- Communicate changes in security status immediately to 10 major trucking and hazardous materials industry associations and within 24 hours to 3,500-5,000 companies that transport extremely hazardous materials; and
- Reach over 1,000 industry representatives through speeches and presentations.

**FY 2008 Budget Request:**

For FY 2008, FMCSA requests \$4 million. FMCSA will roll out the Ticketing Aggressive Cars and Trucks (TACT) Program in selected States with the highest fatality and crash rates to demonstrate the effectiveness of combining high-visibility enforcement with education, communications, and evaluation. We will print and disseminate the TACT “How to Guide” on a national level for all MCSAP States.

FMCSA will continue to conduct a National Occupant Protection Use Survey (NOPUS) with

NHTSA to measure safety belt use among CMV drivers in order to measure the effectiveness of the CMV Driver Safety Belt Program. FMCSA will highlight the CMV safety belt outreach and enforcement activities during RoadCheck 2008. The International RoadCheck promotes truck and bus safety and security in North America. The annual 72-hour International RoadCheck focuses on the year-round commercial vehicle and driver roadside inspection program and draw the public's attention to the continuous and combined efforts of law enforcement and the truck and bus industries to save lives on North American highways.

FMCSA will continue the CMV Safety Belt Partnership for development and dissemination of outreach material and strategies in order to increase CMV safety belt usage. The Agency will continue to translate designated outreach materials into Spanish.

FMCSA will work with the local Smooth Operator team to facilitate networking and establishing and creating public-private partnerships with organizations actively involved in traffic safety to reduce crashes.

FMCSA will continue to research, design and develop education and training materials concerning passenger safety for bus companies and their drivers in response to congressional mandates and National Transportation Safety Board's (NTSB) recommendations.

FMCSA will continue its efforts to reach out to those motor carriers, drivers and shippers throughout the country who have not registered to operate in interstate commerce with FMCSA. This population is referred to as "non-entrants". FMCSA is committed to addressing the issue of "non-entrants" by identifying these carriers; alerting carriers of the safety and compliance requirements; and improving compliance and enforcement efforts on carriers that fail to register. We will develop and disseminate outreach materials for the Safety is Good Business: Non-Entrants Program to targeted audiences and assess the effectiveness of the Non-Entrants Program through program measurement and evaluation activities. In addition, FMCSA will monitor and upgrade the "Non-Entrants" tracking database for unregistered CMV carriers to improve FMCSA's compliance and enforcement efforts.

FMCSA will update the Mexican Motor Carrier Training website and work with Mexican Certified Trucking Schools and Training Centers referred in Mexico as the "Registro de Centros de Capacitación" to disseminate outreach and education materials to Mexican motor carriers and drivers to assist them in understanding US regulatory requirements.

FMCSA will also continue to develop and implement educational and outreach materials in support of FMCSA's Medical Examiner's Program to assist medical examiners in understanding the regulations and requirements for driver medical qualifications.

We will conduct in-depth program evaluations of the CMV Safety Belt Usage Improvement Program and Passenger Carrier Safety Program, including the Web sites.

FMCSA will measure the performance of outreach and education initiatives by achieving

72% positive scores on customer satisfaction survey results of the FMCSA Share the Road Safely, CMV Safety Belt and Passenger Safety websites. In FY 2008, we plan to see a 15% increase in web site visits. As a result of outreach and education activities, FMCSA's goal is to achieve a rate of 62% safety belt use among CMV drivers.

## Detailed Justification for CMV Operator’s Grants Program

<b>CMV Operator’s Grants</b>	<b>FY 2008 Request: \$1 M</b>
<p><b>Overview:</b>            The Federal Motor Carrier Safety Administration (FMCSA) has been directed by the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) to establish a grant program for training operators of commercial motor vehicles in the safe use of such vehicles.</p>	
<p><b>FY 2007 Base:</b>            This is a new program that was established through the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). The initial budget in FY06 was \$1 million.</p>	
<p><b>Anticipated FY 2007 Accomplishments:</b></p> <p>In accordance with the SAFETEA-LU legislation, this program is being funded from a set aside of administrative expenses in the operations account. FMCSA will conduct reviews of the FY06 recipient(s) to ensure that funds are being used according to the established criteria. Continued improvement will be made to the program as best practices and lessons learned are collected.</p> <p>The grant will be coupled with other FMCSA CDL-related activities to ensure that the Agency’s goals for safety improvement are met through the training provided by the grantee(s).</p>	
<p><b>FY 2008 Budget Request</b></p> <p>For FY 2008, FMCSA requests \$1 M for CMV Operator’s Grants. This grant funding will be taken from the Agency’s Motor Carrier Safety Operations and Programs Appropriation for Federal operations and distributed as a grant in accordance with the provisions of SAFETEA-LU.</p> <p>In FY 2008, this grant program will be used to train operators and future operators in the safe use of commercial motor vehicles. FMCSA will distribute this grant funding to qualified applicants in accordance with criteria established by the Agency that address FMCSA’s priority areas for training to meet the Agency’s long term safety goals.</p>	

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**Explanation of Funding Changes (from FY2007 PB) for  
Motor Carrier Safety Operations and Programs**  
[Includes both non discretionary changes and new or expanded programs as  
identified in Summary Exhibit IV]

<b>Motor Carrier Safety Operations and Programs</b>	<b>\$5.0 M</b>
<p><b>Overview:</b> As described in further detail below, the primary reason for the increase in this program is related to Operating Expenses that is required to allow FMCSA to meet its performance goals related to erasing the present inequity in field positions, and to initiate two new programs recommended by OMB PART Analysis: 1) a new Agency Quality Assurance Program, and 2) a new post-publication Regulatory Evaluation program.</p>	
<b>Operating Expenses</b>	<b>\$20.6 M</b>
<p>The requested increase for Operating Expenses includes current services (inflation) changes of \$4.3 million for statutory pay raises and operating expenses, plus \$16.3 million in program increases for recalculation of PC&amp;B and mandatory costs like GSA Rent, Working Capital Fund, Departmental charges, and support agreements with other agencies.</p> <p>This request does not include the annualization of 11 FTE of the 22 approved positions for support of SAFETEA-LU initiatives funded half year in FY 2007. The annualization of these positions is not requested in FY 2008 because FMCSA reassessed its personnel distribution and determined that the annualization of these positions could be met by the reallocation of existing FTE. This action will provide the necessary support for initiatives mandated by SAFETEA-LU and stay within the authorization limits set by SAFETEA-LU without increasing personnel costs further than they have already increased in recent years. This reallocation is part of FMCSA’s ongoing strategy to modernize and optimize operational effectiveness; and to support the Agency’s FY 2008 priority to optimize organizational structure and increase organizational efficiency. In reviewing our current organizational structure and associated FTE costs, FMCSA determined that we made substantial progress in filling the many vacancies that had existed since the agency’s formation six years ago. The hiring of almost 100 FTE in FY 2005-2006 brought the Agency out of a deficit in much needed personnel. However, the hiring of these personnel and the adjustment of the grade structure in the field that occurred in FY 2004 resulted in an increase in the Pay, Compensation and Benefits (PC&amp;B) account as reflected in this FY 2008 budget request. Rather than further increase personnel costs by requesting the annualization of the 11 FTE in FY 2008, FMCSA will reallocate existing FTE to perform the required functions.</p>	

<p><b>Research and Technology</b></p> <p>This decrease in program funding represents a reallocation of resources to support our current FTE as part of the Agency priority for optimization and efficiency. The FTE adjustment is described at more length in the Administrator’s Overview and Detailed Justification of Operating Expenses portions of the budget.</p>	<p>-\$2.7 M</p>
<p><b>Information Management</b></p> <p>This decrease in program funding represents a reallocation of resources to support our current FTE as part of the Agency priority for optimization and efficiency. The FTE adjustment is described at more length in the Administrator’s Overview and Detailed Justification of Operating Expenses portions of the budget.</p>	<p>-\$9.8 M</p>
<p><b>Regulatory Development</b></p> <p>This decrease in program funding represents a reallocation of resources to support our current FTE as part of the Agency priority for optimization and efficiency. The FTE adjustment is described at more length in the Administrator’s Overview and Detailed Justification of Operating Expenses portions of the budget.</p>	<p>-\$3.0 M</p>

## PERFORMANCE OVERVIEW

### Annual Performance Results and Targets

FMCSA integrates performance results into its budget request to demonstrate alignment with the Department of Transportation's Strategic Plan. FMCSA tracks the following DOT level performance measures to demonstrate program results in support of both of FMCSA's appropriation's accounts:

Strategic Objective: Reduce fatalities involving large trucks and buses to no more than .160 per 100 million vehicle-miles of travel by the end of 2011.

Large Truck and Bus Fatality Rate per 100 M VMT	2005	2006	2007	2008
Target Rate	n/a	.179	.175	.171
Actual Rate	.184	.183(p)		

(p) Projected

Strategic Objective: Reduce the number of serious hazardous materials incidents in transportation.

Number of serious hazardous materials incidents in transportation	2003	2004	2005	2006	2007	2008
Target	515	509	503	470	466	TBD
Actual	539(r)	537(r)	558*			

(r) Revised

\* Preliminary Estimate

Detailed performance budget information can be found in Section 4 of the budget submission.

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### Program Assessment Rating Tool (PART) Assessment

PART was developed by the Office of Management and Budget to provide a standardized way to assess the effectiveness of the Federal Government's portfolio of programs. The structured framework of PART provides a means through which programs can assess their activities differently than through traditional reviews. The following FMCSA programs have been assessed via the PART:

<u>Program</u>	<u>PART Cycle</u>	<u>Score</u>	<u>OMB Assessment</u>
FMCSA Operations & Programs	FY-06	73	Moderately Effective

FMCSA Operations & Programs Analysis: FMCSA's Operations and Programs activities support the agency's administrative infrastructure, including safety enforcement and regulatory development. FMCSA has provided detailed performance information demonstrating continued reductions in motor carrier fatalities; however, the organization has not reached its annual targets in several key performance areas. Additional findings include:

- FMCSA's goal of reducing motor carrier-related fatalities directly links to the Department of Transportation's primary goal of improving transportation safety. FMCSA has set ambitious long-term targets for its goal of reducing motor carrier fatalities.
- FMCSA is successful in coordinating its efforts to improve highway safety with other Federal agencies contributing to the same goal, including the Federal Highway Administration and the National Highway Traffic Safety Administration.
- FMCSA has difficulty demonstrating how its regulatory activities contribute to reaching its safety goal.

OMB Recommendation #1: Develop and implement a comprehensive and recurring Regulatory Evaluation program. This program will provide a comprehensive review of Agency Regulations to evaluate their timeliness and effectiveness in improving Agency performance.

Actions taken: Completed - FMCSA implemented a new Regulatory Evaluation Program in FY 2005. This is now an ongoing program for the Agency.

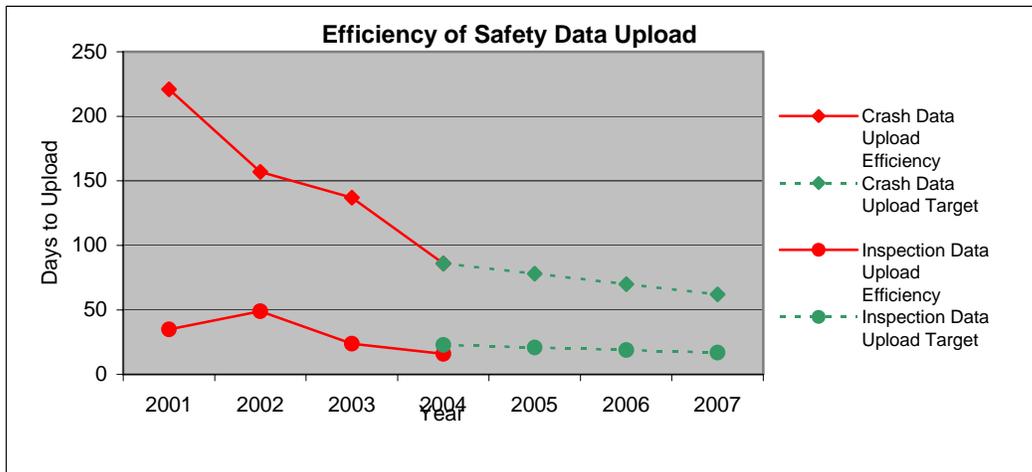
OMB Recommendation #2: Develop and implement a comprehensive Quality Assurance Program to ensure Agency programs and practices are consistent, standardized, and applied in a timely manner

Actions taken: Completed - FMCSA implemented a new Quality Assurance (QA) Program in FY 2005. This is now an ongoing program for the Agency.

**Efficiency Measures:** In response to PART Recommendations, FMCSA developed two Efficiency Measures:

FMCSA Efficiency Index	
Year	Actual
1997	-0.13
1998	0.88
1999	1.99
2000	2.73
2001	2.84
2002	3.16
2003	3.57
2004	3.11
2005	2.71

1. FMCSA’s Efficiency Index: FMCSA has developed an index measure of how efficient agency operations are at saving lives. FMCSA’s goal is to increase the number of lives saved as compared with a 1996 baseline (consistent with the agency’s and DOT’s CMV safety performance goal), adjusted each succeeding year for increases in Truck Vehicle Miles Traveled (TVMT). The efficiency index compares the change in annual lives saved in large truck-related crashes with the change in FMCSA’s overall yearly budget. Higher numbers represent increased efficiency and lower numbers represent decreased efficiency.



2. Efficiency of Safety Data Upload: To improve efficiency of agency operations, FMCSA works with States to improve timeliness of truck and bus crash and inspection data, reducing the number of days to upload State data to MCMIS. As recently as 2002, it took nearly 50 days, on average, for inspection data to be uploaded, and more than 150 days for the upload of crash data. Since 2002, FMCSA has worked with State partners to emphasize the importance of improved upload efficiency, reducing the cycle times for inspection data over 50 percent and for crash data over 30 percent.

FY 2008

**FMCSA**

**BUDGET**

**by**

**APPROPRIATION**

**ACCOUNT**

**Section 3B**

**Motor Carrier  
Safety Grants**



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**FISCAL YEAR 2008 PERFORMANCE BUDGET ESTIMATES  
SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**  
*Trust Funds*  
**MOTOR CARRIER SAFETY GRANTS**  
*(LIQUIDATION OF CONTRACT AUTHORIZATION)*  
*(LIMITATION ON OBLIGATIONS)*  
*(HIGHWAY TRUST FUND)*

For payment of obligations incurred in carrying out sections 31102, 31104(a), 31106, 31107, 31109, 31309, 31313 of title 49, United States Code, and section 4126 and 4128 of Public Law 109-59, \$300,000,000, to be derived from the Highway Trust Fund (other than the Mass Transit Account) and to remain available until expended: Provided, That none of the funds in this Act shall be available for the implementation or execution of programs, the obligations for which are in excess of \$300,000,000, for "Motor Carrier Safety Grants"; of which \$202,000,000 shall be available for the Motor Carrier Safety Assistance Program to carry out section 31102 and 31104(a) of title 49, United States Code; \$25,000,000 shall be available for the Commercial Driver's License Improvements program to carry out section 31313 of title 49, United States Code; \$32,000,000 shall be available for the Border Enforcement grants program to carry out section 31107 of title 49, United States Code; \$5,000,000 shall be available for the Performance and Registration Information System Management program to carry out section 31106(b) and 31109 of title 49 United States Code; \$25,000,000 shall be available for the Commercial Vehicle Information Systems and Networks Deployment program to carry out section 4126 of Public Law 109-59; \$3,000,000 shall be available for the Safety Data Improvement program to carry out section 4128 of Public Law 109-59; and \$8,000,000 shall be available for the Commercial Driver's License Information System Modernization program to carry out section 31309(e) of title 49, United States Code.



## MOTOR CARRIER SAFETY GRANTS

### Summary Analysis of Change from FY 2007 Pres. Budget to FY 2008 (\$000)

Item	Change from FY 2007 to FY 2008	Appropriation Total
<b>FY 2007 BASE</b>		
<b>Motor Carrier Safety Grants</b>		<b>\$297,502</b>
<b><i>Adjustment to Base</i></b>		
MCSAP	\$832	
CDL Improvement	\$550	
Border Enforcement	\$704	
PRISM	\$110	
CVISN	\$550	
Safety Data Improvement	\$66	
CDLIS	\$154	
<b>Subtotal Adjustments To Base</b>		<b>\$2,966</b>
 <b><i>New or Expanded Programs</i></b>		
MCSAP	\$666	
CDL Improvement	-\$550	
Border Enforcement	-\$704	
PRISM	-\$110	
CVISN	-\$550	
Safety Data Improvement	-\$66	
CDLIS	\$846	
<b>Subtotal Adjustments To Base</b>		<b>\$- 468</b>
 <b>TOTAL Adjustment To Base</b>		<b>\$2,498</b>
 <b>FY 2008 REQUEST</b>		<b>\$300,000</b>

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## Detailed Justification for the MCSAP Grants Program

<b>MCSAP Grants</b>	<b>FY 2008 Request: \$202 M</b>
<b>Overview:</b>  FMCSA's Motor Carrier Safety Assistance Program (MCSAP) adds to State resources to reduce the incidence and severity of commercial motor vehicle crashes by supporting and enhancing State commercial motor vehicle safety enforcement, technology deployment, and safety information capabilities.	
<b>FY 2007 Base:</b>  Basic MCSAP funds and safety performance incentive funds support implementation of State Commercial Vehicle Safety Plans (CVSPs), including uniform vehicle and driver roadside inspections and carrier compliance reviews, as well as traffic enforcement, public outreach, training, and data collection capabilities. Additionally, MCSAP grants support States' implementation of the New Entrant program, which provides for safety audits of carriers that have recently received new interstate operating authority.	
<b>Anticipated FY 2007 Accomplishments:</b>  Based on Congressional guidance and the Administrator's priorities, FMCSA plans to place greater emphasis on the MCSAP program, especially New Entrant, driver inspections and compliance review activities, as further detailed below.  <b>BASIC MCSAP</b> Basic MCSAP funds will enable each State to continue to perform uniform driver and vehicle inspections (anticipated State total at about 2 million a year), commercial passenger carrier safety activities, traffic and CDL enforcement, hazardous materials and other training and enforcement, public awareness, safety performance data collection, and compliance review activities (anticipated at approximately 5,000). State Commercial Vehicle Safety Plans (CVSPs) will identify high CMV crash corridors and propose actions for reducing the frequency and severity of crashes in these corridors. States will be encouraged to include Bus CVSP plans with 25 percent of states formally complying by FY 2007.  <b>NEW ENTRANT</b> FMCSA anticipates that States will be able to complete approximately 26,500 new entrant audits in FY 2007. For those States that are unable or unwilling to fully implement the New Entrant Program using State employees, FMCSA will hire contractors to perform New Entrant audits on behalf of these jurisdictions consistent with our reauthorization. New entrant funding will continue State implementation of the New Entrant Program with a total of 49 States participating in conducting safety audits on carriers that have recently received new interstate operating authority. SAFETEA-LU (Sec 4107) authorizes up to \$29 million annually for New Entrant grants with the flexibility to enter into Federal third party contracts to conduct audits in States that cannot implement the program.	

## **INCENTIVE GRANTS**

Improving data quality is one of FMCSA's highest priorities. Because of the Agency's reliance on performance data to identify unsafe carriers and target them for enforcement action, both the Administrator and the DOT Inspector General have identified the improvement of data quality as an Agency priority. The MCSAP program will contribute to these efforts by providing safety performance incentive funding to States as an inducement to continue progress in reducing commercial motor vehicle-involved crashes and resulting fatalities. FMCSA will provide incentive funding to States that reduce truck-related fatalities and injuries, and meet other safety performance criteria with regard to data timeliness and CDL driver status verification. We anticipate 45 States will meet the criteria for timeliness of inspection data upload.

## **HIGH PRIORITY**

High priority funding will be allocated for national safety programs such as data quality initiatives, research and demonstration projects, judicial outreach, public education and outreach, hazardous materials safety and security and special research efforts, as well as innovative State-specific efforts that may have the potential for implementation nationwide. SAFETEA-LU (Sec 4107) authorizes up to \$15 million annually for high priority grants.

## **ADMINISTRATION**

Administrative takedown funds will support State training and MCSAP administration and will be provided to the FMCSA National Training Center to train over 5,700 State enforcement officers attending more than 285 courses. Section 31104 of Title 49 requires 1.25 percent of the total MCSAP authorization to be used for administrative expenses.

In FY 2007, FMCSA is proposing to greatly improve Federal oversight of the MCSAP by incorporating a MCSAP Performance Review (PR) process into the Agency's State oversight activities. Modeled after the CDL Compliance Review process, the MCSAP Performance Review process will be used to monitor and assess individual State MCSAP programs for regulatory compliance, fiscal accountability, and overall program effectiveness. The development and pilot testing phases of the program are nearing completion, and will be ready for use early in FY 2007. FMCSA will also work to reduce the number of open and expired MCSAP grants, reducing the number to 100 by FY 2007.

In FY 2007, FMCSA also intends to implement significant policy and program changes to the MCSAP program, shifting the program from predominantly vehicle inspection activities to one which includes a greater number of Level III - Driver Only inspections and carrier compliance reviews. By FY 2007, FMCSA will work closely with its Division Offices and the States to ensure the States remain committed to meeting their strategic goals related to their New Entrant audit programs, timeliness and accuracy of data uploads, and to reducing commercial vehicle fatalities in their jurisdictions.

Other anticipated accomplishments in FY 2007 will include:

- Delivering 3,700 State-conducted compliance reviews;
- Completing 28,500 State-conducted New Entrant Safety Audits;
- Conducting 130 Motorcoach Compliance Reviews (25% of the total Motorcoach Compliance Reviews conducted);
- Assisting FMCSA in conducting 2,500 Conditional Carrier Reviews;
- Establishing traffic enforcement performance measures; and,

**FY 2008 Budget Request:**

For FY 2008, FMCSA requests \$202 million.

In FY 2008, FMCSA is proposing that State CVSPs continue to identify high CMV crash corridors and propose actions for reducing the frequency and severity of crashes in these corridors. FMCSA will also work to reduce the number of open and expired MCSAP grants, reducing the number to 75 by FY 2008. FMCSA will ensure that Level III (driver) inspections equal at least 27 percent of all roadside inspections to focus more safety efforts on drivers and 50 percent of State CVSPs will include a compliance plan for addressing motor coach safety. By FY 2008 50 States will participate in New Entrant Audits.

Other anticipated accomplishments in FY 2008 will include:

- Conducting approximately 2 million State-conducted driver and vehicle inspections;
- Delivering 3,700 State-conducted compliance reviews;
- Completing 28,500 State-conducted New Entrant Safety Audits;
- Conducting 130 Motorcoach Compliance Reviews (25% of the total Motorcoach Compliance Reviews conducted);
- Assisting FMCSA in conducting 2,500 Conditional Carrier Reviews;
- Establishing traffic enforcement performance measures; and,
- Funding selected States to pilot CSA2010 program improvements.

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## Detailed Justification for CDL Improvement Grants Program

<b>CDL Improvement Grants</b>	<b>FY 2008 Request: \$25 M</b>
<p><b>Overview:</b></p> <p>The Commercial Driver’s License (CDL) Improvement Grants program is an essential component of the Agency’s ability to comply with Federal requirements, improve State licensing practices, and support State efforts to prevent, detect and combat fraud within their State CDL programs. Over 12 million CDLs have been issued since 1989. States issue another 40,000 CDLs every month. Federal Motor Carrier Safety Administration’s (FMCSA’s) CDL Improvement Grants program assists States in identifying unsafe drivers and removing them from the road.</p>	
<p><b>FY 2007 Base:</b></p> <p>Funding for the CDL Improvement Grants program pays for improvements to the accuracy and completeness of driver conviction and disqualification data so that only authorized drivers receive initial or renewed CDLs. CDL grant funds are used to improve data reporting, support improvements to State CDL computer systems, and finance program reviews. FMCSA has the responsibility to ensure that State CDL programs can effectively remove unsafe commercial motor vehicle (CMV) drivers from the road. To this end, the States must have timely and complete CMV driver conviction data, and reliable information systems to process and transmit the data. CDL Improvement Grants are designed to help States address these problems and thereby improve the safety of their commercial drivers.</p>	
<p><b>Anticipated FY 2007 Accomplishments:</b></p> <p>In FY 2007, CDL Improvement Grants will support continued maintenance of operations and specific CDL program improvements, and will:</p> <ul style="list-style-type: none"> <li>• Assist State efforts to enforce the 15 new CDL program related requirements specified in the Motor Carrier Safety Improvement Act of 1999 (MCSIA);</li> <li>• Assist State efforts to enhance and improve the effectiveness and security of their CDL programs through program and systems improvements, including: <ul style="list-style-type: none"> <li>○ Enhancing the accuracy and completeness of driver history records and the timely reporting and recording of driver conviction and disqualification data;</li> <li>○ Improving State control and oversight of State licensing agency and third party testing facilities through covert operations;</li> <li>○ Developing management control practices to detect and prevent fraudulent testing and licensing activities; and,</li> <li>○ Supporting State efforts to conduct Social Security number and Immigration and Naturalization Service number verification for CDLs.</li> </ul> </li> <li>• Continue maintenance of the central repository of Mexican Licencia Federal driver convictions in the U.S.;</li> <li>• Develop of a central repository for Canadian commercial driver convictions in the U.S.;</li> </ul>	

- Disqualify unsafe Mexican and Canadian drivers and notification of Mexican and Canadian authorities;
- Continue outreach and training to the judicial community on the importance of proper adjudication and sanctioning of drivers who commit CDL disqualifying offenses;
- Continue implementation of recommendations of the Office of the Inspector General Report dated May 8, 2002 (Improving Testing and Licensing of Commercial Drivers); and,
- Continue CDL State compliance program reviews and oversight activities.

FMCSA will monitor the quality and timeliness of Commercial Driver's License Information System (CDLIS) data. The Agency will access and evaluate monthly CDLIS performance reports, by State, to identify systems and data problems, and correct those problems as quickly as possible.

The elimination of CDL fraud is a major priority for the FMCSA, DOT, Congress, and security agencies. FMCSA will continue to develop, implement, and expand the Agency's CDL Fraud Abatement Program. This program includes initiatives such as, the development of a CDL fraud alert system, 100 percent electronic verification of CDL status by Motor Carrier Safety Assistance Program (MCSAP) officers, establishment of minimum CDL fraud requirements for the States, fraud monitoring software for State CDL employees, and third party CDL examiners.

FMCSA will work with the States, the National Center for State Courts, and the American Association of Motor Vehicle Administrators to develop, implement, and maintain inter-operability standards and national specifications for an automated conviction transmission system. This system will help States address the requirements of 49 CFR section 384.209, which specifies that out-of-State CDL driver convictions in any vehicle operated by a CDL holder must be sent to the licensing State. Notification of traffic violations must be made within 30 days of conviction after 9/30/05 and within 10 days of conviction by 9/30/08.

FMCSA will also be working to merge the Medical Certification process with the CDL program. In FY 2007, the Agency will be implementing modifications of these regulations to include requirements that information concerning each driver's medical certification be posted to the driver's CDL driving record. This initiative will be implemented in phases to minimize the burden on State licensing agencies and medical examiners. Initial implementation of this important safety initiative will begin in FY 2007.

As the Agency monitors effectiveness of program activities, we will also ensure that 48 States are compliant with MCSIA requirements and improve effectiveness of all ongoing program initiatives.

**FY 2008 Budget Request:**

For FY 2008, FMCSA requests \$25 million. In FY 2008, FMCSA will continue to improve financial tracking systems to monitor State expenditures under this grant program and will review program activities to ensure that funds are used for critical eligible activities. As the Agency monitors effectiveness of program activities, we will also ensure that all 50 States and the District of Columbia are compliant with MCSIA requirements and improve effectiveness of all ongoing program initiatives. FMCSA has set a performance goal for 75 percent of State grantees to meet the goals specified in their individual grant requests.

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## Detailed Justification for Border Enforcement Grants Program

Border Enforcement Grants

FY 2008 Request \$32 M

### Overview:

Foreign carriers, drivers and vehicles that operate across the U.S. borders with Canada and Mexico must comply with the same Federal safety regulations when operating in the U.S. as their U.S. counterparts do. This includes adherence to all U.S. Hazardous Materials regulations, operating authority and financial responsibility requirements. Federal Motor Carrier Safety Administration's (FMCSA's) Border Enforcement Grants program is focused on facilitating close cooperation among Federal and State agencies to ensure only safe and secure cargo, vehicles, drivers, and authorized carriers cross our international borders. FMCSA also continues to work closely with our State partners and the Department of Homeland Security. FMCSA will work with all Northern border States to ensure that 33 percent of their commercial motor vehicle inspections are border inspections of foreign carriers.

### FY 2007 Base:

Border Enforcement Grants support State enforcement activities related to Federal motor carrier safety, hazardous materials safety and security, as well as the operating authority and financial responsibility requirements for foreign carriers. The program also develops the necessary telecommunications and information technology systems to connect States, Federal border inspection agencies, and the governments of Canada and Mexico.

### Anticipated FY 2007 Accomplishments:

For FY 2007, Border Enforcement Grants will enable the States along the Southern border to continue to assist the Agency in meeting the requirements of Section 350 of the Department of Transportation (DOT) Appropriations Act of 2002. This includes activities and programs required to be reviewed by the DOT Inspector General to allow Mexican motor carriers to operate beyond the commercial zones in the United States. The Administration is committed to meet its obligations under the North American Free Trade Agreement (NAFTA) to allow Mexican motor carriers to operate beyond the U.S. commercial zones, and FMCSA stands ready to fulfill its responsibilities in this regard. Other anticipated accomplishments related to the border include:

#### *Southern Border:*

State truck safety enforcement agencies along the Southern Border have enhanced their presence along the border by increasing their staffs to over 300 inspectors. The number of State-conducted Southern border inspections is targeted to remain at a level of no fewer than 350,000 inspections. In FY 2007, there will be a shift towards an increased number of driver-only inspections to address the primary cause of crashes as identified in the "Large Truck Crash Causation Study." Prior to entering the U.S., carriers, drivers, and vehicles will be screened for compliance with U.S. safety requirements as part of the Automated Commercial Environment/International Trade Data System (ACE/ITDS) program. This pre-arrival screening will result in a more efficient border enforcement program by targeting

higher risk carriers, drivers, and vehicles for inspections and allowing those low risk, safety-compliant carriers to proceed without having to stop. The States will also use FMCSA grant funding to deploy officers in mobile units to conduct roadside inspections and perform inspections of commercial passenger carriers at other crossings, non-fixed facilities, and destination points in the United States. Southern Border grants will also fund an estimated 350,000 State-conducted border vehicle/driver inspections including checks of financial responsibility, operating authority and commercial drivers' license. States will conduct 65,000 commercial driver's license checks and 20,000 license, authority and financial checks. Federal and State personnel will also conduct 60,000 Hazardous Materials inspections at the Northern and Southern borders.

*Northern Border:*

Northern Border grants will be used to fund additional State inspection activities and related operations along the highway corridors leading from Canada. Northern Border safety inspections present unique challenges brought about by over 70 significant truck crossings. The CMV traffic at these crossings ranges from only a few CMVs each year to the largest CMV international crossing in North America, the Ambassador Bridge in Detroit. The affected States have developed CMV enforcement programs unique to their situation, including hiring additional staff to address cross border traffic. Thirty-three percent of all State-conducted vehicle/driver inspections in Northern border States will be conducted on foreign carriers at the border. In FY 2007, the Northern Border grant program will reach maturity as the State enforcement programs will complement the pre-screening operations of the Department of Homeland Security (DHS). Northern Border Grants will also fund Federal and State conducted Hazardous Material inspections (60,000 will be conducted at the Northern and Southern borders.) Grants will also be used to fund approximately 10,000 State-conducted Canada commercial driver's license checks.

FMCSA will also support joint projects to address CMV global connectivity, productivity, and safety. FMCSA will continue to work closely with the Bureau of Customs and Border Protection (CBP) on the ACE/ITDS. FMCSA will coordinate with CBP on the operational, technical, and administrative aspects of these programs. As the CBP programs mature, greater participation by FMCSA will be required to ensure the safety aspects of commercial motor carriers, vehicles, and drivers are appropriately considered and integrated into CBP's safety and security initiatives.

**FY 2008 Budget Request**

For FY 2008, FMCSA requests \$32 million. FMCSA anticipates that States will conduct 65,000 Southern border commercial driver's license checks and 10,000 Northern border commercial drivers' license checks in FY 2008. States will conduct 20,000 license, authority and financial checks as well as a total of 350,000 border vehicle/driver inspections including checks of financial responsibility, operating authority and commercial drivers' license at the Southern border. Federal and State personnel will also conduct 60,000 Hazardous Materials inspections at the Northern and Southern borders.

## Detailed Justification for PRISM Grants Program

<b>PRISM Grants</b>	<b>FY 2008 Request: \$5 M</b>
<b>Overview:</b>	
<p>The Performance and Registration Information Systems Management (PRISM) program is an essential component of the Agency's enforcement program. It links vehicle identification numbers (VINs) to the motor carrier's responsible for safety and helps ensure interstate license plates are not used by companies that have been ordered by FMCSA to cease interstate operations. It also provides critical information on the size and operating characteristics of carriers through the annual license plate renewal processes of the participating states.</p>	
<b>FY 2007 Base:</b>	
<p>PRISM grant funding to states is primarily used to establish information system connections between vehicle registration agencies and FMCSA. One of the fundamental tenets of the PRISM program is that state vehicle registration agencies will suspend a motor carrier's International Registration Plan (IRP) license plates in conjunction with an FMCSA order to cease interstate operations, and/or deny renewal of IRP license plates to any motor carrier that is prohibited from operating in interstate commerce by FMCSA.</p>	
<b>Anticipated FY 2007 Accomplishments:</b>	
<p>For FY 2007, PRISM grants funding will ensure that 25 PRISM states enforce their legislative authority to suspend, deny or revoke vehicle registrations based on Federal out-of-service orders. Grant funds will be allocated to an additional 2 states, increasing the number of participating states to 49. In FY 2007 approximately 210,000 motor carriers, in 25 PRISM states, will not be able to renew their plates without first updating their census data. Information systems connections will be established between 25 state vehicle registration agencies and FMCSA to allow state agencies to check motor carrier safety status prior to issuing license plates. FMCSA will also work to ensure that 37 States have PRISM implementation plans.</p>	
<b>FY 2008 Budget Request:</b>	
<p>For FY 2008, FMCSA requests \$5 million.</p> <p>In FY 2008, the Agency will increase the number of states receiving automated notification of FMCSA out of service orders and invoking license plate sanctions and will increase number of states enforcing census update requirements (MCS-150) as a condition of license plate renewal. In FY 2008, 49 states will have PRISM grant agreements and 30 states will suspend/revoke/deny license plates based on FMCSA prohibition on interstate operations. In addition, 45 States will have completed PRISM implementation plans by the end of FY 2008.</p>	

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## Detailed Justification for Commercial Vehicle Information Systems and Networks Grants Program

Commercial Vehicle Information Systems and Networks Grants	FY 2008 Request: \$25.0 M
<p><b>Overview:</b></p> <p>The Commercial Vehicle Information Systems and Networks (CVISN) Grant Program integrates Federal, State, and carrier systems to improve safety and productivity. The program solves institutional and architectural issues, as well as technical problems related to providing electronic access to timely and accurate motor carrier safety credentials and other information. Through the program, FMCSA is working to save lives, produce substantial cost savings for both States and motor carriers, and improve the efficiency of commercial vehicle operations.</p>	
<p><b>FY 2007 Base:</b></p> <p>For FY 2007, the CVISN Grant program is focused on implementing the core and expanded CVISN capabilities. CVISN core capabilities include:</p> <ul style="list-style-type: none"> <li>• <b>Safety information exchange</b>— The electronic collection and exchange of safety performance and credentials information among States, Federal agencies, and motor carriers to focus resources on high-risk carriers, vehicles, and drivers.</li> <li>• <b>Roadside electronic screening</b>— The technology to identify and screen commercial vehicles at mainline speeds and allow safe and legal trucks to bypass weigh stations while focusing enforcement on higher risk carriers and vehicles.</li> <li>• <b>Interstate credentials administration</b>— Streamline credentialing and tax administration processes so that motor carriers can use Web sites or a computer-to-computer exchange to apply for and receive credentials electronically.</li> </ul> <p>The goals of expanded CVISN are to enhance the safety, security, and productivity of commercial vehicle operations. FMCSA, in cooperation with the CVISN stakeholder community, is defining and prioritizing a “menu” of potential expanded CVISN capabilities. They include exchanging additional safety information and information about commercial drivers; ensuring data quality; developing an integrated approach to roadside operations; and expanding electronic credentialing functions.</p>	
<p><b>Anticipated FY 2007 Accomplishments:</b></p> <p>The funds requested for FY 2007 will provide States with critical funding to deploy both core and expanded CVISN capabilities. In FY 2007, 19 States will implement all three core CVISN capabilities for safety information exchange, roadside screening, and electronic credential administration. In addition, 19 States will receive grants from FMCSA to implement at least one expanded CVISN Capability.</p> <p>FMCSA is committed to ensuring that all States deploy core CVISN capabilities while also working with States that are ready to develop and implement expanded CVISN</p>	

capabilities. The CVISN Deployment Program will support the Department's and FMCSA's performance goals and strategic objectives in the area of safety. Enforcement officials can use the framework that CVISN provides to exchange safety information, allowing them to focus resources on high-risk and previously uninspected commercial vehicles and operators, enabling more effective, targeted compliance and enforcement. Also, security applications are implicit in many aspects of CVISN which integrates data systems to improve the accuracy, integrity, and verifiability of credentials. In addition, CVISN can increase government and motor carrier efficiency through electronic screening of commercial vehicles and enabling on-line application and issuance of credentials.

The DOT requested \$25 million per year in the Safe, Accountable, Flexible, Efficient Transportation Equity Act (SAFETEA-LU) to support completion of CVISN deployment and for State efforts to deploy core and expanded CVISN capabilities in all States. FMCSA will provide grants to all eligible States to implement core and expanded CVISN capabilities. A State will not be eligible for expanded CVISN until it has completed core CVISN.

FMCSA will distribute funds equally to all eligible States, to the extent possible, up to the maximum amount a State may receive for core and expanded deployment. Funding both core and expanded CVISN capabilities simultaneously allows for all States to increase their CVISN capabilities.

Relevance of the CVISN Deployment Program is based on its support of FMCSA's mission to reduce crashes, injuries, and fatalities. As CVISN is deployed, improved safety and productivity will result. The effectiveness of Federal and State motor carrier safety programs is increased as safety enforcement personnel have the safety and credentials information to target and focus limited resources on high-risk motor carriers. Enforcement personnel can identify high-risk and/or previously un-inspected commercial vehicles and drivers for further inspection.) Relevance will be monitored by following the CVISN Deployment Program Plan, which outlines the strategy to manage the program and distribute Federal funds to States for CVISN deployment during the next reauthorization period. The development of the Plan was based on the involvement of the CVISN stakeholder community at the tactical level, through annual meetings of a variety of industry and State-based organizations. The stakeholder community was also involved at the strategic level, through monthly conference calls, working groups, program reviews, partnering sessions, and deployment workshops with State CVISN project managers, motor carrier industry and association representatives, and private sector system integrators.

Quality will be achieved through support for CVISN deployment from State and association partners and others by: 1) assessing ways to help States deploy CVISN via best practices and lessons learned by States that have already deployed, and 2) quantifying the benefits in cost and safety that CVISN provides. FMCSA will work with the CVISN stakeholder community to develop business cases for the additional functionality that expanded CVISN could provide. FMCSA will work cooperatively with the CVISN stakeholder community to identify and assess mechanisms to reduce carrier and State paperwork to facilitate compliance.

Performance will be monitored by using two sets of performance metrics—output and outcome. Key output metrics include number of technologies, evaluations, or deployments for expanded CVISN capabilities. Key outcome metrics include State demonstration of core and expanded CVISN capabilities, carriers using CVISN services, and customer and stakeholder feedback on quality, performance, and relevance of the CVISN Deployment Program.

**FY 2008 Budget Request**

For FY 2008, FMCSA requests \$25 million. FMCSA will implement and evaluate commercial driver information sharing capabilities for up to 10 States. We will explore additional expanded CVISN functionality in the driver information sharing program area, as well as enhanced safety information sharing and expanded electronic credentialing.

FMCSA will provide technical assistance and support to complete a CVISN Program Plan for core deployment in one State, resulting in all States and the District of Columbia having completed a Plan. The funds requested for FY 2008 will provide States with critical funding to deploy both core and expanded CVISN capabilities. In FY 2008, 30 States will implement all three core CVISN capabilities for safety information exchange, roadside screening, and electronic credential administration. In addition, 24 States will receive grants from FMCSA to implement at least one expanded CVISN Capability. FMCSA will also develop a strategy to create a technology-based initiative for the next reauthorization.

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## Detailed Justification for Safety Data Improvement Grants

Safety Data Improvement Grants	FY 2008 Request: \$3 M
<p><b>Overview:</b></p> <p>FMCSA collects safety data from the States, motor carriers, Federal staff, and other sources. FMCSA uses the collected data to evaluate and enhance its safety programs, update inventories, monitor compliance of motor carrier companies, measure the condition of vehicle fleets, track the driving records of licensed operators, and record crashes involving commercial motor vehicles on public roadways. High quality, timely data in each of these areas are crucial to the mission of improving CMV safety in the U.S.</p> <p>FMCSA has established, and has had in effect for several years, a comprehensive Data Quality Improvement Program to ensure the availability of accurate and reliable data and thus support governments, businesses, and citizens in making appropriate decisions about motor carrier safety. One aspect of the program has involved providing financial and technical assistance to the States to assist them in improving the timeliness, accuracy and completeness of safety data reported to FMCSA's Motor Carrier Management Information System (MCMIS). This program was recently enhanced when the SAFETEA-LU motor carrier safety program reauthorization authorized funds for safety data improvement grants to eligible States under section 4128 totaling \$2 million for fiscal year 2006 and \$3 million for each of fiscal years 2007 through 2009.</p> <p>FMCSA recognizes that each State faces unique challenges when collecting and reporting safety data. So, the agency has implemented the Safety Data Improvement Program (SaDIP) grants to help States identify their challenges and implement improvement strategies. The Federal share of a SaDIP grant under section 4128 will be 80 percent of the cost of the activities for which the grant is made.</p>	
<p><b>FY 2007 Base:</b></p> <p>State proposals will be funded through the Safety Data Improvement Program grants that have the greatest potential impact on improving large truck and bus safety data reporting and quality, such as those related to crash reporting, roadside inspections, and compliance reviews. For example, grant funds can be used to purchase equipment to support data improvement activities, hire staff to manage data quality improvement programs, revise outdated crash report forms, hire staff to code and enter crash data, train law enforcement officers in collecting crash data, develop software to transfer data from the State repository to SAFETYNET, and purchase software for field data collection and data transfer. SAFETYNET is a system designed to manage and provide appropriate access to crash data, roadside inspection history and data, and motor carrier and shipper identification information. To do this, SAFETYNET maintains records that include, but are not limited to, truck/bus driver name, social security number, license number, and date of birth, and truck/bus driver and company contact information, and vehicle identification numbers. The FMCSA receives these data from designated State officials, either directly into SAFETYNET through paper forms that State data entry representatives enter into the system, or through electronic data upload directly into</p>	

SAFETYNET.

**Anticipated FY 2007 Accomplishments:**

In FY 2007, FMCSA Safety Data Improvement Program (SaDIP) grants will continue to fund safety data improvement requests from eligible States. This funding will be used to work with States to improve overall quality of State reported data collection and reporting, with the goal that 34 States achieve “green” status based on the timeliness, accuracy, and completeness criteria established and monitored by FMCSA and made available to States via internet access. Eligible activities will continue to include purchasing equipment to support data improvement activities, hiring staff to manage data quality improvement programs, revising outdated crash report forms, hiring staff to code and enter crash data, training law enforcement officers in collecting crash data, developing software to transfer data from the State repository to SAFETYNET, and purchasing software for field data collection and data transfer.

**FY 2008 Budget Request**

For FY 2008, FMCSA requests \$3 million. This funding will be used to work with States to improve overall quality of State reported data collection and reporting, with the goal that 36 States achieve green status based on the timeliness, accuracy, and completeness criteria established and monitored by FMCSA and made available to States via internet access. Eligible activities will continue to include purchasing equipment to support data improvement activities, hiring staff to manage data quality improvement programs, revising outdated crash report forms, hiring staff to code and enter crash data, training law enforcement officers in collecting crash data, developing software to transfer data from the State repository to SAFETYNET, and purchasing software for field data collection and data transfer.

## Detailed Justification for CDLIS Grants

<b>CDLIS Grants</b>	<b>FY 2008 Request: \$8 M</b>
<b>Overview:</b>	
<p>Although it is not a Federal data system, the Commercial Driver's License Information System (CDLIS) is an essential adjunct to the Agency's ability to improve State licensing practices, and supports State efforts to prevent, detect, and combat fraud within their State commercial driver's license (CDL) programs. Over 12 million CDLs have been issued since 1989. States issue another 40,000 CDLs every month.</p>	
<b>FY 2007 Base:</b>	
<p>In accordance with the Safe, Accountable, Flexible, Efficient Transportation Equity Act (SAFETEA-LU), Federal Motor Carrier Safety Administration (FMCSA) is establishing: a CDLIS Modernization Grant program. The program will facilitate the modernization of CDLIS to ensure that it: 1) complies with Federal Information Technology Security Standards; 2) provides for electronic exchange of all data including posting driver traffic convictions; 3) contains self-auditing features to ensure data quality; and 4) integrates the CDL and medical certificate. The CDLIS grants will support improvements to the CDLIS central site and assist the States in upgrading their CDL computer systems to be compatible with the new central site. FMCSA has the responsibility to ensure that State CDL programs can effectively remove unsafe CMV drivers from the road. To this end, the States must have timely and accurate driver conviction data and reliable information systems to process and transmit the data. CDLIS Grants are designed to help States address these problems and thereby improve the safety of their commercial drivers.</p>	
<b>Anticipated FY 2007 Accomplishments:</b>	
<p>In FY 2007, FMCSA will work with the American Association of Motor Vehicle Administrators (AAMVA) to complete specifications for the new CDLIS system and begin providing grants to States to assist them in making changes to their licensing systems to incorporate the new CDLIS specifications. In FY 2007, approximately 5 States will implement modernized CDLIS systems and software and 47 States will be capable of sending MCSIA messages via CDLIS. Sixteen percent of States will transmit information within a four percent error rate.</p>	
<b>FY 2008 Budget Request:</b>	
<p>For FY 2008, FMCSA requests \$8 million. In FY 2008, FMCSA will award grant funds to AAMVA and States and will establish requirements for modernizing CDLIS. The Agency will complete development of technical design, begin programming changes, and begin deployment of the new modernized CDLIS. In FY 2008, approximately 10 States will implement modernized CDLIS systems and software and 50 States will be capable of sending MCSIA messages via CDLIS. Seventy-five percent of the States will meet notification deadlines established in Federal regulations for reporting licensing information to CDLIS and reporting disqualifications and traffic violations to the driver's home State. Twenty percent of States will transmit information within a four percent error rate.</p>	

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## Explanation of Funding Changes for Motor Carrier Safety Grants

[Includes both non discretionary changes and new or expanded programs as  
identified in Summary Exhibit IV]

<b>Motor Carrier Safety Grants</b>	<b>\$2.5 M</b>
<b>Overview:</b> As described in further detail below, FMCSA does not request a significant change in this appropriation account.	
<b>MCSAP Grants</b>	<b>\$1.5 M</b>
FMCSA's requested increase in the Agency's MCSAP Grant program is consistent with the SAFETEA-LU authorization level for this element.	
<b>CDLIS Grants</b>	<b>\$1.0 M</b>
FMCSA's requested increase in the Agency's CDLIS Grant program is consistent with the SAFETEA-LU authorization level for this element.	

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## PERFORMANCE OVERVIEW

### Annual Performance Results and Targets

FMCSA integrates performance results into its budget request to demonstrate alignment with the Department of Transportation's and FMCSA Strategic Plans. FMCSA tracks the following DOT level performance measures to demonstrate program results in support of both of FMCSA's appropriation's accounts:

Strategic Objective: Reduce fatalities involving large trucks and buses to no more than .160 per 100 million vehicle-miles of travel by the end of 2011.

Large Truck and Bus Fatality Rate per 100 M VMT	2005	2006	2007	2008
Target Rate	n/a	.179	.175	.171
Actual Rate	.184	.183(p)		

(p) Projected

Strategic Objective: Reduce the number of serious hazardous materials incidents in transportation.

Number of serious hazardous materials incidents in transportation	2003	2004	2005	2006	2007	2008
Target Rate	515	509	503	470	466	TBD
Actual Rate	539(r)	537(r)	558*			

(r) Revised

\* Preliminary Estimate

Detailed performance budget information can be found in Section 4 of the budget submission.

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### Program Assessment Rating Tool (PART) Assessment

PART was developed by the Office of Management and Budget to provide a standardized way to assess the effectiveness of the Federal Government's portfolio of programs. The structured framework of PART provides a means through which programs can be assessed differently than through traditional reviews. The following FMCSA programs have been assessed using the PART:

<u>Program</u>	<u>PART Cycle</u>	<u>Score</u>	<u>OMB Assessment</u>
FMCSA Grant Program	FY-04	67	Minimally Effective
FMCSA Grant Program	FY-05	72	Moderately Effective

FMCSA Grant Program Analysis: The Federal Motor Carrier Safety Administration Grant program distributes Block Grants to States based on a formula. The Motor Carrier Safety Assistance Program reduces commercial motor vehicle (CMV)-involved crashes, fatalities, and injuries through consistent, uniform, and effective state CMV safety programs and is in close alignment with the agency mission of saving lives and reducing injuries by preventing truck and bus crashes. The assessment found that the program is strong overall, but lacks state-wide commitment to work toward Federal annual or long-term goals of the program. Also, Federal managers and program partners are not held accountable for cost, schedule and performance results.

OMB Recommendation #1: Commit partners to working toward same long-term/annual goals and link State and Federal program goals.

Actions taken: Completed - FMCSA now requires all State Commercial Vehicle Safety Plans, and FMCSA Division Safety Plans to link State and Federal program goals.

OMB Recommendation #2: Promote accountability of Federal managers by holding them accountable for cost schedule and performance results.

Actions taken: Completed - FMCSA tracks costs schedules and performance results for all State grants.

OMB Recommendation #3: Utilize SAFETEA reauthorization proposals to effectively distribute \$227 million in grants to States to reward them for implementing CMV safety measures and reduce State fatalities rates.

Actions taken: Completed - FMCSA has implemented the grant provisions of SAFETEA-LU.

**Efficiency Measures:** In response to PART Recommendations FMCSA developed two Efficiency Measures:

FMCSA Efficiency Index	
Year	Actual
1997	-0.13
1998	0.88
1999	1.99
2000	2.73
2001	2.84
2002	3.16
2003	3.57
2004	3.11
2005	2.71

1. FMCSA's Efficiency Index: FMCSA has developed an index measure of how efficient agency operations are at saving lives. FMCSA's goal is to increase the number of lives saved as compared with a 1996 baseline (consistent with the agency's and DOT's CMV safety performance goal), adjusted each succeeding year for increases in Truck Vehicle Miles Traveled (TVMT). The efficiency index compares the change in annual lives saved in large truck-related crashes with the change in FMCSA's overall yearly budget. Higher numbers indicate increased efficiency and lower numbers indicate decreased efficiency.
  
2. Efficiency of Safety Data Upload: To improve efficiency of agency operations, FMCSA works with States to improve timeliness of crash and inspection data, reducing the number of days to upload State data to MCMIS. As recently as 2002, it took nearly 50 days, on average, for inspection data to be uploaded, and more than 150 days for the upload of crash data. Since 2002, FMCSA has worked with State partners to emphasize the importance of improved upload efficiency, reducing the cycle times for inspection data over 50 percent and for crash data over 30 percent.

FY 2008

**FMCSA**

**BUDGET**

**by**

**APPROPRIATION**

**ACCOUNT**

Section 3C

Other

Information



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**FISCAL YEAR 2008 PERFORMANCE BUDGET ESTIMATES  
SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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**DEPARTMENT OF TRANSPORTATION  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS  
PROGRAM AND FINANCING (\$ thousands)**

Identification Code: 69-8159-0-7-401		2006 Actual	2007 CR	2008 Request
<b>Obligations by Program Activity:</b>				
0001	Commercial Motor Vehicle Safety	159,000	160,000	181,000
0002	HAZMAT Safety	9,000	11,000	8,000
0003	HAZMAT Security	7,000	8,000	7,000
0004	Commercial Motor Vehicle Productivity	2,000	2,000	4,000
0005	Organizational Excellence	27,000	30,000	28,000
0100	Subtotal, direct program	204,000	211,000	228,000
0901	Reimbursable program	11,000	27,000	27,000
1000	Total new obligations	215,000	238,000	255,000
<b>Budgetary Resources Available for Obligation:</b>				
2140	Unobligated balance carried forward, start of year	0	12,000	22,000
2200	New budget authority (gross)	227,000	248,000	254,000
2390	Total budgetary resources available for obligation	227,000	260,000	276,000
2395	Total new obligations	(215,000)	(238,000)	(255,000)
2440	Unobligated balance carried forward, end of year	12,000	22,000	21,000
<b>New Budget Authority (gross), detail:</b>				
<b>Discretionary</b>				
4026	Appropriation (trust fund, definite)	211,000	211,000	228,000
4049	Portion applied to liquidate contract authority	(211,000)	(211,000)	(228,000)
4300	Appropriation (total discretionary)	0	0	0
4935	Contract authority permanently reduced	0	(2,000)	0
5800	Spending authority from offsetting collections: Offsetting collections (cash)	16,000	27,000	26,000
<b>Mandatory</b>				
6610	Mandatory contract authority	213,000	223,000	228,000
6635	Contract Authority permanently reduced	(2,000)	0	0
6690	Contract Authority (Total mandatory)	211,000	223,000	228,000
7000	Total new budget authority (gross)	227,000	250,000	254,000
<b>Change in obligated balances:</b>				
7240	Obligated balance, start of year	0	62,000	71,000
7310	Total new obligations	215,000	238,000	255,000
7320	Total outlays (gross)	(153,000)	(229,000)	(245,000)
7440	Obligated balance, end of year	62,000	71,000	81,000
<b>Outlays (gross), detail:</b>				
8690	Outlays from new discretionary authority	153,000	217,000	232,000
8693	Outlays from discretionary balances	0	12,000	13,000
8700	Total outlays (gross)	153,000	229,000	245,000
<b>Offsets</b>				
<b>Against gross budget authority and outlays</b>				
8800	Federal sources	0	0	6,000
8845	Against gross budget authority and outlays offsetting collections (cash) from: Offsetting governmental collections (from non-Federal sources)	16,000	27,000	20,000
8890	Total, offsetting collections (cash)	16,000	27,000	26,000
<b>Net Budget Authority and Outlays:</b>				
8900	Budget authority	211,000	221,000	228,000
9000	Outlays	137,000	202,000	219,000

**DEPARTMENT OF TRANSPORTATION  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**

**MOTOR CARRIER SAFETY GRANTS  
PROGRAM AND FINANCING (\$ thousands)**

<b>Identification Code: 69-8158-0-7-401</b>		<b>2006</b>	<b>2007</b>	<b>2008</b>
		<b>Actual</b>	<b>CR</b>	<b>Request</b>
<b>Obligations by Program Activity:</b>				
0001	Commercial Motor Vehicle Safety	268,000	271,000	291,000
0002	HAZMAT Safety	0	8,000	9,000
1000	Total new obligations	<u>268,000</u>	<u>279,000</u>	<u>300,000</u>
<b>Budgetary Resources Available for Obligation:</b>				
2140	Unobligated balance carried forward, start of year	0	11,000	23,000
2200	New budget authority (gross)	279,000	291,000	300,000
2390	Total budgetary resources available for obligation	<u>279,000</u>	<u>302,000</u>	<u>323,000</u>
2395	Total new obligations	<u>(268,000)</u>	<u>(279,000)</u>	<u>(300,000)</u>
2440	Unobligated balance carried forward, end of year	11,000	23,000	23,000
<b>New Budget Authority (gross), detail:</b>				
<b>Discretionary</b>				
4026	Discretionary appropriation (trust fund, definite)	282,000	279,000	300,000
4049	Portion applied to liquidate contract authority	<u>(282,000)</u>	<u>(279,000)</u>	<u>(300,000)</u>
4300	Appropriation (total discretionary)	0	0	0
4935	Contract authority permanently reduced	0	(3,000)	0
<b>Mandatory</b>				
6610	Mandatory contract authority	282,000	294,000	300,000
6635	Contract authority permanently reduced	<u>(3,000)</u>	0	0
6690	Contract Authority (Total mandatory)	<u>279,000</u>	<u>294,000</u>	<u>300,000</u>
7000	Total new budget authority (gross)	279,000	291,000	300,000
<b>Change in obligated balances:</b>				
7240	Obligated balance, start of year	0	195,000	203,000
7310	Total new obligations	268,000	279,000	300,000
7320	Total outlays (gross)	<u>(73,000)</u>	<u>(271,000)</u>	<u>(284,000)</u>
7440	Obligated balance, end of year	195,000	203,000	219,000
<b>Outlays (gross), detail:</b>				
8690	Outlays from new discretionary authority	73,000	78,000	84,000
8693	Outlays from discretionary balances	0	193,000	200,000
8700	Total outlays (gross)	<u>73,000</u>	<u>271,000</u>	<u>284,000</u>
<b>Net Budget Authority and Outlays:</b>				
8900	Budget authority	279,000	291,000	300,000
9000	Outlays	<u>73,000</u>	<u>271,000</u>	<u>284,000</u>
<b>Memorandum (non-add) Entries:</b>				
9303	Obligated balance, start of year: Contract authority	0	31,000	0
9304	Obligaged blaance, end of year: Contract authority	31,000	0	194,000

**DEPARTMENT OF TRANSPORTATION  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**

**MOTOR CARRIER SAFETY GRANTS  
PROGRAM AND FINANCING (\$ thousands)**

<b>Identification Code: 69-8048-0-7-401</b>		<b>2006</b>	<b>2007</b>	<b>2008</b>
		<b>Actual</b>	<b>CR</b>	<b>Request</b>
<b>Budgetary Resources Available for Obligation:</b>				
2140	Unobligated balance carried forward, start of year	3,000	5,000	2,000
2200	New budget authority (gross)	0	(3,000)	0
2210	Resources available from recoveries of prior year obligations	2,000	0	0
2390	Total budgetary resources available for obligation	5,000	2,000	2,000
2440	Unobligated balance carried forward, end of year	5,000	2,000	2,000
<b>New Budget Authority (gross), detail:</b>				
<b>Discretionary</b>				
4935	Contract authority permanently reduced	0	(3,000)	0
<b>Change in obligated balances:</b>				
7240	Obligated balance, start of year	209,000	81,000	(2,000)
7320	Total outlays (gross)	(126,000)	(83,000)	0
7345	Recoveries of prior year obligations	(2,000)	0	0
7440	Obligated balance, end of year	81,000	(2,000)	(2,000)
<b>Outlays (gross), detail:</b>				
8693	Outlays from discretionary balances	126,000	83,000	0
<b>Net Budget Authority and Outlays:</b>				
8900	Budget authority	0	(3,000)	0
9000	Outlays	126,000	83,000	0
<b>Memorandum (non-add) Entries:</b>				
9301	Unobligated balance, start of year: Contract authority	0	0	0
9302	Unobligated balance, end of year: Contract authority	0	0	0
9303	Obligated balance, start of year: Contract authority	0	0	(2,000)
9304	Obligated balance, end of year: Contract authority	0	(2,000)	(2,000)

**DEPARTMENT OF TRANSPORTATION  
 FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
 MOTOR CARRIER SAFETY GRANTS**

**OBJECT CLASSIFICATION  
 (\$ thousands)**

	<b>FY 2006 Actual</b>	<b>FY 2007 CR</b>	<b>FY 2008 Request</b>
<b>Direct Obligations:</b>			
21.0 Travel and Transportation of persons	1,000	1,000	1,000
25.2 Other services	24,000	22,000	25,000
41.0 Grants, subsidies and contributions	243,000	256,000	274,000
<b>99.9 Total Obligations</b>	<b>268,000</b>	<b>279,000</b>	<b>300,000</b>

**DEPARTMENT OF TRANSPORTATION  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS  
PROGRAM AND FINANCING (\$ thousands)**

<b>Identification Code: 69-8274-0-7-401</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>
	<b>Actual</b>	<b>CR</b>	<b>Request</b>
<b>Change in obligated balances:</b>			
7240	13,000	9,000	0
7320	(3,000)	(9,000)	0
7340	(1,000)	0	0
7440	9,000	0	0
<b>Outlays (gross), detail:</b>			
8693	3,000	9,000	0
<b>Net Budget Authority and Outlays:</b>			
8900	0	0	0
9000	3,000	9,000	0

**DEPARTMENT OF TRANSPORTATION  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS**

**OBJECT CLASSIFICATION**

(\$ thousands)

	<b>FY 2006 Actual</b>	<b>FY 2007 Pres. Bud.</b>	<b>FY 2008 Request</b>
<b>Direct Obligations:</b>			
Personnel compensation			
11.1 Full-time permanent	66,717	69,000	72,000
11.3 Other than full-time permanent	1,962	0	2,000
11.9 Total personnel compensation	68,679	69,000	74,000
12.1 Civilian personnel benefits	22,149	21,000	31,000
21.0 Travel and transportation of	13,946	12,750	11,750
22.0 Transportation of things	240	250	250
23.1 Rental payments to GSA	10,778	13,000	11,000
23.3 Comm., Rent, and Utilities	510	0	6,000
24.0 Printing	525	0	1,000
25.0 Other services	79,066	80,000	80,000
25.5 Research and development	9,983	11,000	10,000
26.0 Supplies and materials	1,343	0	1,000
31.0 Equipment	3,650	4,000	2,000
41.0 Grants, subsidies, and	0	0	0
99.0 Subtotal, Direct Obligations	210,870	211,000	228,000
<b>Reimbursable Obligations:</b>			
Personnel Compensation			
11.1 Full-time permanent	3,000	3,000	3,000
11.3 Other than full-time permanent	0	0	0
Total personnel compensation	3,000	3,000	3,000
12.1 Civilian personnel benefits	1,000	1,000	1,000
25.0 Other services	23,000	23,000	23,000
99.0 Subtotal, Reimbursable Obligations	27,000	27,000	27,000
99.9 <b>Total Obligations:</b>	237,870	238,000	255,000

**MOTOR CARRIER SAFETY GRANTS  
LIQUIDATION OF CONTRACT AUTHORIZATION (HIGHWAY TRUST FUND)**

ESTIMATES	APPROPRIATIONS
1995 ..... 73,000,000	1995 ..... 73,000,000
1996 ..... 68,000,000	1996 ..... 68,000,000
1997 ..... 74,000,000	1996 Rescission of Contract
1998 .....	Authority ..... (33,000,000) <sup>1</sup>
1999 .....	1997 ..... 74,000,000
2000 .....	1997 Omnibus Rescission of
2001 .....	Contract Authority ..... (12,300,000) <sup>2</sup>
2002 .....	1998 ..... 85,000,000
2003 .....	1999 ..... 100,000,000
2004 .....	2000 ..... 105,000,000
2005.....	2001 .....
2006.....	2002 .....
	2003 .....
	2004 .....
	2005.....
	2006.....

<sup>1</sup> Enacted rescission pursuant to P.L. 104-134.

<sup>2</sup> Enacted rescission pursuant to P.L. 104-208.

**NATIONAL MOTOR CARRIER SAFETY PROGRAM  
LIQUIDATION OF CONTRACT AUTHORIZATION (HIGHWAY TRUST FUND)**

ESTIMATES	APPROPRIATIONS
1998 ..... 90,000,000	1998 .....
1999 ..... 100,000,000	1999 .....
2000 ..... 155,000,000 <sup>1</sup>	2000 ..... (105,000,000) <sup>4</sup>
2001 ..... 187,000,000 <sup>2</sup>	2001 ..... 177,000,000
2002 ..... 204,837,000 <sup>3</sup>	2002 ..... 205,896,000 <sup>5</sup>
2003 ..... 190,000,000	2003 ..... 190,000,000
2004.....	2003 Rescission of contract
2005.....	authority ..... (1,235,000) <sup>6</sup>
2006.....	2004..... 190,000,000
	2004 Rescission of contract
	authority..... (1,121,000) <sup>7</sup>
	2005..... 190,000,000
	2005 Rescission of contract
	authority.....(1,520,000) <sup>8</sup>

<sup>1</sup> Includes \$50 million in revenue aligned budget authority.

<sup>2</sup> Includes \$10 million in revenue aligned budget authority.

<sup>3</sup> Includes \$22.837 million in revenue aligned budget authority as authorized in 23 U.S.C. 110, as amended by P.L. 106-159.

<sup>4</sup> Transferred to the newly established FMCSA from the FHWA Motor Carrier Safety Grants account.

<sup>5</sup> Includes \$23.896 million in revenue aligned budget authority as authorized in 23 U.S.C. 110, as amended by P.L. 106-159, pursuant to P.L. 107-87.

<sup>6</sup>Enacted 0.65% rescission pursuant to P.L. 108-7.

<sup>7</sup> Applied 0.59% rescission pursuant to FY 2004 enacted, P.L. 108-199.

<sup>8</sup> Applied 0.80% rescission pursuant to FY 2005 enacted, P.L. 108-447.

**MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS  
LIQUIDATION OF CONTRACT AUTHORIZATION (HIGHWAY TRUST FUND)**

ESTIMATES	APPROPRIATIONS
2004 .....	2004 .....
2005 .....	2005 .....
2006 ..... 213,000,000	2006 ..... 213,000,000
2007 ..... 223,000,000	2006 Rescission of contract authority ..... (2,130,000) <sup>1</sup>
	2007 ..... 210,870,000 <sup>2</sup>

<sup>1</sup>Applied 1.0 % rescission pursuant to FY 2006  
Enacted, P.L. 109-148.

<sup>2</sup>Currently under a Continuing Resolution,  
Estimated Annual amount to be funded through  
Joint Resolution

**MOTOR CARRIER SAFETY GRANTS  
LIQUIDATION OF CONTRACT AUTHORIZATION (HIGHWAY TRUST FUND)**

ESTIMATES	APPROPRIATIONS
2004 .....	2004 .....
2005 .....	2005 .....
2006 .....282,000,000	2006 .....282,000,000
2007 .....297,502,000	2006 Rescission of contract authority .....(2,820,000) <sup>1</sup>
	2007 .....279,180,000 <sup>2</sup>

<sup>1</sup>Applied 1.0 % rescission pursuant to FY 2006  
Enacted, P.L. 109-148.

<sup>2</sup>Currently under a Continuing Resolution,  
Estimated Annual amount to be funded through  
Joint Resolution

**MOTOR CARRIER SAFETY GRANTS**

**LIMITATION ON OBLIGATIONS**

ESTIMATES

1995 .....	83,000,000
1996 .....	85,000,000
1997 .....	85,000,000
1998 .....	
1999 .....	
2000 .....	
2001 .....	
2002 .....	
2003 .....	
2004 .....	
2005 .....	
2006 .....	282,000,000
2007 .....	297,502,000

LIMITATION

1995 .....	74,000,000
1996 .....	77,225,000
1996 Rescission of obligation limitation	(1,000) <sup>1</sup>
1997 .....	78,225,000
1998 .....	84,825,000
1999 .....	100,000,000
2000 .....	105,000,000
2001 .....	
2002 .....	
2003 .....	
2004 .....	
2005 .....	
2006 .....	282,000,000
2006 rescission of obligation limitation	(2,820,000) <sup>2</sup>
2007 .....	279,180,000 <sup>3</sup>

<sup>1</sup> Enacted rescission pursuant to P.L. 104-134.  
<sup>2</sup> Enacted rescission pursuant to P.L. 109-148.  
<sup>3</sup> Currently under a Continuing Resolution,  
Estimated Annual amount to be funded through  
Joint Resolution

**NATIONAL MOTOR CARRIER SAFETY PROGRAM  
LIMITATION ON OBLIGATIONS**

ESTIMATES	LIMITATION
1998 ..... 100,000,000	1998 .....
1999 ..... 100,000,000	1999 .....
2000 ..... 155,000,000 <sup>1</sup>	2000 ..... (105,000,000) <sup>4</sup>
2001 ..... 187,000,000 <sup>2</sup>	2001 ..... 177,000,000
2002 ..... 204,837,000 <sup>3</sup>	2001 Rescission of obligation limitation (389,400) <sup>5</sup>
2003 ..... 190,000,000	2002 ..... 205,896,000 <sup>6</sup>
2004.....	2003 ..... 190,000,000
2005.....	2003 Rescission of obligation limitation (1,235,000) <sup>7</sup>
2006.....	2004..... 190,000,000
	2004 Rescission of obligation limitation (1,121,000) <sup>8</sup>
	2005..... 190,000,000.
	2005 Rescission of obligation limitation (1,520,000) <sup>9</sup>

<sup>1</sup> Includes \$50 million in revenue aligned budget authority.

<sup>2</sup> Includes \$10 million in revenue aligned budget authority.

<sup>3</sup> Includes \$22.837 million in revenue aligned budget authority as authorized in 23 U.S.C. 110, as amended by P.L. 106-159.

<sup>4</sup> Transferred to the newly established FMCSA from the FHWA Motor Carrier Safety Grants account.

<sup>5</sup> Enacted .22% rescission pursuant to P. L. 106-554.

<sup>6</sup> Includes \$23.896 million in revenue aligned budget authority as authorized in 23 U.S.C. 110, as amended by P.L. 106-159, pursuant to P.L. 107-87.

<sup>7</sup> Enacted 0.65% rescission pursuant to P.L. 108-7.

<sup>8</sup> Applied 0.59% rescission pursuant to FY 2004 enacted, P.L. 108-199.

<sup>9</sup> Applied 0.8% rescission pursuant to FY 2005 enacted, P.L. 108-447.

**MOTOR CARRIER SAFETY**

ESTIMATES	APPROPRIATIONS
1995 .....(57,757,000) <sup>1</sup>	1995 .....(48,899,000) <sup>2,3</sup>
1996 ..... 50,000,000	1996 .....(46,000,000) <sup>2,3</sup>
1997 .....(49,500,000) <sup>1,3</sup>	1997 .....(49,000,000) <sup>2,3</sup>
1998 .....(52,765,000) <sup>1,3</sup>	1998 .....(51,000,000) <sup>2,3</sup>
1999 .....(55,383,000) <sup>1,3</sup>	1999 .....(53,375,000) <sup>2,3</sup>
2000 .....(55,418,000) <sup>1,3</sup>	2000 .....
2001 .....	2001 .....
2002 .....	2002 .....
2003 ..... 2,995,000 <sup>4</sup>	2003 .....

- <sup>1</sup> Proposed to be funded under FHWA limitation on general operating/administrative expenses.
- <sup>2</sup> Funded under FHWA limitation on general operating/administrative expenses.
- <sup>3</sup> Does not include Motor Carrier Research funding (research included in funding levels prior to “1995 Appropriations”.)
- <sup>4</sup> Proposed as a discretionary appropriation from the Highway Trust Fund to fund CSRS/FEHB accruals.

**MOTOR CARRIER SAFETY  
LIMITATION ON ADMINISTRATIVE EXPENSES**

ESTIMATES	LIMITATION
2000 .....	2000 ..... 76,058,400 <sup>1</sup>
2001 ..... 92,194,000	2001 ..... 92,194,000
2002 ..... 139,007,000	2001 Rescission of obligation limitation (202,827) <sup>2</sup>
2003 ..... 117,464,000	2002 ..... 110,000,000
2004.....	2002 Rescission of obligation limitation (158,000) <sup>3</sup>
2005.....	2002 Rescission of obligation limitation (107,000) <sup>4</sup>
	2003 ..... 117,464,000
	2003 Rescission of obligation limitation (763,516) <sup>5</sup>
	2003 Rescission of obligation limitation (200,000) <sup>5</sup>
	2004..... 176,070,000
	2004 Rescission of obligation limitation (1,532,675) <sup>6</sup>
	2005.....257,547,000
	2005 Rescission of obligation limitation (2,698,376) <sup>7</sup>

- <sup>1</sup> Transferred to the newly established FMCSA from Federal-aid Highways. (With the enactment of P.L. 106-159, the account again includes funding for Motor Carrier Research.)
- <sup>2</sup> Enacted .22% rescission pursuant to Public Law 106-554.
- <sup>3</sup> Enacted TASC rescission pursuant to Public Law 107-87, as amended by P.L. 107-117.
- <sup>4</sup> Enacted rescission pursuant to P.L. 107-206.
- <sup>5</sup> Enacted 0.65% and \$200K rescission pursuant to P.L. 108-7.
- <sup>6</sup> Applied 0.59% and \$494K rescission pursuant to FY 2004 enacted, P.L.108-199.
- <sup>7</sup> Applied 0.8% and 638K rescission pursuant to FY 2005 enacted, P.L. 108-447.

**BORDER ENFORCEMENT PROGRAM**

ESTIMATES	APPROPRIATIONS
2002 .....	2002.....25,866,000 <sup>1</sup>
2003 .....60,908,000 <sup>2,3</sup>	2003 <sup>4</sup>
2004.....	2004.....
2005.....	2005.....
2006.....	2006.....

<sup>1</sup> Pursuant to Section 350 of P.L. 107-87

<sup>2</sup> Proposed as a discretionary appropriation from the Highway Trust Fund.

<sup>3</sup> Includes CSRS/FEHB accruals of \$941,000.

<sup>4</sup> \$59,577,000 funded in FHWA.

**MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS  
LIMITATION ON OBLIGATIONS**

ESTIMATES	LIMITATION
2004.....	2004.....
2005.....	2005.....
2006..... 213,000,000	2006.....213,000,000
2007..... 223,000,000	2006 rescission of obligation limitation (2,130,000) <sup>1</sup>
	2007 ..... 210,870,000 <sup>2</sup>

<sup>1</sup> Enacted rescission pursuant to P.L. 109-148.  
<sup>2</sup> Currently under a Continuing Resolution,  
 Estimated Annual amount to be funded through  
 Joint Resolution

**MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS**

**ESTIMATES**

**APPROPRIATION**

2004.....  
2005..... 450,000 <sup>1</sup>  
2006.....

2004.....  
2005.....  
2006.....

<sup>1</sup>Proposed as a discretionary appropriation from the Highway Trust Fund to fund agency participation in government-wide “E-Gov” initiatives.

**MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS  
LIMITATION ON OBLIGATIONS**

ESTIMATES	LIMITATION
2003.....	2004.....
2004.....	2005.....
2005..... 213,000,000	2006.....213,000,000
2006..... 223,000,000	2006 rescission of obligation limitation (2,130,000) <sup>1</sup>
	2007 ..... 210,870,000 <sup>2</sup>

<sup>1</sup> Enacted rescission pursuant to P.L. 109-148.  
<sup>2</sup> Currently under a Continuing Resolution,  
 Estimated Annual amount to be funded through  
 Joint Resolution

**MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS**

**ESTIMATES**

**APPROPRIATION**

2004.....  
2005..... 450,000 <sup>1</sup>  
2006.....

2004.....  
2005.....  
2006.....

<sup>1</sup>Proposed as a discretionary appropriation from the Highway Trust Fund to fund agency participation in government-wide “E-Gov” initiatives.



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FY 2008

**FMCSA**

**PERFORMANCE  
BUDGET**

Section 4



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**FISCAL YEAR 2008 PERFORMANCE BUDGET ESTIMATES  
SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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**FY 2008 Performance Budget Request**

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EXHIBIT IV-1

FY 2008 BUDGET REQUEST BY STRATEGIC OBJECTIVE AND PERFORMANCE GOAL  
 FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
 Appropriations, Obligation Limitations, & Exempt Obligations  
 (\$000)

	(A)	(B)	(C)	(D)
PERFORMANCE GOALS & MEASURES by PROGRAM ACTIVITIES	FY 2006 ACTUAL	FY 2007 CR	FY 2007 PRES BUD 1/	FY 2008 REQUEST (D+E)
<b>I. Safety</b>				
<b>A. Save lives and reduce injuries by preventing truck and bus crashes.</b>				
1. Commercial Motor Vehicle (CMV) Safety (Motor Carrier Safety Operations & Programs (MCSOP))	166,584	162,973	172,347	180,119
2. Commercial Motor Vehicle (CMV) Safety (Motor Carrier Safety Grants (MCSG))	270,270	270,734	288,502	291,000
Subtotal	<u>436,854</u>	<u>433,707</u>	<u>460,849</u>	<u>471,119</u>
FTE	817	848	855	851
<b>B. Save lives and reduce injuries by preventing and minimizing the severity of Hazardous Materials incidents involving Commercial Motor Vehicles</b>				
1. Commercial Motor Vehicle (CMV) Safety (Motor Carrier Safety Operations & Programs (MCSOP))	9,911	9,657	10,213	8,385
2. Commercial Motor Vehicle (CMV) Safety (Motor Carrier Safety Grants (MCSG))	8,910	8,446	9,000	9,000
Subtotal	<u>18,821</u>	<u>18,103</u>	<u>19,213</u>	<u>17,385</u>
FTE	67	69	70	84
<b>Safety -- Subtotal</b>	<b>455,675</b>	<b>451,810</b>	<b>480,062</b>	<b>488,504</b>
<b>FTE</b>	<b>884</b>	<b>917</b>	<b>925</b>	<b>935</b>
<b>II. Security</b>				
<b>A. Reduce the vulnerability of commercial vehicle transportation of hazardous materials to threats of violence.</b>				
1. CMV Hazardous Materials Security (MCSOP)	7,360	7,655	8,095	7,179
Subtotal	<u>7,360</u>	<u>7,655</u>	<u>8,095</u>	<u>7,179</u>
FTE	55	55	57	51
<b>Security -- Subtotal</b>	<b>7,360</b>	<b>7,655</b>	<b>8,095</b>	<b>7,179</b>
<b>III. Commercial Motor Vehicle Productivity</b>				
<b>A. Decrease traffic congestion in pursuit of safety</b>				
1. Motor Carrier Operations (MCSOP)	0	0	0	500
Subtotal	<u>0</u>	<u>0</u>	<u>0</u>	<u>500</u>
FTE	0	0	0	0
<b>B. Improve responsiveness to HHG complaints</b>				
1. Motor Carrier Operations (MCSOP)	2,100	1,988	2,104	3,145
Subtotal	<u>2,100</u>	<u>1,988</u>	<u>2,104</u>	<u>3,145</u>
FTE	10	10	12	16
<b>CMV Productivity -- Subtotal</b>	<b>2,100</b>	<b>1,988</b>	<b>2,104</b>	<b>3,645</b>
<b>IV. Global Connectivity</b>				
<b>A. Facilitate a more efficient cross border motor carrier transportation system that enables economic growth and development.</b>				
1. International Trade Data Systems (ITDS)	99	95	100	352
Subtotal	<u>99</u>	<u>95</u>	<u>100</u>	<u>352</u>
FTE	0	0	0	2
<b>Global Connectivity--Subtotal</b>	<b>99</b>	<b>95</b>	<b>100</b>	<b>352</b>
<b>IV. Organizational Excellence</b>				
<b>A. Provide an Adaptable, World-Class, Mission-Oriented Organizational infrastructure in Support of all FMCSA Mission, Objectives and Strategies</b>				
<b>Total</b>	<b>24,816</b>	<b>28,502</b>	<b>30,141</b>	<b>28,320</b>
1. Promote Strategic Management of Human Capital				4,244
2. Advance Electronic-Government Solutions				2,620
3. Implement Competitive Sourcing				251
4. Enhance Financial & Procurement Performance				8,636
5. Integrate Budget and Performance				2,742
6. Promote Organizational Efficiency and Open Communications				8,175
7. Program Support				1,651
Subtotal	<u>24,816</u>	<u>28,502</u>	<u>30,141</u>	<u>28,320</u>
FTE	58	58	68	58
<b>Organizational Excellence -- Subtotal</b>	<b>24,816</b>	<b>28,502</b>	<b>30,141</b>	<b>28,320</b>
<b>TOTALS: Approp., ObLim., &amp; Exempt Obs.</b>	<b>490,050</b>	<b>490,050</b>	<b>520,502</b>	<b>528,000</b>
<b>FTE (direct funded only)</b>	<b>1,007</b>	<b>1,040</b>	<b>1,062</b>	<b>1,062</b>

+/- \$1K Variance Due to Rounding

1/ Funding includes \$3.502 million in RABA adjustment to be transferred by FHWA

## EXHIBIT IV-2

**FY 2008 BUDGET REQUEST BY APPROPRIATION ACCOUNT AND PERFORMANCE GOAL  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
Appropriations, Obligation Limitations, & Exempt Obligations  
(\$000s)**

ACTIVITY/ PERFORMANCE GOAL	FY 2006 ACTUAL		FY 2007 CR		FY 2007 PRES BUD 1/		FY 2008 REQUEST	
	(\$000S)	FTE	(\$000S)	FTE	(\$000S)	FTE	(\$000S)	FTE
<b>MOTOR CARRIER SAFETY OPERATIONS &amp; PROGRAMS</b>								
<b>I. Safety</b>								
A. Save lives and reduce injuries by preventing truck and bus crashes.	166,584	817	162,973	848	172,347	855	180,119	851
B. Save lives and reduce injuries by preventing and minimizing the severity of Hazardous Materials incidents involving Commercial Motor Vehicles	9,911	67	9,657	69	10,213	70	8,385	84
<b>II. Security</b>								
A. Reduce the vulnerability of commercial vehicle transportation of hazardous materials to threats of violence.	7,360	55	7,655	55	8,095	57	7,179	51
<b>III. Commercial Motor Vehicle Productivity</b>								
A. Decrease traffic congestion in pursuit of safety	0	0	0	0	0	0	500	0
B. Improve responsiveness to HHG complaints	2,100	10	1,988	10	2,104	12	3,145	16
<b>IV. Global Connectivity</b>								
A. Facilitate a more efficient cross border motor carrier transportation system that enables economic growth and development.	99	0	95	0	100	0	352	2
<b>V. Organizational Excellence</b>								
A. Provide an Adaptable, World-Class, Mission-Oriented Organizational infrastructure in Support of all FMCSA Mission, Objectives and Strategies	24,816	58	28,502	58	30,141	68	28,320	58
<b>TOTAL- Motor Carrier Safety Operations &amp; Programs</b>	<b>210,870</b>	<b>1,007</b>	<b>210,870</b>	<b>1,040</b>	<b>223,000</b>	<b>1,062</b>	<b>228,000</b>	<b>1,062</b>
<b>MOTOR CARRIER SAFETY GRANTS</b>								
<b>I. Safety</b>								
A. Save lives and reduce injuries by preventing truck and bus crashes.	270,270	0	270,734	0	288,502	0	291,000	0
B. Reduce hazardous materials incidents involving trucks.	8,910	0	8,446	0	9,000	0	9,000	0
<b>TOTAL- Motor Carrier Safety Grants</b>	<b>279,180</b>	<b>0</b>	<b>279,180</b>	<b>0</b>	<b>297,502</b>	<b>0</b>	<b>300,000</b>	<b>0</b>
<b>TOTAL</b>	<b>490,050</b>		<b>490,050</b>		<b>520,502</b>		<b>528,000</b>	
<b>FTE (Direct funded only)</b>		<b>1,007</b>		<b>1,040</b>		<b>1,062</b>		<b>1,062</b>

1/ Funding includes \$3.502 million in RABA adjustment to be transferred by FHWA

FY 2008

**FMCSA**

**PERFORMANCE  
BUDGET**

Section 4A

Commercial Motor Vehicle  
Safety



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**DEPARTMENT OF TRANSPORTATION  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**

COMMERCIAL MOTOR VEHICLE SAFETY

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## SAFETY

### Performance Goal: Highway Safety

## Commercial Motor Vehicle Safety Summary Overview

This funding request contributes to the DOT Safety strategic objective and performance target to reduce highway fatalities to no more than 1.0 per 100 million vehicle-miles of travel by the end of 2011 as follows:

Fatalities per 100 million vehicle-miles of travel (VMT).							
	<u>2002</u>	<u>2003</u>	<u>2004</u>	<u>2005</u>	<u>2006</u>	<u>2007</u>	<u>2008</u>
<b>Target:</b>	1.40	1.40	1.38	1.38	1.38	1.38	1.37
<b>Actual:</b>	1.51	1.48	1.44(r)	1.45(e)	1.44(p)		

(r) Revised Number

(e) Preliminary Estimate

(p) Projected

This funding request contributes to the new DOT large truck and bus sub-measure and performance target to reduce fatalities involving large trucks and buses to no more than .160 per 100 million vehicle-miles of travel by the end of 2011 as follows:

Fatalities in crashes involving large trucks and buses per 100 million VMT.				
	<u>2005</u>	<u>2006</u>	<u>2007</u>	<u>2008</u>
<b>Target:</b>	n/a	.179	.175	.171
<b>Actual:</b>	.184	.183(p)		

(p) Projected

This funding request also contributes to the DOT Hazardous Materials Safety performance goal of reducing the number of serious hazardous materials incidents as follows:

Number of serious hazardous materials incidents in transportation.							
	<u>2002</u>	<u>2003</u>	<u>2004</u>	<u>2005</u>	<u>2006</u>	<u>2007</u>	<u>2008</u>
<b>Target:</b>	523	515	509	503	470	466	TBD
<b>Actual:</b>	512(r)	539(r)	537(r)	558(e)			

(r) Revised Number

(e) Preliminary Estimate

**SAFETY**  
**Performance Goal: Highway Safety**

## Commercial Motor Vehicle Safety Summary Overview

With these funds, DOT will work to reduce the incidence and severity of commercial motor vehicle crashes by: advancing motor carrier standards and rulemaking; increasing compliance with Federal Motor Carrier Safety Regulations and Hazardous Materials Regulations through both federal operations and Motor Carrier Safety Assistance Program (MCSAP) through grant-funded State enforcement operations that include enforcing safety regulations at the borders and extending motor carrier safety education and best practices; overseeing certification of commercial motor vehicle (CMV) operator's physical qualifications; enhancing commercial driver identification and systems; improving commercial motor vehicle safety information and analysis (including a significant information technology modernization); and, advancing technological solutions.

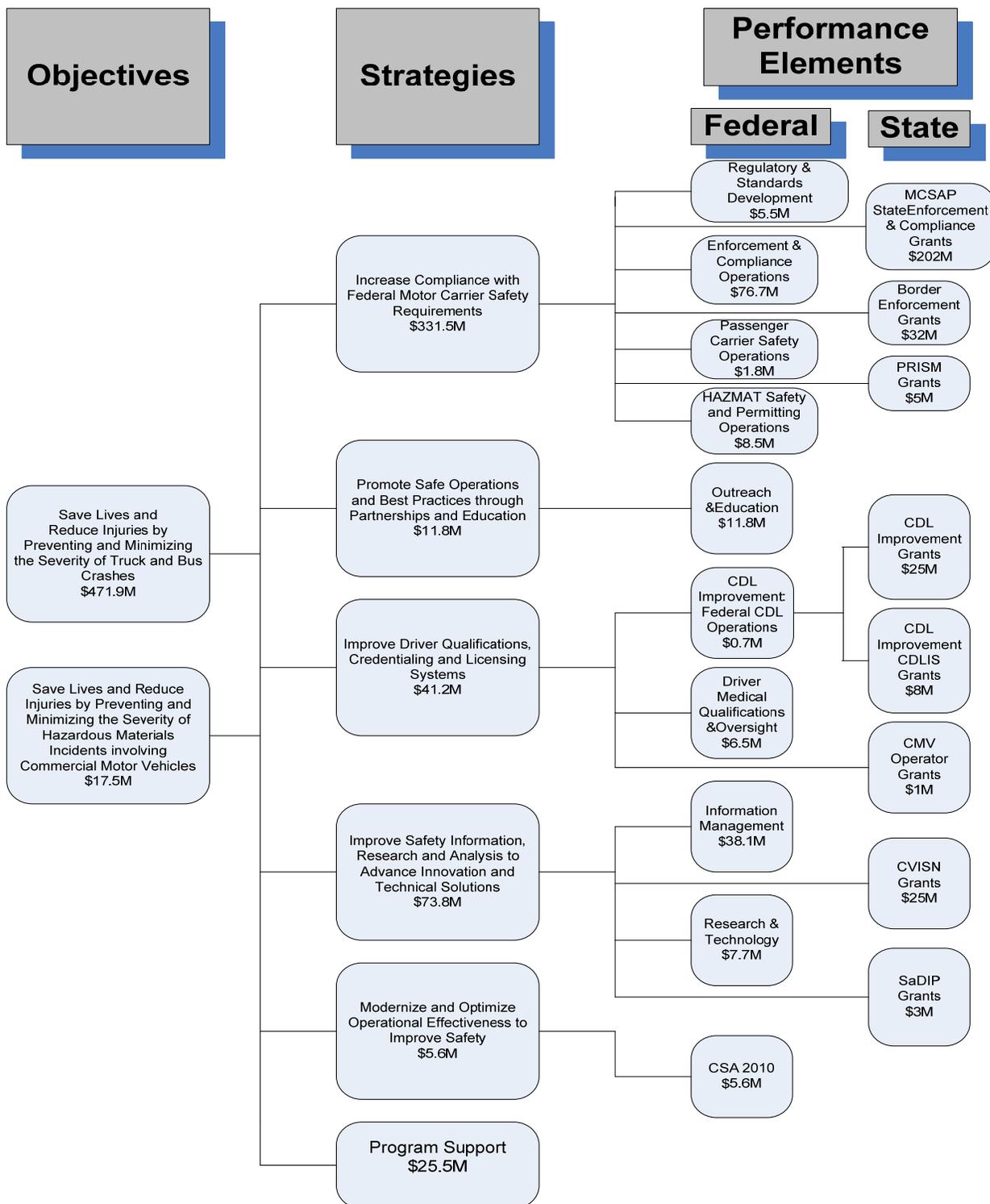
With these funds, DOT will also work to reduce the number and severity of commercial motor vehicle hazardous materials (HAZMAT) incidents through performance elements that include: enforcement and compliance operations; border enforcement grants; and, research and technology.

The resources requested to achieve this goal are:

REQUEST by	FY 2006	FY 2007	FY 2007	FY 2008 TOTAL
STRATEGIC GOAL (\$000)	ACTUAL	CR	PRES BUD	REQUEST
I. Safety	<b><u>\$455,675</u></b>	<b><u>\$451,810</u></b>	<b><u>\$480,062</u></b>	<b><u>\$488,504</u></b>
A. Save lives and reduce injuries by preventing truck and bus crashes				
1. Motor Carrier Safety Operations & Programs	161,584	162,973	172,347	180,119
2. Motor Carrier Safety Grants	270,270	270,734	288,502	291,000
FTE	817	848	855	851
B. Save lives and reduce injuries by preventing and minimizing the severity of Hazardous Materials incidents involving Commercial Motor Vehicles				
1. Motor Carrier Safety Operations & Programs	9,911	9,657	8,385	8,385
2. Motor Carrier Safety Grants	8,910	8,446	9,000	9,000
FTE	67	69	70	84

Note: Motor Carrier Safety Grants include \$3.502 million in RABA Funding (FY 2007) to be transferred by FHWA

# Goal: Commercial Motor Vehicle Safety



# FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

## Marginal Cost of Performance Commercial Motor Vehicle Safety

### Requested Program Changes from FY 2006 Baseline Associated with this Goal:

REQUEST by STRATEGIC GOAL (\$000)	FY 2006 ACTUAL	FY 2007 CR	FY 2007 PRES BUD	FY 2008 REQUEST		
	<u>\$455,675</u>	<u>\$451,810</u>	<u>\$480,062</u>	<u>\$488,504</u>		
1. Motor Carrier Safety Operations & Programs	176,495	172,630	182,560	188,504		
<b>FTE</b>	<b>884</b>	<b>917</b>	<b>925</b>	<b>935</b>		
2. Motor Carrier Safety Grants	279,180	279,180	297,502	300,000		
<b>FTE</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>		
Agency Output or Outcome Measure Associated with this Program increase(s):						
Performance Measure: Lives saved (using the 1996 fatality rate as baseline).						
	<b>FY 2003</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>	<b>FY 2007</b>	<b>FY 2008</b>
<b>Baseline Performance Level:</b>						
Target	1,376	1,595	1,886	<b>1,911(p)</b>	<b>2,186(p)</b>	<b>2,592(p)</b>
Actual	1,088	1,175	1,143 <sup>e</sup>			
Incremental Performance Target with Program Changes	-	-	-	<b>247</b>	<b>228</b>	<b>244</b>
(Total) Performance Target with Program Changes	-	-	-	<b>2,158</b>	<b>2,414</b>	<b>2,836</b>
<b>Marginal Cost Narrative:</b> FMCSA requests an additional \$8.4 million in total funding to support the goal of reducing fatalities involving large trucks. This additional funding would pay for increased Agency enforcement activities that are described in more detail in the pages that follow. Using the 1996 rate of fatalities involving large trucks as the baseline for comparisons, FMCSA's target level of performance without this requested funding would be 2,592 lives saved, in comparison to 1996. The incremental increase is 244 lives that could be saved in FY 2008.						
(e) Preliminary estimate						
(p) Projected based on TVMT projection						

# FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

## Marginal Benefit Commercial Motor Vehicle Safety

### Requested Program Changes from FY 2007 Baseline Associated with this Goal:

	FY2007 CR		FY 2007 PRES BUD		FY 2008 TOTAL REQUEST	
	<u>(\$000)</u>	<u>FTEs</u>	<u>(\$000)</u>	<u>FTEs</u>	<u>(\$000)</u>	<u>FTEs</u>
<b>Total</b>	<b><u>\$455,675</u></b>	<b><u>917</u></b>	<b><u>\$480,062</u></b>	<b><u>925</u></b>	<b><u>\$488,504</u></b>	<b><u>935</u></b>
By Appropriation Account:						
1. Motor Carrier Safety Operations & Programs	176,495	917	182,560	925	188,504	935
2. Motor Carrier Safety Grants	279,180	0	297,502	0	300,000	0

#### Marginal Benefit Narrative:

The marginal increase in FMCSA's funding for Safety from the FY 2008 baseline estimate is \$8.4 million.

Preliminary estimated projections of the 2005 and 2006 large truck fatality rates indicate that FMCSA may have reached a maximum outcome potential with the current program activities and procedures that are in place. Results have flat-lined over the past few years, forcing FMCSA to look for initiatives that will push results to the next level. Therefore, within the Motor Carrier Safety Operations and Programs Appropriation, representing the Federal portion of the base funding, the largest marginal change is creation of a new strategy to modernize and optimize operational effectiveness to improve safety.

In support of this strategy, FMCSA has realigned its existing base to shift approximately \$5.6 million to provide for testing and validation of CSA 2010, which will lead the Agency into a more cost effective approach to carrying out its compliance and enforcement programs. The realignment of funds to CSA 2010 represents a focus on modernizing existing practices, by using funds that would have been used for day to day activities under the current practices and aligning them to concentrate on modernizing those same activities.

This realignment will allow the Agency to develop and test new driver and carrier measurement systems, plan and complete a pilot test, develop new rulemakings and legislation proposals, and develop new data resources, systems and software requirements by FY 2010. The successful completion of these projects will allow FMCSA to achieve a greater economy of scale, bringing a more substantial outcome from enforcement programs with minimal increases on funding and human resources. The marginal benefits associated with this reinvention project will be increased effectiveness and efficiency in the Agency's core compliance and enforcement operations.

**Marginal Benefit (Continued)**  
**Commercial Motor Vehicle Safety**

Within the Motor Carrier Safety Grants Appropriation, representing the grants portion of the base funding, approximately \$1 million represents a marginal change in funding for commercial driver's license (CDL) activities by States. Evidence from the Large Truck Crash Causation Study (LTCCS), and other analysis, shows that driver factors in crashes outweigh other factors by a margin of two to one. In line with these results FMCSA is increasing its oversight of State CDL programs. FMCSA is also providing incentives and assistance for States to use their grant funds to increase their focus on licensing qualified commercial drivers and remove bad commercial drivers from the road. There is also an increase in the marginal portion of basic MCSAP funding that will be available for States to use in traffic enforcement against trucks and non-commercial vehicles operating in the vicinity of trucks.

The FY 2008 budget request is the first time in which FMCSA has formulated a marginal benefit analysis. The marginal benefit will reflect the comparison in the rate of fatal CMV-related crashes to the amount of funds available for safety-related activities from year to year (as shown in the diagram below).

$$\text{Marginal Benefit} = \frac{\text{Crash Rate}}{\text{Safety Funding}}$$

FMCSA will develop a baseline measurement for this marginal benefit in FY 2007 and FY 2008. Targets for future marginal benefits will be developed in upcoming budgets, based on these baseline measurements. FMCSA projects that substantial and measurable benefits will not be seen from these activities until some time between 2010 and 2015, after CSA 2010 activities are fully implemented. Because accurate data often requires a one-year lag time, the first preliminary measurement of marginal benefit may not be available until late 2011 or early 2012.

# **SAFETY GOAL DASHBOARD**

## **CMV Safety Strategic Objectives**

- Save lives and reduce injuries by preventing and/or minimizing the severity of truck and bus crashes.
- Save lives and reduce injuries by preventing and/or minimizing the severity of hazardous materials incidents involving commercial motor vehicles.

### **Performance Elements**

#### **Federal**

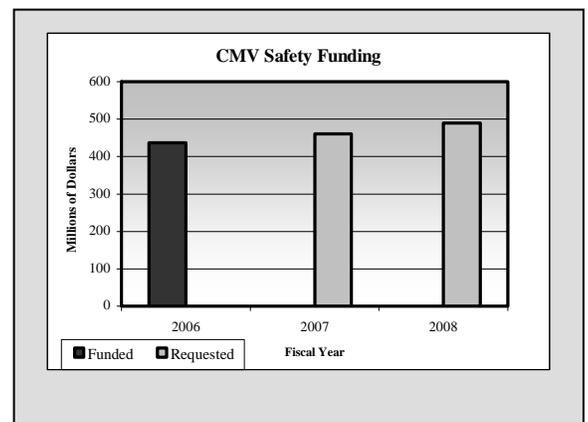
- Regulatory Development
- Enforcement and Compliance Operations
- HAZMAT Safety and Permitting Operations
- Outreach and Education
- Federal CDL Operations
- Driver Medical Qualifications and Oversight
- CMV Operators Grants
- PRISM Operations
- Information Management
- CVISN Grants
- Research and Technology

#### **State**

- MCSAP State Enforcement and Compliance Grants
- Border Enforcement Grants
- CDL Improvement Grants
- CDLIS Grants
- PRISM Grants
- CVISN Grants
- SaDIP Grants

### **Leading Performance Indicators**

- Fatalities in large truck crashes
- Injuries from large truck crashes
- Rate of large truck-related injuries per 100 million truck vehicle miles traveled
- Serious HAZMAT incidents
- Number of HAZMAT CMVs in crashes
- Intercity bus fatalities



## PERFORMANCE ISSUE:

### **General CMV Safety**

In 2004, the most recent year for which data are available, large trucks represented only about 4 percent of registered vehicles; however, they accounted for 8 percent of travel volume on our nation's highways. Of all the people killed in motor vehicle crashes, 12 percent died in crashes involving a large truck<sup>1</sup>. Thus, large trucks are over-represented in fatal crashes.

The trucking industry is large, complex, and dynamic. FMCSA estimates that there are almost 685,000 motor carriers operating commercial motor vehicles in interstate commerce. Motor carriers vary widely in size, from hundreds of thousands of owner-operators to over 50,000 carriers with ten or more power units. Nationwide, approximately 7.9 million trucks and nearly 800,000 buses are registered with State Departments of Motor Vehicles. In 2004, there were more than 12 million truck and 470,000 bus crossings at the borders with Canada and Mexico. The Agency also has jurisdiction over approximately six million commercial drivers.

FMCSA's primary strategic objectives are to save lives and reduce injuries by preventing truck and bus crashes and minimizing their severity. The Agency also strives to save lives and reduce injuries by preventing hazardous materials incidents involving commercial motor vehicles and minimizing their severity. This is aligned with and contributes to the DOT Safety strategic objective and Highway Safety performance goal. Progress toward this goal, though, is challenged by annual increases in motor carrier traffic that increase exposure to crashes. Truck vehicle miles traveled (TVMT) have doubled since 1978, and are presently increasing at an average rate of 2 percent per year. The trend for miles traveled by passenger vehicles, with which commercial motor vehicles share the highways, is also on the rise, increasing car-truck interaction on the highways and contributing to additional exposure to crashes.

Since the Agency's creation, FMCSA has been instrumental in improving the nation's CMV safety. The nation's investment in FMCSA is showing clear results. Since FMCSA's inception in the year 2000, the fatality rate for crashes involving large trucks declined by 11 percent, even though the number of truck vehicle miles traveled (TVMT) increased by over 10 percent. Similarly, we saw the lowest large-truck fatality rate in 30 years in 2004. And, over the past decade, the CMV fatality rate involving alcohol was reduced by more than 66 percent. Activities performed by our safety programs have led to an overall 23 percent decline in total CMV fatalities from the all time high in 1979. During that same period, the overall CMV fatality rate decreased by 64 percent, despite a 31 percent increase in the number of registered large trucks and a 108 percent increase in TVMT.

To achieve these results, FMCSA has worked closely with State enforcement partners to complete more than 25,000 new entrant safety audits, over 11,000 safety compliance reviews, and over 3 million roadside inspections in 2005 alone. As a result, FMCSA initiated more than 5,000 enforcement cases.

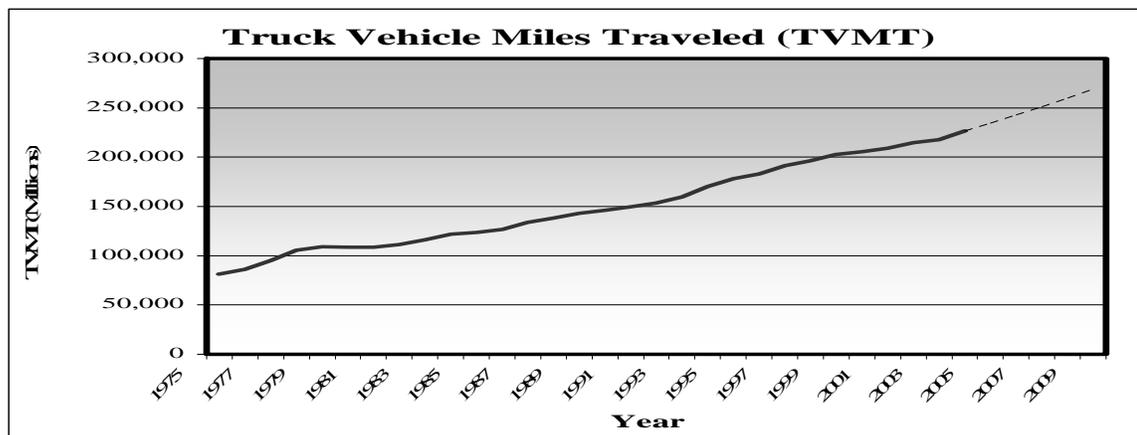
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<sup>1</sup> FMCSA defines a large truck as a motor vehicle with a gross vehicle weight greater than 10,000 pounds

FMCSA also achieved the following major accomplishments in recent years:

- Achieved or exceeded the HAZMAT Safety Goal of reducing the number of serious HAZMAT incidents involving CMVs for four years in a row from 2001-2005;
- Increased roadside vehicle inspections (combined with driver inspections);
- Trained more than 12,000 Federal and State personnel and enforcement agents;
- Reduced the Federal Rulemaking backlog by 68 percent from 2002 to 2005; and,
- Promulgated or revised significant regulations covering topics such as Driver Hours of Service rules and Hazardous Materials Safety Permits.

Without effective safety interventions, fatalities, and injuries from truck-involved crashes could be expected to increase commensurate with the increases in TVMT. Figure 4A-1 illustrates the historical increases in truck vehicle miles traveled, and forecasts through 2009.



(Figure 4A-1)

Motorcoach traffic is also increasing. The motor coach industry carries the highest volume of passengers of all commercial modes of transportation. Commercial motor coaches traveled 6.6 billion miles in 2003, carrying over 650 million passengers. Three distinct passenger industries fall within the jurisdiction of FMCSA's authority, each with its respective safety challenges: the motorcoach industry, the contracted school bus industry, and operations involving commercial vans carrying 9-15 passengers. The motorcoach industry consists of more than 4,000 motorcoach companies. The school bus contractor industry is comprised of privately-owned school bus companies that contract with school districts to provide pupil transportation. There are over 16,000 school districts in the U.S. About one-third of the nation's school bus fleet is privately owned and operated (i.e., contractors). The passenger van industry, often referred to as "camionetas," is an emerging responsibility for FMCSA<sup>2</sup>. Fatalities for commercial motor coach occupants accounted for less than one-tenth of 1 percent of all traffic-related fatalities, which is why the majority of FMCSA's focus is on improving truck safety. However, there were increases in FY 2005 in bus fatalities and FMCSA will emphasize passenger carrier safety in FY 2007 and FY 2008.

<sup>2</sup> Relates to NTSB H-03-018 regarding the application of CMV regulations to 15-passenger vans.

## Performance Goal

After two consecutive years of decline in overall highway fatalities and impaired driving fatalities, and having achieved the lowest recorded fatality rate in history, the data reveal a setback in 2005. Total fatalities increased by 1.4 percent over 2004, to a total of 43,443 in 2005, a figure which includes a minimal decrease of alcohol-related fatalities by 0.2 percent to a total of 16,885 in 2005. The increase in fatalities comes from the continued dramatic rise in the number of motorcycle fatalities and the increase in pedestrian fatalities over the previous year, which more than compensate for the slight decrease in motor vehicle occupant fatalities (- 0.7%). Motorcycles continue to be of particular concern, playing a large role in the increase with a 13 percent increase in motorcycle fatalities in 2005, to a total of 4,553, an increase of more than 115 percent since 1997. The number of pedestrian fatalities increased from 4,675 in 2004 to 4,881 in 2005, a 4.4 percent increase.

Fatalities often receive more public attention than injuries from traffic crashes; however, the societal toll in hospitalization, medical costs, lost productivity, pain and suffering are a significant burden on individuals and on our society. Like fatalities, injury trends are dominated by highway crashes, accounting for 99 percent of all transportation-related injuries. In 2005, approximately 2.70 million individuals were injured in police-reported motor vehicle crashes, a 3.2 percent decline from the 2.79 million individuals injured in 2004.

Motor vehicle crashes are the leading cause of death and disability for Americans age 4 through 34. Traffic crashes cost our economy approximately \$230.6 billion, or 2.3 percent of the U.S. Gross Domestic Product. This figure includes \$81 billion in lost productivity, \$33 billion in medical expenses, and \$59 billion in property damage. Furthermore, this translates to an annual average of \$820 for every person living in the United States. The average cost for a critically injured survivor of a motor vehicle crash is estimated at \$1.1 million over a lifetime.

### ***DOT Outcome Measure***

The Department has made transportation safety its highest priority. While firmly committed to meeting the 1.0 fatality rate goal, the Department has realized that we will not achieve this goal by FY 2008 as originally planned. To continue making our roads safer, a cross-modal working group has been established to identify new strategies and technologies that will reduce highway fatalities. New performance targets have been established in key areas to focus the Department's efforts on the critical factors responsible for the overall highway fatality rate increase. These key focus areas include passenger vehicle occupants, non-occupants (pedestrians, cyclists, etc.), motorcycle riders, and large trucks and buses. They were chosen in part to cover the breadth of all road users. In addition to the establishment of new performance measures for these focus areas; each mode will continue to maintain their agency-specific intermediate outcome measures, many of which serve as a subset to the Department's accountability measures. The DOT overall fatality rate target for 2008 is 1.37 fatalities per 100 million vehicle miles traveled (VMT).

***Reduce the rate of passenger vehicle occupant highway fatalities per 100 million passenger vehicle miles traveled (VMT).***

<b>2003:</b>	1.21
<b>2004:</b>	1.17
<b>2005:</b>	1.14
<b>2006 Target:</b>	1.12
<b>2007 Target:</b>	1.10
<b>2008 Target:</b>	1.06

DOT has established a long-term outcome measure: Reduce the passenger vehicle occupant fatality rate (includes passenger cars, pickup trucks, vans, and SUVs) to 1.06 by 2008. The passenger vehicle occupant fatality rate has declined sharply since 1995 when the rate was 1.44. In 2005 (the latest rate data available), the passenger vehicle occupant fatality rate declined to 1.14. The number of passenger vehicle occupant fatalities decreased in 2005 to 31,415 from 31,866 in 2004.

The 2005 Fatality Analysis Reporting System (FARS) data show passenger vehicle occupant fatalities decreased by 1.4%; occupant fatalities in passenger cars declined by 3.9%, while occupant fatalities in light trucks and vans (LTVs) – to include sport utility vehicles (SUVs), vans and pickup trucks) increased by 2.4%. The increase in LTV fatalities was largely impacted by a 3.4 percent increase in occupant fatalities in pick up trucks.

A further reduction in occupant fatalities and the passenger vehicle occupant fatality rate can be achieved by increased availability of front and side airbags, increased seat belt use, a reduction of alcohol and drug impaired driving and increased use of age-appropriate child safety seats. Consequently, DOT has set a 2008 target rate of 1.06 fatalities per 100 million passenger vehicle miles traveled.

***Reduce the expected rate of increase in motorcycle rider highway fatalities per 1,000 motorcycle registrations.***

<b>2005:</b>	0.73
<b>2006 Target:</b>	0.75
<b>2007 Target:</b>	0.76
<b>2008 Target:</b>	0.76

While 20 percent of passenger vehicle crashes result in injury or death to occupants, an astounding 80 percent of police-reported motorcycle crashes result in injury or death to involved riders. Motorcycle rider fatalities have increased each year since reaching a historic low of 2,116 fatalities in 1997. In 2005 motorcycle rider fatalities increased to 4,553 (increasing for the 8<sup>th</sup> year in a row), from 4,028 in 2004. This is a 13 percent increase in just one year and accounts for 10.5 percent of the 43,443 total fatalities in motor vehicle crashes in 2005.

Data from 2005 show that motorcycle rider fatalities increased for every age group; however, the largest increase was in the “50 and over” age group, followed by the “20-29” and the “30-39” age groups. Significant increases again occurred among older riders (40+) who are primarily riding large engine (1,001 cc and above) motorcycles. Increases also continued to

occur among younger riders (less than 30) riding medium engine (500-1,000 cc) motorcycles. In addition, speed continued to be a major contributing factor in motorcycle crashes especially among the younger riders. Likewise, the number of motorcycle riders killed in alcohol-related crashes increased by 10 percent.

In 2005, 20 States, the District of Columbia, Puerto Rico, Guam, the Virgin Islands, and two other U.S. territories required helmet use by all motorcycle operators and passengers. In another 27 States, only persons under a specific age, usually 18, were required to wear helmets. Three States had no laws requiring helmet use.

According to the Motorcycle Industry Council (MIC), new unit motorcycle sales continued to climb in 2004 (latest data available), rising through the one million mark and reaching levels not seen since the 1970s. MIC data indicates that in 2004, 725,000 new-on-highway motorcycle units were sold, marking the 12th consecutive year of growth for the U.S. motorcycle market. As a result, State operator training programs continue to have difficulty meeting the increased demand for their services.

VMT is usually considered the best measure for exposure since it measures actual miles traveled. However, given that both fatalities and registrations climbed significantly over this period, the lack of change in VMT does not seem credible. Fatality data is collected through FARS and it represents a complete census of all fatal crashes in the U.S. Registration data is collected by the states and provided to the Federal Highway Administration which is responsible for the collection and publication of all exposure data (registration, VMT, licensed drivers). The VMT data collected by the Federal Highway Administration are from estimates gathered by individual states. However, state reporting of motorcycle VMT to FHWA is optional. Even in states that report motorcycle VMT, it is often only measured as a standard proportion of total VMT rather than being collected directly through surveys or roadside counters. FHWA estimates VMT for states that do not report based on data from states that do report. The accuracy of these counts is thus quite speculative. Additionally, motorcycle ridership (i.e. state registration), is itself dependent on high oil prices and successful marketing. For FY 2008, the Department re-baselined this measure to reflect a change of focus from fatalities per 100 million VMT to fatalities per 1,000 registrations.

DOT has set its motorcycle rider fatality rate for FY 2008 at 0.76. Like other road users who are urged to protect themselves from injury or death by wearing seat belts, driving unimpaired, and observing traffic rules, many motorcycle deaths could be prevented if motorcyclists would take responsibility for ensuring they have done everything possible to make the ride safe by taking operator training, wearing protective gear including helmets, and riding sober.

***Reduce the rate of non-occupant highway fatalities per 100 million VMT.***

<b>2003:</b>	0.19
<b>2004:</b>	0.19
<b>2005:</b>	0.20
<b>2006 Target:</b>	0.16
<b>2007 Target:</b>	0.15
<b>2008 Target:</b>	0.19

According to the 2005 data, the number of non-occupants of all types (pedestrians, pedal cyclists and occupants of motor vehicles not in transport and of non-motor vehicle transport devices) killed in motor vehicle crashes increased by 5.7 percent, to 5,849 fatalities in 2005, as compared to 5,532 in 2004. The increase in the non-occupant fatality rate was impacted most by the 4.4 percent increase in pedestrian fatalities and the 7.8 percent increase in pedalcyclist fatalities. To re-align the non-occupant fatality rate goal with current trends, DOT has re-baselined the measure and has set its FY 2008 target to 0.19 fatalities per 100 million VMT.

***Reduce the rate of large truck and bus fatalities per 100 million total vehicle miles traveled.***

**2005:** 0.184

**2006 Target:** 0.179

**2007 Target:** 0.175

**2008 Target:** 0.171

The new DOT large truck and bus sub-measure will track fatalities involving both occupants and non-occupants in a crash involving a truck with a gross vehicle weight rating of 10,000 pounds or more and/or motor coach. This new measurement will use total VMT, rather than truck VMT. Total VMT captures the traffic volumes of all vehicles, which is important given that approximately three-fourths of fatal large truck crashes in recent years have involved a passenger vehicle. The FY2008 target for large truck and bus fatalities is 0.171.

The large truck crash rate fell 19 percent from the baseline year of 1996 through 2005. In 2005, we witnessed a small decrease in the number of large truck related fatalities from the preceding year. This decrease occurs in the context of an operating environment that continually becomes more complex and dangerous in terms of the risk associated with yearly increases in TVMT and the number of vehicles, both private and commercial, that travel on our Nation's highways.

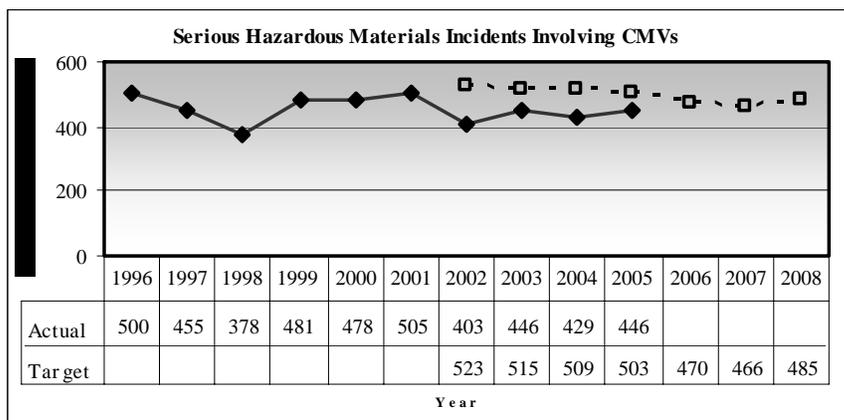
FMCSA's programmatic responsibilities have also increased with implementation of Congressional mandates such as the New Entrant Program (Section 210 of MCSIA); preparing for the opening of the border with Mexico; and taking an increased role in ensuring transportation security. FMCSA's existing compliance and safety programs have improved and have enhanced CMV carrier safety performance. However, despite increases in regulated population and programmatic responsibilities, resources for these efforts are relatively constant and are predicted to remain flat. This flattening of resources renders it difficult for existing programs, and the information systems that support these programs, to deliver prolonged and sustained improvements in motor carrier safety.

### **Hazardous Materials (HAZMAT) Safety**

There are over one million movements of hazardous materials (HAZMAT) every day in the U.S. Ninety-four percent of these movements travel by highway. These materials range from common household chemicals such as concentrated bleach, to gasoline, explosives, fertilizers, propane, and radioactive materials for nuclear power plants. Transportation of these materials is essential for the U.S. economy. However, when these chemicals are spilled they have the potential to cause catastrophic consequences, including: multiple deaths or injuries; property damage; and, severe damage to the environment.

To address the risks associated with the transportation of hazardous materials, the Federal Hazardous Materials Regulations (FHMRS) set forth standards for how these materials must be packaged and transported, as well as establishing standards for communicating the risks posed by these materials to workers, emergency responders, and the public. FMCSA's HAZMAT safety program contributes to providing adequate protection against the risks to life and property that are inherent in the transportation of HAZMAT in commerce. To accomplish this, FMCSA works with various governmental agencies, the HAZMAT industry, and other interested groups.

The goal of FMCSA's HAZMAT Safety program is the reduction of HAZMAT incidents involving commercial motor vehicles (CMVs), which links to the DOT Safety objective. The Agency measures its progress toward achievement of its goal of saving lives and reducing injuries related to HAZMAT by tracking the number of serious reportable



(Figure 4A-3)

hazardous materials incidents involving CMVs.<sup>3</sup> FMCSA's performance goal is a 20 percent reduction in HAZMAT incidents involving CMVs by end of 2010, from the year 2000 baseline of 574, as shown in figure 4A-3 above. Achievement of this performance goal will lead to a significant reduction in the number of HAZMAT incidents related to CMVs and represents an ambitious, yet attainable, long-term goal by which the Agency manages its HAZMAT Safety program.

### Modernization of Safety Programs

Faced with the challenges of a growing safety mission, FMCSA in 2003 initiated Comprehensive Safety Analysis (CSA) 2010, an ambitious program to realign, strengthen, consolidate where possible, and focus its safety programs and enforcement operations. This program is discussed in more detail in the CSA 2010 performance element section below.

In addition to CSA 2010, FMCSA is also examining the foundation of its safety programs in order to achieve the Agency's long-term performance goals. As detailed in the performance elements below, FMCSA is revising many of its key programs, including: increasing oversight of State grants, adding emphasis on State participation in the New Entrant program, emphasizing key enforcement programs, and others.

FMCSA will carry out a coordinated motor carrier safety strategy framed around the following performance elements: regulatory and standards development, enforcement and compliance

<sup>3</sup> Note on data: The definition of a serious hazardous materials incident is: a fatality or major injury caused by the release of a hazardous material; the evacuation of 25 or more employees or responders or any number of the general public as a result of release of hazardous material or exposure to fire; a release or exposure to fire which results in the closure of a major transportation artery, the alteration of an aircraft flight plan or operation, the release of radioactive materials from Type B packaging, the suspected release of highly infectious biological material (risk Group 3 or 4 infectious substances); the release of over 119 gallons or 88.2 pounds of a severe marine pollutant and the release of a bulk quantity (over 119 gallons or 882 pounds) of a hazardous material.

operations, HAZMAT safety and permitting operations, MCSAP Grants, Border Enforcement Grants, outreach and education, CDL Improvement Grants, CDLIS Grants, driver medical qualifications oversight, information management, CVISN Grants, research & technology, SaDIP Grants and CSA 2010. The interrelationship of the programs and resources, and their linkage to the CMV safety goal are illustrated in the logic model on page 4A-3. For each performance element the following narrative is provided: (1) Performance Issue; (2) Anticipated FY 2007 Accomplishments; and, (3) FY 2008 Performance Element Request. Achievement of all FY 2007 performance targets under the safety goal assumes receipt of full FY 2007 funding for this goal.

**PERFORMANCE ELEMENT: Regulatory and Standards Development**



**Responsible Official:** *Associate Administrator for Policy and Program Development*

**PERFORMANCE ISSUE:**

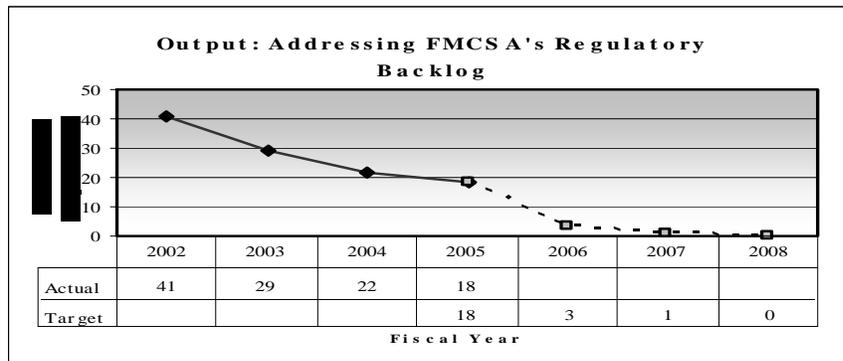
The purpose of this performance element is to promulgate effective, timely, science-based regulations that advance the Agency’s strategic and policy goals. Through regulations, FMCSA will promote improved safety and better operating requirements, provide a clear path for compliance and enforcement efforts, and provide the cornerstone for enhanced safety performance and outreach efforts. Standards and Regulations are the basis for FMCSA enforcement and HHG activities. This element provides subject-matter expertise for safety issues involving commercial motor vehicle drivers, vehicles and carriers and implements non-regulatory policy approaches such as interpretations, exemptions, pilots and educational materials. FMCSA also develops outreach materials and information, as well as responses to industry and stakeholder inquiries, to improve understanding of new and existing regulations and standards. FMCSA continuously responds to a large volume of public and governmental inquiries (by phone, e-mail, controlled correspondence) within established deadlines.

The overall goal of all of these activities is to establish well written, concise, and effective standards for operators and drivers, and issue guidance and regulations. One of the major priorities of FMCSA since FY 2002 has been a goal to eliminate the regulatory backlog of 43 rules by the end of 2008.

The Agency has made great progress on this goal to date, and is now focusing on improving and streamlining the process for future rulemaking activities. FMCSA will also implement two new performance goals to increase the percentage of significant and non significant rulemakings that are processed within 15 days of their targeted submission and completion dates. FMCSA will also continue to support programs with timely drafting of Federal Register Notices in response to petitions for rulemakings, requests for pilots, exemptions, and waivers and preparing regulatory documents.

## ANTICIPATED FY 2007 ACCOMPLISHMENTS

In FY 2007, FMCSA will coordinate the promulgation of the medical certification/CDL Final Rule and manage CDL judicial outreach and education activities in accordance with Section 215 of MCSIA (Public Law 106-159, 113 Stat.1748, 1767 (December 9, 1999)), which requires the Secretary of Transportation to initiate a rulemaking to ensure as part of the CDL program that CDL drivers are medically certified as being physically qualified. Section 215 States, “The Secretary shall initiate a rulemaking to provide for a Federal medical qualification certificate to be made a part of commercial driver’s licenses.” FMCSA will modify the CDL regulations to include requirements that information concerning drivers’ medical certification be recorded and posted to each CDL driving record to allow roadside inspectors electronically to confirm proof of medical fitness. This safety initiative would be implemented in phases to minimize the burden on State licensing agencies and medical examiners, and remain within the resource constraints of FMCSA, the States and the medical examiner community.



(Figure 4A-4)

In FY 2007, FMCSA will use the requested resource level to efficiently manage a large and dynamic regulatory workload. In addition, FMCSA will prepare regulatory documents, and continue to improve and streamline its management of these rules. FMCSA will develop and implement new rulemaking baseline performance measures and milestones to more efficiently manage our roster of active regulatory projects, in addition to reducing a backlog of older regulatory projects. As part of this effort to improve the performance of the many rulemaking teams developing the various rules, FMCSA will revise the Rulemaking Process Order. In FY 2007, as shown in figure 4A-4 above, FMCSA will also reduce the number of backlogged regulatory actions that were pending in FY 2002. Beginning in FY 2007, FMCSA will implement two new performance goals to increase the percentage of significant and non significant rulemakings that are processed within 15 days of their targeted submission and completion dates.

FMCSA will have a large regulatory and standards development workload in FY 2007 including:

- Issuing final rules under the Congressional mandates in SAFETEA-LU, based on an average 22 month rulemaking schedule;
- Publishing final rules on Surge Brakes, Intermodal Chassis and Electronic On-Board Recorders (EOBRs);

- Publishing Notices of Public Rulemaking (NPRMs) for Inspection Decals and Grade Crossing Clearance Space;
- Revising outreach materials for Cargo Securement;
- Publishing revised materials on performance-based brake testing (PBBT) use;
- Studying issues surrounding CMV fires;
- Beginning Rulemaking Action Plans for CMV brake maintenance issues, CMV periodic inspection issues and maintenance of accessibility equipment;
- Initiating rulemaking support for CSA 2010;
- Contributing to DOT Speed Management Team activities;
- Publishing Sensor Study reports on Tires II and CMV Network;
- Completing Phase I of the National Agenda for Bus and Truck Safe Drivers;
- Implementing provisions of the Plain-English Driver Assistance Literature (PEDAL) program regarding hours-of-service (Part 395) issues; and,
- Providing subject-matter expertise in litigation involving hours-of-service and other regulations.

### **FY 2008 PERFORMANCE BUDGET REQUEST**

For FY 2008, FMCSA requests \$5.5 million/24 FTE.

In FY 2008, FMCSA will complete all backlogged regulatory actions that were pending in FY 2002, a total of 41 regulations. Some of the primary areas of concentration in the regulatory and standards arena in FY2008 will be a new initiative entitled “The National Agenda for Bus and Truck Safe Drivers,” speed management activity, Plain-English Driver Assistance Literature (PEDAL), ongoing regulatory and policy development as well as subject-matter guidance and outreach to stakeholders and partners. FMCSA will propose changes to regulatory programs reviewed under our evaluation capability to make FMCSA regulations more effective and timely and will implement new rulemaking baseline performance measures and milestones. FMCSA will continue to achieve two new performance goals to increase the percentage of significant and non significant rulemakings that are processed within 15 days of their targeted submission and completion dates.

FMCSA will have a large regulatory and standards development workload in FY 2008 including:

- Publishing a final rule on Grade Crossing Clearance Space;
- Publishing NPRMs on CMV brake maintenance, periodic inspection, stopping distances and accessibility equipment;
- Publishing Sensor Study Reports on mini field operational tests (FOT) and Special Topics;
- Beginning activities for a follow-on cargo securement study;
- Contributing to DOT Speed Management Team activities;
- Completing Phase II of the National Agenda for Bus and Truck Safe Drivers;
- Implementing provisions of the Plain-English Driver Assistance Literature (PEDAL) program regarding 49 CFR Part 390 issues; and,
- Analyzing and proposing revisions for all FMCSA regulatory guidance involving 49 CFR Part 390.

**PERFORMANCE ELEMENT: Enforcement & Compliance Operations**

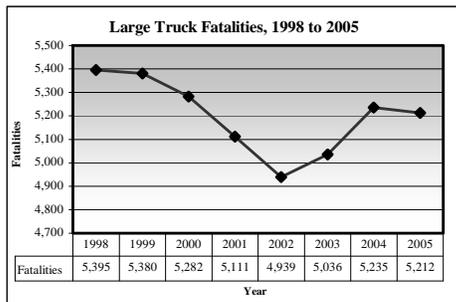


**Responsible Official:** *Associate Administrator for Enforcement and Program Delivery and Associate Administrator for Field Operations*

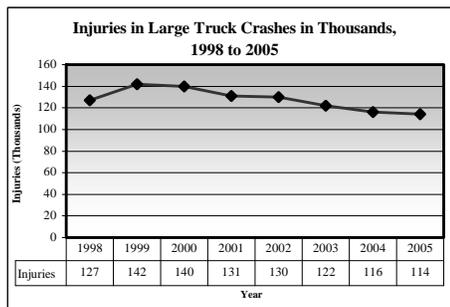
**PERFORMANCE ISSUE:**

FMCSA’s enforcement authority extends to interstate motor carriers and motor coaches. The enforcement and compliance program helps ensure compliance with the Federal Motor Carrier Safety Regulations and ensure unsafe carriers are removed from the nation’s highways. Aggressive enforcement is FMCSA’s primary strategy for meeting our safety goals and serves as the Agency’s core competency. FMCSA targets high risk carriers through compliance reviews, safety audits, hazardous materials carrier reviews, and roadside inspections. FMCSA has a successful Federal/State partnership in implementing these programs. As demonstrated in figures 4A-5 – 4A7 below, the frequency truck crashes, fatalities and injuries have seen decreases over the years, in part, as a result of these efforts.

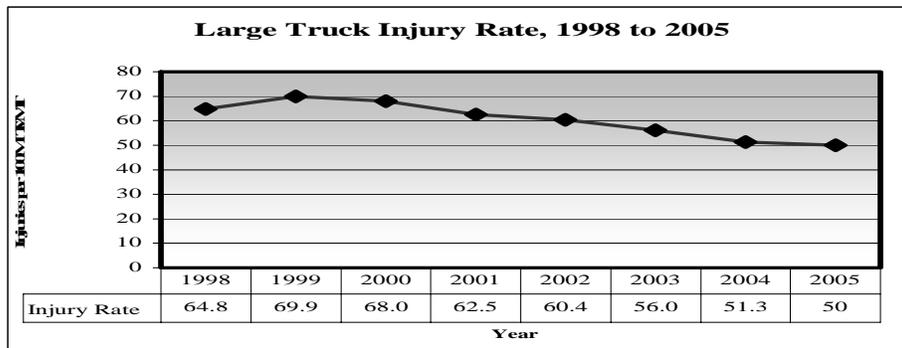
Another key program ensuring safety on our nation’s highways is the New Entrant program. Data has shown that these carriers have the potential to pose serious safety risks on the nation’s highways. FMCSA is making efforts to strengthen the program, through consolidations and realignments, so that we can increase enforcement while maintaining our traditional educational component. This will ensure that interstate carriers that do not pass the New Entrant safety audit will have their operating authority rescinded.



(Figure 4A-5)



(Figure 4A-6)



(Figure 4A-7)

### **ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007, FMCSA will continue to engage in enforcement of the Federal Motor Carrier Safety Regulations (FMCSRs), and Hazardous Materials Regulations (HMRs) the conditional carrier review program and the southern border enforcement program. Funds are also provided for limited Federal oversight of the New Entrant program as SAFETEA-LU legislation funds the New Entrant audit program primarily from MCSAP State grants. Flexibility is provided in SAFETEA-LU for the Secretary to enter into Federal third party contracts for safety audits in States which cannot implement the program. FMCSA anticipates that the new construct of the New Entrant program will allow greater operational focus on the compliance review program. . In FY 2007, Level III (driver) inspections will equal at least 25 percent of all roadside inspections to improve focus on driver safety, and there will be an increased State delivery of the New Entrant program.

FMCSA has been authorized by SAFETEA-LU to establish a \$1 million grant program for persons to train operators of commercial motor vehicles. The purpose of the program shall be to train operators and future operators in the safe use of such vehicles.

Other anticipated accomplishments in FY 2007 include:

- Conducting approximately 7,000 Federal new entrant audits;
- Completing approximately 10,000 Federal compliance Reviews;
- Completing approximately 2,500 conditional carrier reviews;
- Completing approximately 3,000 Southern border safety audits;
- Completing 100,000 Southern border drivers' license checks;
- Completing 100,000 Southern border vehicle and driver inspections; and,
- Completing over 2,000,000 total roadside inspections along with State officials.

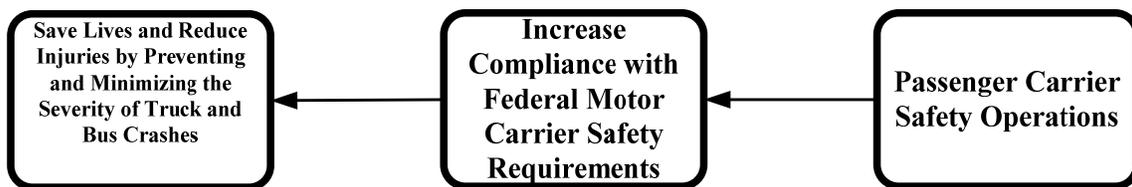
### **FY 2008 PERFORMANCE BUDGET REQUEST**

For FY 2008, FMCSA requests \$76.7 million/688 FTE. FTE in this performance element is a representation of level of activity and does not reflect a specific number of positions. In FY 2007, FMCSA will ensure that Level III inspections equal at least 27 percent of all roadside inspections, to increase the focus on driver safety.

This funding supports administrative support of our State grants programs and the following enforcement activities:

- Conducting approximately 5,000 Federal new entrant audits;
- Completing approximately 10,000 Federal compliance Reviews;
- Completing approximately 2,500 conditional carrier reviews;
- Completing approximately 3,000 Southern border safety audits;
- Completing 100,000 Federal Southern border drivers' license checks;
- Completing 100,000 Southern border vehicle and driver inspections; and,
- Completing over 2,000,000 total roadside inspections along with State officials.

**PERFORMANCE ELEMENT:** *Passenger Carrier Safety Operations*



**Responsible Official:** *Associate Administrator for Enforcement and Program Delivery*

**PERFORMANCE ISSUE:**

An integral role of FMCSA's overall highway safety mission is to reduce crashes, injuries and fatalities involving commercial passenger vehicles, as well as large trucks. To do this, FMCSA issues, administers, and enforces the Federal Motor Carrier Safety Regulations (FMCSRs) on commercial interstate passenger carriers and drivers operating vehicles designed or used to transport more than eight passengers.

The commercial passenger-carrier industry plays a vital role in our nation's transportation network. It moves more passengers each year than the airline industry, affords greater mobility and economic opportunity to thousands of American with no other means of transportation, and provides a critical link in the chain of inter-city intermodal transportation by providing service to airports, seaports and railways. The motorcoach industry is comprised of approximately 3,900 interstate motorcoach companies operating 35,000 motorcoaches in the U.S. There are approximately 120,000 motorcoach drivers who have CDLs with passenger endorsements.

Although motorcoaches are one of the safest forms of commercial passenger transportation, the results of a motorcoach crash or fire can have catastrophic consequences, including multiple deaths, injuries and significant property damage. To mitigate the additional risk associated with transporting people, FMCSA has developed a comprehensive National Bus Safety Program to reduce the number of passenger vehicle crashes, fatalities, injuries and bus fire frequency. We will achieve this through more stringent enforcement and compliance, coordinated research, improved data, better identification of unsafe companies, and more focused outreach and training. FMCSA has placed additional program emphasis on improving commercial passenger carrier safety by listing it as one of the agency's highest priorities for the FY 2008 budget cycle.

## **ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007, FMCSA will complete 525 compliance reviews on motor coach companies that have less than satisfactory safety ratings and continue to pose a highway safety risk. States will participate in at least 130 (25 percent) of these reviews.

FMCSA will fully implement a methodology to prioritize motorcoach companies for on-site reviews. Beginning in FY 2007, State MCSAP agencies will be asked to include inspections of passenger vehicles and passenger vehicle inspection plans within their Commercial Vehicle Safety Plans (CVSPs.) FMCSA will conduct research to obtain information about the driver and management training needs within small commercial passenger vehicle operations in support of the SAFETEA-LU requirement to regulate all passenger vans that carry 9-15 people, regardless of distance traveled. We will identify and evaluate additional sources of bus safety data outside of FMCSA and make recommendations for improving the volume and quality of both safety and exposure data within the Agency. FMCSA will work closely with the National Highway Traffic Safety Administration's (NHTSA) Office of Vehicle Defects Investigations to obtain and analyze critical bus fire data and establish a basic national data base of bus fires.

FMCSA's efforts will also emphasize the development of outreach materials for the industry. In particular, FMCSA will publish a brake retarder informational booklet for motorcoach drivers and upgrade the bus safety program section of FMCSA's website to provide greater accessibility and additional information to the public on the Americans with Disabilities Act bus accessibility requirements for the motorcoach industry.

By the end of FY 2007, 25 percent of States will include a bus inspection component in their Commercial Vehicle Safety Plans. FMCSA will also ensure that approximately 13,500 motorcoach inspections are conducted across the country and 7,600 motor coach inspections are conducted at the borders. The agency will continue to expedite new entrant safety audits on passenger carriers within nine months of beginning operations instead of the 18 month requirement for trucking companies.

## **ANTICIPATED FY 2008 ACCOMPLISHMENTS:**

For FY 2008, FMCSA requests \$1.8 million/17 FTE. This is a new program element that breaks out these activities from the general enforcement activities previously aligned in the FY 2007 request. FTE in this performance element is a representation of level of activity and does not reflect a specific number of positions. Due to the Administrator's priority to improve passenger carrier safety and recent high profile events that occurred during the 2005 hurricane evacuation, FMCSA feels it is vital to break this element out separately to ensure its prominence.

In FY 2008, FMCSA will begin development of a new version of the Passenger Carrier Prioritization System that includes non-motorcoach passenger carriers; including 9-15 passenger vehicle operators, school bus contractors, and mini-bus operations. FMCSA will complete no fewer than 525 compliance reviews on motor coach companies (States will conduct at least 25 percent of these reviews) that have less than satisfactory safety ratings and/or have been identified as continuing to pose a highway safety risk. The Agency will also evaluate FMCSA's

model curriculum for training motorcoach drivers and add the necessary sections to the curriculum for training camioneta/van drivers. To further decrease fatalities, FMCSA will continue to improve bus data and reduce fires through a continued working relationship with NHTSA. The agency will also continue to conduct new entrant safety audits on passenger carriers within nine months of beginning operations.

In addition, FMCSA will continue to emphasize industry outreach and training efforts through FY 2008. FMCSA plans to develop and distribute outreach and educational documents such as the “Pre-trip Safety Briefing Guidance & Model Safety for Bus Passengers” pamphlet and “Passenger Carrier Resource Guide.”

By the end of FY 2008, 50 percent of States will include a bus inspection component in their Commercial Vehicle Safety Plans. FMCSA will also ensure that approximately 13,500 motorcoach inspections are conducted across the country and 7,600 motor coach inspections are conducted at the borders.

**PERFORMANCE ELEMENT:** *Motor Carrier Safety Assistance Program (MCSAP) State Enforcement and Compliance Operations*



**Responsible Official:** *Associate Administrator for Enforcement and Program Delivery*

**PERFORMANCE ISSUE:**

FMCSA’s Motor Carrier Safety Assistance Program (MCSAP) supplements State resources to reduce the incidence and severity of commercial motor vehicle (CMV) crashes by supporting and enhancing State CMV safety enforcement, technology deployment and safety information capabilities.

Basic MCSAP funds and safety performance incentive funds support implementation of State Commercial Vehicle Safety Plans (CVSPs), including uniform vehicle and driver roadside inspections and carrier compliance reviews, as well as traffic enforcement, public outreach, training and data collection capabilities. High priority grants are dedicated to activities and projects that improve CMV safety, increase public awareness and education, and demonstrate new technologies to reduce the number and rate of crashes involving CMVs. New Entrant grants provide funding to State and local governments for new entrant motor carrier audits.

Enlisting the efforts and partnership of State agencies greatly expands the resources available for, and broadens the reach of, safety enforcement. The Government Accountability Office (GAO) has confirmed the complementary nature of Federal and MCSAP-funded State safety programs in its report on GAO Audit GAO-02-495. MCSAP funding leverages vital State resources to reduce the incidence and severity of commercial motor vehicle crashes by

supporting State commercial vehicle safety enforcement, technology deployment, and safety information capabilities. Basic MCSAP funds and safety performance incentive funds will support implementation of State CVSPs, including uniform CMV and driver roadside inspections and carrier compliance reviews, as well as traffic enforcement, public outreach, training, and data collection<sup>4</sup> capabilities. Additionally, MCSAP grants will support implementation of the New Entrant Program for 48 States and the District of Columbia (Oregon and Maine do not participate in this program).

Studies demonstrate that new entrants have higher crash rates than more established carriers and are less likely to comply with Federal regulations. Given that approximately 60,000 new entrants apply for interstate operating authority annually, it is clear that attention to this population is imperative.

As required by Section 220 of MCSIA, FMCSA has established the New Entrant Safety Assurance process whereby all new entrants, in order to register, must certify that they are knowledgeable about the FMCSRs and must undergo a safety audit within the first 18 months of registration, prior to receiving permanent operating authority.

#### **ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007, basic MCSAP funds will enable each State to continue uniform driver and vehicle inspections, commercial passenger carrier safety activities, traffic and CDL enforcement, hazardous materials enforcement, public CMV safety awareness, safety performance data collection and compliance review activities. State CVSPs will identify high CMV crash corridors and propose actions for reducing the frequency and severity of crashes in these corridors. FMCSA will shift the program from predominately vehicle inspection activities to one which includes a greater number of driver inspections. In FY 2007, Level III (driver) inspections will equal at least 25 percent of all roadside inspections to improve focus on driver safety, and there will be an increased State delivery of the New Entrant program.

In FY 2007, FMCSA is proposing to greatly improve federal oversight of the MCSAP program by incorporating a MCSAP Program Review (MPR) into the agency's State oversight activities. Modeled after the CDL Compliance Review Process, the MPR will be used to monitor and assess individual State MCSAP programs for regulatory compliance, fiscal accountability, and overall program effectiveness. FMCSA will reduce the number of open and expired grants to 100 or less in FY 2007.

The MCSAP program will provide safety performance incentive funding to States as an incentive for continuing progress in reducing commercial motor vehicle-related crashes and resulting injuries. FMCSA will provide incentive funding to States that reduce truck-related fatalities and injuries and meet other safety performance criteria with regard to data timeliness and CDL driver status verification. High priority funding will be allocated for safety programs such as data quality initiatives, research and demonstration projects, judicial outreach, public education and outreach, hazardous materials safety and security and special research efforts, as

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<sup>4</sup> FMCSA MCSAP data collection addresses DOT OIG recommendations TR-1999-091-B2 and -B3, concerning the quality and timeliness of data from States.

well as innovative State-specific efforts that have the potential for implementation. By the end of FY 2007, 25 percent of States will include a bus inspection component into their CVSPs

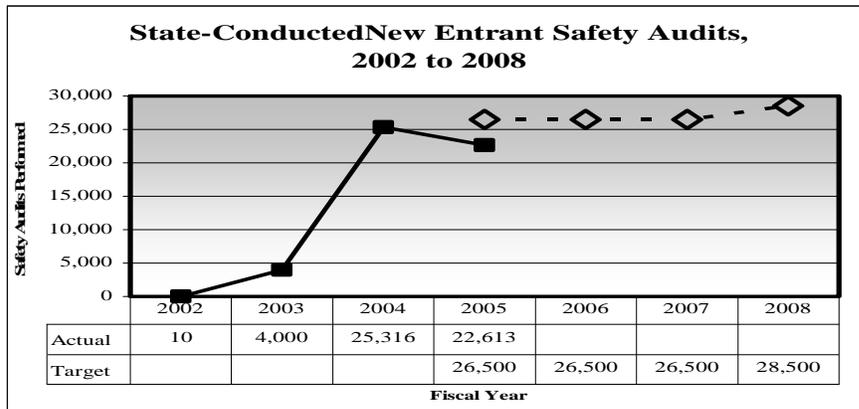
For those States that are unable or unwilling to fully implement the New Entrant Program using government employees, FMCSA may use these funds to hire contractors to conduct audits in those jurisdictions. New entrant funding will continue State implementation of the New Entrant Program with a total of 49 States participating in conducting safety audits on carriers seeking new interstate operating authority.

Other anticipated accomplishments in FY 2007 include:

- Completing approximately 2 million State driver and vehicle inspections;
- Completing 3,700 State-conducted Compliance Reviews;
- Completing 26,500 State New Entrant Safety Audits;
- Completing 130 State Motorcoach Compliance Reviews (25 percent of the total Motorcoach Compliance Reviews conducted);
- Completing 20,000 State-conducted drivers license, authority, and financial responsibility checks;
- Conducting 600 State HAZMAT Compliance Reviews (25 percent of the total number conducted);
- Conducting 200 State HAZMAT Package Inspections;
- Assisting FMCSA in conducting 60,000 Border HAZMAT Inspections; and,
- Developing a traffic enforcement data collection mechanism.

#### **FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$202 million. In FY 2008, FMCSA is proposing that State CVSPs continue to identify high CMV crash corridors and propose actions for reducing the frequency and severity of crashes in these corridors. FMCSA will ensure that Level III inspections equal at least 27 percent of all roadside inspections. By the end of FY 2008, 50 percent of States will include a bus inspection component into their CVSPs. FMCSA will ensure that at least 50 States conduct New Entrant Safety Audits, to supplement the audits carried out by federal employees. FMCSA will also reduce the number of open and expired grants to 75 or less in FY 2008. As figure 4A-8 below shows, the number of State-Conducted New Entrant Audits has been steadily increasing since 2002.

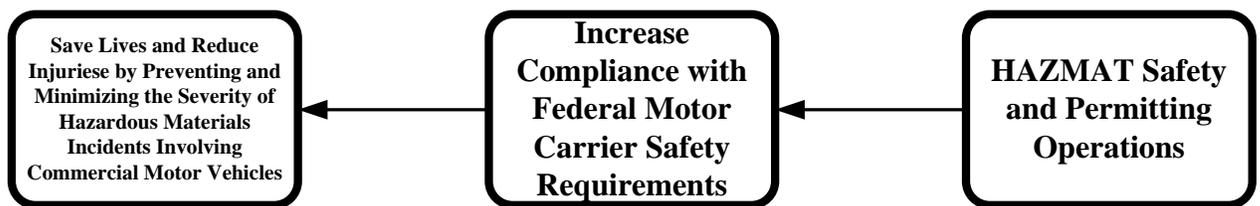


(Figure 4A-8)

Other anticipated accomplishments in FY 2008 include:

- Completing approximately 2 million State driver and vehicle inspections;
- Completing 3,700 State-conducted Compliance Reviews;
- Completing 26,500 State New Entrant Safety Audits;
- Completing 130 State Motorcoach Compliance Reviews (25 percent of the total Motorcoach Compliance Reviews conducted);
- Completing 20,000 State-conducted drivers license, authority, and financial responsibility checks;
- Conducting 620 State HAZMAT Compliance Reviews (25 percent of the total number conducted);
- Conducting 300 State HAZMAT Package Inspections;
- Assisting FMCSA in conducting 60,000 Border HAZMAT Inspections; and,
- Funding 5 States to pilot CSA2010 program improvements.

***Performance Element: HAZMAT Safety and Permitting Operations***



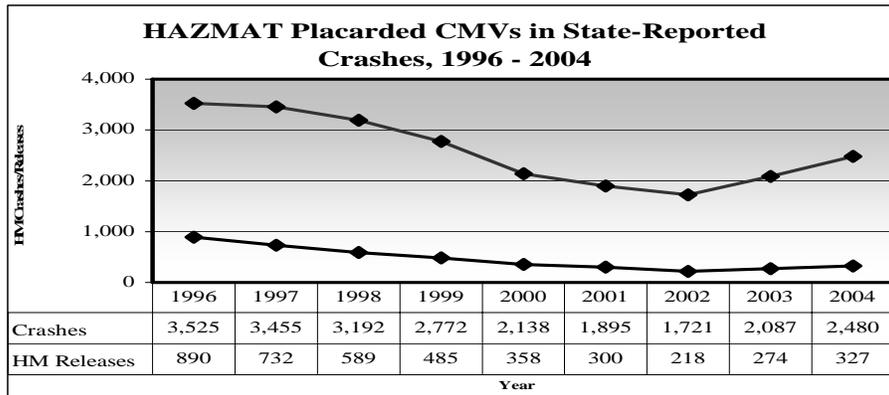
**Responsible Official:** Associate Administrator for Enforcement and Program Delivery

**PERFORMANCE ISSUE:**

Preliminary results from 2005 indicate that there was a continued reduction in serious HAZMAT incidents involving CMVs<sup>5</sup>, as indicated in figure 4A-9 below. This trend continues to meet FMCSA's long-term target of a 20 percent absolute reduction in incidents in the ten-year period 2000-2009. This goal is consistent with the overall DOT strategic objective regarding the decrease of HAZMAT incidents. Resources in the FY 2007 and FY 2008 budgets

<sup>5</sup> Source: PHMSA incident data.

will support the Agency's efforts to continue the current trend and achieve its objectives for this performance element.



(Figure 4A-9)

The HAZMAT Safety program:

- Reduces crashes and serious incidents involving HAZMAT;
- Identifies HAZMAT carriers and shippers that affect the safe transportation of HAZMAT; and,
- Identifies areas within the HAZMAT industry to improve safety by conducting research that will assist the agency in meeting its goals.

**ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007, HAZMAT carrier compliance with the Federal Hazardous Materials Regulations will continue to be an important factor in the safe transportation of HAZMAT in commerce. In FY 2007, funding will continue to support the commercial motor vehicle compliance and enforcement operating activities of FMCSA's hazardous materials field staff. Enforcement and compliance operations include: hazardous materials compliance reviews; hazardous materials shipper reviews; cargo tank facility reviews; hazardous materials package inspections; and, hazardous materials vehicle inspections. FMCSA will continue to perform its HAZMAT compliance mission, taking enforcement action when necessary against motor carriers that pose a greater HAZMAT risk, focusing on incident/crashes, vehicle and driver violations occurrences, and company safety management breakdowns. Activities will also include educational and outreach activities, promotion of technology to improve HAZMAT safety and continued building of partnerships at all levels of government, industry, and academia to leverage all HAZMAT safety resources.

FMCSA will complete research into a methodology for identifying high risk HAZMAT shippers. The Agency will continue work to advance the deployment of technologies to detect radioactive materials on trucks by working with the Department of Energy and selected States. FMCSA will survey the HAZMAT motor carrier industry to gather information vital to conduct analysis concerning the safety of the industry. We will conduct research of the service life of cargo tank research to update FMCSA's current HAZMAT risk assessment tool. FMCSA relies on State partners in identifying countermeasures and safety strategies for success, so we will analyze current HAZMAT Programs in State CVSPs to identify weaknesses and best practices.

In addition, FMCSA will reduce the time it takes to process HAZMAT permit applications to 120 days or less.

In FY 2007, FMCSA expects to complete the following compliance and enforcement activities:

- Conducting 50 cargo tank facility reviews;
- Conducting 265 HAZMAT shipper reviews;
- Completing 2,500 compliance reviews of motor carriers transporting hazardous materials (1,900 by Federal Staff and 600 by State officers);
- Integrating the HAZMAT Permitting program within the FMCSA safety program and conducting 325 compliance reviews on carriers applying for HM safety permits;
- Working with States in conducting 60,000 Border HAZMAT Inspections; and,
- Completing 6,200 hazardous materials package inspections (6,000 by Federal staff and 200 by State officers).

The FMCSA HAZMAT program will be in the third year of implementing the HAZMAT Permitting program for certain carriers of high-hazard materials. During FY 2007, the HAZMAT Permitting program will be fully integrated into the overall HAZMAT program. Another top priority for FY 2007 will be to continue implementation of additional enforcement authority given the Department in the Hazardous Materials Reauthorization that was part of the 2005 SAFETEA-LU legislation.

In FY 2007, FMCSA's HAZMAT program will be placing a higher emphasis on conducting compliance reviews of HAZMAT shippers. In FY 2005 and 2006 FMCSA conducted research into a methodology for identifying high risk HAZMAT shippers. In FY 2007, FMCSA will implement and verify this new methodology.

As part of its efforts to more effectively and efficiently deploy its resources, FMCSA is working to develop estimates of the effectiveness of HAZMAT enforcement activities. Applying the estimates of the effectiveness of compliance reviews to the HAZMAT program suggests that in 2001 (the most recent year of analysis), FMCSA estimates the compliance review program on HAZMAT carriers prevented 350 crashes saving the lives of 16 people and preventing \$138 million in costs. These benefits are in addition to the prevention of serious incidents resulting from improved compliance with hazardous materials regulations.

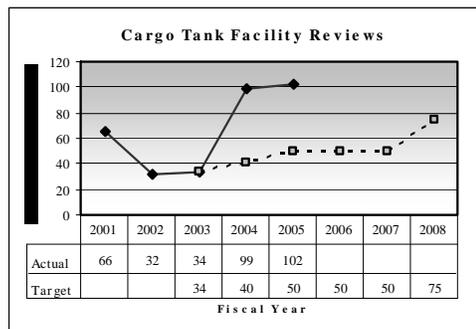
#### **FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$8.5 million/84 FTE. In the FY 2007 request, this element fell under the Hazardous Materials Safety performance element. We have reorganized and consolidated all safety elements under a single safety goal to include Hazardous Materials Safety. FTE in this performance element is a representation of level of activity and does not reflect a specific number of positions.

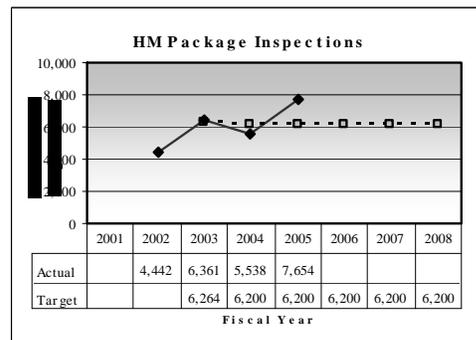
FMCSA will fully integrate the HAZMAT Permitting program within the FMCSA safety program and will conduct 325 compliance reviews on carriers applying for HM safety permits. We will conduct research into a methodology for identifying high risk HM shippers, HAZMAT crossing the southern border, service life of cargo tanks, cargo tank design and research to update FMCSA's current HAZMAT Risk assessment tool. FMCSA will also advance the

deployment of technologies to detect radioactive materials on trucks by working with the Department of Energy and selected States. FMCSA will also continue to conduct a facility reviews and package inspections as reflected in figures 4A-10 and 4A-11 below.

In FY 2008, FMCSA will continue to survey the HAZMAT motor carrier industry to gather information vital to conduct analysis concerning the safety of the industry. The Agency will initiate a Radioactive Transportation Program to support the transportation of high level radioactive material to a Nevada repository. We will complete the HM Shipper Prioritization Program and review State Commercial Motor Vehicle Safety Plans to bring uniformity to the HAZMAT programs at the State level. FMCSA will enhance the “FMCSA State HM Program Modal Guidebook.”



(Figure 4A-10)



(Figure 4A-11)

In FY 2008, FMCSA will work to reduce the number of HAZMAT crashes involving CMVs to no more than 485. In addition, FMCSA will reduce the time it takes to process HAZMAT permit applications to 90 days or less. To accomplish this, FMCSA expects to complete the following compliance and enforcement activities:

- Conducting 75 cargo tank facility reviews;
- Conducting 280 HAZMAT shipper reviews;
- Completing 2,560 compliance reviews of motor carriers transporting hazardous materials (1,940 by Federal Staff and 620 by State officers);
- Conducting 325 compliance reviews on carriers applying for HM safety permits;
- Working with States in conducting 60,000 Border HAZMAT Inspections;
- Conducting 25 HAZMAT Materials Tests; and,
- Completing 6,300 hazardous materials package inspections (6,000 by Federal staff and 300 by State officers).

**PERFORMANCE ELEMENT: Border Enforcement Grants**



**Responsible Official:** Associate Administrator for Enforcement and Program Delivery

## **PERFORMANCE ISSUE:**

Foreign carriers, drivers and vehicles must comply with the same Federal safety regulations as their U.S. counterparts when operating in the U.S. Freight and commercial motor vehicle traffic crossing the international borders with Mexico and Canada will continue to increase each year. Close cooperation among Federal and State agencies will continue to be necessary to ensure only safe and secure cargo, vehicles, drivers and authorized carriers cross in an efficient manner at international borders. Border grant funding will continue to support and sustain State efforts to enforce the Federal motor carrier safety, operating authority and financial responsibility requirements on foreign carriers. The program also will develop the necessary telecommunications and information technology systems among the States and with Federal border inspection agencies and the governments of Canada and Mexico, as well as assist in identifying and locating foreign carriers and drivers that have violated Federal safety and security laws and regulations. Section 350(c)(1) of the FY 2002 DOT Appropriations Act requires the Inspector General to conduct an annual review of southern border operations.

In FY 2003, almost 11 million trucks crossed U.S. borders with Canada and Mexico. An estimated seven to ten percent of these truck shipments transported HAZMAT. Foreign carriers, drivers and vehicles must meet the same requirements as their U.S. counterparts. FMCSA border operations are divided into two major components, the Southern border and the Northern border, which are detailed below.

Southern Border: The Southern border enforcement grants funds will be used to support State inspectors involved in inspection of foreign carriers, drivers and vehicles along and near the border with Mexico. State truck and bus safety enforcement agencies have enhanced their presence along the southern border to staff State inspection facilities. The increased staff is necessary to meet the requirements of the FY 2002 DOT Appropriations Act.

Northern Border: Northern Border grants will be used to fund additional State inspection activities and related operations along the highway corridors leading from Canada. Northern border safety inspections present unique challenges because of the large number of crossings. The affected States have developed CMV enforcement programs unique to their situation, including hiring additional staff to address cross border traffic.

## **ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

State inspectors supported by these funds are located at and near the twenty-five major commercial cargo crossings. The majority of the inspectors are located in Texas which has 13 of the crossings and accounts for 68 percent of the truck north-bound crossings. The Northern Border grants will be used to fund additional State inspection activities and related operations along the highway corridors leading from Canada. Northern border safety inspections present unique challenges ranging from crossings with only a few CMVs each year to the largest CMV international crossing in North America, the Ambassador Bridge in Detroit.

### *Southern Border:*

State truck safety enforcement agencies along the Southern Border have enhanced their presence along the border by increasing their staffs to over 300 inspectors. In FY 2007, there

will be a shift towards an increased number of driver-only inspections to address the primary cause of crashes as identified in the “Large Truck Crash Causation Study.” Prior to entering the U.S., carriers, drivers, and vehicles will be screened for compliance with U.S. safety requirements as part of the Automated Commercial Environment/International Trade Data System (ACE/ITDS) program. This pre-arrival screening will result in a more efficient border enforcement program by targeting higher risk carriers, drivers, and vehicles for inspections and allowing those low risk, safety-compliant carriers to proceed without having to stop.

The States will also use FMCSA grant funding to deploy officers in mobile units to conduct roadside inspections and perform inspections of commercial passenger carriers at other crossings, non-fixed facilities, and destination points in the United States. Southern Border grants will also fund an estimated 350,000 State-conducted border vehicle/driver inspections including checks of financial responsibility, operating authority and commercial drivers’ license. States will conduct 65,000 commercial driver’s license checks and 20,000 license, authority and financial checks. Federal and State personnel will also conduct 60,000 Hazardous Materials inspections at the Northern and Southern borders.

*Northern Border:*

Northern Border grants will be used to fund additional State inspection activities and related operations along the highway corridors leading from Canada. Northern Border safety inspections present unique challenges brought about by over 70 significant truck crossings. The CMV traffic at these crossings ranges from only a few CMVs each year to the largest CMV international crossing in North America, the Ambassador Bridge in Detroit. The affected States have developed CMV enforcement programs unique to their situation, including hiring additional staff to address cross border traffic. Thirty-three percent of all State-conducted vehicle/driver inspections in Northern border States will be conducted on foreign carriers at the border. In FY 2007, the Northern Border grant program will reach maturity as the State enforcement programs will complement the pre-screening operations of the Department of Homeland Security (DHS). Northern Border Grants will also fund Federal and State conducted Hazardous Material inspections (60,000 will be conducted at the Northern and Southern borders.) Grants will also be used to fund approximately 10,000 State-conducted Canada commercial driver’s license checks.

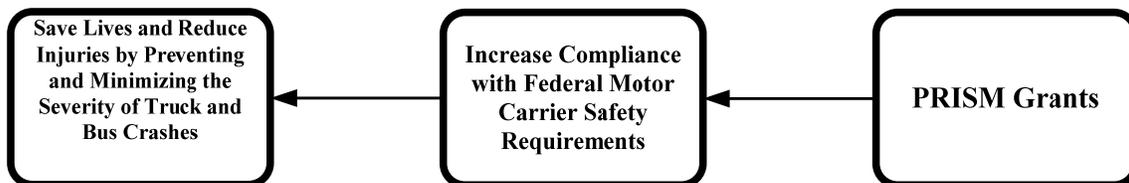
FMCSA will also support joint projects to address CMV global connectivity, productivity, and safety. FMCSA will continue to work closely with the Bureau of Customs and Border Protection (CBP) on the ACE/ITDS. FMCSA will coordinate with CBP on the operational, technical, and administrative aspects of these programs. As the CBP programs mature, greater participation by FMCSA will be required to ensure the safety aspects of commercial motor carriers, vehicles, and drivers are appropriately considered and integrated into CBP’s safety and security initiatives.

**FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$32 million. FMCSA anticipates that States will conduct 65,000 Southern border commercial driver’s license checks and 10,000 Northern border commercial drivers’ license checks in FY 2008. Thirty-three percent of all State-conducted vehicle/driver inspections in Northern border States will be conducted on foreign carriers at the border. States will conduct 20,000 license, authority and financial checks as well as a total of 350,000 border vehicle/driver inspections including checks of financial responsibility, operating

authority and commercial drivers' license at the Southern border. Federal and State personnel will also conduct 60,000 Hazardous Materials inspections at the Northern and Southern borders.

**PERFORMANCE ELEMENT: PERFORMANCE AND REGISTRATION INFORMATION SYSTEMS MANAGEMENT (PRISM) GRANTS**



**Responsible Official:** *Associate Administrator for Enforcement and Program Delivery*

**PERFORMANCE ISSUE:**

PRISM is an essential component of the Agency's enforcement program and provides critical information on the size and operating characteristics of carriers and provides a direct safety enforcement link by tying carrier safety performance to vehicle identification numbers (VIN). PRISM States require motor carriers to identify the USDOT number of the motor carrier responsible for the safety of each registered vehicle. The link to individual VIN numbers helps address motor carriers that change company names in an attempt to evade FMCSA sanctions. PRISM grant funding to States is primarily used to establish information system connections between State vehicle registration agencies and FMCSA to provide for safety status checks as a condition for receiving IRP license plates from State licensing agencies.

One of the fundamental tenets of the PRISM program is that State vehicle registration agencies will suspend a motor carrier's International Registration Plan (IRP) license plates in conjunction with an FMCSA order to cease interstate operation; and/or deny renewal of IRP license plates to any motor carrier that is prohibited from operating in interstate commerce by FMCSA.

During FY 2004, FMSCA ordered nearly 1200 motor carriers to cease interstate operations. These numbers are expected to increase during FY 2007 through FY 2009. Unfortunately, many of these carriers continue to operate after they have been ordered to cease interstate commerce and FMCSA lacks the staff resources to continuously monitor and enforce these out-of-service orders, thus we are unable to ensure that unsafe carriers do not continue to operate on our nation's highways.

Through a fully functioning PRISM program, the effectiveness of these orders will be substantially increased. Through PRISM, the interstate vehicle registration privileges of these motor carriers may be revoked and/or denied, thus preventing the carriers from operating since they are not issued license plates. Twenty-four States are actively implementing PRISM, 23 States are in the planning stages for implementing PRISM, and three States are not participating in PRISM.

In addition, PRISM States require motor carriers to update their motor carrier census data as part of their annual vehicle registration processes if it will expire during the registration year. These activities provide an automated enforcement mechanism for Section 217 of MCSIA and support more accurate identification of high-risk carriers and targeting of Federal and State enforcement resources. The USDOT number of the motor carrier responsible for safety also provides a link so that a license plate number may be used to assist in the correction of approximately 150,000 non-match inspection and accident reports annually.

Because PRISM uses the State International Registration Plan (IRP) process as the framework for the program, requirements to perform safety status checks and require annual updates of registrant and motor carrier census data primarily affect motor carriers operating commercial motor vehicles with a gross vehicle or combination weight rating greater than 26,000 pounds.<sup>6</sup>

#### **ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007, FMCSA will conduct PRISM Recruitment Briefings and Training and Implementation Plan Development Meetings with States to encourage new and continued program participation. The Agency will conduct PRISM Implementation Status Reviews to evaluate State compliance with grant objectives. We will conduct briefings with State motor carrier associations and other stakeholders to garner support for States to seek PRISM-enabling legislation in their legislatures. FMCSA will provide PRISM program support to the States including technical IT assistance, identification of high-risk carriers, maintenance of the PRISM central site database, and coordination with State license plate registration system contractors. The Agency will increase the number of States receiving automated notification of FMCSA out of service orders and invoking license plate sanctions and will increase number of States enforcing census update requirements (MCS-150) as a condition of license plate renewal. In FY 2007, 49 States will have grant allocations from the PRISM grant program and 37 States will have approved implementation plans. FMCSA will also work with State partners to ensure that at least 25 States suspend/revoke/deny license plates by FY 2007, based on FMCSA's determination that the carrier cease interstate operations.

#### **FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$5 million. In FY 2008, FMCSA will begin to formulate reauthorization goals based on analysis of the current program. We will continue to conduct PRISM Recruitment Briefings and Training and Implementation Plan Development Meetings with States to encourage new and continued program participation. The Agency will conduct PRISM Implementation Status Reviews to evaluate State compliance with grant objectives.

We will conduct briefings with State motor carrier associations and other stakeholders to garner support for PRISM-enabling legislation in the States. FMCSA will provide PRISM program support to the States including technical IT assistance, identification of high-risk carriers, maintenance of the PRISM central site database, and coordination with State license plate

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<sup>6</sup> Carriers operating commercial motor vehicles between 10,000 and 26,000 pounds are not captured through the PRISM process. Therefore, while FMCSA activities typically focus on a total motor carrier population of 675,000 carriers, PRISM activities correspond more appropriately with the total number of IRP registrants (approximately 350,000 in 2004) captured through the registration process.

registration system contractors. The Agency will increase the number of States receiving automated notification of FMCSA out of service orders and invoking license plate sanctions and will increase number of States enforcing census update requirements (MCS-150) as a condition of license plate renewal. In FY 2008, 49 States will have grant allocations from the PRISM grant program and 45 States will have approved implementation plans. FMCSA will also work with State partners to ensure that at least 30 States suspend/revoke/deny license plates by FY 2008, based on FMCSA's determination that the carrier cease interstate operations.

**Performance Element: *Outreach and Education***



**Responsible Official:** *Associate Administrator for Enforcement and Program Delivery and Associate Administrator for Administration*

FMCSA conducts outreach and educational programs in support of DOT's strategic goals by partnering with FHWA, NHTSA, States, and stakeholders to inform and heighten public awareness and appreciation for the safe operation and best highway safety practices for commercial motor vehicles, drivers and passenger vehicles with whom they interact on the highways. Additionally, the Agency informs and promotes consumer education of their rights and responsibilities as they pertain to the interstate movement of household goods.

More needs to be done to heighten awareness of the hazards of driving in and around trucks, consistent with broader DOT highway safety objectives. To change behaviors and heighten appreciation of safe operating practices, the Agency identifies inherent problems or areas for improvement, and targets educational materials and outreach countermeasures at affected audiences. Appropriately, FMCSA targets specific outreach aimed at changing the knowledge, attitudes, and behaviors of commercial motor carriers, commercial motor vehicle drivers, and passenger vehicle drivers driving in the vicinity of large trucks, especially of sub-groups known to be high-risk drivers.

The 2005 CMV Safety Belt Usage Study showed that only 54 percent of all CMV drivers wear safety belts as compared to 82 percent of passenger car drivers. In 2004, of the 634 drivers of large trucks who died in truck crashes, 303 were not wearing safety belts. Appropriately, FMCSA implements educational strategies to increase motor carrier compliance with the safety regulations, including safety belt use, and reduce the likelihood of a commercial vehicle crash. The Agency has set a goal to increase safety belt use among CMV drivers by 10 percent between 2008 and 2011.

## **ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007, FMCSA will build on direction provided by Congress and the Government Accountability Office (GAO) by improving the results of the Agency's outreach and educational activities. While the Agency has made gains through its traditional education and outreach activities, the program and message will be more aggressively applied to clearly identified targets.

In FY 2007, FMCSA will develop outreach and education materials, including a "How to Guide" for the States to implement a NHTSA modeled initiative called the CMV Selective Traffic Enforcement Program (STEP), referred to as Ticketing Aggressive Cars and Trucks (TACT).

FMCSA will also develop materials for passenger safety for the motor coach industry, "Non-Entrants" Program and the Medical Examiner's Program. Also, the Agency will implement TACT in two States with the highest fatality and crash rates to demonstrate the effectiveness of combining high-visibility enforcement with education, communications, and evaluation.

FMCSA will conduct the 2007 National Occupant Protection Use Survey (NOPUS) study in order to measure the effectiveness of the CMV Driver Safety Belt Program and highlight CMV safety belt outreach and enforcement activities during RoadCheck 2007. International RoadCheck promotes truck and bus safety and security in North America. International RoadCheck will take place throughout the United States, Canada, and Mexico during 72 continuous hours each year. Approximately 10,000 CVSA certified truck and bus safety inspectors will be on the job at inspection sites along major highways. Roving patrols will inspect commercial vehicles traveling other highways. The annual 72-hour International RoadCheck focuses on the year-round commercial vehicle and driver roadside inspection program and draws the public's attention to the continuous and combined efforts of law enforcement and the truck and bus industries to save lives on North American highways.

FMCSA will continue the CMV Safety Belt Partnership for development and dissemination of outreach materials and strategies in order to increase CMV safety belt usage. As part of the ongoing efforts to reach more stakeholders, especially those coming through our borders, FMCSA will translate designated safety outreach materials into Spanish. By the end of FY 2007, FMCSA hopes to achieve a safety belt usage rate of 59 percent among CMV drivers.

FMCSA will also develop the "Safety is Good Business": Non-Entrants Program database to track and monitor unregistered CMV carriers. The Agency will update the Mexican Motor Carrier Training Web site and conduct program evaluations of the Share the Road Safely and Passenger Safety Programs.

## **FY 2008 PERFORMANCE BUDGET REQUEST**

For FY 2008, FMCSA requests \$11.8 million (\$3 million is for the Outreach and Education program, out of the total \$4 million as authorized by SAFETEA-LU; the remainder of which is explained in the Productivity Goal write-up)/11 FTE. For FY 2008, FMCSA is including all outreach and education activities, administrative costs, and the FMCSA Motor Carrier Safety Training Academy.

FMCSA will roll out the TACT Program in selected States with the highest fatality and crash rates to demonstrate the effectiveness of combining high-visibility enforcement with education and communications. FMCSA will print and disseminate the TACT “How to Guide” on a national level and encourage all MCSAP States to adopt this successful program. FMCSA will continue to conduct a NOPUS Survey to measure safety belt use among CMV drivers in order to measure the effectiveness of the CMV Driver Safety Belt Program.

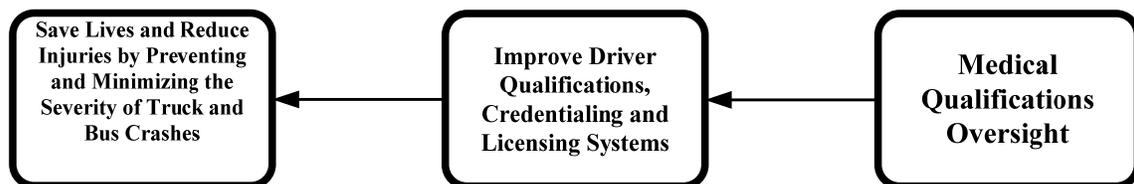
FMCSA will highlight the CMV safety belt outreach and enforcement activities during RoadCheck 2008. FMCSA will continue the CMV Safety Belt Partnership for development and dissemination of outreach material and strategies in order to increase CMV safety belt usage. The Agency will continue to translate designated outreach materials into Spanish and French.

FMCSA will continue to research, design and develop education and training materials concerning passenger safety for bus companies and their drivers. The Agency will update and disseminate outreach materials for the Safety is Good Business: Non-Entrants Program to targeted audiences and assess the effectiveness of the Non-Entrants Program through program measurement and evaluation activities. In addition, FMCSA will monitor and upgrade the “Non-Entrants” tracking database for unregistered CMV carriers to improve FMCSA’s compliance and enforcement efforts.

FMCSA will update the Mexican Motor Carrier Training Web site and work with Mexican Certified Trucking Schools and Training Centers referred to in Mexico as the “Registro de Centros de Capacitación” to disseminate outreach and education materials to Mexican motor carriers and drivers. FMCSA will also continue to develop and implement educational materials in support of FMCSA’s Medical Examiner’s Program. The Agency will conduct program evaluations of the CMV Safety Belt Usage Improvement Program and Passenger Carrier Safety Program.

FMCSA will measure the performance of outreach and education initiatives by achieving 72 percent positive scores on customer satisfaction survey results of the FMCSA Share the Road Safely, CMV Safety Belt and Passenger Carrier Safety Web sites. In FY 2008, FMCSA plans to see a 15 percent increase in web site visits. As a result of outreach and education activities, FMCSA’s goal is to achieve a rate of 62 percent safety belt use among CMV drivers.

**PERFORMANCE ELEMENT: MEDICAL QUALIFICATIONS OVERSIGHT**



**Responsible Official:** *Associate Administrator for Policy and Program Development*

**PERFORMANCE ISSUE:**

FMCSA has jurisdiction over approximately 6 million commercial drivers. The increasing number of commercial drivers and the prevalence of medical conditions related to an aging

population, such as cardiovascular disease and degraded vision, will have a detrimental effect on the health and safety of commercial drivers and highway safety overall. FMCSA's Medical Qualifications Oversight program is working to develop and launch a strategy for creating a much-improved comprehensive medical program, including evaluation of the current medical certification process (programs and activities) and successful implementation of key initiatives. The driver medical oversight function covers three major areas of focus; regulation and policy development, the National Registry of Certified Medical Examiners and medical exemptions.

The purpose of the regulation and policy function is to regulate, develop and implement commercial motor vehicle driver fitness for duty programs, that impact the health and safety of commercial motor vehicle drivers, impacting public safety, and those who carry out the standards and programs. Section 4116 of SAFETEA-LU requires the Secretary of Transportation to establish and maintain a current national registry of medical examiners who are qualified to perform examinations and issue medical certificates for commercial motor vehicle (CMV) drivers. SAFETEA-LU also requires that medical examiners complete training in physical and medical examination standards. FMCSA is developing the National Registry program to establish clearly defined evidence-based standards for medical examiner competency through training, testing, certification, and recertification. In addition, this program will allow FMCSA to perform quality reviews of medical examiner performance and practice, including analyses of medical examination reports.

The medical exemption and certificate program is required by TEA-21 and SAFETEA-LU. It supports Safety by providing exemptions for drivers with insulin-treated diabetes mellitus (ITDM), vision deficiencies and limb impairments/amputations who are deemed to be otherwise safe, based on defined (science-based) program eligibility and monitoring criteria.

The long term goals of all of these activities are to upgrade FMCSA's medical standards for diabetes mellitus, vision and for the skill performance evaluation certificate (SPE) programs, with the potential for eventual elimination of these medical exemptions programs or transfer of these programs to the field and/or States. Also, the Agency must review, and revise where appropriate, 100 percent of FMCSA's medicals standards and develop new standards where critical gaps exist. We will institutionalize a permanent, continuous review cycle for medical policy and research. We will also institutionalize a permanent national registry and national medical data system that lists and monitors qualified medical examiners who perform driver fitness for duty examinations.

## **ANTICIPATED FY 2007 ACCOMPLISHMENTS**

In FY 2007 FMCSA will begin operation of the Agency's Medical Review Board (MRB), first approved in the FY 2004 surface transportation reauthorization. The MRB provides FMCSA with expert medical resources for making decisions on the fitness of CMV driver applicants with impairments, and serves as an authoritative and on-site resource of medical expertise to plan and develop the Agency's medical standards. The requested funding would also support implementation of the MRB's comprehensive plan to review and update medical standards for qualifying CMV drivers to reflect the latest medical and scientific knowledge and technologies. FMCSA will reduce the average amount of time to process medical exemption requests to 180 days. The Board will review 30 percent of all existing medical standards, initial or ongoing, in conjunction with a Medical Rulemaking Plan.

The FY 2007 request for this element would also fund the ongoing maintenance of FMCSA's National Registry of Certified Medical Examiners and establish a certification and accreditation process. The national registry will permit the Agency to better monitor the quality, practices, and current licensing status of medical examiners that perform required medical examinations of commercial motor vehicle drivers. Establishment of the registry of qualified medical examiners responds to the National Transportation Safety Board, which issued eight safety recommendations in September 2001 recommending that FMCSA establish comprehensive standards for qualifying medical examiners who conduct physical qualification examinations.

**Medical Review Board:**

In FY 2007, FMCSA will convene the MRB quarterly, and develop a long-term plan for MRB work, including review of standards. In partnership with the MRB, we will analyze 30 percent of the FMCSR medical standards and guidelines, completing a minimum of five comprehensive and expedited reviews.

**Medical Standards, Research and Technical Support:**

FMCSA will develop and implement the new rulemaking action-plan for FMCSR medical standards (coordinated plan to integrate rulemaking actions, medical program and enforcement programs) and publish the Medical/CDL Merger Final Rule. We will conduct five medical research proceedings. FMCSA will appoint the Chief Medical Examiner (senior level position). We will utilize key partnerships, such as conducting the American College of Occupational and Environmental Medicine (ACOEM) Visiting Scholar program, to complete one research project. We will also support Centers for Disease Control / National Institute for Occupational Safety and Health research collaboration to complete another research project.

**National Registry:**

FMCSA will conduct two public meetings to promote public confidence and approval of the National Registry program. We will update the National Registry website and publish the NPRM to establish the National Registry of Medical Examiners. FMCSA will conduct the Role Delineation Study, a National Registry project to analyze examination components by medical examiner profession. We will also conduct the Medical Examiner Performance Study, a study of medical examiner performance and examination outcomes.

**Exemption and Certificate Activities:**

FMCSA will complete the Federal Vision Exemption program evaluation and implement the Federal Diabetes Exemption program. The Agency will develop an electronic, on-line system for the Federal Diabetes and Vision exemption programs. We will develop a program evaluation component that can be incorporated within the Federal medical exemption application and renewal processes.

**FY 2008 PERFORMANCE BUDGET REQUEST**

For FY 2008, FMCSA requests \$6.5 million/9 FTE. In FY 2008, FMCSA will appoint MRB members (renew charter), convene the MRB and continue review of standards. FMCSA will reduce the average amount of time to process medical exemption requests to 175 days. By the end of FY 2008, we will analyze 70 percent of FMCSR medical standards and guidelines, completing a minimum of five comprehensive and expedited reviews. In FY 2008, the Agency will implement an efficient public call center, including a program targeted toward answering drug/alcohol screening, testing and knowledge questions. FMCSA will add Occupational

Health and Safety Specialists or Occupational Health Clinicians to support medical exemption and certificate program transition, initially at headquarters. We will develop the long-term schedule of research and evaluation activities to support the medical program.

**Medical Standards, Research and Technical Support:**

FMCSA will implement the new rulemaking action-plan for FMCSR medical standards, a coordinated plan to integrate rulemaking actions, medical program and enforcement programs. We will conduct five medical research proceedings. FMCSA will also evaluate the telephone call center, including a program targeted toward drug/alcohol issues.

**Key Partnerships:**

FMCSA will partner with other organizations to successfully implement the driver medical oversight activities. We will conduct an ACOEM Visiting Scholar program and complete one priority research project. The Agency will support CDC NIOSH research collaboration in completing one priority research project. We will lead a national scientific meeting that focuses on CMV health standards, policies and emerging issues and establish at least three new partnerships to collaborate on CMV driver health and safety issues.

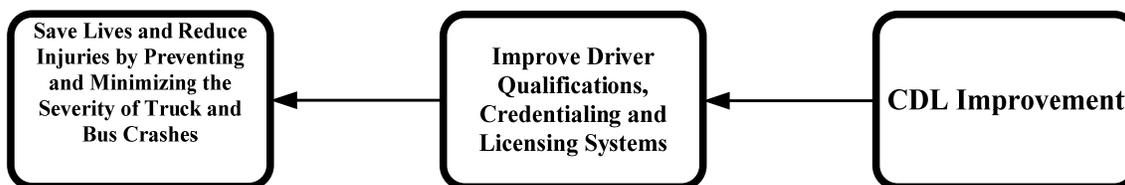
**National Registry**

FMCSA will publish the National Registry Final Rule in FY 2008. We will conduct a public meeting regarding the National Registry program and develop a long-term plan for the Registry. FMCSA will finalize the FMCSA Medical Examiner test and curriculum, and begin testing and training. The Agency will establish the network of accredited organizations that will provide testing and training and develop a Medical Examiner Handbook. We will complete the Role Delineation Study, and Medical Examiner Performance Study.

**Exemption and Certificate Program:**

FMCSA will implement the Federal vision exemption program model, possibly transferring a streamlined program to FMCSA Division offices or States. We will also implement a revised Federal Vision standard. In response to Congressional directives, we will implement program improvements, including fair and effective eligibility criteria, outcome measures and technological solutions (e.g. web-based application process). FMCSA will conduct regular teleconferences with Agency medical specialists in the States and convene regular Skill Performance Evaluation (SPE) program meetings. We will complete the Federal SPE program evaluation and implement a long-term SPE program improvement plan for the Agency, maximizing web-based solutions.

**PERFORMANCE ELEMENT: CDL IMPROVEMENT**



**Responsible Official:** *Associate Administrator for Enforcement and Program Delivery*

## **PERFORMANCE ISSUE:**

Over 12 million commercial driver's licenses (CDLs) have been issued since the first one was issued in 1989. Every month another 40,000 CDLs are issued by the States. Since the CDL State compliance reviews were initiated in 1994, every State CDL Program has been reviewed at least three times. Currently, a State is reviewed at least every 3½ years or sooner if a problem is identified within the State's program. As shown in the figure below, FMCSA's goal is to complete 15 CDL State Program Reviews each year.

Numerous cases of fraudulent activities involving the testing and issuing of CDLs have been uncovered, ranging from applicants being provided the correct answers on the knowledge tests, to skills tests not being properly administered, to bribes of examiners to obtain the CDL without being tested.

The DOT OIG has identified improving oversight of the CDL program as a Departmental Management Challenge.<sup>7</sup> In May 2002, the DOT's Office of the Inspector General released a report titled, "*Report on Improving Testing and Licensing of Commercial Drivers*" that presented the results of its investigation of FMCSA's oversight of the Commercial Driver's License (CDL) program. One of the principal findings of the report was that CDL fraud is a significant problem within the States. Most States have either experienced instances of fraudulent activities within their CDL programs or have testing and licensing practices that make them susceptible to fraud.

Both State employees and employees from third party firms working for the State are involved in these fraudulent activities. These activities range from cheating on tests to out right bribes to obtain a CDL without being tested.

In addition, some problem drivers continue to operate because their conviction records are either incomplete, inaccurate, or do not appear on their driving record in a timely manner. Other unsafe drivers find legal loopholes in the regulations and laws to either avoid prosecution; or, if they are convicted of a disqualifying offense, they do not serve their sanction time. These legal loopholes include plea bargaining to a lesser offense, agreeing to go to traffic school in place of a conviction or being granted a hardship CDL to drive to and from work.

FMCSA addresses CDL improvement through activities including federal CDL operations, CDL Improvement Grants and CDLIS Grants.

### **CDL Grant Program**

Congress has expressed a concern that one of the leading factors operating against commercial motor vehicle safety was the possession of multiple licenses by commercial drivers. Multiple licenses allowed drivers to spread their traffic violations over a number of licenses, and maintain a "good driver" rating regardless of the number of violations they may have acquired in one or more States.

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<sup>7</sup> Related to OIG Audit Report MH-2002-093 Recommendations A1, A2, A4, A5, A6, and A7 regarding issuing new or clarified standards for CDLs.

Since the implementation of the CDL program, there have been numerous regulatory changes to be implemented by the States. In addition, FMCSA and others have discovered instances of fraud in the CDL program that represent safety and security concerns. To address this need, Congress created the CDL Improvement Grant Program to provide funding to States to assist them in implementing programmatic changes and combating fraud.

In response to public and Congressional concerns, the Motor Carrier Safety Act of 1986 directed the Department of Transportation (DOT) to establish Federal minimum standards for licensing, testing, qualification and classification commercial drivers. These standards were designed to (1) prohibit commercial drivers from possessing more than one commercial license; (2) require that commercial drivers pass meaningful written and driving tests; (3) include special qualifications for hazardous materials driver; and (4) establish disqualifications and penalties for drivers convicted of certain traffic violations. States that failed to comply with the requirements imposed by the DOT would be subject to withholding of a percentage of their highway funds. To enable the States to fully implement the provisions of the Act, Congress required that the DOT create a national commercial driver license information system (CDLIS) that would enable the States to communicate and exchange driver license information.

### **CDLIS Grants**

The Department of Transportation named the American Association of Motor Vehicle Administrators (AAMVA), an association that represents the State officials who administer and enforce motor vehicle laws as the responsible organization for adopting and implementing the CDL requirements at the State level and as the lead organization to develop and operate the Commercial Driver's License Information System (CDLIS). CDLIS has been in full operation since April 1992. It serves as a clearinghouse that each of the 51 jurisdictions (the 50 States and the District of Columbia) can check before issuing a commercial driver's license. CDLIS helps to ensure that only one license or CDL is issued to each driver nationwide. It also ensures that all convictions are reported to the licensing State and made a part of the driver's record. CDLIS includes links to the Canadian and Mexican commercial driver's license systems that enables Federal and State enforcement personnel to verify the status of Canadian and Mexican drivers that operate commercial vehicles in the United States.

CDLIS, which was originally created to accommodate about 4 million drivers, includes over 12 million records. A modernization effort will enable FMCSA and the States to take advantage of new technological advances and expand CDLIS' storage capacity and make it more responsive to current needs. As required by SAFETEA-LU, the modernization plan must: (a) comply with applicable Federal information technology security standards; (b) provide for the electronic exchange of all information, including posting of convictions; (c) contain self-auditing features to ensure that data is being posted correctly and consistently by the States; (d) integrate the commercial driver's license and medical certificate; and (e) provide a schedule for modernization of the system. This project will result in a system that satisfies the criteria specified in Section 4123 of SAFETEA-LU.

### **ANTICIPATED 2007 ACCOMPLISHMENTS**

In FY 2007, FMCSA will improve CDL programs across the country by completing development of the Field Operations Training Manual (FOTM) and development of program evaluation procedures. We will transmit a report from the CDL Task Force to Congress and

begin to implement CDL Task Force recommendations for improving the CDL program. FMCSA will conduct 15 CDL State Reviews in FY 2007. FMCSA will publish the CDL Learners Permit NPRM. The Agency will enhance the CDL State compliance review process. In an effort to improve connectivity, FMCSA will continue maintenance of central repository of Mexican Licencia Federal driver convictions in the United States and develop a central repository for Canadian commercial driver convictions in the United States to continue to disqualify unsafe Mexican and Canadian drivers and notify Mexican and Canadian authorities. We will also identify applicability of Real ID requirements to the CDL program and expand the agency's fraud abatement program

### **CDL Grant Program**

FMCSA will improve financial tracking systems to monitor State expenditures of their CDL Grants and will review program activities to ensure that funds are used for critical eligible activities. We will develop criteria for monitoring effectiveness of program activities and ensure that at least 48 States are compliant with MCSIA requirements. FMCSA will fully implement on-line grant application processing through grants.gov. By the end of FY 2007, 48 States will be fully compliant with CDL legislative requirements.

### **CDLIS Grants**

FMCSA will establish requirements for modernizing CDLIS and begin development of functional specifications. We plan to provide grant funds to States to begin systems changes and ensure that 47 States have passed structured CDLIS tests to be capable of sending electronic messages via the system. Five States will implement modernized CDLIS systems in FY 2007 and 16 percent of the states will have an error rate of less than five percent.

### **FY 2008 PERFORMANCE BUDGET REQUEST**

For FY 2008, FMCSA requests \$25.7 million for CDL Improvement Grants. FMCSA also requests \$8 million for CDLIS grants. FMCSA will conduct an evaluation of program effectiveness of the CDL program and complete implementation of CDL Task Force recommendations for improvements. By the end of FY 2008, all 50 States and the District of Columbia will be fully compliant with CDL legislative requirements. FMCSA will conduct 50 CDL State Reviews in FY 2008.

We will enhance the CDL State compliance review process and assist States in enforcing the new program requirements. FMCSA will continue maintenance of the central repository of Mexican Licencia Federal driver convictions and Canadian commercial driver convictions in the United States and continue to disqualify unsafe Mexican and Canadian drivers and notify Mexican and Canadian authorities. We will begin to implement applicable provisions of the Real ID Act. FMCSA will also publish Final Rules implementing new Medical/Certification and CDL Learners Permit regulations.

### **CDL Grant Program**

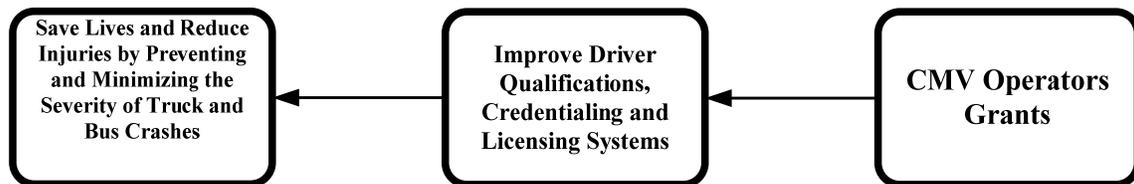
FMCSA will continue to improve financial tracking systems to monitor State expenditures under this grant program and will review program activities to ensure that funds are used for critical eligible activities. As the Agency monitors effectiveness of program activities, we will also ensure that all 50 States and the District of Columbia are compliant with MCSIA

requirements. FMCSA has set a performance goal for 75 percent of State grantees to meet the goals established in their grant requests.

### **CDLIS Grants**

FMCSA will award Grant funds to AAMVA and States and will establish requirements for modernizing CDLIS. We will begin development of functional specifications and the procedure design phase. We plan to provide grant funds to States to begin systems changes and ensure that 47 States have passed structured CDLIS tests to be capable of sending electronic messages via the system. In FY 2008, ten States will implement modernized CDLIS systems and software. Seventy-five percent of the States will meet notification deadlines established in Federal regulations for reporting licensing information to CDLIS and reporting disqualifications and traffic violations to the driver's home State. Twenty percent of States will transmit information within a five percent error rate.

### **PERFORMANCE ELEMENT: CMV Operators Grants**



**Responsible Official:** *Associate Administrator for Enforcement and Program Delivery*

### **PERFORMANCE ISSUE:**

This grant program was created to address the increasing driver shortage in CMV transportation. It is intended that these grant funds be extended to community colleges, truck driver training schools and/or individuals. This program is an incentive to provide quality training to operators and future operators of CMVs. Because driver behavior has been identified as a widespread cause of truck crashes, decreased funding could prevent the Agency from achieving its goal of reducing large truck and bus related fatalities to .160 per 100 million vehicle miles traveled by the end of 2011.

### **ANTICIPATED 2007 ACCOMPLISHMENTS**

In accordance with the SAFETEA-LU legislation, this program is being funded from a set aside of administrative expenses in the operations account. FMCSA will conduct reviews of the FY06 recipient(s) to ensure that funds are being used according to the established criteria. Continued improvement will be made to the program as best practices and lessons learned are collected.

The grant will be coupled with other FMCSA CDL-related activities to ensure that the Agency's goals for safety improvement are met through the training provided by the grantee(s).

**FY 2008 PERFORMANCE BUDGET REQUEST**

For FY 2008, FMCSA requests \$1M for CMV Operators Grants. This grant funding will be taken from the Agency’s Motor Carrier Safety Operations and Programs Appropriation for Federal operations and distributed as a grant in accordance with the provisions of SAFETEA-LU.

In FY 2008, this grant program will be used to train operators and future operators in the safe use of commercial motor vehicles. FMCSA will distribute this grant funding to qualified applicants in accordance with criteria established by the Agency that address FMCSA’s priority areas for training to meet the Agency’s long term safety goal.

**PERFORMANCE ELEMENT: INFORMATION MANAGEMENT (IM)**



**Responsible Official:** *Associate Administrator for Research and Information Technology*

**PERFORMANCE ISSUE:**

The performance issue addressed by this budget element is efficiently and effectively collecting, compiling, analyzing and disseminating crucial safety data so that FMCSA and its safety partners can develop the most effective regulations, programs and policy, conduct operations and allocate scarce resources to positively impact truck and bus safety. Without the best quality data or without adequate information technology tools, FMCSA and its safety partners will not be able to focus on the highest risk motor carriers, drivers and vehicles, nor will FMCSA be able to measure the effectiveness of their programs. Information management forms the backbone for all major FMCSA activities that lead to reducing fatalities and injuries resulting from truck and bus crashes.

In recent years, FMCSA has taken steps to substantially improve and sustain data quality by providing training, IT equipment and software, and financial and technical assistance to our State partners. Continued enhancement and development of data analysis tools such as Analysis and Information (A&I) Online; web sites such as A&I’s new passenger carrier safety module; a data quality tool called DataQs that provides an electronic means for challenging data maintained by FMCSA; and the truck and bus crash causation studies that identify factors contributing to serious crashes, all contribute to a comprehensive look at ways to effectively and efficiently use the prolific amount of data collected and maintained by FMCSA.

Information technology provides a vital and integral part of the Agency’s service delivery model by providing unique application and infrastructure support. The current system architecture consists of multiple stand-alone databases, and requires numerous user IDs and passwords. Moreover, the architecture consists of inherited applications from FHWA, which dramatically limits FMCSA’s ability to adjust to the growing need for integrated, linked, and useful data. To

improve the service delivery model, FMCSA is undergoing a major business and IT transformation and modernization effort. This effort, called COMPASS, is a top priority for the Agency and will ensure that the members of the enforcement user community can spend more time doing what they should be doing – identifying unsafe motor carriers and drivers and getting them off the road. Through COMPASS, FMCSA plans to retire legacy architecture and systems, transition the organization to a fully web-based environment built on an integrated suite of commercially available IT solutions, implement an enterprise web portal, institute E-Authentication, implement simplified sign-on, and improved data warehousing capabilities. This IT Modernization initiative will have a substantial and direct impact on the Agency's mission by providing more easily accessible and interpretable information for conducting roadside and border safety inspections, safety audits, and compliance reviews. It will simplify information reporting and data capture and optimize information and systems accessibility by streamlining user authentication and user navigation.

A long term goal of the COMPASS initiative is business transformation in addition to IT modernization. COMPASS will improve the delivery of services, dynamically respond to evolving business requirements, and more tightly integrate or align business processes with the IT systems. Modernizing and consolidating all existing applications through COMPASS will also enable FMCSA to simplify the management of its IT environment, increase responsiveness to business demands, reduce costs, manage to the Enterprise Architecture (EA) Blueprint, and support FMCSA's CSA 2010 initiative.

It will not be possible to continue to meet growing workloads and at the same time maintain high quality Field enforcement and related work without accurate and timely information. Without transforming the way the work is done and the modernization of the systems, FMCSA will not be able to provide their stakeholders with the necessary tools to accomplish this mission-critical work.

The Analysis Division's Data Quality, Technical Assistance, and Analysis Program was established to (1) improve the quality of motor carrier inspection and crash data collected and uploaded to FMCSA by States, (2) analyze the economic and environmental impacts of FMCSA regulations, (3) evaluate the effectiveness of FMCSA enforcement policies and programs using quantitative methods and results, and (4) provide data, analyses, and online tools to FMCSA, State, and industry participants via websites and other means. Such efforts improve the data and analysis used by FMCSA and its State partners in policy, program, and regulatory development, enhance agency decision-making, improve the efficiency of commercial motor vehicle enforcement programs, and allow FMCSA to be responsive to requests for information. In turn, such efforts improve CMV safety and are responsive to GAO and OIG recommendations.

*(For a more in-depth description please see the Information Management Appendix)*

#### **ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

FY 2007 is the second year for implementation of COMPASS, FMCSA's enterprise business transformation and IT modernization effort. FMCSA will complete Release 2; including the FMCSA public portal and additional simplified sign-on through the FMCSA internal portal of this initiative in FY2007.

FMCSA will continue to work closely with State partners to ensure that 34 States meet upload criteria for data submissions; thereby ensuring continual improvement in the timeliness, accuracy and completeness of State-reported motor carrier crash and inspection data. The analysis program will complete at least four offsite State data quality assessments and two on-site reviews to assess the relative quality of crash and inspection data collection and reporting at the individual State level. FMCSA will complete annual updates to the Compliance Review and Roadside Intervention Model (CRRIM) results or will consider revisions to the current methodology based on early CSA2010 outcomes available in FY07. The Agency will continue development of a resource allocation model and support additional program effectiveness reviews as needed.

## **FY 2008 PERFORMANCE BUDGET REQUEST**

For FY 2008, FMCSA requests \$38.1 million/31 FTE. In FY 2008, the COMPASS Program will be transitioning to the very important work included in Release 4 and initiating the work in Release 3. The work included in Release 4 is specific to Regulatory Compliance Monitoring. This release will expand the workflow and rule engine capabilities to include the regulatory compliance monitoring that occurs with company records. This release will also prepare COMPASS for implementation of those CSA 2010 initiatives that are ready to be deployed in FY 2008 and beyond. The target audience for this release will be the program offices, the field offices, and the operations support teams. A working group will be formed with representatives from the operations team, the program office and the program specialists in the Field. This release will replace much of the daily monitor processing done in MCMIS and L&I, including letter generation. Upon completion of this Release, there will be a reduction in legacy systems support as L&I will sunset and select functionality within MCMIS will no longer require support.

Also in FY 2008, the COMPASS Program will begin work specific to Release 3. This work will focus on the streamlining and integration of the registration and licensing application. This work was earlier reviewed by the FMCSA Executive Steering Committee which resulted in a feasibility study. The scope of the work here will cover changes to the registration and maintenance process and using existing information to allow for enhanced awareness of both the New Entrant program and a Carrier's requirements pertaining to the program. This will be an expansion to the Carrier portal developed in the COMPASS Pilot and Release 2 by adding the ability to apply and maintain data. This will be implemented using a combination of workflow and rule engine logic. As a result of completion of this work, select functionality within various legacy systems (e.g., MCMIS, L&I, SAFER, EMIS) will no longer be supported.

In FY 2008, 36 States will achieve green status for timeliness, accuracy, and completeness criteria in the area of data management. We will complete at least four offsite State data quality assessments. The program will also complete onsite data quality reviews with at least two States to assess relative quality of crash and inspection data collection and reporting at the individual State level. We will complete annual updates to the CRRIM results and/or consider revisions to methodology based on CSA2010 outcomes. The Agency will continue development of the resource allocation model, with development of a beta version anticipated. We also will complete research to estimate the environmental cost of crashes. Lastly, the program will continue to provide timely and high quality economic and environmental analysis for all of the agency's significant rulemakings.

As a result of its data analysis and research to estimate the environmental costs of CMV crashes, FMCSA will have a better understanding of the full cost impacts of CMV crashes, most notably crashes involving hazardous materials. Such work will allow for a more robust benefit-cost analysis of FMCSA's rulemakings, which will allow for better decision making. As such, the results of this study also assist the Department with meeting its Environmental Stewardship strategic goals; in that it provides additional data and analysis on freight system impacts that will help the Department reduce impacts to the environment caused by the movement of freight along our transportation network.

**PERFORMANCE ELEMENT: *RESEARCH AND TECHNOLOGY***



**Responsible Official:** *Associate Administrator for Research and Information Technology*

**PERFORMANCE ISSUE:**

Through the Research and Technology (R&T) Program FMCSA will reduce crashes, injuries, and fatalities and will deliver a program that contributes to a safe and secure commercial transportation system. Crashes involving commercial motor vehicles and the efficiency of commercial motor vehicle operations are the issues specifically targeted by the R&T Program. This performance element seeks to reduce the number and severity of CMV crashes and enhance the efficiency of CMV operations by:

- Conducting systematic studies directed toward fuller scientific discovery, knowledge, or understanding;
- Adopting, testing, and deploying innovative driver, carrier, vehicle, and roadside best practices and technologies; and,
- Expanding the knowledge and portfolio of deployable technology.

The development, testing, and deployment of simple and advanced innovative driver/vehicle technologies and integrated information technology solutions support the agency's priorities by:

- Demonstrating new roadside safety technologies and operational concepts;
- Accelerating the deployment of vehicle-based and other safety and security technologies;
- Managing information technology projects that integrate data collected and exchanged by various information systems and networks; and,
- Providing technical support and assistance to States and the motor carrier industry.

The R&T Program has a number of projects directed towards driver behavior, as well as vehicle and carrier safety. The R&T Program also supports information-based safety and security projects. In addition, the support extends to FMCSA programs, specifically, enforcement

(hazardous materials safety, and bus safety), policy (regulations and medical qualifications), and outreach.

This performance element focuses on six areas:

- (1) Produce safer drivers;
- (2) Improve safety of commercial motor vehicles;
- (3) Produce safer carriers; and,
- (4) Advance safety through information-based initiatives.

The Office of Research and Analysis (R&A) has worked to develop an appropriate set of performance measures in FY 2006 and has coordinated our efforts with other research programs and institutions such as Research and Innovative Technology Administration (RITA) to define measures that are both relevant to FMCSA and DOT and recognized by the research community. Performance will be monitored by using three sets of performance metrics to ensure that projects continue to address the strategic objectives of DOT and FMCSA: output metrics for the different kinds of deliverables produced by specific projects; outcome metrics that evaluate the outcomes of specific projects or of the entire program; and impact metrics, which are indicators of changes in commercial vehicle safety and, in society in general. An example of such metrics is the number of safety technologies that have been evaluated by the Research and Technology Program and are being deployed by carriers and States.

One of the goals of the R&T program is support FMCSA's safety mission. A performance metric that will be tracked is R&T's support for the agency mission based on study completions for a particular fiscal year. On an annual basis, R&T completions will be tracked to functional areas within FMCSA's mission that it supported (i.e., policy, rulemaking, enforcement), or for outside stakeholders/customers in outreach efforts to improve safety.

Relevance, a key element of the President's management agenda for Research and Development programs, is assured by the means in which the R&T program is developed. The FY 2008 R&T program was developed through an annual call for R&T proposals, which were vetted and ranked by the Research Executive Board (REB). The role of each REB member is to ensure that the R&T projects being proposed is relevant to FMCSA's mission.

Also, relevance is further ensured through adherence to the R&T Strategic Plan, which was developed with internal and external stakeholder input. The R&T Strategic Plan will be updated in FY 2007 to align with the new FMCSA and DOT Strategic Plans. FMCSA plans to track the percentage of projects started, out of the total number of projects identified in the new R&T Strategic Plan.

Another output metric generally used for R&T programs is overall quality of the program. An assessment of the overall quality of each of the R&T projects will be completed by peer review assessments of whether the R&T projects met the requirements identified in their applicable work statements. Additionally, the Office will begin to track aspects of program management such as the percentage of R&T projects that were completed within budget and on schedule; the percentage of R&T projects that were competitively awarded; and the number of active partnerships agreements with prominent research organizations in the United States and internationally.

In FY 2006 and FY 2007, the above performance metrics will be tracked to establish a baseline for FY 2008, and the Office will begin to report targets and goals in the FY 2009 budget submission and performance plan.

## **ANTICIPATED FY 2007 ACCOMPLISHMENTS**

The following are FMCSA's anticipated priority R&T accomplishments for the Safety objective for FY 2007:

- Produce Safer Drivers
  - Conduct comprehensive fatigue study for motor coach operations;
  - Develop optimal napping strategies to reduce fatigue for commercial drivers;
  - Complete the field operational test of driver safety performance and feedback via on-board monitoring sensors and technologies;
  - Partner with National Institute of Occupational Safety and Health (NIOSH) to develop baseline health statistics for commercial drivers and develop a plan for future health research with NIOSH and others;
  - Evaluate medical examiner performance and outcomes, associated medical tests, and emerging medical technologies and recommend improvements in the examination process and related regulations;
  - Accelerate the identification and demonstration of new roadside safety technologies and operational concepts that will improve enforcement, safety, and compliance;
  - Complete a pilot test of a methodology to conduct a large-scale case control study to identify risk factors in CMV crashes. The results will be used to validate commercial driver qualifications, and provide factors that carriers can use to screen drivers for safety and additional training; and,
  - Support the development of a prototype of a technological solution for enhancing safety belt use within the trucking industry;
  
- Improve Safety of Commercial Motor Vehicles
  - Accelerate the deployment of vehicle-based, and other safety and security technologies and systems through development of performance specifications, return on investment information, technology showcases, public/private partnerships, and deployment plans;
  - Identify, test, and evaluate new on-board safety technologies to reduce crashes, including indirect viewing systems;
  - Research safety impacts of adaptive speed control, strategies, and technologies for adapting vehicle speed to the posted speed limit;
  - Determine whether cargo securement systems for a variety of agricultural commodities comply with Federal regulations and if not, recommend cost-effective ways to improve their safety performance;
  - Determine if the current "L" Stamp designation for American Society of Mechanical Engineers (ASME) Code stamped vessels should be used as qualifying criteria for cargo tanks transporting certain high-hazard hazardous materials; and,
  - Contribute to commercial motor vehicle safety and productivity through improved tire performance.

- Produce Safer Carriers
  - Determine the effect that enforcement cases for controlled substances and alcohol use have on Uniform Fine Assessment and ability to assess maximum penalties under Section 222 of the Motor Carrier Safety Improvement Act (MCSIA); and,
  - Provide research support to FMCSA's Comprehensive Safety Analysis (CSA) 2010 Initiative that will improve safety and the effectiveness of FMCSA compliance and enforcement activities.
  
- Advance Safety through Information-Based Initiatives
  - Perform research, ensure interoperability, and provide technical assistance to States to implement expanded CVISN capabilities for safety, security, and productivity;
  - Examine further serious hazardous material crashes to increase understanding and develop countermeasures; and,
  - Support the activities by the Transportation Research Board to promote awareness and understanding of the outcomes of safety research, develop State-of-the-art practice synthesis reports, and support for innovative technology and ideas.

In FY 2007, in the area of HAZMAT safety, FMCSA will:

- Initiate a study into the safety of cargo tanks transporting poisonous materials;
- Initiate a study into crashes involving vehicles transporting hazardous materials;
- Complete research into methods for improving cargo tank stability; and,
- Complete research into enhanced risk assessment tools and implement those tools into FMCSA's HAZMAT Program management.

## **FY 2008 PERFORMANCE BUDGET REQUEST**

For FY 2008, FMCSA requests \$7.7 million/10 FTE. The Large Truck Crash Causation Study (LTCCS) identified driver factors as the most important issue contributing to CMV crashes. As a result, in the strategic objective of Producing Safer Drivers, FMCSA will conduct a large-scale, exposure-based, case-control study to identify driver risk factors associated with CMV crashes; this effort will support FMCSA medical rulemakings and enforcement activities. FMCSA will leverage data collected for the LTCCS and our naturalistic driving program to gain a better understanding of the precursors to different crash types and how these crashes may be prevented. The Agency continues research and development through the Small Business Innovative Research Program (SBIR) program to develop an unobtrusively, 24-hour a day, fatigue monitoring system that can detect and warn drivers who are drowsy and about to fall asleep. FMCSA will support the Secretary's efforts to increase the number of CMV drivers who use their safety belts. We will explore the development of a low cost, easily installed device to increase safety belt use through the SBIR program. Emphasis on Bus and motorcoach safety is a major agency initiative in FY 2008. FMCSA will support updating the model curriculum for training motorcoach drivers. FMCSA is committed to producing science-based regulations to advance the Agency's strategic and policy goals. To that end, FMCSA research will support rulemaking activities by gathering and consolidating research for inclusion into its current rulemakings.

FMCSA is requesting funding for CDL 3<sup>rd</sup> Party Testing Anti-Fraud projects that was previously funded from FHWA ITS Joint Program Office. The CDL 3<sup>rd</sup> Party Testing Anti-Fraud project will result in the development of a software package used by State motor vehicle administrators to manage the skills testing portion of the CDL application process and detect and/or deter fraud perpetrated during CDL skills testing activities. Phase III of the Employer Notification Service project will provide training and administrative assistance to States that will implement the system developed in Phases I and II. This will allow FMCSA to further examine issues related to implementation in specific State information-technology infrastructures. A significant benefit of a national ENS system will be for carriers to check motor vehicle records for their drivers that have a change in their record instead of the required annual check on all drivers. The Smart Roadside Operations Initiative will focus on the demonstration of new roadside safety technologies and operational concepts that will improve enforcement, safety, and compliance within the trucking industry.

The following are FMCSA's anticipated priority R&T accomplishments by strategic objective for FY 2008:

- Produce Safer Drivers
  - Identify driver risk factors in CMV crashes with the large-scale case control study;
  - Analyze the Large Truck Crash Causation data and naturalistic driving data to gain a better understanding of the precursors to different crash types and how they can be prevented;
  - Develop and test an unobtrusive prototype of a system that can detect and warn drivers who are drowsy and about to fall asleep (SBIR);
  - Assess the driving behavior, performance, and outcome similarities and differences of high risk and low risk CMV drivers;
  - Update the model curriculum for training motorcoach drivers;
  - Explore the development of a low cost, easily installed device to increase safety belt use (SBIR program);
  - Design, create, and pilot-test software for detecting and/or deterring fraud perpetrated during commercial driver's license (CDL) skills testing activities;
  - Examine implementation issues of the Employer Notification Service (ENS) system, and increase the understanding of the legal, IT infrastructure, budgetary, and administrative issues, as well as amendments needed to FMCSA regulations;
  - Install, test, and evaluate the safety benefits of a State-wide wireless inspection network where CMV drivers' logs and vehicle fault codes are electronically checked; and,
  - Accelerate the identification and demonstration of new roadside safety technologies and operational concepts.
  
- Improve Safety of Commercial Motor Vehicles
  - Increase the deployment and use of CMV systems and technologies that address safety needs, support nationwide deployment of technology, and utilize technology solutions as a means to monitor and evaluate motor carrier safety performance; and
  - Test and evaluate an all-weather indirect viewing system with 360-degree vision capability, and further the development of the enhanced vision system.

- Produce Safer Carriers
  - Provide continued research support for FMCSA’s rulemaking activities;
  - Advance Safety through Information-Based Initiatives and broaden the participation and utilize the expertise of the Transportation Research Board (TRB) in FMCSA program outreach; and,
  - Work with eligible States and motor carrier industry stakeholders to implement expanded CVISN capabilities that improve the safety and productivity of CMV operations, and enhance transportation security.

In FY 2008, in the area of HAZMAT safety, FMCSA will continue to analyze cargo tanks that transport HAZMAT and determine if various designs effectively contain the hazardous material if involved in a crash.

**PERFORMANCE ELEMENT: *COMMERCIAL VEHICLE INFORMATION SYSTEMS AND NETWORKS (CVISN)***



**Responsible Official:** *Associate Administrator for Research, Technology and Information Management*

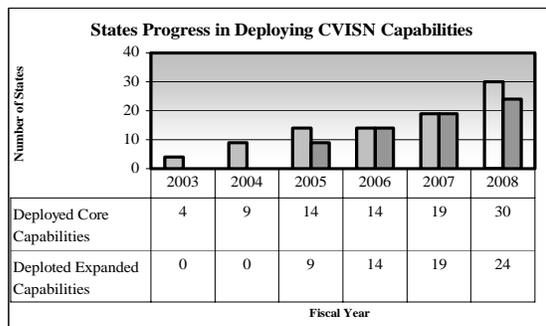
**PERFORMANCE ISSUE:**

The Commercial Vehicle Information Systems and Networks (CVISN) Deployment Program integrates Federal, State, and carrier systems to improve safety and productivity. The program solves institutional and architectural issues, as well as technical problems related to providing electronic access to timely and accurate motor carrier safety and other credentials information. Through the program, FMCSA is working to save lives, produce substantial cost savings for both States and motor carriers, and improve the efficiency of commercial vehicle operations.

The CVISN Deployment Program is an unprecedented cooperative effort, comprised of a variety of stakeholders. They include FMCSA, as well as other Department and Federal agencies, the States, motor carriers and industry associations, and the private sector. However, limitation in States’ resources and low profit margin of the motor carrier industry represent the most significant constraints to achieve the safety goals supported by the CVISN Deployment Program. These constraints are regularly addressed by working on increasing partnerships and creating opportunities to leverage each other’s work.

SAFETEA-LU provides \$25 million annually to provide grants to States for deploying core and expanded CVISN capabilities. FMCSA works with all States, the motor carrier industry and the private sector to implement the core CVISN capabilities that include:

- **Safety information exchange**—The electronic collection and exchange of safety performance and credentials information among States, Federal agencies, and motor carriers to focus resources on high-risk carriers, vehicles, and drivers.
- **Roadside electronic screening**—The technology to identify and screen commercial vehicles at mainline speeds and allow safe and legal trucks to bypass weigh stations while enforcement focuses on higher risk carriers and vehicles.
- **Interstate credentials administration**— Streamline credentials and tax administration processes so that motor carriers can use websites or a computer-to-computer exchange to apply for and receive credentials electronically.



(Figure 4A-12)

The goals of expanded CVISN are enhancing the safety, security, and productivity of commercial vehicle operations. FMCSA, in cooperation with the CVISN stakeholder community, is defining and prioritizing a “menu” of potential expanded CVISN capabilities. They include exchanging additional safety information and information about commercial drivers; ensuring data quality; developing an integrated approach to roadside operations; and expanding electronic credentialing functions.

### ANTICIPATED FY 2007 ACCOMPLISHMENTS

FMCSA will provide technical assistance and support to complete a CVISN Program Plan for core deployment in two States and the District of Columbia, resulting in 48 States and the District having completed a plan. In FY 2007, as demonstrated in figure 4A-12 above, 19 States will implement all three core CVISN capabilities for safety information exchange, roadside screening, and electronic credential administration. In addition, 19 States will receive grants from FMCSA to implement at least one expanded CVISN Capability.

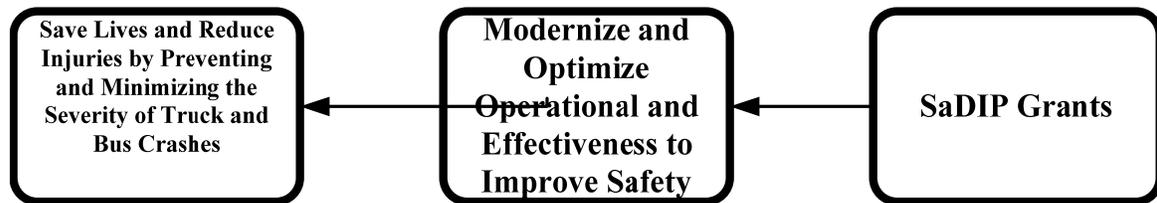
### FY 2008 PERFORMANCE BUDGET REQUEST

For FY 2008, FMCSA requests \$25 million. FMCSA will implement and evaluate commercial driver information sharing capabilities for up to 10 States. We will explore additional expanded CVISN functionality in the driver information sharing program area, as well as enhanced safety information sharing and expanded electronic credentialing.

FMCSA will provide technical assistance and support to complete a CVISN Program Plan for core deployment in one State, resulting in all States and the District of Columbia having

completed a Plan. FMCSA will provide technical assistance and support to complete a CVISN Program Plan for core deployment in one State, resulting in all States and the District of Columbia having completed a Plan. The funds requested for FY 2008 will provide States with critical funding to deploy both core and expanded CVISN capabilities. In FY 2008, 30 States will implement all three core CVISN capabilities for safety information exchange, roadside screening, and electronic credential administration. In addition, 24 States will receive grants from FMCSA to implement at least one expanded CVISN Capability. FMCSA will also develop a strategy to create a technology-based initiative for the next reauthorization.

**PERFORMANCE ELEMENT: *Safety Data Improvement Program Grants (SaDIP)***



**Responsible Official:** *Associate Administrator for Research, Technology and Information Management*

**PERFORMANCE ISSUE:**

The Federal Motor Carrier Safety Administration (FMCSA) is responsible for regulating the safety of interstate truck and bus travel in the United States. To fulfill this role, FMCSA collects safety data from the States, motor carriers, Federal staff, and other sources. FMCSA uses the collected data to evaluate and enhance its safety programs, update inventories, monitor compliance of motor carrier companies, measure the condition of vehicle fleets, track the driving records of licensed operators, and record crashes involving commercial motor vehicles (CMVs) on public roadways. High quality, timely data in each of these areas are crucial to the mission of improving CMV safety in the U.S.

FMCSA has established, and had in effect for several years, a comprehensive Data Quality Improvement Program to ensure the availability of superior data and thus support governments, businesses, and citizens in making appropriate decisions about motor carrier safety. One aspect of the program has involved providing financial and technical assistance to the States to assist them in improving the timeliness, accuracy and completeness of safety data reported to FMCSA's Motor Carrier Management Information System (MCMIS).

FMCSA recognizes that each State faces unique challenges when collecting and reporting safety data. So, the agency has implemented the Safety Data Improvement Grant Program (SaDIP) to help States identify their challenges and implement improvement strategies. The Federal share of a SaDIP grant under section 4128 will be 80 percent of the cost of the activities for which the grant is made.

**ANTICIPATED FY 2007 ACCOMPLISHMENTS**

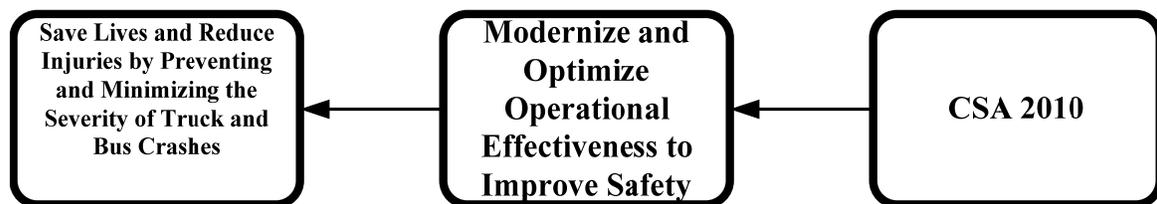
In FY 2007, FMCSA will continue to issue grants for States to purchase equipment to support data improvement activities, hiring staff to manage data quality improvement programs, revising outdated crash report forms, hiring staff to code and enter crash data, training law enforcement officers in collecting crash data, developing software to transfer data from the State repository to

SAFETYNET, and purchasing software for field data collection and data transfer. These activities will ensure that 34 States meet data upload criteria for timeliness, accuracy and completeness.

### **FY 2008 PERFORMANCE BUDGET REQUEST**

For FY 2008, FMCSA requests \$3 million. Using FY 2008 funding, FMCSA will continue to work with States to improve overall quality of State reported data collection and reporting, with the goal that 34 States achieve “green” status based on the timeliness, accuracy, and completeness criteria established and monitored by FMCSA and made available to States via internet access.

*PERFORMANCE ELEMENT:* Comprehensive Safety Analysis 2010 (CSA 2010)



**Responsible Official:** *Assistant Administrator and Chief Safety Officer*

### ***PERFORMANCE ISSUE:***

In 2005, FMCSA began a major new initiative; Comprehensive Safety Analysis (CSA) 2010, which will lead the Agency into a more cost effective approach to carrying out its compliance and enforcement programs. Aside from roadside inspections, the safety compliance review (CR) is the primary tool FMCSA uses to enforce compliance with the Federal Motor Carrier Safety Regulations (FMCSRs). However, the CR is very labor intensive. During a CR, a FMCSA safety investigator examines a motor carrier’s safety management practices and compliance with the FMCSRs at the carrier’s place of business. Although very effective, CRs require approximately one-half of the Agency’s human resources, while touching only about two percent of all motor carriers. The goal of CSA 2010 is to touch more regulated entities through a broader array of enforcement interventions, while optimizing FMCSA resources. With the growing body of research and crash data suggesting that driver behavior is the predominant and critical contributing factor in fatal crashes, CSA 2010 is also looking at ways to change unsafe driver behavior through new interventions. CSA is not a stand-alone initiative, but a “comprehensive safety analysis” involving the entire Agency in a collaborative effort. When fully implemented, CSA 2010 will provide FMCSA with a new operational model that will greatly enhance the Agency’s efficiency to reach and thoroughly evaluate a significantly larger portion of the regulated population, both carriers and drivers. FMCSA is targeting 2010 for deployment of this new operational model. The FY 2008 budget request is reflective of FMCSA’s initial budget reallocations and consolidations to implement CSA 2010.

## **FY 2007 PERFORMANCE BUDGET REQUEST**

There was no specific request for funds to support CSA 2010 in the FY 2007 budget request. Activities for this initiative were previously decentralized and budgeted under individual activity areas that contribute to the success of these cross-cutting activities. For FY 2007, these activities draw from the areas of research and technology, enforcement, and the Office of the Assistant Administrator and Chief Safety Officer.

The CSA 2010 initiative has a total of 114 milestones beginning in FY 2007 through FY 2010. For FY 2007 the Agency is targeting 65 milestones for completion, or 57 percent of the total milestones.

In FY 2007, FMCSA will:

- Develop and test new driver and carrier measurement systems;
- Complete planning for a pilot test;
- Begin development of new data resources, systems and software requirements;
- Begin development of new rulemakings and legislation proposals;
- Begin development of training for FMCSA field staff and State partners; and,
- Conduct at least one public listening session to keep the Agency's partners and stakeholders informed, and obtain their feedback as we progress.

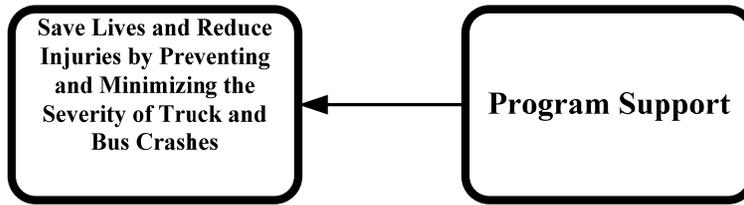
## **FY 2008 PERFORMANCE BUDGET REQUEST**

In contrast to FY2007, FMCSA has identified specific funds totaling \$5.6 million to support CSA 2010 in the FY 2008 budget request. Required activities for this new initiative fall into three broad categories. The first category involves activities that support the FMCSA technical teams that are developing the new operational model, including pilot testing and new enforcement interventions for drivers and motor carriers. The second category involves activities that support the other FMCSA program offices, including the drafting and development of new rulemakings, legislative proposals, enforcement policies, training for FMCSA field staff and State partners, outreach, new data systems and software development, and new measurement systems for drivers and motor carriers. The third category supports the CSA 2010 development team activities and travel as they develop the new operational model. The CSA 2010 initiative has a total of 114 milestones beginning in FY 2007 through FY 2010. For FY 2008 the Agency plans to complete 29 milestones in addition to the 65 in FY 2007, for a cumulative total of 83 percent of the all initiative requirements.

In FY 2008, FMCSA will:

- Begin the pilot test and evaluation;
- Continue development of new data resources, systems and software requirements;
- Continue development of new rulemakings, legislation, and enforcement policies;
- Continue training development; and,
- Conduct at least one public listening session to keep the Agency's partners and stakeholders informed, and obtain their feedback as we progress.

## **PERFORMANCE ELEMENT: *Program Support***



### **PERFORMANCE ISSUE:**

Program support includes offices and services that provide vital oversight, guidance, specialized support and overall leadership to all of the FMCSA strategic goals. The Office of the Administrator is included in this performance element and is vital to the success of the Agency through the provision of leadership vision and overall program direction. The Administrator, Deputy Administrator, and Assistant Administrator/Chief Safety Officer are integrally involved in every aspect of the Agency's strategic goals. In addition to the mandated positions, including the Regulatory Ombudsman, the Administrator's office has key staff who provide direct support to the Agency's leadership. One such support role also includes communication activities to promote public understanding of, and support for, Federal Motor Carrier Safety Administration programs, activities, policies, and strategies.

FMCSA's Adjudications activities provide support by drafting orders and decisions recommending disposition of all civil penalty enforcement, safety rating, and safety permitting cases to ensure parties receive a full and fair hearing. FMCSA ensures that all carriers and the shipping public are informed of statutory and regulatory requirements relating to the FMCSRs by providing guidance that allows the Department's Docket Management System to timely and accurately track all activities. Program support also provides legal support to ensure that Agency programs and regulatory initiatives are effectively implemented to meet statutory safety mandates and to avoid costly litigation; appropriated funds are disbursed timely and effectively to sustain safety programs and initiatives of FMCSA and its partners; and the Agency is effectively represented in administrative and court proceedings concerning safety enforcement and regulatory initiatives. FMCSA also provides legislative support to ensure that the Agency's initiatives accurately reflect safety goals and promote understanding among Congressional representatives and staff.

### **FY 2007 PERFORMANCE BUDGET REQUEST**

In FY 2007, program support will close or send to formal or informal hearing or binding arbitration all 2004 and half of the 2005 civil penalty enforcement cases before the Assistant Administrator for decision. FMCSA program support will also provide legal and legislative review to support the development of SAFETEA-LU mandated rulemaking initiatives, and enforcement policy guidance

## **FY 2008 PERFORMANCE BUDGET REQUEST**

For FY 2008, FMCSA requests \$25.5 million/53 FTE. This change is due to reattribution of resources due to more accurately defining program requirements under the FMCSA's new Strategic Plan. This element includes FMCSA adjudications activities to close or send to formal or informal hearing or binding arbitration all remaining 2005, all of the 2006, and half of the 2007 civil penalty enforcement cases before the Assistant Administrator for decision. Based on anticipated funding, program support will provide legal and legislative support to complete implementation of SAFETEA-LU mandates and rulemaking initiatives and to ensure effective and legally sound enforcement oversight; and provide legislative support to conduct preliminary analysis for the 2010 reauthorization process.

FY 2008

**FMCSA**

**PERFORMANCE  
BUDGET**

Section 4B

Security



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**DEPARTMENT OF TRANSPORTATION  
FEDERAL MOTOR CARRIER SAFETY  
ADMINISTRATION**

SECURITY

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**SECURITY**  
**Performance Goal: CMV SECURITY**

**Security Summary Overview**

This funding request contributes to the DOT Security strategic objective, helping to ensure the U.S. transportation system meets national security requirements. Transportation security has been identified as an area of priority emphasis by the Secretary.

DOT will deploy the resources in this request to improve the security of motor carrier transport of HAZMAT through security operations and outreach, security training, research and technology and emergency preparedness.

The resources requested to achieve this goal are:

REQUEST by	FY 2006	FY 2007	FY 2007	FY 2008
STRATEGIC GOAL (\$000)	ACTUAL	CR	PRES BUD	TOTAL REQUEST
II. Security	<b><u>\$7,360</u></b>	<b><u>\$7,655</u></b>	<b><u>\$8,095</u></b>	<b><u>\$7,179</u></b>
A. Reduce the vulnerability of commercial vehicle transportation of HAZMAT to threats of violence				
1. Motor Carrier Safety Operations & Programs	7,360	7,655	8,095	7,179
FTE	55	55	57	51

**Note: Of the \$8 million requested under category “1. Motor carrier Safety Operations & Programs,” \$0.5 million is from the Research and Technology funding account.**

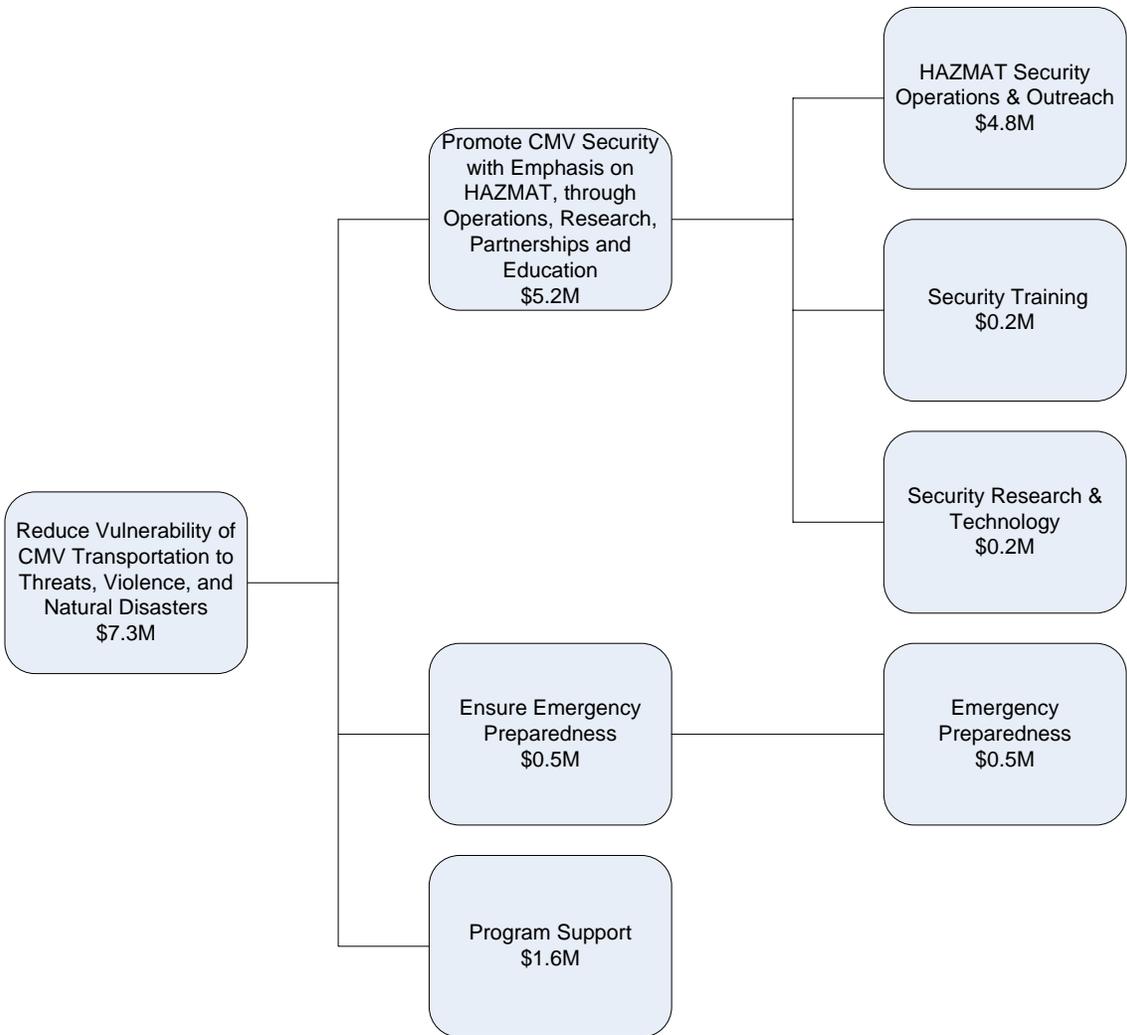
**Goal: Security**

**Objective**

**Strategies**

**Performance Elements**

**Federal**



## GOAL DASHBOARD

**Security Strategic Objective:**  
Reduce the Vulnerability of CMV  
Transportation to Threats,  
Violence, and Natural Disasters

### Outcomes

- Reduced likelihood of CMV transportation threats
- Increased preparedness for emergency response

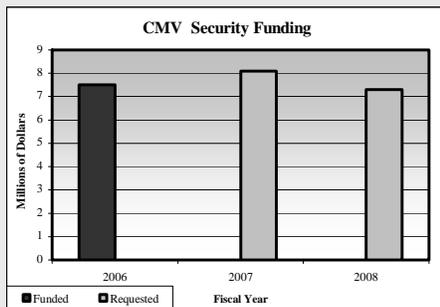
### Leading Indicators

- HAZMAT Compliance Reviews of permitted carriers
- HAZMAT Compliance Reviews
- All Security Contact Reviews
- All Security Sensitive Visits

### Performance Elements

- HAZMAT Security Operations and Outreach
- Security Training
- Security Research and Technology
- Emergency Preparedness Operations

## HAZMAT Security Funding Request



## PERFORMANCE ISSUE

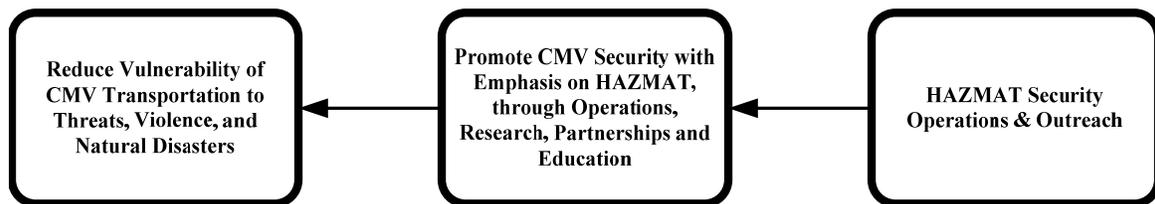
Terrorists could potentially use trucks transporting HAZMAT to conduct attacks against the United States. Certain materials such as explosives, poison gases, radioactive materials, and flammable gases have the potential to be used as weapons of mass destruction to inflict catastrophic consequences. Such consequences, including the loss of lives, environmental degradation, disruption of transportation services and commerce, and destruction of vital infrastructure; could occur if these materials are released, either accidentally or deliberately. Other HAZMAT such as gasoline or diesel fuel can also be used with ill intent along with lesser, but still significant, consequences. Following the transfer of the Transportation Security Administration (TSA) to the Department of Homeland Security (DHS), FMCSA works in close coordination with TSA to establish protocols ensuring the security of CMV transportation, and to mitigate the potential for CMVs carrying HAZMAT to be used to conduct attacks against the United States. In addition, FMCSA coordinates its efforts in HAZMAT security with the Pipeline and Hazardous Materials Safety Administration (PHMSA) to ensure consistency within the hazardous materials regulations.

Growing security threats to the nation's transportation system have considerably altered the Federal Government's operations and activities and impacted the FMCSA mission in recent years. As a result, FMCSA has broadened the definition of activities conducted under the Security Strategic Objective in this budget request to more thoroughly define what is accomplished in this area. While FMCSA is not the lead Federal Agency for homeland security activities, the Agency is occasionally called upon to take the lead in support of the overall Federal Government response to protect the American people. FMCSA's unique access to the CMV industry through safety programs allows the Agency to leverage this relationship and provide such assistance. This role in security and emergency preparedness will help make the country more secure and ensure faster restoration of the transportation system in the event of an emergency.

FMCSA also recognizes that safety and security are inextricably linked as both inherently involve risks to life and property. There is no safety without security, and strategies to mitigate one can impact both. FMCSA leverages this relationship by closely tying together its efforts in HAZMAT security with its efforts in HAZMAT safety. Security has also been identified as a priority initiative by the Secretary.

FMCSA will carry out a coordinated security strategy framed around performance elements for HAZMAT security operations and outreach, security training, security research and technology, and emergency preparedness. Addressed for each performance element are: (1) Performance; (2) Anticipated FY 2007 Accomplishments; and, (3) FY 2008 Performance Budget Request. Achievement of all FY 2007 performance targets under the security goal assumes receipt of full FY 2007 funding for this goal.

**PERFORMANCE ELEMENT: HAZMAT Security Operations and Outreach**



**Responsible Official:** *Associate Administrator for Enforcement and Program Delivery*

**PERFORMANCE ISSUE:**

FMCSA’s HAZMAT Security program seeks to reduce security risks associated with potentially dangerous HAZMAT substances. Following the events of September 11, 2001, FMCSA assumed an active role in security operations and outreach to carriers of HAZMAT cargoes. FMCSA implemented a security program for motor carriers that transport HAZMAT. For HAZMAT carriers, FMCSA implements the following:

- Checks driver identification;
- Conducts extensive on-site security assessments;
- Encourages carrier security sensitivity; and,
- Communicates information about HAZMAT security threats and alerts and security vulnerabilities and best practices.

In addition, FMCSA is conducting security sensitivity visits (SSVs) and security contact reviews (SCRs) as part of its regular compliance reviews of HAZMAT carriers. SSVs are educational security discussions covering best practices. They are conducted with HAZMAT motor carriers that do not require a security plan. SCRs are comprehensive reviews of security plans and their implementation, and these are conducted on all HAZMAT motor carriers that transport placardable amounts of HAZMAT. In addition, FMCSA has instituted security outreach operations to inform HAZMAT carriers of

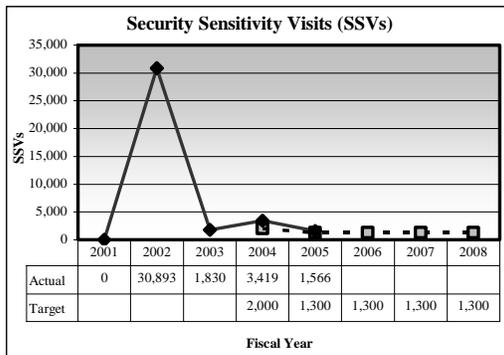
potential security threats and raise their overall awareness of security hazards. FMCSA also leverages HAZMAT security by coordinating it with activities that include HAZMAT safety compliance and enforcement activities; the HAZMAT permit program; and, other motor carrier industry contacts.

FMCSA continues to work in close coordination with TSA to establish protocols ensuring the security of CMV transportation, especially CMVs carrying HAZMAT cargoes. As the Agency with primary responsibility for regulating the trucking industry, FMCSA is in regular contact with HAZMAT carriers, and the Agency has incorporated SSVs and SCRs into our normal operations. Keeping the commercial vehicle industry focused on improving the security of HAZMAT shipments will be an ongoing priority of FMCSA, though decreasing in emphasis as TSA continues to play a larger role in HAZMAT security operations.

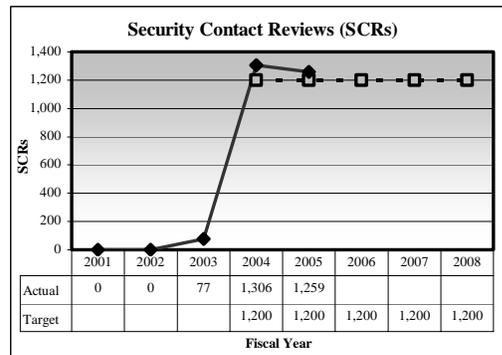
**ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

Resources in the FY 2007 Presidential request will enable the Agency to achieve its operational program objectives in support of the FMCSA’s Security strategic goal. In FY 2007, FMCSA will continue its work to heighten the sensitivity of motor carriers transporting HAZMAT to security threats. These efforts included SSVs and SCRs of HAZMAT carriers. In addition, with the technical assistance of FMCSA, States have integrated activities that enhance security aspects of their CMV programs including, at a minimum, a communications network that: (1) communicates security alerts to truck inspectors and the trucking industry in a fashion consistent with security protocols, (2) promotes the reporting of suspicious activities from the industry and truck inspectors to FMCSA and the FBI; and (3) provides training to State Motor Carrier Safety Assistance Program officers on the process for evaluating HAZMAT security plans.

As shown in the figures below, FMCSA significantly increased its efforts in this performance element immediately following September 11, 2001, and plans to continue these efforts at a lower, but still significant level. In 2002, FMCSA and its partners conducted over 30,000 SSVs of HAZMAT carriers. In FY 2007, FMCSA intends to conduct 1,200 SCRs and 1,300 SSVs, as reflected in figures 4B-1 and 4B-2 below.



(Figure 4B-1)



(Figure 4B-2)

The ratio of SCRs and SSVs has changed because FMCSA now requires an SCR during any compliance review on a HAZMAT motor carrier that is required to have a security plan. Therefore, the total cumulative number of SCRs and SSVs for FY 2007 will be dependent on the ratio of carriers reviewed that require security plans.

FMCSA's security operations target Agency assets based on a risk assessment of the most vulnerable carriers. Continued targeting of program assets in this manner will increase security of HAZMAT carriers without causing a significant drain on the Agency's resources as happened in the aftermath of September 11, 2001, when a large proportion of Federal and State resources were dedicated to bolstering HAZMAT security. To improve the security of HAZMAT transportation in FY 2007, FMCSA expects to:

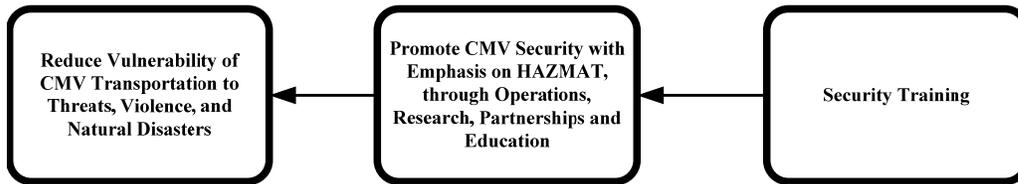
- Complete 2,500 SSVs and SCRs;
- Communicate threat characteristics, security tips, procedures, and advice to CMV drivers, carriers, and law enforcement agencies (as the HAZMAT permitting program's security initiatives develop, the Agency will require additional outreach efforts that explain the security requirements of the program to Federal agencies, States, and industry);
- Continue to review the current HAZMAT routing regulation and issue an updated guide on the security vulnerabilities associated with HAZMAT routing;
- Continue to enhance the HAZMAT permitting program security initiatives to effectively implement outreach efforts and inform Federal, State, and industry;
- Investigate the adequacy of current safety and security standards for cargo tanks transporting poison materials; and,
- Examine current violations of the security program.

#### **FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$4.8 million/43 FTE. FTE in this performance element is a representation of level of activity and does not reflect a specific number of positions. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element. FMCSA plans to accomplish the following milestones in FY 2008:

- Complete 2,500 SSVs and SCRs;
- Continue to analyze the impact of including security risk assessment component in the regulation governing the routing of HAZMAT;
- Continue to communicate threat characteristics, security tips, procedures and advice to the HAZMAT industry, and Federal and State governments;
- Continue to investigate the adequacy of current safety and security standards for cargo tanks transporting poison materials; and,
- Target the violations found in FY 2007.

## PERFORMANCE ELEMENT: Security Training



**Responsible Official:** Associate Administrator for Administration

### PERFORMANCE ISSUE:

The purpose of the security training performance element is to plan, develop, and deploy training that meets the mission of DOT/FMCSA by enhancing security on the nation's highways. Without the required security training, FMCSA will not be able to meet DOT's mission of training: (1) Federal, State, and local officers in how to quickly identify possible criminal activity involving CMV operations; (2) Federal and State safety specialists in how to conduct SSVs at the motor carrier's place of business, (3) Federal and State safety specialists in how to conduct effective HHG compliance reviews, and (4) local law enforcement in how to properly identify the Mexican commercial drivers license.

The long-term goal of the security training performance element is to provide 100 percent of all Federal, State, and local safety specialists with security specific training that supports FMCSA's security mission. This training will increase the safety on our highways as well as increase interdictions of criminal activity involving CMVs in transit, thereby creating a safer and more secure United States.

If this training were not taking place, the work force would not be skilled in performing critical job functions in the area of transportation security. FMCSA would experience a reduction in criminal interdiction activity, particularly at the State and local level, involving CMV operations. FMCSA would also experience a loss in data, in the form of criminal indicators and the analysis of criminal cases, which would also contribute to the reduction in criminal interdiction activity.

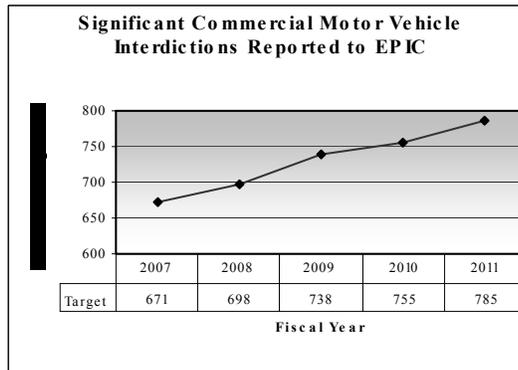
### ANTICIPATED FY 2007 ACCOMPLISHMENTS:

Resources in the FY 2007 Presidential request will enable the Agency to achieve its operational program objectives in support of the FMCSA's security strategic goal.

By the end of FY 2007, FMCSA will have trained 40 percent of targeted Federal, State and local safety specialists in specific security-job skills. As shown in figure 4B-4 below, FMCSA will increase drug interdiction assistance program (DIAP) commercial vehicle criminal interdiction training by 10 percent over FY2006. These activities will increase significant CMV interdictions by 4 percent, as shown in figure 4B-4.



(Figure 4B-3)



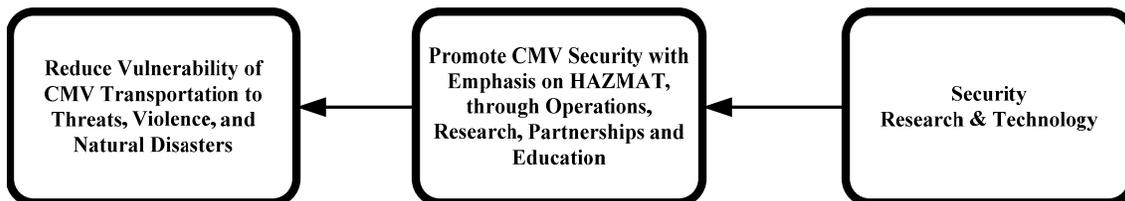
(Figure 4B-4)

**FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$176 thousand/1 FTE. This is a new program element that breaks out this activity from the Human Capital program element to more accurately portray the security specific training that supports this goal. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element. FMCSA plans to accomplish the following milestones in FY 2008:

- Train 70 percent (cumulative) of all targeted Federal, State, and local safety specialists in security job specific skills;
- Increase significant CMV interdictions by at least 4 percent;
- Increase DIAP training by 20 percent over FY 2007;
- Deliver technical assistance to FMCSA and Agency partners in support of FMCSA’s security mission;
- Increase scope of criminal interdiction data, provided by FMCSA partners, to include data on drug-impaired CMV drivers; and,
- Work with the International Association of Chiefs of Police to provide training to local law enforcement personnel to identify the Mexican CDL holders.

**PERFORMANCE ELEMENT: Security Research and Technology**



**Responsible Official:** Associate Administrator for Research and Information Technology

**PERFORMANCE:**

To address the vulnerability of HAZMAT to threats of terrorism, FMCSA will investigate the adequacy of current safety standards for cargo tanks transporting poisonous materials and engage in a comprehensive HAZMAT crash data collection and analysis effort. This research is necessary to allow FMCSA to accurately target its regulatory and programmatic resources toward the elements of HAZMAT transportation having the highest risk on the nation’s roadways.

**ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

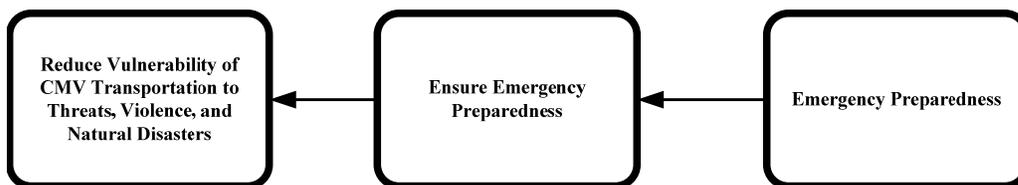
In FY 2007, FMCSA will analyze the impact of including a security risk assessment component in the regulations governing the HAZMAT designated or restricted routes. It will examine the functionality of HAZMAT routing when combining the safety and security concerns and provide enhanced routing tools for governments and the public. The current HAZMAT routing scheme in the United States was developed with safety as the major focus and did not identify the security concerns.

In FY 2007, FMCSA will also initiate research analyzing the impact of including a security risk assessment component in our HAZMAT routing regulations.

**FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$200 thousand. This funding will pay for a study to examine security risk and HAZMAT routing procedures set forth in CFR Part 397. The study will provide FMCSA and the industry with an enhanced routing tool based on safety and security to minimize both risks when transporting HAZMAT.

**PERFORMANCE ELEMENT: Emergency Preparedness**



**Responsible Official:** Associate Administrator for Enforcement and Program Delivery

**PERFORMANCE ISSUE:**

To ensure that FMCSA is able to conduct our mission during disasters and crises, as well as support the Federal efforts in responding to disasters, FMCSA must have continuity of operations and essential emergency-functions planning under Emergency Support Function One (ESF-1). This planning supports DOT’s protective directives under the National Response Plan (NRP). Additionally, in Homeland Security Directive HSPD-5, the President directed the development of a new NRP to align Federal coordination

the President directed the development of a new NRP to align Federal coordination structures, capabilities, and resources into a unified, all-discipline, and all-hazards approach to domestic incident management. FMCSA assists in these efforts by applying the Agency’s unique knowledge of the CMV industry and enforcement community.

This is a critical performance element designed to facilitate the Agency’s ability to continue its essential functions in the event of a manmade or natural disaster. FMCSA coordinates with external partners on CMV security-related issues to enhance infrastructure protection and safety. During times of disaster, FMCSA coordinates with Federal, State, local governments, and industry stakeholders to assist with the Federal efforts to respond and recover from emergencies and disasters.

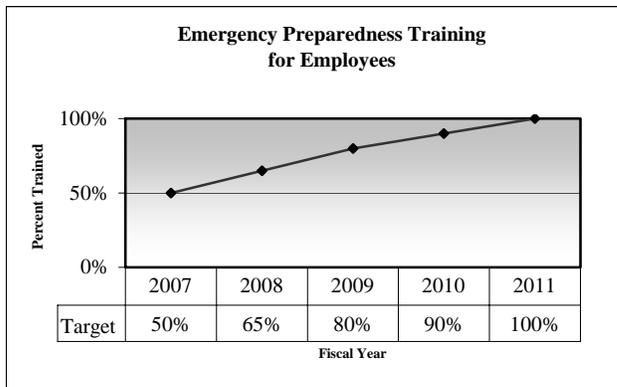
The long-term goals of the emergency preparedness performance element are to ensure the continuous performance of the Agency’s essential functions and operations during an emergency or crisis. FMCSA protects essential facilities, equipment, records, and other assets. These activities are meant to reduce or mitigate disruptions to operations for the Agency itself, and reduce loss-of-life, thereby minimizing damage and losses across the country. FMCSA also assists the Federal efforts in achieving a timely and orderly recovery from an emergency and resuming full service to our stakeholders.

Without adequate funding, FMCSA cannot participate in interagency activities, planning, or tabletop exercises. The Agency’s operational capabilities to maintain its essential functions during an emergency or crisis would be degraded.

**ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

Resources in the FY 2007 Presidential request will enable the Agency to achieve its operational program objectives in support of FMCSA’s Security strategic goal.

In FY 2007, FMCSA will conduct tabletop exercises for field offices, conduct a readiness and operations test at all alternate sites, and emergency preparedness briefings for 50 percent of Agency employees as shown in figure 4B-5 below.



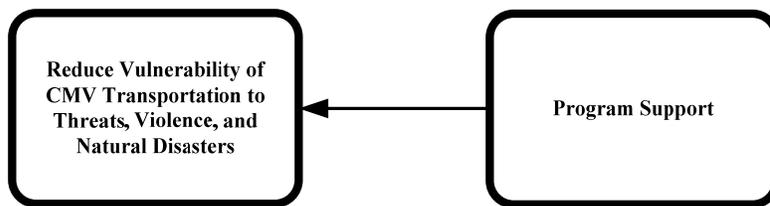
(Figure 4B-5)

**FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$493 thousand/2 FTE. This is a new program element that highlights these activities due to the ever increasing importance of emergency preparedness and government continuity. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element. FMCSA plans to participate in government-wide Continuity of Government and Continuity of Operations (COOP) exercises led by various agencies (i.e., Department of Homeland Security, Federal Emergency Management Agency, Department of Transportation, etc.).

These exercises are conducted to test and monitor agency interoperability and interconnectivity between Federal departments and agencies from individual COOP sites throughout the United States. The Agency will also monitor, update and redesign the Avian Flu Pandemic Plan to ensure adequate measures are in place to protect Agency personnel during pandemic situations. In addition, FMCSA will continue conducting emergency preparedness briefings to reach 65 percent of Agency employees by FY 2008.

**Program Support:**



**PERFORMANCE ISSUE:**

Program support includes offices and services that provide vital oversight, guidance, specialized support and overall leadership to all of the FMCSA strategic goals. The Office of the Administrator is included in this performance element and is vital to the success of the Agency through the provision of leadership vision and overall program direction. The Administrator, Deputy Administrator, and Assistant Administrator/Chief Safety Officer are integrally involved in every aspect of the Agency’s strategic goals. In addition to the mandated positions, including the Regulatory Ombudsman, the Administrator’s office has key staff to provide direct support to the Agency’s leadership. One such support role also includes communication to promote public understanding of, and support for, FMCSA programs, activities, policies, and strategies.

Program support for security specifically includes coordinating educational and informational events to promote awareness of HAZMAT security programs, activities, objectives, and goals to the public, industry, safety-interest groups, State and local governmental agencies, and the media.

Program support also provides legal and legislative support to the Agency’s security initiatives to ensure that activities to reduce security vulnerability of CMVs are effectively implemented to avoid costly litigation. Information systems and programs

provide the appropriate level of access to records in support of a robust national security effort. Also, the Agency's plan for continuity of operations ensures essential programs and functions can be sustained during an emergency.

**ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007, program support will provide legal support and review to develop and enforce rules to enhance the Agency's security presence. FMCSA will also provide legal oversight and support of the Agency's enforcement activities to address security vulnerabilities of CMVs, particularly with respect to HAZMAT carriers.

**FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$1.6 million/5 FTE. This increase is due to a more accurate alignment of program support activities as identified in the new FMCSA Strategic Plan. This funding includes administrative and management expenses to continue current levels of program support.

Based on anticipated funding, program support will provide legal support to the projected intensified activity level in such areas as regulatory development, compliance reviews, HAZMAT permitting oversight, and HAZMAT package inspection.



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FY 2008

**FMCSA**

**PERFORMANCE  
BUDGET**

Section 4C

Commercial Motor Vehicle  
Productivity



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**DEPARTMENT OF TRANSPORTATION  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**

**COMMERCIAL MOTOR VEHICLE PRODUCTIVITY**

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**COMMERCIAL MOTOR VEHICLE PRODUCTIVITY**  
**Performance Goal: Transportation Reliability**

**Commercial Motor Vehicle Productivity Summary Overview**

This funding request contributes to the USDOT mobility strategic objective and to the DOT transportation reliability performance goal of promoting efficient and reliable transportation operations as follows:

HHG commercial investigations.							
<b>Target:</b>	<b><u>2002</u></b>	<b><u>2003</u></b>	<b><u>2004</u></b>	<b><u>2005</u></b>	<b><u>2006</u></b>	<b><u>2007</u></b>	<b><u>2008</u></b>
	N/A	15	100	300	450	450	450
<b>Actual:</b>	15	15	20	300			

DOT will use funds in this area to advance accessible and efficient motor carrier operations for the movement of people and goods related to performance elements that include congestion research and technology, household goods operations, as well as household goods outreach and education and the household goods hotline.

The resources requested to achieve this goal are:

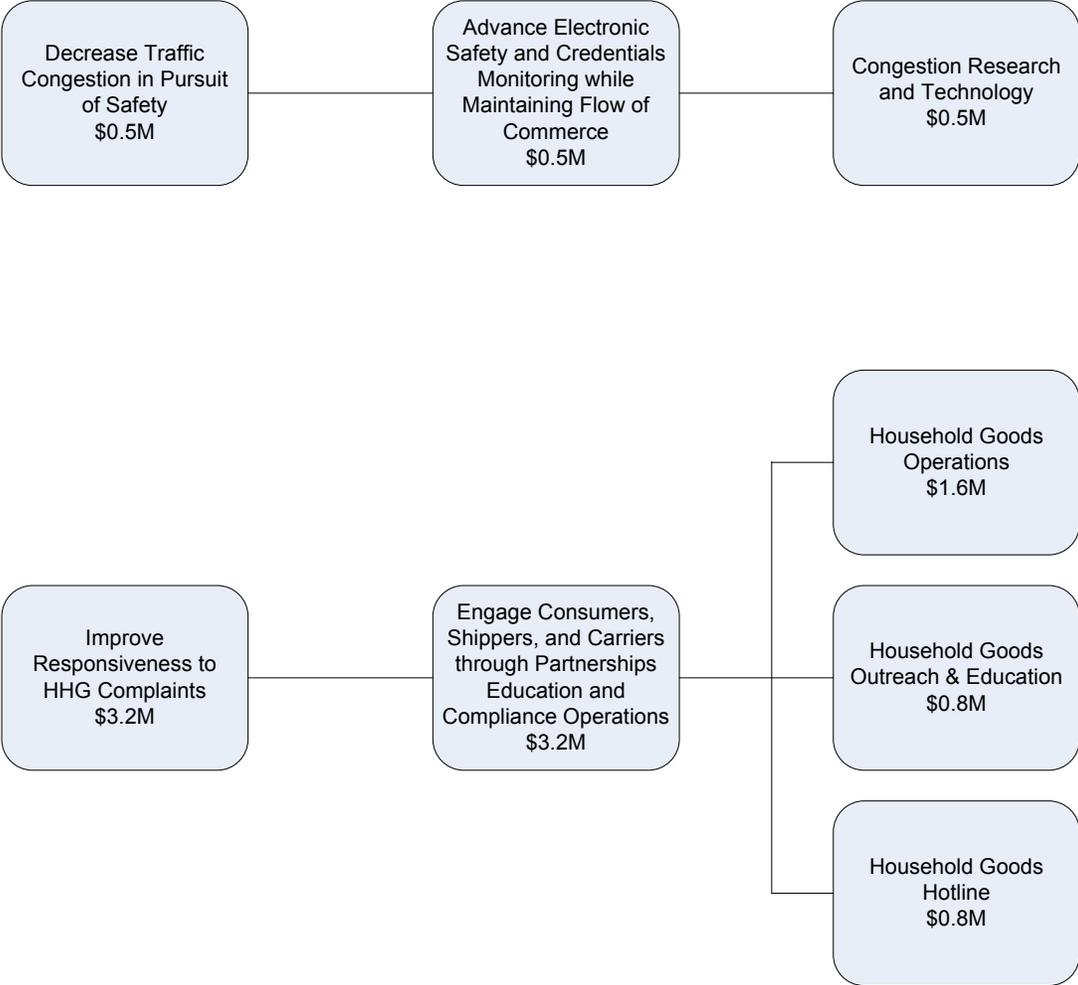
REQUEST	FY 2006	FY 2007	FY 2007	FY 2008
STRATEGIC GOAL (\$000)	ACTUAL	PRES BUD	PRES BUD	TOTAL REQUEST
I. Mobility	<b><u>\$2,100</u></b>	<b><u>\$1,988</u></b>	<b><u>\$2,104</u></b>	<b><u>\$3,645</u></b>
A. Decrease traffic congestion in pursuit of safety				
1. Motor Carrier Safety Operations & Programs	0	0	0	500
Fulltime Equivalent (FTE)	0	0	0	0
B Improve responsiveness to HHG complaints				
1. Motor Carrier Safety Operations & Programs	2,100	1,988	2,104	3,145
Fulltime Equivalent (FTE)	10	10	16	16

**Goal: Commercial Motor Vehicle Productivity**

**Objectives**

**Strategies**

**Performance Elements**  
**Federal**



## GOAL DASHBOARD

### CMV Productivity Strategic Objectives

- Decrease Traffic Congestion in Pursuit of Safety
- Improve Responsiveness to HHG Complaints



### Outcomes

- Reduced congestion level and improved CMV road traffic safety
- Improved responsiveness to HHG complaints



### Leading Indicators

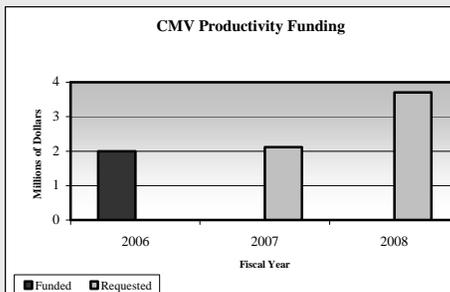
- Types and Frequency of HHG Movers Complaints of HHG Movers Filed
- Number and Types of Commercial Enforcement Actions Initiated

### Performance Elements

- Congestion Research and Technology
- Household Goods Operations
- Household Goods Outreach and Education
- Household Goods Hotline



### CMV Productivity Funding



## PERFORMANCE ISSUE

Trucks carry 80 percent of the value of all goods shipped in the United States. The efficient movement of these goods is the underpinning of the U.S. economy and impacts everyone in this country. The Agency's CMV productivity strategic objective contributes to the efficiency of the motor carrier industry including the critical area of Household Goods (HHG).

Reducing congestion and other impediments to the nation's transportation system is a Secretarial priority, and will improve the flow and movement of goods, increase CMV carrier operational efficiencies, and improve overall transportation safety.

FMCSA's regulation of the HHG moving industry and enforcement of the commercial requirements included in the Federal Motor Carrier Commercial Regulations (FMCCRs) contribute to efficient and reliable transportation operations and DOT's mobility strategic objective. An estimated 40 million Americans relocate each year, approximately 1.6 million of which are interstate moves, handled by approximately 4,000 companies. Fortunately, the majority of household moves are completed without incident.

Following FMCSA's launch of a consumer education program to raise FMCSA's public profile regarding the Agency's role in collecting complaints about shippers, HHG complaints are continuing to rise. FMCSA receives nearly 3,000 legitimate HHG complaints annually. Calls and Web complaints from consumers are rising every year. There are over 4,000 registered motor carriers actively transporting HHG across State lines and, as investigations have uncovered, many more that operate without proper authority.

While most moves go smoothly, many U.S. consumers are experiencing difficulties in resolving disputes with problem movers and drivers. While a small percentage of the commercial motor carriers are engaged in all aspects of interstate commerce, they nonetheless are at the root of the majority of serious complaints registered by consumers.

These activities contribute to the Agency's strategic objective of promoting efficient and economical motor carrier operations to sustain mobility and economic growth, and maintaining the focus on safe motor carrier operations.

To maintain FMCSA's increased attention on CMV productivity, FMCSA will carry out two CMV productivity strategies to:

- Advance electronic monitoring of credentials while maintaining the flow of commerce; and,
- Engage HHG consumers, shippers, and carriers through partnerships and education.

These strategies will be carried out through four performance elements: Congestion Research and Technology, Household Goods Operations; Household Goods Outreach and Education, and the Household Goods Hotline. The interrelationship of the programs and resources, and their linkage to the congestion goal are illustrated in the logic model on page 4C-3. For each performance element the following narratives are provided: (1) Performance Issue; (2) Anticipated FY 2007 Accomplishments; and, (3) FY 2008 Performance Element Request. Achievement of all FY 2007 performance targets under the productivity goal assumes receipt of full FY 2007 funding for this goal.

**Performance Element: Congestion Research and Technology**



**Responsible Official:** *Associate Administrator for Research and Information Technology*

**PERFORMANCE ISSUE:**

DOT recognizes the growing problems congestion is creating for the nation's transportation system. This issue threatens to undermine the progress DOT has made regarding safety. As a contribution to solving this problem, FMCSA is looking for innovative strategies to reduce congestion that might be caused by routine truck-related safety activities.

The Congestion Research and Technology performance element seeks to advance electronic credentials monitoring while maintaining the flow of commerce to decrease delays in the flow of goods, and deliveries. Congestion has been growing in all transportation modes, and its cumulative effects have been slowing the movement of goods and impeding both national and global commerce. FMCSA's contribution to congestion relief is to work closely with its State, Federal, and industry partners to develop electronic safety and credential monitoring devices. These devices work to reduce the amount of time carriers spend entering and exiting weigh stations and inspection booths and in roadside inspections. This is intended to reduce the congestion that builds around these particular areas.

**ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

This is a new performance element that did not exist in FY 2007.

**FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$500 thousand. This is a new program element that identifies activities in support of the DOT priority to reduce congestion on our Nation's highways. This program will install, test, and evaluate the safety benefits of a State-wide wireless inspection network where drivers' logs and vehicle fault codes are electronically checked on a weekly basis.

FMCSA will conduct a Field Operational Test (FOT) to install and test a State-wide network of fixed, mobile, and virtual roadside safety inspection sites. This FOT in one State will provide critical real-world information for national expansion of such a network to support the Agency's national goals to target unsafe drivers. A national network could generate an estimated 300 to 500 million electronic CMV driver and vehicle inspections/checks. The inspection sites, one of them being FMCSA's Roadside Test Lab, would first conduct wireless inspections on a fleet of participating trucks and buses. The test will collect valuable real-world data and lessons learned regarding best technologies to use, information technology (IT) infrastructure requirements for uploading electronic inspections to State and FMCSA safety databases, technology and procedural standards development to be integrated with out of service criteria, data collection and generation implications in support of new rating methodologies under consideration as part of CSA 2010, and an enforcement concept of operations and protocols.

**Performance Element: Household Goods Operations**



**Responsible Official:** *Associate Administrator for Enforcement and Program Delivery*

**PERFORMANCE ISSUE:**

The primary goal for this performance element is to identify the worst HHG carriers operating throughout the country, and to focus enforcement resources towards improving such carriers' behavior, and making the information generally available to the public so they can make better informed consumer decisions. FMCSA is also exploring the scope of the HHG regulations and analyzing the state of the industry. The Agency will develop mechanisms to rank carriers based on complaints.

Ensuring efficient motor carrier operations and protecting consumers from unscrupulous operating practices links and contributes to the Department's Mobility strategic objective. FMCSA has been tasked by Congress to reduce the abusive operating practices of rogue movers against individual HHG shippers. In response, FMCSA is implementing comprehensive HHG countermeasure initiatives that better educate the public and better focus the available enforcement resources toward the most problematic carriers.

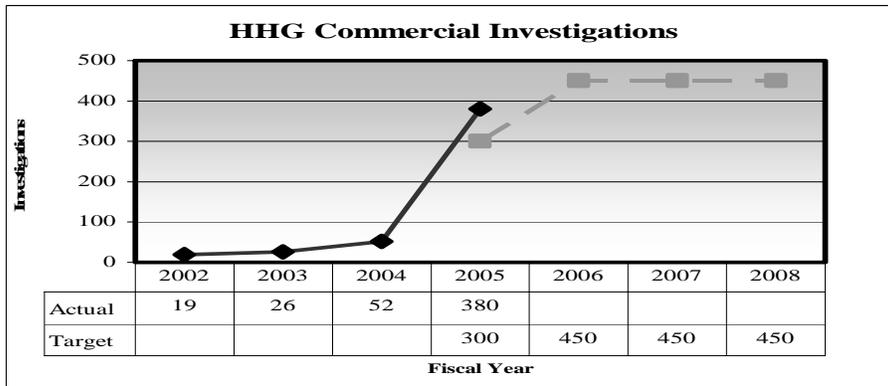
FMCSA has undertaken a campaign to educate HHG moving consumers about the threats posed by "rogue" moving companies, and to improve moving fraud prevention and enforcement efforts.

**ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

As part of its overall effort to increase its HHG compliance and enforcement activities, FMCSA plans to complete 450 commercial HHG compliance reviews annually. Field personnel will increase the quality of enforcement reporting. FMCSA plans to reduce complaints requiring investigation by 1% from the FY 2006 rate through proactive enforcement and engagement of the industry. FMCSA will conduct at least 50 web site investigations in FY 2007, in which a review of carriers' or brokers' internet advertisements will be conducted to ensure their compliance with commercial regulations. Internet investigations will be initiated based on complaints from consumers.

**FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$1.6 million/12 FTE. This is a new program element that breaks out HHG operations from the HHG Enforcement and Compliance Operations program element as reflected in the FY 2007 request. This funding includes administrative and management expenses to continue current levels of support for this performance element.



(Figure 4C-1)

FMCSA plans to complete 450 commercial HHG compliance reviews annually, as shown in figure 4C-1 above. The Agency will accomplish this in part by training 40 additional HHG field investigators from existing safety staff. FMCSA plans to reduce the number of complaints requiring investigation by 1 percent from the FY 2006 rate through proactive enforcement and engagement of the industry. One example of this will be through Web investigations.

These investigations will identify those advertisements that may cause shippers to receive minimum or false information. FMCSA will conduct at least 50 web site investigations in FY 2008, in which a review of carriers’ or brokers’ internet advertisements will be conducted to ensure their compliance with commercial regulations. Internet investigations will be initiated based on complaints from consumers.

The Agency will increase the quality of reviews and enforcement reports and see increased quality in documenting non compliance; which will decrease the time to fully process an enforcement case.

**Performance Element: Household Goods Outreach and Education**

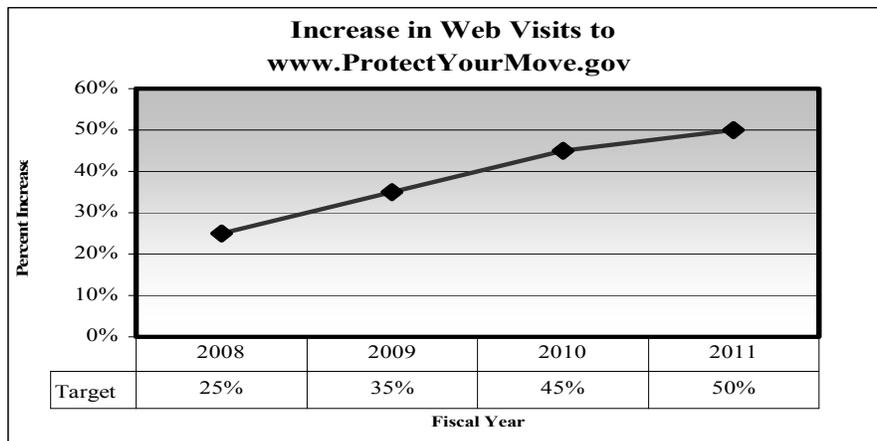


**Responsible Official:** *Associate Administrator for Enforcement and Program Delivery*

**PERFORMANCE ISSUE:**

The HHG Outreach and Education performance element provides consumers with information to protect themselves against dishonest and rogue movers. The goal of the program is to increase the level of consumer information provided by HHG motor carriers and brokers to individual consumers; and to improve the awareness of consumer’s rights and responsibilities to enable them to protect themselves from dishonest and rogue movers.

This performance element increases FMCSA’s ability to provide the public with a moving fraud prevention program and reduce the number of serious complaints from movers who have been treated unfairly. FMCSA maintains the Protect Your Move Web site, participates in partnership events, develops the needed outreach and education materials for movers, and provides rulemaking outreach support to the public and moving industry. One of the Agency’s long-term goals is to increase the number of Web hits to the Protect Your Move Web site by 50 percent compared to the FY 2006 Web hits rate as reflected in figure 4C-2 below. Also, FMCSA’s partnership with the U.S. Postal Service will reach nearly 15million consumers filing a change of address form to spread the fraud prevention message to consumers conducting a HHG move.



(Figure 4C-2)

## **ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007, FMCSA will conduct targeted HHG outreach and education activities and will accomplish the following milestones:

- Continue to enhance the HHG database to meet SAFETEA-LU requirements;
- Research, develop and distribute HHG outreach materials in English and Spanish;
- Launch an education and outreach campaign during the 2007 moving season,
- Update the Protect Your Move Web site with current HHG broker and Internet moving fraud information;
- Complete evaluation study of HHG Consumer Information Program;
- Work with GSA to distribute 50,000 HHG brochures through its Federal Citizen Information Center;
- Partner with U.S. Postal Service to place HHG consumer information leaflets in their Mover's Guide in select markets reaching nearly 12.6 million consumers with FMCSA's moving fraud prevention message; and,
- Work with U.S. Postal Service to reach 2.1 million consumers through their Mover's Guide on-line registrations.

## **FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$776 thousand (includes \$610 thousand from the Outreach and Education program authorized by SAFETEA-LU)/1 FTE. This is a new program element that breaks out these activities from the HHG Enforcement and Compliance Operations program element as reflected in the FY 2007 request. This funding includes administrative and management expenses to continue current levels of support of this performance element. In FY 2008, FMCSA will conduct targeted HHG outreach and education activities and will accomplish the following milestones:

- Maintain the operation of the HHG database in order to meet SAFETEA-LU requirements;
- Maintain and provide enhancements to the Protect Your Move moving Web site;
- Participate in HHG partnership events;
- Develop, print and distribute outreach and education materials to HHG partners and field and State offices;
- Expand outreach initiative with the U.S. Postal Service to additional markets to reach out to the more than 15 million consumers filing a change of address form annually;
- Launch an education and outreach campaign during the 2008 moving season; and,
- Work with GSA to distribute 50,000 HHG brochures through the Federal Citizen Information Center.

In FY 2008, FMCSA will increase the number of Web hits to Protect Your Move Web site by 25 percent, compared to the FY 2006 rate, while achieving a 72 percent customer satisfaction rating from site visitors.

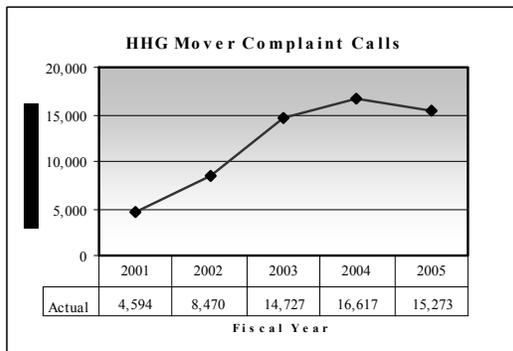
**Performance Element: Household Goods Hotline**



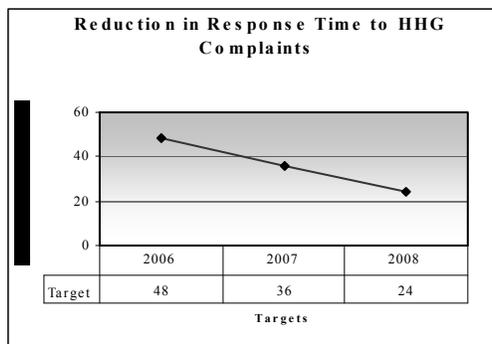
**Responsible Official:** *Director, Office of Communications*

**PERFORMANCE ISSUE:**

Because consumers are sometimes taken advantage of by rogue or dishonest companies they need a federal government point of contact to report these problems. The hotline provides a mechanism to collect consumer complaints and provides summary information for the Agency to consider compliance and enforcement actions. As shown in figure 4C-3 below, HHG consumer complaints have exceeded 14,000 a year since 2003. FMCSA efficiently and effectively collects consumer complaint data to ensure the enforcement program can make data driven compliance and enforcement decisions. FMCSA has set a long term goal of reducing the time it takes the Agency to respond to these calls to no more than 24 hours by the end of FY 2008, as reflected in figure 4C-4 below.



(Figure 4C-3)



(Figure 4C-4)

**ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007, FMCSA will continue to improve public awareness of the moving industry practices, processes, and procedures and consumers about their rights and responsibilities to avoid being taken advantage of by a dishonest or rogue mover. They will do this through continued operation of FMCSA’s toll-free Safety Violation and Consumer Complaint (SVCC) Hotline to receive complaints from the public. The Agency will also continue the Automated Letter Notification System (LNS) which is an enhancement to the SVCC Hotline. FMCSA will improve performance in responding to hotline call, reducing the average time it takes to respond to 36 hours.

**FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$776 thousand (includes \$390 thousand from the Outreach and Education program authorized by SAFETEA-LU)/3 FTE. This is a new program element that breaks out these activities from the HHG Enforcement and Compliance Operations program element as reflected in the FY 2007 request. This funding includes administrative and management expenses to continue current levels of support of this performance element.

FMCSA will fully implement procedures to receive and react to HHG complaints in a uniform and consistent manner as well as appropriately make enforcement decisions. The average time it takes to respond to HHG complaints will be reduced to 24 hours.



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FY 2008

**FMCSA**

**PERFORMANCE  
BUDGET**

Section 4D

Commercial Motor Vehicle  
Global Connectivity



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**DEPARTMENT OF TRANSPORTATION  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**

**COMMERCIAL MOTOR VEHICLE GLOBAL CONNECTIVITY**

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## GLOBAL COMMERCIAL MOTOR VEHICLE CONNECTIVITY

### Performance Goal: Efficient Movement of Cargo Throughout the Supply Chain

#### Global Connectivity Summary Overview

This funding request contributes to the DOT Global Connectivity strategic objective and the Administration's initiative to open the southern border to expanded CMV operations.

With these funds, DOT will advance Automated Commercial Environment/International Trade Data Systems (ACE/ITDS) deployment and functionality, to better balance the requirements for border safety inspections with efficient commercial movement of cargo through border crossings.

The resources requested to achieve this goal are:

REQUEST by	FY 2006	FY 2007	FY 2007	FY 2008 TOTAL
STRATEGIC GOAL (\$000)	ACTUAL	CR	PRES BUD	REQUEST
I. Global connectivity	<u>\$99</u>	<u>\$95</u>	<u>\$100</u>	<u>\$352</u>
A. Facilitate a more efficient cross border motor carrier transportation system that enables economic growth and development				
1. Motor Carrier Safety Operations & Programs	99	95	100	352
FTE	0	0	0	2

**Goal: Global Connectivity**

**Objective**

**Strategy**

**Performance Element**

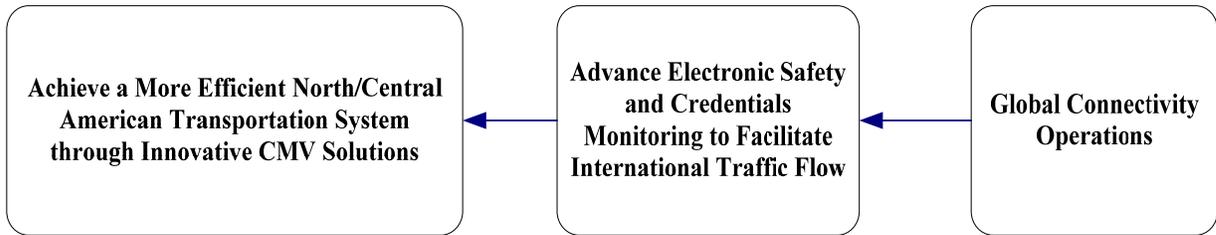
**Federal**

Achieve a More Efficient North/Central American Transportation System through Innovative CMV Solutions  
\$0.4M

Advance Electronic Safety and Credentials Monitoring to Facilitate International Traffic Flow  
\$0.4M

Global Connectivity Operations  
\$0.4M

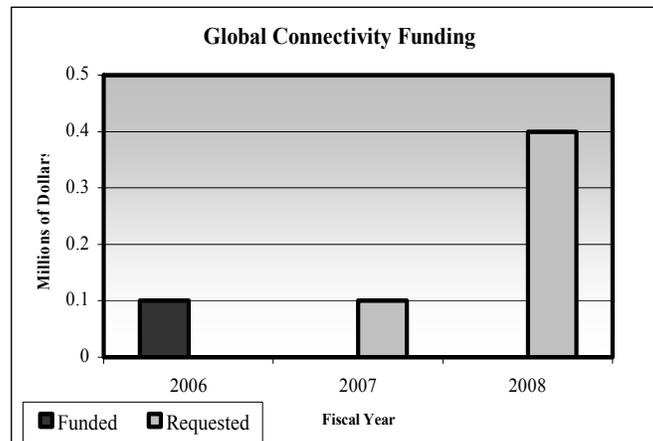
## PERFORMANCE ELEMENT: Global Connectivity Operations



**Responsible Official:** *Associate Administrator for Enforcement and Program Delivery*

### PERFORMANCE ISSUE:

This performance element is necessary to ensure the exchange of safety data between FMCSA and its Federal/State partners and foreign governments. Information systems which provide FMCSA and its MCSAP enforcement partners with accurate and timely driver, vehicle and carrier safety data is necessary for FMCSA to accomplish its mission to reduce fatal crashes, especially as it relates to foreign domiciled motor carriers.



The program purpose is to ensure commercial motor vehicles entering the U.S. from a foreign country are compliant with all commercial vehicle safety rules and regulations. The information systems and data exchanged with FMCSA's partners will allow FMCSA to better identify unsafe foreign motor carriers, drivers and vehicles so that they may be subjected to inspections and enforcement actions.

The long term goal of these activities is to reduce commercial motor vehicle crashes involving foreign drivers, vehicles and motor carriers by targeting unsafe drivers, vehicles, and carriers for inspection and/or enforcement action.

An unfunded program would significantly delay the development, revision, or deployment of these information systems. Additionally, both the quantity and quality of safety-related data would be adversely affected. FMCSA's ability to identify unsafe foreign drivers, vehicles and carriers would suffer as would its ability to complete its mission to reduce crashes involving commercial motor vehicles.

Transportation systems within and among nations are lifelines to economic growth, to more open trade, and to greater cultural exchange. We are in a world where economic productivity is tightly linked to transportation efficiency. Multinational manufacturers source inputs from international suppliers, bring these inputs to production facilities, assemble them and ship them to customers around the globe. Competitive international trade depends on efficient cross border commercial motor vehicle freight transportation.

In 2004, the most recent year for which data are available, approximately 11.3 million trucks entered this country by way of highway border crossings from Canada and Mexico. The total value of combined truck trade with Canada and Mexico approached \$712 billion in 2004. Trucks carry almost two-thirds of the value of goods traded with these two countries. The value of goods carried by truck increased by almost 40 percent between 1997 and 2004. In addition, more than 450,000 motor coaches entered this country from Canada and Mexico, transporting more than 8 million incoming passengers. Presently, more than 1,400 Mexican-domiciled carriers have been granted authority to operate within the commercial zone, and this number could be expected to increase significantly should the southern border be fully opened to international trucking and cross-border regular route bus services in compliance with provisions of the NAFTA agreement.

While primarily intended for safety, some border-related safety technology applications can help balance safety inspections with maintaining efficient movement through border crossings, yielding derivative benefits for global connectivity. For instance, FMCSA and U.S. Customs and Border Protection (CBP) are partnering to improve truck safety at our nation's land borders utilizing the Automated Commercial Environment/ International Trade Data Systems (ACE/ITDS). ACE/ITDS, when combined with the functionality of FMCSA's Query Central, will enable Federal border inspectors to identify and contain unsafe commercial motor vehicles and drivers before they reach our national highways.

ACE/ITDS incorporates an Automated Truck Manifest feature that further improves the efficiency of inspections at the Canadian and Mexican borders. FMCSA and CBP border officers know before a truck reaches the primary inspection booth at a port of entry whether the vehicle and/or driver is free to enter U.S. roadways. Inspection personnel also know whether they need to refer a vehicle or driver to secondary holding areas for further examination.

#### **ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007, FMCSA will continue to work with our interagency and international partners to improve and expand connectivity through ITDS, and implement safety activities based on this shared data. Planned accomplishments in FY 2007 include maintaining the interface and making enhancements to field systems as ACE/ITDS

expands to additional crossings. By the end of FY 2007, FMCSA will deploy ACE/ITDS at 10 percent of commercial cargo border crossings. FMCSA will deploy ITDS at international crossings where CBP has deployed ACE. When the truck and bus access provisions of NAFTA are implemented, emphasis will be given to deploying FMCSA-related ITDS at the southern commercial cargo crossings.

FMCSA will work on our joint projects to address CMV global connectivity, productivity, and safety. FMCSA will continue to work closely with CBP on the ACE/ITDS and the Free and Secure Trade Program (FAST). We envision that as the CBP programs mature, greater participation by FMCSA will be required to ensure that the safety aspects of commercial motor carriers, vehicles, and drivers are appropriately considered and integrated into CBP's safety and security initiatives. FMCSA will work with the Intelligent Transportation Systems (ITS) and Commercial Vehicle Information Systems Network (CVISN) staff to ensure there is technical and program compatibility with national systems as these are developed and implemented at border locations.

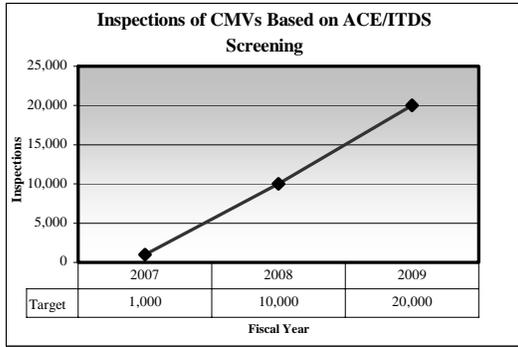
In FY 2007, FMCSA will implement and test the enhanced ACE/ITDS interface with the ongoing CBP activities. The Agency will continue the related work associated with the development of FMCSA and State border personnel to track the driver and vehicle referral and the outcome of the referral. FMCSA will deploy the initial production version of the system to select ports by June 1, 2007. Through the Security and Prosperity Partnership (SPP) Motor Carrier Safety Data Exchange we will begin exchanging driver and vehicle safety information with Canada and Mexico by June 2007. FMCSA will also develop a business plan for an integrated data management and motor carrier safety oversight regime with Mexico and Canada

FMCSA plans to conduct 1,000 targeted commercial motor carrier, vehicle, and driver inspections (including operating authority and financial responsibility checks) based on ACE/ITDS screening procedures; and 10 compliance reviews based in part on ACE/ITDS screening data. Achievement of all FY 2007 performance targets under the global connectivity goal assumes receipt of full FY 2007 funding for this goal.

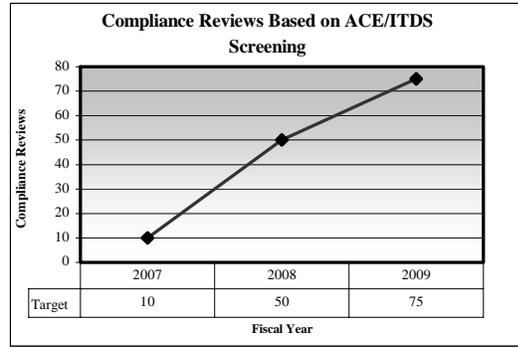
#### **FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$318 thousand/2 FTE. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance request. FMCSA's planned accomplishments in FY 2007 include maintaining the ACE/ITDS functionality and making enhancements to field systems as operations expand to additional crossings.

FMCSA will deploy an initial production version of ACE/ITDS to all ports by June 1, 2008. FMCSA will complete harmonization of crash reporting data elements by June 2008. We will also develop and test compatible IT systems for an integrated data management and motor carrier safety oversight regime with Mexico and Canada



(Figure 4D-1)



(Figure 4D-2)

By the end of FY 2008, FMCSA will deploy ACE/ITDS at 50 percent of commercial cargo border crossings. As shown in figures 4D-1 and 4D-2 above, FMCSA plans to conduct 10,000 targeted commercial motor carrier, vehicle, and driver inspections (including operating authority and financial responsibility checks) based on ACE/ITDS screening procedures; and 50 compliance reviews based in part on ACE/ITDS screening data.



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FY 2008

**FMCSA**

**PERFORMANCE  
BUDGET**

Section 4E

Organizational Excellence



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**DEPARTMENT OF TRANSPORTATION  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**

**ORGANIZATIONAL EXCELLENCE**

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**ORGANIZATIONAL EXCELLENCE**  
**Performance Goal: Organizational Excellence**

**Organizational Excellence Summary Overview**

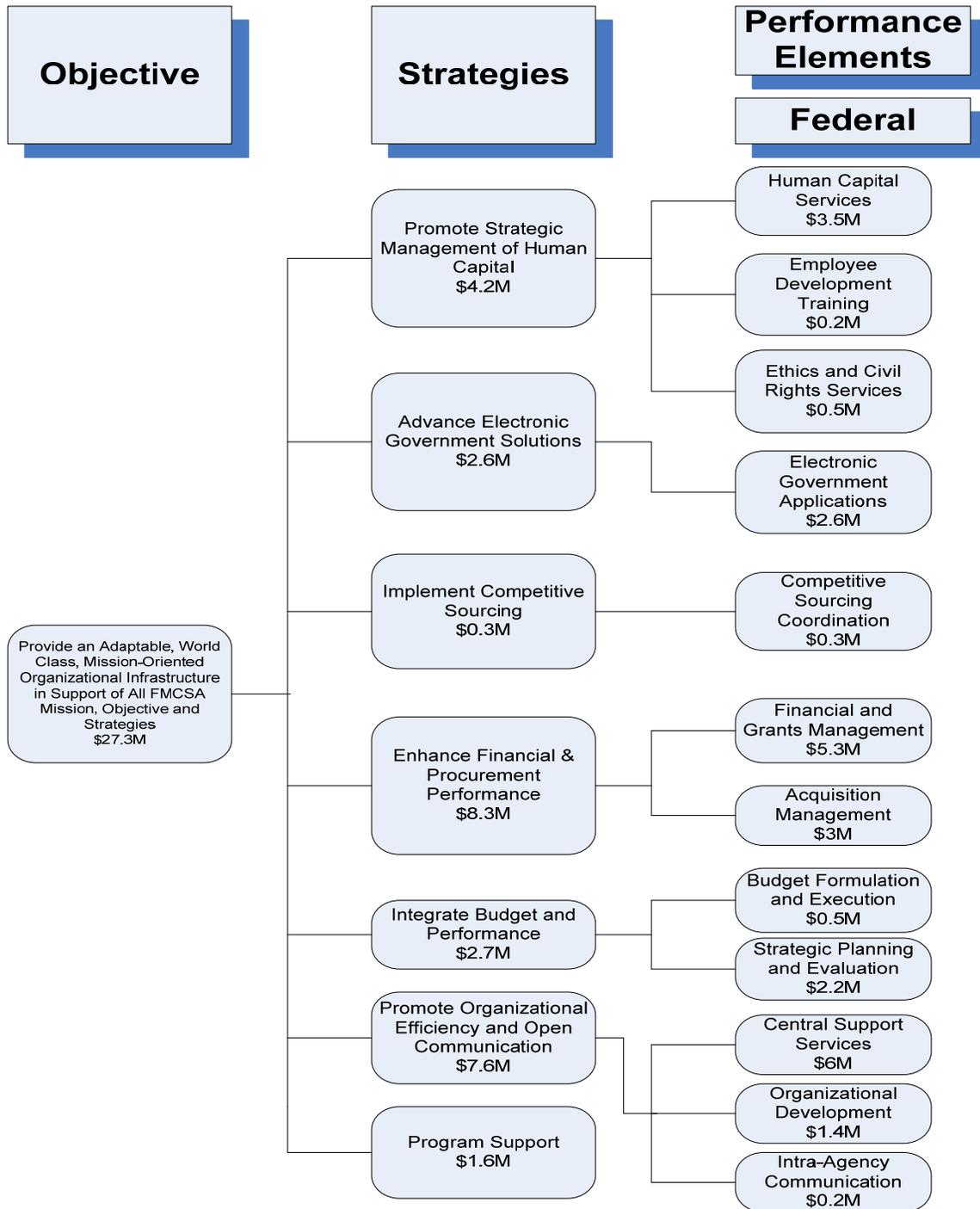
This funding request contributes to the DOT Organizational Excellence goal with funds directed at enabling FMCSA to improve program delivery through quality administrative and information technology support. The request supports the President’s Management Agenda (PMA) strategies of Strategic Management of Human Capital, Citizen-Centered Government through E-government activities, Competitive Sourcing to promote competition and innovation, Improved Financial and Procurement Performance to ensure sound fiscal stewardship, and Budget and Performance Integration to link resources to results.

This funding level provides FMCSA with the critical administrative, technical, and customer-focused infrastructures for a high performance organization. Efforts will focus on improving business practices and processes that support program delivery.

The resources requested to achieve this goal are:

REQUEST by	FY 2006	FY 2007	FY 2007	FY 2008 TOTAL
STRATEGIC GOAL (\$000)	ACTUAL	CR	PRES BUD	REQUEST
I. Organizational Excellence	<b><u>\$24,816</u></b>	<b><u>\$28,502</u></b>	<b><u>\$30,141</u></b>	<b><u>\$28,320</u></b>
A. Promote effective and efficient human capital, business, and information technology processes and systems that enhance program performance.				
1. Motor Carrier Safety Operations & Programs	24,816	28,502	28,320	28,320
FTE	58	58	68	58

## Goal: Organizational Excellence



## GOAL DASHBOARD

### Organizational Excellence Strategic Objective

Provide an Adaptable, World-Class, Mission-Oriented Organizational Infrastructure in Support of All FMCSA Mission, Objectives and Strategies



#### Outcome

Improve workforce and overall organizational performance

#### Efficiency Goal

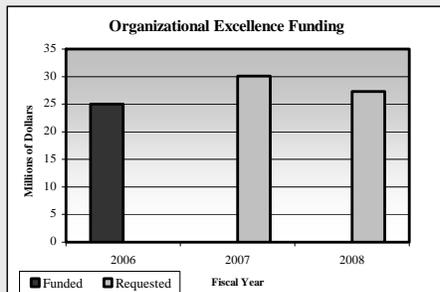
Increase Agency efficiency at saving lives.



#### Performance Strategies

- Promote Strategic Management of Human Capital
- Advance Electronic Government Solutions
- Implement Competitive Sourcing
- Enhance Financial & Procurement Performance
- Integrate Budget & Performance
- Promote Organizational Efficiency and Open Communication

#### Organizational Excellence Funding



### PERFORMANCE ISSUE:

Our objective is to provide an adaptable, world-class, mission-oriented organization in support of FMCSA's mission, objectives, and strategies. FMCSA will undertake activities for continuous organizational improvement. Our organizational improvement activities will result in a more highly-trained and motivated workforce, enhanced cost-control measures, and improved decision-making processes.

FMCSA's strategies to achieve the Organizational Excellence objective include aspects of sound management and organizational efficiency.

FMCSA will engage in activities that promote strategic management of human capital. This will enable the Agency to implement better planning and policies that identify, recruit, develop, and retain a diverse and talented workforce in support of the strategic goals. FMCSA will conduct efficiency reviews of human capital programs and processes to identify areas for improvement; will define the best use of human resources; and will contribute to the government's best practices for human capital management.

FMCSA will advance electronic-government solutions by providing on-line information about proposed and final regulations, information on adjudicatory actions, and public comments on proposed rules. The Agency will implement electronic grant applications and management practices. We will also continue to utilize web technology to promote and distribute information. These actions will keep FMCSA focused on the customer, increase public accessibility to Federal government information, and ultimately reduce costs.

FMCSA will implement competitive sourcing to enable effective performance of activities and help achieve cost efficiencies. We will always look for the most efficient organizational implementation of all agency functions, keeping in mind inherently governmental operations.

FMCSA will enhance financial and procurement performance to achieve greater cost savings and organizational efficiencies. In that regard, the Agency will improve financial management oversight and acquisition management for grants while maintaining current levels of performance for other activities related to financial and procurement performance.

The Agency will integrate budget and performance through managerial cost accounting and other programs to provide opportunities for business process improvements by linking program outputs to objectives. This integrated performance budget and the FMCSA Strategic Plan are clear examples of the thoughtful, results-based process the Agency implements as part of a dynamic Planning, Programming, Budgeting and Execution system. Specifically, this process helps to determine the contributions of various programs, activities, and regulations toward meeting our objectives and ensuring greater FMCSA performance.

FMCSA will promote organizational efficiency and open communication to enhance overall performance, and develop communication and outreach programs to help achieve the Agency's mission. FMCSA will also continually be searching for the most efficient program infrastructure and support. Achievement of all FY 2007 performance targets under the organizational excellence goal assumes receipt of full FY 2007 funding for this goal.

**PERFORMANCE ELEMENT: Human Capital Services**



**Responsible Official:** Associate Administrator for Administration

**PERFORMANCE ISSUE:**

When FMCSA was established in January 2000, many of the primary functions associated with the Agency's Human Capital Services remained dependent on the established support infrastructure of the Federal Highway Administration (FHWA). This relationship has had a significant impact on FMCSA's ability to provide timely and effective service. As explained in further detail below, FMCSA is establishing its own capabilities in this area. Activities are underway to support the President's Management Agenda for Strategic Management of Human Capital and human capital initiatives and priorities of the Administrator and the Secretary. The Agency has developed a Human Capital Plan, Workforce Plan, Recruitment Plan, and Succession Planning model as baseline tools for shaping the organization in a fashion that enhances efficiencies in operation and promotes accountability of results in achieving organizational goals.

Ongoing review and assessment of these documents will be critical in monitoring and planning results.

Efforts are ongoing to develop strategies to prevent gaps in leadership and programmatic competencies. Moreover, performance planning that ensures cascading from the highest level of management to the lowest level of the workforce, and at the same time promote accountability in achieving results will be a human capital priority.

#### **ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007, FMCSA will monitor the Human Capital and Workforce Plan to determine the need for updates and ensure that the human capital strategies and recommendations are fulfilled. FMCSA will also continue to promote succession planning and competency assessments. We will perform analysis of the OPM and DOT surveys to determine their impact on the agency's goals. FMCSA has set a goal to have at least 86 percent employee participation in the OPM Federal Human Capital Survey.

In FY 2007, FMCSA will establish a baseline of the number of applicants offered employment without first having received a negative controlled substance test result. This baseline will allow us to develop a comprehensive performance measure for future year results. The Agency will also establish a method of capturing and reporting quarterly the number of employees injured on the job that result in compensatory time. FMCSA requested the addition of 2 positions in FY 2007 (funded for half a year) to meet necessary human resources support requirements. Based on anticipated funding activities, FMCSA is on target to achieve the accomplishments of this performance element.

To function adequately, FMCSA must be able to accommodate the human capital needs of management across organizational lines. The greatest deficiencies emanate from the following functions:

1. Policy development;
2. Benefits and Retirement; and,
3. Pay Administration.

FMCSA plans to continue significant improvement of human resources service support for our customers by reducing reliance on FHWA for FMCSA's core human resources functions. With the addition of 2 FTE in FY2007, FMCSA will begin to initiate the realignment of functions currently being performed by FHWA. The agency will build accountability systems to ensure effective and efficient implementation of human resources programs that promote mission accomplishment and ensure consistency with merit system principles, veteran's preference, family programs, and other important public policies.

To foster the ongoing development and retention of a high quality workforce, FMCSA will strive to expand efforts for providing essential staffing resources and a strategic

organization required to support its mission. Efficiency reviews of human capital programs and processes will continue to identify areas for improvement.

### **Updated Human Capital and Workforce Plan**

The Human Capital Plan, Workforce Plan, and the Succession Plan are critical tools and serve as the roadmap to success in achieving the Strategic Management of Human Capital, a priority initiative addressed in the Presidential Management Agenda. These plans, along with the competency report, will be updated to meet the strategic demands consistent with Departmental and Agency mission requirements. These plans will need to be updated often as FMCSA has changed in size, reporting structures, and complexity since its inception in 2000. FMCSA programs generate substantial interest by Congress, State and local governments, the trucking and motorcoach industries, safety advocacy groups, and private citizens.

FMCSA's human capital planning strategies must be aligned with mission, goals, and organizational objectives and integrated into its strategic plans, performance plans, and budget. The human capital planning component must be adequately staffed to partner with line managers and be prepared to address not only day to day management issues but long range planning requirements. The planning incorporates workforce analysis, succession planning, performance integration, training, competency assessment, accountability, and recruitment.

### **FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$3.5 million/13 FTE. Under the new FMCSA Strategic Plan, this element has been realigned and renamed from the FY 2007 Strategic Management of Human Capital performance element. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element.

FMCSA has set a goal to develop a new human capital and workforce plan every two years. In FY 2008, we will assess the organization in terms of new requirements and priorities that may require new strategies and change in direction of the human capital program, conduct an organizational assessment and ensure accountability plans are in place to enhance mission accomplishments.

In FY 2008, FMCSA will lower the number of applicants offered employment without first having received a negative controlled substance test result from the FY 2007 baseline.

**PERFORMANCE ELEMENT: Employee Development Training**



**Responsible Official:** Associate Administrator for Administration

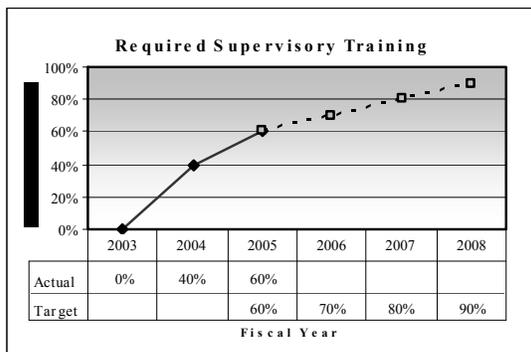
**PERFORMANCE ISSUE:**

This performance element is focused on the continuous development of all employees to improve quality, expand knowledge and skills, and better enable the staff to adapt to a continually changing work environment. This includes empowering employees to have greater opportunities for training by further expanding the FMCSA Electronic Management System (eLMS) capabilities and course offerings; and by continuing to develop a Supervisory Leadership Program in view of higher anticipated management turnover rates.

The long term goal of employee development training is to provide 100 percent of all FMCSA employees training in job specific skills, in order to ensure their efficiency and effectiveness. To reach this goal 100 percent of all FMCSA employees will utilize the Electronic Management System (eLMS) to develop training plans, register and track successful completion of courses. FMCSA will also provide testing and evaluation of all NTC delivered and/or sponsored courses in order to improve training opportunities.

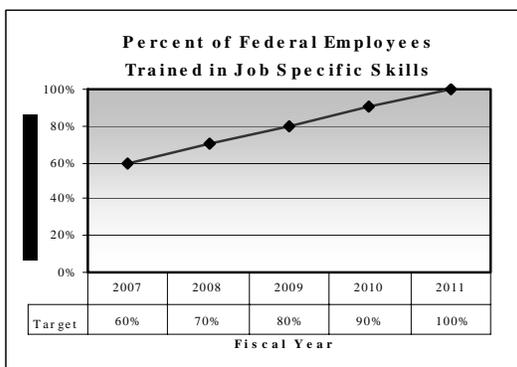
**ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007, FMCSA will continue to offer eLMS training to enhance employees’ ability to constructively identify and develop a career path of required training. The Professional Development module will include subjects such as ethics, leadership development, model workplace environment, and diversity training. As shown in figure 4E-1 below, FMCSA will also provide employee relations conduct training to up to 80 percent of the supervisors in the Agency (as a part of the Supervisory Leadership Development Program (SLDP)).

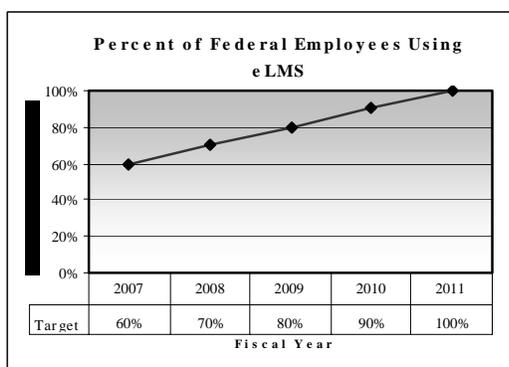


By FY2007, 60 percent of all FMCSA employees will be trained in job specific skills and will utilize eLMS. The Agency will evaluate 60 percent of all NTC sponsored or delivered courses, using the following performance indicators:

- The number of Federal employees trained in job specific skills, and the number of skills assessed, as shown in figure 4E-2 below;
- The number of employees actively using eLMS to constructively manage their personal development, as shown in figure 4E-3 below; and,
- The number of NTC sponsored or delivered courses at the proficient level for FMCSA employees, and evaluation feedback for each course.



(Figure 4E-2)



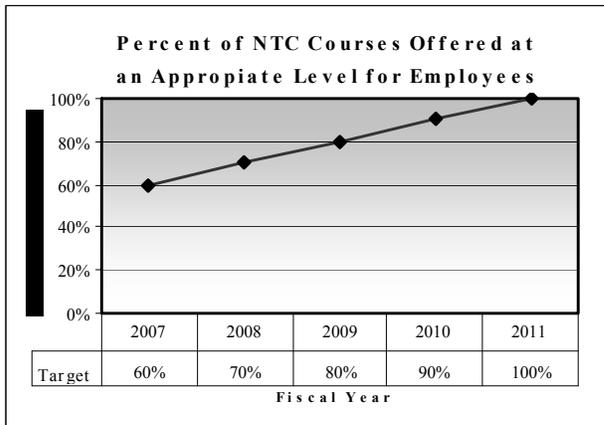
(Figure 4E-3)

**FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$155 thousand/1 FTE. Under the new FMCSA Strategic Plan, this element is realigned from the FY 2007 Strategic Management of Human Capital performance element showing a dollar crosswalk adjustment. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element. FMCSA will continue to offer training to enhance the employee’s ability to constructively identify and develop and implement a career plan of required training, using eLMS as a planning and scheduling tool. FMCSA will provide updated performance training to all supervisors and employees and will offer employee relations conduct training to “all” supervisors (a portion of the SLDP Program)

By 2008, 70 percent of all federal employees will be trained in job specific skills and will utilize eLMS. FMCSA will also provide employee relations conduct training to up to 90 percent of the supervisors in the Agency (as a part of the Supervisory Leadership Development Program (SLDP)). The Agency will evaluate 70 percent of all NTC sponsored or delivered courses. FMCSA will also train its workforce for Compass integration and will continue measuring its training program, using the following performance indicators:

- The number of Federal employees trained in job specific skills, and the number of skills assessed;
- The number of employees actively using eLMS to constructively manage their personal development; and,
- The number of NTC sponsored or delivered courses at the proficient level for FMCSA employees, and evaluation feedback for each course, as shown in figure 4E-4 below.



(Figure 4E-4)

**PERFORMANCE ELEMENT: Ethics and Civil Rights Services**



**Responsible Official:** *Chief Counsel / Deputy Administrator*

**PERFORMANCE ISSUE:**

To ensure that all of the Agency’s personnel actions are free from discrimination and that all employees and applicants for employment are provided with equality of opportunity within the workplace FMCSA conducts a civil rights program. Technical expertise and guidance provided by the program is essential toward achieving a discrimination-free workplace. FMCSA has conducted outreach efforts to Minority Institutes of Education in order to develop partnerships with colleges and universities that have a large representation of students from diverse backgrounds who could potentially gain employment within the Agency.

FMCSA is also required to ensure that discrimination does not exist in programs or activities funded by the Federal Government, in accordance with Title VI of the Civil Rights Act. One of the most significant enforcement mechanisms of this program is

onsite compliance reviews. The long term goal is to increase the number of discrimination compliance reviews by 45 percent and conduct outreach and technical assistance programs to program participants and beneficiaries.

The ethics program provides training, information and advice to all FMCSA personnel to ensure compliance with the Standards of Conduct for Employees of the Executive Branch (5 CFR 2635), and with financial disclosure requirements for employees of the Executive Branch (5 CFR 2634). Program attorneys assist approximately 230 employees with completing an annual Confidential Financial Disclosure Report (OGE Form 450) and assist another 15 Senior Executive Service employees in completing an annual Public Financial Disclosure Report (SF 278). Program attorneys track and review financial reporting by approximately 250 employees to ensure conflicts do not exist between the Agency mission and the employees' financial interests.

The long term goal of these programs is to create a workplace that is able to attract, develop, and retain a highly qualified and highly skilled diverse workforce and ensure appropriate ethical conduct of all employees.

#### **ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007 FMCSA will conduct 25 percent more Title VI compliance reviews than in FY 2006 and will expand the Minority Institutes of Higher Education (MIHE) Program. The Agency has set a performance target to select persons with targeted disabilities for at least 3 percent of all new hires.

The ethics program will finalize the ethics training page on the Know Zone, the FMCSA intranet site, to include a training database and automated tracking of training. In FY 2007 FMCSA will train 100 percent of OGE Form 450 and SF278 filers and 100 percent of new entrants will receive initial ethics training as necessary. The Agency will develop new FMCSA ethics training videos and will conduct training at all Agency Service Center conferences. FMCSA will also ensure the timely filing of financial disclosure reports.

#### **FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$487 thousand/4 FTE. This element was not broken out as a separate program activity in the FY 2007 request. However, given the emphasis FMCSA is placing on these two activities, FMCSA will break these out as program elements to highlight the effort being placed in these areas. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element. In FY 2008, FMCSA will conduct 30 percent more Title VI compliance reviews than in FY 2007 and will conduct a program assessment of the EEO activities. The Agency will also begin agency-wide mandatory EEO/Diversity training

The ethics program will continue to maintain the ethics training page on the KnowZone; maintain automated updating of training database and maintain the 100 percent rate for training of all employees.

**PERFORMANCE ELEMENT: Electronic Government Solutions**



**Responsible Official:** Associate Administrator for Research and Information Technology

**PERFORMANCE ISSUE:**

Under this performance element, FMCSA primarily achieves efficiency internally and offers external customers greater electronic access to processes and programs. Under the President’s Management Agenda (PMA), various electronic government (e-Gov) cross-cutting initiatives are designed to address specific business requirements, and FMCSA, in some cases, provides a lead role. In addition, FMCSA is addressing other key organizational excellence objectives, including the development of a number of initiatives such as FMCSA’s Five-Year IT Strategic Plan, enterprise architecture governance, a robust IT security program, capital planning and investment control (CPIC), effective IT communications, and organizational change. This performance element addresses requirements of the Clinger-Cohen Act, Federal Information Security Management Act, e-Government Act, and other Office of Management and Budget (OMB) guidance and directives.

This Program focuses on activities explicitly designed to address select e-Gov and related initiatives. FMCSA continues to serve a lead role in the development and release of select e-Gov programs, including e-Authentication and Business Gateway. In addition, the purpose of this work is to increase the IT organization’s agility and overall value to FMCSA. Well-defined management practices help to ensure that the IT organization makes the best possible use of finite budgetary and staff resources. The work here will better align IT investments with specific business needs. It will also address opportunities to foster the professional development of the IT workforce. Another key area of focus will be the work required to implement FMCSA’s enterprise architecture based on the COMPASS Program (See Information Management - Safety).

FMCSA will continue projects in direct support of the President’s Management Agenda through Agency efforts to maintain a customer focus and increase public accessibility to programs and information. Although the entire information management portfolio supports government-to-government, government-to-business and government-to-citizen activities, this particular project area is focused on the President’s, Office of Management and Budget’s, and the Department’s targets in the areas of Section 508 compliance,

Enterprise Architecture, Project Management, Government-wide E-Gov initiatives, IT Security, System Security Certification and Accreditation, and Capital Planning.

**ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007, FMCSA requested the addition of 1 position (funded for half a year) to meet Agency objectives for enhanced e-Gov activities. This resource will enable FMCSA to continue projects in direct support of the President's Management Agenda, specifically the Proud to Be III initiatives related to the Privacy Act. FMCSA will complete the review of approximately 50 systems and software programs to determine which have Privacy Act impacts.

In addition, language in DOT's FY 2005 Appropriations Act spelled out specific goals and achievements required in the area of Privacy. These include the development and implementation of policies, procedures and training and the establishment of a regular audit of the privacy program. The first audit will be required in 2007.

FMCSA will complete and publish Privacy Act Systems of Record Notices for 90 percent of our Privacy Act systems and will post Privacy Impact Assessments for 90 percent, as well as completing these milestones:

- Support all requirements for cross-cutting security requirements implemented in conjunction with the move to the new DOT headquarters building;
- Monitor the (near-term) activities contained in the 5-year IT Strategic Plan (including COMPASS) to assure completion;
- Implement enterprise architecture; FMCSA plans to move to a "green" status (currently yellow) as reported through the quarterly self-assessment to OST;
- Implement communications and organizational change programs in anticipation of each COMPASS release;
- Implement performance management and related metrics to carefully track success of IT performance, including the impact on customer service;
- Implement further enhancements to governance, project management, and EVM reporting processes; and,
- Develop and implement policy directives to assure compliance (e.g., IT Security, Governance, CPIC, EVM, and COE).

In FY 2007, FMCSA will achieve 100 percent IT security certification and accreditation of systems requiring certification and accreditation. The Agency will also achieve less than 10 percent overrun of the IT portfolio and achieve a score of 4 in the enterprise architecture area.

**FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$2.6 million/1 FTE. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element.

FMCSA plans to accomplish the following milestones in FY 2008:

- Monitor the (near and medium-term) activities contained in the 5-year IT Strategic Plan (including COMPASS) to assure completion;
- Continue to implement enterprise architecture in FMCSA, including evolving the enterprise architecture to include CSA 2010, COMPASS, and other Agency initiatives. In addition, use the target FMCSA EA in the investment decision-making and transition planning processes;
- Develop or revise communications and organizational change programs for each COMPASS release;
- Revise and collect performance management and related metrics to carefully track success of IT performance, including the impact on customer service;
- Continue to integrate and enhance governance, project management, and earned value management reporting processes;
- Update and implement policy directives to assure compliance; and,
- Ensure compliance with Government IT Security guidelines, including submitting required Federal Information Security Management Act (FISMA) reports, performing certification and accreditation activities on FMCSA assets and locations, conducting Continuity of Operations (COOP) and Disaster Recovery (DR) tests, monitoring and remediation of identified security weaknesses, and support the Department's HSPD-12 activities.

In FY 2008, FMCSA will conduct surveys of users of FMCSA websites to determine their satisfaction with the FMCSA main website. The Agency will sustain a score of 4 in the enterprise architecture area. We will measure the average number of days that elapses between the time an issue is identified in the IT Security Plans of Action and Milestones (POA&Ms) and the time it is resolved. FMCSA will also measure the variance between the budget and actual costs on IT projects.

The benefits of the E-Government request are: 1) continued management of our IT portfolio to ensure that our investments are the most sound in meeting the mission of FMCSA, 2) ensure that our information systems are secure from outside threats and our data are accurate and reliable for use by our Federal and State enforcement staff, 3) ensuring that our systems are 508-compliant to make them accessible to anyone, and 4) to continue to support government-wide and department-wide initiatives, including e-authentication and business gateway.

**PERFORMANCE ELEMENT: Competitive Sourcing Coordination**



**Responsible Official:** Associate Administrator for Administration

**PERFORMANCE ISSUE:**

FMCSA plans to continue to support competitive sourcing under the President's Management Agenda (PMA) by completing public-private competitions to seek efficient and effective use of resources. FMCSA must ensure that we have access to quality services at a fair price that are managed to ensure quality delivery. The Agency has always used commercial service providers and cross-servicing arrangements to accomplish administrative operations and, from its inception, has had a large number of FMCSA administrative operations exclusively performed by contractors. Of FMCSA's existing workforce, approximately 50 percent of positions are either identified as "commercial" or are currently being performed by contract support. The agency's executive level managers have reviewed the most recent 2006 Federal Activities Inventory Reform (FAIR) Act Inventory data and projected/made positions available for competitive sourcing competitions during the FY 2007 - 2008 timeframe.

Competitive sourcing is the executive branch's "process of choice" for reorganization of commercial activities in the Federal government. The methodology of competitive sourcing breaks down functions and activities into associated estimated costs in order to execute a cost comparison between the public and private sectors.

This provides FMCSA with a well-recognized and reliable vehicle for determining the most efficient and cost effective processes for the Agency and the U.S. taxpayers. Application of competition to in-house operations has long been shown to help agencies reduce cost and improve performance.

FMCSA will continue to make extensive use of contractors, interagency agreements, and State and local governments to achieve Agency and Departmental missions; and will continue to utilize public-private competitions to expand existing resource efficiency and effectiveness.

FAIR Act Inventories are conducted and reviewed, in conjunction with human capital and succession planning. Based on commercial activities validated through the FAIR Act Inventory, FMCSA anticipates as many as four public-private competitions to be completed during FY 2006 – FY 2008. Two streamlined cost comparisons completed in FY 2005 identified a significant savings of \$3 million for continued government performance during the-five year performance period.

To heighten awareness of competitive sourcing elements and potential managers have received FAIR Act inventory training and guidance as part of FAIR Act implementation. FMCSA's workforce is involved in all aspects of the competitive sourcing process ranging from reconciliation of Fair Act inventories to active participation in Performance Work Statement and Most Efficient Organization development. A performance-based approach is being fostered to further enhance organizational development, process re-engineering, and achievement of cost efficiencies.

## **ANTICIPATED 2007 ACCOMPLISHMENTS:**

In 2007 FMCSA will again utilize FAIR Act Inventories, feasibility studies, public-private competitions, and human capital and succession planning to exceed current levels of quality in program delivery.

In addition to monitoring the activities of the three Competitive Sourcing competitions completed during FY 2005 and FY 2006, we anticipate Competitive Sourcing activity in 2007 to include implementation of a fourth Most Efficient Organization (MEO)/Contract in the first quarter of FY 2007. We also plan to complete feasibility and preliminary planning phases on the Agency's fifth A-76 competition in the second quarter of FY 2007; announcement of the fifth and sixth competition by not later than the fourth quarter of FY 2007; and completion of these competitions during FY 2008. This will bring FMCSA to 75 percent completion of competitions by the end of FY 2007.

During FY 2007, plans call for FMCSA to comply with all competitive sourcing requirements. This includes issuance of the FY 2007 Competitive Sourcing Plan and responding to appeals and challenges generated as a result of the public posting of the CY 2006 Fair Act Inventory released in December 2006. Competitive sourcing activity will be tracked and monitored to evaluate and identify results-oriented process improvements. FMCSA will provide status to the Department and OMB through submission of Fair Act Inventories, Competitive Sourcing Plans, President's Management Agenda Green Plan input, and special reports as directed.

In FY 2007 FMCSA will conduct the Division Level Administrative Support Services Cost Comparison and the 2007 Fair Act Inventory. The Agency will also continue maintenance of 3 Established most efficient organizations.

## **FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$252 thousand/1 FTE. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element. FMCSA will achieve 100 percent completion of competitions by the end of FY 2007. In FY 2008, FMCSA plans to conduct a workforce analysis, a cost comparison on the headquarters licensing function and a headquarters level cost comparison. The Agency will also implement a performance decision on the Division-level administrative support cost comparison. We will continue maintenance of four Established most efficient organizations.

## PERFORMANCE ELEMENT: Financial and Grants Management



**Responsible Official:** Associate Administrator for Administration

### PERFORMANCE ISSUE:

Under this performance element, FMCSA manages internal controls, audits, travel, financial operations and reporting, and managerial cost accounting. The program was established to support the agency and provide financial information for decision making. Without this program, FMCSA would not be able to provide essential data to our managers or provide the required information for the Highway Trust Fund (HTF) consolidated financial statements. A key area of emphasis under this performance element is financial operations and reporting. FMCSA is dedicated to improving the accounting processes which lead to improved financial reporting by providing timely and accurate financial analysis and support. Encompassed within this area are internal controls, audits, travel and operations and reporting. These activities are critical to support the agency's missions as well as to provide relevant information for leadership decisions.

Another important part of this element falls in the grants management area. In order for the Agency to fully respond to the Highway Trust Fund audit and to move FMCSA to green on the President's Management Agenda (PMA) for Improved Financial Performance, FMCSA must improve grants financial management oversight and acquisitions management, while maintaining current levels of performance for other activities related to financial and procurement performance.

Without this program, FMCSA cannot ensure that sufficient internal controls are in place for proper stewardship of grants, nor can FMCSA certify that grants have been properly administered and that funds are being spent for their intended purpose. Without this program, FMCSA will be cited for a material weakness on the financial statement audit, which will result in red for the President's Management Agenda (PMA).

Grants management oversight includes review under the Single Audit Act (A-133) processes, funding documentation, modifications to grants, obligations, invoice approvals, payment procedures, record retention, and close-out procedures. This performance element provides the Agency with grants management oversight to ensure that FMCSA properly accounts for grants.

The long term goal of this performance element is to implement a new grants management system, issue a standard operation grants manual, conduct reviews of all of

the grant programs in each State within four years after the base year, and receive an “unqualified” opinion from auditors on our financial statements with no material weaknesses or reportable conditions.

The President’s Management Agenda (PMA) goal to meet “green” in Improved Financial Management requires that we have an unqualified opinion on our financial statements with no material auditor-reported weaknesses or significant non-compliance with laws or regulations. The Highway Trust Fund (HTF) Independent Auditor’s Report and Financial Statements for September 30, 2004 and 2003 cited material weakness in grants financial management oversight and the reportable conditions related to the Single Audit Act of 1984.

The Chief Financial Officers Act (CFO) of 1990 requires an unqualified auditor’s opinion of Agency financial statements. The Highway Trust Fund (HTF) Independent Auditor’s Report and Financial Statements for September 30, 2004 and 2003 cited material weaknesses in financial accounting processes, reimbursable agreements, and internal controls that do not support financial management or facilitate accurate and timely financial statements. Therefore, FMCSA must implement and execute procedural improvements to eliminate these weaknesses, and meet Federal Managers Financial Integrity Act of 1982 and strengthen controls to better ensure compliance with the Anti-Deficiency Act.

In order for the Agency to fully respond to the Highway Trust Fund audit and mandates from the Office of Management and Budget and OST; adhere to the Government Performance and Results Act (GPRA) of 1993; and, move to green on the PMA for Improved Financial Performance, FMCSA must expand its managerial cost accounting initiative.

As part of the GPRA, agencies are required to manage their programs effectively. To adhere to this law, agencies must have a managerial cost accounting system. Managerial accounting more closely ties cost accounting information to FMCSA programs and performance data (e.g., fatalities). In addition, a labor distribution report system is necessary to link financial and human resources information for manpower and managerial cost accounting activities.

The cost accounting system should allocate resources used by program objectives and tie those resources to actual program results. FMCSA conducted a cost accounting pilot in FY 2004. To fully implement managerial cost accounting, FMCSA needs to automate our costing process and must identify what outputs they want to measure and determine what costing method is most practical.

To determine the costing method, FMCSA must execute pre-implementation tasks such as preparing awareness materials and training, conducting interviews to identify program needs, and facilitating working sessions to define cost objectives. Based on the costing method and objectives, FMCSA must further identify at what level costs will be gathered. For example, if costs are collected using Project Costing, costs will be accumulated at the program, project, or task level.

## **ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007, FMCSA requested the addition of 1 position (funded half year) for Financial Processing and Operations. This FTP is dedicated to support the improved accounting processes required to eliminate existing material weaknesses. This FTP will be responsible for oversight of confidential contract/personnel information, performing financial statement and account analyses, updating standard operating procedures, providing information for the HTF Annual Financial Report, overseeing the fund managers' reconciliations, reviewing the SF-133 Report on Budget Execution and comparing them to the SF-132 Apportionment and Reapportionment Schedule, analyzing the monthly financial statements and reconciling reimbursable agreements. FMCSA also requested the addition of 2 full time positions (funded half year) in FY 2007 for grants management oversight. These dedicated resources are necessary to support a more robust, expanded approach to financial management oversight of FMCSA's multiple grant programs. These dedicated FTP resources enabled FMCSA to meet requirements of the Single Audit Act and OMB Circular A-123, Management's Responsibility for Internal Control. The additional grants financial specialists are responsible for updating policies and procedures to ensure internal controls are in place for good stewardship of grant funds, tracking allocations to verify that Allocation Memoranda have been properly signed and recorded in the grants management and accounting systems and monitoring grant obligations and expenditures to determine if States are executing their programs according to their plans and advise grant program managers of excessive over or under spending. They will also be performing reviews of grant financial procedures and documents for each of the 50 States on a four year cycle to prepare for the HTF financial statement audit.

FMCSA will use information gathered throughout the pre-implementation stage to design our automated costing system or define modifications required in the Department's accounting system, Delphi, to meet MCA needs. The design will be used to configure either an off-the-shelf commercial package or Delphi. The selected system will then be configured to meeting FMCSA's needs.

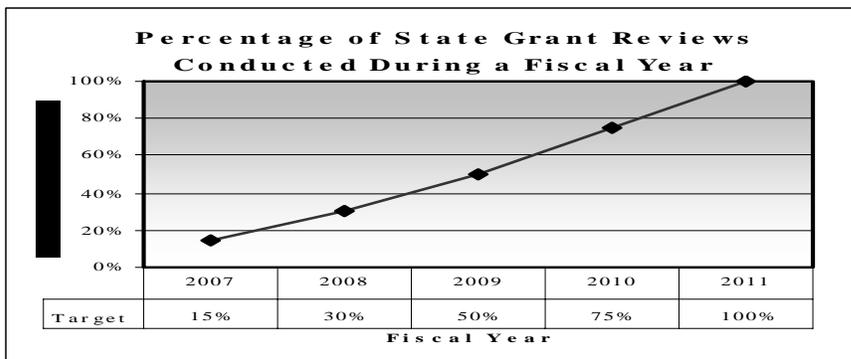
After the MCA application has been configured, FMCSA will conduct testing and validation and refine appropriately. FMCSA should deploy this at a pilot site as a controlled environment during testing. Upon completion of the pilot, MCA should be implemented throughout FMCSA for use by management as a decision-making tool. The current level of staffing for this effort is inadequate. To successfully implement and maintain cost accounting enhancement, additional contract support is required.

FMCSA will ensure compliance with the Competition in Contracting Act, the Bona Fide Needs Statute, and the Federal Acquisition Regulation, and enhance its acquisitions organization. For the most efficient acquisitions organization, FMCSA must conduct a top-down study of acquisitions activities, develop and implement instructions for cooperative and reimbursable agreements, enhance contract audit processes, conduct audits of the Government Purchase Card (GPC), reassess internal acquisition policies and procedures, and conduct customer training. FMCSA will also implement more strict reviews of requests for procurement.

For FY 2007, FMCSA plans to conduct reviews of an additional 15 percent of all State grants. FMCSA will enhance funds management, by establishing standard operating procedures, training, and providing expertise through knowledgeable staffing. We will also maintain travel card delinquency rates of less than one percent by improving our analysis, tracking of travel card activity within the agency, and increasing the number of audits of delinquent accounts. FMCSA will implement a grants management system, conduct reviews of 15 percent of all State grants and complete the draft grants operational manual and conduct field testing. In FY 2007, FMCSA will move into Phase II of the Department’s Managerial Cost Allocation (MCA) process including designing MCA reports to provide financial and non-financial information to management, and tying the performance budget to a cost accounting methodology. The Agency will also implement enhancements to the travel system, establish an accounting manual, and implement a new policy on eliminations of reimbursable agreements.

**FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$5.3 million/8 FTE. Under the new FMCSA Strategic Plan, this element is realigned from the FY 2007 Financial and Procurement Performance performance element showing a dollar crosswalk adjustment. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element. For FY 2008, FMCSA plans to conduct reviews of an additional 15 percent of all State grants, as shown in figure 4E-5. The Agency will fully implement a Managerial Cost Allocation system, in coordination with Department direction and guidance. FMCSA will enhance funds management, by establishing standard operating procedures, training, and providing expertise through knowledgeable staffing. We will also reduce the travel card delinquency rates to less than percent.



(Figure 4E-5)

## PERFORMANCE ELEMENT: Acquisition Management



**Responsible Official:** Associate Administrator for Administration

### PERFORMANCE ISSUE:

This performance element provides the Agency with acquisitions management support. Without this support, FMCSA would not be able to procure goods and services for program offices so that they can meet the Agency's mission. Acquisitions management includes pre and post award support as well as the warrant and purchase card programs.

Long term goals for acquisitions management are to promote sound acquisitions management business practices, to ensure the reliability and accuracy of the procurement of goods and services, and fully implement standard operating procedures. Over the next few years FMCSA will concentrate on modernization of the acquisitions staff to recruit, retain, and certify employees; provide customer, product, and service knowledge; and accurately track mandated procurement oversight information.

### ANTICIPATED FY 2007 ACCOMPLISHMENTS:

In FY 2007, FMCSA requested the addition of 3 positions (funded half year) for contracting and acquisition management. These resources are required to ensure compliance with the Competition in Contracting Act, the Bona Fide Needs Statute, and the Federal Acquisition Regulation. They will conduct a top-down study of acquisitions activities, develop and implement instructions for cooperative and reimbursable agreements, enhance contract audit processes, conduct audits of the Government Purchase Card (GPC), reassess internal acquisition policies and procedures, and conduct customer training.

In FY 2007, FMCSA will reduce procurement processing time. This measure tracks the average procurement activity duration (days per activity) to the acceptable standard. Milestones and standard acceptable time frames by type of contract are determined. We will meet 95 percent of the standard milestones within FY 2007. We will acquire and implement IT tracking and management tools, and conduct system upgrades and enhancements. This will include the implementation of enhancements to the procurement system (PRISM) including purchase card module, and Crystal Reports and IT technical support.

The Agency will revamp operational procedures and train personnel to incorporate new IT asset use. Training will also be required for all Acquisition personnel to maintain their current certifications and warrants. Each employee will complete, at a minimum, 40 hours of mandatory training each year.

The Acquisitions Management Division will award 14.5 percent of procurements in FY 2007 to small disadvantaged businesses and 5.1 percent to women-owned businesses. These targets are designated by the Office of the Secretary of Transportation. The percentage of small disadvantaged business contract awards are developed by the Small Business Administration. A Small Disadvantaged Business is a business that is not less than 51 percent unconditionally owned by one or more individuals who are both socially and economically disadvantaged, or a publicly owned business that has not less 51 percent of its stock unconditionally owned by one or more socially and economically disadvantaged individuals and that has its management and daily business controlled by one or more such individuals.

**FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$3 million/7 FTE. Under the new FMCSA Strategic Plan, this element is realigned from the FY 2008 Financial and Procurement Performance element showing a dollar crosswalk adjustment. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element.

In FY 2008, FMCSA will continue to meet the milestones set forth in FY 2007. We will reduce procurement processing time. This measure tracks the average procurement activity duration (days per activity) to the acceptable standard. Milestones and standard acceptable time frames by type of contract are determined. We will meet 98 percent of the standard milestones within FY 2008. The Acquisitions Management Division will award 14.5 percent of procurements in FY 2007 to small disadvantaged businesses and 5.1 percent to women-owned businesses.

We will acquire and implement IT tracking and management tools, and conduct system upgrades and enhancements. This will include the implementation of enhanced functionality within the procurement system (PRISM) for process improvements.

## PERFORMANCE ELEMENT: Budget Formulation and Execution



**Responsible Official:** Associate Administrator for Administration /  
Associate Administrator for Policy and Program Development

### PERFORMANCE ISSUE:

The purpose of this performance element is to develop a well-reasoned budget and determine future requirements based on careful tracking of execution and analysis. The Integrated Performance Budget is a product developed jointly by budget and performance analysts within the Agency. FMCSA has launched a phased Planning, Programming, Budgeting, and Execution process to identify needs, determine priorities and program resources based on analysis. During execution of the budget, FMCSA tracks allocations and obligations to determine the appropriate resource needs for future budget requests.

This performance element supports the President's Management Agenda (PMA) by integrating budget and performance activities to directly link Agency resource requests to the performance results those resources are expected to produce. FMCSA's Budget and Performance Integration (BPI) activities include production of an annual budget request that integrates the Agency's performance plan into the budget process and evaluation activities throughout the year that strengthen the Agency's resource-to-results linkage to support management, funding, and allocation decisions. Improving the Agency's evaluation capabilities in order to improve Agency performance is one of the Administrator's highest priorities.

### ANTICIPATED FY 2007 ACCOMPLISHMENTS:

In FY 2007, FMCSA will implement a fully coordinated budget execution facilitation process to obligate more than 99 percent of appropriated funds. In addition, the Agency will reconcile the budget for every pay period throughout the fiscal year, in order to closely monitor payroll actual spending against projected amounts. The Agency will analyze the FY2008 Planning, Programming, and Budgeting processes and make process improvements in readiness for the next budget development. FMCSA will submit a fully defensible FY09 Budget through an improved PPBE process.

### FY 2008 PERFORMANCE BUDGET REQUEST:

For FY 2008, FMCSA requests \$535 thousand/4 FTE and is a new program element that breaks out funds that in previous budgets were part of program evaluation activities. Under the new FMCSA Strategic Plan, this element is realigned from the FY 2007 Budget and Performance Integration performance element. Based on anticipated funding

and activities, FMCSA is on target to achieve the accomplishments of this performance element.

In FY 2008, FMCSA will implement a formal budget execution process to obligate more than 99 percent of appropriated funds. In addition, the Agency will continue to reconcile the budget for every pay period throughout the fiscal year, in order to closely monitor payroll actual spending against projected amounts. FMCSA will build the FY2010 budget using a formal PPBE corporate process to properly identify reauthorization requirements so the Budget Office can successfully defend them. The information collected to address needs and requirements will be used to integrate the FY2010 budget development with the Highway Reauthorization process.

**PERFORMANCE ELEMENT: Strategic Planning and Evaluation**



**Responsible Official:** Associate Administrator for Policy and Program Development

**PERFORMANCE ISSUE:**

This performance element is closely aligned with the Integrated Performance Budget. To meet Agency and Departmental Goals with set and limited resources, effective planning and evaluation is necessary. This program promotes a continuous cycle of planning, budget allocation recommendations, performance tracking and evaluation of Agency activities to achieve the optimum level of performance and appropriate leveraging of resources to meet key goals of the overall mission.

The long term goal of this element is to improve overall FMCSA program and regulatory performance through continued improvement and applied planning based on internal and external evaluation and recommendations.

The planning process at FMCSA begins with the development of the Agency Strategic Plan. A new FMCSA 2006-2011 Strategic Plan will be released in September, 2006. This plan will lay out the strategies, goals and measures to which all FMCSA programs will be accountable through 2011. This plan will also serve as the starting point of an agency-wide process to develop a new Highway Reauthorization for 2010. In FY 2006, FMCSA improved the living-planning cycle for the Agency by holding the first annual Senior Leaders Planning Retreat, a two day meeting of all managers from Division Chiefs to the Administrator. This retreat is an expansion of the annual budget retreat which previously had combined the planning, programming and budgeting activities into one meeting. The planning retreat allows managers an opportunity to come together with equal voices to help set the priorities and path of the Agency.

FMCSA maintains a close working relationship with the Government Accountability Office, DOT Inspector Generals Office and National Transportation Safety Board. Effective responsiveness to these oversight organizations brings careful programmatic scrutiny and improvement to the Agency. In turn, the findings of these agencies often lead to internal improvements and the identification of new requirements that are reflected in the Agency Strategic Plan and budget.

FMCSA also has an aggressive plan to increase and upgrade the Agency's evaluation capabilities. Increasing the ability of the Agency to evaluate the contribution of its various programs, processes, and regulations towards meeting Agency performance objectives directly contributes to the ability of the Agency to adjust and reallocate its budget and assignment of people to attain higher levels of performance. Program Evaluation is the systematic assessment of the contribution, value, and/or impact of a program toward accomplishment of a stated objective or vision.

Quality Assurance (QA) Reviews and Regulatory Effectiveness Reviews are new evaluation activities begun at FMCSA in FY 2006. They were developed in response to recommendations from the Office of Management and Budget (OMB) Program Assessment Rating Tool (PART) review of FMCSA operations and programs, and to the Administrator's priority on improving the Agency's ability to critically evaluate its programs. FMCSA completed an OMB PART analysis of 100 percent of the Agency functions in FY 2004.

QA Reviews evaluate core Agency operations to: 1) ensure that optimal internal procedures and policies are in place; and 2) analyze these policies and procedures for consistency, adequacy, effectiveness, efficiency, and integrity in application across different performers. Regulatory Effectiveness Reviews are designed to evaluate the performance of FMCSA's regulations at some planned interval after they are effective. While all agencies evaluate their proposed regulations before they are published to predict the affect they may have, FMCSA's Regulatory Evaluation program assesses rules after they are published to determine whether they are having the desired effect. In some cases, rules were written over forty years ago and may have been overtaken by changes in technology or the CMV operating environment.

In addition, this performance element is responsible for the ongoing performance tracking and measurement function within the Agency. This includes monitoring achievement of qualitative and quantitative performance goals and development of the annual performance plans and performance reports; such and the Year in Review report and Performance Accountability Report (PAR).

#### **ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY2007, FMCSA will undertake several new activities to plan for long-term and short-term activities, track achievement of program performance on qualitative milestones and quantitative performance measures; and, evaluate programs and regulatory effectiveness.

FMCSA will release our guiding planning document, the FMCSA 2006-2011 Strategic Plan in September, 2006. This release will continue into FY 2007, when the Agency will conduct outreach and publicity on the future direction of the Agency, as covered by the plan. The new plan will be the first step in development of a comprehensive reauthorization proposal that will allow the Agency to address the current and future safety needs of the commercial motor vehicle industry.

FMCSA will conduct the second annual Senior Leaders Planning Retreat to continue to define Agency priorities in order to determine resource requirements, set programmatic goals and begin development of the reauthorization.

In FY2007 FMCSA will annualize 3 FTE that were established in the FY 2006 appropriation to bring the Agency's new QA Review and Regulatory Effectiveness Review functions up to full strength and develop the new Project Management Office. The development of a new Project Management Office at FMCSA will allow us to track activities and progress of multiple high level initiatives simultaneously. This overlay of performance tracking will provide the Agency with valuable information that can assist us making programmatic, planning and resource allocation decisions in the future. This analysis will also allow for a much higher degree of cross-cutting performance tracking, taking into account agency-wide needs rather than focusing only on specific programs and activities. As summarized in Figure 4E-6, below, FMCSA, recognizing the merit in systematically reviewing its performance, plans to steadily increase its program evaluation capability.

Program Evaluations – In FY 2007, FMCSA will complete its annual evaluations of the Agency's Compliance Review and Roadside Inspection/Traffic Enforcement programs. In addition, FMCSA will initiate three new program evaluations to assess the contribution, value, and/or impact of the Agency's programs toward accomplishment of their stated objectives.

Quality Assurance (QA) Reviews – In response to an OMB recommendation resulting from a FY 2004 PART Evaluation of FMCSA's Operations and Programs, FMCSA developed procedures, guidelines, and processes to implement an Agency-wide long range Quality Assurance (QA) Review Program to ensure Agency programs and practices are consistent, standardized, and are applied in a uniform and timely manner. Recurring yearly QA Reviews provide management a comprehensive and systematic evaluation of FMCSA's activities to see if they are structured and implemented in a consistent fashion. In FY 2007, FMCSA will conduct two new QA Reviews to assess the consistency of selected agency processes and procedures.

Regulatory Effectiveness Reviews – In response to an OMB recommendation resulting from a FY 2004 PART Evaluation of FMCSA's Operations and Programs, FMCSA developed methodologies, guidelines, and procedures to implement an Agency-wide long range Regulatory Effectiveness Review Program. The program will provide management a comprehensive and recurring review of Agency Regulations that evaluate their timeliness and effectiveness in achieving Departmental and Agency goals and objectives. In FY 2007, FMCSA plans to conduct an assessment of 49 CFR Part 383 regarding the qualification of drivers.

Project Management Oversight – In FY 2007, FMCSA will establish a Project Management and Oversight function to critically assess Agency investment decisions, document best project management practices across the organization, coordinate communications, and monitor the performance of significant projects to ensure they are on schedule, are properly managed and stay within budgetary levels. This new function is being funded from reallocation of existing resources.

<b>Evaluation Activity</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>	<b>FY2007 Plans<sup>1</sup></b>
<b>Program Evaluation</b>	<ul style="list-style-type: none"> <li>• Compliance Review Impact Model</li> <li>• Roadside Impact Model</li> <li>• CRWG Phase II</li> <li>• CDL Program</li> </ul>	<ul style="list-style-type: none"> <li>• Compliance Review Impact Model</li> <li>• Roadside Impact Model</li> <li>• CDL Program</li> <li>• PRISM Program</li> <li>• SafeStat</li> <li>• Performance Linkages</li> <li>• Alternative Inspection Regimes</li> <li>• State Division Effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>• Compliance Review Impact Model</li> <li>• Roadside Impact Model</li> <li>• PRISM Program</li> <li>• SafeStat</li> <li>• Performance Linkages</li> </ul>	<ul style="list-style-type: none"> <li>• Compliance Review Impact Model</li> <li>• Roadside Impact Model</li> <li>• MCSAP Grants</li> <li>• Information Management Program</li> <li>• CVISN Program</li> </ul>
<b>Quality Assurance (QA) Reviews</b>	N/A	N/A	<ul style="list-style-type: none"> <li>• Develop program plan and guidance</li> <li>• Pilot Review of Border Operations</li> <li>• Grants Management</li> </ul>	<ul style="list-style-type: none"> <li>• Enforcement Case Processing</li> <li>• Travel Card Procedures</li> </ul>
<b>Evaluation Activity</b>	<b>FY 2004</b>	<b>FY 2005</b>	<b>FY 2006</b>	<b>FY2007 Plans<sup>1</sup></b>
<b>Regulatory Effectiveness Reviews</b>	N/A	N/A	<ul style="list-style-type: none"> <li>• Develop program plan and guidance</li> <li>• Minimum Levels of Financial Responsibility for Motor Carriers</li> </ul>	<ul style="list-style-type: none"> <li>• Qualifications of Drivers</li> </ul>
<b>Project Management Oversight</b>	N/A	N/A	N/A	<ul style="list-style-type: none"> <li>• Develop program content</li> </ul>

(Figure 4E-6)

<sup>1</sup> Specific Topics to be evaluated are determined annually by senior managers based on safety criticality and other criteria.

## **FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$2.2 million/7 FTE and is a new program element that breaks out funds that in previous budgets included Budget Formulation and Execution activities. Under the new FMCSA Strategic Plan, this element now stands alone. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element.

FMCSA will conduct the second annual Senior Leaders Planning Retreat to continue to define Agency priorities in order to determine resource requirements, set programmatic goals and begin development of the reauthorization. The Project Management Office will develop an electronic tracking system to monitor multiple project milestones and cross-relate activities to allow management to leverage resources more appropriately.

FMCSA will initiate an Organizational Assessment capability to examine the organization of FMCSA offices and divisions to determine whether they are organized in the most efficient manner, and whether the existing resources could be realigned for better performance. This supports the Administrator's priority to "optimize organizational structure and increase organizational efficiency." In over five years as an Operating Administration within DOT, FMCSA has never taken a comprehensive look at its own organizational structure, workforce needs and lines of business. The Agency is still working under the original structure set in place when we transitioned from an Office within FHWA. The assessment will function similarly to a program evaluation, but will look at the organization itself, rather than individual programs.

With regard to the FMCSA's evaluation activities, the Agency will continue to expand its capabilities by continuing to enhance current activities and adding additional functions in FY 2008 and beyond. The outcome of these broad evaluations and assessments provide critical information that help program managers adjust strategies, evaluate resource investments and refocus effort. These activities are vital to ensure the Agency's efforts are yielding improved outcomes. As summarized in Figure 4E-7 below, FMCSA plans to steadily increase its program evaluation capability.

Program Evaluations – In FY 2008, FMCSA will complete its annual evaluations of the Agency's Compliance Review and Roadside Inspection/Traffic Enforcement programs. In addition, FMCSA will continue two evaluations and initiate one new program evaluation to assess the contribution, value, and/or impact of the Agency's programs toward accomplishment of their stated objectives.

Quality Assurance (QA) Reviews – In response to an OMB recommendation resulting from a FY 2004 PART Evaluation of FMCSA's Operations and Programs, FMCSA developed procedures, guidelines, and processes to implement an Agency-wide long range Quality Assurance (QA) Review Program to ensure Agency programs and practices are consistent, standardized, and are applied in a uniform and timely manner. Recurring yearly QA Reviews provide management a comprehensive and systematic evaluation of FMCSA's activities to see if they are structured and implemented in a

consistent fashion. In FY 2008, FMCSA will conduct one new QA Review to assess the consistency of selected agency processes and procedures.

Regulatory Effectiveness Reviews – In response to an OMB recommendation resulting from a FY 2004 PART Evaluation of FMCSA’s Operations and Programs, FMCSA developed methodologies, guidelines, and procedures to implement an Agency-wide long range Regulatory Effectiveness Review Program. The Regulatory Effectiveness Program will provide management a comprehensive and recurring review of Agency Regulations that evaluate their timeliness and effectiveness in achieving Departmental and Agency goals and objectives. In FY 2007, FMCSA plans to conduct an assessment of 49 CFR Part 383 regarding the qualification of drivers.

Project Management Oversight – In FY 2008, FMCSA will establish a Project Management and Oversight function to critically assess Agency investment decisions, document best project management practices across the organization, coordinate communications, and monitor the performance of significant projects to ensure they are on schedule, are properly managed and stay within budgetary levels. This new function is being funded from reallocation of existing resources.

Organizational Assessment – In FY 2008, FMCSA will establish an Organizational Assessment capability to review and optimize organizational structure across the agency.

Evaluation Activity	FY 2007 Plans <sup>1</sup>	FY 2008 Plans <sup>1</sup>
<b>Program Evaluation</b>	<ul style="list-style-type: none"> <li>• Compliance Review Impact Model</li> <li>• Roadside Impact Model</li> <li>• Information Management Program</li> <li>• CVISN Program</li> </ul>	<ul style="list-style-type: none"> <li>• Compliance Review Impact Model</li> <li>• Roadside Impact Model</li> <li>• Information Management Program</li> <li>• CVISN Program</li> <li>• New Entrant Safety Audits</li> </ul>
<b>Quality Assurance (QA) Reviews</b>	<ul style="list-style-type: none"> <li>• Enforcement Case Processing</li> <li>• Travel Card Procedures</li> </ul>	<ul style="list-style-type: none"> <li>• Purchasing Procedures</li> </ul>
<b>Regulatory Effectiveness Reviews</b>	<ul style="list-style-type: none"> <li>• Qualifications of Drivers</li> </ul>	<ul style="list-style-type: none"> <li>• Hours of Service</li> </ul>
<b>Project Management Oversight</b>	<ul style="list-style-type: none"> <li>• Develop program content</li> </ul>	<ul style="list-style-type: none"> <li>• Develop Project Milestone Tracking System</li> </ul>
<b>Organizational Assessment</b>	<ul style="list-style-type: none"> <li>• Begin Collecting Baseline Findings from Previous Program Evaluations</li> </ul>	<ul style="list-style-type: none"> <li>• Conduct 1-year Organizational Assessment</li> </ul>

(Figure 4E-7)

**PERFORMANCE ELEMENT: Central Support Services**



**Responsible Official:** Associate Administrator for Administration

**PERFORMANCE ISSUE:**

The function of this performance element is to centralize the agency’s management and information services to improve effectiveness and efficiency of the programs delivered. Mandatory services that must be supported for all FMCSA operations are rent, telecommunications, mail, printing, field relocations, etc. These essential functions, as well as others, are supported centrally to leverage economy of scale, monitor and control costs.

This performance element develops and manages Agency wide policies and programs for the full range of management support services regarding space management, records and forms management, facilities and equipment management, mail services, telecommunications services, property management, motor vehicles, occupational safety, printing, and publications services, physical and personnel security services and telecommunications and other administrative services. This element also administers Freedom of Information Act and Privacy Act programs for the Agency. Through this element, FMCSA manages information collections and Paperwork Reduction Act programs; and develops administrative directives and policies.

**ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007, FMCSA will Transition to the new DOT Headquarters Building and renew occupancy agreements for the border offices. In addition, FMCSA anticipates completing between 15-20 office relocation/expansion projects for our field offices. Also, our goal is to implement new printing and mail procedures agency-wide, to improve the effectiveness and efficiency of the way these programs are currently operated. The Agency will also decrease the average response time to Freedom of Information Act (FOIA) requests to 23 days. As part of the rotation plan for official government vehicles, 60 percent of replacements will be alternative fuel vehicles.

**FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$6 million/7 FTE. This is a new program element that organizes program support costs that were previously distributed throughout the FY2007

request. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element. The Agency will also decrease the average response time to Freedom of Information Act (FOIA) requests to 20 days. As part of the rotation plan for official government vehicles, 75 percent of replacements will be alternative fuel vehicles.

**PERFORMANCE ELEMENT: Organizational Development**



**Responsible Official:** *Associate Administrator for Administration and Associate Administrator for Research and Information Technology*

**PERFORMANCE ISSUE:**

A Human Capital Workgroup has been established to serve as a planning vehicle to focus on agency structures across organizational lines and align human capital activities for the best solutions. The members represent the interest of their organization by sharing feedback and concerns that are considered for corporation in the Development of the Human Capital Plan as well as any planning documents.

Focus Group sessions conducted with supervisors in the field provide communication feedback for human capital planning in the organization. Focus group sessions are also conducted in headquarters with the Human Resources Staff and Administrative Officers. FMCSA regularly assesses leadership and communication practices within the organization. FMCSA will address the recommended improvements and develop a plan for implementation.

As part of the research and technology appropriation, FMCSA will continue to provide and maintain research and analysis stakeholder forums, reports, enhance the project and budget tracking processes, and respond to various data requests, such as those from the Office of Management and Budget. FMCSA will continue to publish R&A findings and provide visibility for FMCSA R&A provides products through electronic, print, audiovisual, and conference deliverables. These resources are critical for coordinating, writing, editing, publishing, and disseminating R&A-funded research and technology information and results. The strategic and tactical plans for the Research and Analysis Program will be updated and measures will be defined and collected in order to ensure the relevance, quality, and performance of the program. Innovation is key to meeting organizational goals.

## **ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007 FMCSA will continue to host focus group sessions with employees, managers, and supervisors to validate the results of the Human Capital Survey and the HRMAT Survey. FMCSA has set a goal to have 86 percent participation of FMCSA employees in the Human Capital Survey. This information will be communicated to employees at all levels. FMCSA will address the recommended improvements and develop a plan for implementation. The HRWG will continue to represent their respective organizations to insure their Human Capital concerns and interests are incorporated. We will continue to share information through meetings, newsletters, and briefings as a means of communicating Human Capital initiatives and developments

In FY 2007, FMCSA will host focus group sessions with employees, managers, and supervisors to validate the results of the Human Capital Survey and the HRMAT Survey. This information will be communicated to employees at all levels. FMCSA will address the recommended improvements and develop a plan for implementation. The HRWG will continue to represent their respective organizations to insure their Human Capital concerns and interests are incorporated. We will continue to share information through meetings, newsletters, and briefings as a means of communicating Human Capital initiatives and developments

FMCSA will also complete development of strategic and tactical plans for the Office of Research and Analysis. Programs will be designed to engage stakeholders and promote national and international cooperation and meet strategic objectives of Research and Analysis. FMCSA will also publish technical briefs, program and project reports, update web page information and prepare internal newsletters dealing with research and technology issues.

## **FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$1.4 million/1 FTE. This is a new program element that consolidates funds that in previous budgets were spread across all activities. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element.

In FY 2008, FMCSA will continue to host focus group sessions with employees, managers, and supervisors to validate the results of the Human Capital Survey and the HRMAT Survey. This information will be communicated to employees at all levels. FMCSA will address the recommended improvements and develop a plan for implementation. The HRWG will continue to represent their respective organizations to insure their Human Capital concerns and interests are incorporated. We will continue to share information through meetings, newsletters, and briefings as a means of communicating Human Capital initiatives and developments

FMCSA will also complete development of strategic and tactical plans for the Office of Research and Analysis. Programs will be designed to engage stakeholders and promote national and international cooperation and meet strategic objectives of Research and

Analysis. FMCSA will also publish technical briefs, program and project reports, update web page information and prepare internal newsletters dealing with research and technology issues.

**PERFORMANCE ELEMENT: Intra-Agency Communication**



**Responsible Official:** Associate Administrator for Administration

**PERFORMANCE ISSUE:**

FMCSA will promote open communication to employees about agency goals, achievements and future plans to enhance overall FMCSA performance. The Agency will develop communication and outreach programs to achieve a greater level of team spirit and inspire employees to achieve our mission. Employees are our greatest asset; so we must all be well-informed of Agency operations and expectations.

The KnowZone is the Agency’s intranet site for employees. In FY 2006, a major redesign was launched to make the site more useful to FMCSA employees. The redesign was implemented using a workgroup composed of FMCSA employees and through demonstrations to upper management. The KnowZone contains useful information of interest to FMCSA employees, including the latest news, directives, guidance, human resources information, updates regarding major Agency programs, calendar of events, and headquarters and field rosters.

FMCSA provides daily news to employees, tracking events and information that concern the Agency or its stakeholders each morning to Agency staff. Keeping these individuals up to date on the latest news and information is a critical tool in their ability to most effectively fulfill their responsibilities.

In order to keep employees informed on policies and changes in the human capital environment, FMCSA publicizes the results of the Human Capital Survey in a newsletter to all employees.

**ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

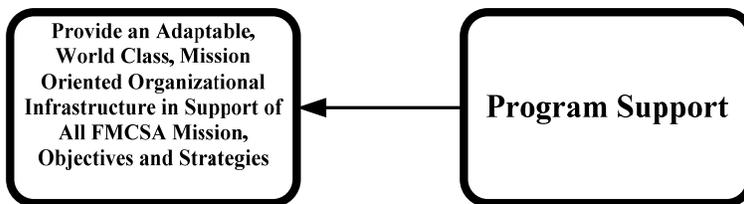
In FY 2007, FMCSA will implement a content management system to ensure the timely updating of the information contained in the KnowZone. Enhancements and operations and maintenance of the website will continue. FMCSA’s plans to conduct user surveys of FMCSA websites to determine user satisfaction with the FMCSA main website and the KnowZone.

**FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$171 thousand. This is a new program element that consolidates funds that in previous budgets were spread in the Information Management program. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element.

In FY 2008, the KnowZone will continue to be an important tool for internal communications and information sharing. Operations and maintenance, as well as minor enhancements, will be implemented. FMCSA will continue to conduct user surveys of the KnowZone to continuously improve it and optimally communicate with employees.

**PERFORMANCE ELEMENT: *Program Support***



**PERFORMANCE ISSUE:**

Program support includes offices and services that provide vital oversight, guidance, specialized support and overall leadership to all of the FMCSA strategic goals. The Office of the Administrator is included in this performance element and is vital to the success of the Agency through the provision of leadership vision and overall program direction. The Administrator, Deputy Administrator, and Assistant Administrator/Chief Safety Officer are involved in every aspect of the Agency’s strategic goals. In addition to the mandated positions, including the Regulatory Ombudsman, the Administrator’s office has key staff that provides direct support to the Agency’s leadership. One such support role also includes communication activities to promote public understanding of, and support for, Federal Motor Carrier Safety Administration programs, activities, policies, and strategies. Program support also provides legal support to ensure that Human Capital and Acquisition programs are effectively implemented to meet statutory requirements and to avoid costly litigation.

**ANTICIPATED FY 2007 ACCOMPLISHMENTS:**

In FY 2007, program support will close or send to formal or informal hearing or binding arbitration all 2004 and half of the 2005 civil penalty enforcement cases before the Assistant Administrator for decision.

**FY 2008 PERFORMANCE BUDGET REQUEST:**

For FY 2008, FMCSA requests \$1.6 million /4 FTE. This is a new program element that organizes program support costs that were previously distributed throughout the FY2007 request.



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FY 2008

**FMCSA**

# **APPENDICES**

Section 5



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**FISCAL YEAR 2008 PERFORMANCE BUDGET ESTIMATES  
SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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**FY 2008 RD&T Budget Guidance EXHIBIT V-1**  
Office of Research and Analysis

<b>Motor Carrier Safety</b>	<b>FY 2006 <u>Actual</u></b>	<b>FY 2007 <u>CR</u></b>	<b>FY 2007 <u>Pres. Bud.</u></b>	<b>FY 2008 <u>Request</u></b>
<b>A Produce Safe Drivers</b>	<b>\$2,124</b>	<b>\$3,366</b>	<b>\$4,271</b>	<b>\$3,950</b>
1 Produce Safe Drivers	\$1,666	\$3,366	\$4,271	\$2,650
2 Produce Safe Drivers (T)	\$459	\$0	\$0	\$1,300
<b>B Improve Safety of Commercial Vehicles</b>	<b>\$1,134</b>	<b>\$297</b>	<b>\$3,147</b>	<b>\$1,200</b>
1 Improve Safety of Commercial Vehicles	\$0	\$297	\$3,147	\$200
2 Improve Safety of Commercial Vehicles (T)	\$1,134	\$0	\$0	\$1,000
<b>C Produce Safer Carriers</b>	<b>\$600</b>	<b>\$871</b>	<b>\$629</b>	<b>\$500</b>
1 Produce Safer Carriers	\$600	\$871	\$629	\$500
2 Produce Safer Carriers (T)	\$0	\$0	\$0	\$0
<b>D Advanced Safety Through Info.-Based Initiatives</b>	<b>\$1,834</b>	<b>\$815</b>	<b>\$1,349</b>	<b>\$1,200</b>
1 Advanced Safety Through Info.-Based Initiatives	\$377	\$815	\$1,349	\$500
2 Advanced Safety Through Info.-Based Initiatives (T)	\$1,457	\$0	\$0	\$700
<b>E Improve Security Through Safety Initiatives</b>	<b>\$0</b>	<b>\$297</b>	<b>\$450</b>	<b>\$200</b>
1 Improve Security Through Safety Initiatives	\$0	\$297	\$450	\$200
2 Improve Security Through Safety Initiatives (T)	\$0	\$0	\$0	\$0
<b>F Enable and Motivate Internal Excellence</b>	<b>\$556</b>	<b>\$937</b>	<b>\$450</b>	<b>\$500</b>
1 Enable and Motivate Internal Excellence	\$556	\$937	\$450	\$250
2 Enable and Motivate Internal Excellence (T)	\$0	\$0	\$0	\$250
<b>G Administrative Expenses</b>	<b>\$2,115</b>	<b>\$2,115</b>	<b>\$2,162</b>	<b>\$2,277</b>
<b>Subtotal, Research and Development</b>	<b>\$5,313</b>	<b>\$8,698</b>	<b>\$12,458</b>	<b>\$6,577</b>
<b>Subtotal, Technology Investment (T)</b>	<b>\$3,050</b>	<b>\$0</b>	<b>\$0</b>	<b>\$3,250</b>
<b>Subtotal, Facilities (F)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Total Research and Dev., Tech. Investment</b>	<b>\$8,363</b>	<b>\$8,698</b>	<b>\$12,458</b>	<b>\$9,827</b>

**FY 2008 RD&T Budget Guidance**

Office of Research and Analysis

**EXHIBIT V-2**

**[OPERATING ADMINISTRATION]  
FY 2008 RD&T Budget Request  
(\$000)**

<b>RD&amp;T Program</b>	<b>FY 2008 Request</b>	Safety	Mobility	Global Conn.	Environ.	Security	Org. Excell.
<b>Motor Carrier Safety</b>	<b>7,550</b>	<b>6,350</b>	<b>500</b>	<b>0</b>	<b>0</b>	<b>200</b>	<b>500</b>
<i>Produce Safe Drivers</i>	3,950	3,450	500	0	0	0	0
<i>Produce Safe Drivers</i>	2,650	2,650	0	0	0	0	0
<i>Produce Safe Drivers</i>	1,300	800	500	0	0	0	0
<i>Produce Safe Drivers</i>	1,200	1,200	0	0	0	0	0
<i>Produce Safe Drivers</i>	200	200	0	0	0	0	0
<i>Improve Safety of Commercial Vehicles</i>	1,000	1,000	0	0	0	0	0
<i>Improve Safety of Commercial Vehicles (T)</i>	500	500	0	0	0	0	0
<i>Produce Safer Carriers</i>	500	500	0	0	0	0	0
<i>Produce Safer Carriers</i>	0	0	0	0	0	0	0
<i>Advanced Safety Through Info.-Based Initiatives</i>	1,200	1,200	0	0	0	0	0
<i>Advanced Safety Through Info.-Based Initiatives</i>	500	500	0	0	0	0	0
<i>Advanced Safety Through Info.-Based Initiatives</i>	700	700	0	0	0	0	0
<i>Advanced Security Through Info.-Based Initiatives (T)</i>	200	0	0	0	0	200	0
<i>Advanced Security Through Info.-Based Initiatives</i>	200	0	0	0	0	200	0
<i>Improve Security Through Safety Initiatives</i>	0	0	0	0	0	0	0
<i>Enable and Motivate Internal Excellence (T)</i>	500	0	0	0	0	0	500
<i>Enable and Motivate Internal Excellence</i>	250	0	0	0	0	0	250
<i>Enable and Motivate Internal Excellence</i>	250	0	0	0	0	0	250
<b>Subtotal, R&amp;D</b>	<b>4,300</b>	<b>3,850</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>200</b>	<b>250</b>
<b>Subtotal, Technology Investment (T)</b>	<b>3,250</b>	<b>2,500</b>	<b>500</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>250</b>
<b>Subtotal, Technology Investment</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Administrative Expenses</b>	<b>2,277</b>	<b>1,915</b>	<b>151</b>	<b>0</b>	<b>0</b>	<b>60</b>	<b>151</b>
<b>Total FMCSA</b>	<b>9,827</b>	<b>8,265</b>	<b>651</b>	<b>0</b>	<b>0</b>	<b>260</b>	<b>651</b>

**EXHIBIT V-3**

**[OPERATING ADMINISTRATION]**

**Support for Secretarial and Administration RD&T Priorities**

<b>Policy Initiative</b>	<b><u>Supporting RD&amp;T Program(s)</u></b>	<b><i>FY 2008 Request (\$000)</i></b>
Congestion Relief— <i>Secretarial Priority</i>	Roadside/On-Board Safety Technology Countermeasures/Wireless Inspection	500



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**EXHIBIT V-4**

**[OPERATING ADMINISTRATION]  
Implementation of the R&D Investment Criteria**

<b>R&amp;D Investment Criteria</b>	<b>How Applied</b>	<b>Actions Reflected in FY 2008 Request</b>
<b>Relevance</b>	<p>Relevance is achieved by following the FMCSA R&amp;T 5-Year Strategic Plan developed with the input of stakeholders from government, industry, and academia, which is consistent with the strategic goals specified by DOT and FMCSA. The public benefits of the initiatives proposed for FY 2008 will be tracked over time by using a set of impact metrics that are being currently developed and piloted for the FY 2006 projects. The execution of the strategic plan covers FY 2005-FY 2009, therefore the expectation is that the activities funded in FY 2008 will be critical in contributing to a reduction of commercial motor vehicle-related crashes, fatalities, injuries, and losses, and enhanced operational efficiency.</p>	<p>The FY 2008 budget request was assembled by using the input of a series of stakeholder meetings and the recommendations of an FMCSA cross-organizational Research and Technology Executive Board that reviewed proposed projects and studies based on technical and investment merit. The FY 2008 budget request reflects the recommendations of this Board on what should be funded and how much it should be funded, based on the Agency's and Department's priorities, stakeholders' indications, and rulemaking and reauthorization objectives.</p>

<p><b>Quality</b></p>	<p>Quality is achieved by prioritizing the proposed initiatives using a methodology based on the impact the initiative is expected to have on safety, its expected feasibility, and its need for resources. A new, standardized approach to cost-benefit analysis for research recommendations and safety technologies has been drafted and will be piloted in new projects. The results of all influential projects will be independently reviewed by experts and the largest projects will include the contribution of an expert panel. Wherever possible and effective, funds will be allocated competitively and risk will be managed on all initiatives by designing and applying risk mitigation.</p>	<p>The FY 2008 budget request contains funding for program support and continuous quality improvement aimed at updating the strategic and tactical plans for research and technology activities and the standard operating procedures used by the program.</p>
<p><b>Performance</b></p>	<p>Performance is monitored by using three sets of performance metrics to ensure that projects continue to address the strategic objectives of the DOT and FMCSA: output metrics for the different kinds of deliverables produced by specific projects; outcome metrics that evaluate the outcomes of specific projects or of the entire program; and impact metrics which are indicators of changes in commercial vehicle safety and, in general in society.</p>	<p>In FY 2006, metrics are being developed and piloted for projects active between October 2005 and September 2006. These metrics will be evaluated on projects active in FY 2007. By the time the 2008 budget will be enacted, the Research and Technology Program will have a new, tested performance measurement system in place.</p>

FY 2008

**FMCSA**

# **APPENDICES**

Section 5

Research & Technology  
Program Justification



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**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**

**RESEARCH AND TECHNOLOGY DIVISIONS**

**FY 2008 BUDGET SUBMISSION**

## **EXECUTIVE SUMMARY**

The Federal Motor Carrier Safety Administration's (FMCSA) mission is to reduce commercial vehicle-related fatalities and injuries.

Table 1 identifies the FMCSA Research and Technology Divisions (R&T) strategic objectives developed in the congressionally directed Research and Technology 5-Year Strategic Plan (FY 2005-FY 2009) that was completed at the end of FY 2004. The table also reflects the FY 2008 proposed projects that support each objective. The FY 2008 budget submission is based on attainment of the agency goal by the FMCSA Research Executive Board's (REB) review and prioritization of proposed projects. The Board took into consideration DOT and FMCSA safety priorities, the R&T 5-Year Strategic Plan, agency rulemaking plans and activities, as well as input from the most recent stakeholder forums in developing this budget request. FY 2008 is the critical midpoint in the R&T 5-Year Strategic Plan and requires additional funds to prepare for completion of objectives by FY 2009.

The FY 2008 Research and Technology strategic objectives are also consistent with the requirements established in DOT's Research, Development and Technology Plan (RD&T), FY 2008 RD&T Budget Guidance and in OMB's Performance and Assessment Rating Tool (PART) guidance.

This document describes each proposed FY 2008 project with its objective, output(s), and the requested funding level.

**Table 1. Support of the FMCSA Strategic Objectives by R&T  
FY 2008 Initiatives**

<b>FMCSA Strategic Objective</b>	<b>Projects</b>	<b>FY 2008 Funding</b>
1. Produce Safer Drivers	Safety Data Risk Study - Phase III (R)	\$1,000,000
	Analysis of Large Truck Crash Causation Study (R)	\$300,000
	Advanced Driver Warning System for Driver Fatigue (Possible SBIR) (R)	\$750,000
	Analysis of High Risk vs. Low Risk CMV Driver Behaviors (R)	\$400,000
	Safety Belt Countermeasure Technology, Phase I - SBIR Program	\$200,000
	CDL 3rd Party Testing Anti-Fraud Software (T)	\$300,000
	Employer Notification Service, Phase III (T)	\$500,000
	Roadside/On-Board Safety Technology Countermeasures/Wireless Inspection FOT (T)	\$500,000
	<b>Produce Safer Drivers Total</b>	<b>\$3,950,000</b>
2. Produce Safer Carriers	Research to Support FMCSA Rulemaking Activities (R)	\$500,000
	<b>Produce Safer Carriers Total</b>	<b>\$500,000</b>
3. Improve Safety of Commercial Motor Vehicles	HM Cargo Tank Design (R)	\$200,000
	Safety and Security Technology Deployment (T)	\$750,000
	Indirect Viewing System Field Test, Phase III (T)	\$250,000
	<b>Improve Safety of Commercial Motor Vehicles Total</b>	<b>\$1,200,000</b>
	4. Advance Safety Through Information-Based Initiatives	TRB/FMCSA Partnerships (R)
CVISN Deployment Program, Support for Expanded Capabilities (T)		\$700,000
<b>Advance Safety Through Information-Based Initiatives Total</b>		<b>\$1,200,000</b>
5. Improve Security Through Safety Initiatives		Hazardous Materials Shipper Prioritization (R)
	<b>Improve Security Through Safety Initiatives Total</b>	<b>\$200,000</b>
	6. Enable and Motivate Internal Excellence	FMCSA Program Management (R)
FMCSA Program Management (T)		\$250,000
<b>Enable and Motivate Internal Excellence Total</b>		<b>\$500,000</b>
<b>RESEARCH AND TECHNOLOGY TOTAL</b>		<b>\$7,550,000</b>

## FY 2008 RESEARCH PROJECTS (\$4,300,000)

**RD&T Program: Produce Safer Drivers**  
**Amount Requested for FY 2008: \$2,650,000**

### *Safety Data Risk Study - Phase III*

Objective: To investigate the feasibility of identifying commercial motor vehicle (CMV) driver factors that increase the risk of large truck crashes.

Description: A pilot study was recently completed in order to prove the methodology and produce some preliminary findings. However, the sample size is not sufficient for statistical significance. The current funding request is for completing the implementation of a full-scale CMV driver case-control study. The study will collect detailed data on over 2,000 CMV drivers at geographically dispersed locations, as outlined in the sample design plan. This data collection will include surveys, data from carriers and CMV medical examiners, and possibly performance testing for CMV drivers. The data will be collected longitudinally and will likely include sleep apnea screening. FMCSA R&A representatives will discuss the feasibility of partnering with NHTSA on this project.

#### Output(s):

- Publish a report to help the motor carrier industry identify risk factors when hiring CMV drivers.
- Tools to help motor carriers evaluate drivers for sleep apnea and assess their safe driving performance.

FY 2008 Funding: \$1,000,000

### *Analysis of Large Truck Crash Causation Study*

Objective: To gain a better understanding of traffic crashes and incidents for three specific scenarios that have their own distinctive blend of key events and contributing factors as well as findings that will generalize assumptions across all events.

Description: The Large Truck Crash Causation Study (LTCCS) and the large truck naturalistic driving data gathered in the Drowsy Driver Warning System Field Operational Test (DDWS FOT) will be analyzed. A sophisticated understanding of traffic crashes and incidents recognizes that each specific scenario has its own distinctive blend of key events and contributing factors. Both the LTCCS and naturalistic driving data address full arrays of crash/incident scenarios, contributing factors, and conditions of occurrence. Some comparative findings may be applicable to traffic events in general, but the most important findings will likely be specific to particular scenarios. Accordingly, this project will focus primarily on several selected scenarios, although it will also include generalized comparisons. This project will include a generalized comparative analysis of the two data sets; then focus on three distinct and separate analyses: a crash/incident scenario (rear-end truck striking), a contributing factor (truck driver fatigue), and an environmental condition of occurrence (high traffic density). Each type of analysis will involve unique comparisons and should serve as a prototype for other analyses of similar nature within that dimension.

Output(s):

- Analyses of rear-end truck striking, truck driver fatigue as a contributing factor, and an environmental-based factor such as high traffic density.
- Publish a report, which includes a comparative analysis of the LTCCS and DDWS FOT.

FY 2008 Funding: \$300,000

*Advanced Driver Warning System for Driver Fatigue (Small Business Innovation Research, **SBIR**)*

Objective: To develop and test a prototype system (hardware and software), which can unobtrusively detect and alert drowsy drivers to avoid hazardous conditions.

Description: The existing detection system uses a smart neural network algorithm to monitor drivers steering activity. It detects steering anomalies caused by drowsiness based on results from previous simulator studies, and indicates if a warning is required. This project will accomplish many tasks, including to further develop, validate and refine the existing neural network detection algorithm; select the most effective warning method; design and develop items required to assemble and construct the system; conduct a preliminary test of the simulator system; install the prototype system; and test the prototype model in the instrumented vehicle on a test track.

The prototype development may involve partnering with a commercial company with expertise in automotive products development. Controlled track testing of the prototype system will determine the effectiveness and safety benefits of the driver drowsiness detection warning system. It will demonstrate (in safe experiments) how increasing driver alertness and warning can reduce drowsiness-related incidents and crashes.

Output(s):

- Complete prototype system for driver drowsiness detection and warning.
- Publish a report addressing the development and evaluations of the prototype system.

FY 2008 Funding: \$750,000

*Analysis of High Risk vs. Low Risk CMV Driver Behaviors*

Objective: To assess the behavior, performance, and outcome similarities and differences of high risk and low risk drivers.

Description: The research will be conducted in two phases. Phase I, Analysis of Existing Data, is expected to last one year and will leverage data from two different driving studies - Simulator Validation Project Phase II (SimVal II), and Drowsy Driver Warning System Field Operation Test (DDWS FOT). The SimVal II study is expected to collect data on novice CMV drivers using instrumented trucks. The DDWS FOT collected data on 103 CMV drivers, each for approximately 12 weeks, as they made their normal delivery runs. The data from the FOT includes drivers with various levels of experience and risk levels. The highest risk and the lowest risk drivers will be characterized with regard to involvement in critical incidents. In addition, the driving behavior, performance and outcome for both groups will be compared with each other, and with the data collected on the novice drivers in the SimVal II study. Data

from these three groups will be analyzed to assess performance, behavior, and outcome discrepancies and similarities.

Phase II, Naturalistic Driving Study with “1,000,000 Milers”, is expected to last 2 years and will involve a new naturalistic data collection effort and subsequent analysis. This new on-road data collection effort will include some of the safest CMV drivers in the industry (“million milers” or drivers who have driven 1 million crash-free miles). Naturalistic on-road data will be collected for approximately one year. This data will be analyzed to assess the behavior, performance, and outcome characteristics of these elite drivers. The analysis will follow the same method as that conducted in Phase I, and a comparison will be made between the three original groups of drivers, and the million milers. Depending on the data collected in the SimVal II study, Phase II may also include novice drivers.

Output(s):

- Recommendations for driver screening and training.
- Publish a report describing the characteristic similarities and differences between high risk and low risk drivers.

FY 2008 Funding: \$400,000

*Safety Belt Countermeasure Technology (SBIR)*

Objective: To explore a low cost, easily installed device to increase the use of safety belts by CMV drivers.

Description: Participation in the SBIR Program is Congressionally-directed. This project will pursue the development of a technology identified in the Safety Belt Technology Countermeasures Study (December 2006) to increase safety belt use and/or improve the comfort level of safety belts in CMVs, particularly for smaller stature and larger drivers. Two Phase I initiatives will be pursued in order to selected the best approach in Phase II. Phase II will start in FY 2009 and will be funded in FYs 2009, 2010 and 2011.

Output(s):

- Create a commercial ready, safety belt technology to improve the use and/or comfort level of safety belts in CMVs.
- Publish a report documenting the development and testing of the identified safety belt technology.

FY 2008 Funding: \$200,000

<b>RD&amp;T Program: Produce Safer Carriers</b> <b>Amount Requested for FY 2008: \$500,000</b>
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*Research to Support FMCSA Rulemaking Activities*

Objective: To fund an Indefinite Delivery Indefinite Quantity (IDIQ) contract for research to support FMCSA’s rulemaking activities.

Description: FMCSA is currently engaged in active rulemaking regarding specific areas of CMV operations. Funding will be used to review, consolidate, and document the research on these areas, as well as to support other FMCSA Research Division projects. Rulemakings that the project may support in FY 2008 include Safety Programs for New CMV Drivers; Certification of Safety Auditors, Safety Investigators, and Safety; Patterns of Safety Violations by Carrier Management; and Diabetes: Qualifications of Drivers, and Diabetes Standard.

Output(s):

- Publish research reports and literature review conducted under the auspices of the IDIQ.
- Reports will identify problems, alternatives, and a means to evaluate the implemented solutions.

FY 2008 Funding: \$500,000

<b>RD&amp;T Program: Improve Safety of Commercial Vehicles</b> <b>Amount Requested for FY 2008: \$200,000</b>
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*Hazardous Materials Cargo Tank Design*

Objective: To analyze cargo tanks that transport hazardous materials (HM) and determine if various designs effectively contain the hazardous material if involved in a crash.

Description: The Guidelines for Structural Evaluation of Cargo Tanks will be updated to develop a baseline document that reflects current analytical techniques used to evaluate the structural designs of cargo tanks. Finite element analyses will be incorporated, and changes to the hazardous materials regulations will be confirmed to ensure that the current regulatory environment and industry practices are reflected. In addition, proposals will be made to incorporate the results of the Cargo Tank Rollover Force Verification study into new cargo design requirements and regulatory language supporting these proposed new designs.

Output(s):

- Update Guidelines for Structural Evaluation of Cargo Tanks to align the guidance with the current FMCSA practice and the HMR.
- Recommendations for new cargo tank designs.
- Regulatory proposals to incorporate the cargo tank designs accepted by DOT into the hazardous materials regulations.
- Publish a report documenting the Cargo Tank Rollover Force Verification Study.

FY 2008 Funding: \$200,000

**RD&T Program: Advance Information-based Development of Safety  
Amount Requested for FY 2008: \$500,000**

*TRB/FMCSA Partnerships*

Objective: To broaden participation and utilize expertise of the Transportation Research Board (TRB) in FMCSA safety solutions and R&A program evaluation.

Description: The National Academies of the Sciences (NAS), through TRB, will provide personnel, facilities, services, and materials to assist FMCSA in carrying out and fulfilling its various goals and obligations mandated by legislation and regulations. TRB's efforts to stimulate transportation research, correlate this research, and disseminate results have been developed and refined over many years and are continuous.

Output(s):

- Perform TRB activities, including TRB Core Technical Activities (the TRIS – databases, publications);
- Publish Truck and Bus Synthesis Reports and special reports; conduct conferences
- Publish reports from the Innovations Deserving Exploratory Analysis (IDEA) Program.

FY 2008 Funding: \$500,000

**RD&T Program: Improve Security Through Safety Initiatives  
Amount Requested for FY 2008: \$200,000**

*Hazardous Materials Shipper Prioritization*

Objective: To provide a system to reinforce regulatory and quality assurance programs for HM shippers, and a better means of allocating FMCSA resources.

Description: A shipper prioritization program will be designed to include hazardous materials (HM) shippers. The shippers subject to specific regulations will be ranked systematically. Factors to rate the HM shipper in order to assign an indicator or value will be ascertained, and this value will be used to confirm if there is a need to review the shipper in person.

Output(s):

- Develop factors to rate the overall safety and quality of HM shippers.
- Create a tool to enhance the inspection prioritization of HM shippers.

FY 2008 Funding: \$200,000

<b>RD&amp;T Program: Enable and Motivate Internal Excellence</b> <b>Amount Requested for FY 2008: \$250,000</b>
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*FMCSA Program Management*

Objective: To improve the performance and excellence of the Office of Research and Analysis (R&A), as well as the Agency.

Description: FMCSA will continue to provide and maintain R&A stakeholder forums, reports, enhance the project and budget tracking processes, and respond to various data requests, such as those from the Office of Management and Budget. FMCSA will continue to publish R&A findings and provide visibility for FMCSA R&A products through electronic, print, audiovisual, and conference deliverables. These resources are critical for coordinating, writing, editing, publishing, and disseminating R&A-funded research and technology information and results. The strategic and tactical plans for the Research and Analysis Program will be updated and measures will be defined and collected in order to ensure the relevance, quality, and performance of the program. Innovation is key to meeting organizational goals.

Output(s):

- Development of FMCSA strategic and tactical plans for the Office of Research and Analysis.
- Programs designed to engage stakeholders and promote national and international cooperation and meet strategic objectives of Research and Analysis.
- Research and Analysis Program development, monitoring, and tracking for fiscal and performance accountability.
- Development and coordination of presentations for senior management and other stakeholders and partners on Research and Analysis projects.
- Publish technical briefs, program and project reports, update web page, prepare internal newsletters.

Fiscal Year 2008 Funding: \$250,000

## FY 2008 TECHNOLOGY PROJECTS (\$3,250,000)

**RD&T Program: Produce Safer Drivers**  
**Amount Requested for FY 2008: \$1,300,000**

### *CDL 3rd Party Testing Anti-Fraud Software*

Objective: To design, create, and pilot-test software for detecting and/or deterring fraud perpetrated during commercial driver's license (CDL) skills testing activities. The long term goal is to reduce fatalities, injuries, and crashes resulting from drivers who fraudulently obtain CDLs.

Description: The project leverages existing data on state licensing practices to audit testers for identifying potential fraud while developing new information-technology system (ITS)-based strategies to monitor CDL testing. While the original focus was on 3rd party testers, the project also covers fraud perpetrated by testers who are employees of State motor vehicle administrators. This continuation will enable the software to be fully implemented, so that State vehicle administrators will be more likely to adopt it. A couple of refinements will make the scheduling process for examiners more user-friendly by creating a simpler, more basic summary schedule report. The software will also incorporate the ability to show the available time for examiners in a particular location for an appointment to conduct a commercial driving skills test as requested by an applicant.

#### Output(s):

- Produce web-based software for use by State motor vehicle administrators to manage the skills testing portion of the CDL application process.
- Reports addressing the development and testing of the enhanced software.

FY 2008 Funding: \$300,000

### *Employer Notification Service, Phase III*

Objective: To more closely examine issues related to implementation of the Employer Notification Service (ENS) system in more States, and expand knowledge of the legal, IT infrastructure, budgetary, and administrative issues related to the project, as well as examine issues related to amendment of FMCSA regulations requiring carriers to periodically check driver records.

Description: Provide funding, training, and administrative assistance to States that are interested in implementing the system developed after the State pilot Tests done in Phase II of the project. This will allow FMCSA to more closely examine issues related to implementation/integration in specific State IT infrastructures as well as possibly amend existing regulations. Ultimately, an effective ENS system would decrease costs significantly.

The feasibility of amending or eliminating FMCSA's current regulations that require carriers to perform annual checks of a drivers' CDL status will also be examined. Since the ENS system would perform this task in real time, there may be a rationale for modifying or eliminating this requirement. It will need to be determined if the implementation of a national ENS system would warrant such an action.

A significant benefit of a national ENS system may be for carriers to only have to check motor vehicle records for their drivers that have a record change instead of the FMCSA-required annual check on all drivers. This would be a major cost savings for the industry. A major over-night-delivery trucking company estimated cost savings of 80 percent from such a program.

Output(s):

- Prepare an implementation plan outlining key driver information, budgetary, and administrative issues to facilitate the deployment of the ENS from each participating State.
- Publish a report with specific recommendations pertaining to amendment of the regulations that require annual driver record checks by carriers.

FY 2008 Funding: \$500,000

*Roadside/On-Board Safety Technology Countermeasures/Wireless Inspection FOT*

Objective: To install, test, and evaluate the safety benefits of a state-wide wireless inspection network where drivers' logs and vehicle fault codes are electronically checked on a weekly basis.

Description: The purpose of this field operational test (FOT) is to install and test a state-wide network of fixed, mobile, and virtual roadside safety inspection sites. This FOT in one state would provide critical real-world information for national expansion of such a network to support the agency goals to target unsafe drivers. A national network could generate an estimated 300 to 500 million electronic CMV driver and vehicle inspections/checks.

These sites, one of them being FMCSA's Roadside Test Lab, would conduct wireless inspections on a fleet of participating trucks and buses. The test will collect valuable real-world data and lessons learned regarding technologies to use, IT infrastructure requirements to upload electronic inspections to state and FMCSA safety databases, technology and procedural standards development to be integrated with OOS criteria, data collection and generation implications in support of new rating methodologies under consideration as part of CSA 2010, and an enforcement concept of operations and protocols.

Output(s):

- Report documenting the conduct and results of the FOT.
- Propose technology standards, enforcement operations, and institutional protocols for virtual roadside safety inspection sites.

FY 2008 Funding: \$500,000

<b>RD&amp;T Program: Produce Safer Carriers</b> <b>Amount Requested for FY 2008: \$0</b>
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No FY 2008 Technology Projects Planned.

<b>RD&amp;T Program: Improve Safety of Commercial Vehicles</b> <b>Amount Requested for FY 2008: \$1,000,000</b>
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*Safety and Security Technology Deployment*

Objective: To increase deployment and use of CMV systems and technologies that address safety and security needs, support nationwide deployment of technology (including the implementation of integrated information systems and networks), and utilize technology solutions as a means to monitor and evaluate motor carrier safety performance.

Description: This ongoing project is at a new stage, in which it will work with the motor carrier industry and other stakeholders to understand deployment trends and to facilitate further adoption of cost-effective technologies that have shown benefits, including positive user acceptance. A major component of this project will be to monitor deployment and help the trucking industry increase its awareness of the technologies that could improve the safety and security of CMV operations and the movement of high-value/high-security risk shipments. Building on previous work by specific States, this project will also provide technical assistance and guidance to the States in support of their implementation of Core CVISN capabilities.

Funding in FY 2008 will be utilized to initiate the planning for a second Research and Analysis Deployment Forum in FY 2009. The event will build on the first Forum and showcase technologies deployed by States, the motor carrier industry, and other stakeholders in their efforts to meet FMCSA's national safety and security goals.

Output(s):

- Publish an assessment report of the costs/benefits of new advanced vehicle technologies that are entering or about to enter the marketplace,
- Progress reports of all States implementing Core CVISN capabilities.
- Plan for a second Research and Technology Deployment Forum.

FY 2008 Funding: \$750,000

*Indirect Viewing System Field Test, Phase III*

Objective: To test and evaluate an all-weather indirect viewing system with 360-degree vision capability, and further the development of the enhanced vision system in Phase III of this ongoing project.

Description: Recommendations from Phase II with regard to the information learned from the on-road tests will be incorporated into an improved design that includes digital video presentation and autonomous data acquisition capabilities. In addition, to ready the system for an over-the-road (OTR) test, the system will be made sufficiently rugged. A test plan will be developed detailing how the enhanced vision system will be tested and evaluated, as well as test materials required, and the OTR test data acquisition system (DAS). Drivers will be recruited for this Phase III study, and they will participate in a training session on the operation of the enhanced vision system. Trucks will be instrumented with the enhanced vision system and the DAS.

The enhanced vision system will be comprised of right and left side convex mirror surrogate systems and enhanced rear view system. It is expected that the system specification will be used by industry and foster the development and implementation of enhanced visibility technologies. In addition, this research supports NHTSA rule-making efforts with regard to future modifications to FMVSS 111.

Output(s):

- Test plan detailing how the enhanced vision system will be tested and evaluated.
- Publish a report documenting results of the field test.

FY 2008 Funding: \$250,000

<b>RD&amp;T Program: Advance Information-based Development of Safety Amount Requested for FY 2008: \$700,000</b>
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*CVISN Deployment Program, Support for Expanded Capabilities*

Objective: To work with eligible States and motor carrier industry stakeholders to implement expanded CVISN capabilities that improve the safety and productivity of CMV operations, and enhance transportation security in four primary areas: driver information sharing, enhanced safety information exchange, smart roadside, and expanded electronic credentialing.

Description: States collect safety, security, and other CVO-related data electronically and share that information among authorized stakeholders. Expanded CVISN deployment will examine how information can be integrated to improve the accuracy, integrity, and verifiability of motor carrier, CMV, driver, and cargo data. More effective and efficient safety inspection and enforcement activities on high-risk and potentially suspect motor carriers, CMVs, and drivers will result. Government and motor carrier productivity will increase as a result of the electronic application and issuance of credentials and electronic screening of CMVs.

The expanded CVISN deployment program will provide States assistance and technical support for the sharing of commercial driver data. The driver area is likely to have a large impact on CMV safety, given that high-risk drivers are involved in a disproportionate number of crashes. FMCSA's investment in this area will improve the sharing of commercial driver information across Federal and State jurisdictions, as well as the motor carrier industry. Technical support and assistance will also be provided for States to develop their Expanded CVISN Program Plan, which will describe the capabilities to be funded and include a business case for deployment, as well as the project objectives, technical approach, schedule, and system design, as well as identify expected benefits and project participants. It will provide an estimated budget including State and private sector anticipated contributions needed for the match. The plan will also certify that its activities for expanded deployment will be consistent with the National ITS Architecture and standards, and commit to executing interoperability tests.

Output(s):

- Prepare and distribute CVISN training and implementation guides including the identification of "lessons learned" and best practices.
- Prepare report documenting the deployment of expanded CVISN capabilities through interoperability tests
- Prepare Expanded CVISN Deployment Program Implementation Plans for about 10 States.

FY 2008 Funding: \$700,000

**RD&T Program: Improve Security Through Safety Initiatives**  
**Amount Requested for FY 2008: \$0**

- Research and Analysis Program development, monitoring, and tracking for fiscal and performance accountability.
- Development and coordination of presentations for senior management and other stakeholders and partners on Research and Analysis projects.

Fiscal Year 2008 Funding: \$250,000

**RD&T Program: Enable and Motivate Internal Excellence**  
**Amount Requested for FY 2008: \$250,000**

*FMCSA Program Management*

Objective: To improve the performance and excellence of the Office of Research and Analysis (R&A), as well as the Agency.

Description: FMCSA will continue to provide and maintain R&A stakeholder forums, reports, enhance the project and budget tracking processes, and respond to various data requests, such as those from the Office of Management and Budget. FMCSA will continue to publish R&A findings and provide visibility for FMCSA R&A products through electronic, print, audiovisual, and conference deliverables. These resources are critical for coordinating, writing, editing, publishing, and disseminating R&A-funded research and technology information and results. The strategic and tactical plans for the Research and Analysis Program will be updated and measures will be defined and collected in order to ensure the relevance, quality, and performance of the program. Innovation is key to meeting organizational goals.

Output(s):

- Development of FMCSA strategic and tactical plans for the Office of Research and Analysis.
- Programs designed to engage stakeholders and promote national and international cooperation and meet strategic objectives of Research and Analysis.
- Publish technical briefs, program and project reports, update web page, prepare internal newsletters.

FY 2008

**FMCSA**

# **APPENDICES**

## Section 5

Information Management  
Program Justification



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**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**

**INFORMATION MANAGEMENT**

**FY 2008 BUDGET SUBMISSION**

## **FY 2008 INFORMATION MANAGEMENT BUDGET**

### **Mission**

The mission of the Information Management (IM) program is to design, develop, implement and maintain agency-wide information systems to support the safety programs of the Federal Motor Carrier Safety Administration (FMCSA) as well as State commercial vehicle safety programs. The IM program also supports FMCSA and State statistical and analytical needs via the conduct of studies, regulatory evaluations, timely and accurate access to data and specialized analyses of safety-related data related to crashes, vehicles, and drivers. Information Management forms the backbone for all major FMCSA activities, since this agency is a data-driven organization. In fact, the IT Modernization Program (called COMPASS), which is part of this program, is one of FMCSA's top priorities. To meet FMCSA's ambitious safety goal, decisions must be based on the highest quality data possible and sound statistical and economic analysis of those data. To help meet the IM mission, coordination and collaboration with other agencies within and outside the Department on data, information technology and statistical issues is vital. In addition, IM provides technical and administrative support to implement the activities required by the Clinger-Cohen Act and other Office of Management and Budget guidance and directives.

### **Program Authorization**

The Department of Transportation's "Safe, Accountable, Flexible, and Efficient Transportation Equity Act" (SAFETEA) reauthorization bill incorporates funding for FMCSA's information management program within Section 4001, Authorization of Appropriations. This budget submission is reduced from the funding level provided in FY07 and supports the Agency's and Department's strategic goals. This submission reflects the continued implementation of COMPASS, a business transformation and IT modernization effort designed to re-design current business processes to fully leverage IM program efficiency and effectiveness.

### **FY 2007 Anticipated Accomplishments**

In FY 2007, a wide variety of information management projects designed to reduce the number and severity of large truck-involved and bus-involved crashes on our Nation's highways will be completed. The following is a brief summary of these anticipated major accomplishments:

**Regulatory Evaluations:** Economists, supported by mathematical statisticians, will complete economic evaluations of all significant proposed rules and regulations to determine the overall costs and benefits of each proposal, the cost to specific industries, sectors, or regions, the burden on small businesses, and the impacts on productivity and employment. We expect to complete evaluations on a number of significant agency rules, including the supplemental notice of proposed rulemaking for the Unified Registration System, Certification of Safety Auditors notice of proposed rulemaking (NPRM), the Inspection Decal NPRM, as well as the Enforcement of Operating Authority and Surge Brake final rules. In all, we anticipate completing economic evaluations for 10-15 significant agency rulemakings in FY07.

**Environmental Evaluations:** The determination of environmental impacts is a growing area of responsibility for FMCSA. In FY 2007, we will conduct environmental evaluations of all the rules listed above under regulatory evaluations. We will also assist division offices in preparing environmental documents, coordinate FMCSA activities with the Council for Environmental Quality, prepare background material for other FMCSA offices, and initiate research into truck idling issues. Also, FMCSA will update estimates of the costs of large truck and bus crashes and will complete the first phase of its effort to estimate the environmental costs of large truck crashes, with the intent to incorporate both into its rulemaking analyses for a more complete and current understanding of the benefits and costs of motor carrier regulations.

**Large Truck and Bus Crash Causation Studies:** In FY 2006, final coding and development of the large truck crash causation study (LTCCS) database was completed, and a statistical analysis file was created to facilitate research and analysis. Also, the results of the LTCCS and the database were made available to the States, the academic community, the motor carrier industry, and the general public via FMCSA website. FMCSA will continue to develop a number of different online products and access capabilities to support the user community. In FY 2007, FMCSA plans to conduct several analyses using the LTCCS data to develop greater insight into why crashes occur and what potential countermeasures can be taken to prevent them. Close coordination with the CSA2010 Team will serve to identify potential programs that could be designed or revised based on the LTCCS study findings.

With respect to the Bus Crash Causation Study (BCCS), in FY 2005 and FY 2006 FMCSA collected data on bus crash cases and began building the study database. In FY 2007, we will initiate quality review and coding; commence development of the BCCS study database; and draft a preliminary report on study results to date.

In FY 2007, FMCSA will develop an online feedback system. Based on the feedback received from the user community, existing reports will be refined and additional reports will be created. Also, in FY 2007, FMCSA will investigate the feasibility of developing a prototype query tool.

**Analysis and Information Online (A&I):** It is anticipated that more than 1.5 million visits will be made to the A&I web site in FY 2007 (based on projections from FY 2006). A&I is an FMCSA internet web site that is used by FMCSA and State safety enforcement personnel to evaluate the safety of commercial motor vehicle operators. In addition, individual motor carriers access this information to assess their own safety record and compare it to the safety records of their industry peers. Shippers use the site to determine the safety posture of their cargo carriers, and the insurance industry reviews their clients' safety records and helps them prepare safety improvement programs. A&I is also used by Federal and State safety managers to support analyses of crash and inspection information to identify safety problems and solutions in specific geographic or demographic areas. Lastly, the public accesses the site to review the safety posture of individual carriers in order to inform their decisions regarding the shipment of household goods and selection of passenger carriers. In FY 2007, FMCSA will review the A&I

data update process to identify potential areas where the information and data can be provided more frequently. Also, FMCSA will expand the type of safety data that will be disseminated via A&I Online to include: Large Truck Crash Causation, driver safety performance history, and data and reports to support improvements in State and FMCSA quality of safety data. Also, the Program Measures module of A&I will be expanded to allow FMCSA Field and State partners to continuously track their performance in meeting shared large truck safety goals.

**Program Effectiveness Models:** In FY 2007, FMCSA will continue measuring the effectiveness of key safety programs. Such work is consistent with the President’s Management Agenda goals and responsive to Government Accountability Office and DOT Office of the Inspector General recommendations to assess and monitor the performance of the agency’s cornerstone programs. The objective of this work is to baseline the effectiveness of the selected programs through the use of standard safety performance measures that can be compared to future safety performance. This baseline allows FMCSA to judge the relative performance of its programs on a periodic basis and make enhancements as needed. Thus far, FMCSA has measured the effectiveness of the compliance review and roadside inspection programs (see charts below for results) using the Compliance Review Effectiveness Model and the Roadside Inspection/Traffic Enforcement Intervention Model. The latest results published for each model show significant safety benefits from these activities:

**Compliance Review Program Effectiveness: 1999 - 2003**

	1999	2000	2001	2002	2003
<b>Crashes Avoided</b>	1,200	1,500	2,200	1,426	2,276
<b>Injuries Avoided</b>	822	1,028	1,395	1,087	1,651
<b>Lives Saved</b>	51	64	91	62	90

**Roadside Inspection/Traffic Enforcement  
Program Effectiveness 2001 – 2004**

	2001	2002	2003	2004 <sup>1</sup>
<b>Roadside Inspections</b>				
Crashes Avoided	11,294	12,235	12,667	9,606
Lives Saved	550	568	534	371

Injuries Avoided	8,689	9,240	9,647	7,004
<b>Traffic Enforcements</b>				
Crashes Avoided	3,844	4,602	4,484	9,067
Lives Saved	187	214	189	351
Injuries Avoided	2,957	3,476	3,415	6,611
<b>Combined Total: Roadside Inspections &amp; Traffic Enforcements<sup>2</sup></b>				
Crashes Avoided	15,138	16,387	17,151	18,673
Lives Saved	738	781	722	722
Injuries Avoided	11,646	12,716	13,062	13,615

1. In the years prior to 2004, a percentage of the Traffic Enforcement program benefits were credited to the Roadside Inspection program. This was done to account for the fact that a traffic enforcement is composed to two distinct activities. For 2004 onward, this reallocation has been removed and the Traffic Enforcement program benefits will be broken out between the traffic enforcement activity, roadside inspection activity, and a combined activity, which quantifies the benefits of performing both activities during the same intervention.
2. The totals in this section may not match sums from the previous two sections due to rounding.

With respect to measuring program effectiveness, during FY 2007 the following activities will take place:

- **Intervention Model** – Crashes avoided, injuries avoided and lives saved as a result of roadside inspections and traffic enforcements conducted in 2005 will be estimated.
- **Compliance Review Effectiveness Model** – Crashes avoided, injuries avoided and lives saved as a result of compliance reviews conducted in 2004 will be estimated. The current model estimates the benefits for the year immediately following the compliance review. Additional research is taking place, which quantifies the benefits of the compliance reviews in subsequent years.
- **Resource Allocation Model** – Further development of a new management decision support tool will take place in FY 2007. The intent of the tool is to aid managers in better understanding the impact of changes in budgets and resource levels on the different safety programs—specifically compliance reviews, roadside interventions (inspections and traffic enforcements), as well as other enforcement programs. Potential applications include:
  1. Gaining a better understanding of how changes in budgetary levels impact the benefits realized from the compliance review and roadside inspection;
  2. Estimating resources needed to meet program objectives;
  3. Estimating the impact of changes to grant formulas on program benefits.

**Safety Performance Assessment of Motor Carriers by Commodity Segment:** In FY 2007, this cooperative effort between the University of Maryland and FMCSA’s Analysis Division will further assess the safety performance of the motor carrier industry within distinct operating segments, including major commodity segments. Safety performance will be measured relative to several unique safety measures and the performance of each segment will be compared via

statistical testing methods to determine which are the safest and least safe segments in the industry. Also, this research will examine safety performance by carrier size group and experience level, as well as several other variables.,.

**Comprehensive Safety Analysis 2010 Initiative (CSA 2010):** In FY 2007, continued analytical and information system development support will be given to this Agency-wide effort to redesign and improve the way FMCSA conducts compliance and enforcement operations.

**Driver Information Resource Tool:** Work will continue in FY 2007 to refine the Driver Information Resource Tool, or a tool that allows Federal and State enforcement personnel to view the safety performance history of individual commercial vehicle drivers. This tool analyzes a driver's safety performance history in order to measure a driver's safety fitness, similar to the approach used in SafeStat for measuring motor carrier safety fitness. The effort will include a focus on improving the quality of the driver safety data available in MCMIS and using additional data resources to support the ability to query individual driver's safety data and assess that driver's safety status.

**Ongoing Data Quality Improvements:** In FY 2007, data quality improvements will be made to provide more timely, accurate, complete and complete information to FMCSA field offices and headquarters staff, and State, motor carrier industry and general public users of FMCSA data and analysis. Good quality data are the underpinning of good quality safety programs at the State and Federal level. In FY 2007, a comprehensive data quality plan will be further refined and implemented. FMCSA will refine and further develop a State data quality evaluation methodology to monitor State reporting on completeness, timeliness and accuracy of safety data. Also, FMCSA plans to continue conducting State data quality assessments to better understand a State's current crash and inspection data reporting processes and to recommend and monitor improvements to the processes. In order for States to effectively monitor their status and progress in improving data quality, FMCSA plans to develop and disseminate the results of a monthly monitoring process that will provide an overall evaluation of States' management of their crash and inspection data. FMCSA will continue to improve the DataQs system and continue to monitor the challenges and resolutions to ensure that each is addressed. Also, FMCSA will continuously identify and develop data quality improvement initiatives to ensure that reliable data are collected and made available for FMCSA safety programs. As part of this work, a web-based central tracking system will be developed to track, monitor and disseminate these initiatives through a web-based system. Additionally, technical and analytical assistance will continue to be provided to States to help them use safety data and analysis to develop their Commercial Vehicle Safety Plans (CVSPs). In FY 2007, the training sessions will be updated in several ways to provide more efficient and effective assistance to States, based on feedback from the participants. Changes include providing customized data and analysis to States prior to the training sessions, and forming State training groups by level of staff experience with CVSP development, so that the training can be further tailored to the individual States' needs.

Data quality analysis is also an important component of the COMPASS program (addressed below) aimed at identifying data quality issues and improvement opportunities. The Information

Management Authority (IMA), established in FY 2006, will continue to promote and monitor industry best practices for data quality and data management throughout FMCSA through collaboration with business and IT stakeholders. This governing body will be an important partner for the COMPASS program.

**Improving Data Quality through Targeted Financial and Technical Assistance to the States:** In FY 2007, FMCSA will intensify efforts to enhance the quality, timeliness, consistency and availability of motor carrier safety data. These data are necessary to support governments, businesses, and citizens in making informed decisions about motor carrier safety, and are vital to the continued success of FMCSA safety programs.

One component of the IM Program with demonstrated success involves FMCSA's active participation in technical assistance to individual States to assist them in improving the timeliness, accuracy and completeness of safety data reported via SAFETYNET to MCMIS. FMCSA-State technical assistance typically involves:

- Expert in-depth analysis of State motor carrier safety data collection and reporting policies and procedures;
- Identification of potential improvement strategies; and
- Training to State and local law enforcement officials.

Recognizing that a wide variety of complex technical issues can potentially undermine accurate and effective State safety data collection and reporting, Congress authorized FMCSA, under section 4128 of SAFETEA-LU, to award *Safety Data Improvement Program (SaDIP) grants* to States needing to improve the timeliness, accuracy and completeness of the motor carrier safety data they report to FMCSA's MCMIS. The Federal share of a SaDIP grant under section 4128 is 80 percent of the cost of the activities for which the grant is made – States are responsible for the remaining 20 percent. In FY 2007, State proposals deemed to have the greatest potential *immediate* impact on improving large truck and bus safety data reporting and quality, such as those related to crash data collection and reporting, will be funded by SaDIP grants. Unlike technical assistance to States, SaDIP grant funds can be used to purchase equipment to support State data improvement activities. In addition, SaDIP grants can be used to temporarily hire staff to manage data quality improvement programs, revise outdated crash report forms, and code and enter crash data. States applying for 80/20 SaDIP grants must have undergone a comprehensive audit of their commercial motor vehicle safety data system within the preceding 2 years and developed a plan that identifies and prioritizes their commercial motor vehicle safety data needs and goals. Congress authorized \$3,000,000 for the SaDIP grant program in FY 2007.

**Business Transformation and IT Modernization Effort:** The COMPASS program was initiated to transform FMCSA's business processes while significantly expanding FMCSA's IT delivery capabilities and reducing IT operation and maintenance costs. In FY 2006, the first COMPASS Pilot was successfully deployed, and it proved the concept of COMPASS. In FY 2007, COMPASS Releases 1 and 2 will be deployed. In FY 2007, FMCSA will:

- Continue to mature its program management approach that results in the timely and successful collaboration of service providers and stakeholders that comprise the COMPASS program and facilitate the necessary governance to guide program priorities;
- Continue to implement enterprise Software Development Lifecycle (SDLC) processes required for the COMPASS program to support both new research and software development efforts as well as operations and maintenance support activities;
- Implement the hardware and software environments required to execute software development and host production services for COMPASS Release 1 and 2 targeted for deployment in FY 2007;
- Define the end-state solution architecture that will be realized by the end of the COMPASS program. The end-state solution architecture provides the foundation for deploying a Service-Oriented Architecture (SOA) across the FMCSA enterprise;
- Scope and plan for COMPASS Releases 3 and 4 development and deployment;
- Continue to expand the FMCSA IT governance oversight required for effective capital planning and investment control (CPIC) through the work of: the Enterprise Change Control Board (ECCB), Capital Planning Board (CPB) and Executive Steering Committee (ESC); and
- Continue to expand upon the Enterprise Architecture (EA) by moving to a target architecture as defined by COMPASS and the development of repeatable processes and methods. Reach Level 3 on EA completion and use and level 2 on results.

The COMPASS Release 1's scope will be an expansion of features and capabilities that were deployed and tested during the COMPASS Pilot release in FY 2006. These capabilities will be delivered through implementation of a Carrier Portal and an FPS Portal that will provide consolidated access to carrier data and links to other core FMCSA applications. Carriers currently access FMCSA data through a number of systems. They use these systems to register online and view a history of inspections, crashes, compliance reviews, and other safety information. They can also dispute information presented. FMCSA has identified an opportunity to improve the organization and presentation of this information to better serve the carrier community. Through the COMPASS Release 1, the Carrier Portal will provide information to users more intuitively and conveniently. The following are the expected benefits of the Carrier Portal:

- Better compliance with regulations through improved carrier access to information;
- Enhanced self-service capabilities for carriers, averting unnecessary support calls and improving the efficiency of carrier service; and
- Providing a foundation for an over-arching Customer Relationship Management strategy that permits FMCSA to focus on its customers when interacting with all stakeholders.

FMCSA Federal Program Managers and Specialists (FPMs/FPSs) have a number of responsibilities, one of which is to select carriers for compliance reviews and assign these compliance reviews to Safety Investigators. Currently, FPSs have to look at multiple systems to compile the information necessary to select a carrier for review. In many cases, the selection may contravene policy because the systems lack selection rules. Through the FY 2006 rollout of the COMPASS pilot, the FPS Portal presented a consolidated view of carrier information. In FY 2007, Release 1 will expand these capabilities to the entire FPS/FPM community. The expected benefits of the FPS Portal include:

- Allow FPS personnel to make better informed compliance review selection decisions, resulting in improved policy compliance, increased focus on carriers most likely to have safety violations, and more effective use of limited investigator resources.
- Provide a foundation for further process improvements in the compliance review process and expansion of capabilities to other user groups within FMCSA.
- Provide both carriers and FPSs the ability to retrieve, organize, and display carrier information via the portal. Given their similarity, we expect that many of the service components developed for the Pilot will be shared by both portals and eventually used in other functions for other user groups.

COMPASS Release 2 will also be deployed in FY 2007. This release will expand the Carrier portal as well as expand the single sign-on function to all of the remaining core safety systems that were not included in Release 1, such as Query Central, Electronic Document Management System, etc. While the Release 1 portal dealt with those carriers who already have a USDOT number, the new portal will cover the interests of those who are thinking of applying as well. The results of the studies conducted in FY 2006 for business improvements will be incorporated into Release 2. Release 2 will also be directed towards the general public who has an interest in obtaining information about companies.

**Motor Carrier Management Information System (MCMIS):** MCMIS is FMCSA's authoritative source for safety-related data on carriers and drivers and the base system for identifying high-risk motor carriers. FY 2007 will continue to be a multi-year transition process for MCMIS, which will need to be maintained with minimal changes being made for statutory, regulatory and policy changes to FMCSA safety programs. Ensuring safety data are timely, accurate and accessible to FMCSA staff, State partners, the motor carrier industry, and the general public is a priority for this Agency. Since MCMIS is the repository for these data, slight enhancements to improve data quality will continue to be made in FY 2007. However, as COMPASS improvements begin to unfold in FY 2007 and beyond, most of the FY 2007 funding for MCMIS will be used for operations and maintenance. In FY 2007, some of the required changes beyond operations and maintenance will be needed enhancements and refinements for new or revised policy, SAFETEA-LU, the new entrant monitoring process, and the hazardous materials safety permitting program.

**Field Systems Support:** With over 10,000 Federal and State users of FMCSA's field systems applications suite, we anticipate two updates to each of the application packages and software utilities to incorporate changes in policy, regulations, and procedures. These applications are

used by the front-line safety and enforcement personnel, State and Federal roadside inspectors, safety auditors, and safety investigators. As with MCMIS, though, FY 2007 continues the transition of these programs as COMPASS unfolds with its first two releases in FY 2007. In FY 2007, only needed changes will be made to the following systems: SAFETYNET, ASPEN, Query Central, CAPRI, HM Package Inspection Program, CaseRite, Uniform Fine Assessment, ProVu, and Inspection Selection System. These improvements and releases are essential so that FMCSA can continue to collect high quality, timely and relevant information that is used to identify and monitor potentially high-risk carriers.

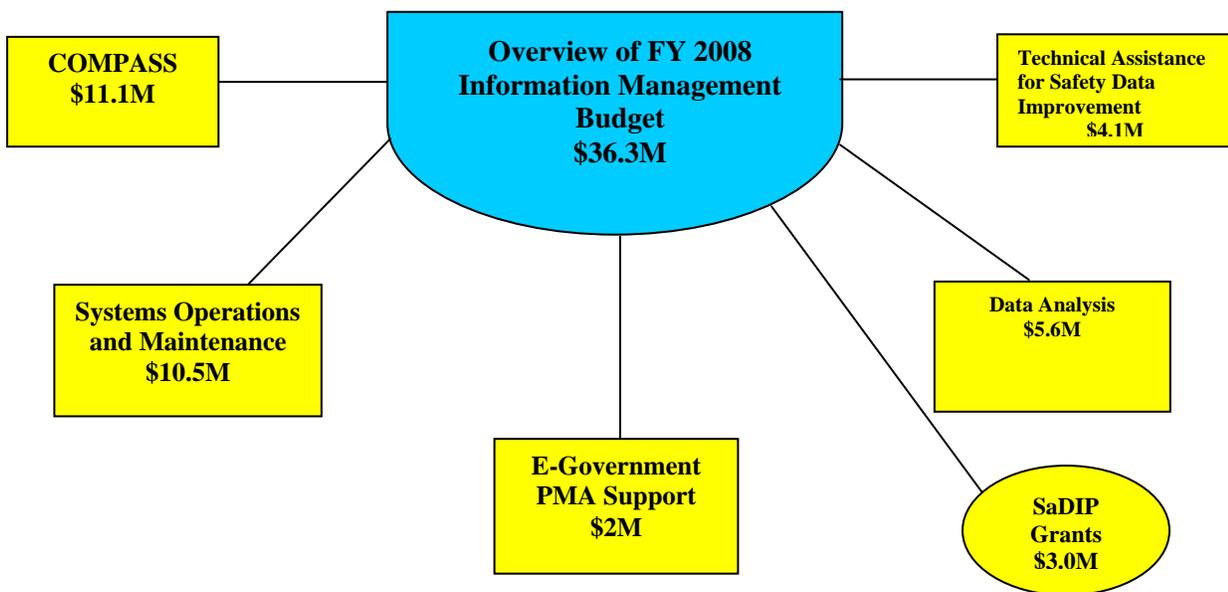
**Information Technology Infrastructure:** This initiative involves IT infrastructure support on two levels: the enterprise-wide back office infrastructure for the FMCSA field staff and data center hosting facilities and operations for FMCSA safety information systems and web sites. In FY 2007, FMCSA will continue to provide back office infrastructure services to the FMCSA field staff, including data and network communications, local and wide area networks, security, and other components. The headquarters operations were consolidated into the Department of Transportation's Common Operating Environment in FY 2006 and those costs are included in the working capital fund. The second infrastructure initiative is the data center hosting facilities and operations for FMCSA safety information systems and web sites. In FY 2007, we will continue to procure these services from the Volpe Data Center. The Volpe Data Center will provide the security required for access to our systems and also provide 24/7 operations, help desk, disaster recovery, and continuity of operations.

**Electronic Government:** In FY 2007, FMCSA will continue projects in direct support of the various laws, regulations, and policies governing electronic government through agency efforts to maintain a customer focus and increase public accessibility to programs and information. Although the entire information management portfolio supports Government-to-Government, Government-to-Business and Government-to-Citizen activities, this work is largely focused on Office of Management and Budget and the Department targets in the following areas: Section 508 compliance, Government-wide E-Gov initiatives, and System Security Certification and Accreditation. For FY 2007, FMCSA will:

- Certify and accredit its application portfolio to address major system changes and/or expired certifications and accreditations and continue to work with the system owners to solve identified security issues; and
- Participate in the implementation of government-wide and Department-wide E-gov initiatives, including Business Gateway, Grants.gov, E-rulemaking, and E-authentication.

**FY 2008 Program Request: \$36.3 Million**

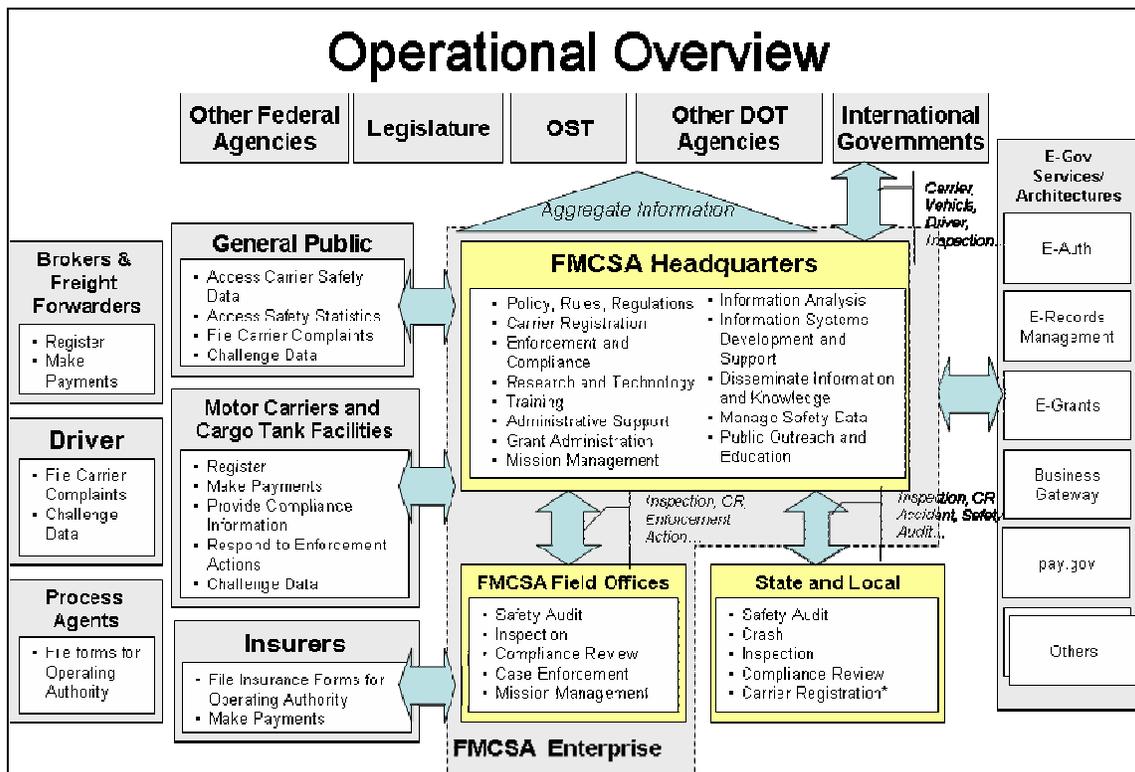
The FY 2008 Information Management (IM) budget request is \$36.3 million. This represents a \$9.7 million reduction when compared with FY 2007, to accommodate for additional agency priorities set forth in SAFETEA-LU. The IM budget is divided into six major components: COMPASS (\$11.1M), Systems Operations and Maintenance (\$10.5M), E-Government (\$2M), Data Analysis (\$5.6M), Safety Data Improvement Program (SaDIP) Grants (\$3.0M), and Technical Assistance for Safety Data Improvement and Quality Assurance (\$4.1M). This graphic presents an overview of the FY 2007 budget request for the Information Management program.



**1) COMPASS: Business Transformation and IT Modernization (\$11.1M request):** This request funds the next stage of implementation of COMPASS, although at a slower pace than the original business case presented in the FY06 budget. The COMPASS program was planned in FY 2005 to transform FMCSA’s business processes, while significantly expanding FMCSA’s IT delivery capabilities and reducing IT operation and maintenance costs. Through COMPASS, FMCSA will improve its delivery of services to do more with less, dynamically respond to evolving business requirements, and more tightly integrating and aligning its business processes with its IT systems. Modernizing and consolidating all existing applications through COMPASS will also enable the Agency to simplify the management of its IT environment, increase responsiveness to business demands, reduce costs, and migrate to the target architecture and business environment currently being defined by FMCSA’s CSA 2010 initiative. In summary, COMPASS goals are focused on optimizing the performance of FMCSA stakeholder organizations, as follows:

- ***Increase Organizational Agility*** – Enable the enterprise to evolve with changing federal mandates, regulations, policies, and business process needs;
- ***Reduce Service Delivery Time and Cost*** – Improve the productivity of FMCSA field and State personnel in conducting inspections, investigations, and reviews. Improve the operations of headquarters in support of field personnel. Reduce administrative burden on industry partners by streamlining registration and compliance processes;
- ***Improve Alignment between Business and IT*** – Integrate business and IT planning/strategy efforts. Involve business stake-holders in IT governance processes and solution design. Deliver solutions that are driven by business needs;
- ***Improve Effective, Data-driven Decision-making*** – Provide convenient and timely access to data and analysis to decision-makers in FMCSA headquarters, FMCSA field, state and local partner offices, and in industry; and
- ***Expand and Improve Collaboration with External Partners (State, Local, and Industry)*** – Provide tools and information that enable seamless collaboration across organizational and system boundaries and improve the performance of FMCSA and its partners.

Over the next five years (including FY 2008), FMCSA will work with stakeholders to define the target-state for core business process and a target solution architecture for the systems supporting these processes. The following figure depicts the diverse stakeholder population that will influence COMPASS program objectives, requirements, and direction.



When the COMPASS program has been completed, FMCSA will have undergone a business transformation, fully aligning its IT operations with its business processes and practices, and created a new foundation for subsequent IT enhancements. Business processes will be re-engineered to address a number of challenges that have been identified through COMPASS analysis efforts. Re-designed FMCSA business processes will:

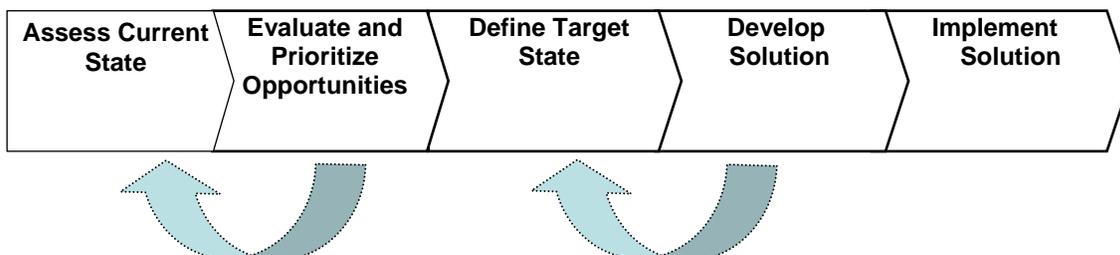
- Leverage data more effectively to facilitate intelligent decision-making;
- Facilitate more timely sharing of data between FMCSA headquarters, field offices, and partner organizations;
- Increase the productivity of field resources and the effectiveness of activities;
- Provide additional management tools focused on effectively scheduling and allocating FMCSA resources to support the mission and measuring the efficiency of FMCSA processes;
- Provide flexible, configurable workflows that can be tailored to suit the needs of different FMCSA and partner organizations;
- Focus on the customer when interacting with carriers and other industry partners across processes and when providing self-service capabilities; and
- Enable the CSA 2010 business strategies and operational model.

FMCSA envisions a more integrated IT environment with reduced redundancy in data, fewer applications, and a set of common software services that will enable the rapid delivery of new applications through reuse capabilities. The FMCSA target solution architecture will accomplish the following:

- Create a technical architecture that can be configured and adapted to changes in business direction, legislated requirements, rules, and FMCSA policies;
- Provide security mechanisms that allow access to FMCSA information and services by a broad set of stakeholders while both ensuring information security and privacy and reducing the number of log-ins required;
- Improve data access, quality, integrity, and aggregation to provide stakeholders with more timely access to accurate information;
- Provide consistent and usable interfaces for stakeholders across applications;
- Minimize the number of applications that must be accessed to complete a process. Allow each activity to be completed using a single application;
- Maximize reuse of software components to increase the speed of software delivery and system flexibility;
- Optimize customer service by implementing innovative call center and customer resource management solutions;
- Facilitate data integration with external stakeholders, including States, international partners, and other federal agencies; and
- Design and implement a scalable and flexible architecture to accommodate FMCSA's target business priorities.

Resources will continue to be re-directed, as appropriate, away from maintaining and updating the existing systems throughout this initiative as the legacy systems are retired over the later years of the COMPASS implementation phase. This work is very consistent with other similar initiatives already underway or completed within other agencies across the Government. The business case for this effort is based on a phased approach and delivery of tangible benefits to the users, every step of the way, including the early work completed.

In FY 2008, FMCSA will continue to build upon the accomplishments attained in FY 2007 by the COMPASS program and will follow the repeatable process depicted below to define the target business processes and design, develop, and incrementally implement an enterprise solution architecture that readily enables the future business state.



There will be points when the process will “circle back” to previous stages.

In FY 2008, the COMPASS Program will be transitioning to the very important work included in Release 4 and initiating the work in Release 3. The work included in Release 4 is specific to Regulatory Compliance Monitoring. This release will expand the workflow and rule engine capabilities to include the regulatory compliance monitoring that occurs with company records. This release will also prepare COMPASS for implementation of those CSA 2010 initiatives that are ready to be deployed in FY 2008 and beyond. The target audience for this release will be the program offices, the field offices, and the operations support teams. A working group will be formed with representatives from the operations team, the program office and the program specialists in the Field. This release will replace much of the daily monitor processing done in MCMIS and L&I, including letter generation. Upon completion of this Release, there will be a reduction in legacy systems support as L&I will be sunset and select functionality within MCMIS will no longer require support.

Also in FY 2008, the COMPASS Program will begin work specific to Release 3. This work will focus on the streamlining and integration of the registration and licensing application. This work was earlier reviewed by the FMCSA Executive Steering Committee (ESC) which resulted in a feasibility study. The scope of the work here will cover changes to the registration and maintenance process and leveraging of existing information to allow for enhanced awareness of both the New Entrant program and a Carrier’s requirements pertaining to the program. This will be an expansion to the Carrier portal developed in the COMPASS Pilot and Release 2 by adding the ability to apply and maintain data. This will be implemented using a combination of workflow and rule engine logic. As a result of completion of this work, select functionality within various legacy systems (e.g., MCMIS, L&I, SAFER, EMIS) will no longer be supported.

Other specific COMPASS work activities planned for FY 2008 include the following:

- ***Solution Architecture and Transition Planning*** – Continue to design the foundational architecture for the COMPASS systems solutions, and further detail the approach to move FMCSA from the current-state IT architecture to the target-state.

- ***Requirements Analysis & Management*** – Continue to develop application solution requirements based on Business Process Reengineering outputs and stakeholder prioritization.
- ***Software Design*** – Continue to develop software designs for the development of COMPASS software components planned for FY 2008 and FY 2009.
- ***Software Development*** – Continue to develop software components and interfaces supporting the COMPASS program.
- ***Software Testing*** – Continue the end-to-end testing of the software components developed for the COMPASS program.
- ***Organizational Development and Communications*** – Continue to implement effective organizational change management and communications strategies to ensure timely and effective implementation of new business processes and technology.
- ***Infrastructure Requirements and Implementation Support*** – Continue to pursue “just-in-time” design and implementation of the COMPASS technical infrastructure, including servers, storage, and communications networks.

**2) Operations and Maintenance (\$10.45M request):** This budget request accommodates the operations and maintenance of FMCSA’s systems that will be replaced (or retired) as COMPASS functionality is introduced over the next several years as well as operations and maintenance of the COMPASS components that were implemented in FY 2007.

#### **A) Motor Carrier Management Information System Initiatives**

- **Motor Carrier Management Information System (MCMIS) Operations and Maintenance:** In FY 2008, funds are requested for operations and maintenance of MCMIS, the Agency’s central repository of safety-related data on commercial drivers, vehicles and carriers as well as cargo tank manufacturers and shippers, and the hazardous materials safety permitting program. Specific operations and maintenance activities funded herein include programming resources, operational costs, data entry and data center hosting facilities to process and store records in MCMIS.

The majority of funding supports system operations, necessary minimal improvements and changes to the various segments of MCMIS to support programmatic changes and new regulations. Enhancements to various modules in MCMIS will be made only for regulatory, legislative, and policy changes. The goal in FY 2008 is to minimize changes to the legacy systems and implement all new requirements in COMPASS.

- **MCMIS Help Desk and Data Dissemination for Public, FMCSA and Enforcement staff users:** FMCSA strives to provide the public with more timely and accurate access to MCMIS data and functions. FMCSA will continue to maintain some of its existing help desk support, but at a reduced level. This particular help desk assists the public with questions regarding such concerns as applications for operating authority and USDOT registration, insurance requirements or any issues related to FMCSA's services to the public. Online services to the public and the motor carrier industry have resulted in a greater number of users seeking assistance in using our systems and complying with registration regulations. The number of online registrations has been steadily increasing. Due to the reduced funding level requested, the resources to support this effort will be reduced significantly and the public will be strongly encouraged to file registrations online. With the improvements implemented through the COMPASS program in FY 2007 and FY 2008, FMCSA expects that the number of calls for assistance will decrease.

**B) Field Systems Support:** Field systems are the systems that are used by the front line safety enforcement staff to conduct their day-to-day enforcement activities. There are over 10,000 State and Federal users of FMCSA safety information systems that fall under this category. In FY 2008, the funding will go towards ongoing operations and maintenance support. Only minimal modifications required by regulatory, policy, and procedural changes will be funded as the agency moves towards modernization of its IT systems. These changes will be made in close coordination with COMPASS. The field systems include:

- **SAFETYNET Maintenance and Operations / Technical Support for all FMCSA systems:** This category provides for technical support of FMCSA field systems for the entire user community. FMCSA field system applications include MCMIS, SAFER, SAFETYNET, and roadside and investigative systems such as ASPEN, CAPRI, CaseRite, Uniform Fine Assessment, and the rest of the FMCSA custom safety software. Technical support is provided by means of a call center, laptop repair or exchange program, software change notification system and on-line technical support. Accounts management is a major component of this initiative, which ensures that users are properly registered with FMCSA and have the proper approvals and security certifications to access our systems. Due to the reduced funding level requested, the technical support staff will be significantly reduced. With the improvements implemented through the COMPASS program starting in FY 2007, FMCSA expects that the number of calls for assistance will decrease.
- The funding will also cover only required changes to SAFETYNET to accommodate changes in statute, rules, and policy. SAFETYNET is the distributed system located in each Federal and State office to manage their local

data, and for inspections and crashes includes a communications component to upload data to MCMIS.

- **Roadside and Investigative System Software Development & Support:** This funding will allow FMCSA to operate and maintain all field systems software other than SAFETYNET, including the Roadside Technology Suite, CaseRite, Query Central, Uniform Fine Assessment, and the rest of the custom field safety software that FMCSA provides nationally. This funding is necessary to ensure our systems reflect changes in statutes, rules and policies to meet basic operational needs.
- **Carrier-Driver Citation Data System:** Using driver citation data from the States through the Commercial Driver License Information System improves the ability to identify high risk carriers. In FY 2008, this initiative will be in an operations mode, in which the data will be extracted and used in FMCSA's prioritization algorithms. This work will also help provide commercial driver data to roadside enforcement officers and will help to support policy and program decisions.

**C) Web Development and Maintenance:** In FY 2008, the web sites currently in place will continue to be migrated over to the COMPASS portal environment to optimize customer access and reduce maintenance costs. Continued expansion of government-to-citizen, government-to-business, and government-to-government web sites will likely take place during FY 2008. All major requirements and associated resources for new web site development will be redirected to the COMPASS initiative.

This budget item will address the day-to-day operations and maintenance support for the main FMCSA website, the KnowZone, Share The Road, and other FMCSA-funded websites including content posting and management, maintaining the compulsory Section 508 compliance, permitting access by those with disabilities; and ensuring that all our web sites and systems have the highest level of IT security. In addition, the funding will allow for the maintenance, expansion and improvement of the Analysis and Information Online (A&I) site.

**D) Information Technology Infrastructure:** FMCSA's IT portfolio delivers services and information to a large and geographically dispersed internal and external customer base. This service and information delivery is enabled through an enterprise technical infrastructure that consists of telecommunications, local and wide area networks, email, office automation tools, application and web servers, security controls, backup and recovery technology, disaster recovery, and other components. In FY 2008, funding is requested for the back office support of the FMCSA field staff. FMCSA will continue to operate and improve efficiencies within the infrastructure to ensure that all of FMCSA employees perform their day-to-day work via access to administrative, safety and email systems 24 hours a day, 7 days a week. In addition, FMCSA will continue to operate and

improve efficiencies within the data center hosting facility that houses the safety systems and web servers. In FY 2008, FMCSA will continue to leverage the infrastructure for use with the modernization initiative described above. This funding supports the hardware, software, and local and wide area networks, which are the primary methods of exchanging safety information among field offices, headquarters, and MCMIS. This project ensures that system interruptions are kept to a minimum through continued maintenance, upgrades, monitoring, and technical support.

**3) E-Government (\$2M):** This request focuses specifically on supporting the Department's Expanded Electronic Government Scorecard. These funds will support the continued expansion and enhancement of the key information resource management processes throughout the agency, including: IT strategic planning, IT capital planning, portfolio management, configuration management, IT workforce planning, and IT security. IT security will continue to be one of the most critical functions. Our mission-critical systems provide us and our State partners with the data necessary to take unsafe carriers off the road and save lives. If there would be any corruption to the data or interruption to the systems, increased risk on the highways will be a direct result. The IT security certification and accreditation (C&A) process is ongoing and will remain very visible within both the Department and Office of Management and Budget. In FY 2008, FMCSA will continue to support government-wide E-gov initiatives and Department-wide initiatives, including Grants.gov, E-rulemaking, Business Gateway, and E-authentication.

The benefits of the E-Government request are: 1) continued management of our IT portfolio to ensure that our investments are the most sound in meeting the mission of FMCSA, 2) ensure that our information systems are secure from outside threats and our data are accurate and reliable for use by our Federal and State enforcement staff, 3) ensuring that our systems are 508-compliant to make them accessible to anyone, and 4) to continue to support government-wide and department-wide initiatives, including e-authentication and business gateway.

**4) Data Analysis (\$5.6M request):** This request supports enhancements to FMCSA's data analysis program, which includes economic and environmental analysis for all of the agency's rulemakings, its statistical programs and safety data analyses, as well as its program effectiveness studies. FMCSA's data analysis program produces key information about a range of topics of interest to public and private decision makers in the highway safety environment. The ability of governments, businesses, and citizens to make appropriate decisions about motor carrier safety depends on the ready availability of relevant, accurate, and timely Federal data and data analyses. Moreover, for FMCSA's statistical programs to meet the needs of a wide range of users, the underlying data systems must be viewed as credible. In order to foster this credibility, FMCSA's statistical programs seek to adhere to high quality standards and to maintain integrity and efficiency in the production of statistics. FMCSA is strongly committed to improving the agency's statistical programs.

In addition to improving the statistical, economic and environmental analysis capabilities of FMCSA, the funding will be used to continue development of the Resource Allocation Model, a new management decision support tool to aid FMCSA managers in better understanding the

impact of changes in budgets and resource levels on the different safety programs—specifically compliance reviews, roadside inspections, and other FMCSA enforcement programs. Annual updates to the Compliance Review Effectiveness and Roadside Intervention Model results will be conducted or, alternatively, the focus of these models will be reviewed and possibly refined, depending upon the results of CSA2010 research. Such efforts will be undertaken to allow FMCSA to more effectively measure the outcomes of its major enforcement programs in order to continue to meet the President’s Management Agenda objectives in the area of Budget and Performance Integration.

In FY 2008, FMCSA will continue to conduct analyses using the LTCSS data to develop greater insight into why crashes occur and what potential countermeasures can be taken to prevent them. Also, close coordination with the CSA2010 Team will continue, with the goal to identify potential programs that could be designed or revised based on updated LTCCS study findings. Lastly, based on input from researchers, new LTCCS analyses may be initiated.

With respect to regulatory evaluations – or assessing anticipated economic, safety, and environmental effects of proposed regulations to industry, government, and society overall -- in FY 2008 we anticipate that 10 - 15 new regulations will need to be analyzed, including several related to the outcomes of CSA2010 research and driver medical standards.

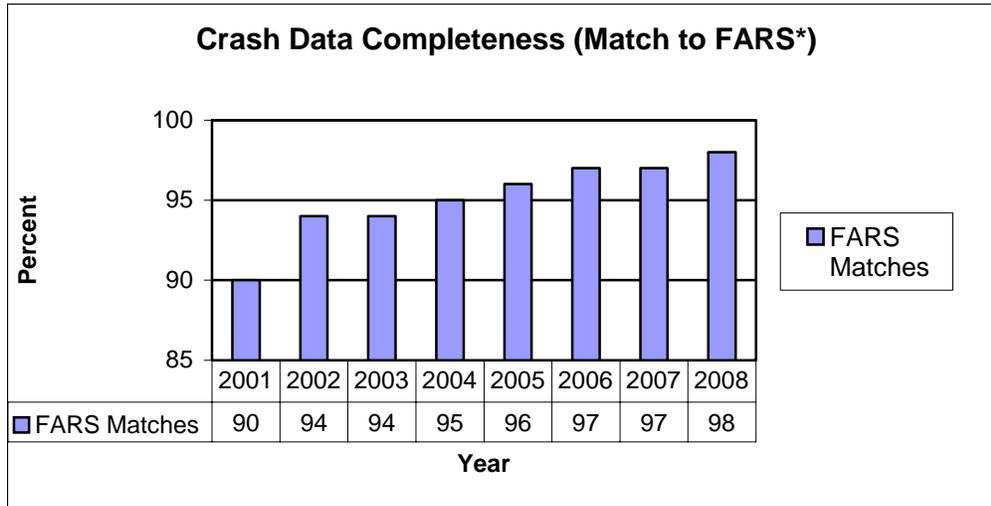
In 2008, FMCSA will continue to improve the DataQs system and continue to monitor the challenges and resolutions to ensure that each is addressed. The system will be updated and enhanced to be even more robust and user friendly. Additional reporting capabilities will be available to enable State, FMCSA, industry and the public to correct data and track data challenges. Several additional enhancements are planned for the A&I website, including (1) a continued focus on expanding the performance measures module to allow FMCSA and State partners to more consistently track their performance in meeting our shared large truck safety goals, and (2) enhancements to the crash data mapping capabilities currently available to States to help them more effectively use data and analysis to develop their commercial vehicle safety plans.

**5) Technical Assistance for Safety Data Improvement and Quality Assurance (\$4.1M request):** These funds will allow FMCSA to continue to provide technical assistance to individual States, thereby assisting them in improving the timeliness, accuracy and completeness of safety data reported via SAFETYNET to MCMIS. FMCSA-State technical assistance typically involves:

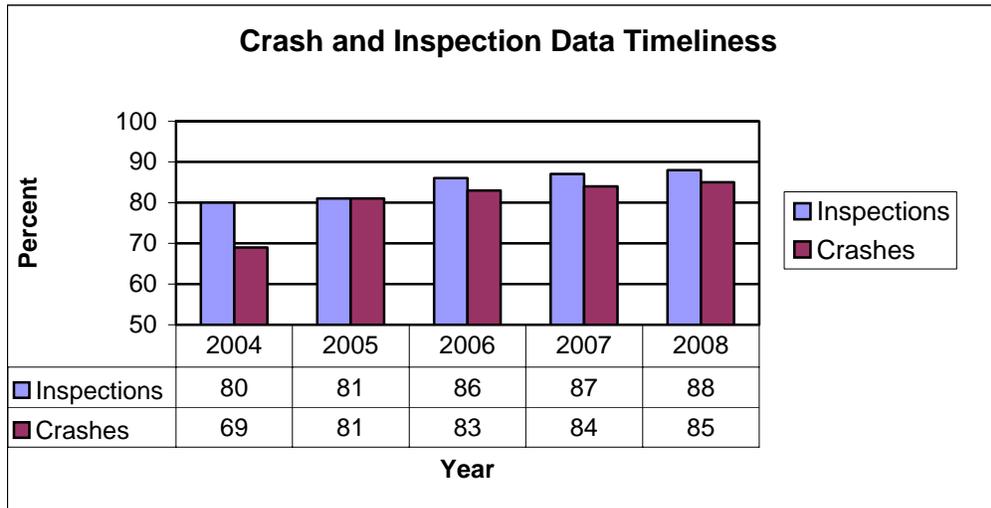
- Expert in-depth analysis of State motor carrier safety data collection and reporting policies and procedures, including offsite data reviews and onsite assessments;
- Identification of potential improvement strategies; and
- crash data collection training for law enforcement officers.

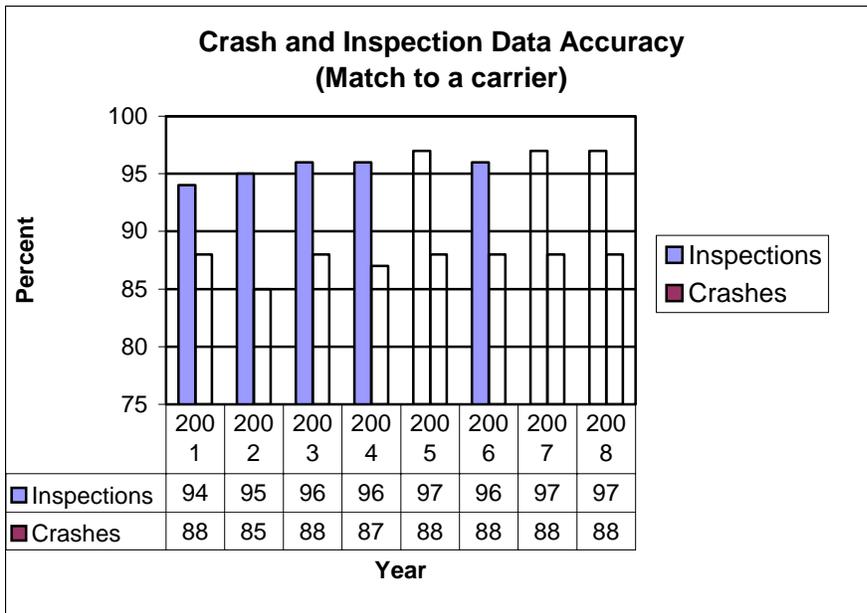
This program is focused on providing more timely, accurate and consistent information to FMCSA field and headquarters staff as well as State, motor carrier industry and general public users of FMCSA data and analysis. As shown in the three following graphs, FMCSA has been

successful working with the States to improve the completeness of State-reported crash data, the timeliness of State-reported crashes to MCMIS, and the accuracy of inspection and crash data, although we continue to consider expansion of the data quality performance measures in an effort further improve data quality.

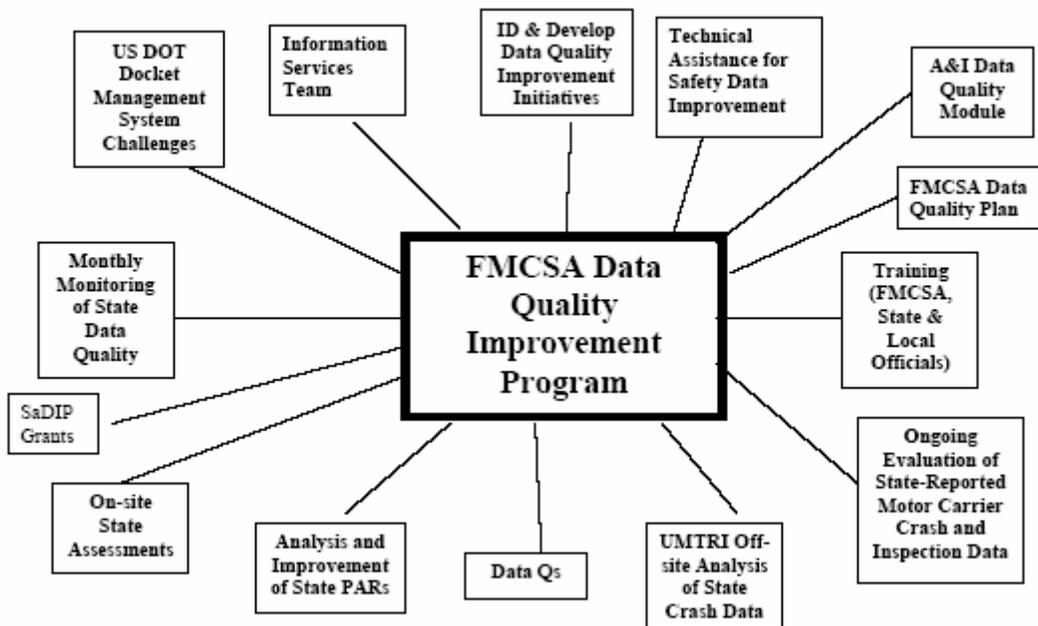


\* FARS: Fatal Analysis Reporting System





The following graphic indicates the multifaceted nature of FMCSA’s planned data quality improvement efforts in 2008.



A detailed assessment of the safety data collection and reporting issues in priority States will be reviewed and updated and improvement plans will be developed and agreed to by FMCSA and each individual State. Based upon these plans, technical assistance will be provided to facilitate long-term, more complete, timely and quality safety data collection and reporting. Priority States will be selected based on the opportunity to improve safety reporting and achieve a sizeable return on the investment of technical assistance resources. Lower priority States will still be eligible for technical assistance if they identify specific projects that affect a well-documented need.

**6) Safety Data Improvement Program (SaDIP) Grants (\$3.0M request):** SaDIP funds compliment the preceding Safety Data Improvement Technical Assistance funding category. While the assistance funding supports analyses of State motor carrier safety data collection and reporting policies and procedures, the result of these analyses will identify potential improvement strategies that can be funded via through this SaDIP grant program.

To be eligible for SaDIP grants, a State must have undergone a comprehensive audit of their commercial motor vehicle safety data system within the preceding 2 years via the Technical Assistance for Safety Data Improvement program and developed a plan that identifies and prioritizes their commercial motor vehicle safety data needs and goals. SaDIP grants will fund solutions to issues found during the audits. Funds can therefore be used to purchase equipment to support State data improvement activities. In addition, SaDIP grants can be used to train law enforcement officers in collecting crash data; as well as to temporarily hire staff to manage data quality improvement programs, revise outdated crash report forms, and code and enter crash data.

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**FMCSA**

# **APPENDICES**

Section 5

Acronym List



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# List of Acronyms

<b>AAMVA</b>	American Association of Motor Vehicles Administrators
<b>ACE/ITDS</b>	Automated Commercial Environment/International Trade Data System
<b>LNS</b>	Automated Letter Notification System
<b>CBP</b>	Bureau of Customs and Border Protection
<b>CDL</b>	Commercial Driver's License
<b>CDLIS</b>	Commercial Driver's License Information System
<b>CMV</b>	Commercial Motor Vehicle
<b>COMPASS</b>	Not an acronym, describes the FMCSA business process improvement and IT modernization program
<b>CR</b>	Compliance Review
<b>CSA 2010</b>	Comprehensive Safety Analysis 2010
<b>CVSA</b>	Commercial Vehicle Safety Alliance
<b>DA</b>	Division Administrator
<b>DIAP</b>	Drug Interdiction Assistance Program, commercial vehicle criminal interdiction
<b>DHS</b>	Department of Homeland Security
<b>DOT</b>	United States Department of Transportation
<b>ESF-1</b>	Emergency Support Function One
<b>FA</b>	Field Administrator
<b>FAST</b>	Free and Secure Trade Program
<b>FMCCR's</b>	Federal Motor Carrier Commercial Regulations
<b>FMCSA</b>	Federal Motor Carrier Safety Administration
<b>FMCSR</b>	Federal Motor Carrier Safety Regulations
<b>FOT</b>	Field Operational Test
<b>FY</b>	Fiscal year
<b>GSA</b>	General Services Administration
<b>HSPD-5</b>	Homeland Security Presidential Directive 5 (To enhance the ability of the United States to manage domestic incidents by establishing a single, comprehensive national incident management system.)
<b>HHG</b>	Household Goods
<b>HAZMAT</b>	Hazardous Materials
<b>HMPIP</b>	Hazardous Materials Package Inspection Program
<b>HMRs</b>	Hazardous Materials Regulations

# List of Acronyms

<b>IM</b>	Information Management
<b>IT</b>	Information Technology
<b>L&amp;I</b>	Licensing and Insurance Registration Database
<b>MCMIS</b>	Motor Carrier Management Information System
<b>MCSAP</b>	Motor Carrier Safety Assistance Program
<b>MCSIA</b>	Motor Carrier Safety Improvement Act of 1999 (Pub. L. 106-159)
<b>NAFTA</b>	North American Free Trade Agreement
<b>NRP</b>	National Response Plan
<b>NTSB</b>	National Transportation Safety Board
<b>OIG (USDOT)</b>	Office of the Inspector General
<b>OOS</b>	Out of Service
<b>OST</b>	Office of the Secretary of Transportation
<b>PHMSA</b>	Pipeline and Hazardous Materials Safety Administration
<b>PRISM</b>	Performance and Registration Information Systems Management
<b>PMA</b>	President's Management Agenda
<b>SA</b>	Safety Audit
<b>SAFETEA-LU</b>	Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users
<b>SI</b>	Safety Investigator
<b>SVCC</b>	Safety Violation and Consumer Complaint Hotline
<b>SCR</b>	Security Contact Review
<b>SSV</b>	Security Sensitivity Visits
<b>TEA-21</b>	Transportation Equity Act for the 21 <sup>st</sup> Century
<b>TSA</b>	Transportation Security Administration
<b>TVMT</b>	Truck Vehicle Miles Traveled
<b>VIN</b>	Vehicle Identification Number



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FY 2008

**FMCSA**

# **APPENDICES**

Section 5

Relationship of FMCSA Goals  
To  
DOT Goals



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# Relationship of FMCSA Strategic Goals to the DOT Strategic Goals



## FMCSA Goals are aligned with DOT Performance Goals

