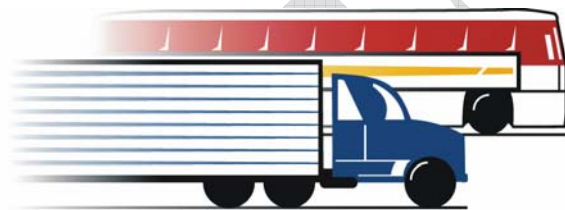


# FMCSA 2006-2011 Draft Strategic Plan

**DRAFT**



**F M C S A**  
*Federal Motor Carrier Safety Administration*



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## Terminology

Throughout this document, we use certain planning terminology that might mean different things to different people. We have defined some of these terms below so that there is a clear understanding of this plan.

**Vision** – an expression of what the organization is striving to become.

**Mission** – a statement of general purpose of why an organization exists.

**Core Values** – a set of behaviors distinctive to an organization and observed by its members.

**Goal** - a high level over-arching organizational objective expressing the nature of the organization and the direction in which it should move (example: CMV safety).

**Objective** – a statement of what to achieve or what result potentially would be accomplished. How the result would be achieved is not elaborated (example: Reduce injuries from truck and bus crashes).

**Strategy** – a conscious choice about the approach and/or resources (example: Increase compliance with Federal Motor Carrier Rules).

**Performance Element / Program** – an ongoing set of activities or a collection of organizational resources geared toward accomplishing an objective (example: Regulatory Development).

**Performance Measure / Targets** – a measurable indicator of progress towards a goal, with annual targets (example: CMV fatality rate).

**Stakeholders** - groups of individuals and organizations sharing an interest in successful CMV transportation operations. They include: State and Federal government agencies, CMV carriers and drivers, advocacy groups, and the public.



## I. INTRODUCTION

*Our Agency was formed to ensure that the commercial trucks and buses that operate on our highways do so in the safest way possible.*

We are proud to present to you—our stakeholders—the Federal Motor Carrier Safety Administration’s Draft Strategic Plan, 2006-2011. We now are entering our sixth year as a separate operating administration dedicated to the mission of improving commercial motor vehicle, driver, and carrier safety. We are very proud of our accomplishments, and, as you will see in this new plan, we have restated our commitment to safety and set higher standards for our Agency in the interest of saving lives on our Nation’s highways. We believe that our responsibility as regulators and enforcers of commercial motor vehicle safety means that we owe the American people our very best.

We began this planning process by reviewing and refreshing the “Federal Motor Carrier Safety Administration 2010 Strategy,” our first set of goals established in 2000. This process was guided by a working group consisting of representatives from across the Agency. The group was tasked to write a plan that would reflect the safety needs of a growing and evolving commercial vehicle industry environment, the Nation’s need for security and preparedness, the increasing challenges of road congestion, and new Administration and Congressional mandates. The Strategic Planning Working Group met several times over the course of four months to revalidate the Agency’s mission and vision, and to update our goals, objectives, and strategies. These key components of the new Draft Strategic Plan were reviewed and approved at the FMCSA Senior Leadership Retreat in February 2006. We reviewed FMCSA’s proposed Draft Strategic Plan during the Senior Leadership Retreat to ensure its alignment with the goals, strategies, and objectives of our parent organization—the U.S. Department of Transportation (DOT). While developing the Agency’s FY2008 Budget, this new Draft Strategic Plan became the backbone of our activities; and all resource requirements were tied to the strategies laid out in the plan. As a result of this extensive process, we feel confident that we have a Draft Strategic Plan and performance budget that directly links Agency planning, programming, and budgeting to mission achievement.

Not all of the Agency’s programs are listed in this Draft Strategic Plan. The FMCSA Strategic Plan is updated only every 3 years. To keep our plan current and relevant we chose not to highlight every specific program. We do mention select performance elements that are clear examples of how we are addressing our FMCSA strategic goals.

This draft was created by FMCSA’s Strategic Planning Working Group and these individuals are listed in the Appendix. Through all of the hours of discussion and writing entailed in refreshing this plan, one thing stands out: FMCSA’s core mission remains the same—to save lives by identifying challenges to truck and bus safety and finding solutions to those challenges. We have dedicated our work to the goals and objectives in this Draft Strategic Plan and to achieving the mission and long-term vision of FMCSA.



## II. EXECUTIVE SUMMARY

The employees of FMCSA have been working since our establishment under the U.S. Department of Transportation, to reduce the number of deaths and injuries from crashes involving Commercial Motor Vehicles (CMVs). Indeed, it is our predominant reason for existing—to improve the administration of Federal motor carrier safety programs, and to reduce the number and severity of commercial vehicle-related crashes on our Nation’s highways. You can see that we have made significant progress, yet much work remains in order to achieve our vision. Our challenges also are increasing because our Nation maintains the most extensive and complex transportation system in the world. The system and the number of people who use it continues to grow.

Historically, safety has been our prime objective. A key decision we had to reach during our recent strategic planning process was whether the Agency should remain primarily a single-issue agency, focused just on safety, or whether it should broaden its reach to include other related goals. When dealing with a diverse industry, it is easy to expand an agency’s mission beyond a focus on safety. External factors touching the industry we serve require us to also focus on the issues that challenge the Nation’s surface transportation system. One quite visible example of this is the dramatically increasing level of congestion on our Nation’s highways. As a result of this reality, you will find in this new FMCSA Draft Strategic Plan a new objective under our Productivity Goal to address congestion, still firmly tied to accomplishing our safety activities.

Since becoming an independent agency, FMCSA has been tapped by Congress to perform other activities that are outside the immediate safety arena. For example, the Agency was charged with assisting the growing number of consumers who have experienced difficulties in resolving disputes with household goods (HHG) movers and shippers. FMCSA will identify the HHG carriers who are the worst violators of the regulations and will focus enforcement resources toward them. The Agency will also make the HHG carrier information generally available to consumers so they can make better informed decisions. Similarly, the Agency has been tasked to provide support for natural and man-made disaster relief efforts, such as hurricanes Katrina and Rita, the 9/11 terrorist attack; and in the future may be asked to support mitigation of pandemic threats such as Avian Flu. Our environment is characterized by these and numerous other new security threats that have led to significant changes not only in the CMV industry, but also in Federal and State rulemaking and oversight activities. These changes have increased the safety and security needs of the Nation’s transportation system and presented FMCSA with myriad new challenges.

This new Draft Strategic Plan focuses on new challenges and expands our focus into other aspects of our original safety challenges. For example, in the past our Agency’s efforts have focused mainly on increasing the safety of truck or bus equipment and improving driver qualifications. We also are widening our focus and strategic partnership with the National Highway Traffic Safety Administration (NHTSA) to address the interrelationships between passenger and commercial vehicles on the highways. In the future, we will be working closer with our strategic partners to increase outreach programs to drivers of passenger vehicles to ensure they are aware of safe driving practices related to commercial vehicles.



This Draft Strategic Plan describes FMCSA's accomplishments since its creation in 2000, the new challenges we are facing, and most importantly, the direction in which we will be moving over the next several years to meet those new challenges. Improving safety standards and reducing CMV-related deaths and injuries remain the core of our mission, but we also identify in this new Draft Strategic Plan some additional strategic goals and we refresh our definitions of some existing ones. Today, FMCSA strategic goals include Safety, Security, Productivity, Global Connectivity, and Organizational Excellence.

Successful implementation of these goals requires well-defined performance elements and programs with appropriate resources. These programs are the heart of our daily work at FMCSA. This Draft Strategic Plan therefore serves as the backbone for our Integrated Performance Budget. Likewise, we hope our new strategy under the Safety Goal to modernize and optimize our safety effectiveness will serve as a jumping-off point for development of the next Federal Highway Surface Transportation Reauthorization. The Agency has set clear targets and established performance measures to track progress toward our long term goals to ensure that FMCSA's activities and programs achieve the desired results. We also have a program evaluation process in place to assess the effectiveness of our programs and their outcomes.

FMCSA is a young agency that has defined its mission and is looking forward to promoting an even safer CMV industry. FMCSA is confident that we are on the right course as we embrace the challenges described in this document. We firmly believe the result of our efforts described in this Draft Strategic Plan will ultimately be safer roads for *all* drivers and vehicles.



### III. RECENT ACHIEVEMENTS

We are proud of our contribution to reducing the number of deaths and serious injuries on our Nation's highways. FMCSA has been instrumental in improving the Nation's CMV safety since our creation in 2000. The Nation's investment in FMCSA is showing clear results. Between 2000 and 2005, the fatality rate for crashes involving large trucks declined by 11 percent. The number of truck vehicle miles traveled (TVMT) increased by over 10 percent during this period. We also saw the lowest large-truck fatality rate in 30 years in 2005. Over the past decade, the CMV fatality rate involving alcohol was reduced by more than 66 percent - another excellent trend.

Our activities under FHWA and FMCSA have led to an overall 23 percent decline in total CMV fatalities from the all time high in 1979. During the 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 staggering 108 percent increase in TVMT.

To achieve these results, in 2005 alone, we worked closely with our 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. As a result, FMCSA initiated more than 5,000 enforcement cases in 2005.

Other recent achievements:

- We achieved or exceeded our goal of reducing the number of serious Hazardous Materials (HAZMAT) incidents involving CMVs for 4 years in a row (2001-2004).
- We increased the number of roadside inspections and driver inspections we conduct each year by over 349,500 from the number we completed in 2001.
- We trained more than 12,000 Federal and State personnel and enforcement agents in 2005.
- We reduced the FMCSA Rulemaking backlog by 68 percent from 2002-2006.
- We enacted or revised significant regulations covering topics such as Driver Hours of Service rules, Transportation of Household Goods Consumer Protection and Hazardous Materials Safety Permits.

These achievements are a testament to the hard work and diligence of our more than 1,000 employees who are dispersed around the country working to achieve our goals. You can expect even greater results from us as we move forward.



#### **IV. CHALLENGES OF THE CMV INDUSTRY THAT IMPACT SAFETY**

FMCSA faces new challenges resulting from the dramatically changing environment of the commercial motor vehicle industry including the increasing need for government preparedness to deal with unexpected events and the challenges of road congestion. CMV carriers and operators represent a critically important segment of the transportation industry. The CMV industry is affected by events such as natural disasters and security threats. Our safety mission is still important during crisis events, and we must consider a balance between dealing with unexpected crises while still saving lives through our normal core CMV-related activities.

Safety is without a doubt the highest priority of FMCSA. However, within the CMV industry, several factors have an adverse effect on the overall safety of large trucks on the highways. These issues may affect our primary goal of increased safety directly and indirectly. FMCSA initiatives that deal with such major issues as driver safety, driver qualification, credentialing and licensing affect the CMV industry structure, operational efficiency, and profitability. As a practical matter, both FMCSA and the CMV industry must work together to produce the best outcome for the American public.

We also must remember to put into perspective the challenges facing the CMV industry, as they ultimately have an impact on the safety of carriers and drivers. Some of the salient challenges are:

- Growing demand for freight and transportation service in this country has led to large growth in the number of small and independent carriers. This trend has resulted in a strain on the government's capability to provide thorough oversight of all of their safety practices. The added competition in the market has caused carriers to underbid each other, forcing narrower profit margins and perhaps affecting safety investments.
- Profitability is primarily dependent on ever-increasing business volume and more efficient operations. This has placed more trucks on the road with narrowing turnaround times.
- Driver turnover rates, an astoundingly high 136 percent, lead to heightened industry competition for qualified, experienced drivers. This shortage could lead to less experienced and less qualified drivers being put behind the wheel of many large CMVs.
- Increased demand on carriers to generate revenue has led some companies to lower operating costs by any means possible. Safety procedures are often the first activities to be reduced, increasing safety rule violations and posing security risks.



Growing congestion on the Nation's roadways has compounded these problems requiring additional time for commercial trips and deliveries. Consumers demand lower prices for their goods and a just-in-time logistics system requires that goods be continuously delivered to meet the needs of retail customers. Every congestion point in the transportation system adds cost to these products and narrows the profitability of each load carried.

The CMV industry is just one link in the transportation chain of a global economy. More products are being imported into our country and container deliveries at seaports are experiencing bottle-necks and increasing delays. Perhaps unfairly, the CMV carriers must often absorb the cost of delays. The trucking industry will be required to deal with this significant new challenge to meet deadlines and bring products to the market on time and profitably.

All of these issues have a direct impact on the safety needs that we must address. In addition to the ever-changing CMV industry environment, the Federal regulatory environment has been evolving over the last few years. Events such as 9/11, the threat of terrorism to our Nation and our transportation system, and the possibility of pandemic outbreaks such as Avian Flu have led to an increased focus on the Nation's safety and security needs and to new Administration and Congressional priorities. Mandates to increase enforcement at U.S. borders—especially the southern border—have in turn impacted the activities of the CMV industry and our Agency. As a result, we find ourselves reviewing the safety priorities of FMCSA and recognizing the important linkages to other Federal agencies and goals, such as security. We do this as we continue to address our most important mission -- to reduce fatalities and injuries from crashes.



## V. DEFINING OUR VITAL AREAS OF FOCUS

Transforming our Agency from a young organization into the leading CMV safety experts will require that we meet head on the challenges described in this plan. We believe that the strategies we have committed to in this Draft Strategic Plan will adequately address those challenges. Several vital areas of focus quickly came to the forefront of the discussions and planning of our goals. Safety is, of course, our most vital focus and most important goal. However, as part of the Safety mission, we are particularly focused on modernization, data quality, CMV drivers and strategic partnerships.

### **Our Main Area of Focus: Safety**

Safety—in particular, carrier, driver and equipment safety—remains the primary goal for FMCSA. The Agency intends to expand safety activities such as compliance reviews, medical qualification oversight, enforcement—particularly border enforcement—as well as outreach programs. Other areas of focus include developing research-based rulemakings, quality assurance, and infrastructure and technology development.

#### *Modernization*

FMCSA understands the need to promulgate effective, timely, and science-based regulations that increase carriers' compliance with Federal Motor Carrier Safety Regulations (FMCSRs) and advance the Agency's strategic and policy goals. The Agency intends to continue its efforts to increase the use of modern technologies and business processes for the performance of all its programs. Safety programs will still remain the primary focus.

FMCSA is implementing major safety improvement initiatives and programs in the areas of compliance and enforcement, information technology, data quality and information management, and driver identification and qualification. Other programs, not directly related to safety, include e-government and e-grant.

- One program is the Motor Carrier Safety Assistance Program (MCSAP). It provides support to State enforcement and compliance operations. FMCSA supports States' efforts, through MCSAP, to improve commercial vehicle safety enforcement, technology deployment, and safety information capabilities to reduce the incidence and severity of commercial motor vehicle crashes. Basic MCSAP funds and safety performance incentive funds support implementation of State Commercial Vehicle Safety Plans (CVSPs), including uniform CMV and driver roadside inspections and carrier compliance reviews, as well as traffic enforcement, public outreach, training, and data collection capabilities. In addition, MCSAP grants support States' implementation of the new entrant program, providing for safety audits on carriers seeking new interstate operating authority.



- Another major safety improvement program is Comprehensive Safety Analysis 2010 (CSA 2010). It is a major initiative aimed at realigning, strengthening, and consolidating FMCSA's current safety compliance and enforcement operations. It also evaluates their effectiveness and identifies better methods of reducing CMV crashes. The intent of CSA 2010 is to establish an operational model that could be used by FMCSA to confirm a carrier's safe operation. CSA 2010 will ultimately provide FMCSA a new, modern, operational model that will greatly enhance the Agency's efficiency at gathering and properly evaluating a greater proportion of the regulated population, both carriers and drivers.
- A third safety improvement program is Performance and Registration Information Systems Management (PRISM). It is an essential component of the Agency's enforcement program. PRISM provides critical information on the size and operating characteristics of carriers and offers a direct safety enforcement link by tying carrier safety performance to vehicle identification numbers (VIN). PRISM requires motor carriers to identify the USDOT number of the motor carrier responsible for the safety of each vehicle registered, at the State level. FMCSA provides funding to States, through the PRISM grant program, to establish information system connections between State vehicle registration agencies and FMCSA, and to perform safety status checks. PRISM also helps with annual updates of registrant and motor carrier census data, which provide safety status checks of carriers through the State International Registration Plan (IRP) license plates.
- Another modernization program is COMPASS—a major business and information technology modernization program aimed at transforming FMCSA's business processes while expanding the Agency's IT delivery capabilities. COMPASS also will reduce IT operations and maintenance costs, and increase productivity and efficiency. Information Technology (IT) and Information Management (IM) form the backbone for all FMCSA's major safety activities, and thus the Agency is undergoing major business and IT transformation and modernization that will enable and promote its compliance and enforcement activities.

FMCSA modernization efforts will also expand to consumer-friendly electronic processes such as e-government, e-grant and other electronic transactions and data processing initiatives.

- E-government includes a streamlined registration process that previously took up to four weeks to complete. This feature also allows interstate motor carriers applying for a USDOT number on-line to receive their individual number instantly.
- E-grant is an initiative that will permit electronic submittal and completion of grant applications and agreements.
- Credit card payments and electronic fund transfers from bank accounts are also now available to FMCSA customers who wish to pay for purchases of DOT goods and services on-line.



## *Data Quality*

FMCSA's goal in the data quality area is to efficiently and effectively collect, compile, analyze, maintain, and disseminate crucial safety data so that FMCSA and its partners can develop the most effective regulations, programs, policies, countermeasures, and operations to positively impact truck and bus safety. FMCSA and its safety partners will not be able to focus on the highest risk motor carriers, drivers, and vehicles without the highest quality data or without adequate information technology tools. In addition, FMCSA must be able to accurately measure the effectiveness of its programs.

We continue to enhance and develop data analysis tools, such as Analysis and Information (A&I) Online, a new online passenger carrier safety module. Another tool is DataQ, an online data quality tool that facilitates challenges to the accuracy and completeness of any safety data disseminated to the public and eases corrections to that data.

Data quality and information management improvement efforts also include the Information Management Data Quality Improvement Program. It presents a comprehensive strategy for enhancing the quality, timeliness, consistency and availability of motor carrier safety data. The program comprises technical assistance and financial assistance in the form of grants to the States.

## *Driver Focus*

Studies have shown that driver factors are the main cause of commercial vehicle crashes. Our activities are increasingly focused on driver physical standards, credentials, training, documenting and record data sharing between states.

- Strong CDL oversight and grant programs will support new and expanded safety and security initiatives at the State level. This will improve the accuracy and completeness of driver conviction and disqualification data, and allow the timely transmission of this data within a State and among the States. FMCSA will also give high priority to grant proposals that address CDL program deficiencies and areas of noncompliance identified during a review of state CDL operations. Attention will also be given to the detection and prevention of CDL fraud through better internal controls and oversight, including data monitoring and covert operations.
- FMCSA's Medical Qualifications Oversight program is working to develop and launch strategies for creating a much-improved comprehensive medical program, including successful implementation of key initiatives and an evaluation of the current medical certification process. In addition, a medical review board will provide the Agency with much needed expert medical advice on driver qualification standards and guidelines, medical examiner education, and medical research. This will greatly enhance the Agency's ability to develop a comprehensive plan to systematically review and update its current medical requirements for commercial drivers. FMCSA is also establishing the position of Chief Medical Examiner for the Agency, as mandated by the SAFETEA-LU legislation.



## *Partnerships*

FMCSA will not be able to achieve its mission and strategic goals without comprehensive collaborative programs with its strategic partners and other CMV stakeholders. Currently, FMCSA is involved in major partnerships to improve road safety through education, outreach, communication, and program initiatives. Examples of partnership programs include:

- Teaming up with NHTSA to promote a comprehensive and national effort to educate commercial motor vehicle and passenger vehicle drivers on how to safely share the road with each other. The program promotes enhanced traffic enforcement efforts aimed at reducing the incidences of the most common unsafe driving behaviors and establishes a public-private partnership to provide resources and expertise for the development and dissemination of information related to sharing the road.
- Partnering with Federal Highway Administration (FHWA), NHTSA, States, and other CMV stakeholders to inform and heighten public awareness and appreciation for the safe operation and best highway safety practices for drivers, commercial motor vehicles, and the passenger vehicles with whom they interact on the highways.
- Establishing cooperative agreements with individual States to assist them in improving the timeliness, accuracy and completeness of safety data reported via Agency systems.
- Establishing a partnership with the National Lumber & Building Materials Dealers Association (NLBMDA) to improve distribution of FMCSA's outreach and training materials and increase truck safety awareness and compliance among NLBMDA members with respect to highway safety, cargo securement, and use of safety belts.
- Establishing partnerships with major organizations to increase safety belt use among truck drivers. These organizations include NHTSA, American Association of Motor Vehicle Administrators, American Trucking Associations, Commercial Vehicle Safety Alliance, National Association of Publicly Funded Truck Driving Schools, and National Safety Council.
- Establishing the first partnership between Federal, State and local officials, and the moving industry itself to address the problem of rogue household goods movers. Partners include State attorneys general, local law enforcement agencies, the American Moving and Storage Association (AMSA), and the Council of Better Business Bureaus.
- Joining the DOT Speed Management Team, a partnership of NHTSA, FHWA, and FMCSA. The goal of the speed management initiative is to reduce speeding-related fatalities, injuries and crashes. The purpose of this strategic initiative is to galvanize the Federal effort and identify specific actions to be taken by the DOT Speed Management Team to effectively address managing speed and reducing speeding-related crash risk.
- Joining the National Highway Research and Technology Partnership, a group of 16 Federal agencies that supports and funds highway research and technology.



## Areas of Specific Focus

With this Draft Strategic Plan, we are committed to the following areas:

- Implementing evolutionary enhancements such as the Comprehensive Safety Analysis (CSA 2010) in order to increase operational efficiencies, and COMPASS to apply appropriate technological applications to these programs in all areas of the Agency's activities.
- Developing our most important asset—our workforce—into a renown group of experts in matters of CMV safety and security.
- Improving our communication activities and developing our outreach programs for the purpose of enlightening our Nation about CMV safety issues.
- Placing less emphasis on mandating and more emphasis on proactively working with our partners, including the continued improvement of the rulemaking process.
- Increasing collaboration with other Federal, State, local and tribal agencies in order to develop long-term solutions to CMV fatalities, HHG abuse, and congestion including technology-based solutions.
- Partnering with other Federal agencies and working with the CMV industry to ensure the security of the chemical and biological agents they transport.
- Contributing to reducing the enormous problem of congestion on our highways through application of safety programs.
- Utilizing the relationships, expertise, and training we have in relation to the CMV industry in order to support the lead Federal agencies as they respond to disasters—natural and man-made.



## Areas of Internal Focus

We recognize that we also have to pay close attention to the following areas to improve the performance of our own organization so that we can achieve our goals in the most efficient manner possible. We will:

- Increase the effectiveness of our administrative support infrastructure to promote better internal customer support and timeliness, and provide our programs with the resources they need to deliver on our safety mandate.
- Reduce the practice of creating multiple priorities with “high urgency,” and we will increase coordination of policies, regulations, and correspondence across the Agency.
- Provide clear definitions of performance measures and quantifiable measurement steps to demonstrate our successes, and we will use the resulting data to identify improvements that still are needed.
- Increase the effectiveness of process reviews and policy development in all program areas.
- Continue to tie our funding requests to supported performance areas, track our progress, and report to Congress and executive agencies regularly.
- Increase resource allocation efficiency to prevent any impediments to completing planned activities.
- Focus on cross-Agency communication in order to dispel misinformation and reduce overlap and repetition among activities.
- Conduct a comprehensive organizational assessment to determine the best mix of skills, requirements, staffing, and structure to best achieve our mission.



## Areas of Environmental Focus

Although environmental stewardship is not a primary goal under FMCSA's mission, it still is an important secondary concern for our Safety-related programs and processes. This Draft Strategic Plan commits us to the following environmental activities:

- *National Environmental Policy Act (NEPA) activities:*

FMCSA has implemented an agency-wide approach to address the requirements of NEPA for both regulatory actions and field activities. FMCSA is involved in implementing NEPA procedures for all relevant FMCSA activities, including FMCSA grant programs. NEPA requires that FMCSA take into account the impact of potential rules and grant activities on the environment.

- *Multi-modal and Multi-Agency Activities:*

FMCSA will continue to participate in the Federal NEPA Contacts which is comprised of NEPA representatives from all of the Federal Agencies throughout the government. This group's activities are focused on requirements for NEPA reporting.

FMCSA signed the charter of the multi-modal DOT Center for Climate Change and Environmental Forecasting (CCCEF). The CCCEF was established in 1998 to coordinate the Department's efforts to understand and address transportation and climate change issues. It is a virtual Center consisting of nine DOT operating administrations and the Office of the Secretary.

Other coordinating activities include working with the Environmental Protection Agency (EPA) on the truck-idling issue and in-cab diesel pollution exposure, and providing industry expertise to the Maritime Administration (MARAD) concerning truck haulers operating old equipment at port terminals.

- *Determining the environmental impacts of CMV crashes.*

Most of FMCSA's rulemakings are promulgated to decrease CMV crashes and incidents. It would be useful to know what the environmental impacts of crashes are in a more quantitative fashion. This will help identify the positive impacts our regulations may have on the environment, such as reducing emissions from idling traffic at a CMV crash or minimizing the impact of hazardous material spills.



## VI. OUR VISION, MISSION, AND CORE VALUES

### Our Vision

Save lives by providing America the safest commercial motor vehicle highway environment in the world.

### Our Mission

Promote safe commercial motor vehicle operation through education, regulation, enforcement, and innovative research and technology to reduce truck and bus fatalities and crashes. We will achieve a safer and more secure transportation environment through shared responsibilities with our partners and stakeholders.

### Our Core Values

**Safety** is our top priority and the reason we were established. We will be at the forefront of safe practice innovation.

**Integrity** is a vital part of our character. Everything we do is with the greatest good in mind, to uphold the trust placed in us by the American people.

**Commitment** to quality is our underlying principle as we plan, educate, and enforce safety and security standards with our employees and our partners.

**People** are our greatest strength. We promote an atmosphere of diversity, respect, and mutual support to fulfill our mission in the best way possible.

**Partnerships** are the most important tool we have to achieve success. No Agency can achieve its goals alone. Agency employees, intermodal agencies, States, industry representatives, drivers, and all our stakeholders must work together to save lives.

**Accountability** ensures the trust of the American people is well placed. We never forget our purpose and our dedication to our mission. We act as responsible stewards of the people's expectations and the resources they have given us to fulfill this mandate.



## VII. OUR GOALS, OBJECTIVES, AND STRATEGIES

### Safety – Our #1 Goal

**CMV Safety Objective:** Save lives and reduce injuries by preventing and minimizing the severity of truck and bus crashes.

**HAZMAT Safety Objective** Save lives and reduce injuries by preventing and minimizing the severity of hazardous materials incidents involving commercial motor vehicles.

**Outcomes:** Significant reduction of CMV fatalities and severe crashes and injuries as well as serious HAZMAT incidents.

**Strategies:**

- Increase compliance with Federal Motor Carrier Safety Regulations (FMCSRs) and Federal Hazardous Materials Regulations (FHMRs).
- Promote safe operations and best practices through partnerships and education.
- Improve driver qualifications, credentialing and licensing systems.
- Improve safety information, research and analysis to advance innovation and technical solutions.
- Modernize and optimize operational effectiveness to improve safety.

#### Performance Measures

**Measures:** CMV fatality rate of no more than 1.65 per 100 million truck vehicle miles traveled (TVMT) by 2008.

**Targets:** 2006: 1.85      2007: 1.75      2008: 1.65

**Measure:** Number of serious HAZMAT incidents involving CMVs

**Targets:** 2006: 508      2007: 498      2008: 485

The FMCSA Safety Goal supports the DOT Safety Goal. Saving lives remains FMCSA’s main strategic objective under the Safety Goal. However, the Agency also has increased its focus on reducing injuries, preventing and minimizing the severity of crashes, and on reducing serious HAZMAT incidents by ensuring the highest safety standards.

About 12 percent of all motor vehicle fatalities in our Nation involve crashes with large trucks. FMCSA is committed to reducing the number of crashes and to saving more lives through its programs and partnerships with other government agencies, industry, and the public. The CMV Safety performance target is commensurate with, and contributes to, the DOT Highway Safety performance target fatality rate of no more than 1.0 by 2008. This fatality rate target would represent over 8,500 additional lives saved between 2002 and 2008, if achieved. The HAZMAT Safety performance target



also contributes to the DOT HAZMAT performance target of number of serious HAZMAT transportation incidents.

FMCSA's strategies to achieve the Safety objectives include:

- **Increase Compliance with Federal Motor Carrier Safety Regulations (FMCSRs) and Federal Hazardous Materials Regulations (FHMRS)** to discourage rule-breaking, to reduce violations and to prevent crashes and HAZMAT incidents. FMCSA has enforcement and compliance programs that help ensure compliance with the FMCSRs and FHMRS, and make certain that unsafe carriers are removed from the Nation's highways. Aggressive enforcement is one of FMCSA's primary strategies for meeting the Safety Goal and serves as the Agency's core competency. FMCSA targets high risk carriers to accomplish this through field activities such as compliance reviews, safety audits, and roadside inspections.
- **Promote Safe Operations and Best Practices through Partnerships and Education** to increase awareness of road safety rules and best practices for CMV carriers and HAZMAT operators to achieve greater crash prevention, fewer severe injuries and fewer HAZMAT incidents. FMCSA conducts outreach and educational programs for that purpose, by partnering with States and with sister agencies to inform and heighten public awareness and appreciation for safe operation and best highway safety practices for commercial motor vehicles and passenger vehicles. We provide education to FMCSA employees and we also train State and Local partners in such vital programs as the North American Level I Inspection, Compliance Review, Roadside Inspection of Hazardous Materials, and the Criminal Interdiction of Commercial Motor Vehicle Operations. FMCSA also conducts five to nine week training academies targeting FMCSA Safety Investigators, Auditors, and Inspectors.
- **Improve Driver Qualifications, Credentialing and Licensing Systems** to reduce the number of unqualified drivers and crashes on the Nation's highways. We work with all of the States to make sure that license tracking systems are standardized and are able to share information with other States and the Federal government. Numerous cases of fraudulent activities involving 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 meant to obtain the CDL without being tested. FMCSA has implemented ongoing, systematic and enhanced State CDL compliance reviews that focus on the State's CDL program laws, procedures, and operational practices. In accordance with the Motor Carrier Safety Improvement Act of 1999 FMCSA will modify the current CDL regulations to require that information concerning drivers' medical certification be recorded and posted to each CDL driving record to allow roadside inspectors to confirm proof of medical fitness.
- **Improve Safety Information, Research, and Analysis to Advance Innovation and Technical Solutions.** Each year information technology (IT) evolves and the demand for reliable IT solutions increases, accompanied by more sophisticated IT security issues. We will conduct field inspections more effectively with tools such as handheld devices and instantly available electronic driver, carrier, and equipment records. This dynamic operating environment challenges the information



management program to continually provide accurate, complete, and timely data, collected and stored in a secure environment. Accurate and timely data are necessary for us to develop short term programmatic decisions or long-term planning and policy direction. The best quality data and adequate IT tools allows FMCSA and its safety partners to be able to focus on the highest risk motor carriers, drivers, and vehicles. We also are continuously looking for new technological solutions that include such applications as crash avoidance, rollover prevention, and lane departure warning systems. These will help improve CMV operations, limit technical and mechanical road failures, and reduce the probability of crash occurrence.

- **Modernize and Optimize Operational Effectiveness to Improve Safety** by continuously evolving as an operational safety agency through innovation, and by encouraging “maverick thinking” and brain-storming from our employees. We must strive to stay ahead of the safety curve by implementing and updating regulations that meet today’s needs and procedures that gain the greatest safety impact for the resources expended. We also recognize that we work with an industry that is rapidly growing and progressing technologically. We must keep pace with these demands and balance the needs against our resources through initiatives such as CSA 2010 that define what we will do in the future.

**A logic model for the Safety Goal can be found on page 30 of the Appendix.**



## Security Goal

**CMV Security Objective:** Reduce vulnerability of CMV transportation to threats, violence, and natural disasters.

**Outcomes:**

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

**Strategies:**

- Promote CMV Security, with emphasis on HAZMAT, through operations, research, partnerships, and education.
- Ensure emergency preparedness.

**Performance Measures:**

**Measure:** TBD

**Targets:** TBD

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, we have broadened the definition of our Security Goal to more clearly define what we do in this area for HAZMAT security, as well as to describe how we are called upon to support other Federal agencies in emergency preparedness. We also recognize that safety and security are inextricably linked as both inherently involve risks to life and to property. We are not the lead Federal agency for homeland security activities but we regularly are called upon to take the lead in support of the overall Federal government response to protect the American people. Our unique access to the CMV industry through our safety programs allows us to leverage this relationship and provide this assistance.

FMCSA's strategies to achieve the Security Objective include:

**Promote CMV Security With Emphasis on HAZMAT, Through Operations, Research, Partnerships, and Education** in order to address CMV Security-specific issues that are not covered under our Safety Objectives. FMCSA carries out a coordinated HAZMAT Security strategy framed around security operations and field inspections. We also utilize outreach, research and technology to identify cutting-edge approaches to CMV security. 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 checks driver identification, conducts extensive on-site security assessments encourages carrier security sensitivity. We also communicate information about HAZMAT security threats and alerts and security vulnerabilities and best practices.

FMCSA academy and training programs prepare Federal and State safety specialists to conduct HAZMAT security-related inspections at motor carriers' places of business. In addition to HAZMAT security training, FMCSA also conducts commercial vehicle criminal interdiction training that prepares commercial vehicle safety inspectors to identify criminal activities while conducting their safety activities. We also train general duty law enforcement officials to deal with truck safety and security issues, and industry officials to deal with security and prevention issues.



- **Ensure Emergency Preparedness** to maintain readiness for emergency response activities during and after the occurrence of major natural and man-made disasters. FMCSA will maintain a comprehensive and effective emergency preparedness program that utilizes our unique relationship with the CMV industry and State enforcement partners to assist the lead Federal agencies for response during national emergencies. We support the DOT defined role in providing transportation support to Federal efforts, as part of the Transportation Emergency Support Function (ESF-1) in the National Response Plan.

**A logic model for the Security Goal can be found on page 31 of the Appendix.**

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## Productivity Goal

**Congestion Objective:** Decrease traffic congestion in pursuit of safety.  
**HHG Objective:** Improve responsiveness to household goods (HHG) complaints.

**Outcomes:**

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

**Strategies:**

- Advance electronic safety and credentials monitoring while maintaining the flow of commerce.
- Engage consumers, shippers, and carriers through partnerships, education, and enforcement and compliance operations.

**Performance Measures:**

**Measures:** Average time (in hours) to respond to HHG complaints  
**Targets:** TBD

Reducing congestion and other impediments to the Nation's transportation system will improve the flow and movement of goods, increase CMV carrier operational efficiencies, and improve overall transportation safety. DOT recognizes the growing problems congestion is creating for the Nation's transportation system and that this issue threatens to undermine the progress the Department has made regarding safety. 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. The Agency also recognizes the need to respond effectively to HHG complaints in order to help consumers resolve household goods delivery issues and to maintain the overall productivity of our Nation.

FMCSA's strategies to achieve the Productivity objectives include:

- **Advance Electronic Safety and Credentials Monitoring and Maintain 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 during roadside inspections, reducing the congestion that builds around these particular areas.



- **Engage Consumers, Shippers, and Carriers Through Partnerships, Education, and Enforcement and Compliance Operations** to ensure HHG are delivered as agreed upon by carriers and consumers, and to reduce associated complaints. A growing number of consumers are experiencing difficulties in resolving disputes with movers and shippers. FMCSA receives nearly 3,000 legitimate HHG complaints annually regarding delivery agreements and contracts. FMCSA will develop programs to assist consumers and carriers to resolve conflicts to the satisfaction of both parties.

We will explore the scope of household goods regulations and analyze the state of the industry to ensure that rules are enforced. There are over 4,000 registered motor carriers actively transporting HHG across State lines and, as investigations have uncovered, many operate without proper authority. Our main objective here is to identify the HHG carriers who are the worst violators of the regulations and focus enforcement resources on them. Simultaneously, we will make the information available to consumers to help them make more informed decisions. We will also develop ranking mechanisms based on complaints to help consumers select carriers. HHG carriers constitute a small percentage of the total number of commercial motor carriers. They nonetheless generate the majority of serious complaints registered by consumers. Developing and publishing periodic consumer rankings of HHG carriers will help consumers make informed choices when selecting carriers.

**A logic model for the Productivity Goal can be found on page 32 of the Appendix.**



## Global Connectivity Goal

**Objective:** Achieve a more efficient North/Central American transportation system through innovative CMV solutions.

**Outcome:** Reduced border transit processing time and improved flow of goods transported across borders.

**Strategy:** Advance electronic safety and credentials monitoring to facilitate international traffic flow.

**Performance Measures:**

**Measures:** TBD

**Targets:** TBD

Transportation among Nations is a lifeline to economic growth and benefits open trade and greater cultural exchange. FMCSA's mission does not include a responsibility to increase economic growth, yet our safety responsibilities require us to stay vigilant as global interconnectivity increases CMV travel across our borders. Economic productivity is tightly linked to transportation efficiency and major business processes such as supply chain and logistics. These processes bring materials to production facilities for manufacturing, assembling, warehousing, and shipping to customers around the globe, and they depend heavily on an efficient transportation system. Competitive international trade also depends on efficient cross-border CMV freight transportation. Achieving a more efficient North and Central American transportation system through innovative CMV solutions will greatly facilitate the flow of goods and cross-border movement of CMV carriers and increase commerce in the North and Central American region.

FMCSA's strategies to achieve the Global Connectivity Objective include:

- **Advance Electronic Safety and Credentials Monitoring to Facilitate International Traffic Flow**, ease international border crossing and customs activities, increase border safety, and track carriers, drivers, and equipment that cross into our country. We will **establish a system that exchanges credentials** electronically, to help enforce safety and security and fight international crime. FMCSA is partnering with U.S. Customs and Border Protection to improve truck and bus safety at the Nation's land borders. This system enables Federal border inspectors to identify and contain unsafe commercial motor vehicles and drivers before they reach our national highways. We will develop protocols for reciprocity to facilitate North and Central American border crossing and customs compliance activities, and increase border safety and security.

**A logic model for the Global Connectivity Goal can be found on page 33 of the Appendix.**



## Organizational Excellence Goal

**Objective:** Provide an adaptable, world-class, mission-oriented organizational infrastructure in support of all FMCSA objectives and strategies.

**Outcome:** Improved workforce and overall organizational performance.

**Strategies:**

- Promote strategic management of human capital.
- Advance electronic-government solutions.
- Implement competitive sourcing.
- Enhance financial and procurement performance.
- Integrate budget and performance.
- Promote organizational efficiency and open communication.

**Performance Measures:**

**Measures:** TBD

**Targets:** TBD

Our objective is to provide an adaptable, world-class, mission-oriented organizational infrastructure in support of FMCSA's mission, objectives, and strategies. FMCSA will be undertaking activities for continuous organizational improvement; not because we are required to, or simply to achieve a passing score, but because it is the right thing to do under responsible management practices. 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:

- **Promote Strategic Management of Human Capital** to enable better planning and to implement policies to identify, recruit, develop, and retain a diverse and talented workforce in support of our goals. We will strive to expand efforts to provide essential staffing resources required to support our mission, and to foster the development and retention of a high quality workforce. We will conduct efficiency reviews of our human capital programs and processes to identify areas for improvement; we will define the best use of our resources; and we will contribute to the government's best practices for human capital management.
- **Advance Electronic-Government Solutions** by providing on-line information about proposed and final regulations, as well as adjudicatory actions. We 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 us focused on the customer, increase public accessibility to Federal government information, and reduce our costs.



- **Implement Competitive Sourcing** to enable effective performance of our activities and help achieve cost efficiencies. FMCSA fosters a performance-based approach to further enhance our organizational development and process re-engineering to achieve greater cost efficiencies. We will always look for the most efficient organizational implementation of all Agency functions, keeping in mind the necessity for inherently governmental operations.
- **Enhance Financial and Procurement Performance** to achieve greater cost savings and organizational efficiencies. We 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.
- **Integrate Budget and Performance** through managerial cost accounting and other programs to provide opportunities for business process improvements by linking program outputs to objectives. Managerial cost accounting helps us integrate our performance and budget, helps to justify our budget requests, and provides accountability. This Draft Strategic Plan and our integrated performance budget are clear examples of the thoughtful results-based process FMCSA implements as part of a dynamic Planning, Programming, Budgeting and Execution system. Specifically, this process helps us determine the contributions of various programs, activities, and regulations toward meeting our objectives and ensuring greater FMCSA performance.
- **Promote Organizational Efficiency and Open Communication** to enhance overall FMCSA performance, and develop communication and outreach programs to help achieve our mission. Employees are our greatest asset; so management must all be well-informed of Agency operations and expectations. We will continually be searching for the most efficient program support and industry practices.

**A logic model for the Organizational Excellence Goal can be found on page 34 of the Appendix.**



## VIII. EVALUATING OUR PERFORMANCE

We conduct three different types of internal evaluation activities to improve our management and performance: program evaluations; quality assurance reviews; and regulatory effectiveness reviews. The purpose of these evaluation activities is to support management and resource allocation decisions, identify program and process improvements, and support performance metrics. Below is a more detailed explanation of exactly what is achieved by each type of evaluation.

**Program evaluations** are agency self-assessments done to determine the effectiveness of our own programs in terms of whether or not they are meeting their intended goals. Program evaluations also promote the following outcomes:

- Report on best practices and areas observed for further study or corrective action.
- Inform the agency of programmatic strengths, weaknesses, opportunities to improve or excel.
- Prepare the agency for higher-level inspections such as the Program Assessment Rating Tool (PART) and Government Accountability Office (GAO) and Office of Inspector General (OIG) audits.

**Quality assurance reviews** provide management officials with a level of assurance that major agency processes and procedures are consistently applied and achieving the intended goals and objectives of the Agency. These reviews ask the following questions:

- Are programs adequate and implemented as intended?
- Are programs uniformly applied nationwide?
- Are programs applied fairly?
- Are programs achieving the desired results?
- Are resources used responsibly and properly?
- Are operational controls in place to ensure fiscal accountability and data verification?

**Regulatory effectiveness reviews** improve FMCSA's ability to write more effective rules and reduce any unnecessary burden on the public. These evaluations perform the following functions:

- Provide a systematic, post-regulatory assessment.
- Assess regulatory impacts on safety and economics.
- Identify unanticipated industry burdens and impacts.
- Determine if regulations are implemented as intended.
- Determine if rules can be simplified.
- Ascertain whether technology or other factors have rendered a rule obsolete.

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## IX. APPENDIX

### **Acknowledgments**

Staff and Management who put a great deal of thought and effort into this Draft Strategic Plan deserve many thanks. Although they cannot all be mentioned here, some of the key contributors are recognized below.

#### Members of the Strategic Planning Working Group, in alphabetic order

Richard Clemente, Glenda Davis, Kent Fleming, Valerie Height, Michael Johnsen, Kennie May, Jeff Miller, Suzanne O'Malley, Steve Piwowarski, Scott Poyer, Bryan Price, Alex Reyes, Pamela Rice, Jeffrey Secrist, Gary Shoemaker, Max Strathman, Gary Woodford, Mary Pat Woodman, and Carole Zok

#### Senior Leadership Retreat Participants

Over 70 senior leaders from across the entire Agency participated in two days of discussions at the 2006 annual Planning Retreat. The conversations and constructive criticism of the proposed Strategic Plan provided the foundation of this final document.

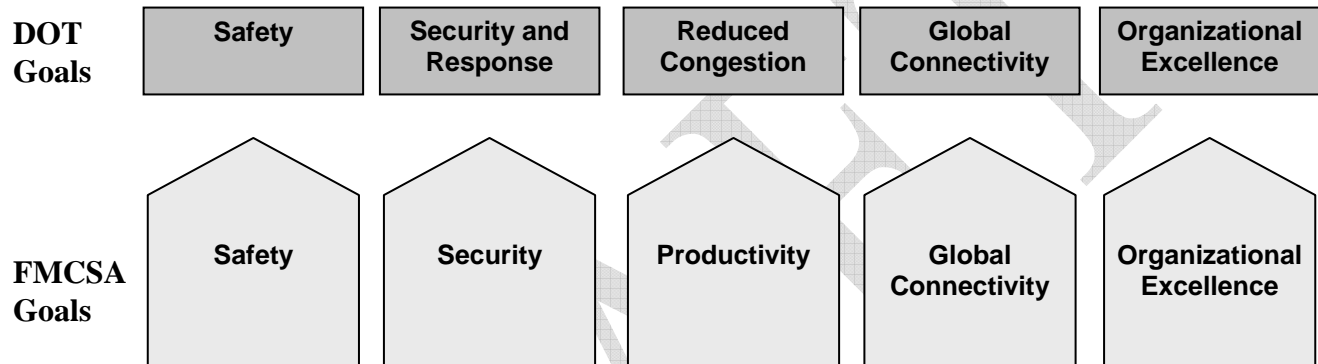
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## Relationship of FMCSA Strategic Goals to the DOT Strategic Goals

DOT has developed a comprehensive Strategic Plan that defines the mission, vision and goals of the Department, overall. Each of the Operating Administrations under DOT develops its own Strategic Plan to support the highest goals of the Department. This FMCSA Draft Strategic Plan contains goals that align directly with the DOT goals. The chart below shows this relationship.

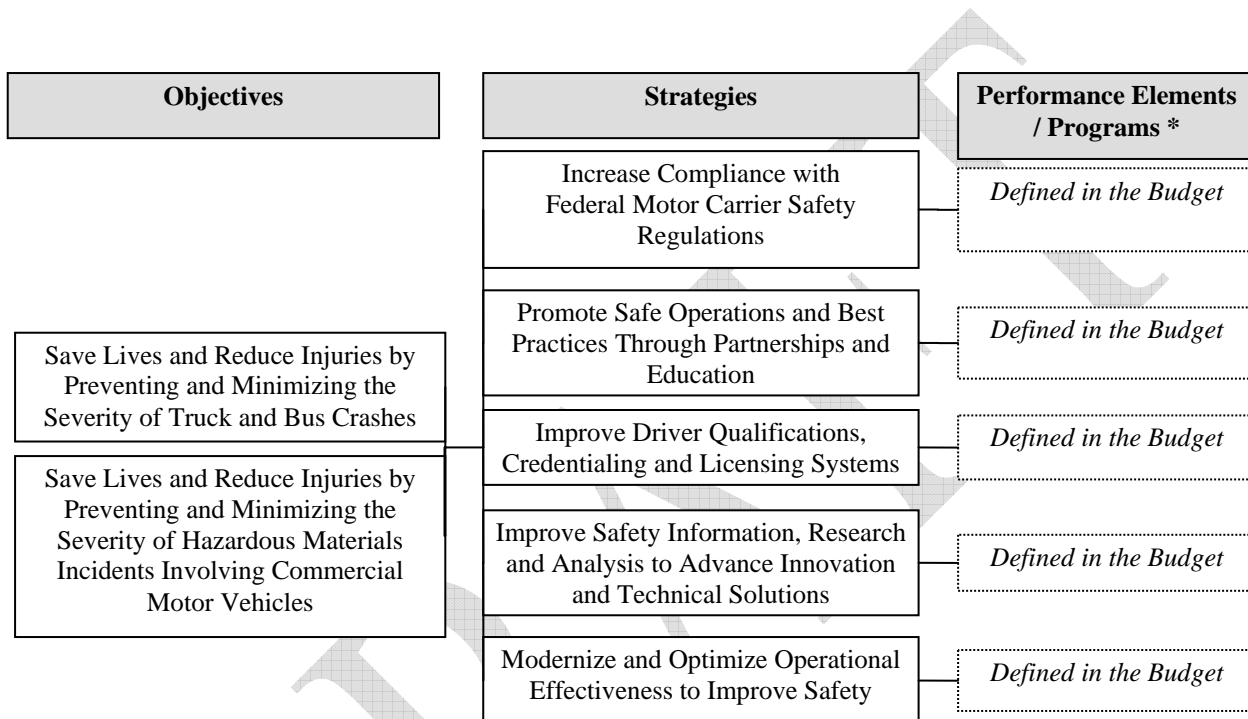
### Exhibit 1: FMCSA Goals are aligned with DOT Performance Goals





## Logic Model Summaries of Goals, Objectives, Strategies, and Program Examples

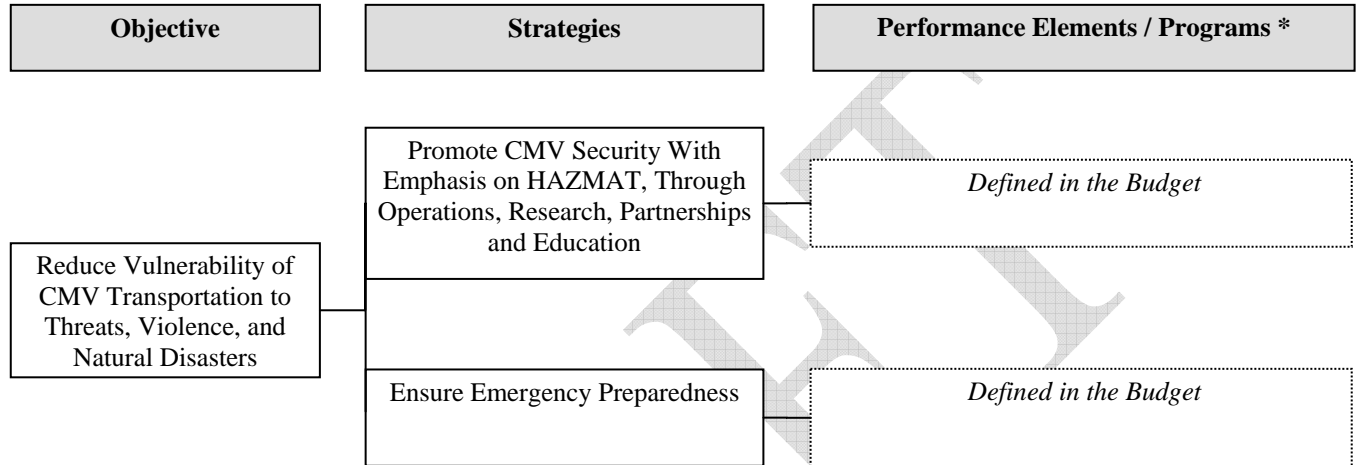
### Exhibit 2: Safety Goal



*\* The FMCSA Integrated Performance Budget acts as an annual installment of the Strategic Plan. Each year, we demonstrate through the budget, the programs that support each strategy under each goal. To demonstrate the linkage between the plan and the budget, we have provided a graphic depiction of where our performance elements and programs would fit into this logic model. Please reference our most recent budget submission to Congress to see those programs for each year.*



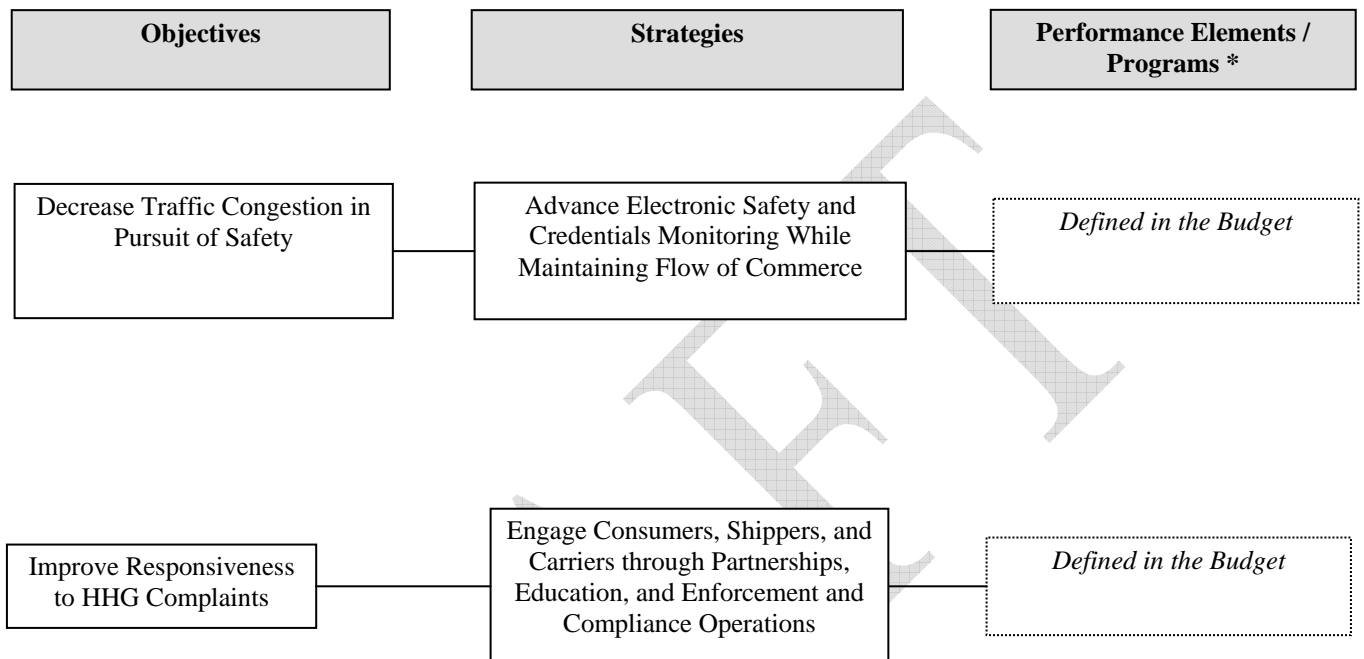
**Exhibit 3: Security Goal**



*\* The FMCSA Integrated Performance Budget acts as an annual installment of the Strategic Plan. Each year, we demonstrate through the budget, the programs that support each strategy under each goal. To demonstrate the linkage between the plan and the budget, we have provided a graphic depiction of where our performance elements and programs would fit into this logic model. Please reference our most recent budget submission to Congress to see those programs for each year.*



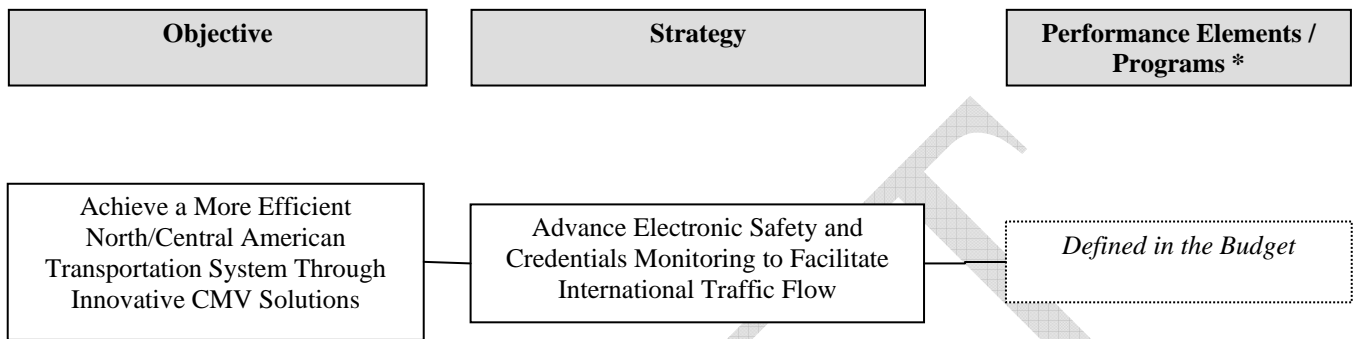
**Exhibit 4: Productivity Goal**



*\* The FMCSA Integrated Performance Budget acts as an annual installment of the Strategic Plan. Each year, we demonstrate through the budget, the programs that support each strategy under each goal. To demonstrate the linkage between the plan and the budget, we have provided a graphic depiction of where our performance elements and programs would fit into this logic model. Please reference our most recent budget submission to Congress to see those programs for each year.*



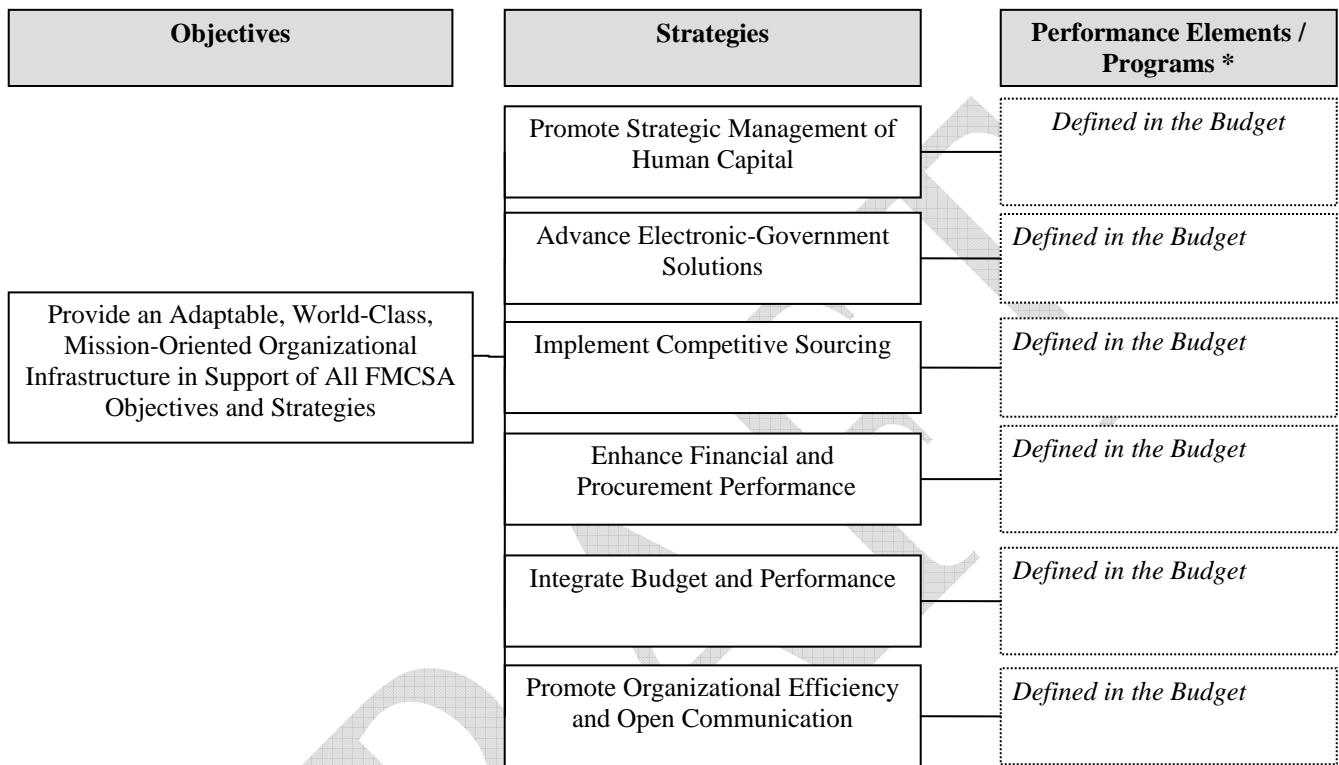
**Exhibit 5: Global Connectivity Goal**



*\* The FMCSA Integrated Performance Budget acts as an annual installment of the Strategic Plan. Each year, we demonstrate through the budget, the programs that support each strategy under each goal. To demonstrate the linkage between the plan and the budget, we have provided a graphic depiction of where our performance elements and programs would fit into this logic model. Please reference our most recent budget submission to Congress to see those programs for each year.*



**Exhibit 6: Organization Excellence Goal**



*\* The FMCSA Integrated Performance Budget acts as an annual installment of the Strategic Plan. Each year, we demonstrate through the budget, the programs that support each strategy under each goal. To demonstrate the linkage between the plan and the budget, we have provided a graphic depiction of where our performance elements and programs would fit into this logic model. Please reference our most recent budget submission to Congress to see those programs for each year.*