



U.S. Department of  
Transportation

# BUDGET ESTIMATES

## FISCAL YEAR 2009

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### FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

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SUBMITTED FOR THE USE OF  
THE COMMITTEES ON APPROPRIATIONS

# **FISCAL YEAR 2009 PERFORMANCE BUDGET ESTIMATES SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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**FY 2009**

**FMCSA**

**Performance Budget Estimates**

**SECTION 1**

**Overview**

## **ADMINISTRATOR'S OVERVIEW**

The Federal Motor Carrier Safety Administration (FMCSA) proposes a fiscal year (FY) 2009 budget request of \$541 million, the amount authorized by the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005. The FMCSA programs funded under SAFETEA-LU have contributed to significantly improved truck and bus safety. **In 2006, for the second year in a row, safety data show a decrease in overall fatalities for large trucks and buses. Large truck and bus fatalities decreased from 5,539 in 2005 to 5,309 in 2006, a drop of 4 percent. Large truck and bus injuries decreased from 136,000 in 2005 to 126,000 in 2006, a drop of 7 percent.** The FMCSA is also on target to meet its ambitious safety goal of reducing fatalities involving large trucks and buses to a rate of no more than .160 fatalities per 100 million vehicle miles traveled by the end of 2011.

In FY 2009, FMCSA will maintain the momentum from recent successes by continuing major initiatives to reexamine and reengineer core safety activities. FMCSA will be at a critical juncture in implementing some of its most far-reaching initiatives such as the Comprehensive Safety Analysis 2010 (CSA 2010) and COMPASS (the Agency's information technology reform) projects. These projects will increase the efficiency, effectiveness, and reach of the Agency's core operations by strengthening many aspects of FMCSA's enforcement operations and Information Technology (IT) systems. FY 2009 also signals the second half of the Agency's Strategic Plan for 2006-2011, which has been aligned with the U.S. Department of Transportation (DOT) Strategic Plan for 2006-2011. These redesigned and refocused strategic plans form the backbone of this FY 2009 budget request and future Agency efforts.

### **FY 2009 Priorities: Agency-wide, Secretarial, and Presidential**

A key FMCSA priority for FY 2009 will be to complete work on the next highway reauthorization proposal. The increased authorities granted in SAFETEA-LU have allowed FMCSA to positively impact large truck and bus safety. The Agency will seek to build on this foundation in the next reauthorization. The FMCSA will develop innovative and comprehensive proposals for improving safety in cooperation with Federal and State partners, as well as other important stakeholders.

Another FMCSA FY 2009 priority will be to improve the efficiency of operations to ensure the Agency is getting the most it can from its current resource base. In FY 2008, FMCSA will complete a top-to-bottom organizational assessment, and by FY 2009, the Agency will begin implementing the results of that assessment.

A vital and far-reaching Agency priority in FY 2009 will be to test and validate CSA 2010 operational concepts and to introduce new COMPASS functions to replace legacy computer systems. Through CSA 2010, the Agency is redesigning its core enforcement and compliance activities; through COMPASS, the Agency is reengineering the technology and systems used to conduct these activities. Together, these projects represent a comprehensive modernization of the Agency's key enforcement processes and procedures. Funding for these projects represents an important commitment to the future effectiveness and efficiency of the Agency.

### **FY 2009 Agency Priorities:**

- **Finalize Reauthorization Proposals**
- **Validate CSA 2010**
- **Expand COMPASS Roll-Out**
- **Continue Focus on Improved Grant Program Activities**
- **Focus on Organizational Efficiency**

In FY 2009, FMCSA focuses further on improving grant program activities. Over half of all Agency funding is provided to State partners in the form of grants. The FMCSA recognizes that it cannot succeed without the concomitant success of the States and of grant program activities that support the States. In FY 2009, FMCSA will increase oversight of grant funding and work with its State partners to ensure these funds are having the maximum impact on improving truck and bus safety.

The Agency will place an emphasis on the Secretary's priorities to improve the safety of our transportation systems, improve system performance, and find 21<sup>st</sup> century solutions to 21<sup>st</sup> century problems. Several of FMCSA's innovative programs are improving the safety of the nation's transportation systems. The Agency's New Entrant Program improved safety by ensuring that recent entries to the truck or passenger carrier industries understand their operational and safety responsibilities and have complied with the applicable rules and regulations. The FMCSA is also expanding a successful pilot program showcased in Washington State called Ticketing Aggressive Cars and Trucks (TACT), which has been proven to reduce crashes involving trucks and passenger cars by increasing public awareness of the dangers of unsafe driving around commercial motor vehicles (CMVs). The Agency will also contribute to improving system performance through the DOT-led National Strategy to Reduce Congestion on America's Transportation Network, a national congestion relief initiative. The Agency will develop and promote electronic safety and credentials monitoring devices to inspect vehicles and drivers. These devices can decrease the impact on congestion caused by roadside safety activities since they reduce the amount of time carriers spend entering and exiting weigh stations and inspection facilities and during roadside inspections, thereby reducing the congestion that builds around these particular areas. This helps maintain the flow of commerce and decreases delays in the delivery of goods to their destinations. These programs, along with FMCSA's ongoing CSA 2010 and COMPASS initiatives, ensure that FMCSA is leading the way into the 21<sup>st</sup> century with solutions to today's large truck and bus safety problems.

The FMCSA will continue its support for the Secretarial Priority of Emergency Preparedness and Disaster Response. The Agency responded to Hurricanes Katrina and Rita, as well as the planning for a response to a potential pandemic influenza outbreak. The FMCSA's FY 2009 budget request reflects this increased priority, and this issue is a new element that has been added to the FMCSA Strategic Plan for FY 2006-2011.

The President's second term priorities include development of International Trade Data Systems to consolidate access to international trade data across the Federal Government. The FMCSA supports 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). The FMCSA is a leading partner in developing and testing these systems for the U.S. northern and southern border operations. FMCSA is vigorously enforcing safety standards against foreign vehicles and drivers on both the northern and southern borders to ensure that any vehicles entering the country fully comply with all U.S. safety rules.

## **DOT/ FMCSA Strategic Goals:**

The FMCSA's FY 2009 budget request reflects the strategic goals of FMCSA and DOT as follows:

### **Safety**

The majority (92.5 percent) of the Agency's budget request focuses on reducing large truck and bus crashes. In partnership with the States, FMCSA will invest in the most safety-effective measure and will use 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 and those carriers transporting passengers.

### **Reduced Congestion**

Although the objective to reduce congestion makes up only 0.7 percent of its overall budget, FMCSA expects that FY 2009 funding will allow the Agency and its State partners to seek new ways to reduce congestion on the Nation's highways through research and technology studies.

### **Security**

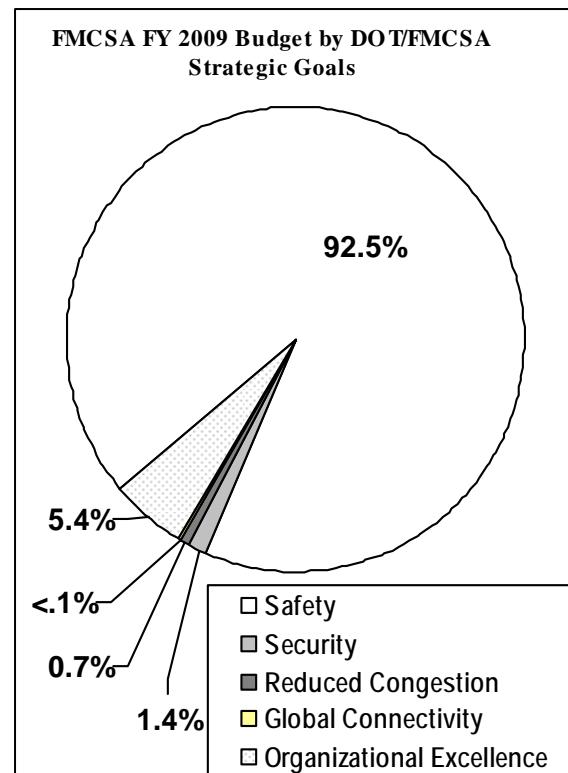
The FMCSA will apply 1.4 percent of its budget to programs that will help ensure that convicted felons and other security-risk individuals are not licensed to transport commodities that could become mobile weapons of mass or significant destruction. The Agency will also use this funding to ensure that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

### **Global Connectivity**

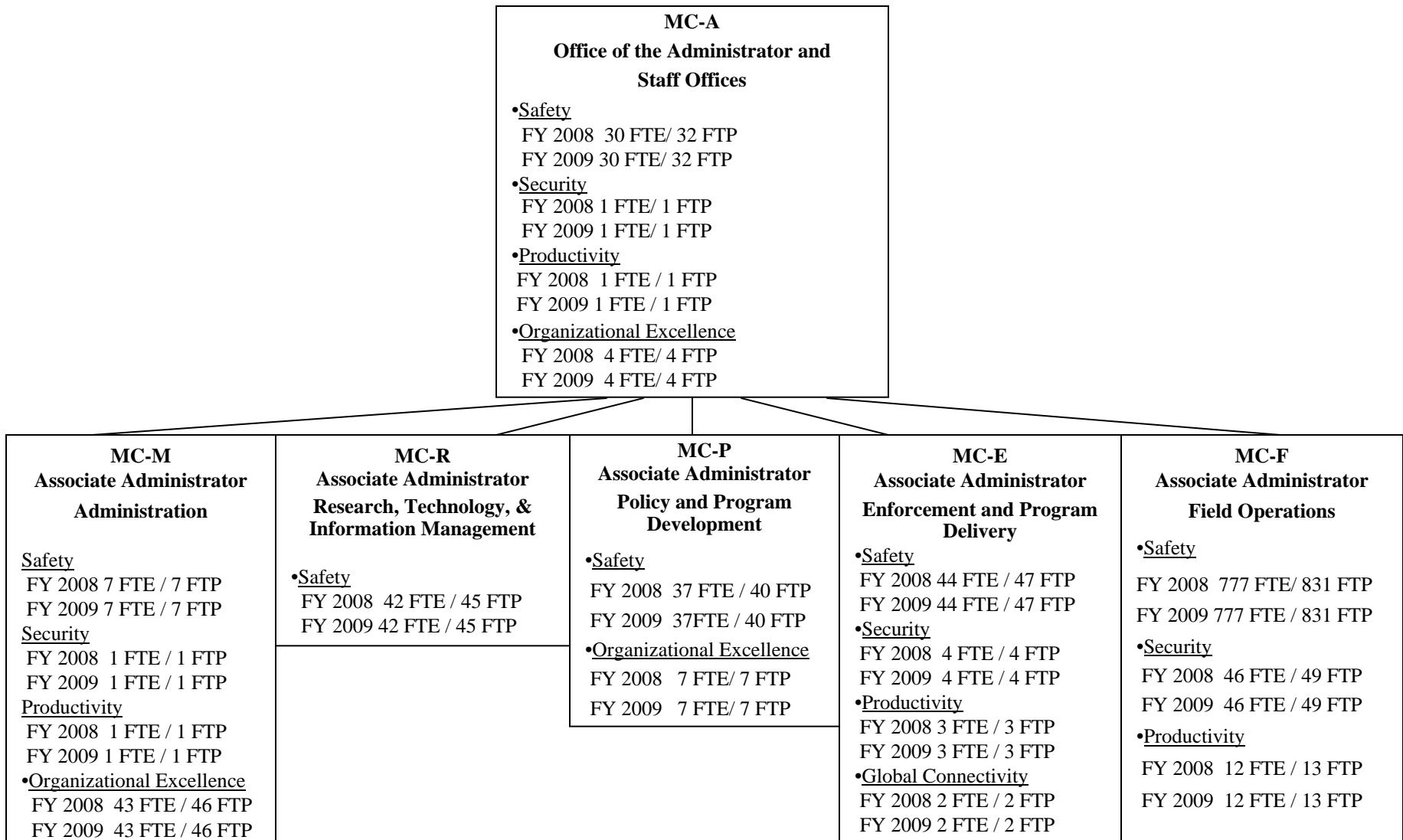
The FMCSA's ACE/ITDS partnership is improving the Agency's ability to identify and inspect higher risk drivers and carriers at border ports. This program will account for less than 0.1 percent of FMCSA's budget.

### **Organizational Excellence**

The FMCSA will dedicate approximately 5.4 percent of its budget to Organizational Excellence, which enhances the internal workings of the Agency through continuous organizational improvement. The Agency's organizational improvement activities will result in better-trained and motivated employees, enhanced cost-control measures, and improved decision-making processes, which lead to more success in completing the Agency's mission objectives. In addition, these activities make the Agency a significant contributor to DOT's achievement of "green" ratings for the President's Management Agenda (PMA).



**Exhibit I**  
**Federal Motor Carrier Safety Administration**  
**Organization Chart**



+/- for rounding.

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

Total FY 2009 Request: 1,062 FTE / 1,136 FTP

FY 2009

**FMCSA**

Performance Budget Estimates

**SECTION 2**

Budget Summary  
Tables

**FISCAL YEAR 2009 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 2007 ACTUAL</b>	<b>FY 2008 ENACTED</b>	<b>FY 2009 REQUEST</b>
Motor Carrier Safety Operations Program	223,000	228,000	234,000
Motor Carrier Safety Grants	294,000	300,000	307,000
<b>TOTAL</b>	<b>517,000</b>	<b>528,000</b>	<b>541,000</b>

**EXHIBIT II-2**

**FY 2009 BUDGET REQUEST BY APPROPRIATION ACCOUNT  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
Appropriations, Obligation Limitations, and Exempt Obligations  
(\$000)**

<b><u>ACCOUNTS</u></b>	<b>FY 2007 ACTUAL</b>	<b>FY 2008 ENACTED</b>	<b>FY 2009 REQUEST</b>
<b>Motor Carrier Safety Operations &amp; Programs</b>	<b>223,000</b>	<b>229,654</b>	<b>234,000</b>
Operating Expenses	162,176	172,200	177,500
Research & Technology	10,296	8,900	7,724
Information Management	34,318	33,829	34,096
Regulatory Development	11,210	10,725	9,680
Outreach & Education	4,000	3,000	4,000
CMV Operators Grants	1,000	1,000	1,000
<b>Motor Carrier Safety Grants</b>	<b>294,000</b>	<b>300,000</b>	<b>307,000</b>
MCSAP Grants	197,000	202,000	209,000
<i>MCSAP RABA</i>	[3,411]		
Border Enforcement Grants	32,000	32,000	32,000
CDL Improvement Grants	25,000	25,000	25,000
CVISN Grants	25,000	25,000	25,000
PRISM Grants	5,000	5,000	5,000
Safety Data Improvement Grants	3,000	3,000	3,000
CDLIS Grants	7,000	8,000	8,000
<b>TOTALS:</b>	<b>517,000</b>	<b>529,654</b>	<b>541,000</b>
[Discretionary]	517,000	529,654	541,000
[Mandatory]	0	0	0

**RECEIPTS FROM NON-FEDERAL SOURCES**

Motor Carrier Safety Operations & Programs	15,245	15,500	15,800
<b>TOTALS:</b>	<b>15,245</b>	<b>15,500</b>	<b>15,800</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>

**EXHIBIT II-3**

**FY 2009 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	REDUCED CONGESTION	GLOBAL CONN	ENVIRON STEWARD	HOMELAND SECURITY	ORG. EXC.	
<b>MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS</b>	<b>193,516</b>	<b>3,719</b>	<b>361</b>	<b>0</b>	<b>7,386</b>	<b>29,018</b>	<b>234,000</b>
<b>Safety</b>	<b>193,516</b>						<b>193,516</b>
Save lives and reduce injuries by preventing and minimizing the severity of Truck and Bus crashes	184,869						184,869
Save Lives and reduce injuries by preventing and minimizing the severity of Hazardous Materials incidents involving Commercial Vehicles	8,647						8,647
<b>Reduced Congestion</b>		<b>3,719</b>					<b>3,719</b>
Decrease traffic congestion in pursuit of safety		866					<b>866</b>
Improve Responsiveness to HHG Complaints		2,853					
<b>Security</b>					<b>7,386</b>		<b>7,386</b>
Reduce the vulnerability of CMV transportation to threats, violence, and natural disasters					7,386		7,386
<b>Global Connectivity</b>		<b>361</b>					0
Facilitate a more efficient cross border motor carrier transportation system that enables economic growth and development.		361					
<b>Organizational Excellence</b>					<b>29,018</b>		<b>29,018</b>
Provide an adaptable, world-class, mission-oriented organizational infrastructure in support of all FMCSA mission, objectives and strategies					29,018		29,018
<b>MOTOR CARRIER SAFETY GRANTS</b>	<b>307,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>307,000</b>
<b>Commercial Motor Vehicle (CMV) Safety</b>	<b>307,000</b>						<b>307,000</b>
Save lives and reduce injuries by preventing truck and bus crashes.	307,000						307,000
<b>TOTAL FY 2009 REQUEST</b>	<b>500,516</b>	<b>3,719</b>	<b>361</b>		<b>7,386</b>	<b>29,018</b>	<b>541,000</b>
<b>FTE (direct funded only)</b>	<b>935</b>	<b>16</b>	<b>2</b>	<b>0</b>	<b>51</b>	<b>58</b>	<b>1,062</b>

+/- 1 due to rounding.

**EXHIBIT II-4**

**FY 2009 BUDGET REQUEST RECAP BY ACCOUNT  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
BUDGET AUTHORITY  
(\$000)**

<b><u>ACCOUNTS</u></b>	<b>FY 2007 ACTUAL</b>	<b>FY 2008 ENACTED</b>	<b>FY 2009 REQUEST</b>
Motor Carrier Safety (LAE) 1/		-32,188	
National Motor Carrier Safety Program 1/		-5,213	
Motor Carrier Safety Operations & Programs	223,000	228,000	234,000
CA Rescission 1/		-1,816	
Motor Carrier Safety Grants	294,000	300,000	307,000
CA Rescission 1/		-11,259	
<b>TOTALS:</b>	<b>517,000</b>	<b>477,524</b>	<b>541,000</b>
[Mandatory]	517,000	477,524	541,000

1/ CA rescissions

**EXHIBIT II-5**

**FY 2009 BUDGET REQUEST RECAP BY ACCOUNT  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
OUTLAYS  
(\$000)**

<b><u>ACCOUNTS</u></b>	<b>FY 2007 ACTUAL</b>	<b>FY 2008 ENACTED</b>	<b>FY 2009 REQUEST</b>
Motor Carrier Safety (LAE)	30,115	34,887	N/A
National Motor Carrier Safety Program	26,481	44,224	N/A
Border Enforcement Program	977	N/A	N/A
Motor Carrier Safety Operations & Programs	187,773	302,127	233,565
Motor Carrier Safety Grants	209,867	361,375	301,960
<b>TOTALS:</b>	<b>455,213</b>	<b>742,613</b>	<b>535,525</b>
[Discretionary]	455,213	742,613	535,525

**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				WCF/IT Franchise Fund						SHOW AS NON ADDS					
	FY 2008 Enacted	FY 2008 PC&B by Program	FY 2008 # FTE Per Program	FY 2008 Contract Expenses	2008 Pay Adj	2009 Pay Raises	FTE Annualization	GSA Rent	Increase/ Decrease	Inflation/ Deflation	FY 2008 Adjusted Base	Program Increases/ Decreases	FY 2009 PC&B Program Increase	FY 2009 FTE Program Increase	FY 2009 Contract Program Increases	FY 2009 Request
<b>ADMINISTRATIVE EXPENSES</b>																
PERSONNEL RESOURCES (FTE)	1,062															
Direct FTE	1,062															
GENERAL OPERATING EXPENSES																
Personnel Pay, Compensation & Benefits (10)	105,380	98,236	990		580	2,384	0				108,344	331	331			108,675
Contractual Services & Supplies (20)																
Travel (21)	13,811								0	0						0
Transportation (22)	673								318	14,129	0					14,129
Rent/Comm/Util (23)	6,364								15	688	0					688
Printing/Reproductions (24)	1,775								146	6,510	0					6,510
Other Services (25)	24,218			20,585					41	1,816	0					1,816
Supplies (26)	1,021								557	24,775	456					25,231
Equipment (31)	2,245								23	1,044	0					1,044
GSA Rent (23.1)	11,194								52	2,297	0					2,297
WCF	5,519								257	11,451	0					11,451
OPERATIONS TOTAL	172,200	98,236	990	20,585	580	2,384	0	0	0	1,537	176,699	801	331	0	470	177,500
CONTRACT PROGRAMS																
Research & Technology Program	8,900	992	10	8,900					205	9,105	(1,381)					7,724
Information Management Program	33,829	2,679	27	33,829					778	34,607	(511)					34,096
Regulatory Development Program	10,725	2,381	24	10,725					247	10,972	(1,292)					9,680
Outreach & Education	3,000	1,092	11	3,000					69	3,069	931					4,000
PRISM Operations 3/	0								0	0	0					0
PROGRAMS TOTAL	56,454	7,144	72	56,454	0	0	0	0	0	1,298	57,753	(2,254)	0	0	(2,254)	55,500
GRANTS																
CMV Operators Grants	1,000									21	1,021	(21)				1,000
GRANTS TOTAL	1,000									21	1,021	(21)				1,000
OPERATIONS & PROGRAMS ACCOUNT TOTAL	229,654	105,380	1,062	77,039	580	2,384	0	0	0	2,856	235,473	(1,473)	331	0	(1,804)	234,000
FY 2009 SAFETEA-LU AUTHORIZATION																234,000
DELTA FROM AUTHORIZATION																(0)

**MOTOR CARRIER SAFETY GRANTS**

GRANTS	202,000															
MCSAP	202,000										206,646					209,000
Basic/Incentive	155,475									3,576	159,051	3,337				162,388
High Priority (up to \$15M)	15,000									345	15,345	(345)				15,000
New Entrant (up to \$29M)	29,000									667	29,667	(667)				29,000
Admin Take Down (up to 1.25%)	2,525									58	2,583	29				2,613
RABA MCSAP 1/	0									0	0	0				0
CDL Improvement	25,000									575	25,575	(575)				25,000
Border Enforcement Grants	32,000									736	32,736	(736)				32,000
PRISM	5,000									115	5,115	(115)				5,000
CVISN	25,000									575	25,575	(575)				25,000
Safety Data Improvement	3,000									69	3,069	(69)				3,000
CDLIS	8,000									184	8,184	(184)				8,000
GRANTS ACCOUNT TOTAL	300,000									6,900	306,900	100				307,000
GRAND TOTAL	529,654	105,380	1,062	77,039	580	2,384	0	0	0	9,756	542,373	(1,373)	331	0	(1,804)	541,000

Payroll Inflation 0.030  
Nonpay Inflation 0.023

**EXHIBIT II-6A**

**WORKING CAPITAL FUND  
[OPERATING ADMINISTRATION]**

**Appropriations, Obligation Limitations, Exempt Obligations and Reimbursable Obligations  
(\$000)**

	<b>FY 2008 ENACTED</b>	<b>FY 2009 REQUEST</b>	<b>CHANGE</b>
<b>DIRECT:</b>			
Motor Carrier Safety Operations & Programs	<u>5,519</u>	<u>5,660</u>	<u>141</u>
<b>SUBTOTAL</b>	<b>5,519</b>	<b>5,660</b>	<b>141</b>
<b>REIMBURSABLE:</b>			
N/A	<u> </u>	<u> </u>	<u>0</u>
<b>SUBTOTAL</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>TOTAL</b>	<b>5,519</b>	<b>5,660</b>	<b>141</b>

**EXHIBIT II-7**

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

	<b>FY 2007 ACTUAL</b>	<b>FY 2008 ENACTED</b>	<b>FY 2009 REQUEST</b>
<b><u>DIRECT FUNDED BY APPROPRIATION</u></b>			
Motor Carrier Safety Operations & Programs (MCSOP)	959	1,062	1,062
<b>SUBTOTAL, DIRECT FUNDED</b>	<b>959</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	57	57
<b>Allocations from other Organizations</b>			
Motor Carrier Safety Operations & Programs (MCSO&P)	0	0	0
<b>SUBTOTAL, REIMBURSE./ALLOC./OTH.</b>	<b>52</b>	<b>57</b>	<b>57</b>
<b>TOTAL FTE</b>	<b>1,011</b>	<b>1,119</b>	<b>1,119</b>

**INFO:**

Allocations to Other Agencies

**EXHIBIT II-8**

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

	<b>FY 2007 <u>ACTUAL</u></b>	<b>FY 2008 <u>ENACTED</u></b>	<b>FY 2009 <u>REQUEST</u></b>
<b><u>DIRECT FUNDED BY APPROPRIATION</u></b>			
Motor Carrier Safety Operations & Programs (MCSOP)	1,136	1,136	1,136
<b>SUBTOTAL, DIRECT FUNDED</b>	<b>1,136</b>	<b>1,136</b>	<b>1,136</b>
<b><u>REIMBURSEMENTS / ALLOCATIONS / OTHER</u></b>			
Reimbursements and 'Other'			
Motor Carrier Safety Operations & Programs (MCSO&P)	56	61	61
Allocations from other Organizations			
Motor Carrier Safety (LAE)			
<b>SUBTOTAL, REIMBURSE./ALLOC./OTH.</b>	<b>56</b>	<b>61</b>	<b>61</b>
<b>TOTAL POSITIONS</b>	<b>1,192</b>	<b>1,197</b>	<b>1,197</b>

**INFO:**

Allocations to Other Agencies

FTP numbers do not change in relation to positions filled.

FY 2009  
**FMCSA**  
Performance Budget Estimates

## SECTION 3

Budget  
by  
Appropriation Account

FY 2009  
**FMCSA**  
Performance Budget Estimates

## **SECTION 3A**

**Motor Carrier Safety  
Operations & Programs**

**FISCAL YEAR 2009 PERFORMANCE BUDGET ESTIMATES  
SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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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, \$234,000,000, 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 \$234,000,000, for "Motor Carrier Safety Operations and Programs", of which \$7,724,000, to remain available until September 30, 2011, 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: Provided further, That notwithstanding any other provision of law, none of the funds under this heading for outreach and education shall be available for transfer: Provided further, That notwithstanding any other provision of law, from such amounts, sufficient funds shall first be allocated to ensure timely liquidation of obligations for the payment of authorized salaries and administrative expenses for the fiscal year.

# MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS

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

	FY 2007 Actual	FY 2008 Enacted	FY 2009 Request
Operating Expenses	\$161,176	\$172,200	\$177,500
Research & Technology	\$10,296	\$8,900	\$7,724
Information Management	\$34,318	\$33,829	\$34,096
Regulatory Development	\$11,210	\$10,725	\$9,680
Outreach and Education	\$4,000	\$3,000	\$4,000
CMV Operators Grants	\$1,000	\$1,000	\$1,000
PRISM 1/	\$1,000	\$0	\$0
<b>TOTAL</b>	<b>\$223,000</b>	<b>\$229,654</b>	<b>\$234,000</b>

Note: Totals may not add due to rounding

**FTE Direct Funded**                   **1,062**                   **1,062**                   **1,062**

1/ PRISM Operations is requested under 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 2008 Enacted to FY 2009 (\$000)

Item	Change from FY 2008 Enacted to FY 2009	PC&B	FTE	Contract Cost	Appropriation Total
<b>FY 2008 BASE</b>					
<b>Motor Carrier Safety Operations &amp; Programs</b>	<b>[\$105,380] [1,062] [\$77,039]</b>				<b>\$229,654</b>
<b>Adjustment to Base</b>					
Salaries and Benefits	\$2,964			[\$2,964]	
Contractual Services & Supplies	\$1,536				
<i>Travel</i>	\$318			[\$318]	
<i>Transportation</i>	\$15			[\$15]	
<i>Rent/Comm/Util</i>	\$146			[\$146]	
<i>Printing/Reproduction</i>	\$41			[\$41]	
<i>Other Service</i>	\$557			[\$557]	
<i>Supplies</i>	\$23			[\$23]	
<i>Equipment</i>	\$52			[\$52]	
<i>GSA Rent</i>	\$257			[\$257]	
<i>Working Capital Fund</i>	\$127			[\$127]	
Programs & Grant	\$1,320				
<i>Research &amp; Technology</i>	\$205			[\$205]	
<i>Information Management</i>	\$778			[\$778]	
<i>Regulatory Development</i>	\$247			[\$247]	
<i>Outreach &amp; Education</i>	\$69			[\$69]	
<i>CMV Operators Grants</i>	\$21			[\$21]	
<b>Subtotal Adjustments To Base</b>	<b>\$5,820</b>	[\$2,964]		[\$2,856]	<b>\$5,820</b>
<b>New or Expanded Programs</b>					
Salaries and Benefits	\$331			[\$331]	
Contractual Services & Supplies	\$470				
<i>Travel</i>	\$0			[\$0]	
<i>Transportation</i>	\$0			[\$0]	
<i>Rent/Comm/Util</i>	\$0			[\$0]	
<i>Printing/Reproduction</i>	\$0			[\$0]	
<i>Other Service</i>	\$456			[\$469]	
<i>Supplies</i>	\$0			[\$0]	
<i>Equipment</i>	\$0			[\$0]	
<i>GSA Rent</i>	\$0			[\$0]	
<i>Working Capital Fund</i>	\$14			[\$0]	
Programs	(\$2,274)				
<i>Research &amp; Technology</i>	(\$1,381)			[-\$1,381]	
<i>Information Management</i>	(\$511)			[-\$511]	
<i>Regulatory Development</i>	(\$1,292)			[-\$1,292]	
<i>Outreach &amp; Education</i>	\$931			[\$931]	
<i>CMV Operators Grants</i>	(\$21)			[-\$21]	
<b>Subtotal Adjustments To Base</b>	<b>(\$1,473)</b>	[\$331]		[-\$1,804]	<b>(\$1,473)</b>
<b>TOTAL Adjustment To Base</b>		[\$3,295]		[\$1,051]	<b>\$4,346</b>
<b>FY 2009 REQUEST</b>		[\$108,675]	[1,062]	[\$78,090]	<b>\$234,000</b>

NOTE: Totals may not add due to rounding.

## Detailed Justification for Operating Expenses

Operating Expenses	FY 2009 Request: \$177.5 M
<b>Overview:</b>	
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 and hazardous materials security operations and outreach; emergency preparedness; household goods enforcement and compliance operations; and 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.	
<b>FY 2008 Base:</b>	
Operating expenses fund salaries and benefits, as well as travel, communications, rents, utilities, services, supplies, equipment, field program operations, oversight, and headquarters operations to support a nationwide safety and security workforce with offices in all 50 States and the District of Columbia.	
<b>Anticipated FY 2008 Accomplishments:</b>	
<u>Modernization of Safety Programs</u>	
The FMCSA expects to continue the CSA 2010 cross cutting initiative that involves participation by almost every program office 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 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 operational model testing and developing 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 122 milestones beginning in FY 2007 through FY 2010. For FY 2008, the Agency plans to complete 28 of these milestones, for a cumulative total of 81 percent completion of all initiative requirements.	
In FY 2008, FMCSA will:	
<ul style="list-style-type: none"><li>• Begin the CSA 2010 operational model test and evaluation;</li><li>• Continue development of new data resources, systems, and software requirements;</li><li>• Continue development of new rulemakings, legislation, and enforcement policies;</li></ul>	

- Continue training development; and
- Conduct at least one public listening session to keep the Agency's partners and stakeholders informed and to obtain their feedback.

### PRISM

For FY 2008, as part of 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 oversee 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. More information on the PRISM Grant accomplishments can be found in the PRISM Grant discussion in Section 3B and Section 4A.

### Safety

For FY 2008, FMCSA expects to complete 51 reviews of State Commercial Driver's License (CDL) programs. Other anticipated accomplishments in FY 2008 will include:

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

### Hazardous Materials (HM) Safety

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

For FY 2008, FMCSA will continue to survey the HM motor carrier industry to gather information vital to conducting 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.

The FMCSA will complete the HM Shipper Prioritization Program and review State Commercial Motor Vehicle Safety Plans to bring uniformity to the HM programs at the State level. The FMCSA will enhance the “FMCSA State HM Program Modal Guidebook.” The FMCSA will reduce the time it takes to process HM permit applications to 90 days by the end of FY 2008. The Agency will also target a reduction in the number of HM crashes involving CMVs to no more than 238.

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

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

#### HM Security and Emergency Preparedness

FMCSA’s HM Security program seeks to reduce security risks associated with potentially dangerous HM substances through the implementation of a security program for motor carriers that transport HM. Additionally, FMCSA supports Federal efforts in responding to disasters and must have continuity of operations and essential emergency-functions planning under Emergency Support Function One (ESF-1). Through Homeland Security Directive HSPD-5, the President directed the development of a new National Response Plan (NRP) to align Federal coordination structures, capabilities, and resources into a unified, all-discipline, and all-hazards approach to domestic incident management.

The FMCSA assists in these efforts by applying the Agency’s unique knowledge of the CMV industry and enforcement community, and coordinates with external partners on CMV security-related issues to enhance infrastructure protection and safety. During times of disaster, FMCSA coordinates with Federal, State and local governments and industry stakeholders to assist with the Federal efforts to respond and recover from emergencies and disasters.

The FMCSA participates in Government-wide Continuity of Government and Continuity of Operations (COOP) exercises led by various agencies (i.e., DHS, Federal Emergency Management Agency, DOT, etc.) and continues to work in close coordination with TSA to establish protocols ensuring the security and safety of CMV transportation. The Agency also works in close coordination and cooperation with the Pipeline and Hazardous Materials Safety Administration (PHMSA) to minimize the risks of transporting hazardous materials. For more information, please read the HM Safety introduction on page 4A-16.

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.

## **FY 2009 Budget Request:**

For FY 2009, FMCSA requests \$177.5 million/1,062 FTE. This request fully supports SAFETEA-LU authorization and reflects an inflation-only increase.

### Modernization of Safety Programs

The FMCSA will continue its modernization of Agency business processes through the CSA 2010 initiative with a request for \$5.7 million. The FY 2009 required activities for this 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 operational model testing and developing 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 122 milestones beginning in FY 2007 through FY 2010. For FY 2009, the Agency plans to complete 19 milestones for a cumulative total of 93 percent of all initiative requirements.

In FY 2009, FMCSA will:

- Continue the CSA 2010 operational model 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 to obtain their feedback.

### Safety

For FY 2009, FMCSA expects to complete 51 reviews of State CDL programs. Other anticipated accomplishments in FY 2009 will include:

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

The FMCSA will also continue to improve management efficiencies by funding PRISM Operations as part of the overall Safety Operations program.

## Hazardous Materials (HM) Safety

In FY 2009, FMCSA will implement a new HM shipper prioritization program based on research completed in FY 2008. The Agency will complete work to advance the deployment of technologies to detect radioactive materials on trucks by working with the Department of Energy and selected States. The FMCSA will complete a survey of the HM motor carrier industry that enables FMCSA to conduct analysis concerning the safety of the industry. The Agency will complete research of the service life of cargo tank research to update FMCSA's current HM risk assessment tool.

The FMCSA will fully integrate the HM Permitting Program within the FMCSA Safety Program and will conduct compliance reviews on carriers applying for HM safety permits. The FMCSA will complete research into: a methodology for identifying high risk HM shippers; HM crossing the southern border; service life of cargo tanks; cargo tank design; and research to update FMCSA's current HM risk assessment tool. The Agency will continue to advance the deployment of technologies to detect radioactive materials on trucks by working with the Department of Energy and selected States. The FMCSA will also continue to conduct cargo tank facility reviews and package inspections.

The FMCSA relies on State partners in identifying countermeasures and safety strategies for success, so the FMCSA will complete an analysis of HM programs from State Commercial Vehicle Safety Plans (CVSP) to identify weaknesses and best practices. The Agency will fully implement a Radioactive Transportation Program to support the transportation of high level radioactive material to a Nevada repository.

The FMCSA will work to reduce the number of HM crashes involving CMVs to no more than 485 in FY 2009. In addition, FMCSA will reduce the time it takes to process HM permit applications to 90 days or less. To accomplish this, FMCSA expects to complete the following compliance and enforcement activities:

- Conduct 75 Cargo Tank Facility Reviews;
- Conduct 280 HM Shipper Reviews;
- Complete 2,560 Compliance Reviews of motor carriers transporting HM (1,940 by Federal staff and 620 by State officers);
- Continue conducting Compliance Reviews on carriers applying for HM Safety Permits;
- Work with States in conducting 60,000 Border HM Inspections; and
- Complete 6,300 HM Package Inspections (6,000 by Federal staff and 300 by State officers).

## HM Security and Emergency Preparedness

FMCSA's HM Security program continues to reduce security risks associated with potentially dangerous HM substances through the implementation of a security program for motor carriers that transport HM. Additionally, FMCSA continues supporting Federal efforts in responding to disasters and must have continuity of operations and essential emergency-functions planning under Emergency Support Function One (ESF-1) as part of the National Response Plan (NRP).

The FMCSA continues to assist in these efforts by applying the Agency's unique knowledge of the CMV industry and enforcement community, and coordinates with external partners on CMV security-related issues to enhance infrastructure protection and safety. During times of disaster, FMCSA will coordinate with Federal, State and local governments and industry stakeholders to assist with the Federal efforts to respond and recover from emergencies and disasters in FY 2009.

FMCSA will participate in Government-wide Continuity of Government and Continuity of Operations (COOP) exercises led by various agencies (i.e., DHS, Federal Emergency Management Agency, DOT, etc.) and will continue to work closely with TSA to ensure the security and safety of CMV transportation. In addition, FMCSA will continue conducting emergency preparedness briefings to reach 100 percent of Agency employees by FY 2009.

# Detailed Justification for Research and Technology Program

Research and Technology Program

FY 2009 Request: \$7.7 M

## Overview:

FMCSA's Research and Technology (R&T) program supports the Agency's goals of reducing the number and severity of crashes involving CMVs and enhancing the efficiency of CMV operations through:

- Conducting scientific studies; and
- Adopting, testing, and deploying innovative driver, carrier, vehicle, and roadside best practices and technologies.

The R&T program aligns with the overall program processes of the Department and the Research, Innovation and Technology Administration (RITA) through FMCSA's Research Executive Board (REB), which is a review and prioritization process of proposed projects. In developing this budget request, the REB considers DOT, RITA, and FMCSA safety priorities, DOT and FMCSA Strategic Plans, DOT and FMCSA R&T Strategic Plans, Agency rulemaking plans and activities, as well as input from the most recent stakeholder forums.

## FY 2008 Base:

The R&T program is focused on significantly improving CMV safety, HM transportation safety, and the effectiveness of FMCSA and State safety interventions. The development of the R&T program is based on the continuous involvement of industry, government, and academic stakeholders, and implementation of FMCSA's R&T 5-Year Strategic Plan (FY 2005-FY 2009).

## Anticipated FY 2008 Accomplishments:

In FY 2008, FMCSA anticipates the following accomplishments by strategic objective:

- Produce Safer Drivers
  - Begin to identify driver risk factors in CMV crashes with a large-scale case control study;
  - Begin to 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 (Small Business Innovative Research (SBIR Program));
  - Assess the driving behavior, performance, and outcome similarities and differences of high risk and low risk CMV drivers;
  - Explore the development of a low cost, easily installed device to increase safety belt use (SBIR Program);
  - 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; and
  - 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.

- Improve Safety of CMVs
  - 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
  - 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.
- Improve Security through Safety Initiatives
  - Accelerate the identification and demonstration of new roadside safety technologies and operational concepts.
- Enable and Motivate Internal Excellence
  - Improve the management of R&T programs through the development of strategic roadmaps and development of automated systems for tracking budget and project progress.

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, “Produce Safer Drivers,” FMCSA’s 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 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 DOT’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. R&T will continue 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 “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. This 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 “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 to support the activities of the TRB.

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 HM shipments to take account of both safety and security risks. 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 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 DOT with 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 REB that reviewed proposed projects and studies based on technical and investment merit. The FY 2008 budget request reflects the recommendations of this REB 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 CMV-related crashes, fatalities, injuries, and losses and enhanced operational efficiency.

Relevance, a key element of the PMA that the Agency uses to prioritize R&D 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 were vetted and ranked by REB. The role of each REB member is to ensure 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).

**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.

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 Agency 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 U.S. and internationally.

**Performance:** The Office of Research and Analysis has worked to develop an appropriate set of performance measures in FY 2007 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. 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. These performance metrics are: 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.

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 efforts 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.

Research Development & Technology Investment Criteria states that “programs must demonstrate an ability to manage in a manner that produces identifiable results.” The focus should be on “improving the management” of R&T programs. One of the program metrics that will be tracked is the percentage of R&T projects that were competitively awarded. The following table identifies the percentage of contracts that were competitively awarded to procure R&T services and progress that FMCSA is making towards that goal of 100 percent.

Fiscal Year	2004	2005	2006
Percentage of R&T Contracts			
Competitively Awarded	85.4%	93.1%	99.7%

FMCSA R&T will begin tracking the other metrics identified above and reporting targets and goals in FY 2010.

### **FY 2009 Budget Request:**

For FY 2009, FMCSA requests \$7.7 million to accomplish the following activities by strategic objective for FY 2009:

- Produce Safer Drivers
  - Continue to 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;
  - Complete the prototype system that can detect and warn drivers who are drowsy and about to fall asleep (SBIR Program);
  - Publish a report on the driving behavior, performance, and outcome similarities and differences of high risk and low risk CMV drivers;
  - Compare the effectiveness of applying alternative instructional technologies in behavioral training programs to prevent HM cargo tank rollovers;
  - Develop a commercial-ready, low cost, easily installed device to increase safety belt use (SBIR Program);
  - Examine implementation issues of establishing an ENS system, and identify the legal, IT infrastructure, budgetary, and administrative barriers;
  - Report the results of 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 to provide parking availability in real time to CMV drivers.
- Improve Safety of CMVs
  - 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 use 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 in Phase III of this project.
- Produce Safer Carriers
  - Provide continued research support for FMCSA's rulemaking activities; and
  - Determine the root causes of 100 bus and motor coach fires and generate specific recommendations for preventing incident recurrences.
- Advance Safety Through Information-Based Initiatives
  - Broaden the participation and utilize the expertise of the TRB in FMCSA program outreach;
  - Continue 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.
- Improve Security through Safety Initiatives
  - Design, create, and pilot-test software for detecting and/or deterring fraud perpetrated during CDL skills testing activities, with the long term goal to reduce fatalities, injuries, and crashes resulting from drivers who fraudulently obtain CDLs.
- Enable and Motivate Internal Excellence
  - Improve the management of R&T programs by continuing to provide and maintain R&A stakeholder forums, provide reports, and enhance the project and budget tracking processes. FMCSA will continue to publish R&A findings and provide visibility of our products through electronic, print, audiovisual, and conference deliverables.

## **Detailed Justification for Information Management Program**

<b>Information Management</b>	<b>FY 2009 Request: \$34.1 M</b>
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### **Overview:**

The FMCSA is a data-driven, citizen-centered organization. Information Management (IM) is the backbone of FMCSA program development, execution, and evaluation. The IM 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.

### **FY 2008 Base:**

IM 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 assessments.

### **Anticipated FY 2008 Accomplishments:**

FY 2008 will see the expansion of the Single Sign-on capability initially deployed in FY 2007 in COMPASS to include all of FMCSA's safety systems, such as Analysis & Information (A&I) Online, Electronic Document Management System (EDMS), Hazardous Materials Package Inspection Program (HMPIP), InfoSys, Query Central, and SAFER.

Also in FY 2008, work on the Compliance Monitoring release will begin. This release is important to the COMPASS program because it introduces the workflow and rule engine capabilities to support the business rules associated with monitoring the activity that occurs on an individual company's records to determine if action needs to be taken. These business rules identify triggers (when actions either occur or fail to occur) that start various processes to suspend or revoke registration or operating authority.

In FY 2008, FMCSA will continue to support the over 10,000 Federal and State users of FMCSA's safety systems with infrastructure services as well as 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. FY 2008 will continue the transition of these programs as COMPASS unfolds with its FY 2008 release. These improvements 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.

The 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 Department targets in the following areas: Section 508 compliance, Government-wide E-Gov initiatives, and System Security Certification and Accreditation. For FY 2008, 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.

In FY 2008, FMCSA will release new performance measures in the State Safety Data Quality (SSDQ) Map to elevate awareness and evaluate State data quality. The new SSDQ Map will factor in the completeness of the MCMIS crash data files as well as the records contained in the system. The map will also contain new measures that evaluate the completeness of driver and vehicle identification information in order to better support the Agency's analytical and enforcement programs. The map will continue to use a green-yellow-red rating system.

In FY 2008, FMCSA's goal is for 12 States to achieve green status for timeliness, accuracy, and completeness criteria in the area of data management. The FMCSA 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. The FMCSA will complete annual updates to the Compliance Review Effectiveness Model (CREM) and Roadside Intervention Model results and consider revisions to methodology based on CSA 2010 outcomes. The Agency will continue development of the resource allocation model. The FMCSA 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 more robust benefit-cost analysis of FMCSA's rulemakings, which will allow for better decision making. As such, the results of this study will also assist the Department with meeting its Environmental Stewardship strategic goals by providing 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 the Nation's transportation network.

## **FY 2009 Budget Request:**

For FY 2009, FMCSA requests \$34.1 million for the IM Program.

In FY 2009, FMCSA will continue building on the work accomplished in FY 2008 by the COMPASS program, enabling the Comprehensive Safety Analysis (CSA) 2010 program by delivering the Compliance Monitoring Release, and begin developing the Registration Release (scheduled to be delivered in FY 2010).

### **Compliance Monitoring Release**

This release has several key objectives to enable CSA 2010 monitoring and interventions.

- Build and deploy a flexible rule engine to manage when an intervention notification should be triggered and what subsequent workflow is generated.
- Build and deploy a workflow engine that defines what intervention notifications are sent and who receives those notifications.
- Build and deploy an intervention notification tool to manage subscribers and what type of timely and actionable notification they receive.
- Build a flexible model that makes it easy to change the text of the CSA 2010 intervention notifications.
- Enable Portal users to interface with EDMS, allowing for the retrieval of documents and storage of intervention-related notifications generated as part of this release.

### **Registration Release**

This release will expand the Portal developed in earlier COMPASS releases by adding the ability for companies to register and maintain their data on file with FMCSA. The release will be implemented by using a combination of workflow and rule engine logic to dramatically improve data quality in support of CSA 2010. Functionality will include:

- Single point for registration with FMCSA (URS);
- Updates to company information;
- Notification of registration;
- Insurance filings;
- BOC-3 (Designation of Agents – motor carriers, brokers and freight forwarders) filings; and
- Online payment of fines.

In FY 2009, FMCSA's goal is for 14 States to achieve green status for the criteria of timeliness, accuracy, and completeness in the area of data management. The FMCSA will complete at least four offsite State data quality assessments. The program will also complete onsite data quality reviews with at least four States to assess relative quality of crash and inspection data collection and reporting at the individual State level. The FMCSA will complete annual updates to the CREM and Roadside Intervention Model

and consider revisions to methodology based on CSA 2010 outcomes. The program will continue to provide timely and high quality economic and environmental analysis for all of the Agency's significant rulemakings. Also, FMCSA will conduct enhancements to its A&I Online website (<http://ai.fmcsa.dot.gov>) to expand the array of data available to users and enhance its functionality.

In FY 2009, FMCSA will continue to fund research using the Large Truck Crash Causation database to examine the causes and contributing factors regarding large truck crashes. Additionally, data from the Bus Crash Causation Study will be available and research into commercial passenger carrier crashes is anticipated.

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

# **Detailed Justification for the Regulatory and Standards Development Program**

<b>Regulatory and Standards Development and Oversight</b>	<b>FY 2009 Request: \$9.7 M</b>
<b>Overview:</b>	
Regulatory development and oversight provide the foundation for FMCSA's compliance and enforcement operations. The three functions related to this program are regulatory development, driver programs including 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.	
<b>FY 2008 Base:</b>	
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.	
<b>Anticipated FY 2008 Accomplishments:</b>	
The Regulatory Development request includes funding for regulatory development, medical qualifications oversight, and evaluation activities as follows:	
<u>Regulatory Development:</u>	
In FY 2008, FMCSA will have completed 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 FY 2008 will be a new initiative entitled "The National Agenda for Safe Drivers," speed management activities, Plain-English Driver Assistance Literature (PEDAL), and ongoing regulatory and policy development, as well as subject-matter guidance and outreach to stakeholders and partners. The FMCSA will propose changes to regulatory programs reviewed under the Agency's evaluation activities to make FMCSA regulations more effective and timely, and will implement new rulemaking baseline performance measures and milestones. The FMCSA will continue to achieve two new performance goals to increase the percentage of significant and nonsignificant rulemakings that are processed within 15 days of their targeted submission and completion dates.	
The FMCSA will have a large regulatory and standards development workload in FY 2008 including:	
<ul style="list-style-type: none"><li>• Publishing a final rule on medical certification for CDL holders;</li><li>• Publishing a final rule on the New Entrant safety assurance process;</li><li>• Publishing a final rule on intermodal chassis safety;</li><li>• Publishing a final rule on changes to the CDL Learner's Permit;</li><li>• Publishing a final rule on Electronic On-Board Recorder (EOBR);</li><li>• Publishing a Notice of Proposed Rulemaking (NPRM) on Unified Carrier Registration</li></ul>	

(UCR) fees for CY 2008;

- Completing Phase II of the National Agenda for Safe Drivers; and
- Implementing provisions of the PEDAL program to ensure drivers have appropriate educational and technical assistance publications and information about the safety regulations.

**Driver and Medical Programs Oversight:**

In FY 2008, FMCSA will renew the Medical Review Board (MRB) charter, ensure the MRB holds four meetings, and continues its review of Agency's medical standards and guidance. The FMCSA will reduce the average amount of time to process medical exemption requests to less than 165 days. By the end of FY 2008, FMCSA will complete analyses of 70 percent of Agency's medical standards and guidelines, completing a minimum of six comprehensive and expedited reviews.

In FY 2008, the Agency will propose a plan to implement an efficient public call center, including a program targeted toward answering drug/alcohol screening, testing, and knowledge questions. The FMCSA will propose to add Occupational Health and Safety Specialists or Occupational Health Clinicians to support medical exemption and certificate program, initially at headquarters. The FMCSA will also develop the long-term schedule of research and evaluation activities to support the medical programs.

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

The FMCSA will develop new rulemaking action plans for FMCSP medical standards and a coordinated plan to integrate rulemaking actions, medical programs, and enforcement programs. The FMCSA will conduct six medical research proceedings, subject to the availability of funds.

**Key Partnerships:**

The FMCSA will partner with other organizations to implement medical oversight activities regarding drivers. The FMCSA will conduct the ongoing visiting scholar program with the American College of Occupational and Environmental Medicine (ACOEM) and complete at least one priority research project. The Agency will continue to lead the Federal agency roundtables on transportation safety issues, with partners from other DOT modes and agencies such as the United States Coast Guard and the Occupational Health and Safety Administration (OSHA). The FMCSA 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 and Medical Reporting (Surveillance System):**

The FMCSA will issue an NPRM to establish the National Registry of Certified Medical Examiners in FY 2008. The FMCSA will conduct a public meeting regarding the National Registry program and develop a long-term plan for the Registry. The FMCSA will finalize the draft FMCSA Medical Examiner test and curriculum and begin testing and training program demonstration projects. The Agency will establish the network of accredited organizations that will provide testing and training and develop a Medical Examiner Handbook. The FMCSA will publish findings from the role delineation study and medical examiner performance study. The SAFETEA-LU National Registry requirements will be completed, including the business plan and technical requirements.

The Agency will also plan for the implementation of the Congressionally mandated national driver medical surveillance or reporting system will provide FMCSA with the capacity to monitor driver medical qualification activities that govern safe operation. This program will provide FMCSA with a system to monitor the driver medical certification process, including links to medical examiner performance in all jurisdictions, including urban and rural areas.

**Exemption and Certificate Programs:**

The FMCSA will examine the feasibility of proposing changes to the Federal vision exemption program rules, possibly transferring a streamlined program to FMCSA Division offices or States. The FMCSA will propose changes to the Federal Vision and Diabetes standards. In response to Congressional directives, FMCSA will implement program improvements, including fair and effective eligibility criteria, outcome measures, and technological solutions (e.g. web-based application process). The FMCSA will conduct regular teleconferences with Agency medical specialists in the States and convene regular Skill Performance Evaluation (SPE) program meetings. The FMCSA will complete SPE program improvements, maximizing web-based solutions, and consider relevant regulatory changes for drivers with musculoskeletal disease and injury.

Evaluation Activities:

In FY 2008, FMCSA will undertake several new activities that include analyzing the Agency's Grants programs in preparation for the Program Assessment Rating Tool (PART), developing a plan for long-term and short-term activities, tracking achievement of program performance on qualitative milestones and quantitative performance measures, evaluating the options for securing an enhanced achievement/performance tracking system, accomplishing an organizational assessment, supporting CSA 2010 initiatives, and evaluating programs and regulations for effectiveness. The Agency will use priorities developed during FMCSA's annual planning retreat as the first step in developing a comprehensive reauthorization proposal that will allow the Agency to address current and future safety needs. FMCSA will employ lessons learned from prior Senior Leaders Planning Retreats and increase the contribution of Field and Division Administrators in the development of the Agency priorities, resource requirements, programmatic goals and reauthorization requirements.

In FY 2008, FMCSA will annualize three FTE that were established in the FY 2006 appropriation to bring the Agency's new Quality Assurance (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 the Agency to track activities and the progress of multiple high level initiatives simultaneously. This overlay of performance tracking will provide the Agency with valuable information that can assist in 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. FMCSA recognizes the merit in systematically reviewing its performance and plans to steadily increase its program evaluation capabilities.

**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 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 Reviews:**

In response to an Office of Management and Budget (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 QA Review Program to ensure Agency programs and practices are consistent, standardized, and applied in a uniform and timely manner. Recurring yearly QA Reviews provide management with a comprehensive and systematic evaluation of FMCSA's activities to ensure they are structured and implemented in a consistent fashion. In FY 2008, 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 Regulatory Effectiveness Review Program. The program will provide management with a comprehensive and recurring review of Agency regulations that evaluate their timeliness and effectiveness in achieving Departmental and Agency goals and objectives. The FMCSA plans to conduct an assessment of 49 CFR part 383 regarding the qualification of drivers and 49 CFR part 385 regarding hours of service.

**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, properly managed, and within budgetary levels.

**Organizational Assessment:**

In FY 2008, FMCSA will conduct an Organizational Assessment of the Agency structure to determine if the Headquarters, Service Center, and Division authorized workforce and organizational structure is logically structured to support FMCSA's current and future challenges. 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 FMCSA transitioned from an office within the Federal Highway Administration. The assessment will function similar to a program evaluation but will look at the organization itself, rather than individual programs.

### **FY 2009 Budget Request:**

For FY 2009, FMCSA requests \$ 9.7 million to achieve the following accomplishments for this performance element:

#### Regulatory Development:

Some of the primary areas of concentration in the regulatory and standards arena in FY 2009 will be “The National Agenda for Bus and Truck Safe Drivers,” speed management activity, PEDAL, and 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 the Agency’s 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 nonsignificant rulemakings that are processed within 15 days of their targeted submission and completion dates.

The FMCSA will have a large regulatory and standards development workload in FY 2009 including:

- Completing all items in the Administrator’s Regulatory Priorities;
- Publishing a final rule on the National Registry of Medical Professionals;
- Publishing a final rule on UCR fees;
- Contributing to DOT Speed Management Team activities;
- Completing Phase II of the National Agenda for Bus and Truck Safe Drivers;
- Completing EOBR outreach activities;
- Contributing to DOT Speed Management Team activities; and
- Publishing an NPRM on the driver vision standard.

#### Driver and Medical Programs Oversight:

In FY 2009, FMCSA will appoint new MRB members, renew the MRB charter, convene several MRB meetings, and continue a comprehensive review of medical standards and guidance. The FMCSA will reduce the average amount of time to process medical exemption requests to 160 days or less. By the end of FY 2009, FMCSA will analyze all of the FMCsRs medical standards and guidelines, completing a minimum of five comprehensive and expedited reviews. In FY 2009, the Agency will continue to implement program improvements, including a program targeted toward answering drug/alcohol screening, testing, and knowledge questions. The FMCSA will propose to add Occupational Health and Safety Specialists or Occupational Health Clinicians to support medical exemption and certificate program transition, initially at headquarters. The FMCSA will develop the long-term schedule of research and evaluation activities to support the medical programs.

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

The FMCSA will implement the new rulemaking action plan for the Agency’s medical standards and a coordinated plan to integrate rulemaking actions, medical programs and enforcement programs. The FMCSA will conduct five medical research proceedings. The FMCSA will also evaluate program improvement, including a proposed technical

resource center, including a program targeted toward drug/alcohol issues.

### **Key Partnerships:**

The FMCSA will partner with other organizations to implement medical oversight activities regarding drivers. The FMCSA will conduct a Visiting Medical Scholar program and complete one priority research project. The FMCSA 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 and Medical Reporting (Surveillance System):**

The FMCSA will publish the National Registry of Certified Medical Examiners Final Rule, including the implementation plan, in FY 2009. The SAFETEA-LU requirements will be updated, including the business plan and technical requirements. Finally, the implementation of the Congressionally mandated national driver medical surveillance or reporting system will provide FMCSA with the capacity to monitor driver medical qualification activities that govern safe operation.

### **Exemption and Certificate Programs:**

The FMCSA will consider a rulemaking to change the vision standard, thereby, eliminating the need for a vision exemption program. The FMCSA will conduct regular teleconferences with Agency medical specialists in the States and convene regular SPE program meetings. The FMCSA will implement an SPE program improvement plan for the Agency, maximizing web-based solutions.

### Evaluation Activities:

For FY 2009, FMCSA will conduct another Senior Leaders Planning Retreat to continue to define Agency priorities in order to determine resource requirements, set programmatic goals, and begin development of reauthorization proposals. 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.

The FMCSA will finalize the decisions originating from an Organizational Assessment designed to examine FMCSA's organization and assess whether its components are organized in the most efficient and effective manner. This supports the Administrator's priority to "optimize organizational structure and increase organizational efficiency."

With regard to the FMCSA's evaluation activities, the Agency will continue to expand its capabilities by evaluating current programs and adding additional functions in FY 2009 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. The FMCSA plans to steadily increase its program evaluation capabilities.

### **Program Evaluations:**

In FY 2009, FMCSA will complete its annual evaluations of the Agency's Compliance Review and Roadside Inspection/Traffic Enforcement programs. In addition, FMCSA will complete 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.

**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 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 with a comprehensive and systematic evaluation of FMCSA's activities to see if they are structured and implemented in a consistent fashion. In FY 2009, 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 Regulatory Effectiveness Review Program. The Regulatory Effectiveness Program will complete two reviews in FY 2009 and initiate an assessment of one additional regulation.

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<b>Outreach and Education</b>	<b>FY 2009 Request: \$4 M</b>
<b>Overview:</b>	
<p>The FMCSA conducts outreach and education activities as an effective countermeasure strategy to reduce fatalities, injuries, and crashes involving CMVs. The FMCSA works with public and private sector organizations and other Federal agencies to promote the safe operation of CMVs and prevent crashes. Outreach and education activities are countermeasures that are 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>	
<b>FY 2008 Base:</b>	
<p>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>	
<b>Anticipated FY 2008 Accomplishments:</b>	
<p>In FY 2008, FMCSA will continue to build on the direction provided by Congress and the Government Accountability Office (GAO) 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, FMCSA will aggressively apply both the programs and messages to clearly identified targets.</p>	
<p>The FMCSA will continue to roll out the Ticketing Aggressive Cars and Trucks (TACT) Program in States with high fatalities to demonstrate the effectiveness of combining education, high-visibility enforcement, communications, and evaluation. The Agency will hold State peer exchange meetings to help promote the TACT Program in other States. The FMCSA will print and disseminate the TACT "How-to Guide" on a National level and encourage all States to adopt this successful program. The FMCSA will continue to conduct a NOPUS survey of safety belt use among CMV drivers in order to measure the effectiveness of the CMV Safety Belt Program.</p>	
<p>The FMCSA will highlight the CMV safety belt outreach and enforcement activities during Road Check 2008. The FMCSA will continue the CMV Safety Belt Partnership for development and dissemination of outreach material and strategies to increase CMV safety belt usage. The Agency will continue to translate designated outreach materials into Spanish and French. The FMCSA will also continue to research, design, and develop education and training materials concerning passenger safety for bus companies and their drivers.</p>	
<p>The FMCSA will update the Mexican Motor Carrier Training website to disseminate outreach and education materials to Mexican motor carriers and drivers. The 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.</p>	
<p>The FMCSA will measure the performance of outreach and education initiatives by</p>	

achieving 72 percent positive scores on the customer satisfaction survey results of the FMCSA Share the Road Safely, CMV Safety Belt, and Passenger Carrier Safety websites. In FY 2008, FMCSA plans to see a 15 percent increase in website visits compared to FY 2007 Web-hit baseline rate. 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.

**FY 2009 Budget Request:**

For FY 2009, FMCSA requests \$4 million to continue outreach and education activities including the 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. The FMCSA will continue to conduct a NOPUS survey of safety belt use among CMV drivers in order to measure the effectiveness of the CMV Safety Belt Program.

The FMCSA will highlight CMV safety belt outreach and enforcement activities during Road Check 2009. The FMCSA will continue the CMV Safety Belt Partnership for development and dissemination of outreach material and strategies to increase CMV safety belt usage. The Agency will continue to translate designated outreach materials into Spanish and French.

The 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. The FMCSA will continue to develop and implement educational materials in support of FMCSA's Medical Examiner's Program.

The FMCSA will measure the performance of outreach and education initiatives by achieving 73 percent positive scores on the customer satisfaction survey results of the FMCSA Share the Road Safely, CMV Safety Belt, and Passenger Carrier Safety websites. In FY 2009, FMCSA plans to see a 20 percent increase in website visits compared to FY 2007 Web-hit baseline rate. As a result of outreach and education activities, FMCSA's goal is to achieve a rate of 64 percent safety belt use among CMV drivers.

## **Detailed Justification for CMV Operator's Grants Program**

<b>CMV Operator's Grants</b>	<b>FY 2009 Request: \$1 M</b>
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### **Overview:**

FMCSA was directed by SAFETEA-LU to establish a grant program for training operators of CMVs in the safe use of such vehicles.

### **FY 2008 Base:**

This is a relatively new program that was established through SAFETEA-LU. The initial budget in FY 2006 was \$1 million.

### **Anticipated FY 2008 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 FY 2006 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 2009 Budget Request:**

For FY 2009, 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.

In FY 2009, this grant program will be used to train operators and future operators in the safe use of CMVs. The 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.

## **Explanation of Funding Changes (from FY 2008 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>\$6.0 M</b>
<b>Overview:</b>	
As described in further detail below, the primary reason for the increase in this program is related to Operating Expenses that are 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. The two new programs are: (1) a new Agency Quality Assurance Program, and (2) a new post-publication Regulatory Evaluation program.	
<b>Operating Expenses</b>	<b>\$4.8 M</b>
The requested increase for Operating Expenses includes current services (inflation) changes of \$4.5 million for statutory pay raises and operating expenses, plus \$0.3 million in program increases for recalculation of PC&B.	
<b>Research and Technology</b>	<b>\$0.2 M</b>
The requested increase for R&T is a current services inflation adjustment.	
<b>Information Management</b>	<b>\$0.8 M</b>
The requested increase for R&T is a current services inflation adjustment.	
<b>Regulatory Development</b>	<b>\$0.2 M</b>
The requested increase for R&T is a current services inflation adjustment.	

## PERFORMANCE OVERVIEW

### **Annual Performance Results and Targets**

The FMCSA integrates performance results into its budget request to demonstrate alignment with DOT's Strategic Plan. The 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 (VMT) by the end of 2011.

Large Truck and Bus Fatality Rate per 100 M VMT	2005	2006	2007	2008	2009
Target Rate	n/a	.179	.175	.171	.167
Actual Rate	.185	0.176			

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

Number of Serious HM Incidents in Transportation	2004	2005	2006	2007	2008	2009
Target	509	503	470	466	462	458
Actual	492(r)	528(r)	494			

(r) Revised

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

### **Program Assessment Rating Tool (PART) Assessment**

PART was developed by OMB 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 using the PART:

<u>Program</u>	<u>PART Cycle</u>	<u>Score</u>	<u>OMB Assessment</u>
FMCSA Operations & Programs	FY 2006	73	Moderately Effective

#### **FMCSA Operations & Programs Analysis:**

The FMCSA's Operations and Programs activities support the Agency's administrative infrastructure, including safety enforcement and regulatory development. The 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:

- The FMCSA's goal of reducing motor carrier-related fatalities directly links to the DOT's primary goal of improving transportation safety. The FMCSA has set ambitious long-term targets for its goal of reducing motor carrier fatalities.
- The 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.
- The FMCSA has difficulty demonstrating how its regulatory activities contribute to reaching its safety goal.

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.

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

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

**Efficiency Measures:** In response to PART recommendations, FMCSA developed an Efficiency Measure:

1. FMCSA's Efficiency Index: FMCSA has developed an index measure of how efficient Agency operations are at saving lives. The FMCSA's goal is to increase the number of lives saved in crashes involving large trucks and buses. The efficiency index gives an indication of whether FMCSA is achieving increased or decreased efficiency in meeting this goal by comparing the change in lives saved against the total FMCSA budget. Higher index numbers indicate increased efficiency while lower index numbers indicate decreased efficiency. In 2006, FMCSA's efficiency is estimated to have increased due to a relatively larger increase in the number of lives saved compared to a relatively smaller increase in the total budget. The resulting increase in the index indicates that FMCSA was moderately more efficient in 2006 compared with 2005.

FMCSA Efficiency Index	
Year	Actual
1997	-0.13
1998	0.88
1999	1.99
2000	2.73
2001	2.83
2002	2.99
2003	2.98
2004	2.27
2005	2.35
2006	2.72

FY 2009

**FMCSA**

Performance Budget Estimates

**SECTION 3B**

Motor Carrier  
Safety Grants

**FISCAL YEAR 2009 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 109-059, \$307,000,000, 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 \$307,000,000, for "Motor Carrier Safety Grants"; of which \$209,000,000 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: Provided further, That of the funds made available for the motor carrier safety assistance program, \$29,000,000 shall be available for audits of new entrant motor carriers.

# **MOTOR CARRIER SAFETY GRANTS**

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

	<b>FY 2007</b> <b>Actual</b>	<b>FY 2008</b> <b>Enacted</b>	<b>FY 2009</b> <b>Request</b>
MCSAP 1/	\$197,000	\$202,000	\$209,000
Border Enforcement	\$32,000	\$32,000	\$32,000
CDL Improvement	\$25,000	\$25,000	\$25,000
CVISN	\$25,000	\$25,000	\$25,000
PRISM	\$5,000	\$5,000	\$5,000
Safety Data Improvement	\$3,000	\$3,000	\$3,000
CDLIS	\$7,000	\$8,000	\$8,000
<b>TOTAL</b>	<b>\$294,000</b>	<b>\$300,000</b>	<b>\$307,000</b>
<b>FTE Direct Funded</b>	<b>0</b>	<b>0</b>	<b>0</b>

## **Program and Performance Statement**

This account provides the necessary resources to the Motor Carrier Safety Assistance Program (MCSAP) State grants. Grants will be used to support compliance reviews in States, identify and apprehend traffic violators, conduct roadside inspections, and support safety audits on new entrant carriers.

Grants are also provided to States for:

- Enforcement efforts at both the Southern and Northern borders (\$32 million) to ensure that all points of entry into the U.S. are fortified with comprehensive safety measures;
- Improvement of State commercial driver's license (CDL) oversight activities (\$25 million) to prevent unqualified drivers from being issued CDLs;
- Improvement of safety information exchanges, roadside electronic screening, and interstate credentials administration (\$25 million) through State grants for research and development of new technologies;
- Management of the Performance Registration Information Systems and Management (PRISM) program (\$5 million), which links State motor vehicle registration systems with carrier safety data in order to identify unsafe commercial motor carriers;
- Modernization efforts of the States to implement changes \$(8 million) to the Commercial Driver's License Information System (CDLIS); and
- Improvement of State safety data systems (\$3 million) to improve the completeness, timeliness, and accuracy of safety data reported to FMCSA and used in identifying unsafe carriers.

## MOTOR CARRIER SAFETY GRANTS

### **Summary Analysis of Change from FY 2008 Enacted to FY 2009 (\$000)**

Item	Change from FY 2008 Enacted to FY 2009	Appropriation Total
<b>FY 2008 BASE</b>		
<b>Motor Carrier Safety Grants</b>		<b>\$300,000</b>
<b><i>Adjustment to Base</i></b>		
MCSAP	\$0	
Border Enforcement	\$0	
CDL Improvement	\$0	
CVISN	\$0	
PRISM	\$0	
Safety Data Improvement	\$0	
CDLIS	\$0	
<b>Subtotal Adjustments To Base</b>		<b>\$0</b>
<b><i>New or Expanded Programs</i></b>		
MCSAP	\$7,000	
Border Enforcement	\$0	
CDL Improvement	\$0	
CVISN	\$0	
PRISM	\$0	
Safety Data Improvement	\$0	
CDLIS	\$0	
<b>Subtotal Adjustments To Base</b>		<b>\$7,000</b>
<b>TOTAL Adjustment To Base</b>		<b>\$7,000</b>
<b>FY 2009 REQUEST</b>		<b>\$307,000</b>

## **Detailed Justification for the MCSAP Grants Program**

MCSAP Grants	FY 2009 Request: \$209 M
<b>Overview:</b>	
The FMCSA's Motor Carrier Safety Assistance Program (MCSAP) adds funds 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 2008 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 2008 Accomplishments:</b>	
In FY 2008, 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. The FMCSA will shift the program from predominately vehicle inspection activities to one which includes a greater number of driver inspections and an increased State delivery of the New Entrant program.	
In FY 2008, FMCSA will continue to improve federal oversight of the MCSAP program by continuing the MCSAP Program Review (MPR) as part of the Agency's State oversight activities. Modeled after the CDL Compliance Review Process, the MPR is used to monitor and assess individual State MCSAP programs for regulatory compliance, fiscal accountability, and overall program effectiveness.	
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. The 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 CSA 2010, 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 have the potential for nationwide implementation. By the end of FY 2008, all 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 State 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 2008 will include:

- Completing approximately 3 million State driver and vehicle inspections;
- Completing 3,700 State-conducted Compliance Reviews;
- Completing 28,500 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 4 States to test CSA2010 program improvements.

#### **FY 2009 Budget Request:**

For FY 2009, FMCSA requests \$209 million for States to continue to identify high CMV crash corridors and propose actions for reducing the frequency and severity of crashes in these corridors. As authorized in SAFETEA-LU, this represents a 3 percent increase over FY 2008 funding to support inflationary costs. The FMCSA will ensure that Level III inspections equal at least 30 percent of all roadside inspections. By the end of FY 2009, 100 percent of States will include a bus inspection component into their CVSPs. The FMCSA will continue to encourage all States to conduct New Entrant Safety Audits, with the number of State-conducted New Entrant Audits continuing to increase.

Other anticipated accomplishments in FY 2009 will include:

- Completing approximately 3 million State driver and vehicle inspections;
- Completing 5,000 State-conducted Compliance Reviews;
- Completing 29,000 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; and,
- Assisting FMCSA in conducting 60,000 Border HAZMAT Inspections.

## **Detailed Justification for CDL Improvement Grants Program**

<b>CDL Improvement Grants</b>	<b>FY 2009 Request: \$25 M</b>
<b>Overview:</b>	
The CDL Improvement Grants program is an essential component of the Agency's ability to comply with legal 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. The FMCSA's CDL Improvement Grants assist States in identifying unsafe drivers and removing them from the road.	
<b>FY 2008 Base:</b>	
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. The 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 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.	
<b>Anticipated FY 2008 Accomplishments:</b>	
The FMCSA will conduct an evaluation of program effectiveness of the CDL program and continue implementation of CDL Task Force recommendations for improvements to the CDL program. By the end of FY 2008, all 50 States and the District of Columbia will be fully compliant with MCSIA CDL legislative requirements. The FMCSA will conduct 51 State CDL program reviews in FY 2008.	
The Agency will enhance the CDL State compliance review process and assist States in enforcing new program requirements. The FMCSA will continue maintenance of the central repository of Mexican Licencia Federal driver convictions in the United States and continue to disqualify unsafe Mexican drivers and notify Mexican authorities. The FMCSA will also complete development of a central repository of Canadian commercial driver convictions in the United States. The Agency will begin to implement applicable provisions of the Real ID Act. The FMCSA will also publish final rules implementing new Medical/Certification and CDL Learners Permit regulations.	
The FMCSA will continue to improve financial tracking systems to monitor State expenditures under the CDL 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, it will also ensure that all 50 States and the District of Columbia are compliant with MCSIA requirements. The FMCSA has set a performance goal for 75 percent of State grantees to meet the goals established in their grant requests. Fifty 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-five percent of States will transmit information within a five percent error rate.

**FY 2009 Budget Request:**

For FY 2009, FMCSA requests \$25 million for CDL Improvement Grants.

The FMCSA will continue implementation of CDL Task Force recommendations for improvements. By the end of FY 2009, all 50 States and the District of Columbia will be fully compliant with MCSIA CDL legislative requirements. The FMCSA will conduct 51 CDL State program reviews in FY 2009.

The Agency will enhance the State CDL compliance review process and assist States in enforcing the new program requirements. The 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. FMCSA will continue to implement applicable provisions of the Real ID Act.

The FMCSA will continue to improve financial tracking systems to monitor State expenditures under the CDL 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, it will also ensure that all 50 States and the District of Columbia are compliant with MCSIA requirements. The FMCSA has set a performance goal for 90 percent of State grantees to meet the goals established in their grant requests. 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. Fifty percent of States will transmit information within a five percent error rate.

## Detailed Justification for Border Enforcement Grants Program

Border Enforcement Grants	FY 2009 Request \$32 M
<b>Overview:</b>	
Foreign carriers, drivers, and vehicles that operate in the U.S. must comply with the same U.S. Federal safety regulations when operating in the U.S. This includes adherence to all U.S. HM regulations, operating authority, and financial responsibility requirements. The 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 U.S. international borders. The FMCSA also continues to work closely with State partners and the Department of Homeland Security (DHS). The FMCSA will work with all Northern border States to ensure that 33 percent of their CMV inspections are border inspections of foreign carriers.	
<b>FY 2008 Base:</b>	
Border Enforcement Grants support State enforcement activities related to Federal motor carrier safety and HM 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.	
<b>Anticipated FY 2008 Accomplishments:</b>	
<i>Southern Border:</i> State truck safety enforcement agencies along the Southern border have enhanced their presence along the border by increasing their staffs to over 300 inspectors. State inspectors supported by these funds are located at and near the 33 commercial cargo crossings at the Southern borders. The majority of the inspectors are located in Texas which has 17 of the commercial crossings and accounts for 68 percent of the nearly 5 million truck north-bound crossings. In FY 2008, 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 CDLs. States will conduct 65,000 CDL checks and 20,000 license, authority, and financial checks. Southern Border Grants will also fund Federal and State conducted HM inspections.	

*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 or near the border. In FY 2008, the Northern Border Grant Program will reach maturity as the State enforcement programs will complement the pre-screening operations of DHS. Northern Border Grants will also fund Federal and State conducted HM inspections. Grants will also be used to fund approximately 6,000 State-conducted Canada CDL checks.

The FMCSA will also support joint projects to address CMV global connectivity, productivity, and safety. The Agency will continue to work closely with the Bureau of Customs and Border Protection (CBP) on the ACE/ITDS. The 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 2009 Budget Request:**

For FY 2009, FMCSA requests \$32 million for the Border Enforcement Grants Program. The FMCSA anticipates that States will conduct 65,000 Southern border CDL checks and 7,000 Northern border CDL checks in FY 2009. 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 CDLs at the Southern border. Federal and State personnel will also conduct 60,000 HM inspections and 10,000 motorcoach inspections at the Northern and Southern borders.

## **Detailed Justification for PRISM Grants Program**

<b>PRISM Grants</b>	<b>FY 2009 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 carriers 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 2008 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 2008 Accomplishments:</b>	
<p>In FY 2008, 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. The FMCSA will conduct briefings with State motor carrier associations and other stakeholders to garner support for States to seek PRISM-enabling legislation in their legislatures. The FMCSA will provide PRISM program support to the States including technical information technology (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 the 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. The 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.</p>	

**FY 2009 Budget Request:**

For FY 2009, FMCSA requests \$5 million for the PRISM Grants Program. In FY 2009, FMCSA will begin to formulate reauthorization goals based on analysis of the current program. The FMCSA 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.

The FMCSA will conduct briefings with State motor carrier associations and other stakeholders to garner support for PRISM-enabling legislation in the States. The 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 the number of States enforcing census update requirements (MCS-150) as a condition of license plate renewal. In FY 2009, 50 States will have grant allocations from the PRISM grant program, and 46 States will have approved implementation plans. The FMCSA will also work with State partners to ensure that at least 33 States suspend/revoke/deny license plates by the end of FY 2009, based on FMCSA's determination that the carrier cease interstate operations.

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

<b>Commercial Vehicle Information Systems and Networks Grants</b>	<b>FY 2009 Request: \$25 M</b>
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### **Overview:**

The 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 this 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.

### **FY 2008 Base:**

For FY 2008, the CVISN Grant program is focused on implementing the core and expanded CVISN capabilities. CVISN core capabilities 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 focusing enforcement on higher risk carriers and vehicles.
- **Interstate credentials administration**— The ability to streamline credentialing and tax administration processes so that motor carriers can use websites or a computer-to-computer exchange to apply for and receive credentials electronically.

The goals of expanded CVISN are to enhance the safety, security, and productivity of commercial vehicle operations. The 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 2008 Accomplishments:**

The FMCSA will implement and evaluate commercial driver information sharing capabilities for up to three States. The FMCSA will explore additional expanded CVISN functionality in the driver information sharing program area, as well as enhanced safety information sharing, smart roadside, and expanded electronic credentialing.

The FMCSA will provide continual technical assistance and support to States in all phases of core and expanded CVISN implementation. As a result, FMCSA will have accepted CVISN Program Plans for core deployment from all 50 States and the District of Columbia. The FMCSA has set a goal to provide CVISN deployment program grants to a total of 26 States to implement core CVISN capabilities and certify deployment of

core CVISN capabilities in a total of 23 States. The FMCSA will accept CVISN Program Plans for expanded capabilities from a total of eight States and provide CVISN deployment program grants to a total of eight States to implement expanded CVISN capabilities. The FMCSA expects to certify deployment of at least one expanded CVISN capability in a total of three States.

The FMCSA will develop a comprehensive strategy to create an integrated information systems and technology-based initiative for the next reauthorization. The key objectives of this initiative will be to develop, test, and deploy integrated technologies and systems to transform the roadside environment in which commercial trucks and buses operate. This will enable State and Federal safety assurance activities to be focused on identifying potentially unsafe, high-risk, and illegal carriers, drivers, and vehicles for inspection or review and if necessary, remove them from service, and increasing motor carrier and commercial vehicle credential and tax administration efficiency for carriers and government agencies through exchanging data among authorized Federal and State agencies and information systems.

#### **FY 2009 Budget Request:**

For FY 2009, FMCSA requests \$25 million for the CVISN Grants Program. The FMCSA will implement and evaluate commercial driver information sharing capabilities for up to six States. The FMCSA will explore additional expanded CVISN functionality in the driver information sharing program area, as well as enhanced safety information sharing and expanded electronic credentialing.

The funds requested for FY 2009 will provide States with critical funding to deploy both core and expanded CVISN capabilities. The FMCSA will provide technical assistance and support to all States to support their core and expanded CVISN deployment efforts. The FMCSA has set a goal to provide CVISN deployment program grants to a total of 29 States to implement core CVISN capabilities and certify deployment of core CVISN capabilities in a total of 26 States. The FMCSA has also set a goal to accept CVISN Program Plans for expanded capabilities from a total of 11 States and provide CVISN deployment program grants to a total of 11 States to implement expanded CVISN capabilities. The FMCSA expects to certify deployment of at least one expanded CVISN capability in a total of six States.

Based on the work completed in FY 2008, in FY 2009, FMCSA will continue its efforts to develop a comprehensive strategy to create an integrated information systems and technology-based initiative for the next reauthorization.

## **Detailed Justification for Safety Data Improvement Grants**

<b>Safety Data Improvement Grants</b>	<b>FY 2009 Request: \$3 M</b>
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### **Overview:**

The FMCSA collects safety data from the States, motor carriers, Federal staff, and other sources. The 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 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.

The FMCSA has established 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. This program provides 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 Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) motor carrier safety program reauthorization authorized funds for safety data improvement grants to eligible States under section 4128 totaling \$2 million for FY 2006 and \$3 million for each of FY 2007 through 2009.

The 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.

### **FY 2008 Base:**

State proposals will be funded through SaDIP 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 VINs. 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 SAFETYNET.

**Anticipated FY 2008 Accomplishments:**

In FY 2008, FMCSA will release a revised tool to elevate awareness and evaluate State data quality. This tool will factor in the completeness of the MCMIS data files as well as the records contained in the system. The tool will contain new measures that evaluate the completeness of driver and vehicle identification information in order to better support the Agency's education and enforcement programs. The tool will use a green-yellow-red rating system much like the President's Management Agenda Information Technology Scorecard.

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 12 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.

**FY 2009 Budget Request:**

For FY 2009, FMCSA requests \$3 million for the SaDIP Grants Program. Using FY 2009 funding, FMCSA will continue to work with States to improve overall quality of State reported data collection and reporting, with the goal that 14 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.

## **Detailed Justification for CDLIS Grants**

<b>CDLIS Grants</b>	<b>FY 2009 Request: \$8 M</b>
<b>Overview:</b>	
Although it is not a Federal data system, the CDLIS is an essential adjunct to the Agency's ability to 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.	
<b>FY 2008 Base:</b>	
In accordance with SAFETEA-LU, 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. The 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.	
<b>Anticipated FY 2008 Accomplishments:</b>	
The FMCSA will work with the American Association of Motor Vehicle Administrators (AAMVA) to continue network upgrades, begin procedure design, complete central site programming, and develop structured test plans for the modernization of CDLIS. The Agency plans to provide grant funds to States to begin system changes and implementation of the Modernized CDLIS.	
<b>FY 2009 Budget Request:</b>	
<b>For FY 2009, FMCSA requests \$8 million for the CDLIS Grants Program.</b>	
The FMCSA will award CDLIS Grant funds to AAMVA to complete development of the modernized CDLIS including completion of central site programming and conducting structure tests of State CDLIS systems. The FMCSA also plans to provide grant funds to States to continue system changes and implementation efforts. In FY 2009, the Agency's goal is that 25 States will analyze their systems and begin making programming changes necessary to upgrade to the Modernized CDLIS.	
These estimates do not include the impact that Real ID may have on this project. If DHS chooses to upgrade CDLIS to include all drivers, new estimates and project plans will have to be created.	

## **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>\$7 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>  FMCSA's requested increase in the Agency's MCSAP Grant program is consistent with the SAFETEA-LU FY 2009 authorization level for this element.	<b>\$7 M</b>

## PERFORMANCE OVERVIEW

### **Annual Performance Results and Targets**

FMCSA integrates performance results into its budget request to demonstrate alignment with DOT 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 (VMT) by the end of 2011.

Large Truck and Bus Fatality Rate per 100 M VMT	2005	2006	2007	2008	2009
Target Rate	n/a	.179	.175	.171	.167
Actual Rate	.185	.176			

(p) Projected

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

Number of serious hazardous materials incidents in transportation	2004	2005	2006	2007	2008	2009
Target Rate	509	503	470	466	462	458
Actual Rate	492(r)	528(r)	494			

(r) Revised

\* Preliminary Estimate

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

### **Program Assessment Rating Tool (PART) Assessment**

PART was developed by the Office of Management and Budget (OMB) 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 2004	67	Minimally Effective
FMCSA Grant Program	FY 2005	72	Moderately Effective

### **FMCSA Grant Program Analysis:**

The FMCSA's Grant program distributes Block Grants to States based on a formula. The Motor Carrier Safety Assistance Program (MCSAP) reduces 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.

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

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

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

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

Recommendation #3: Utilize SAFETEA-LU 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. The 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	2.83
2002	2.99
2003	2.98
2004	2.27
2005	2.35
2006	2.72

1. **FMCSA's Efficiency Index:** The FMCSA has developed an index measure of how efficient Agency operations are at saving lives. The FMCSA's goal is to increase the number of lives saved in crashes involving large trucks and buses. The efficiency index gives an indication of whether FMCSA is achieving increased or decreased efficiency in meeting this goal by comparing the change in lives saved against the total FMCSA budget. Higher index numbers indicate increased efficiency while lower index numbers indicate decreased efficiency. In 2006, FMCSA's efficiency is estimated to have increased due to a relatively larger increase in the number of lives saved compared to a relatively smaller increase in the total budget. The resulting increase in the index indicates that FMCSA was moderately more efficient in 2006 compared with 2005.

Grant Processing		
Year	Target	Actual
2005	Base	99.6%
2006	Base	96.0%
2007	Base	99.7%
2008		97.0%
2009		97.5%
2010		98.0%
2011		98.5%
2012		99.0%

2. **Efficiency of Grant Processing:** To improve efficiency of Agency grant operations, FMCSA works with States to ensure that all of the funds available for grants are able to be awarded to suitable grantees. Some of the grants offered by FMCSA require the States to supply a certain amount of matching funds. At times, this makes it difficult to award all of the grant money for a particular fiscal year. The Agency goal is to award more than 99 percent of all grant money authorized to States, which FMCSA achieved in FY 2007.

FY 2009

**FMCSA**

Performance Budget Estimates

## **SECTION 3C**

Other  
Information

**FISCAL YEAR 2009 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 (\$ Millions)**

	<b>2007 Actual</b>	<b>2008 Enacted</b>	<b>2009 Request</b>
<b>Identification Code: 69-8159-0-7-401</b>			
<b>Obligations by Program Activity:</b>			
0001 Commercial Motor Vehicle Safety	168	183	185
0002 HAZMAT Safety	8	8	9
0003 HAZMAT Security	7	7	7
0004 Commercial Motor Vehicle Productivity	4	4	4
0005 Organizational Excellence	28	28	29
0100 Subtotal, direct program	<u>215</u>	<u>230</u>	<u>234</u>
0901 Reimbursable program	27	27	27
1000 Total new obligations	<u>242</u>	<u>257</u>	<u>261</u>
<b>Budgetary Resources Available for Obligation:</b>			
2140 Unobligated balance carried forward, start of year	12	12	11
2200 New budget authority (gross)	240	256	260
2210 Resources available from recoveries of PY obligations	2	0	0
2390 Total budgetary resources available for obligation	<u>254</u>	<u>268</u>	<u>271</u>
2395 Total new obligations	<u>(242)</u>	<u>(257)</u>	<u>(261)</u>
2440 Unobligated balance carried forward, end of year	12	11	10
<b>New Budget Authority (gross), detail:</b>			
<b>Discretionary</b>			
4026 Appropriation (trust fund, definite)	223	230	234
4049 Portion applied to liquidate contract authority	<u>(223)</u>	<u>(230)</u>	<u>(234)</u>
4935 Contract authority permanently reduced	0	<u>(2)</u>	0
5800 Spending authority from offsetting collections: Offsetting collections (cash)	17	28	26
<b>Mandatory</b>			
6610 Mandatory contract authority	223	230	234
6635 Contract Authority permanently reduced	0	<u>(2)</u>	0
6690 Contract Authority (Total mandatory)	<u>223</u>	<u>228</u>	<u>234</u>
7000 Total new budget authority (gross)	<u>240</u>	<u>256</u>	<u>260</u>
<b>Change in obligated balances:</b>			
7240 Obligated balance, start of year	62	97	24
7310 Total new obligations	242	257	261
7320 Total outlays (gross)	<u>(205)</u>	<u>(330)</u>	<u>(260)</u>
7345 Recoveries of prior year obligations	<u>(2)</u>	0	0
7440 Obligated balance, end of year	<u>97</u>	<u>24</u>	<u>25</u>
<b>Outlays (gross), detail:</b>			
8690 Outlays from new discretionary authority	193	235	236
8693 Outlays from discretionary balances	12	95	24
8700 Total outlays (gross)	<u>205</u>	<u>330</u>	<u>260</u>
<b>Offsets</b>			
<b>Against gross budget authority and outlays</b>			
8845 Against gross budget authority and outlays offsetting collections (cash) from: Offsetting governmental collections (from non-Federal sources)	17	28	20
8890 Total, offsetting collections (cash)	<u>17</u>	<u>28</u>	<u>26</u>
<b>Net Budget Authority and Outlays:</b>			
8900 Budget authority	223	228	234
9000 Outlays	188	302	234

**Memorandum (non-add) Entries:**

9303	Obligated balance, start of year: Contract authority	(2)	(2)	(4)
9304	Obligated balance, end of year: Contract authority	(2)	(4)	(4)

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

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

	2007 Actual	2008 Enacted	2009 Request
<b>Identification Code: 69-8158-0-7-401</b>			
<b>Obligations by Program Activity:</b>			
0001 Commercial Motor Vehicle Safety	284	291	298
0002 HAZMAT Safety	9	9	9
1000 Total new obligations	293	300	307
<b>Budgetary Resources Available for Obligation:</b>			
2140 Unobligated balance carried forward, start of year	11	12	1
2200 New budget authority (gross)	294	289	307
2390 Total budgetary resources available for obligation	305	301	308
2395 Total new obligations	(293)	(300)	(307)
2440 Unobligated balance carried forward, end of year	12	1	1
<b>New Budget Authority (gross), detail:</b>			
<b>Discretionary</b>			
4026 Discretionary appropriation (trust fund, definite)	294	300	307
4049 Portion applied to liquidate contract authority	(294)	(300)	(307)
<b>Mandatory</b>			
6610 Mandatory contract authority	294	300	307
6635 Contract authority permanently reduced	0	(11)	0
6690 Contract Authority (Total mandatory)	294	289	307
7000 Total new budget authority (gross)	294	289	307
<b>Change in obligated balances:</b>			
7240 Obligated balance, start of year	194	277	216
7310 Total new obligations	293	300	307
7320 Total outlays (gross)	(210)	(361)	(302)
7440 Obligated balance, end of year	277	216	221
<b>Outlays (gross), detail:</b>			
8690 Outlays from new discretionary authority	0	84	86
8693 Outlays from discretionary balances	210	277	216
8700 Total outlays (gross)	210	361	302
<b>Net Budget Authority and Outlays:</b>			
8900 Budget authority	294	289	307
9000 Outlays	210	361	302
<b>Memorandum (non-add) Entries:</b>			
9303 Obligated balance, start of year: Contract authority	(3)	(3)	(14)
9304 Obligated balance, end of year: Contract authority	(3)	(14)	(14)

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

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

	2007 Actual	2008 Enacted	2008 Request
<b>Identification Code: 69-8048-0-7-401</b>			
<b>Budgetary Resources Available for Obligation:</b>			
2140 Unobligated balance carried forward, start of year	5	15	10
2210 Resources available from recoveries of prior year obligations	10	0	0
2390 Total budgetary resources available for obligation	15	15	10
2440 Unobligated balance carried forward, end of year	15	15	10
<b>Change in obligated balances:</b>			
7240 Obligated balance, start of year	80	44	0
7320 Total outlays (gross)	(26)	(44)	0
7345 Recoveries of prior year obligations	(10)	0	0
7440 Obligated balance, end of year	44	0	0
<b>Outlays (gross), detail:</b>			
8693 Outlays from discretionary balances	26	44	0
<b>Net Budget Authority and Outlays:</b>			
8900 Budget authority	0	(5)	0
9000 Outlays	26	44	0

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

**MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS  
PROGRAM AND FINANCING (\$ Millions)**

	2007 Actual	2008 Enacted	2008 Request
<b>Identification Code: 69-8055-0-7-401</b>			
<b>Budgetary Resources Available for Obligation:</b>			
2140 Unobligated balance carried forward, start of year	35	37	5
2200 New budget authority (gross)	0	(32)	0
2210 Resources available from recoveries of prior year obligations	2	0	0
2390 Total budgetary resources available for obligation	37	5	5
2440 Unobligated balance carried forward, end of year	37	5	5
<b>Change in obligated balances:</b>			
7240 Obligated balance, start of year	67	35	0
7320 Total outlays (gross)	(30)	(35)	0
7345 Recoveries of prior year obligations	(2)	0	0
7440 Obligated balance, end of year	35	0	0
<b>Outlays (gross), detail:</b>			
8693 Outlays from discretionary balances	30	35	0
8700 Total outlays (gross)	30	35	0
<b>Net Budget Authority and Outlays:</b>			
8900 Budget authority	0	(32)	0
9000 Outlays	30	35	0

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

**OBJECT CLASSIFICATION**  
(\$ thousands)

	FY 2007 Actual	FY 2008 Enacted	FY 2009 Request
<b>Direct Obligations:</b>			
Personnel compensation			
11.1 Full-time permanent	66,867	72,398	74,725
11.3 Other than full-time permanent	0	2,000	2,000
11.9 Total personnel compensation	<u>66,867</u>	<u>74,398</u>	<u>76,725</u>
12.1 Civilian personnel benefits	27,845	30,982	31,950
21.0 Travel and transportation of persons	12,344	13,811	14,129
22.0 Transportation of Things	47	673	688
23.1 Rental payments to GSA	10,895	11,194	11,451
23.3 Comm., Rent, and Utilities	3,252	6,364	6,510
24.0 Printing	146	1,775	1,816
25.2 Other services	88,901	77,291	78,666
25.5 Research and development contracts	10,296	8,900	7,724
26.0 Supplies and materials	1,182	1,021	1,044
31.0 Equipment	225	2,245	2,297
41.0 Grants, subsidies, and	1,000	1,000	1,000
99.0 Subtotal, Direct Obligations	<u>223,000</u>	<u>229,654</u>	<u>234,000</u>
<b>Reimbursable Obligations:</b>			
Personnel Compensation			
11.1 Full-time permanent	4,000	3,000	3,000
11.3 Other than full-time permanent	0	0	0
Total personnel compensation	<u>4,000</u>	<u>3,000</u>	<u>3,000</u>
12.1 Civilian personnel benefits	1,000	1,000	1,000
25.0 Other services	6,000	23,000	23,000
99.0 Subtotal, Reimbursable Obligations	<u>11,000</u>	<u>27,000</u>	<u>27,000</u>
<b>99.9 Total Obligations:</b>	<b><u>234,000</u></b>	<b><u>256,654</u></b>	<b><u>261,000</u></b>

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

	<b>OBJECT CLASSIFICATION</b> (\$ thousands)		
	<b>FY 2007 Actual</b>	<b>FY 2008 Enacted</b>	<b>FY 2009 Request</b>
<b>Direct Obligations:</b>			
21.0 Travel and Transportation of persons	2,000	2,000	2,000
25.2 Other services	29,000	29,000	29,000
41.0 Grants, subsidies and contributions	<u>266,000</u>	<u>269,000</u>	<u>276,000</u>
<b>99.9 Total Obligations</b>	<b>297,000</b>	<b>300,000</b>	<b>307,000</b>

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

**PERSONNEL SUMMARY**

	<b>FY 2007 Actual</b>	<b>FY 2008 Enacted</b>	<b>FY 2009 Request</b>
<b>Direct:</b>			
1001 Full time equivalent employment	959	1,062	1,062
<b>Reimbursable:</b>			
2001 Full time equivalent employment	52	57	57
<b>Total full time equivalent employment</b>	<b>1,011</b>	<b>1,119</b>	<b>1,119</b>

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

**ESTIMATES**

1995 .....	73,000,000
1996 .....	68,000,000
1997 .....	74,000,000
1998 .....	
1999 .....	
2000 .....	
2001 .....	
2002 .....	
2003 .....	
2004 .....	
2005 .....	
2006 .....	
2007 .....	
2008 .....	
2009 .....	

**APPROPRIATIONS**

1995 .....	73,000,000
1996 .....	68,000,000
1996 Rescission of Contract	
Authority .....	(33,000,000) <sup>1</sup>
1997 .....	74,000,000
1997 Omnibus Rescission of	
Contract Authority .....	(12,300,000) <sup>2</sup>
1998 .....	85,000,000
1999 .....	100,000,000
2000 .....	105,000,000
2001 .....	
2002 .....	
2003 .....	
2004 .....	
2005 .....	
2006 .....	
2007 .....	
2008 Rescission of contract	
authority .....	(32,187,720) <sup>3</sup>

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

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

<sup>3</sup> Enacted rescission of prior year carryover P.L. 110-161.

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

**ESTIMATES**

1998 .....	90,000,000
1999 .....	100,000,000
2000 .....	155,000,000 <sup>1</sup>
2001 .....	187,000,000 <sup>2</sup>
2002 .....	204,837,000 <sup>3</sup>
2003 .....	190,000,000
2004 .....	
2005 .....	
2006 .....	
2007 .....	
2008 .....	
2009 .....	

**APPROPRIATIONS**

1998 .....	
1999 .....	
2000 .....	(105,000,000) <sup>4</sup>
2001 .....	177,000,000
2002 .....	205,896,000 <sup>5</sup>
2003 .....	190,000,000
2003 Rescission of contract authority .....	(1,235,000) <sup>6</sup>
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>
2006 .....	
2007 .....	
2008 Rescission of contract authority .....	(5,212,858) <sup>9</sup>
2009 .....	

<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.

<sup>9</sup> Enacted rescission of prior year carryover P.L. 110-161.

**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
2008..... 228,000,000	authority.....(2,130,000) <sup>1</sup>
2009..... 234,000,000	2007 ..... 223,000,000
	2008 ..... 228,000,000
	2008 Rescission of contract <sup>2</sup>
	authority.....(1,815,553)
	2009 ..... 234,000,000

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

<sup>2</sup>Rescission of Prior Year Carryover

**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..... 297,411,000	2006 Rescission of contract
2008..... 300,000,000	authority.....(2,820,000) <sup>1</sup>
2009..... 307,000,000	2007 ..... 297,411,000 <sup>2</sup>
	2008 ..... 300,000,000
	2008 Rescission of contract
	authority.....(11,260,214) <sup>3</sup>
	2009 ..... 307,000,000

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

<sup>2</sup>Includes \$3,411,000 RABA Adjustment

<sup>3</sup>Rescission of Prior Year Carryover

**MOTOR CARRIER SAFETY GRANTS****LIMITATION ON OBLIGATIONS**

ESTIMATES	LIMITATION
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
2008 .....	300,000,000
2009 .....	307,000,000
	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
	Oblim .....
	(2,820,000) <sup>2</sup>
	2007 .....
	297,411,000 <sup>3</sup>
	2008 .....
	300,000,000
	2008 Rescission of
	Oblim .....
	(11,260,214) <sup>4</sup>
	2009 .....
	307,000,000

<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> Includes \$3,411,000 RABA Adjustment

<sup>4</sup> Rescission of prior year carryover P.L. 110-161

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

ESTIMATES	LIMITATION
1998 .....	1998 .....
1999 .....	1999 .....
2000 .....	2000 .....(105,000,000) <sup>4</sup>
2001 .....	2001 ..... 177,000,000
2002 .....	2001 Rescission of obligation limitation (389,400) <sup>5</sup>
2003 .....	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>
	2006 .....
	2007 .....
	2008 Rescission of Oblim .....(5,212,858) <sup>10</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.

<sup>10</sup> Rescission of prior year carryover P.L. 110-161

## MOTOR CARRIER SAFETY

### ESTIMATES

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

### APPROPRIATIONS

1995 .....	(48,899,000) <sup>2,3</sup>
1996 .....	(46,000,000) <sup>2,3</sup>
1997 .....	(49,000,000) <sup>2,3</sup>
1998 .....	(51,000,000) <sup>2,3</sup>
1999 .....	(53,375,000) <sup>2,3</sup>
2000 .....	
2001 .....	
2002 .....	
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>
	2006 .....
	2007 .....
	2008 Rescission of Oblim..(32,187,720) <sup>8</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.

<sup>8</sup> Rescission of prior year carryover P.L. 110-161

## **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.....
2007 .....	2007 Account Expired

<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>
2008..... 228,000,000	2007 .....210,870,000
2009..... 234,000,000	2008 .....229,654,000 <sup>2</sup>
	2009 .....234,000,000

<sup>1</sup>Enacted rescission pursuant to P.L. 109-148.

<sup>2</sup>Enacted increase in Obligation Limitation to use Prior Year Carryover Contract Authority

## **MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS**

### **ESTIMATES**

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

### **APPROPRIATION**

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 GRANTS  
LIMITATION ON OBLIGATIONS**

ESTIMATES	LIMITATION
2004 .....	2004.....
2005 .....	2005.....
2006 .....282,000,000	2006.....279,180,000
2007 .....294,000,000	2006 rescission of obligation limitation (2,791,800) <sup>1</sup>
2008 .....300,000,000	2007 .....294,000,000
2009 .....307,000,000	2008 .....300,000,000

<sup>1</sup> Enacted rescission pursuant to P.L. 109-148.

FY 2009

**FMCSA**

Performance Budget Estimates

## **SECTION 4**

Performance  
Budget

**FISCAL YEAR 2009 PERFORMANCE BUDGET ESTIMATES  
SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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**EXHIBIT IV-1**

**FY 2009 BUDGET REQUEST BY STRATEGIC OBJECTIVE AND PERFORMANCE GOAL**

**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**

**Appropriations, Obligation Limitations, & Exempt Obligations**

(\$000)

	(A)	(B)	(C)
<b>PERFORMANCE GOALS &amp; MEASURES by PERFORMANCE MEASURE</b>	<b>FY 2007 ACTUAL</b>	<b>FY 2008 ENACTED</b>	<b>FY 2009 REQUEST</b>
<b>I. Safety Strategic Goal</b>			
<b>A. Highway Safety</b>			
1. Large truck and bus fatality rate per 100 million vehicle-miles traveled	459,397	473,516	483,074
a. Passenger Vehicle Occupant Fatalities	325,253	336,903	342,016
b. Motorcycle Rider Fatalities	17,457	17,994	18,357
c. Non-occupant Fatalities	38,589	39,775	40,578
d. CMV Occupant Fatalities	78,098	78,844	82,123
<b>B. HAZMAT Safety</b>			
1. Number of serious HAZMAT incidents involving Commercial Motor Vehicles (CMVs)	17,163	17,448	17,647
<b>Subtotal</b>	<b>476,560</b>	<b>490,964</b>	<b>500,721</b>
<b>II. Reduced Congestion</b>			
<b>A. Increase Access</b>			
1. Engage consumers, shippers, and carriers through partnerships, education and compliance operations to improve responsiveness to Household Goods complaints	1,614	2,809	2,853
2. Advance electronic safety and credentials monitoring while maintaining flow of commerce	490	853	866
<b>Subtotal</b>	<b>2,104</b>	<b>3,662</b>	<b>3,719</b>
<b>III. Global Connectivity</b>			
<b>A. Expand Business Opportunities</b>			
1. International Trade Data Systems (ITDS)	100	354	361
<b>IV. Security, Preparedness and Response</b>			
<b>A. Hazmat Emergency Response</b>			
1. CMV Hazardous Materials Security	8,095	6,743	6,678
<b>B. Ensure Emergency Preparedness</b>			
1. Emergency Preparedness/COOP/Disaster Support	491	503	
<b>Subtotal</b>	<b>8,095</b>	<b>7,234</b>	<b>7,181</b>
<b>V. Organizational Excellence</b>			
<b>A. Fulfill the President's Management Agenda</b>			
1. Promote Strategic Management of Human Capital	4,163	4,356	
2. Advance Electronic-Government Solutions	2,621	2,681	
3. Implement Competitive Sourcing	252	258	
4. Enhance Financial & Procurement Performance	8,353	8,847	
5. Integrate Budget and Performance	2,754	2,814	
6. Promote Organizational Efficiency and Open Communications	7,640	8,369	
7. Program Support	1,657	1,693	
<b>Subtotal</b>	<b>30,141</b>	<b>27,440</b>	<b>29,018</b>
<b>GRAND TOTAL</b>	<b>517,000</b>	<b>529,654</b>	<b>541,000</b>

+/- \$1K Variance Due to Rounding

FY 2009

**FMCSA**

Performance Budget Estimates

**SECTION 4A**

Safety

**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 Department of Transportation (DOT) Safety strategic objective and performance target to reduce highway fatalities to no more than 1.0 per 100 million vehicle-miles of travel (VMT) by the end of 2011 as follows:

Fatalities per 100 Million VMT							
	<u>2003</u>	<u>2004</u>	<u>2005</u>	<u>2006</u>	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Target:</b>	1.40	1.38	1.38	1.38	1.38	1.37	1.35
<b>Actual:</b>	1.48	1.44	1.46	1.41			

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 VMT 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>	<u>2009</u>
<b>Target:</b>	Base	.179	.175	.171	.167
<b>Actual:</b>	.185	.176			

Fatalities in Crashes Involving Large Trucks per 100 Million Large Truck VMT					
	<u>2004</u>	<u>2005</u>	<u>2006</u>	<u>2007</u>	<u>2008</u>
<b>Target:</b>	2.07	1.96	1.85	1.75	1.65
<b>Actual:</b>	2.37	2.35	2.24		

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

Number of Serious HM Incidents in Transportation						
	<u>2004</u>	<u>2005</u>	<u>2006</u>	<u>2007</u>	<u>2008</u>	<u>2009</u>
<b>Target:</b>	509	503	470	466	462	458
<b>Actual:</b>	492(r)	528(r)	494			

(r) Revised Number

**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 (CMV) crashes by: advancing motor carrier standards and rulemaking; increasing compliance with Federal Motor Carrier Safety Regulations and HM Regulations through both Federal operations and the 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 CMV operator's physical qualifications; enhancing commercial driver identification and systems; improving CMV safety information and analysis (including a significant information technology modernization); and advancing technological solutions.

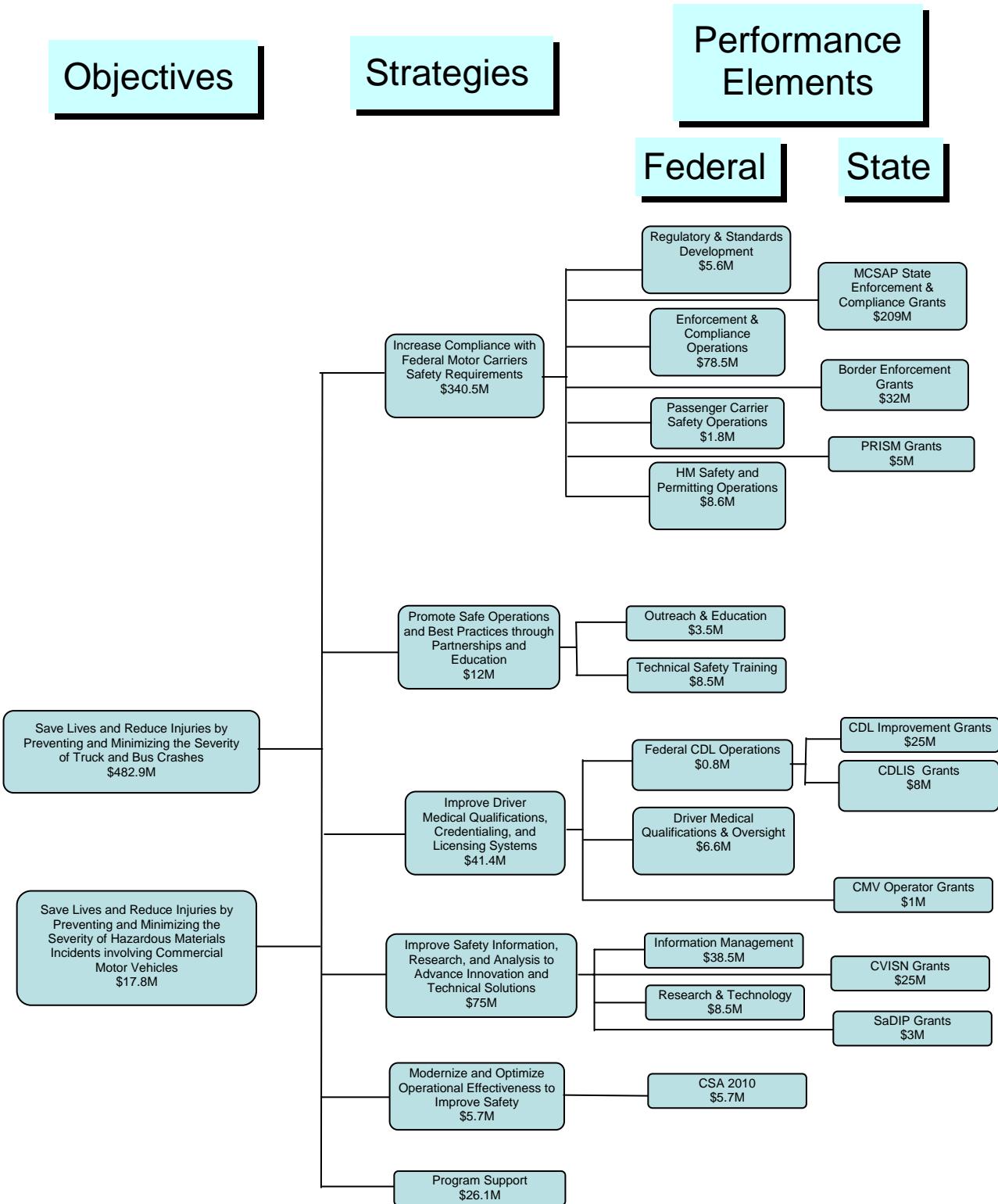
With these funds, DOT will also work to reduce the number and severity of CMV HM incidents through performance elements that include: enforcement and compliance operations; border enforcement grants; and research and technology.

The resources requested to achieve this goal are:

REQUEST by STRATEGIC GOAL (\$000)	FY 2007 <u>ACTUAL</u>	FY 2008 <u>ENACTED</u>	FY 2009 <u>REQUEST</u>
I. SAFETY	<u>\$476,560</u>	<u>\$490,158</u>	<u>\$500,721</u>
A. Save lives and reduce injuries by preventing and minimizing the severity of truck and bus crashes			
1. Motor Carrier Safety Operations & Programs	\$174,175	\$181,773	\$185,074
2. Motor Carrier Safety Grants	\$285,000	\$291,000	\$298,000
FTE	855	851	851
B. Save lives and reduce injuries by preventing and minimizing the severity of HM incidents involving CMVs			
1. Motor Carrier Safety Operations & Programs	\$8,385	\$8,385	\$8,647
2. Motor Carrier Safety Grants	\$9,000	\$9,000	\$9,000
FTE	70	84	84

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

# Commercial Motor Vehicle Safety Program Logic Model



# FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

## Marginal Cost of Performance Commercial Motor Vehicle Safety

### Requested Program Changes from FY 2009 Baseline Associated with this Goal

REQUEST by STRATEGIC GOAL (\$000)	FY 2007 <u>ACTUAL</u>	FY 2008 <u>ENACTED</u>	FY 2009 <u>REQUEST</u>
I. SAFETY	\$476,560	\$490,158	\$500,721
A. Motor Carrier Safety Operations & Programs	\$182,560	\$190,158	\$193,721
FTE	925	935	935
B. Motor Carrier Safety Grants	\$294,000	\$300,000	\$307,000
FTE	0	0	0

### Agency Output or Outcome Measure Associated with this Program Increase(s)

Performance Measure: Lives saved in truck and bus related crashes  
(using the 2005 fatality rate as baseline).

	FY 2006	FY 2007	FY 2008	FY 2009
<b>Baseline Performance Level:</b>				
Target	<b>161</b>	<b>161</b>	<b>288</b>	<b>419</b>
Actual	213(e)			
Incremental Performance				
Target with Program Changes	<b>0</b>	<b>127</b>	<b>131</b>	<b>122</b>
(Total) Performance Target with Program Changes	<b>161</b>	<b>288</b>	<b>419</b>	<b>541</b>
(e) Preliminary Estimate				

**Marginal Cost Narrative:** In coordination with the new DOT Strategic Plan 2006-2011, FMCSA established a new performance goal. By the end of 2011, the Agency is to achieve a rate of no more than .16 fatalities in crashes involving large trucks and buses per 100 million VMT. The Agency's performance targets for lives saved are re-baselined to match the new performance goal. The target for lives saved is based on the Agency's target fatality rate for crashes involving large trucks and buses and estimated total VMT. The incremental improvement from 2008 to 2009, based on a funding increase of \$12.012 million, is 122 additional lives saved.

## **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 HM incidents involving CMVs.

### **Performance Strategies**

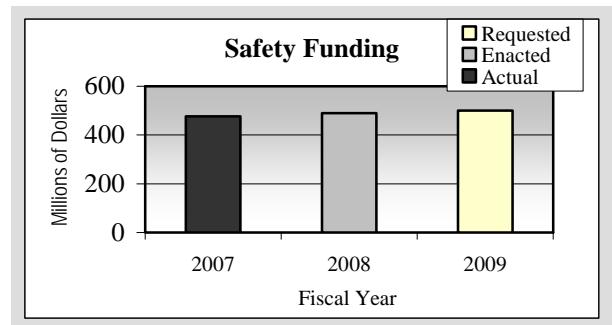
- Increase compliance with Federal Motor Carrier Safety Requirements (FMCSRs) and Federal Hazardous Materials Regulations (FHMRs).
- Promote safe operations and best practices through partnerships and education.
- Improve driver medical qualifications, credentialing and licensing systems.
- Improve safety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

### **Performance Elements**

<b><u>Federal</u></b>	<b><u>State</u></b>
<ul style="list-style-type: none"><li>• Regulatory &amp; Standards Development</li><li>• Enforcement and Compliance Operations</li><li>• Passenger Carrier Safety Operations</li><li>• HM Safety and Permitting Operations</li><li>• Outreach and Education</li><li>• Technical Safety Training</li><li>• Federal CDL Operations</li><li>• Driver Medical Qualifications and Oversight</li><li>• Information Management</li><li>• Research and Technology</li><li>• CSA 2010</li><li>• Program Support</li></ul>	<ul style="list-style-type: none"><li>• MCSAP State Enforcement and Compliance Grants</li><li>• Border Enforcement Grants</li><li>• PRISM Grants</li><li>• CDL Improvement Grants</li><li>• CDLIS Grants</li><li>• CMV Operator Grants</li><li>• CVISN Grants</li><li>• SaDIP Grants</li></ul>

### **Leading Performance Indicators**

- Fatalities from large truck crashes
- Injuries from large truck crashes
- Rate of large truck-related injuries per 100 million truck VMT
- Serious HM incidents
- Number of HM CMVs in crashes
- Intercity bus fatalities



**DOT PERFORMANCE GOAL:** Reduction in transportation-related deaths and injuries.

The Department has made transportation safety its highest priority. While firmly committed to meeting the 1.0 fatality rate goal, the Department has realized it will not reach this goal by 2008 as originally planned. The 2006 fatality rate of 1.42 equates to 42,642 lives lost from motor vehicle crashes. This is unacceptable and even one fatality is one too many.

The 2008 1.0 goal was originally set in 1998, and would reduce the number of transportation deaths to an absolute number of about--33,500--by 2008. The number was changed to an equivalent rate in 2002. The original goal was based on overly optimistic behavioral assumptions—a 90 percent seatbelt usage rate and alcohol related fatalities falling to 11,000 annually. Current figures show national seatbelt usage rate at 81 percent and over 17,000 alcohol related highway fatalities annually. Additionally, an unprecedented and sustained spike in motorcycle fatalities began when the original goals were set—from a historic low of 2,116 in 1997 to 4,810 in 2006 (a 127 percent increase).

The funding requests for the Federal Motor Carrier Safety Administration (FMCSA), the National Highway Traffic Safety Administration (NHTSA) and the Federal Highway Administration (FHWA) contribute to the DOT Safety strategic objective and its new target, as stated in the DOT 2006-2011 Strategic Plan, to reduce highway fatalities to 1.0 per 100 million vehicle-miles of travel (VMT) by 2011. The DOT overall fatality rate target for 2009 is no more than 1.35 fatalities per 100 million VMT.

Likewise, in the FY 2008 budget, the Department included four fatality sub-measures—passenger vehicles, motorcycle riders, large trucks and buses, and non-occupants (pedestrians, bicyclists, etc.)—which represent the breadth of all highway users. The purpose of this approach is to closely look at the fatality rates of the different segments of highway users and devote greater energy and resources and develop new strategies to combat sub-measure trends that are impeding progress to the overall 1.0 goal. NHTSA, FHWA, and FMCSA programs directly support these sub-metrics and included later in this chapter is a discussion on agency specific initiatives towards each measure.

## DOT ACCOUNTABILITY MEASURES IN SUPPORT OF 1.0

**Reduce the rate of passenger vehicle occupant highway fatalities per 100 million passenger vehicle VMT**

	2001	2002	2003	2004	2005	2006	2007	2008	2009
Target:	Base	NA	NA	NA	1.15	1.12	1.10	1.06	1.02
Actual:	1.25	1.25	1.21	1.17	1.15	1.10			

**Reduce the rate of motorcycle rider highway fatalities per 100,000 motorcycle registrations**

	2001	2002	2003	2004	2005	2006	2007	2008	2009
Target:	Base	NA	NA	NA	NA	75	76	76	77
Actual:	65.20	65.35	69.16	69.83	73.48	71.94			

**Reduce the rate of large truck and bus fatalities per 100 million VMT**

	2005	2006	2007	2008	2009
Target:	Base	0.179	0.175	0.171	0.167
Actual:	0.185	0.176			

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

	2001	2002	2003	2004	2005	2006	2007	2008	2009
Target:	Base	NA	NA	NA	NA	0.16	0.15	0.19	0.19
Actual:	0.21	0.20	0.19	0.19	0.20	0.19			

(r) Revised; \* Preliminary; † Data available 12/07 by NHTSA & FHWA

In addition, 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. Each mode has included a discussion of their agency-specific outcome measures in their respective FY 2009 budget submissions.

The FMCSA's primary mission is to reduce crashes, injuries and fatalities involving large trucks and buses. To accomplish its safety mandate, FMCSA develops and enforces data-driven regulations that balance motor carrier (truck and bus companies) safety with industry efficiency; harnesses safety information systems to focus on higher risk carriers in enforcing the safety regulations; targets educational messages to carriers, commercial drivers, and the public; and partners with stakeholders including Federal, State, and local enforcement agencies, the motor carrier industry, safety groups, and organized labor on efforts to reduce bus and truck-related crashes.

The NHTSA's mission is to "Save lives, prevent injuries and reduce economic costs due to road traffic crashes, through education, research, safety standards and enforcement activity" - a policy that dovetails with the Department's Strategic Safety goal to "Enhance public health and safety by working toward the elimination of transportation-related deaths and injuries". Every fatality on our nation's highways is a preventable tragedy, and this is why families are the inspiration behind NHTSA's programs and policies. Keeping families safe also requires the enforcement of sound motor vehicle regulations and traffic safety laws, enlisting technology in protecting the family on the highway and supporting comprehensive Enhanced 9-1-1 technologies to improve response time and post-crash care.

The FHWA's mission is to enhancing mobility through Innovation, Leadership, and Public Service.

## **DOT PERFORMANCE ISSUES**

Motor vehicle crashes are the leading cause of death and disability for Americans age 2 through 34. Traffic crashes cost our economy approximately \$230.6 billion (in 2000 dollars), 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 seeks to attenuate this major public health problem and avoid the pain, suffering, and economic loss to our Nation by preventing highway crashes and alleviating the effects when crashes do occur.

A preview of results from the 2006 Annual Assessment of Motor Vehicle Traffic Crash Fatalities and Injuries indicates a reduction in both fatalities and injuries for people involved in motor vehicle crashes. In 2006, 42,642 people died in traffic crashes, a drop of 868 deaths compared to 2005 (43,510). This equates to a two percent decline in traffic deaths and a historic low fatality rate of 1.41 per 100 million vehicle miles traveled (VMT), compared to 1.46 in 2005. This is the lowest highway fatality rate ever recorded and the largest drop in total deaths in 15 years.

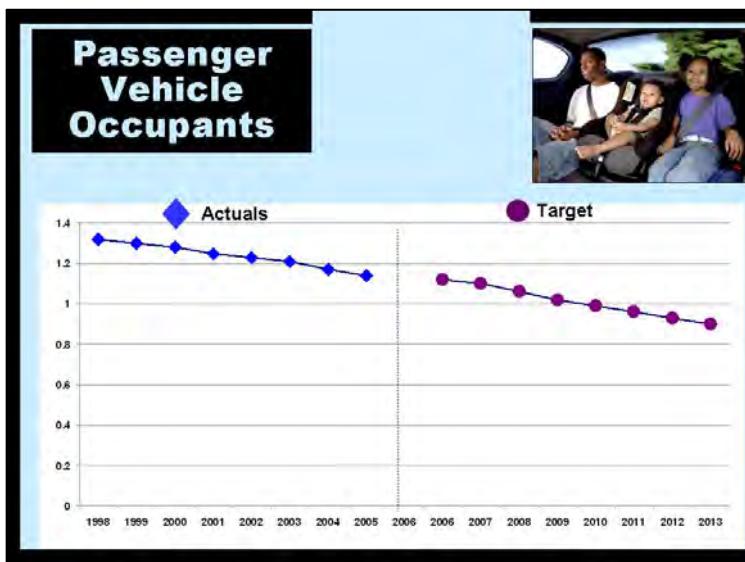
Most significantly, fatalities of occupants of passenger vehicles—cars, SUVs, vans and pickups—continued a steady decline to 30,521, the lowest annual total since 1993. However, the successes in reducing passenger vehicle occupant fatalities by 3.3 percent to 30,521 and non-occupants (pedestrians, cyclists, etc.) by 2.1 percent to 5,864 were minimized by a rise in the number of motorcycle fatalities for the ninth consecutive year. Motorcycles continue to be of particular concern, playing a large role in offsetting other fatality decreases with a 5.1 percent increase in motorcycle fatalities in 2006, to a total of 4,810, an increase of more than 125 percent since 1997. Although motorcycle fatalities increased in 2006, the rate of increase in motorcycle fatalities decreased from the 13 percent increase in 2005 to a 5.1 percent increase in 2006. The number of pedestrian fatalities decreased from 4,892 in 2005 to 4,784 in 2006, a 2.2 percent decrease, whereas the number of cyclists decreased by 1.7 percent from 786 in 2005 to 773 in 2006. Fatalities among large truck occupants were essentially the same, with an increase by one fatality to 805 in 2006, a 0.1 percent increase in fatalities. Another troubling trend is in

alcohol fatalities which also were essentially flat, with an increase of 0.1 percent for fatalities involving a BAC of .08 or higher.

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 2006, injuries also declined to just under 2.6 million people being injured in motor vehicle crashes compared to nearly 2.7 million in 2005. The data shows that the number of people injured declined in all categories except motorcycle riders and that the decline was highest for large-truck occupants (15 percent) and passenger car occupants (6.2 percent).

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

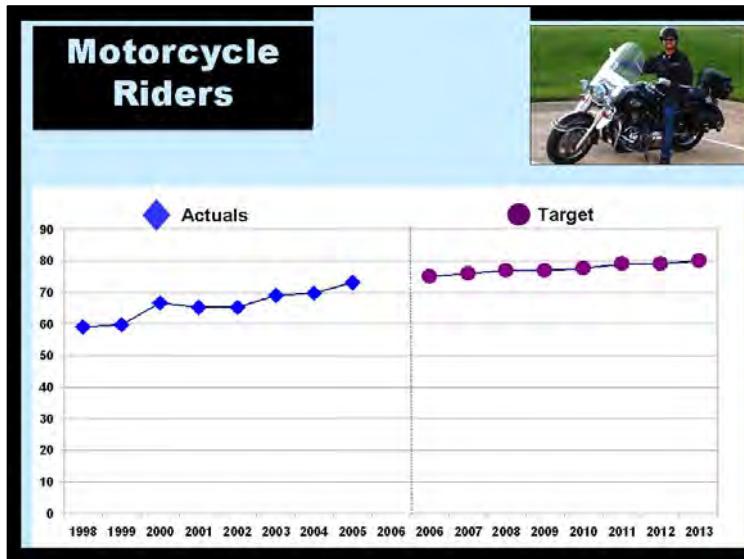
Year	Target	Actual
2001	Baseline	1.25
2002	NA	1.25
2003	NA	1.21
2004	NA	1.17
2005	1.15	1.15
2006	1.12	1.10
2007	1.10	
2008	1.06	
2009	1.02	



The passenger vehicle occupant fatality rate, which includes passenger cars and light trucks, has declined sharply since 1995 when the rate was 1.44. In 2006, the passenger vehicle occupant fatality rate declined to 1.15, and the number of passenger vehicle occupant fatalities decreased to 30,521 from 31,549 in 2005, a reduction of 3.3 percent. The drop in passenger car occupant fatalities was for the fourth year in a row, while the drop in light-truck occupant fatalities was the first since 1992. The FY 2009 target for passenger vehicles is for no more than 1.02 fatalities per 100 million passenger vehicle miles traveled. The 2009 passenger vehicle occupant fatality rate is projected at 1.04. If DOT can maintain the same level of progress in behavioral programs as it has achieved in the past and the VMT remains essentially unchanged through 2009, a 1.02 per 100 million passenger VMT fatality rate in 2009 will potentially save between 550-584 lives compared to the projected 1.4 rate.

**Reduce the rate of motorcycle rider highway fatalities per 100,000 motorcycle registrations.**

Year	Target	Actual
2001	Baseline	65.20
2002	NA	65.35
2003	NA	69.16
2004	NA	69.83
2005	NA	73.48
2006	75	71.94
2007	76	
2008	76	
2009	77	



Motorcycle rider fatalities have increased each year since reaching a historic low of 2,116 fatalities in 1997. In 2006 motorcycle rider fatalities increased for the ninth year in a row to 4,810 from 4,576 in 2005. This is a 5.1 percent increase in just one year and accounts for 11 percent of the 42,642 total fatalities in motor vehicle crashes in 2006.

Data from 2006 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.

As of November 2006, 20 States, the District of Columbia, and Puerto Rico require helmet use for all motorcycle operators and passengers. In another 27 States, only those under a certain age, usually 18, are required to wear helmets. Three States do not have laws requiring helmet use.

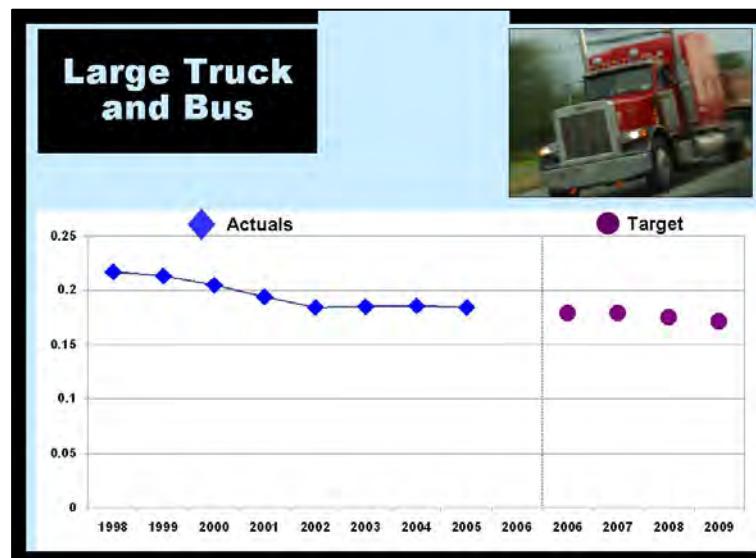
According to the Motorcycle Industry Council (MIC), new unit motorcycle sales continued to climb in 2004 (latest data available), rising through the one million mark and reaching levels not seen since the 1970s. MIC data indicates that in 2004, 725,000 new-on-highway motorcycle units were sold, marking 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.

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.

For FY 2008, the Department re-baselined this measure to reflect a change of focus from fatalities per 100 million VMT to fatalities per 100,000 registrations.<sup>1</sup> DOT has set its motorcycle rider fatality rate for FY 2009 to no more than 77 fatalities per 100,000 registrations. If fatalities and registrations continue to grow indefinitely at their recent pace the projected rate in FY2009 is 78. Maintaining a motorcycle fatality rate of 77 fatalities per 100,000 registrations in 2009 would prevent 77 fatalities compared to those anticipated by current trends.

***Reduce the rate of large truck and bus fatalities per 100 million total VMT.***

Year	Target	Actual
2004	NA	0.186
2005	NA	0.185
2006	0.179	0.176
2007	0.175	
2008	0.171	
2009	0.167	

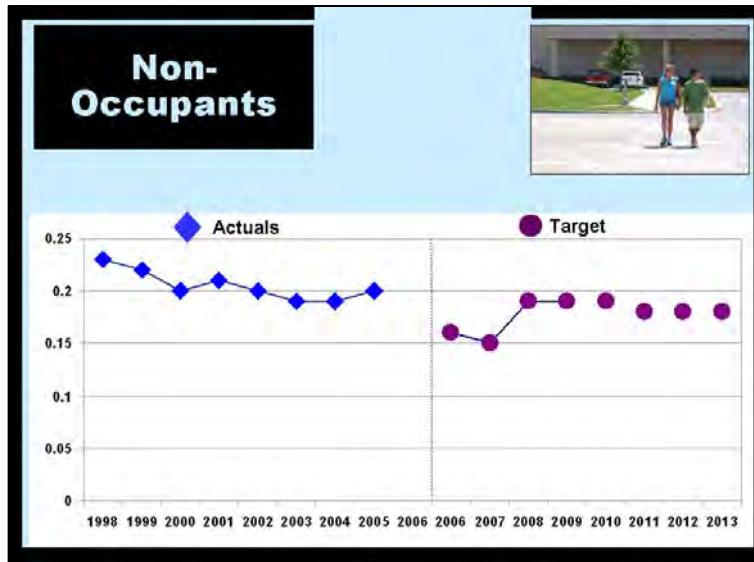


The number of people killed in large truck crashes declined from 5,240 in 2005 to 4,995 in 2006, a 4.7 percent decrease. The DOT large truck and bus sub-goal tracks all fatalities in crashes involving a truck with a gross vehicle weight rating of 10,000 pounds or more and/or a bus. This new measurement 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 FY 2009 target for large truck and bus fatalities is no more than 0.167. The estimate for potential lives saved if DOT reaches its FY 2009 large truck and bus goal is 541 lives, with overlap for occupants of passenger vehicles.

<sup>1</sup> 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.

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

Year	Target	Actual
2001	Baseline	0.21
2002	NA	0.20
2003	NA	0.19
2004	NA	0.19
2005	0.16	0.20
2006	0.16	0.19
2007	0.15	
2008	0.19	
2009	0.19	



According to 2006 data, the number of non-occupants of all types (pedestrians, pedalcyclists and occupants of motor vehicles not in transport and of non-motor vehicle transport devices) killed in motor vehicle crashes decreased by one percent, from 5,864 fatalities in 2005 to 5,740 in 2006. The number of pedestrian fatalities decreased from 4,892 in 2005 to 4,784 in 2006, a 2.2 percent decrease, whereas the number of cyclists decreased by 1.7 percent from 786 in 2005 to 773 in 2006. The DOT FY 2009 target for non-occupant fatalities is 0.19. The non-occupant fatality rate uses overall VMT data to calculate the rate since pedestrian, bicycle, and other non-occupant miles traveled are not available – meaning the numerator is much smaller in comparison to the denominator and changes in the rate are minuscule. When we take the 2005 rate out three decimal places it equates to .192. If DOT can reduce the non-occupant fatality rate to its 2009 target of .190, 59 lives would potentially be saved.

## FMCSA PERFORMANCE ISSUES

### General CMV Safety

In 2005, the most recent year for which data are available, large trucks represented only about 3 percent of registered vehicles; however, they accounted for 7 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>2</sup> Thus compared to their prevalence, large trucks are over-represented in fatal crashes.

The motor carrier industry is large, complex, and dynamic. The FMCSA estimates that there are almost 700,000 motor carriers operating CMVs in interstate commerce. Motor carriers vary widely in size, from hundreds of thousands of owner-operators to over 50,000 carriers with 10 or more power units. Nationwide, approximately 8.5 million trucks and nearly 800,000 buses are registered with State Departments of Motor Vehicles. In 2005, there were more than 11

<sup>2</sup> FMCSA defines a large truck as a motor vehicle with a gross vehicle weight greater than 10,000 pounds.

million truck and 424,000 bus crossings at the borders with Canada and Mexico. The Agency also has jurisdiction over approximately six million commercial drivers.

The FMCSA's primary strategic objectives are to save lives and reduce injuries by working to prevent truck and bus crashes 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 increasing at an average rate of 2 percent per year. The trend for miles traveled by passenger vehicles, with which CMVs share the highways, is also on the rise, increasing car-truck interaction on the highways and contributing to additional exposure to crashes. The Agency also strives to save lives and reduce injuries by finding ways to prevent HM incidents involving CMVs and minimizing their severity.

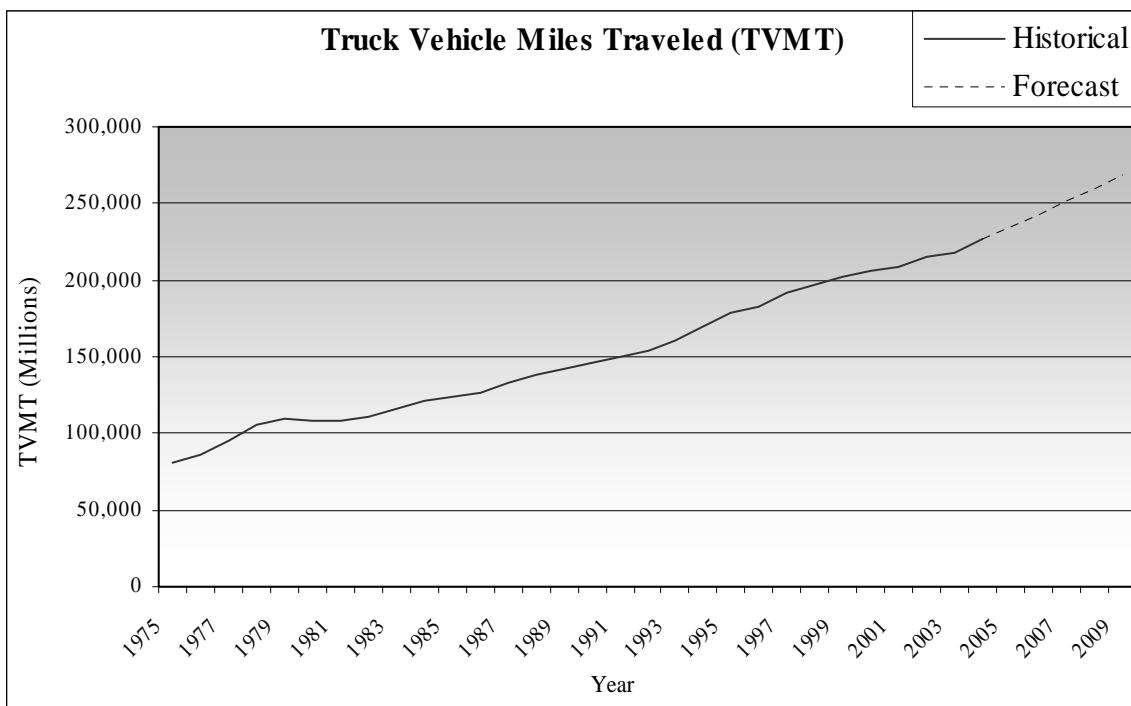
Since the Agency's creation in 2000, FMCSA has been instrumental in improving the Nation's CMV safety. The Nation's investment in FMCSA is showing clear results. Since FMCSA's inception in 2000, the fatality rate for crashes involving large trucks declined by 13 percent, even though the number of TVMT increased by 9 percent. Similarly, 2006 saw the lowest large-truck fatality rates in 30 years. And, over the past decade, the CMV fatality rate involving alcohol was reduced by more than 64 percent. Activities performed by its safety programs have led to an overall 25 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 44 percent increase in the number of registered large trucks and a 104 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 2006 alone. As a result, FMCSA initiated more than 5,000 enforcement cases for safety violations identified during these activities.

The FMCSA also achieved the following major accomplishments in recent years:

- Achieved or exceeded the HM Safety Goal of reducing the number of serious HM 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;
- Nearly eliminated the Federal rulemaking backlog from 2002 to 2007; and
- Promulgated or revised significant regulations covering topics such as Driver Hours of Service and HM 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 TVMT 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 2005, 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 approximately 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>3</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, because incidents involving motorcoaches have the potential for multiple loss of lives and there were increases in FY 2005 in bus fatalities, FMCSA will emphasize passenger carrier safety in FY 2007 and FY 2008.

**The number of people killed in large truck crashes declined from 5,240 in 2005 to 4,995 in 2006, a 4.7 percent decrease.** 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.

<sup>3</sup> Relates to NTSB H-03-018 regarding the application of CMV regulations to 15-passenger vans.

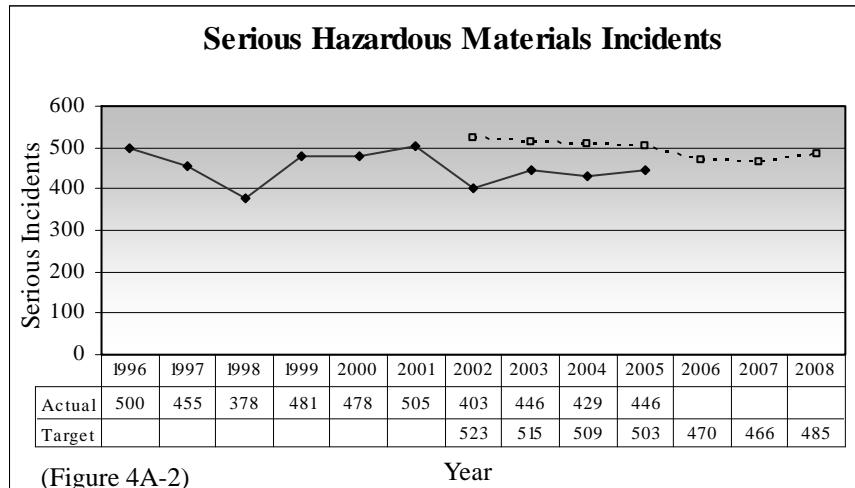
The FMCSA's programmatic responsibilities have also increased with implementation of Congressional mandates such as the New Entrant Program (Section 210 of MCSIA); preparing for the opening of the border with Mexico; and taking an increased role in ensuring transportation security. The FMCSA's existing 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 (HM) Safety

There are over one million movements of HM 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 HM, the 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. The FMCSA's HM safety program contributes to providing adequate protection against the risks to life and property that are inherent in the transportation of HM in commerce. To accomplish this, FMCSA works with various governmental agencies, the HM industry, and other interested groups.

The goal of FMCSA's HM Safety program is the reduction of HM incidents involving 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 HM by tracking the number of serious reportable HM incidents. The Agency works in close coordination and cooperation with the Pipeline and Hazardous Materials Safety Administration (PHMSA) to minimize the risks of transporting hazardous materials.<sup>4</sup> The FMCSA's performance goal is a 20 percent reduction in HM incidents by end



Note on data: The definition of a serious HM incident is: a fatality or major injury caused by the release of a HM; the evacuation of 25 or more employees or responders or any number of the general public as a result of release of HM 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

of 2010, from the year 2000 baseline of 574, as shown in figure 4A-2. Achievement of this performance goal will lead to a significant reduction in the number of HM incidents related to CMVs and represents an ambitious, yet attainable, long-term goal by which the Agency manages its HM Safety program.

FMCSA actively participates in monthly Departmental inter-model meetings that share issues, ideas, and recommendations to mitigate inherent risks of transporting hazardous materials by highway. FMCSA and PHMSA are bridging the gap through active cross sharing of data in the *HazMat Intelligence Portal* to support mission critical initiatives, prevent duplicative enforcement and inspection activities of the HM industry, and reduce risks of HM transportation. This portal provides FMCSA the tool to assist the Department in data usability, resource planning and program management capabilities.

## **Modernization of Safety Programs**

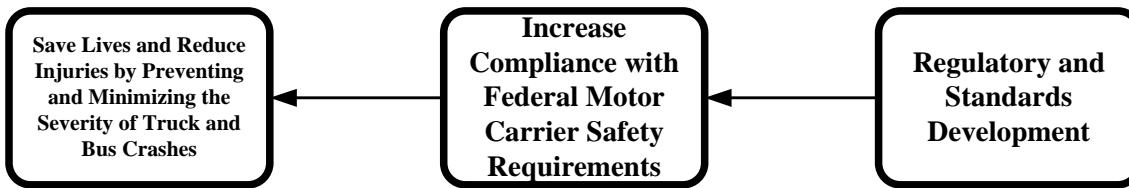
Faced with the challenges of a growing safety mission, FMCSA in 2003 initiated Comprehensive Safety Analysis (CSA) 2010, an ambitious program to realign, strengthen, consolidate where possible, and focus its safety programs and enforcement operations. This program is discussed in more detail in the CSA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

The FMCSA will carry out a coordinated motor carrier safety strategy framed around the following performance elements: Regulatory and Standards Development, Enforcement and Compliance Operations, Passenger Carrier Safety Operations, HM Safety and Permitting Operations, MCSAP State Enforcement and Compliance Grants, Border Enforcement Grants, PRISM Grants, Outreach and Education, Technical Safety Training, Federal CDL Operations, CDL Improvement Grants, CDLIS Grants, Driver Medical Qualifications Oversight, CMV Operator Grants, 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-4. For each performance element the following narrative is provided: (1) Performance Issue; (2) Anticipated FY 2008 Accomplishments; and (3) FY 2009 Performance Budget Request. Achievement of all FY 2008 performance targets under the safety goal assumes receipt of full FY 2008 funding for this goal.

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from Type B packaging, or 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 HM.

## **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 Household Goods (HHG) activities. This element provides subject-matter expertise for safety issues involving CMV drivers, vehicles, and carriers and implements non-regulatory policy approaches such as interpretations, exemptions, pilots, and educational materials. The 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. The FMCSA continuously responds to a large volume of public and governmental inquiries (by phone, e-mail, and 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. The FMCSA will also implement two new performance goals to increase the percentage of significant and nonsignificant rulemakings that are processed within 15 days of their targeted submission and completion dates. The 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 the preparation of regulatory documents.

### **ANTICIPATED FY 2008 ACCOMPLISHMENTS**

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 FY 2008 will be a new initiative entitled "The National Agenda for Bus and Truck Safe Drivers," speed management activity, Plain-English Driver Assistance Literature (PEDAL), and ongoing regulatory and policy development as well as subject-matter guidance

and outreach to stakeholders and partners. The FMCSA will propose changes to regulatory programs reviewed under its evaluation capability to make FMCSA regulations more effective and timely and will implement new rulemaking baseline performance measures and milestones. The FMCSA will continue to achieve two new performance goals to increase the percentage of significant and nonsignificant rulemakings that are processed within 15 days of their targeted submission and completion dates.

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

- Publishing a final rule on medical certification for CDL holders;
- Publishing a final rule on the New Entrant safety assurance process;
- Publishing a final rule on intermodal chassis safety;
- Publishing a final rule on changes to the CDL Learner's Permit;
- Publishing a final rule on Electronic On-Board Recorder (EOBR);
- Publishing a Notice of Proposed Rulemaking (NPRM) on Unified Carrier Registration (UCR) fees;
- Completing Phase II of the National Agenda for Safe Drivers; and
- Implementing provisions of the PEDAL program regarding 49 CFR part 390 issues.

## **FY 2009 PERFORMANCE BUDGET REQUEST**

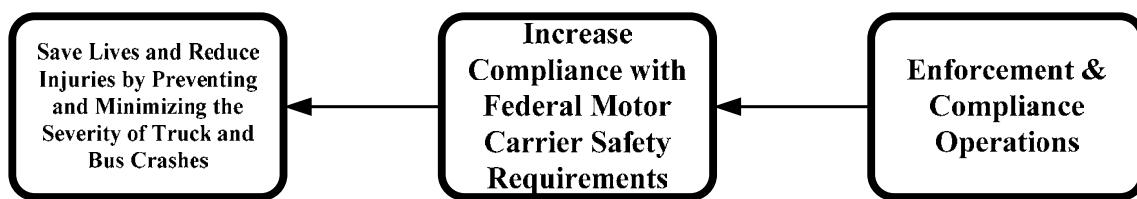
For FY 2009, FMCSA requests \$5.6 million.

Some of the primary areas of concentration in the regulatory and standards arena in FY 2009 will be "The National Agenda for Bus and Truck Safe Drivers," speed management activity, PEDAL, and ongoing regulatory and policy development as well as subject-matter guidance and outreach to stakeholders and partners. The FMCSA will propose changes to regulatory programs reviewed under its evaluation capability to make FMCSA regulations more effective and timely and will implement new rulemaking baseline performance measures and milestones. The FMCSA will continue to achieve two new performance goals to increase the percentage of significant and nonsignificant 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 2009 including:

- Completing all items in the Administrator's Regulatory Priorities;
- Publishing a final rule on the National Registry of Medical Professionals;
- Publishing a final rule on UCR fees;
- Contributing to DOT Speed Management Team activities;
- Completing Phase II of the National Agenda for Bus and Truck Safe Drivers;
- Completing EOBR outreach activities;
- Contributing to DOT Speed Management Team activities; and
- Publishing an NPRM on the driver vision standard.

## PERFORMANCE ELEMENT: ENFORCEMENT AND COMPLIANCE OPERATIONS

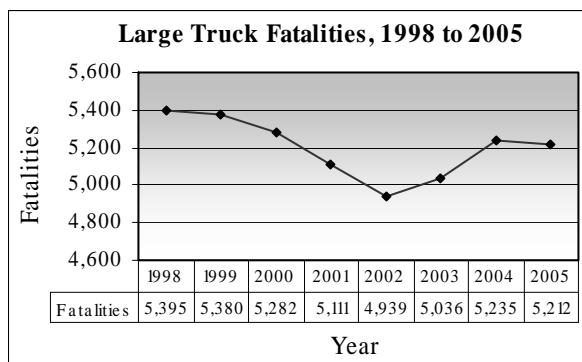


**Responsible Official:** Associate Administrator for Enforcement and Program Delivery and Associate Administrator for Field Operations

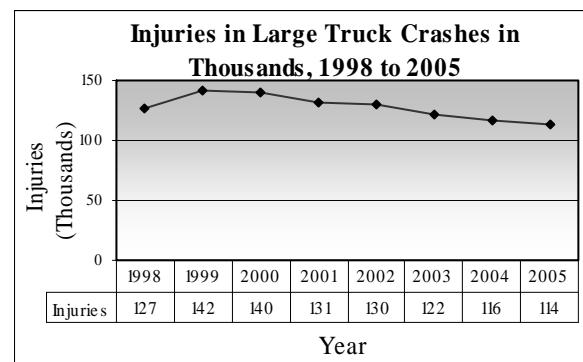
### PERFORMANCE ISSUE

The FMCSA's enforcement authority extends to interstate motor carriers and motor coaches. The enforcement and compliance program helps ensure compliance with the FMCSRs and ensure unsafe carriers are removed from the Nation's highways. Aggressive enforcement is FMCSA's primary strategy for meeting its safety goals and serves as the Agency's core competency. The FMCSA targets high risk carriers through compliance reviews, safety audits, HM carrier reviews, and roadside inspections. The FMCSA has a successful Federal/State partnership in implementing these programs. As demonstrated in Figures 4A-3 through 4A-5, the frequency of truck crashes, fatalities, and injuries have seen decreases over the years, in part, as a result of these efforts.

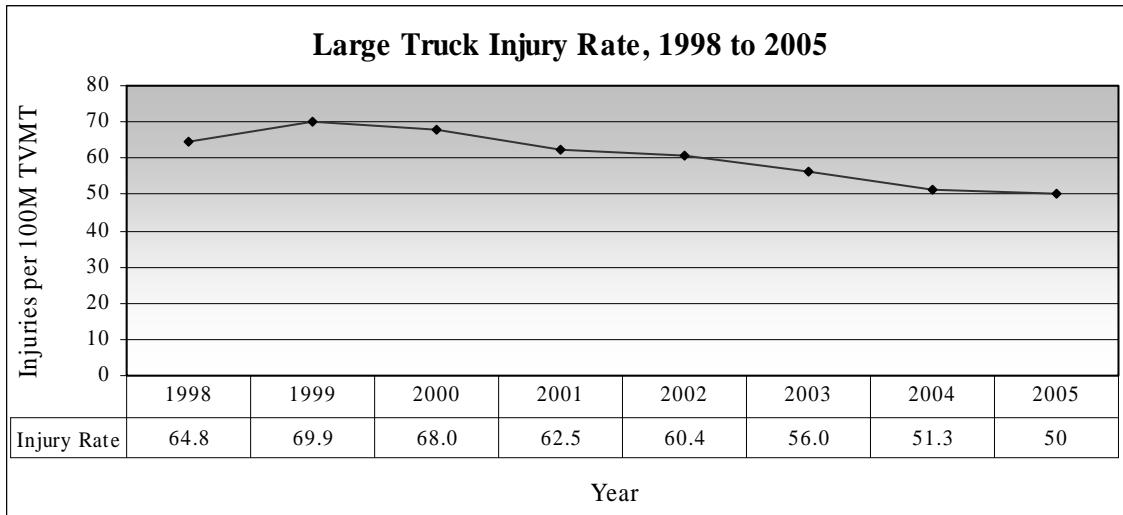
Another key program ensuring safety on our Nation's highways is the New Entrant program. Data has shown that these carriers have the potential to pose serious safety risks on the Nation's highways. The FMCSA is making efforts to strengthen the program, through consolidations and realignments, so that it can increase enforcement while maintaining its 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-3)



(Figure 4A-4)



(Figure 4A-5)

## ANTICIPATED FY 2008 ACCOMPLISHMENTS

In FY 2008, FMCSA will continue to engage in enforcement of the FMCSRs and FHMRs, 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. The FMCSA anticipates that the new construct of the New Entrant Program will allow greater operational focus on the compliance review program. In FY 2008, Level III (driver) inspections will equal at least 27 percent of all roadside inspections to improve focus on driver safety, and there will be an increased State delivery of the New Entrant Program.

The FMCSA has been authorized by SAFETEA-LU to establish a \$1 million grant program for persons to train operators of CMVs. 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 2008 include:

- 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 3,000,000 total roadside inspections along with State officials.

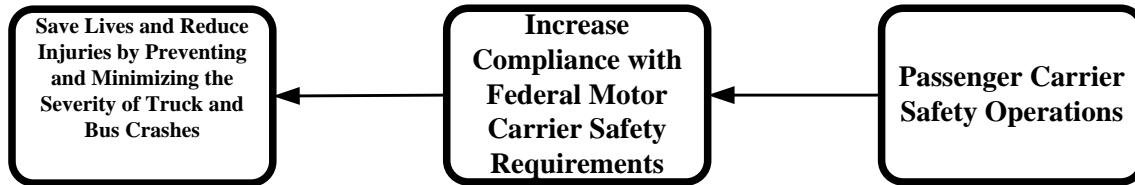
## FY 2009 PERFORMANCE BUDGET REQUEST

For FY 2009, FMCSA requests \$78.5 million. In FY 2009, FMCSA will ensure that Level III inspections equal at least 30 percent of all roadside inspections, to increase the focus on driver safety. The FMCSA will also begin implementing enforcement strategies from the CSA 2010 initiative including an increase in targeted and off-site compliance reviews.

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

- Conducting approximately 3,000 Federal new entrant audits;
- Completing approximately 10,000 Federal compliance reviews;
- Completing approximately 3,000 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 3,000,000 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 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 Americans with no other means of transportation, and provides a critical link in the chain of intercity intermodal transportation by providing service to airports, seaports, and railways. The motorcoach industry is comprised of approximately 4,000 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. The Agency will achieve this through more stringent enforcement and compliance, coordinated research, improved data, better identification of unsafe companies, and more focused outreach and training. The 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 2008 ACCOMPLISHMENTS**

In FY 2008, FMCSA will complete 525 compliance reviews on motor coach companies that have less than satisfactory safety ratings or have been identified as posing a highway safety risk. States will participate in at least 130 (25 percent) of these reviews.

The FMCSA will fully implement a methodology to prioritize motorcoach companies for on-site reviews. Beginning in FY 2007, State MCSAP agencies are asked to include inspections of commercial passenger vehicles and commercial passenger vehicle inspection plans within their Commercial Vehicle Safety Plans (CVSPs). The FMCSA will complete 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. The 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 database of bus fires.

The FMCSA's efforts will also emphasize the development of outreach materials for the industry. The Agency will 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.

In addition, FMCSA will continue to emphasize industry outreach and training efforts through FY 2009. The FMCSA plans to develop and distribute outreach and educational documents such as the Pre-trip Safety Briefing Guidance and Model Safety Pamphlet for Bus Passengers and "Passenger Carrier Resource Guide."

By the end of FY 2008, 100 percent of States will include a bus inspection component in their CVSPs. The 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.

## FY 2009 PERFORMANCE BUDGET REQUEST

For FY 2009, FMCSA requests \$1.8 million.

In FY 2009, FMCSA will continue 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). The 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. 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.

By the end of FY 2009, 100 percent of States will continue to include a bus inspection component in their CVSPs. The FMCSA will also ensure that approximately 20,000 motorcoach inspections are conducted across the country and 7,600 motor coach inspections are conducted at the borders.

### PERFORMANCE ELEMENT: MCSAP State Enforcement and Compliance Grants



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

#### PERFORMANCE ISSUE

The FMCSA's MCSAP supplements State resources to reduce the incidence and severity of 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 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 CMV 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>5</sup> capabilities. Additionally, MCSAP grants will support implementation of the New Entrant Program for 49 States and the District of Columbia (currently Maine does 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 50,000 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 2008 ACCOMPLISHMENTS**

In FY 2008, basic MCSAP funds will enable each State to continue uniform driver and vehicle inspections, commercial passenger carrier safety activities, traffic and CDL enforcement, HM 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. The FMCSA will shift the program from predominately vehicle inspection activities to one which includes a greater number of driver inspections. In FY 2008, Level III (driver-only) inspections will equal at least 27 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 2008, FMCSA is continuing improved 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.

The MCSAP program will provide safety performance incentive funding to States as an incentive for continuing progress in reducing CMV-related crashes and resulting injuries. The 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

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<sup>5</sup> FMCSA MCSAP data collection addresses DOT Office of the Inspector General (OIG) recommendations TR-1999-091-B2 and -B3, concerning the quality and timeliness of data from States.

outreach, HM safety and security, and special research efforts, as well as innovative State-specific efforts that have the potential for implementation. By the end of FY 2008, 100 percent of States will include a bus inspection component into their CVSPs.

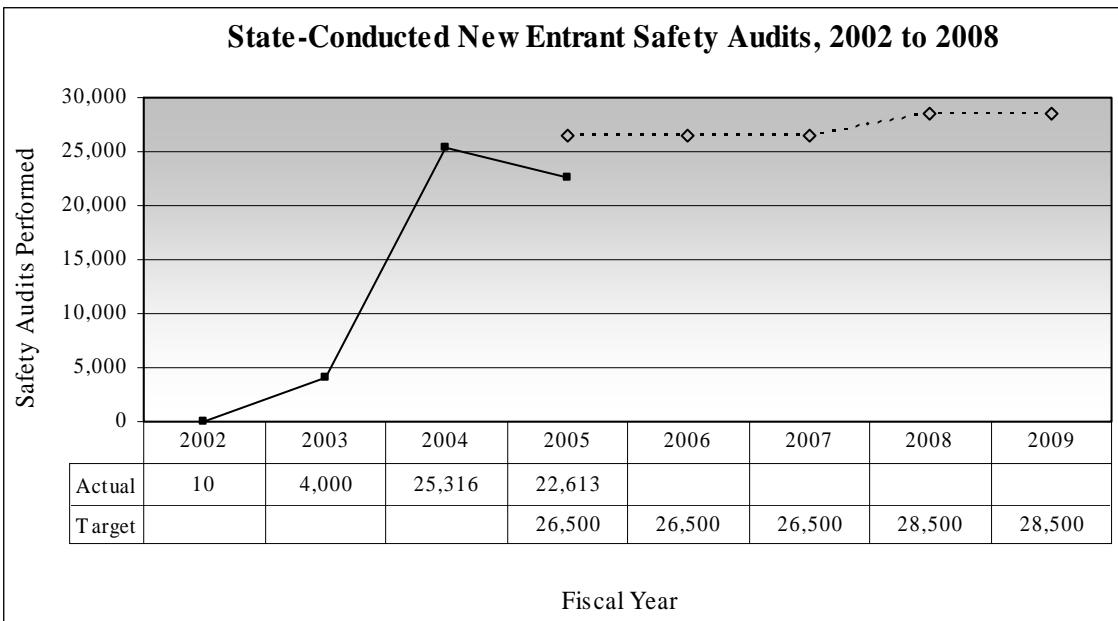
For those States that are unable or unwilling to fully implement the New Entrant Program using Government employees, FMCSA may use these funds to hire contractors to conduct audits in those jurisdictions. New Entrant funding will continue State implementation of the New Entrant Program with a total of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

Other anticipated accomplishments in FY 2008 include:

- Completing approximately 3 million State driver and vehicle inspections;
- Completing 3,700 State-conducted Compliance Reviews;
- Completing 28,500 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 HM Compliance Reviews (25 percent of the total);
- Conducting 300 State HM Package Inspections;
- Assisting FMCSA in conducting 60,000 Border HM Inspections; and
- Funding 4 States to pilot CSA 2010 program improvements.

## **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$209 million. In FY 2009, 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. The FMCSA will ensure that Level III inspections equal at least 30 percent of all roadside inspections. By the end of FY 2009, 100 percent of States will include a bus inspection component into their CVSPs. The FMCSA will ensure that at all States conduct New Entrant Safety Audits to supplement the audits carried out by Federal employees. As Figure 4A-6 shows, the number of State-Conducted New Entrant Audits has been steadily increasing since 2002.

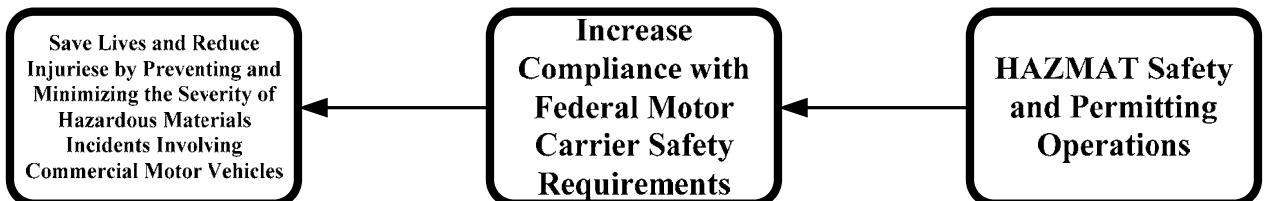


(Figure 4A-6)

Other anticipated accomplishments in FY 2009 include:

- Completing approximately 3 million State driver and vehicle inspections;
- Completing 5,000 State-conducted Compliance Reviews;
- Completing 29,000 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 HM Compliance Reviews (25 percent of the total number conducted);
- Conducting 300 State HM Package Inspections; and
- Assisting FMCSA in conducting 60,000 Border HM Inspections.

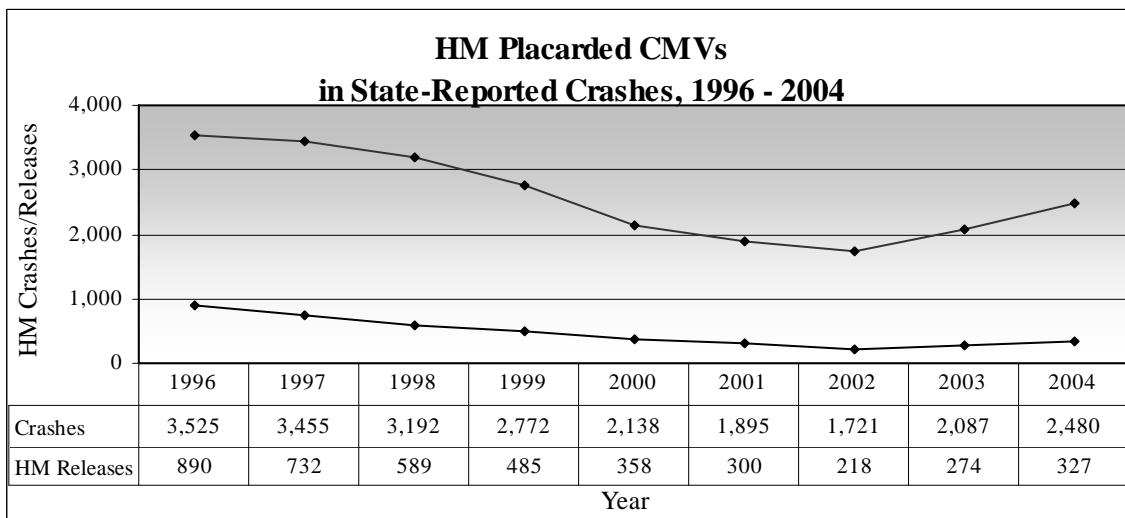
## **PERFORMANCE ELEMENT: HM SAFETY AND PERMITTING OPERATIONS**



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

## **PERFORMANCE ISSUE**

Preliminary results from 2005 indicate that there was a continued reduction in serious HM incidents involving CMVs<sup>6</sup>, as indicated in Figure 4A-7. This trend continues to meet FMCSA's long-term target of a 20 percent absolute reduction in incidents in the 10-year period of 2000-2009. This goal is consistent with the overall DOT strategic objective regarding the decrease of HM incidents. Resources in the FY 2008 and FY 2009 budgets will support the Agency's efforts to continue the current trend and achieve its objectives for this performance element.



(Figure 4A-7)

The HM Safety program:

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

## **ANTICIPATED FY 2008 ACCOMPLISHMENTS**

In FY 2008, HM carrier compliance with the FHMRs will continue to be an important factor in the safe transportation of HM in commerce. In FY 2008, funding will continue to support the CMV compliance and enforcement operating activities of FMCSA's HM field staff. Enforcement and compliance operations include: hazardous materials compliance reviews; HM shipper reviews; cargo tank facility reviews; HM package inspections; and HM vehicle inspections. The FMCSA will continue to perform its HM compliance mission, taking enforcement action when necessary against motor carriers that pose a greater HM 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

<sup>6</sup> Source: PHMSA incident data.

technology to improve HM safety, and continued building of partnerships at all levels of government, industry, and academia to leverage all HM safety resources.

The FMCSA will complete research into a methodology for identifying high risk HM 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. The FMCSA will survey the HM motor carrier industry to gather information vital to conduct analysis concerning the safety of the industry. The Agency will conduct research of the service life of cargo tank research to update FMCSA's current HM risk assessment tool. The FMCSA relies on State partners in identifying countermeasures and safety strategies for success, so the Agency will analyze current HM Programs in State CVSPs to identify weaknesses and best practices to bring uniformity to the HM programs at the State level. In addition, FMCSA will reduce the time it takes to process HM permit applications to 120 days or less.

In FY 2008, FMCSA expects to complete the following compliance and enforcement activities:

- Conduct 75 cargo tank facility reviews;
- Conduct 280 HM shipper reviews;
- Complete 2,560 compliance reviews of motor carriers transporting HM (1,940 by Federal staff and 620 by State officers);
- Conduct 325 compliance reviews on carriers applying for HM safety permits;
- Work with States in conducting 60,000 Border HM Inspections; and
- Complete 6,300 HM package inspections (6,000 by Federal staff and 300 by State officers).

The FMCSA's HM program will be in the third year of implementing the HM Permitting program for certain carriers of high-hazard materials. During FY 2008, the HM Permitting program will be fully integrated into the overall HM program. Another top priority for FY 2008 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 2008, FMCSA's HM program will be placing a higher emphasis on conducting compliance reviews of HM shippers. In FY 2007, FMCSA continued the research into a methodology for identifying high risk HM shippers. In FY 2008, FMCSA will implement and verify this new methodology. FMCSA will expand its study of serious crash analysis to further develop its HM database. The previous phases of this project used data from various data sources such as the Hazardous Materials Information System (HMIS) and the Police Accident Reports (PARs) to analyze various aspects of HM incidents. This continued effort of the study will assist in establishing HM incidents and crash causes.

As part of its efforts to more effectively and efficiently deploy its resources, FMCSA is working to develop estimates of the effectiveness of HM enforcement activities. Applying the estimates of the effectiveness of compliance reviews to the HM program suggests that in 2001 (the most recent year of analysis), FMCSA estimates the compliance review program on HM 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 HM regulations.

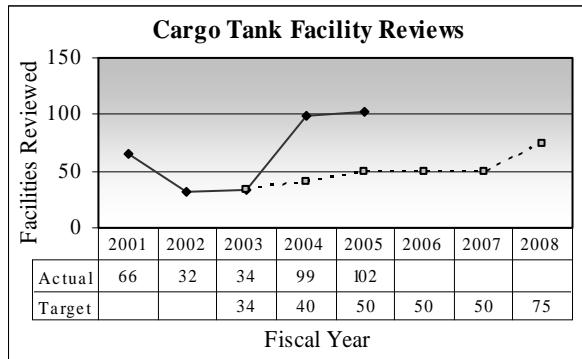
## FY 2009 PERFORMANCE BUDGET REQUEST

For FY 2009, FMCSA requests \$8.6 million.

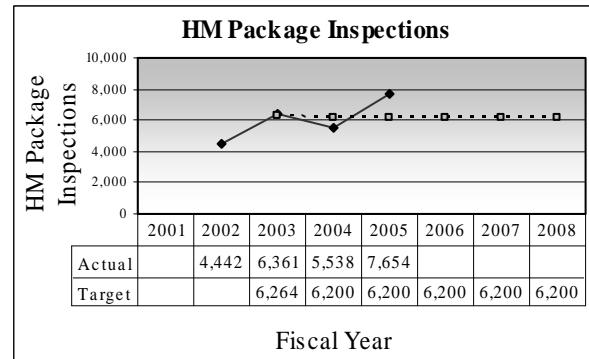
The FMCSA will implement a new HM shipper prioritization program based on research completed in FY 2008. The Agency will complete work to advance the deployment of technologies to detect radioactive materials on trucks by working with the Department of Energy and selected States. The Agency will complete research of the service life of cargo tank research to update FMCSA's current HM risk assessment tool.

FMCSA will fully integrate the HAZMAT Permitting program within the FMCSA safety program and will conduct compliance reviews on carriers applying for HM safety permits. We will complete research into a methodology for identifying high risk HM shippers, service life of cargo tanks, cargo tank design and research to update FMCSA's current HAZMAT risk assessment. FMCSA will provide a completed study to 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.

The FMCSA relies on State partners in identifying countermeasures and safety strategies for success, so the Agency will complete an analysis of HM Programs from State CVSPs to identify weaknesses and best practices. The Agency will fully implement a Radioactive Transportation Program to support the transportation of high level radioactive material to a Nevada repository.



(Figure 4A-8)



(Figure 4A-9)

In FY 2009, FMCSA will work to reduce the number of HM crashes involving CMVs to no more than 475. In addition, FMCSA will reduce the time it takes to process HM 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 HM shipper reviews;
- Completing 2,560 compliance reviews of motor carriers transporting hazardous materials (1,940 by Federal Staff and 620 by State officers);
- Continue to compliance reviews on carriers applying for HM safety permits;
- Working with States in conducting 60,000 Border HM Inspections; 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 CMV 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 calendar year (CY) 2005, almost 11.5 million trucks crossed U.S. borders with Canada and Mexico. An estimated seven to ten percent of these truck shipments transported HM. Foreign carriers, drivers, and vehicles must meet the same requirements as their U.S. counterparts. The 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 2008 ACCOMPLISHMENTS**

### *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. State inspectors supported by these funds are located at and near the 33 commercial cargo crossings at the Southern borders. The majority of the inspectors are located in Texas which has 17 of the commercial crossings and accounts for 68 percent of the nearly 5 million truck north-bound crossings. In FY 2008, 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 (CDL). States will conduct 65,000 CDL checks and 20,000 license, authority, and financial checks. Federal and State personnel will also conduct 60,000 HM inspections at the Northern and Southern borders.

### *Northern Border:*

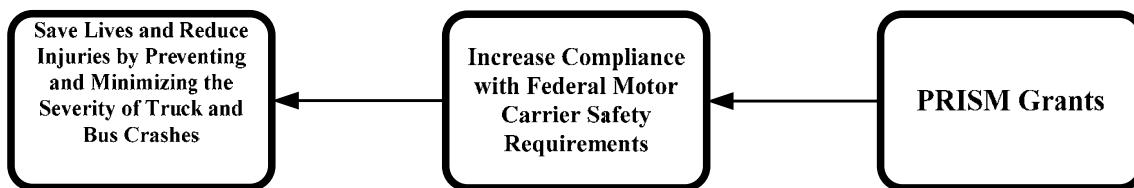
Northern Border grants will be used to fund additional State inspection activities and related operations along the highway corridors leading from Canada. Northern Border safety inspections present unique challenges brought about by over 70 significant truck crossings. The CMV traffic at these crossings 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 2008, 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 HM inspections (60,000 will be conducted at the Northern and Southern borders.) Grants will also be used to fund approximately 6,000 State-conducted Canada CDL checks.

The FMCSA will also support joint projects to address CMV global connectivity, productivity, and safety. The FMCSA will continue to work closely with the Bureau of Customs and Border Protection (CBP) on the ACE/ITDS. The 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 2009 PERFORMANCE BUDGET REQUEST

For FY 2009, FMCSA requests \$32 million. The FMCSA anticipates that States will conduct 65,000 Southern border CDL checks and 7,000 Northern border CDL checks in FY 2009. 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 CDLs at the Southern border. Federal and State personnel will also conduct 60,000 HM inspections and 10,000 motorcoach inspections at the Northern and Southern borders.

## PERFORMANCE ELEMENT: PRISM GRANTS



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

### PERFORMANCE ISSUE

PRISM is an essential component of the Agency's enforcement program that 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 (VINs). 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 International Registration Plan (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 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 1,200 motor carriers to cease interstate operations. These numbers are expected to increase from FY 2007 through FY 2009.

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.

Twenty-three States are in the planning stages for implementing PRISM. 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 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 CMVs with a gross vehicle or combination weight rating greater than 26,000 pounds.<sup>7</sup>

#### **ANTICIPATED FY 2008 ACCOMPLISHMENTS:**

In FY 2008, 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. The Agency will conduct briefings with State motor carrier associations and other stakeholders to garner support for States to seek PRISM-enabling legislation in their legislatures. The FMCSA will provide PRISM program support to the States including technical information technology (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 2008, 49 States will have grant allocations from the PRISM grant program and 45 States will have approved implementation plans. The 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.

#### **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$5 million. In FY 2009, FMCSA will begin to formulate reauthorization goals based on analysis of the current program. The FMCSA 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.

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<sup>7</sup> Carriers operating CMVs 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.

The FMCSA will conduct briefings with State motor carrier associations and other stakeholders to garner support for PRISM-enabling legislation in the States. The 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 2009, 50 States will have grant allocations from the PRISM grant program, and 48 States will have approved implementation plans. FMCSA will also work with State partners to ensure that at least 33 States suspend/revoke/deny license plates by the end of FY 2009, based on FMCSA's determination that the carrier cease interstate operations.

## **PERFORMANCE ELEMENT: OUTREACH, EDUCATION, AND TRAINING**



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

### **PERFORMANCE ISSUE**

#### **Outreach and Education**

The FMCSA conducts outreach and educational programs in support of DOT's strategic goals. The Agency partners with FHWA, NHTSA, States, and industry stakeholders to inform and heighten public awareness and appreciation about the safe operation and best driver safety practices for both CMVs and the passenger vehicles with which they interact on the highways. The Agency also provides consumer awareness materials to the general public to arm them with the information necessary to protect themselves against moving fraud by dishonest movers.

The FMCSA is doing more to heighten public awareness of the hazards of driving in and around trucks, consistent with broader DOT highway safety objectives. To change the behavior of drivers and heighten appreciation of safe operating practices, the Agency identifies inherent problems or areas for improvement. This allows FMCSA to target educational materials and other outreach countermeasures at affected audiences. The FMCSA aims to change the knowledge, attitudes, and behaviors of commercial motor carriers, CMV drivers, and passenger vehicle drivers driving in the vicinity of large trucks, especially those sub-groups known to be high-risk drivers.

The 2006 CMV Safety Belt Usage Study showed that only 59 percent of all CMV drivers wear safety belts, compared to 81 percent of passenger car drivers. In 2005, of the 696 drivers of large trucks who died in truck crashes, 344 were not wearing safety belts. The 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.

## **Safety Training**

The FMCSA is the sole provider of motor carrier technical safety training for Federal (FMCSA) and State (MCSAP) safety investigators, auditors, and inspectors. This training encompasses all enforcement personnel including that directed toward new hires, experienced enforcement officials, specialists, and program managers. This program assures that each federally funded motor carrier safety enforcement official is currently trained and qualified to enforce the FMCSRs, FHMRs, and other Federal laws, regulations, procedures, and policies to improve the safety of truck and bus transportation and the shipment of HM. This training also includes Border Operations training and provides additional border related training of the above material. These residential training programs range from six-week courses for roadside border inspectors to nine weeks for safety audits to ten weeks for safety investigators.

The FMCSA also develops training for Federal and State personnel when significant rulemaking changes are implemented. Changes to rulemakings due to implementing CSA 2010 and SAFETEA-LU will require extensive training demands in terms of development and delivery of training materials. Changes that will occur as a result of certification, maintenance of certification, and re-certification will place new/revised demands on the training division.

## **ANTICIPATED FY 2008 ACCOMPLISHMENTS**

### **Outreach and Education**

In FY 2008, FMCSA will continue to build on the direction provided by Congress and GAO 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, it will aggressively apply both the programs and messages to clearly identified targets.

The FMCSA will roll out the TACT Program in States with high fatalities to demonstrate the effectiveness of combining education, high-visibility enforcement, communications, and evaluation. The Agency will hold State peer exchange meetings to help promote the TACT Program in other States. The FMCSA will print and disseminate the TACT "How-to Guide" on a National level and encourage all States to adopt this successful program. The FMCSA will continue to conduct a NOPUS survey of safety belt use among CMV drivers in order to measure the effectiveness of the CMV Safety Belt Program.

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

French. The FMCSA will continue to research, design, and develop education and training materials concerning passenger safety for bus companies and their drivers.

The FMCSA will update the Mexican Motor Carrier Training website to disseminate outreach and education materials to Mexican motor carriers and drivers. The 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.

The FMCSA will measure the performance of outreach and education initiatives by achieving 72 percent positive scores on the customer satisfaction survey results of FMCSA Share the Road Safely, CMV Safety Belt, and Passenger Carrier Safety websites. In FY 2008, FMCSA plans to see a 15 percent increase in website visits compared to FY 2007 web-hit baseline rate. 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.

### **Safety Training**

In FY 2008, FMCSA will hold at least two Academy training sessions depending on the need for investigators, auditors, and inspectors. The FMCSA's goals are:

- Training is delivered to 70 percent of the FMCSA enforcement staff in job specific skills to improve the safety results achieved;
- Border enforcement training initiatives are delivered to 15 target States and offered on the FMCSA website;
- Annual In-Service Training is delivered to 70% of FMCSA enforcement staff;
- A Bi-annual Re-Certification Process is initiated that will be phased in over 4 years;
- CSA 2010 training is provided to 25 percent of the target audience;
- COMPASS training is provided to 25 percent of the target audience; and
- Training is delivered to 50 percent of FMCSA program officials in improved motor carrier safety enforcement program management with a specific focus on safety improvement outcomes.

## **FY 2009 PERFORMANCE BUDGET REQUEST**

### **Outreach and Education**

For FY 2009, FMCSA requests \$4 million (\$3 million for the Outreach and Education Program, the remainder of which is explained in the Reduced Congestion Goal write-up). For FY 2009, FMCSA is including all outreach and education activities and administrative costs.

The FMCSA will continue the 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. The FMCSA will continue to conduct a NOPUS

survey of safety belt use among CMV drivers in order to measure the effectiveness of the CMV Safety Belt Program.

The FMCSA will highlight CMV safety belt outreach and enforcement activities during Road Check 2009. The FMCSA will continue the CMV Safety Belt Partnership for development and dissemination of outreach material and strategies to increase CMV safety belt usage. The Agency will continue to translate designated outreach materials into Spanish and French.

The 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. The Agency will also continue to develop and implement educational materials in support of FMCSA’s Medical Examiner’s Program.

The FMCSA will measure the performance of outreach and education initiatives by achieving 73 percent positive scores on the customer satisfaction survey results of FMCSA Share the Road Safely, CMV Safety Belt, and Passenger Carrier Safety websites. In FY 2009, FMCSA plans to see a 20 percent increase in website visits compared to FY 2007 web-hit baseline rate. As a result of outreach and education activities, FMCSA’s goal is to achieve a rate of 64 percent safety belt use among CMV drivers.

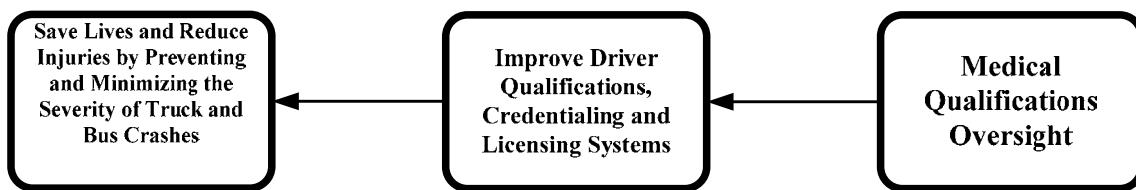
### **Safety Training**

For FY 2009, FMCSA requests \$8.5 million. This portion of the program element has broken technical safety training out from the outreach and education program element in FY 2008. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element. The Agency will provide 100 percent of the FMCSA enforcement staff with timely, effective training to assure that all are certified as meeting the minimum knowledge and skills qualifications to achieve the Agency’s motor carrier safety results on the highways.

FMCSA’s FY 2009 goals are:

- Training is delivered to 80 percent of FMCSA enforcement staff in job specific skills to improve the safety results achieved;
- Border enforcement training initiatives are delivered to 30 target States and offered on FMCSA website;
- In-Service Training is delivered to 80 percent of FMCSA enforcement staff;
- The Bi-annual Re-Certification Process will continue (second year of four year plan);
- CSA 2010 training is provided to 50 percent of the target audience;
- COMPASS training is provided to 50 percent of the target audience; and
- Training is delivered to 75% of FMCSA program officials in improved motor carrier safety enforcement program management with a specific focus on safety improvement outcomes.

## **PERFORMANCE ELEMENT: DRIVER MEDICAL QUALIFICATIONS AND OVERSIGHT**



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

### **PERFORMANCE ISSUE**

The FMCSA has jurisdiction over the medical oversight of approximately 7 million commercial drivers. The increasing number of CMV drivers and the prevalence of medical conditions related to an aging population, such as cardiovascular disease and musculoskeletal injury, will have a detrimental effect on the safety and health of commercial drivers and highway safety overall. The FMCSA's medical program has developed 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: medical regulation and policy development, development of an examiner system performance (the National Registry of Medical Examiners), and establishment of State and Federal capacity for medical status reporting and monitoring.

The purpose of the regulation and policy function is to provide medical rules and guidance for drivers and develop and implement CMV driver fitness for duty programs, that govern the safety and health of CMV drivers, impacting 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 that are qualified to perform examinations and issue medical certificates for CMV drivers. SAFETEA-LU also requires that medical examiners complete an education program on the driver physical qualification standards. The FMCSA is developing the National Registry program to establish clearly defined standards for medical examiner competency through training, testing, certification, and recertification. In addition, this program would allow FMCSA to perform quality reviews of medical examiner performance and practice, including analyses of medical examination reports.

The establishment of a surveillance system for medical reporting and State capacity for monitoring driver medical status is required by SAFETEA-LU and the Motor Carrier Safety Improvement Act. This supports safety through providing monitoring mechanism and enforcement capabilities for States and for FMCSA.

The long term goals of all of these activities are to develop and implement evidence-based medical standards for CMV drivers, and States would be required to adopt these standards, at a minimum. The need for the diabetes mellitus, vision exemption, and the skill performance evaluation (SPE) programs should be reduced or the capacity for certificate programs should be transferred to States. Also, the Agency must review, and revise where appropriate, 100 percent

of FMCSA's medical standards and develop new standards where critical gaps exist. The FMCSA will institutionalize a permanent, continuous review cycle for medical policy and research. The Agency also will institutionalize a National registry (medical examiner system) and National medical surveillance or reporting system as required by SAFETEA LU.

## **ANTICIPATED FY 2008 ACCOMPLISHMENTS**

In FY 2008, FMCSA will renew the Medical Review Board (MRB) charter, ensure the MRB holds several meetings and continue review of standards and guidance. FMCSA will reduce the average amount of time used to process medical exemption requests to less than 165 days. By the end of FY 2008, FMCSA will analyze 70 percent of FMCSRs medical standards and guidelines, completing a minimum of six comprehensive and expedited reviews. In FY 2008, the Agency would propose a plan to implement an efficient public call center, including a program targeted toward answering drug/alcohol screening, testing, and knowledge questions. The FMCSA would propose to add Occupational Health and Safety Specialists or Occupational Health Clinicians to support medical exemption and certificate program transition, initially at headquarters. The Agency will develop the long-term schedule of research and evaluation activities to support the medical program.

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

The FMCSA will implement the new rulemaking action plan for FMCSRs medical standards and a coordinated plan to integrate rulemaking actions, medical programs, and enforcement programs. The Agency will conduct six medical research proceedings.

### **Key Partnerships:**

The FMCSA will partner with other organizations to successfully implement the driver medical oversight activities, and it will conduct the ongoing Visiting Scholar program with the American College of Occupational and Environmental Medicine (ACOEM) and complete one priority research project. The Agency will continue to lead the Federal agency roundtables on transportation safety issues, with partners from other DOT modes and agencies such as the United States Coast Guard and the Occupational Health and Safety Administration (OSHA). The FMCSA 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 and Medical Reporting (Surveillance System):**

The FMCSA will issue an NPRM to establish the National Registry in FY 2008. The Agency will conduct a public meeting regarding the National Registry program and develop a long-term plan for the Registry. The FMCSA will finalize the draft FMCSA Medical Examiner test and curriculum and begin testing and training program demonstration projects. The Agency will establish the network of accredited organizations that will provide testing and training and develop a Medical Examiner Handbook. The FMCSA will publish findings from the Role Delineation Study and Medical Examiner Performance Study. The National Registry reauthorization requirements will be completed, including the business plan and technical requirements.

The Agency will also plan for the implementation of the Congressionally mandated national driver medical surveillance and reporting system that will provide FMCSA with the capacity to

monitor driver medical qualification activities that govern safe operation. This program will provide FMCSA with a system to monitor the driver medical certification process, including links to medical examiner performance in all jurisdictions, including urban and rural areas.

**Exemption and Certificate Programs:**

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

**FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$6.6 million. In FY 2009, FMCSA will appoint MRB members, renew the MRB charter, convene the MRB, and continue review of standards. The FMCSA will reduce the average amount of time to process medical exemption requests to 160 days. By the end of FY 2009, FMCSA will analyze all of the FMCSRs medical standards and guidelines, completing a minimum of five comprehensive and expedited reviews. In FY 2009, the Agency will continue to implement an efficient public call center, including a program targeted toward answering drug/alcohol screening, testing, and knowledge questions. The FMCSA will propose to add Occupational Health and Safety Specialists or Occupational Health Clinicians to support medical exemption and certificate program transition, initially at headquarters. The FMCSA will develop the long-term schedule of research and evaluation activities to support the medical program.

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

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

**Key Partnerships:**

The FMCSA will partner with other organizations to successfully implement the driver medical oversight activities. The Agency will conduct an ACOEM Visiting Scholar program and complete one priority research project. The FMCSA 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.

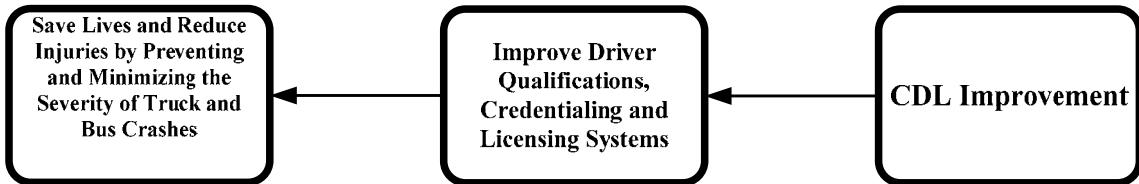
**National Registry and Medical Reporting (Surveillance System):**

The FMCSA will publish the National Registry Final Rule, including the implementation plan, in FY 2009. The FMCSA will conduct another public meeting regarding the National Registry program to develop a long-term plan for the Registry. Training and testing will begin preliminarily for the program, subject to funding availability. The reauthorization requirements will be updated, including the business plan and technical requirements.

### **Exemption and Certificate Programs:**

The FMCSA will consider a rulemaking to change the vision standard, thereby, eliminating the need for a vision exemption program. The FMCSA will conduct regular teleconferences with Agency medical specialists in the States and convene regular SPE program meetings. The FMCSA will implement an 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 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. FMCSA's goal for FY 2008 is to increase field staff involvement in the program and conduct a review of each State's program at least once a year.

The DOT's OIG has identified improving oversight of the CDL program as a Departmental Management Challenge.<sup>8</sup> In May 2002, the DOT's OIG 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 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.

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. Both State employees and employees from third party firms working for the State are involved in these fraudulent activities.

In addition, some problem drivers continue to operate because their conviction records are incomplete, inaccurate, or do not appear on their driving record in a timely manner. Other

<sup>8</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.

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. These actions designed to “mask” or prevent a CDL driver’s conviction from appearing on the driver’s record are prohibited by Federal regulations.

FMCSA addresses CDL improvement through activities which include Federal CDL operations, CDL Improvement Grants, and CDLIS Grants.

### **CDL Grant Program:**

Congress expressed a concern that one of the leading factors operating against CMV 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.

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 DOT to establish Federal minimum standards for licensing, testing, qualification, and classification for 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 HM drivers; 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 DOT 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 operating and now modernizing the CDLIS. The 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 CDL. The 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. The CDLIS includes links to the Canadian and Mexican CDL systems that enable Federal and State enforcement personnel to verify the status of Canadian and Mexican drivers that operate commercial vehicles in the United States.

The 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 information technology advances and expand CDLIS' storage capacity and make it more responsive to current needs. As required by SAFETEA-LU, the modernization plan must: (1) comply with applicable Federal information technology security standards; (2) provide for the electronic exchange of all information, including posting of convictions; (3) contain self-auditing features to ensure that data is being posted correctly and consistently by the States; (4) integrate the CDL and medical certificate; and (5) 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 FY 2008 ACCOMPLISHMENTS**

FMCSA will conduct an evaluation of program effectiveness of the CDL program and continue 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 current CDL legislative requirements. The FMCSA will conduct 51 State CDL program reviews in FY 2008.

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

### **CDL Grant Program**

The 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, it will also ensure that all 50 States and the District of Columbia are compliant with MCSIA requirements. The FMCSA has set a performance goal for 75 percent of State grantees to meet the goals established in their grant requests. Fifty 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-five percent of States will transmit information within a 5 percent error rate.

**CDLIS Grants:**

The FMCSA will continue network updates, begin procedure design, complete central site programming, and develop structured test plans for the modernization of CDLIS. The Agency plans to provide grant funds to States to begin system changes and implementation of the modernized CDLIS .

**FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$25 million for CDL Improvement Grants. The FMCSA also requests \$8 million for CDLIS Grants.

The FMCSA will conduct an evaluation of program effectiveness of the CDL program and continue implementation of CDL Task Force recommendations for improvements. By the end of FY 2009, all 50 States and the District of Columbia will be fully compliant with MCSIA CDL legislative requirements. The FMCSA will conduct 51 CDL State Reviews in FY 2009.

The FMCSA will enhance the State CDL compliance review process and assist States in enforcing the new program requirements. The 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. The Agency will continue to implement applicable provisions of the Real ID Act.

**CDL Grant Program:**

The 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, it will also ensure that all 50 States and the District of Columbia are compliant with MCSIA requirements. The FMCSA has set a performance goal for 90 percent of State grantees to meet the goals established in their grant requests. 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. Fifty percent of States will transmit information within a 5 percent error rate.

**CDLIS Grants**

The FMCSA will award Grant funds to AAMVA to complete development of the modernized CDLIS including completion of central site programming and conducting structured tests of State CDLIS systems. The Agency plans to provide grant funds to States to continue systems changes and implementation efforts. In FY 2009, 25 States will implement modernized CDLIS systems and software.

## **PERFORMANCE ELEMENT: CMV OPERATOR 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 (VMT) by the end of 2011.

### **ANTICIPATED 2008 ACCOMPLISHMENTS**

In accordance with the SAFETEA-LU legislation, this program is being funded from a set aside of administrative expenses in the operations account. The FMCSA will conduct reviews of the FY 2006 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).

In FY 2008, this grant program will be used to train operators and future operators in the safe use of CMVs. The 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.

### **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, 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 2009, this grant program will be used to train operators and future operators in the safe use of CMVs. 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 IT 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 tools, and financial and technical assistance to its State partners. Continued enhancement and development of data analysis tools such as Analysis and Information (A&I) Online; websites 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.

IT provides a vital and integral part of the Agency's service delivery model by providing unique application and infrastructure support. The FMCSA is undergoing a major business and IT transformation and modernization effort, which is necessary to replace the current system architecture consisting of multiple stand-alone databases and requirement of 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. 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, which is 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 improve 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 CMV 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 2008 ACCOMPLISHMENTS**

FY 2008 will see the expansion of the Single Sign-on capability initially deployed in FY 2007 in COMPASS to include all of FMCSA's safety systems, such as A&I Online, Electronic Document Management System (EDMS), Hazardous Materials Package Inspection Program (HMPIP), InfoSys, Query Central, and SAFER.

Also in FY 2008, work on the Compliance Monitoring release will begin. This release is important to the COMPASS program because it introduces the workflow and rule engine capabilities to support the business rules associated with monitoring the activity that occurs on an individual company's records to determine if action needs to be taken. These business rules identify triggers (when actions either occur or fail to occur) that start various processes to suspend or revoke registration or operating authority.

In FY 2008, FMCSA will continue to support the over 10,000 Federal and State users of FMCSA's safety systems with infrastructure services as well as 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. FY 2008 continues the transition of these programs as COMPASS unfolds with its FY 2008 release. These improvements 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.

The 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 (OMB) and Department targets in the following areas: Section 508 compliance, Government-wide E-Gov initiatives, and System Security Certification and Accreditation. For FY 2008, 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.

In FY 2008, FMCSA will release a revised tool to elevate awareness and evaluate State data quality. This tool will factor in the completeness of the Motor Carrier Management Information System (MCMIS) data files as well as the records contained in the system. The tool will contain new measures that evaluate the completeness of driver and vehicle identification information in order to better support the Agency's education and enforcement programs. The tool will use a green-yellow-red rating system much like the President's Management Agenda IT Scorecard.

In FY 2008, 12 States will achieve green status for timeliness, accuracy, and completeness criteria in the area of data management. The FMCSA 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. The FMCSA will complete annual updates to the CRRIM results and/or consider revisions to methodology based on CSA 2010 outcomes. The Agency will continue development of the resource allocation model, with development of a beta version anticipated. The FMCSA 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 HM. 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 by providing 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.

## **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$38.5 million.

In FY 2009, FMCSA will continue building on the work accomplished in FY 2008 by the COMPASS program, enabling the Comprehensive Safety Analysis (CSA) 2010 program by delivering the Compliance Monitoring Release, and begin developing the Registration Release (scheduled to be delivered in FY 2010).

### **Compliance Monitoring Release**

This release has several key objectives to enable CSA 2010 monitoring and interventions.

- Build and deploy a flexible rule engine to manage when an intervention notification should be triggered and what subsequent workflow is generated.
- Build and deploy a workflow engine that defines what intervention notifications are sent and who receives those notifications.
- Build and deploy an intervention notification tool to manage subscribers and what type of timely and actionable notification they receive.
- Build a flexible model that makes it easy to change the text of the CSA 2010 intervention notifications.
- Enable Portal users to interface with EDMS, allowing for the retrieval of documents and storage of intervention-related notifications generated as part of this release.

### **Registration Release**

This release will expand the Portal developed in earlier COMPASS releases by adding the ability for companies to register and maintain their data on file with FMCSA. The release will be implemented by using a combination of workflow and rule engine logic to dramatically improve data quality in support of CSA 2010. Functionality will include:

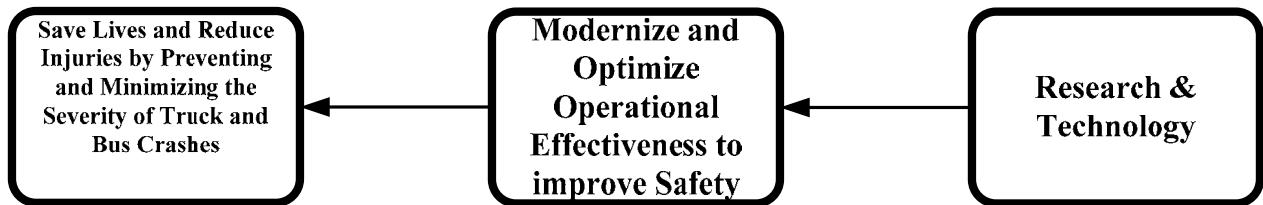
- Single point for registration with FMCSA (URS);
- Updates to company information;
- Notification of registration;
- Insurance filings;
- BOC-3 (Designation of Agents – motor carriers, brokers and freight forwarders) filings; and
- Online payment of fines.

In FY 2009, 14 States will achieve green status for timeliness, accuracy, and completeness criteria in the area of data management. The FMCSA will complete at least four offsite State data quality assessments. The program will also complete onsite data quality reviews with at

least six States to assess relative quality of crash and inspection data collection and reporting at the individual State level. The Agency will complete annual updates to the Compliance Review Effectiveness Model (CREM) results and/or consider revisions to methodology based on CSA 2010 outcomes. The Agency will continue development of the resource allocation model, with development of a beta version anticipated. The FMCSA 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 HM. 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 by providing 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 CMVs and the efficiency of CMV 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 IT 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 IT 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 (HM 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 CMVs;
- (3) Produce safer carriers;
- (4) Advance safety through information-based initiatives;
- (5) Improve security through safety initiatives; and
- (6) Enable and motivate internal excellence.

The Office of Research and Analysis (R&A) has worked to develop an appropriate set of performance measures in FY 2007 and has coordinated its 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. These performance metrics are: 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 R&T 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 was 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 are 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. The FMCSA plans to track the percentage of projects started (out of the total number of projects identified in the new R&T Roadmaps).

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 Agency 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.

*(For a more in-depth description, please see the Research & Technology Appendix)*

## **ANTICIPATED FY 2008 ACCOMPLISHMENTS**

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, “Produce 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. The FMCSA will leverage data collected for the LTCCS and its 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 (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. The FMCSA will support the Secretary’s efforts to increase the number of CMV drivers who use their safety belts. The Agency 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. The FMCSA will support updating the model curriculum for training motorcoach drivers. The 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.

The FMCSA is requesting funding for CDL 3<sup>rd</sup> Party Testing Anti-Fraud projects that were previously funded from the Research and Innovative Technology Administration’s (RITA) Intelligent Transportation System 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.

In FY 2008, FMCSA anticipates the following accomplishments by strategic objective:

- 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 Program);
  - 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 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 CMVs
  - Increase the deployment and use of CMV systems and technologies that address safety needs, evaluate the safety effectiveness of onboard safety systems, and use 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 use 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 HM safety, FMCSA will continue to analyze cargo tanks that transport HM and determine if various designs effectively contain the HM if involved in a crash.

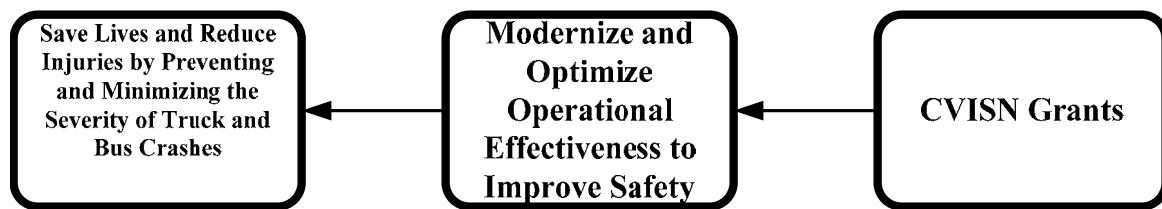
## **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$8.5 million. The following are FMCSA's anticipated priority R&T accomplishments by strategic objective for FY 2009:

- Produce Safer Drivers
  - Continue to 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;
  - Complete the prototype system that can detect and warn drivers who are drowsy and about to fall asleep (SBIR Program);
  - Publish a report on the driving behavior, performance, and outcome similarities and differences of high risk and low risk CMV drivers;
  - Compare the effectiveness of applying alternative instructional technologies in behavioral training programs to prevent HM cargo tank rollovers;
  - Develop a commercial-ready, low cost, easily installed device to increase safety belt use (SBIR Program);
  - Examine implementation issues of establishing an ENS system, and identify the legal, IT infrastructure, budgetary, and administrative barriers;
  - Report the results of 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 to provide parking availability in real time to CMV drivers.
- Improve Safety of CMVs
  - Increase deployment and use of CMV systems and technologies that address safety and security needs, evaluate the safety effectiveness of onboard safety system, and use 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 in Phase III of this project.
- Produce Safer Carriers
  - Provide continued research support for FMCSA's rulemaking activities; and
  - Determine the root causes of 100 bus and motor coach fires and generate specific recommendations for preventing incident recurrences.
- Advance Safety Through Information-Based Initiatives
  - Broaden the participation and utilize the expertise of the TRB in FMCSA program outreach;
  - Continue 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.

- Improve Security through Safety Initiatives
  - Design, create, and pilot-test software for detecting and/or deterring fraud perpetrated during CDL skills testing activities, with the long term goal to reduce fatalities, injuries, and crashes resulting from drivers who fraudulently obtain CDLs.
- Enable and Motivate Internal Excellence
  - Improve the management of R&T programs by continuing to provide and maintain R&A stakeholder forums, provide reports, and enhance the project and budget tracking processes. FMCSA will continue to publish R&A findings and provide visibility of our products through electronic, print, audiovisual, and conference deliverables.

## **PERFORMANCE ELEMENT: CVISN GRANTS**



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

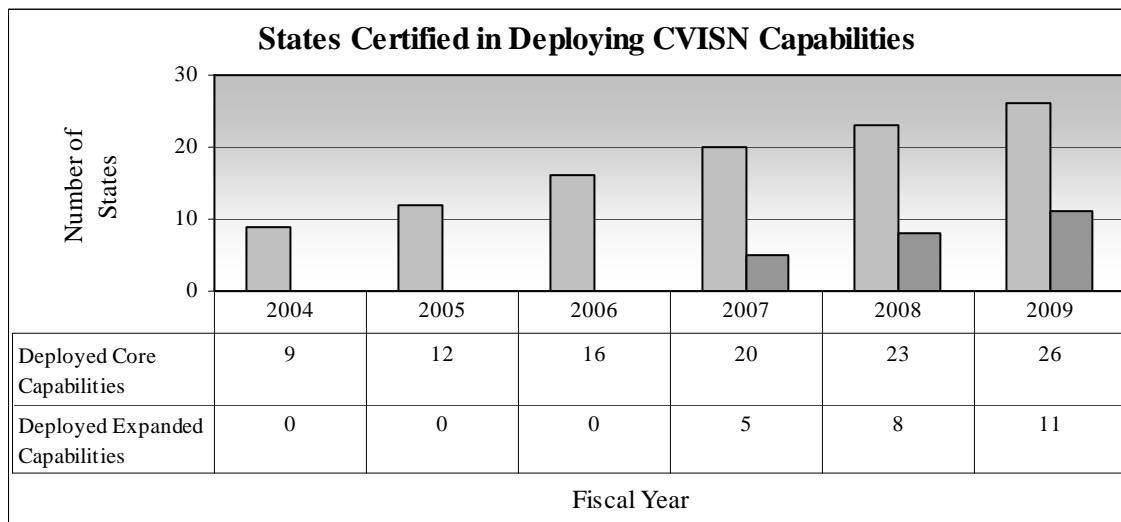
### **PERFORMANCE ISSUE**

The 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. The FMCSA works with all States, the motor carrier industry, and the private sector to implement the core CVISN capabilities that include:

- **Safety Information Exchange**—designed to assure the safety of motor carriers, commercial vehicles, commercial drivers, and cargo through improved data collection and enhanced data sharing (inspection reports, credentials status, etc.). Projects within this area include automated roadside vehicle and driver inspections and safety information systems that support the sharing of data across agencies and jurisdictions.
- **Roadside Electronic Screening**—designed to facilitate the verification of a commercial vehicle’s size, weight, safety, and credentials information. Projects in this area include the use of transponder-based systems to identify CMVs while in motion. Vehicles are allowed to bypass the inspection/weigh stations as long as they are within size and weight restrictions, have the necessary operating credentials, and are operated by a motor carrier with a history of good safety performance.
- **Electronic Credentials Administration**—designed to automate the application, processing, and issuance of motor carrier operating credentials and permits. Projects in this area automate the issuance of International Registration Program (IRP) and International Fuel Tax Agreement (IFTA) credentials, as well as the processing of IFTA tax payments.



(Figure 4A-12)

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.

The deployment of CVISN systems yields safety and operational benefits to the States that deploy them, the motor carriers that use them, and the general public. These benefits include improved highway safety and security, as well as highway operations, increased operational efficiency for motor carriers using CVISN systems, enhanced customer service via web-based credentialing systems, and improved data accuracy.

## **ANTICIPATED FY 2008 ACCOMPLISHMENTS**

FMCSA will implement and evaluate commercial driver information sharing capabilities for up to three States. The Agency will explore additional expanded CVISN functionality in the driver information sharing program area, as well as enhanced safety information sharing, smart roadside, and expanded electronic credentialing.

The FMCSA will provide continual technical assistance and support to States in all phases of core and expanded CVISN implementation. As a result, FMCSA will have accepted CVISN Program Plans for core deployment from all 50 States and the District of Columbia. The FMCSA will provide CVISN deployment program grants to a total of 26 States to implement core CVISN capabilities and certify deployment of core CVISN capabilities in a total of 23 States. The FMCSA will accept CVISN Program Plans for expanded capabilities from a total of eight States and provide CVISN deployment program grants to a total of eight States to implement expanded CVISN capabilities. The FMCSA expects to certify deployment of at least one expanded CVISN capability in a total of three States.

The FMCSA will develop a comprehensive strategy to create an integrated information systems and technology-based initiative for the next reauthorization. The key objectives of this initiative will be to develop, test, and deploy integrated technologies and systems to transform the roadside environment in which commercial trucks and buses operate. This will enable State and Federal safety assurance activities to be focused on identifying potentially unsafe, high-risk, and illegal carriers, drivers, and vehicles for inspection or review and if necessary, remove them from service, and increasing motor carrier and commercial vehicle credential and tax administration efficiency for carriers and government agencies through exchanging data among authorized Federal and State agencies and information systems.

## **FY 2009 PERFORMANCE BUDGET REQUEST**

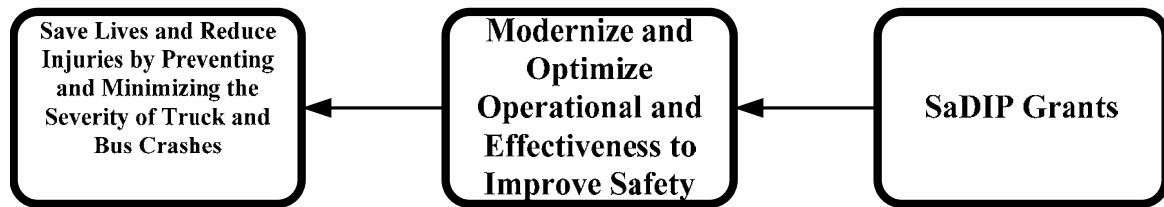
For FY 2009, FMCSA requests \$25 million. The FMCSA will implement and evaluate commercial driver information sharing capabilities for up to six States. The Agency will explore additional expanded CVISN functionality in the driver information sharing program area, as well as enhanced safety information sharing and expanded electronic credentialing.

The funds requested for FY 2009 will provide States with critical funding to deploy both core and expanded CVISN capabilities. The FMCSA will provide technical assistance and support to all States to support their core and expanded CVISN deployment efforts. The FMCSA will provide CVISN deployment program grants to a total of 29 States to implement core CVISN capabilities and certify deployment of core CVISN capabilities in a total of 26 States. The FMCSA will accept CVISN Program Plans for expanded capabilities from a total of 11 States and provide CVISN deployment program grants to a total of 11 States to implement expanded

CVISN capabilities. FMCSA expects to certify deployment of at least one expanded CVISN capability in a total of six States.

Based on the work completed in FY 2008, in FY 2009, FMCSA will continue its efforts to develop a comprehensive strategy to create an integrated information systems and 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**

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. The 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 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.

The 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 MCMIS.

The 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) 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 2008 ACCOMPLISHMENTS**

In FY 2008, FMCSA will release a revised tool to elevate awareness and evaluate State data quality. This tool will factor in the completeness of the MCMIS data files as well as the records contained in the system. The tool will contain new measures that evaluate the completeness of

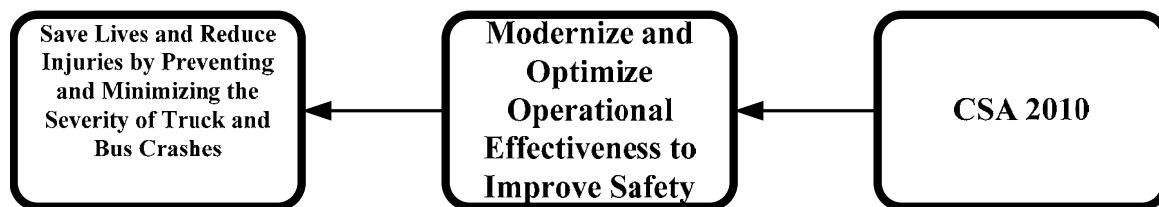
driver and vehicle identification information in order to better support the Agency's education and enforcement programs. The tool will use a green-yellow-red rating system much like the President's Management Agenda IT Scorecard.

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 12 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.

### **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$3 million. Using FY 2009 funding, FMCSA will continue to work with States to improve overall quality of State reported data collection and reporting, with the goal that 14 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: CSA 2010**



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

### **PERFORMANCE ISSUE**

In 2005, FMCSA began a major new initiative called 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 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. The FMCSA is targeting

2010 for deployment of this new operational model. The FY 2009 budget request is reflective of FMCSA's initial budget reallocations and consolidations to implement CSA 2010.

## **FY 2008 PERFORMANCE BUDGET REQUEST**

Required activities for this new initiative fall into three broad categories. The first category involves activities that support FMCSA technical teams that are developing the new operational model, including operational model 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 122 milestones beginning in FY 2007 through FY 2010. For FY 2008, the Agency plans to complete 28 milestones in addition to the 68 in FY 2007, for a cumulative total of 81 percent of all initiative requirements.

In FY 2008, FMCSA will:

- Begin the operational model 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 it progresses.

## **FY 2009 PERFORMANCE BUDGET REQUEST**

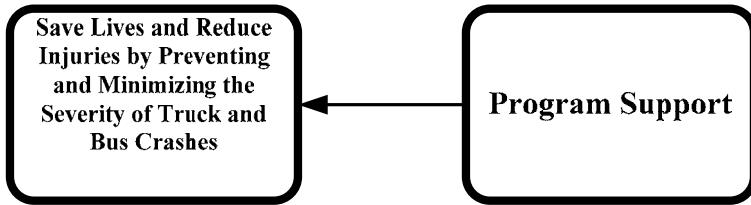
The FMCSA has identified specific funds totaling \$5.7 million to support CSA 2010 in the FY 2009 budget request.

Required activities for this new initiative fall into three broad categories. The first category involves activities that support FMCSA technical teams that are developing the new operational model, including operational model 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 122 milestones beginning in FY 2007 through FY 2010. For FY 2009, the Agency plans to complete 19 milestones in addition to the 28 in FY 2008, for a cumulative total of 93 percent of all initiative requirements.

In FY 2009, FMCSA will:

- Continue the operational model 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 it progresses.

## **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 includes communication activities to promote public understanding of, and support for, FMCSA programs, activities, policies, and strategies.

The 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. 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; that appropriated funds are disbursed timely and effectively to sustain safety programs and initiatives of FMCSA and its partners; and that the Agency is effectively represented in administrative and court proceedings concerning safety enforcement and regulatory initiatives. The 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 2008 PERFORMANCE BUDGET REQUEST**

In FY 2008, program support will 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 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$26.1 million. This element includes FMCSA adjudications activities to close or send to formal or informal hearing or binding arbitration all remaining 2007, and half of the 2008 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 2009

**FMCSA**

Performance Budget Estimates

**SECTION 4B**

Reduced Congestion

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

**REDUCED CONGESTION**

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**REDUCED CONGESTION**  
**Performance Goal: Transportation Reliability**

**Reducing Congestion Summary Overview**

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

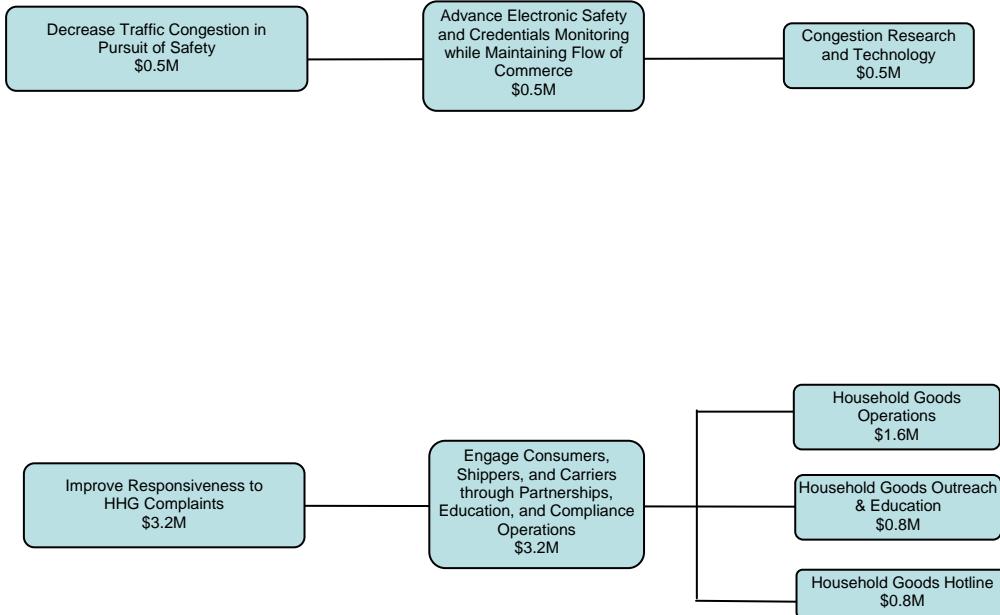
Household Goods (HHG) Commercial Investigations							
	<u>2002</u>	<u>2003</u>	<u>2004</u>	<u>2005</u>	<u>2006</u>	<u>2007</u>	<u>2008</u>
<b>Target:</b>	N/A	15	100	300	450	450	450
<b>Actual:</b>	15	15	20	300			

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, HHG operations, as well as HHG outreach and education and the HHG hotline.

The resources requested to achieve this goal are:

REQUEST BY STRATEGIC GOAL (\$000)	FY 2007 <u>ACTUAL</u>	FY 2008 <u>ENACTED</u>	FY 2009 <u>REQUEST</u>
I. INCREASE ACCESS	<u>\$2,104</u>	<u>\$3,662</u>	<u>\$3,719</u>
A. Engage consumers, shippers, and carriers through partnerships, education and compliance			
1. Motor Carrier Safety Operations & Programs	\$1,614	\$2,809	\$2,853
B. Advance electronic safety and credentials monitoring while maintaining flow of commerce			
1. Motor Carrier Safety Operations & Programs	\$490	\$853	\$866
FTE	16	16	16

## Reduced Highway Congestion Goal Logic Model



## REDUCED CONGESTION 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

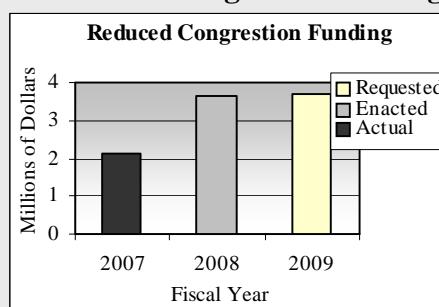
- Types and Frequency of HHG Movers Complaints of HHG Movers Filed
- Number and Types of Commercial Enforcement Actions Initiated

### Performance Elements

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



### Reduced Congestion 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 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.

The 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. The FMCSA receives nearly 3,000 HHG complaints annually. Calls and internet complaints from consumers are rising every year. There are over 4,000 registered motor carriers actively transporting HHG across State lines. As investigations have uncovered, many more motor carriers 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 safety and credentials monitoring while maintaining the flow of commerce; and
- Engage HHG consumers, shippers, and carriers through partnerships, education, and compliance operations.

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 4B-3. For each performance element the following narratives are provided: (1) Performance Issue; (2) Anticipated FY 2008 Accomplishments; and (3) FY 2009 Performance Budget Request. Achievement of all FY 2008 performance targets under the productivity goal assumes receipt of full FY 2008 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. The 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 2008 ACCOMPLISHMENTS**

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.

The FMCSA will conduct a Field Operational Test (FOT) to install and test a statewide 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 checks of CMV drivers and vehicles. 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.

## **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$512,000. This multi-year program will continue 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. A complete description can be found in the Research and Technology Appendix in Section 5.

## **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. The 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.

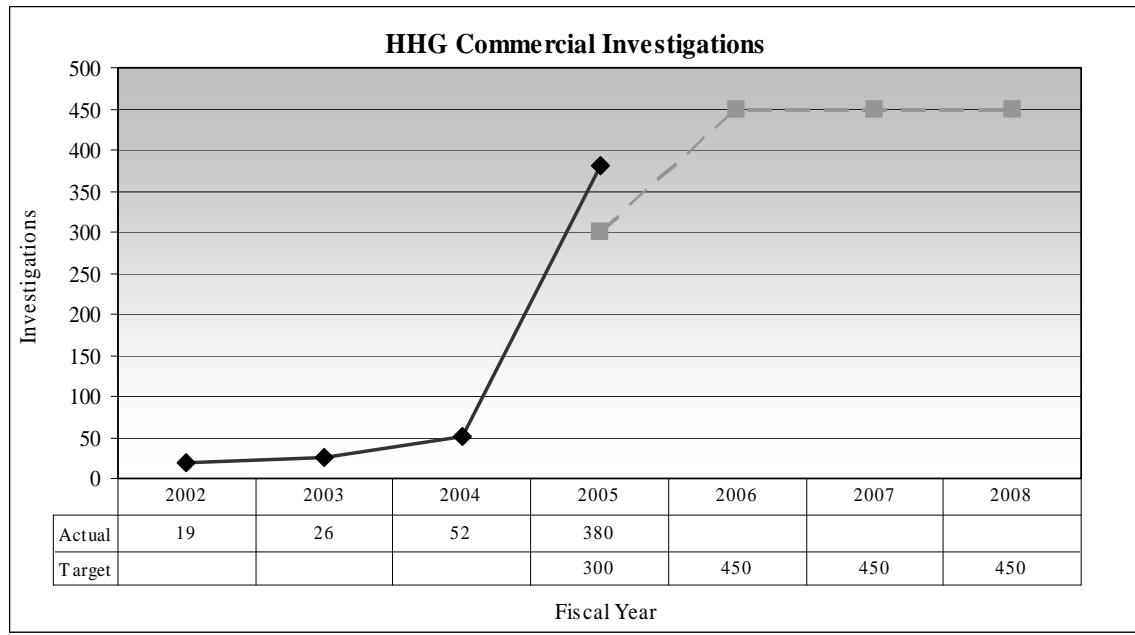
The FMCSA has undertaken a campaign to educate HHG moving consumers about the threats posed by "rogue" moving companies and to improve moving fraud prevention and enforcement efforts.

### **ANTICIPATED FY 2008 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. The FMCSA plans to reduce complaints requiring investigation by 1 percent from the FY 2007 rate through proactive enforcement and engagement of the industry. The FMCSA will conduct at least 50 website 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.

## FY 2009 PERFORMANCE BUDGET REQUEST

For FY 2009, FMCSA requests \$1.6 million. This funding includes administrative and management expenses to continue current levels of support for this performance element.



(Figure 4B-1)

FMCSA plans to complete 450 commercial HHG compliance reviews annually, as shown in Figure 4B-1 above. The Agency will accomplish this in part by training 40 additional HHG field investigators from existing safety staff. The FMCSA plans to reduce the number of complaints requiring investigation by 1 percent from the FY 2008 rate through proactive enforcement and engagement of the industry. One example of this will be through website investigations.

These investigations will identify those advertisements that may cause shippers to receive minimum or false information. The FMCSA will conduct at least 50 website investigations in FY 2009, 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 noncompliance; which will decrease the time to fully process an enforcement case.

## **PERFORMANCE ELEMENT: HOUSEHOLD GOODS OUTREACH AND EDUCATION**

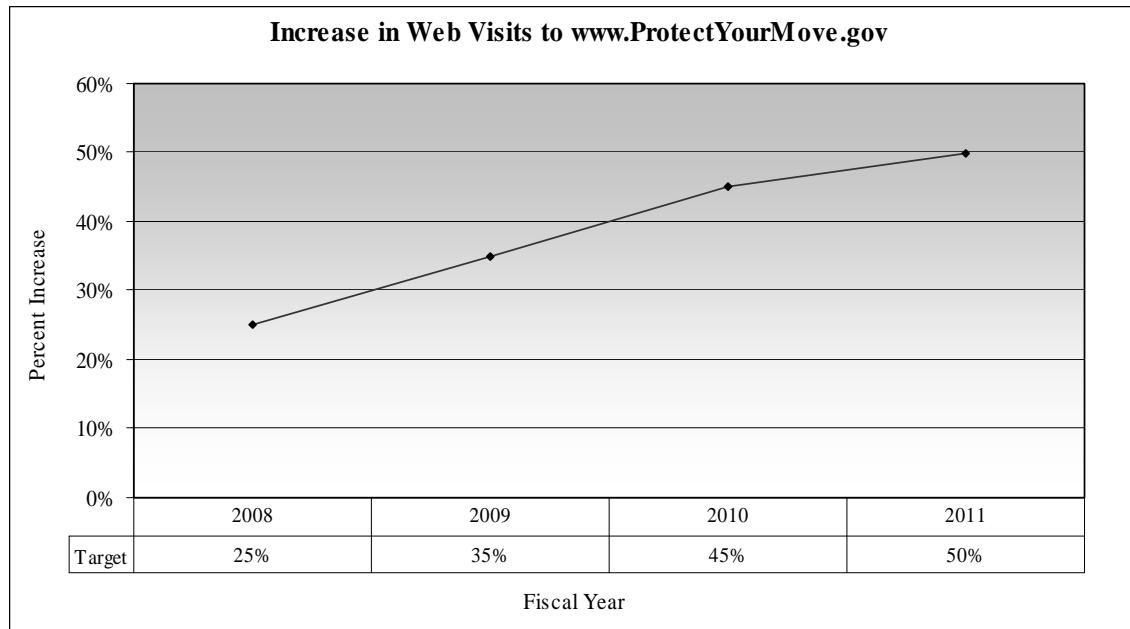


**Responsible Official:** *Associate Administrator for Enforcement and Program Delivery*

### **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. The FMCSA maintains the "Protect Your Move" website, 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" website by 35 percent compared to the FY 2006 Web-hits rate as reflected in Figure 4B-2. Also, FMCSA's partnership with the U.S. Postal Service will reach nearly 40 million consumers filing a change of address form to spread the fraud prevention message to consumers conducting a HHG move.



(Figure 4B-2)

## **ANTICIPATED FY 2008 ACCOMPLISHMENTS**

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” website;
- 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 40 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 the “Protect Your Move” website by 25 percent, compared to the FY 2006 rate, while achieving a 72 percent customer satisfaction rating from site visitors.

## **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$780,000 (includes \$610,000 from the Outreach and Education program authorized by SAFETEA-LU). This funding includes administrative and management expenses to continue current levels of support of this performance

element. In FY 2009, 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” website;
- Expand outreach initiative with publishers of Yellow Book, Yellow Pages, One Book, etc. to feature Protect Your Move Web site information in their publications.
- 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 40 million consumers filing a change of address form annually; and,
- Work with GSA to distribute 50,000 HHG brochures through the Federal Citizen Information Center.

In FY 2009, FMCSA will increase the number of Web hits to Protect Your Move Web site by 35 percent, compared to the FY 2006 rate, while achieving a 73 percent customer satisfaction rating from site visitors.

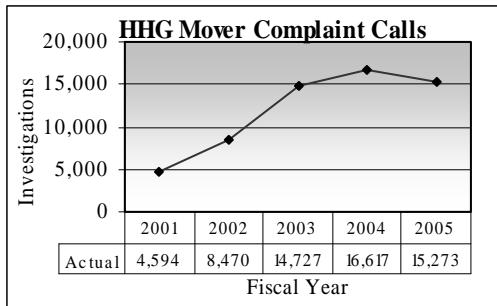
## **PERFORMANCE ELEMENT: HOUSEHOLD GOODS HOTLINE**



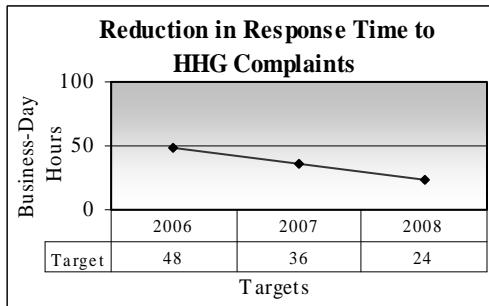
**Responsible Official:** *Director, Office of Communications*

### **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 4B-3, HHG consumer calls have exceeded 14,000 per year since 2003, some of which have been complaints about a HHG mover. The FMCSA efficiently and effectively collects consumer complaint data to ensure the enforcement program can make data driven compliance and enforcement decisions. The 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 4B-4.



(Figure 4B-3)



(Figure 4B-4)

## ANTICIPATED FY 2008 ACCOMPLISHMENTS

In FY 2008, 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. The FMCSA will improve performance in responding to hotline calls, reducing the average time it takes to respond to 24 hours.

## FY 2009 PERFORMANCE BUDGET REQUEST

For FY 2009, FMCSA requests \$784,000 (includes \$390,000 from the Outreach and Education program authorized by SAFETEA-LU. 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 less than 24 hours.

FY 2009

**FMCSA**

Performance Budget Estimates

**SECTION 4C**

Security

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

**SECURITY, PREPAREDNESS, AND RESPONSE**

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**SECURITY, PREPAREDNESS AND RESPONSE**  
**Performance Goal: CMV SECURITY**

**Security Summary Overview**

This funding request contributes to the Department of Transportation (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.

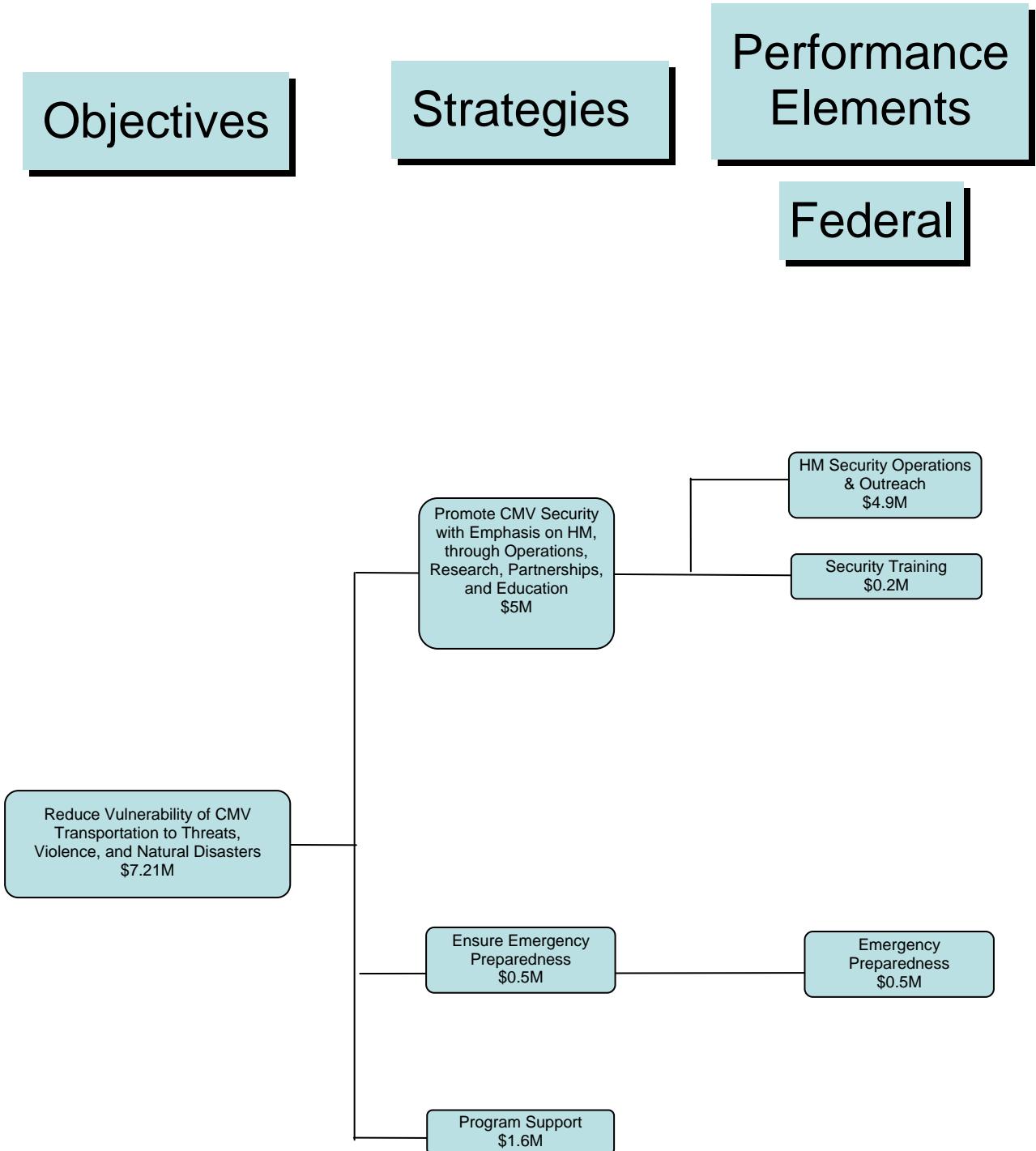
DOT will deploy the resources in this request to improve the security of motor carrier transport of Hazardous Materials (HM) through security operations and outreach, security training, research and technology, and emergency preparedness.

The resources requested to achieve this goal are:

REQUEST by STRATEGIC GOAL (\$000)	FY 2007 <u>ACTUAL</u>	FY 2008 <u>ENACTED</u>	FY 2009 <u>REQUEST</u>
I. Security, Preparedness and Response	\$8,095	\$7,234	\$7,181
A. HM Emergency Response			
1. Motor Carrier Safety Operations & Programs	\$8,095	\$6,743	\$6,678
B. Ensure Emergency Preparedness			
1. Motor Carrier Safety Operations & Programs	\$0	\$491	\$503
FTE	57	51	51

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

## Security Program Logic Model



## **SECURITY GOAL DASHBOARD**

### **Security Strategic Objective:**

Reduce Vulnerability of Commercial Motor Vehicle (CMV) Transportation to Threats, Violence, and Natural Disasters



#### **Outcomes**

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



#### **Leading Indicators**

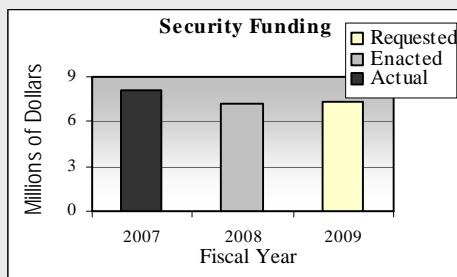
- HM Compliance Reviews of permitted carriers
- HM Compliance Reviews
- All Security Contact Reviews
- All Security Sensitive Visits



#### **Performance Elements**

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

### **Security Funding Request**



## **PERFORMANCE ISSUE**

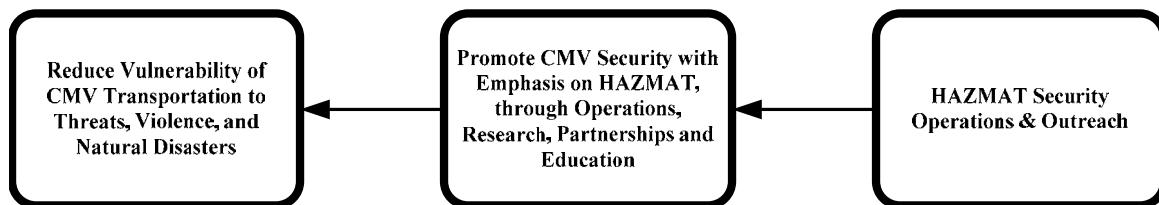
Terrorists could potentially use trucks transporting HM to conduct attacks against the United States. Certain materials such as explosives, poison gases, radioactive materials, and flammable gases have the potential to be used as weapons of mass destruction to inflict catastrophic consequences. Such 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 HM 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 HM to be used to conduct attacks against the United States. In addition, FMCSA coordinates its efforts in HM security with the Pipeline and Hazardous Materials Safety Administration (PHMSA) to ensure consistency within the HM 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. The 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.

The 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. The FMCSA leverages this relationship by closely tying together its efforts in HM security with its efforts in HM safety. Security has also been identified as a priority initiative by the Secretary.

The FMCSA will carry out a coordinated security strategy framed around performance elements for HM security operations and outreach, security training, security research and technology, and emergency preparedness. Addressed for each performance element are: (1) Performance Issue; (2) Anticipated FY 2008 Accomplishments; and, (3) FY 2009 Performance Budget Request. Achievement of all FY 2008 performance targets under the security goal assumes receipt of full FY 2008 funding for this goal.

## **PERFORMANCE ELEMENT: HM SECURITY OPERATIONS AND OUTREACH**



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

### **PERFORMANCE ISSUE**

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

- Checks driver identification;
- Conducts extensive on-site security assessments;
- Encourages carrier security sensitivity; and
- Communicates information about HM 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 HM carriers. SSVs are educational security discussions covering best practices. They are conducted with HM 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 HM motor carriers that transport placardable amounts of HM. In addition, FMCSA has instituted

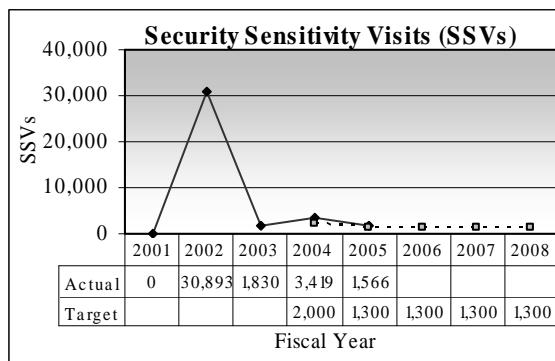
security outreach operations to inform HM carriers of potential security threats and raise their overall awareness of security hazards. The FMCSA also leverages HM security by coordinating it with activities that include HM safety compliance and enforcement activities, the HM permit program, and other motor carrier industry contacts.

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

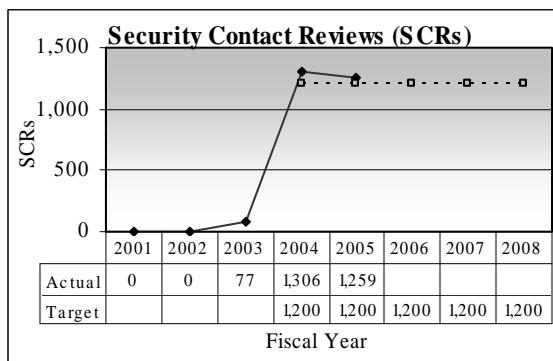
## **ANTICIPATED FY 2008 ACCOMPLISHMENTS**

Resources in the FY 2008 budget request will enable the Agency to achieve its operational program objectives in support of FMCSA's Security strategic goal. In FY 2008, FMCSA will continue its work to heighten the sensitivity of motor carriers transporting HM to security threats. These efforts included SSVs and SCRs of HM 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 HM security plans.

As shown in Figures 4C-1 and 4C-2, 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 HM carriers. In FY 2008, FMCSA intends to conduct 1,200 SCRs and 1,300 SSVs, as reflected in Figures 4C-1 and 4C-2.



(Figure 4C-1)



(Figure 4C-2)

The ratio of SCRs and SSVs has changed because FMCSA now requires an SCR during any compliance review on a HM motor carrier that is required to have a security plan. Therefore, the total cumulative number of SCRs and SSVs for FY 2008 will be dependent on the ratio of carriers reviewed that require security plans.

The 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 HM 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 HM security. To improve the security of HM transportation in FY 2008, FMCSA expects to:

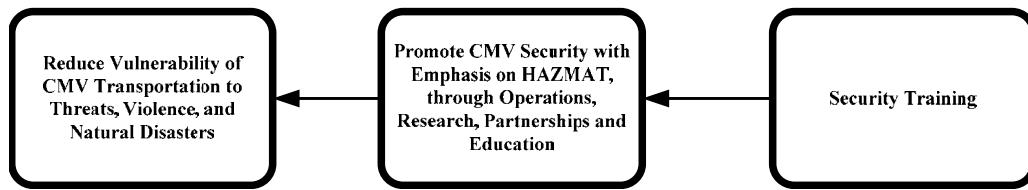
- Complete 2,500 SSVs and SCRs;
- Continue to analyze the impact of including security risk assessment components in the regulation governing the routing of HM;
- Continue to communicate threat characteristics, security tips, procedures, and advice to the HM industry and Federal and State governments; and
- Target the violations found in FY 2007.

### **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$4.9 million. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element. The FMCSA plans to accomplish the following milestones in FY 2009:

- Provide national program guidance and policy in coordination with the completion of 2,500 Security visits (SCRs and SSVs);
- Continue to communicate threat characteristics, security tips, procedures, and advice to the HM industry and Federal and State governments;
- Assist and support PHMSA and TSA in security initiatives that affect the transportation of hazardous materials.
- Increase security visits of motor carrier transporting highway route controlled quantities of radioactive materials; and
- Focus the HM security program to the problem areas.

## **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 availability of 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 household goods (HHG) compliance reviews; and (4) local law enforcement in how to properly identify the Mexican commercial drivers license (CDL).

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 FMSCA'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 sufficiently skilled in performing critical job functions in the area of transportation security. The FMCSA would experience a reduction in criminal interdiction activity, particularly at the State and local levels, involving CMV operations. The 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.

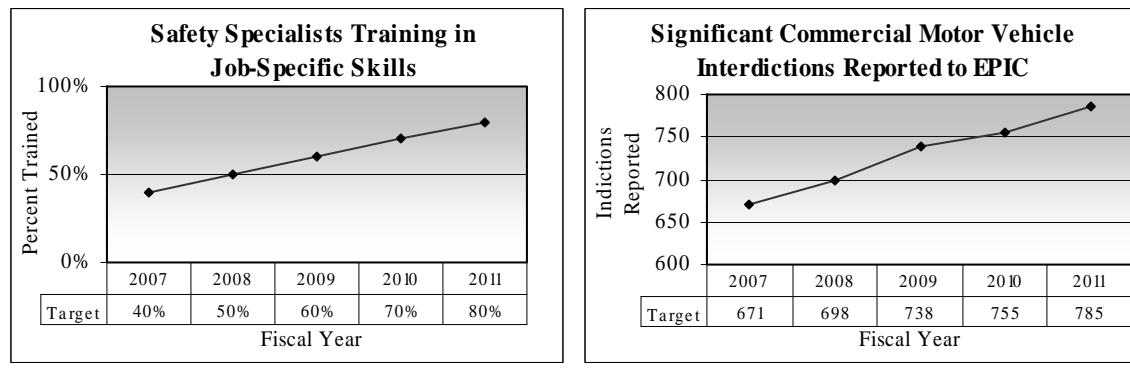
### **ANTICIPATED FY 2008 ACCOMPLISHMENTS**

Resources in the FY 2008 budget 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 2008, FMCSA will have trained 50 percent of targeted Federal, State and local safety specialists in specific security-job skills. As shown in Figure 4C-3 below, FMCSA will increase drug interdiction assistance program (DIAP) commercial vehicle criminal interdiction training by 10 percent over FY 2006. These activities will increase significant CMV interdictions, as shown in Figure 4C-4.

FMCSA plans to accomplish the following milestones in FY 2008:

- Train 50 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;
- Deliver technical assistance to FMCSA and Agency partners in support of FMCSA's security mission;
- Increase the 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.



(Figure 4C-3)

(Figure 4C-4)

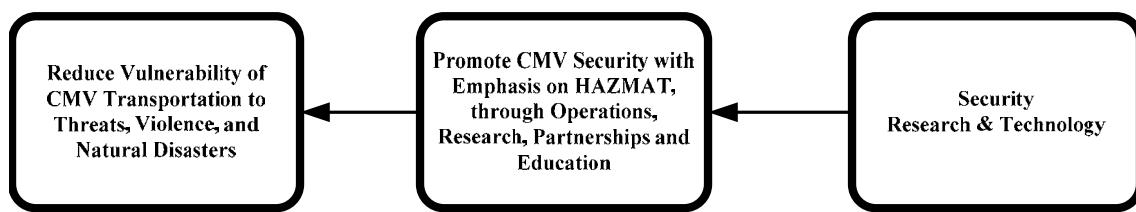
## FY 2009 PERFORMANCE BUDGET REQUEST

For FY 2009, FMCSA requests \$180,000. 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 2009:

- Train 60 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;
- Deliver technical assistance to FMCSA and Agency partners in support of FMCSA's security mission;
- Increase the scope of criminal interdiction data provided by FMCSA partners to include data on drug-impaired CMV drivers; and
- Continue to 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 ISSUE**

To address the vulnerability of HM to threats of terrorism, FMCSA will investigate the adequacy of current safety standards for cargo tanks transporting poisonous materials and engage in a comprehensive HM 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 HM transportation having the highest risk on the Nation's roadways.

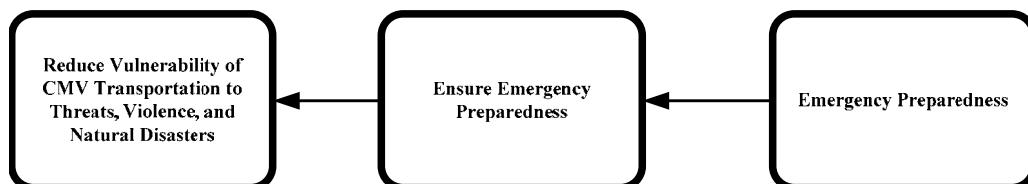
### **ANTICIPATED FY 2008 ACCOMPLISHMENTS**

In FY 2008, FMCSA will analyze the security risk and HM routing procedures set forth in 49 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 HM.

### **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests no funds for HM Security Research and Technology as there are no new or continued research or technology projects scheduled for FY 2009.

## **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 structures, capabilities, and resources into a unified, all-discipline, and all-hazards approach to domestic incident management. The FMCSA assists in these efforts by applying the Agency's unique knowledge of the CMV industry and enforcement community.

The 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 and 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. The 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. The 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. The 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. The FMCSA leverages this relationship by closely tying together its efforts in security with its efforts in HM safety. Security has also been identified as a priority initiative by the Secretary.

## **ANTICIPATED FY 2008 ACCOMPLISHMENTS**

Resources in the FY 2008 budget request will enable the Agency to achieve its operational program objectives in support of FMCSA's Security strategic goal.

The FMCSA plans to participate in Government-wide Continuity of Government and Continuity of Operations (COOP) exercises led by various agencies (i.e., DHS, Federal Emergency Management Agency, DOT, etc.) and continues to work in close coordination with TSA to establish protocols ensuring the security and safety of CMV transportation.

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.

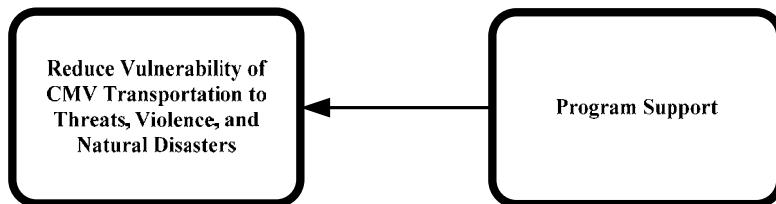
In FY 2008, FMCSA will conduct tabletop exercises for field offices, conduct a readiness and operations test at all alternate sites, and conduct emergency preparedness briefings for 100 percent of Agency employees.

### **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$503,000. 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., DHS, Federal Emergency Management Agency, DOT, 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 100 percent of Agency employees by FY 2009.

### **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 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 HM 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 2008 ACCOMPLISHMENTS**

In FY 2008, program support will provide legal support and review to develop and enforce rules to enhance the Agency's security presence. The FMCSA will also provide legal oversight and support of the Agency's enforcement activities to address security vulnerabilities of CMVs, particularly with respect to HM carriers.

### **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$1.6 million. 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, HM permitting oversight, and HM package inspection.

FY 2009

**FMCSA**

Performance Budget Estimates

**SECTION 4D**

Global Connectivity

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

**COMMERCIAL MOTOR VEHICLE GLOBAL  
CONNECTIVITY**

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## GLOBAL 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 commercial motor vehicle (CMV) operations.

With these funds, the Department of Transportation (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 STRATEGIC GOAL (\$000)	FY 2007 <u>ACTUAL</u>	FY 2008 <u>ENACTED</u>	FY 2009 <u>REQUEST</u>
I. Global Connectivity	\$100	\$352	\$361
A. Facilitate a more efficient cross border motor carrier transportation system that enables economic growth and development			
1. Motor Carrier Safety Operations & Programs	\$100	\$352	\$361
FTE	0	2	2

## Global Connectivity Logic Model

### Objectives

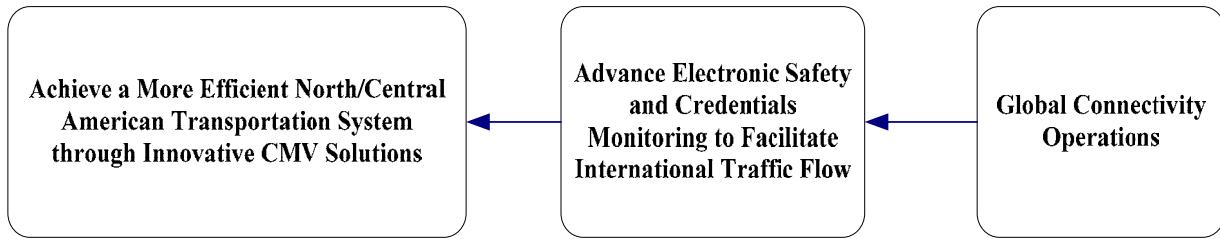
### Strategies

### Performance Elements

### Federal



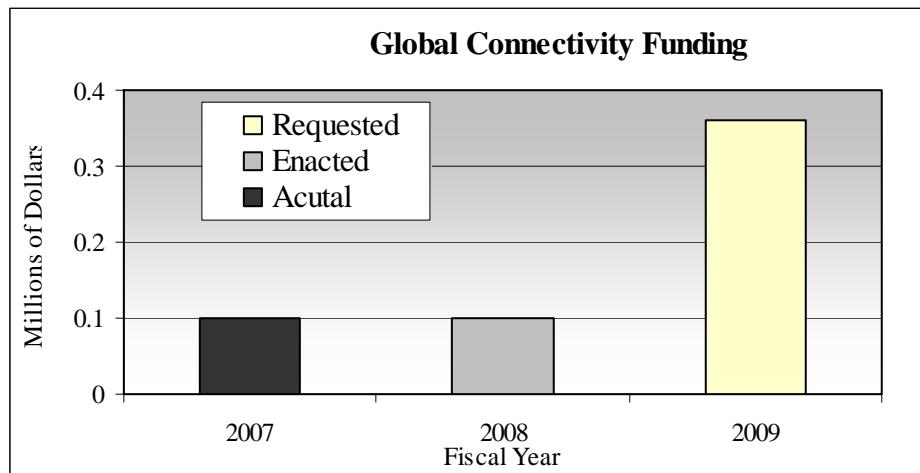
## **PERFORMANCE ELEMENT: *GLOBAL CONNECTIVITY OPERATIONS***



**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 Motor Carrier Safety Assistance Program (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 CMVs 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 CMV 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. The 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 CMVs.

Transportation systems within and among nations are lifelines to economic growth, open trade, and greater cultural exchange. We are in a world where economic productivity is tightly linked to transportation efficiency. Multinational manufacturers purchase 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 CMV 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 North American Free Trade Agreement (NAFTA).

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 ACE/ITDS. ACE/ITDS, when combined with the functionality of FMCSA's Query Central, will enable Federal border inspectors to identify and contain unsafe CMVs 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. The 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 2008 ACCOMPLISHMENTS**

In FY 2008, FMCSA will continue to work with its interagency and international partners to improve and expand connectivity through ITDS and implement safety activities based on this shared data. The FMCSA will deploy an initial production version of ACE/ITDS to all ports by June 1, 2008. The FMCSA will complete harmonization of crash reporting data elements by June 2008. The Agency will also

develop and test compatible Information Technology (IT) systems for an integrated data management and motor carrier safety oversight regime with Mexico and Canada.

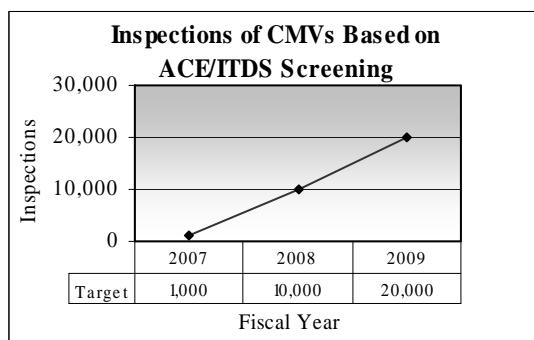
The FMCSA will work on its joint projects to address CMV global connectivity, productivity, and safety. The FMCSA will continue to work closely with CBP on the ACE/ITDS and the Free and Secure Trade Program (FAST). The Agency envisions that as the CBP programs mature, greater participation by FMCSA will 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. The 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 2008, 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.

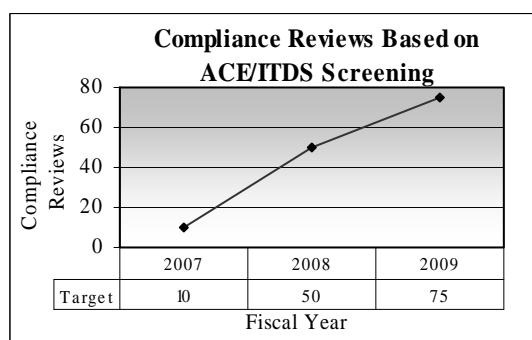
The FMCSA plans to conduct 10,000 targeted commercial motor carrier, vehicle, and driver inspections (including operating authority and financial responsibility checks) based on ACE/ITDS screening procedures; and 50 compliance reviews based in part on ACE/ITDS screening data. Achievement of all FY 2008 performance targets under the global connectivity goal assumes receipt of full FY 2008 funding for this goal.

## FY 2009 PERFORMANCE BUDGET REQUEST

For FY 2009, FMCSA requests \$361,000. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance request. The FMCSA's planned accomplishments in FY 2009 include maintaining the ACE/ITDS functionality and making enhancements to field systems as operations expand to additional crossings. The FMCSA will complete revisions to ACE/ITDS to all ports by June 1, 2009. The FMCSA will begin exchanging accident report information by June 2009.



(Figure 4D-2)



(Figure 4D-3)

By the end of FY 2009, FMCSA will deploy ACE/ITDS at 100 percent of commercial cargo border crossings. As shown in Figures 4D-2 and 4D-3, FMCSA plans to conduct 20,000 targeted commercial motor carrier, vehicle, and driver inspections (including operating authority and financial responsibility checks) based on ACE/ITDS screening procedures; and 75 compliance reviews based in part on ACE/ITDS screening data.

FY 2009  
**FMCSA**  
Performance Budget Estimates

## **SECTION 4E**

**Organizational Excellence**

**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 Department of Transportation (DOT) Organizational Excellence goal with funds directed at enabling FMCSA to improve program delivery through quality administrative and information technology (IT) 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, Improved Financial and Procurement Performance, and Budget and Performance Integration.

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 STRATEGIC GOAL (\$000)	FY 2007 <u>ACTUAL</u>	FY 2008 <u>ENACTED</u>	FY 2009 <u>REQUEST</u>
I. Organizational Excellence	\$30,141	\$28,320	\$29,018
A. Promote effective and efficient human capital, business, and IT processes and systems that enhance program performance.			
1. Motor Carrier Safety Operations & Programs	\$30,141	\$28,320	\$29,018
FTE	68	58	58

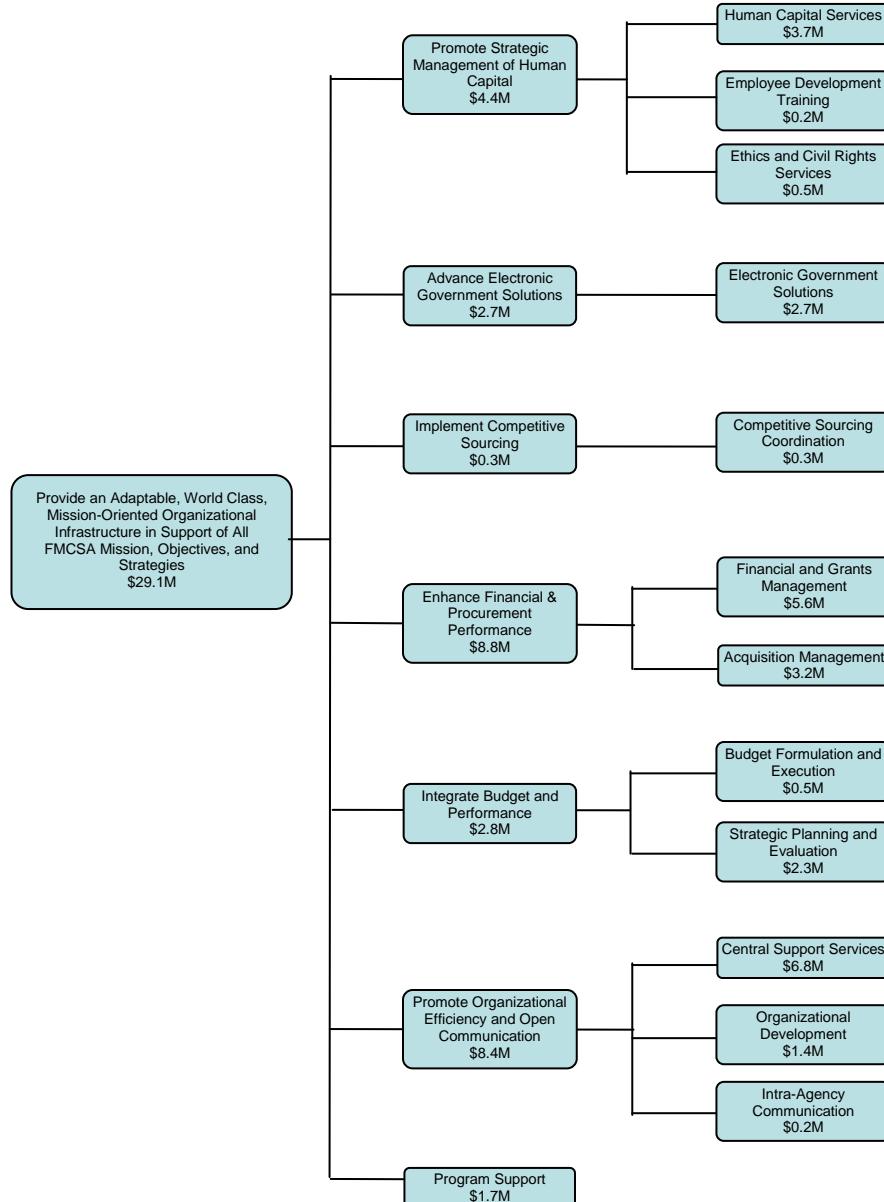
## Organizational Excellence Logic Model

### Objective

### Strategies

### Performance Elements

### Federal



## 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

- 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

The FMCSA's objective is to provide an adaptable, world-class, mission-oriented organization in support of the Agency's mission, objectives, and strategies. The FMCSA will undertake activities for continuous organizational improvement. FMCSA's organizational improvement activities will result in a more highly trained and motivated workforce, enhanced cost-control measures, and improved decision-making processes.

The FMCSA's strategies to achieve the organizational excellence objective include aspects of sound management and organizational efficiency.

The 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. The 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.

The FMCSA will advance electronic government solutions by providing online 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. The FMCSA 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.

The FMCSA will implement competitive sourcing to enable effective performance of activities and help achieve cost efficiencies. The FMCSA will always look for the most efficient organizational

implementation of all Agency functions, keeping in mind inherently governmental operations.

The 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 (PPBE) system. Specifically, this process helps to determine the contributions of various programs, activities, and regulations toward meeting Agency objectives and ensuring greater FMCSA performance.

The 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. The FMCSA will also continually be searching for the most efficient program infrastructure and support. Achievement of all FY 2008 performance targets under the organizational excellence goal assumes receipt of full FY 2008 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 PMA 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 for 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 promotes accountability in achieving results, will be a human capital priority.

## **ANTICIPATED FY 2008 ACCOMPLISHMENTS**

In FY 2008, 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. The FMCSA will also continue to promote succession planning and competency assessments. The FMCSA will perform analysis of the Office of Personnel Management (OPM) and DOT surveys to determine their impact on the Agency's goals. The FMCSA has set a goal to have at least 86 percent employee participation in the OPM Federal Human Capital Survey.

In FY 2008, 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.

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:

- Policy development;
- Benefits and Retirement; and,
- Pay Administration.

The FMCSA plans to continue significant improvement of human resources service support for its customers by reducing reliance on FHWA for FMCSA's core human resources functions. 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, Workforce, and Succession Plans:**

The Human Capital Plan, Workforce Plan, and the Succession Plan are critical tools. They serve as the roadmap to success in achieving the Strategic Management of Human Capital, a priority initiative addressed in the PMA. 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 anticipates additional changes as the Agency continues to develop. The FMCSA programs generate substantial interest from Congress, State, and local governments; the trucking and motorcoach industries; safety advocacy groups; and private citizens.

The 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. It must be prepared to address not only day-to-day management issues but long-range planning requirements as well. The planning incorporates workforce analysis, succession planning, performance integration, training, competency assessment, accountability, and recruitment.

**FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$3.7 million.

The FMCSA has set a goal to develop a new human capital and workforce plan every two years. In FY 2009, FMCSA 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. The FMCSA will conduct an organizational assessment and ensure accountability plans are in place to enhance mission accomplishments.

In FY 2009, FMCSA will lower the number of applicants offered employment without first having received a negative controlled substance test result from the FY 2008 baseline.

In FY 2009, FMCSA will continue to face new challenges in working with unions. If one or more groups of employees choose to elect one or more Federal employees unions to serve as the exclusive representative with management, staff will be required to review the bargaining unit eligibility of all employees and prepare for, and conduct negotiations to reach agreement on, collective bargaining agreements.

## **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 training in job specific skills to 100 percent of all FMCSA employees in order to ensure their efficiency and effectiveness. To reach this goal 100 percent of all FMCSA employees will utilize eLMS to develop training plans, register, and track successful completion of courses. The FMCSA will also provide testing and evaluation of all National Training Center (NTC) delivered and/or sponsored courses in order to improve training opportunities.

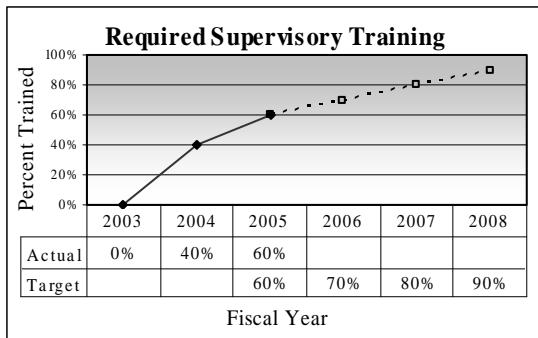
### **ANTICIPATED FY 2008 ACCOMPLISHMENTS**

The FMCSA will continue to offer training to enhance the employee's ability to constructively identify, develop, and implement a career plan of required training, using eLMS as a planning and scheduling tool.

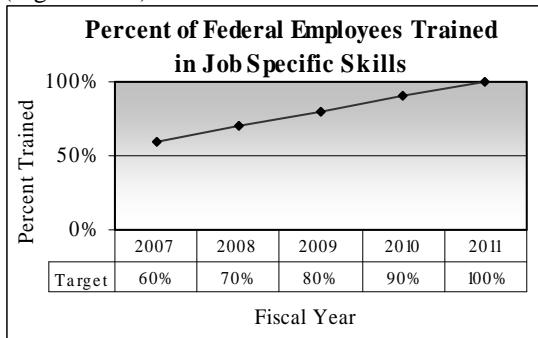
By 2008, 70 percent of all Federal employees will be trained in job specific skills and will utilize eLMS. The FMCSA will also provide employee relations conduct training to all supervisors in the Agency (as a part of the Supervisory Leadership Development Program (SLDP)). The Agency will evaluate 70 percent of all NTC sponsored or delivered courses. The 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,

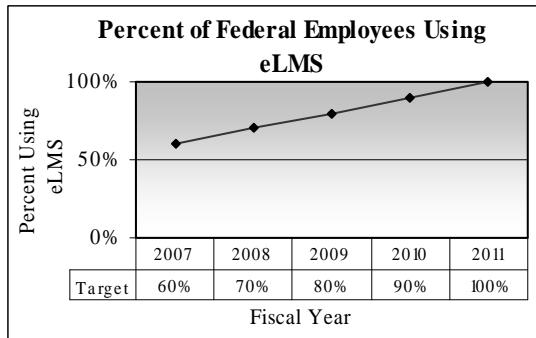
- The number of NTC-sponsored or delivered courses at the proficient level for FMCSA employees and evaluation feedback for each course, as shown in Figure 4E-4.



(Figure 4E-1)



(Figure 4E-2)



(Figure 4E-3)

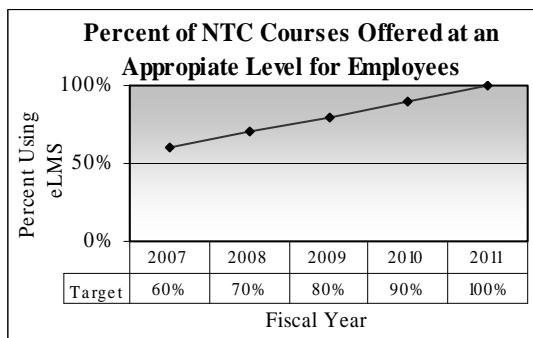
## FY 2009 PERFORMANCE BUDGET REQUEST

For FY 2009, FMCSA requests \$159,000. Based on anticipated funding and activities FMCSA is on target to achieve the accomplishments of this performance element. The FMCSA will continue to offer training to enhance the employee's ability to constructively identify, develop, and implement a career plan of required training, using eLMS as a planning and scheduling tool. The 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).

By 2009, 70 percent of all Federal employees will be trained in job specific skills and will utilize eLMS. FMCSA will also continue to provide employee relations conduct training to all supervisors in the Agency (as a part of the 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.



(Figure 4E-4)

## PERFORMANCE ELEMENT: ETHICS AND CIVIL RIGHTS SERVICES



**Responsible Official:** *Chief Counsel /Deputy Administrator*

### PERFORMANCE ISSUE

The FMCSA conducts an ethics program that 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 FMCSA conducts a civil rights program 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. Technical

expertise and guidance provided by the program is essential toward achieving a discrimination-free workplace. The 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.

The 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 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 2008 ACCOMPLISHMENTS**

In FY 2008, FMCSA will conduct four Title VI compliance reviews. The Agency has set a performance target to select persons with targeted disabilities for at least three percent of all new hires. The Agency will also begin a three-year Agency-wide mandatory EEO/Diversity training cycle in which every employee will receive training.

The ethics program will finalize the ethics training page on the KnowZone, 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 SF 278 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. The FMCSA will also ensure the timely filing of financial disclosure reports.

### **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$497,000. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element. In FY 2009, FMCSA will conduct four Title VI compliance reviews and will expand the Minority Institutes of Higher Education (MIHE) Program. The Agency will also continue its three-year Agency-wide mandatory EEO/Diversity training cycle.

The ethics program will continue to maintain the ethics training page on the KnowZone, maintain automated updating of training databases, 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 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, an 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. The 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 Section 4A on Information Management ).

The FMCSA will continue projects in direct support of the PMA 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, OMB'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 2008 ACCOMPLISHMENTS**

The FMCSA plans to accomplish the following milestones in FY 2008:

- Monitor the (near and medium-term) activities contained in the five-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 Enterprise Architecture (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 four in the enterprise architecture area. The FMCSA 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. The FMCSA will also measure the variance between the budget and actual costs on IT projects.

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

In FY 2008, 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 four in at least two of the three enterprise architecture areas.

## **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$2.7 million. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element.

The FMCSA plans to accomplish the following milestones in FY 2009:

- Monitor the (near and medium-term) activities contained in the five-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 FISMA reports, performing certification and accreditation activities on FMCSA assets and locations, conducting COOP and DR tests, monitoring and remediation of identified security weaknesses, and support the Department's HSPD-12 activities.

In FY 2009, FMCSA will continue to survey users of FMCSA websites to determine their satisfaction with the FMCSA main website, with the goal of exceeding the Federal average results. The FMCSA will measure the average number of days that elapses between the time an issue is identified in the IT POA&Ms and the time it is resolved. The FMCSA will also measure the variance between the budget and actual costs on IT projects.

In FY 2009, FMCSA will continue to 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 four in each of the enterprise architecture areas.

## **PERFORMANCE ELEMENT: COMPETITIVE SOURCING COORDINATION**



**Responsible Official:** Associate Administrator for Administration

### **PERFORMANCE ISSUE**

The FMCSA plans to continue to support competitive sourcing under the PMA by completing public-private competitions to seek efficient and effective use of resources. The FMCSA must ensure that it has 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 activity 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.

The 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. The 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 2008 ACCOMPLISHMENTS**

In 2008, 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, FMCSA anticipates Competitive Sourcing activity in 2008 to include implementation of a fourth Most Efficient Organization (MEO)/Contract.

### **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$258,000. FMCSA will achieve 100 percent completion of competitions by the end of FY 2007. In FY 2009, FMCSA plans to implement recommendations from an organizational assessment that will review FMCSA's organization structure, mission, goals, products, and services.

### **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, procurement operations, 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 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. The 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, procurement, 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 is the grants management area. In order to fully respond to the HTF audit and to move to green on the PMA for Improved Financial Performance, FMCSA must improve grants financial management oversight and acquisitions management. The Agency must do this 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 PMA.

Grants financial management oversight includes reviews in accordance with the Single Audit Act (A-133) requirements, funding and modification documentation, obligations, invoicing and payment procedures, record retention, and close-out procedures. This performance element provides the Agency with grants financial management oversight to ensure that FMCSA properly accounts for grants.

The long-term goals of this performance element are to accomplish all of the following: establish and implement a new grants management system in accordance with Department mandates; issue a grants financial management manual; conduct financial reviews of the grant programs in each State; and receive an “unqualified” opinion from auditors on financial statements, with no material weaknesses or reportable conditions.

The PMA goal, to meet “green” in improved financial management, requires that FMCSA has an “unqualified” opinion on financial statements, with no material, auditor-reported weaknesses or significant non-compliance with laws or regulations. The Chief Financial Officers (CFO) Act of 1990 also requires an unqualified auditor’s opinion of Agency financial statements. The HTF Independent Auditor’s Report and Financial Statements for September 30, 2006, cited a reportable condition in grants financial management and material weaknesses in financial management, reporting, and oversight. Therefore, FMCSA must implement and execute procedural improvements to eliminate these weaknesses, meet the 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 HTF audit and mandates from OMB and OST, to adhere to the Government Performance and Results Act (GPRA) of 1993, and to 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. The FMCSA conducted a cost accounting pilot program in FY 2004. To fully implement managerial cost accounting, FMCSA needs to automate the costing process, identify what outputs to measure, and determine what costing method is most practical. To determine the costing method, the Agency must execute pre-implementation tasks. These include 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.

## **ANTICIPATED FY 2008 ACCOMPLISHMENTS**

For FY 2008, FMCSA plans to continue conducting financial reviews of State grant programs. The FMCSA will enhance funds management by establishing standard operating procedures and training and providing expertise through knowledgeable staffing. The FMCSA will also maintain travel card delinquency rates of less than one percent by improving analysis, tracking travel card activity within the Agency, and increasing the number of audits of delinquent accounts. The FMCSA will implement a grants financial management system, conduct reviews of State grants, and implement a grants financial management manual.

In FY 2008, FMCSA will continue with Phase II of the Department's Managerial Cost Allocation (MCA) process. This will include 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 and establish an accounting manual.

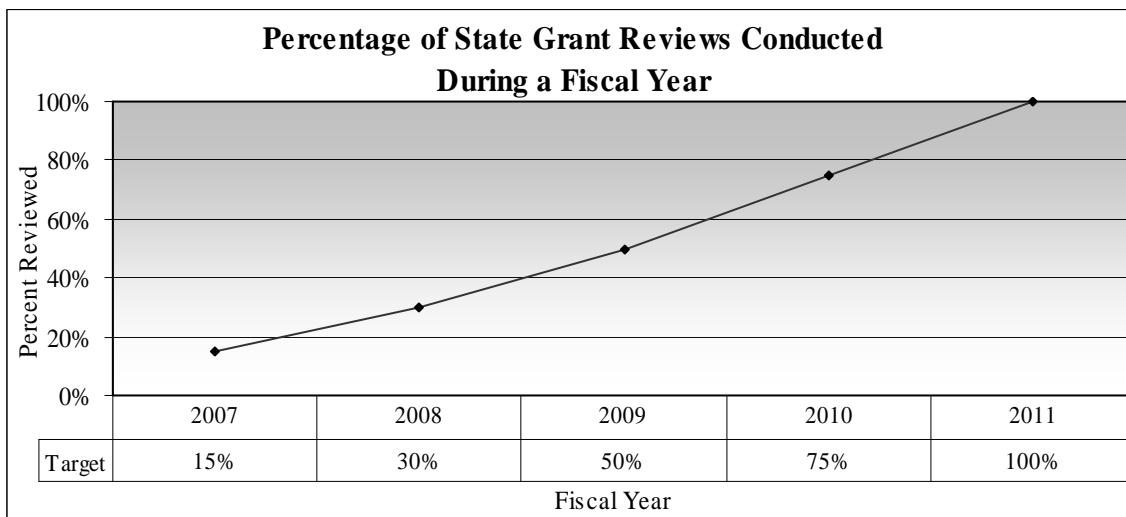
The FMCSA will ensure compliance with the Competition in Contracting Act, the Bona Fide Needs Statute, and the Federal Acquisition Regulation and enhance its acquisitions organization. For the most efficient acquisitions organization, FMCSA must conduct a top-down study of acquisitions activities, develop 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. The FMCSA will also implement more strict reviews of requests for procurement.

## FY 2009 PERFORMANCE BUDGET REQUEST

For FY 2009, FMCSA requests \$5.6 million. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element.

For FY 2009, FMCSA plans to continue to conduct reviews of State grants, as shown in Figure 4E-5. The FMCSA will continue to enhance funds management and procurement activities by establishing standard operating procedures on key processes and training and providing expertise through knowledgeable staffing. The FMCSA will also reduce the travel card delinquency rates to less than one percent. The Agency will continue to utilize and enhance a MCA system, in coordination with Department direction and guidance.



(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.

The 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 to fully implement standard operating procedures. Over the next few years, FMCSA will concentrate on modernizing acquisitions systems; staffing to recruit, retain, and certify employees; providing customer, product, and service knowledge; and accurately tracking mandated procurement oversight information.

### **ANTICIPATED FY 2008 ACCOMPLISHMENTS**

In FY 2008, FMCSA 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 GPC, reassess internal acquisition policies and procedures, and conduct customer training.

The FMCSA will reduce procurement processing time in FY 2008. 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. The Agency 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 a purchase card module, 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 acquisitions 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 dollars in FY 2008 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: (1) not less than 51 percent unconditionally owned by one or more individuals who are both socially and economically disadvantaged, or (2) a publicly owned business that has not less than 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 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$3.2 million. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element.

The 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. The Agency 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.

The Acquisitions Management Division will award 14.5 percent of dollars in FY 2009 to small disadvantaged businesses and 5.1 percent to women-owned businesses.

### **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. The FMCSA has launched a phased Planning, Programming, Budgeting, and Execution (PPBE) 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 PMA by integrating budget and performance activities to directly link Agency resource requests to the performance results those resources are expected to produce. The 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 2008 ACCOMPLISHMENTS**

In FY 2008, 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 FY 2009 Planning, Programming, and Budgeting processes and make process improvements in readiness for the next budget development. The FMCSA will submit a fully defendable FY 2010 Budget through an improved PPBE process.

### **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$546,000. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element.

In FY 2009, 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. The FMCSA will build the FY 2011 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 FY 2010 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. The FMCSA 2006-2011 Strategic Plan lays out the strategies, goals, and measures to which all FMCSA programs will be held accountable through 2011. This plan activates an Agency-wide process to develop a new Highway Reauthorization bill for 2010. In FY 2007, FMCSA improved the living-planning cycle for the Agency by holding its second annual Senior Leaders Planning Retreat, a two day meeting of all managers from Field Administrators and Division Chiefs to the Administrator. The planning retreat allows managers at various levels an opportunity to synergistically contribute to setting the priorities, direction, and focus of the Agency.

The 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.

The 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 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. The 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 Commercial Motor Vehicle (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 2008 ACCOMPLISHMENTS**

In FY 2008, FMCSA will undertake several new activities to include: analyzing grants programs in preparation for the PART, developing a plan for long-term and short-term activities, tracking achievement of program performance on qualitative milestones and quantitative performance measures, evaluating the options for securing an enhanced achievement/performance tracking system, accomplishing an organizational assessment, supporting CSA 2010 initiatives, and evaluating programs and regulations for effectiveness. The Agency will use priorities developed during the planning retreat which link to the Strategic Planning document and seamlessly present these proposals as the first step in developing a comprehensive reauthorization proposal that will allow the Agency to address the current and future safety needs of the CMV industry. The FMCSA will employ lessons learned from prior Senior Leaders Planning Retreats and increase the contribution of Field and Division Administrators in the development of the Agency priorities, resource requirements, programmatic goals, and reauthorization requirements.

In FY 2008, FMCSA will annualize three Full-Time Employees (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 in 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, FMCSA, recognizing the merit in systematically reviewing its performance, 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 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 QA Review Program to ensure that Agency programs and practices are consistent, standardized, and applied in a uniform and timely manner. Recurring yearly QA Reviews provide management with 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 two new QA Reviews to assess the consistency of selected agency 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 of a comprehensive and recurring review of Agency regulations that evaluate their timeliness and effectiveness in achieving Departmental and Agency goals and objectives. The FMCSA plans to conduct an assessment of 49 CFR Part 383 regarding the qualification of drivers and 49 CFR Part 385 regarding hours of service.

**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 conduct an Organizational Assessment of the Agency structure to determine if the Headquarters, Service Center, and Division authorized work/organizational structure is logically structured to support FMCSA's current and future challenges. 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 FMCSA 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.

<b>Evaluation Activity</b>	<b>FY 2006</b>	<b>FY 2008 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>• Complete CDL Program</li> <li>• Complete PRISM Program</li> <li>• Initiate SafeStat</li> <li>• Complete Performance Linkages</li> <li>• Initiate 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> <li>• Initiate CVISN Program</li> <li>• Motor Carrier 2025 Review</li> </ul>
<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>• Complete program plan and guidance</li> <li>• Complete review of border operations</li> <li>• Grants Management</li> <li>• Initiate Enforcement Case Processing</li> </ul>
<b>Regulatory Effectiveness Reviews</b>	<ul style="list-style-type: none"> <li>• Initiate 49 CFR Part 366</li> <li>• Initiate 49 CFR Part 374</li> <li>• Initiate 49 CFR Part 382</li> <li>• Develop program plan and guidance</li> <li>• Begin Minimum Levels of Financial Responsibility for Motor Carriers</li> </ul>	<ul style="list-style-type: none"> <li>• Complete Minimum Levels of Financial Responsibility for Motor Carriers</li> <li>• Complete 49 CFR Part 366</li> <li>• Complete 49 CFR Part 374</li> <li>• Complete Part 382 Controlled Substances</li> </ul>
<b>Project Management Oversight</b>	N/A	<ul style="list-style-type: none"> <li>• Develop program content</li> </ul>
<sup>1</sup> (Figure 4E-6)		

Specific Topics to be evaluated are determined annually by senior managers based on safety criticality and other criteria.

## **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$2.3 million and that this be 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.

The FMCSA will conduct another 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.

The FMCSA will finalize the decisions originating from an Organizational Assessment designed to examine FMCSA's organization and assess whether its components are organized in the most efficient and effective manner. This supports the Administrator's priority to "optimize organizational structure and increase organizational efficiency."

With regard to the FMCSA's evaluation activities, the Agency will continue to expand its capabilities by evaluating current activities and adding additional functions in FY 2009 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, FMCSA plans to steadily increase its program evaluation capability.

### **Program Evaluations:**

In FY 2009, FMCSA will complete its annual evaluations of the Agency's Compliance Review and Roadside Inspection/Traffic Enforcement programs. In addition, FMCSA will complete 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.

### **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 QA Review Program to ensure that Agency programs and practices are consistent, standardized, and applied in a uniform and timely manner. Recurring yearly QA Reviews provide management with a comprehensive and systematic evaluation of FMCSA's activities to see if they are structured and implemented in a consistent fashion. In FY 2009, 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 complete two key reviews in FY 2009 and initiate an assessment of one additional regulation.

<b>Evaluation Activity</b>	<b>FY 2008 Plans<sup>1</sup></b>	<b>FY 2009 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>• 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>• Initiate Qualifications of Drivers</li><li>• Initiate Hours of Service</li></ul>	<ul style="list-style-type: none"><li>• Complete Qualifications of Drivers</li><li>• Complete Hours of Service</li><li>• Initiate new review</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>• Collect baseline findings from previous program evaluations</li><li>• Conduct organizational assessment</li></ul>	<ul style="list-style-type: none"><li>• Complete Organizational Assessment</li></ul>

(Figure 4E-7)

## **PERFORMANCE ELEMENT: CENTRAL SUPPORT SERVICES**



**Responsible Official:** *Associate Administrator for Administration*

### **PERFORMANCE ISSUE**

The function of central support services is to centralize the Agency's management and information services to improve the 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 and to monitor and control costs.

The central support services team develops and manages Agency-wide policies and programs for the full range of management support services. These services include: space management, records and forms management, facilities and equipment management, mail services, telecommunications services, property management, motor vehicles, occupational safety, printing, transit benefits, telecommunications, and other administrative services. This team also administers Freedom of Information Act (FOIA), Paperwork Reduction Act, and Privacy Act programs for FMCSA and develops administrative directives for all Agency programs.

### **ANTICIPATED FY 2008 ACCOMPLISHMENTS**

In FY 2008, FMCSA will renew field office occupancy agreements and pursue long-term occupancy agreements for border offices based on identified requirements. The Agency will further implement new printing and mailing procedures Agency-wide, in order to improve the effectiveness and efficiency of the way these programs are currently operated. The Agency will reduce the same average response time to FOIA requests of 22 days targeted for FY 2007, notwithstanding static staffing and an anticipated increase in the number of requests. The target number of replacement alternative fuel vehicle (AFVs) in FY 2007 was 60 percent. As part of the rotation plan for official government vehicles, the target number of replacement AFVs in FY 2008 is 63 percent.

### **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$6.8 million.

In FY 2009, FMCSA will continue to renew field office occupancy agreements and pursue any outstanding long-term occupancy agreements for border offices based on

identified requirements. The Agency will maintain the same average response time to FOIA requests of 23 days targeted for FY 2008, notwithstanding static staffing and an anticipated increase in the number of requests. As part of the rotation plan for official government vehicles, the target number of replacement AFVs will be 66 percent.

## **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. The 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 (R&A) stakeholder forums, provide reports, enhance the project and budget tracking processes, and respond to various data requests, such as those from OMB. The 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.

## **ANTICIPATED FY 2008 ACCOMPLISHMENTS**

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. The 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. The FMCSA will continue to share information through meetings, newsletters, and briefings as a means of communicating Human Capital initiatives and developments.

The 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. The 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 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$1.4 million. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element.

In FY 2009, 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. The 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. The Agency will continue to share information through meetings, newsletters, and briefings as a means of communicating Human Capital initiatives and developments.

## **PERFORMANCE ELEMENT: INTRA-AGENCY COMMUNICATION**



**Responsible Official:** *Associate Administrator for Administration*

### **PERFORMANCE ISSUE**

The 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 its mission. Employees are FMCSA's greatest asset; so they 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, a calendar of events, and headquarters and field rosters.

The FMCSA daily tracks events and provides information that concerns the Agency or its stakeholders to Agency staff. Keeping employees 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 2008 ACCOMPLISHMENTS**

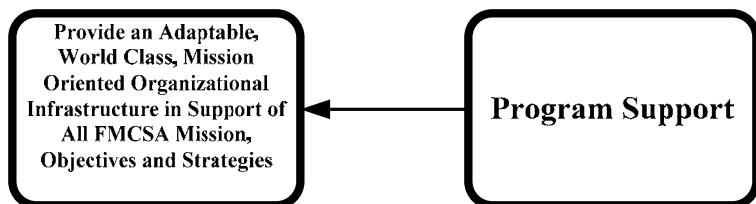
In FY 2008, FMCSA will increase use of a content management system to ensure the timely updating of the information contained in the KnowZone. Enhancements and operations and maintenance of the website will continue. The FMCSA's plans to conduct user surveys of FMCSA websites to determine user satisfaction with the FMCSA main website and the KnowZone.

## **FY 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$175,000. Based on anticipated funding and activities, FMCSA is on target to achieve the accomplishments of this performance element.

In FY 2009, 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. The 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 includes communication activities to promote public understanding of, and support for, FMCSA 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 2008 ACCOMPLISHMENTS**

In FY 2008, 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 2009 PERFORMANCE BUDGET REQUEST**

For FY 2009, FMCSA requests \$1.7 million.

FY 2009

**FMCSA**

Performance Budget Estimates

**SECTION 5**

Appendices

**FISCAL YEAR 2009 PERFORMANCE BUDGET ESTIMATES  
SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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**FY 2009 RD&T Budget Guidance EXHIBIT V-1**

Office of Research and Analysis

**Motor Carrier Safety**

	<b>FY 2007 <u>Actual</u></b>	<b>FY 2008 <u>Enacted</u></b>	<b>FY 2009 <u>Request</u></b>
<b>A Produce Safe Drivers</b>	<b>\$4,271</b>	<b>\$4,656</b>	<b>\$3,636</b>
1 Produce Safe Drivers	\$4,271	\$3,124	\$2,031
2 Produce Safe Drivers (T)	\$0	\$1,532	\$1,605
<b>B Improve Safety of Commercial Vehicles</b>	<b>\$3,147</b>	<b>\$1,415</b>	<b>\$828</b>
1 Improve Safety of Commercial Vehicles	\$3,147	\$236	\$0
2 Improve Safety of Commercial Vehicles (T)	\$0	\$1,179	\$828
<b>C Produce Safer Carriers</b>	<b>\$629</b>	<b>\$589</b>	<b>\$1,279</b>
1 Produce Safer Carriers	\$629	\$589	\$1,279
2 Produce Safer Carriers (T)	\$0	\$0	\$0
<b>D Advanced Safety Through Info.-Based Initiatives</b>	<b>\$1,349</b>	<b>\$1,415</b>	<b>\$1,203</b>
1 Advanced Safety Through Info.-Based Initiatives	\$1,349	\$589	\$501
2 Advanced Safety Through Info.-Based Initiatives (T)	\$0	\$825	\$702
<b>E Improve Security Through Safety Initiatives</b>	<b>\$450</b>	<b>\$236</b>	<b>\$276</b>
1 Improve Security Through Safety Initiatives	\$450	\$236	\$0
2 Improve Security Through Safety Initiatives (T)	\$0	\$0	\$276
<b>F Enable and Motivate Internal Excellence</b>	<b>\$450</b>	<b>\$589</b>	<b>\$502</b>
1 Enable and Motivate Internal Excellence	\$450	\$295	\$251
2 Enable and Motivate Internal Excellence (T)	\$0	\$295	\$251
<b>G Administrative Expenses</b>	<b>\$2,162</b>	<b>\$2,684</b>	<b>\$2,398</b>
<b>Subtotal, Research and Development</b>	<b>\$12,458</b>	<b>\$7,753</b>	<b>\$6,460</b>
<b>Subtotal, Technology Investment (T)</b>	<b>\$0</b>	<b>\$3,831</b>	<b>\$3,662</b>
<b>Subtotal, Facilities (F)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Total Research and Dev., Tech. Investment</b>	<b>\$12,458</b>	<b>\$11,584</b>	<b>\$10,122</b>

**FY 2008 RD&T Budget Guidance**  
Office of Research and Analysis

**EXHIBIT V-2**

<b>[OPERATING ADMINISTRATION]</b> <b>FY 2009 RD&amp;T Budget Request</b> <b>(<i>\$000</i>)</b>							
<b>RD&amp;T Program</b>	<b>FY 2009</b>			<b>Global</b>			<b>Org.</b>
	<b>Request</b>	<b>Safety</b>	<b>Mobility</b>	<b>Conn.</b>	<b>Environ.</b>	<b>Security</b>	<b>Excell.</b>
<b>Motor Carrier Safety</b>	<b>7,724</b>	<b>6,946</b>	<b>425</b>	<b>0</b>	<b>0</b>	<b>276</b>	<b>502</b>
Produce Safe Drivers	3,636	3,636	0	0	0	0	0
	2,031	2,031	0	0	0	0	0
Produce Safe Drivers	1,605	1,605	0	0	0	0	0
Produce Safe Drivers (T)	828	828	0	0	0	0	0
	0	0	0	0	0	0	0
Improve Safety of Commercial Vehicles	828	828	0	0	0	0	0
Improve Safety of Commercial Vehicles (T)	1,279	1,279	0	0	0	0	0
	1,279	1,279	0	0	0	0	0
Produce Safer Carriers	0	0	0	0	0	0	0
Produce Safer Carriers (T) Info.-Based Initiatives	1,203	778	425	0	0	0	0
	501	501	0	0	0	0	0
Advanced Safety Through Info.-Based Initiatives	702	277	425	0	0	0	0
Advanced Safety Through Safety-Based Initiatives	276	276	0	0	0	276	0
	0	0	0	0	0	0	0
Improve Security Through Safety Initiatives	276	0	0	0	0	276	0
Improve Security Through Safety Initiatives (T)	502	0	0	0	0	0	502
	251	0	0	0	0	0	251
Enable and Motivate Internal Excellence	251	0	0	0	0	0	251
Enable and Motivate Internal Excellence (T)	4,062	3,811	0	0	0	0	251
<b>Subtotal, R&amp;D</b>	<b>3,662</b>	<b>2,710</b>	<b>425</b>	<b>0</b>	<b>0</b>	<b>276</b>	<b>251</b>
<b>Subtotal, Technology Investment (T)</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>2,398</b>	<b>2,156</b>	<b>132</b>	<b>0</b>	<b>0</b>	<b>86</b>	<b>156</b>
<b>Total FMCSA</b>	<b>10,122</b>	<b>8,677</b>	<b>557</b>	<b>0</b>	<b>0</b>	<b>362</b>	<b>658</b>

**EXHIBIT V-3**

**[OPERATING ADMINISTRATION]  
Support for Secretarial and Administration RD&T Priorities**

<b>Policy Initiative</b>	<u>Supporting RD&amp;T Program(s)</u>	<i>FY 2009 Request (\$000)</i>
Congestion Relief— <i>Secretarial Priority</i>	Roadside/On-Board Safety Technology Countermeasures/Wireless Inspection Pilot	425

## EXHIBIT V-4

### [OPERATING ADMINISTRATION] Implementation of the R&D Investment Criteria

R&D Investment Criteria	How Applied	Actions Reflected in FY 2009 Request
<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 2009 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 2009 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 2009 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 2009 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>

<b>Quality</b>	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.	The FY 2009 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.
<b>Performance</b>	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.	In FY 2007, metrics are being developed and piloted for projects active between October 2005 and September 2007. These metrics will be evaluated on projects active in FY 2008. By the time the 2009 budget will be enacted, the Research and Technology Program will have a new, tested performance measurement system in place.  Research Development & Technology Investment Criteria states that “programs must demonstrate an ability to manage in a manner that produces identifiable results.” The focus should be on “improving the management” of R&T programs. One of the

program metrics that will be tracked is the percentage of R&T projects that were competitively awarded. The following table identifies the percentage of contracts that were competitively awarded to procure R&T services and progress that FMCSA is making towards that goal of 100 percent.

Percentage of R&T Contracts Competitively Awarded

2004 85.4%

2005 93.1%

2006 99.7%

FMCSA R&T will begin tracking the other metrics identified above and the Office will begin to report targets and goals in FY 2010.

**FEDERAL MOTOR CARRIER SAFETY  
ADMINISTRATION**

**RESEARCH AND TECHNOLOGY DIVISIONS**

**FISCAL YEAR 2009 BUDGET SUBMISSION**

**May 22, 2007**

## **EXECUTIVE SUMMARY**

Table 1 identifies the FMCSA Research and Technology (R&T) Divisions strategic objectives developed in the congressionally directed R&T 5-Year Strategic Plan (FY 2005-FY 2009) that was completed at the end of FY 2004. The table also reflects the FY 2009 proposed projects that support each objective. The FY 2009 budget submission is based on the agency's 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 and "roadmaps" for analysis, research, and technology (ART) programs, the agency's rulemaking plans and activities, and input from the most recent stakeholder forums.

The FY 2009 R&T budget submission is consistent with the initiatives established in DOT's Research, Development and Technology Strategic Plan (RD&T) and ART roadmaps, and the requirements of the Performance and Assessment Rating Tool (PART) put out by the Office of Management and Budget (OMB).

This document describes each proposed FY 2009 project with its objective, output(s), and the requested funding level.

**Table 1. Support of the FMCSA Strategic Objectives by Research and Technology, FY 2009 Initiatives**

Research (R), Technology (T)

<b>FMCSA Strategic Objective</b>	<b>Projects</b>	<b>FY Funding</b>
1. Produce Safer Drivers	Safety Data Risk Study – Phase III (R)	\$700,000
	Analysis of Large Truck Crash Causation Study (R)	\$100,000
	Advanced Driver Warning System for Driver Fatigue SBIR (R)	\$200,000
	Analysis of High Risk vs. Low Risk CMV Driver Behaviors (R)	\$400,000
	Annual Driver Survey (R)	\$200,000
	Training Interventions to Prevent Hazardous Materials (HM) Rollovers (NEW) (R)	\$225,000
	Safety Belt Countermeasure Technology, Phase II - SBIR Program (R)	\$200,000
	Employer Notification Service, Phase III (T)	\$400,000
	Roadside/On-Board Safety Technology Countermeasures/Wireless Inspection Pilot Test (T)	\$425,000
	SmartPark: Real-Time Parking Availability (T)	\$775,000
	<b>Produce Safer Drivers Total</b>	<b>\$3,625,000</b>
2. Produce Safer Carriers	Research to Support FMCSA Rulemaking Activities (R)	\$775,000
	Engineering and Analysis of the Causes and Preventions of Bus Fires (R) (NEW)	\$500,000
	<b>Produce Safer Carriers Total</b>	<b>\$1,275,000</b>
3. Improve Safety of Commercial Motor Vehicles	Safety and Security Technology Deployment (T)	\$700,000
	Indirect Viewing System Field Test, Phase III (T)	\$125,000
	<b>Improve Safety of Commercial Motor Vehicles Total</b>	<b>\$825,000</b>
4. Advance Safety Through Information-Based Initiatives	TRB/FMCSA Partnerships (R)	\$500,000
	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	CDL 3rd Party Testing Anti-Fraud Software (T)	\$275,000
	<b>Improve Security Through Safety Initiatives Total</b>	<b>\$275,000</b>
6. Enable and Motivate Internal Excellence	FMCSA Program Management (R)	\$250,000
	FMCSA Program Management (T)	\$250,000
	<b>Enable and Motivate Internal Excellence Total</b>	<b>\$500,000</b>
	<b>Research TOTAL</b>	<b>\$4,050,000</b>
	<b>Technology TOTAL</b>	<b>\$3,650,000</b>
	<b>RESEARCH AND TECHNOLOGY TOTAL</b>	<b>\$7,700,000</b>

<b>RD&amp;T Program: Produce Safer Drivers</b>
<b>Amount Requested for FY 2009: \$3,825,000</b>

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### Safety Data Risk Study – Phase III

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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):

- Tools to help motor carriers evaluate drivers for risk factors and assess their driving performance.
- Publish a report to help the motor carrier industry identify risk factors when hiring CMV drivers.

FY 2009 Funding: \$700,000

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### Analysis of Large Truck Crash Causation Study

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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.

This LTCCS effort is different than the Analysis division's proposed work with the LTCCS outlined in the agency's Information Management budget request. This effort will involve data from the DDWS FOT with the LTCCS data while the Analysis division's work will only use data from the LTCCS to study certain safety issues.

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 2009 Funding: \$100,000

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### **Advanced Driver Warning System for Driver Fatigue (Small Business Innovation Research effort)**

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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 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 2009 Funding: \$200,000

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### **Analysis of High Risk vs. Low Risk CMV Driver Behaviors**

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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 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 and performance data 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 (low risk, high risk, novice drivers) will be analyzed to assess discrepancies and similarities.

Phase II, the Naturalistic Driving Study with “1 million-milers”, is expected to last two 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.

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 2009 Funding: \$400,000

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### **Annual Driver Survey**

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Objective: This project supports FMCSA in obtaining an understanding of the impact of changes in the commercial driver workforce to ensure its safety and well-being. The results will be used to develop rules and regulations for the commercial trucking industry.

Description: These annual surveys provide a means for FMCSA to canvas CMV drivers to obtain demographic information as well as information pertinent to upcoming rulemakings

Output(s):

- Publish a report describing the characteristic of CMV drivers as wells as responses to specific policy-related questions.
- Database enabling the assessment of trend data.

FY 2009 Funding: \$200,000

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## **Training Interventions to Prevent Hazardous Materials (HM) Rollovers**

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**Objective:** The project will compare the effectiveness of applying alternative instructional technologies in otherwise comparable behavioral training programs to prevent cargo tank rollovers. In addition, guidelines will be developed for use by carriers and schools in selecting the appropriate instructional program and technologies to provide cost-effective rollover prevention training.

**Description:** A recent study for the FMCSA (Contract GS23-F-0011L, Pape et al., 2007) concluded that the large majority of cargo tank rollovers are caused at least in part by human error; vehicle operators perform or fail to perform actions which result in vehicle instability and then rollover. Much of the current operator training to prevent rollovers tends to be either informational (e.g., the effects of fatigue, the physics of rollovers) or motivational (e.g., your family deserves for you to come home safely, so stay alert and pay attention). There is little evidence of specific *behavioral* training of operators to prevent rollovers.

Large carriers have reported benefits in overall safety from using simulators as part of their training. This leads to the research question of how simulators can best be used to train rollover avoidance. The parallel question is how similar training can best be delivered by carriers and schools that cannot afford the capital investment of simulators. Carriers that are contemplating an investment in a simulator would benefit from a comparison of the effectiveness of instructional programs that employ simulator technology at one or more levels.

**Output(s):**

- Define the specific cargo tank operator performance objectives associated with rollover prevention. (These would be based on tasks noted in the recent studies, including judging speeds for curves and handling accidental pavement drop-offs.)
- Identify applicable instructional technologies and select two or more alternatives that represent appropriate trade-offs of expected costs and potential effectiveness. At least one alternative will make full use of simulators and one other alternative will require little or no capital investment and be within the financial reach of the majority of carriers.
- Design parallel comprehensive cargo tank truck rollover prevention instructional programs that fully integrate the instructional objectives, training activities, and selected instructional technologies.
- Design a comprehensive and performance-based assessment procedure that can be used to assess the effectiveness of any cargo tank truck rollover prevention training program. Anticipated components of this assessment procedure include knowledge-based tests, perception and judgment tests, daily driving performance measures, and incident outcome measures.
- Implement each alternative training program at participating schools and carriers through pilot testing, refinement, and field testing.
- Assess the effectiveness of the alternative training programs.
- Develop a set of guidelines for industry identifying the effectiveness and costs of the alternative cargo tank truck rollover prevention instructional programs.

**FY 2009 Funding:** \$225,000

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## **Safety Belt Countermeasure Technology (SBIR)**

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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 select the best approach in Phase II. Phase II will start in FY' 09.

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 2009 Funding: \$200,000

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### **Employer Notification Service, Phase III**

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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 ENS. In addition, the effort will examine issues related to the 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 2009 Funding: \$400,000

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## **Roadside/On-Board Safety Technology Countermeasures/ Wireless Inspection Pilot Test**

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**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: 1) technologies to use; 2) IT infrastructure requirements to upload electronic inspections to state and FMCSA safety databases; 3) technology and procedural standards development to be integrated with OOS criteria, 4) data collection and generation implications in support of new rating methodologies under consideration as part of CSA 2010; and 5) 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 2009 Funding:** \$425,000

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## **SmartPark: Real-Time Parking Availability**

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**Objective:** FMCSA has undertaken an initiative called SmartPark to demonstrate whether an intelligent transportation system (ITS) technology for providing parking availability information in real time to truckers on the road will work for diverting trucks from filled to unfilled parking areas. A secondary benefit for drivers is that SmartPark can help them in managing fatigue.

**Description:** Phase I of the project has begun with two contractors using different technologies to collect data on space occupancy and to analyze the collected data to determine truck parking availability. Phase II will occur between FY08 and FY10 and will include tasks for calibrating parking count, disseminating real-time truck parking availability information, making truck parking reservations, forecasting truck parking availability based on past usage, equipping adjacent truck parking areas in a corridor or region to divert trucks from overfilled to under-filled lots, converting temporary to permanent installation, assigning truck parking based on departure, and compiling a business plan for self-sustainability.

**Output(s):**

- Assess current truck parking availability
- Prepare plan for the forecasting of truck parking availability
- Propose a truck parking reservation system
- Recommend dissemination mechanisms for real-time truck parking availability

- Propose ways to divert truckers from overfilled to under filled lots
- Compile a business plan for self-sustainability

FY 2009 Funding: \$775,000

<b>RD&amp;T Program: Produce Safer Carriers</b>
<b>Amount Requested for FY 2009: \$1,275,000</b>

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### **Research to Support FMCSA Rulemaking Activities**

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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 2009 include Safety Programs for New CMV Drivers; Certification of Safety Auditors, Safety Investigators, and Safety Inspectors; 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 2009 Funding: \$775,000

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### **Engineering and Analysis of the causes and Preventions of Bus Fires**

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Description: Some 2,210 bus or school bus fires, on average, were reported annually from 1999 to 2003. During this 5-year period, U.S. fire departments responded to an estimated average of 2,210 bus or school bus fires per year. These fires caused an estimated annual average of 3 civilian deaths, 30 civilian injuries, and \$24.2 million in direct property damage per year. From 1999 to 2003, bus or school bus fires accounted for 1 percent of the total reported vehicle fires, 1 percent of the vehicle fire deaths, 2 percent of the vehicle fire injuries, and 2 percent of the vehicle fire property damage. On average, six bus or school bus fires were reported every day (NFPA Journal, 2006).

Objective: The purpose of this research is to conduct a DOT multimodal (NHTSA, FTA, FMCSA) sponsored study of bus and motor coach fires. The contractor will be required to investigate 100 incidents and conduct a detailed engineering root cause analysis. Root cause analysis is a proven method for investigating, categorizing, and ultimately eliminating, root causes of incidents with safety, health, environmental, quality, reliability, and production-process impacts. Root Cause Analysis System enables us to generate specific, concrete recommendations for preventing incident recurrences. Using the factual data of the incident, the system also allows quality, safety, and risk and reliability managers an opportunity to potentially implement more reliable and more cost-effective policies. Such process

improvements may increase a passenger carriers' ability to recover from and prevent disasters with financial, health, and safety implications.

Output(s): This study will determine the root causes of 100 bus and motor coach fires and generate specific, concrete recommendations for preventing incident recurrences. Specifically the following questions will be addressed with the effort:

- What was the root cause of each of the fires investigated?
- What were the recommended maintenance practices and were those practices followed by the local government or passenger carrier?
- What changes in maintenance practices are needed to reduce the incidences of fires?
- What changes are needed to motor coach inspection practices to detect the potential for fire?
- What are the design changes needed for manufacturing bus and motor coaches?
- What design changes are needed to improve egress in case of a fire on bus or motor coach?
- What design specifications appear to be correlated fires?

FY 2009 Funding: \$500,000

**RD&T Program: Improve Safety of Commercial Vehicles**

**Amount Requested for FY 2009: \$825,000**

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### **Safety and Security Technology Deployment**

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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 use 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. 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.

Output(s):

- Publish an assessment report of the costs/benefits of new advanced vehicle technologies that are entering or about to enter the marketplace,
- Complete evaluations and assessments of on-board safety systems.
- Initiate field tests of next generation safety systems.

FY 2009 Funding: \$700,000

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### **Indirect Viewing System Field Test, Phase III**

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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 2009 Funding: \$125,000

**RD&T Program: Advance Information-based Development of Safety**

**Amount Requested for FY 2009: \$1,200,000**

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### **TRB/FMCSA Partnerships**

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Objective: To broaden the participation and use the expertise of the Transportation Research Board (TRB) in FMCSA's ART programs.

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 2009 Funding: \$500,000

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### **CVISN Deployment Program, Support for Expanded Capabilities**

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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.

Funding in FY 2009 will be used to initiate the planning for a 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):

- 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.
- Accept CVISN program plans for expanded capabilities from a total of 11 States.
- Provide CVISN deployment program grants to a total of 11 States to implement Expanded CVISN capabilities.
- Certify deployment of at least one Expanded CVISN capability in a total of 6 States.
- Plan for a Research and Analysis Deployment Forum.

FY 2009 Funding: \$700,000

**RD&T Program: Improve Security through Safety Initiatives**

**Amount Requested for FY 2009: \$275,000**

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### **CDL 3rd Party Testing Anti-Fraud Software**

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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 2009 Funding: \$275,000

**RD&T Program: Enable and Motivate Internal Excellence****Amount Requested for FY 2009: \$500,000**

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**FMCSA Program Management – Research and Technology**

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**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.

**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.

**FY 2009 Funding:** \$500,000

## **FY 2009 INFORMATION MANAGEMENT BUDGET**

### **Mission**

The mission of the Information Management (IM) program is two fold: (1) 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, and (2) to support 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 are 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 supports the Agency's and Department's strategic goals through statistical and analytical studies and information systems.

### **FY 2008 Anticipated Accomplishments**

In FY 2008, 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, Medical Certification Notice of Proposed Rulemaking (NPRM), HOS Supporting Documents Rule, Unified Carrier Registration Final Rule, Electronic on Board Recorders (EOBR) final rule, Intermodal Chassis Roadability final rule, and Entry Level Driving

Training NPRM. In all, we anticipate completing economic evaluations for 10-15 significant agency rulemakings in FY08.

**Environmental Evaluations:** The determination of environmental impacts is a growing area of responsibility for FMCSA. In FY 2008, we will conduct environmental evaluations of all the rules listed above under regulatory evaluations. We will also assist our field 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 2007, six research proposals were funded using the large truck crash causation study (LTCCS) database and those analyses continue in FY08. In FY08 FMCSA will continue to fund a number of research proposals using the LTCCS data. In FY 2008, FMCSA will continue to conduct several analyses using the LTCSS data to develop greater insight into why crashes occur and what potential countermeasures can be taken to prevent them. With respect to the Bus Crash Causation Study (BCCS), in FY 2007 the data collection will be completed and coding will occur. In FY 2008, we will complete development of the BCCS study database and develop a report on study results. We will also begin analysis using the BCCS database.

**Analysis and Information Online (A&I):** It is anticipated that more than 2.4 million visits will be made to the A&I web site in FY 2008 (based on projections from FY 2007). 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 2008, 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 several Geographic Information Systems (GIS) enhancements, including the mapping of motor carrier census, crash and inspection data. Also, a redesign of A&I will be conducted to improve its accessibility to Federal, State, and industry users. 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, and FMCSA will expand the "Tool

Kits” module to further help states develop their annual commercial vehicle safety plans (CVSP).

**Program Effectiveness Models:** In FY 2008, 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: 2000 – 2004**

	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>
<b>Crashes Avoided</b>	1,500	2,200	1,426	2,276	2720
<b>Injuries Avoided</b>	1,028	1,395	1,087	1,651	1889
<b>Lives Saved</b>	64	91	62	90	107

**Roadside Inspection/Traffic Enforcement  
Program Effectiveness 2001 – 2005**

	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004<sup>1</sup></b>	<b>2005</b>
<b>Roadside Inspections</b>					
Crashes Avoided	11,294	12,235	12,667	9,606	9,118
Lives Saved	550	568	534	371	339
Injuries Avoided	8,689	9,240	9,647	7,004	6,332
<b>Traffic Enforcements</b>					
Crashes Avoided	3,844	4,602	4,484	9,067	9,138
Lives Saved	187	214	189	351	340
Injuries Avoided	2,957	3,476	3,415	6,611	6,336
<b>Combined Total: Roadside Inspections &amp; Traffic Enforcements<sup>2</sup></b>					
Crashes Avoided	15,138	16,387	17,151	18,673	18,256
Lives Saved	738	781	722	722	679
Injuries Avoided	11,646	12,716	13,062	13,615	12,668

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 2008 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 2006 will be estimated.

- ***Compliance Review Effectiveness Model*** – Crashes avoided, injuries avoided and lives saved as a result of compliance reviews conducted in 2005 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 2008. 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.

**Safety Performance Assessment of Motor Carriers by Commodity Segment:** In FY 2008, this cooperative effort between the University of Maryland and FMCSA's Analysis Division will complete an analysis of the safety benefits of EOBRs, as well as initiate new research work on the relationship of commercial driver's license convictions to the probability of a large truck crash. Additionally, this research will continue to examine safety performance of motor carriers by commodity segment. 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.

**Comprehensive Safety Analysis 2010 Initiative (CSA 2010):** In FY 2008, 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. Part of the analytical support for this effort will be provided by the Analysis Division via technical assistance to implement and evaluate the operational model test.

**Driver Information Resource:** Work will continue in FY 2008 to refine the Driver Information Resource, 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 functionality of the tool to FMCSA Field & State enforcement officials and using additional data resources to support the ability to query individual driver's safety data and assess that driver's safety status. Also work will continue to make driver safety performance history available to prospective motor carrier employers.

**Ongoing Data Quality Improvements:** In FY 2008, data quality improvements will continue to improve the timeliness, accuracy & completeness of more 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 2008, new data quality performance measures will be implemented, with a focus on the completeness on non-fatal

crash data collected by states and submitted to FMCSA. 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 will disseminate the results of a monthly monitoring process that will provide an overall evaluation of States' management of their crash and inspection data and begin publishing monthly updates to the SSDQ "map." 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. 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 2008, 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. Lastly, state safety program performance measures will be developed to help FMCSA evaluate the highest performing states in terms of MCSAP program performance.

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 2008, 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, including on-site assessments
- Identification of potential improvement strategies
- Training to State and local law enforcement officials
- Individual Follow-on support to states to help them implement and manage data quality improvement strategies

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 2008, 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 2008.

**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, the first major COMPASS release was deployed providing FMCSA Portal Access. In FY 2008, the Single Sign-on release will be deployed and work on the COMPASS Compliance Monitoring Release will proceed. In FY 2008, 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 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 the COMPASS Compliance Monitoring Release targeted for deployment in FY 2009;
- Continue defining 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 Registration and CSA 2010 Releases 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 (ESC), 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 the FMCSA EA Transition Strategy and addressed by the work of COMPASS and the development of repeatable processes and methods. The FY 2008 goal is to reach Level 4 on EA completion and use and level 3 on results.

FY 2008 will see the expansion of the Single Sign-on capability in COMPASS to include all of FMCSA's safety systems, such as Analysis & Information Online (A&I), Electronic Document Management System (EDMS), Hazardous Materials Package Inspection Program (HMPIP), InfoSys, Query Central, and SAFER.

The work that will begin in FY 2008 on the Compliance Monitoring release is important to the COMPASS program because it introduces the workflow and rule engine capabilities to support the business rules associated with monitoring the activity that occurs on an individual company's records to determine if action needs to be taken. These business rules identify triggers when actions either occur or fail to occur that start various processes to suspend or revoke registration or operating authority.

**Field Systems Support:** With over 10,000 Federal and State users of FMCSA's field system applications suite, we anticipate 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. FY 2008 continues the transition of these programs as COMPASS unfolds with its FY 2008 release. These improvements 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 2008, 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 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

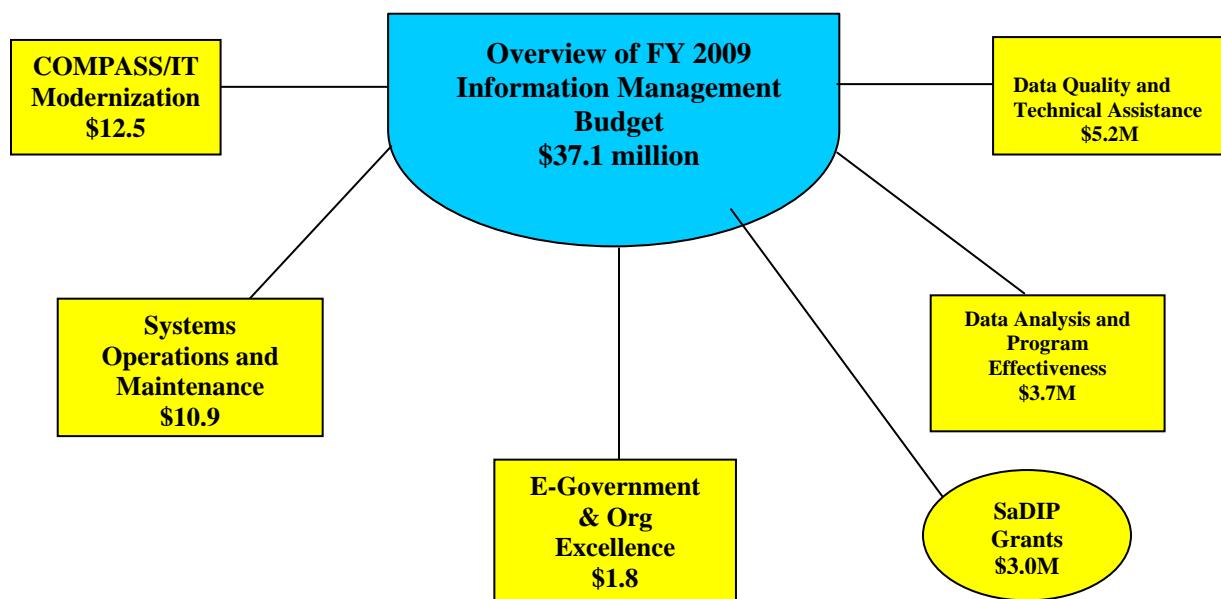
sites. In FY 2008, we will continue to procure these services from the Volpe Data Center. The Volpe Data Center will provide the security required for access to our systems and also provide 24/7 operations, help desk, disaster recovery, and continuity of operations.

**Electronic Government:** In FY 2008, 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 2008, 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 2009 Program Request: \$37.1 Million**

The FY 2009 Information Management (IM) budget request is \$37.1 million. This represents a \$0.8 million increase when compared with FY 2008, to accommodate for additional agency priorities set forth in SAFETEA-LU. The IM budget is divided into six major components: COMPASS (\$12.5 million), Systems Operations and Maintenance (\$10.9 million), E-Government (\$1.8 million), Data Analysis and Program Effectiveness (\$3.7 million), Safety Data Improvement Program (SaDIP) Grants (\$3.0 million), and Data Quality and Technical Assistance (\$5.2 million). This graphic presents an overview of the FY 2009 budget request for the Information Management program.

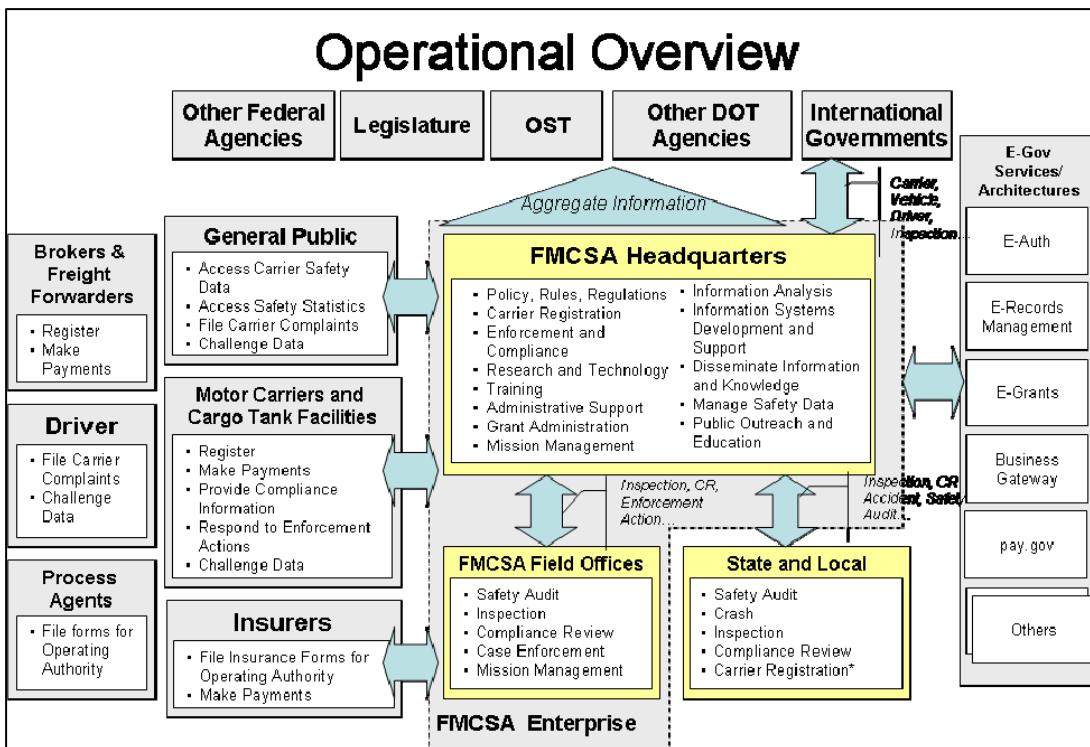


- 1) COMPASS: Business Transformation and IT Modernization (\$12.5 million):** This request funds the next stage of implementation of COMPASS, although at a slower pace than the original business case presented in the FY06 budget. The COMPASS program was planned in FY 2005 to transform FMCSA's business processes, while significantly expanding FMCSA's IT delivery capabilities and reducing IT Operations and Maintenance (O&M) 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 stakeholders 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 years (including FY 2009), 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:

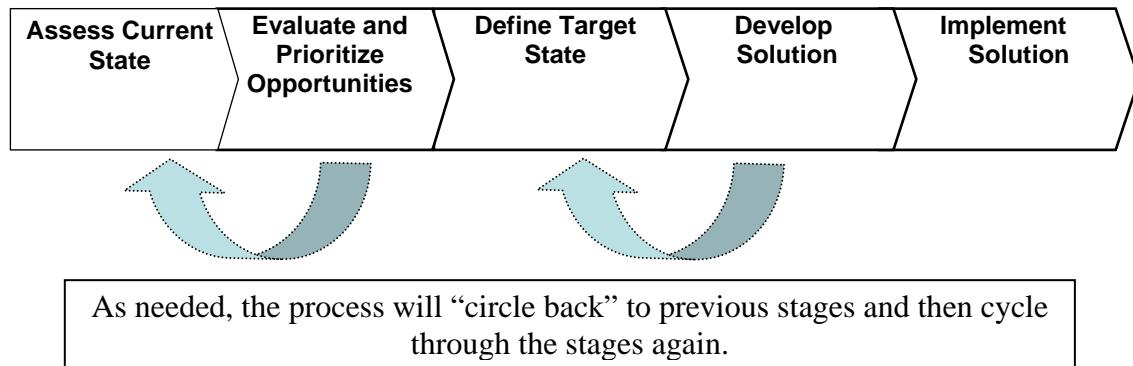
- Create a technical architecture that can be configured and adapted to changes in business direction, legislated requirements, rules, and FMCSA policies;
- Provide security mechanisms that allow access to FMCSA information and services by a broad set of stakeholders while both ensuring information security 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 existing systems functionality is retired during the COMPASS implementation. This work is very consistent with other similar initiatives already underway or completed 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.

In FY 2009, FMCSA will continue building on the work accomplished in FY 2008 by the COMPASS program, enabling the Comprehensive Safety Analysis (CSA) 2010 program by delivering the Compliance Monitoring Release, and begin developing the Registration Release (scheduled to be delivered in FY 2010).

### **Compliance Monitoring Release**

The Compliance Monitoring Release will follow a repeatable process of assessment, evaluation, definition, development and implementation (depicted below) to define the target business processes and enable the design, development, and implementation of an effective enterprise solution architecture that enables effective deployment of CSA 2010 business rules as they are defined.



A key component of the Compliance Monitoring Release is the introduction of workflow and rule engine capabilities. These capabilities will support the CSA 2010 business rules associated with monitoring activities that occur in individual company records. The intent is to determine whether an intervention is needed. The business rules identify “triggers” when interventions either occur or fail to occur. These triggers initiate processes to suspend or revoke registration. Non-compliant interventions that warrant notification will be validated by the Office of Enforcement and will serve as the foundation for the rule engine. The workflow capabilities will ensure that intervention notifications are sent to the appropriate Enforcement users and the corresponding company. This release does not involve the process re-design of investigation and inspection intervention activities which will be addressed separately.

The Compliance Monitoring Release has several key objectives.

- Build and deploy a flexible rule engine to manage when an intervention notification should be triggered and what subsequent workflow is generated.
- Build and deploy a workflow engine that defines what intervention notifications are sent and who receives those notifications.
- Build and deploy an intervention notification tool to manage subscribers and what type of timely and actionable notification they receive.
- Build a flexible model that makes it easy to change the text of the CSA 2010 intervention notifications.
- Enable Portal users to interface with EDMS, allowing for the retrieval of documents and storage of intervention-related notifications generated as part of this release.

This release focuses on the monitoring that occurs *after* a company receives initial authorization to operate (e.g., USDOT number registration or Hazmat (HM) Safety Permit) and therefore will not include the processing of any application or the associated notifications.

In addition to new CSA 2010 interventions, existing monitoring processes addressed in this release will include:

- New Entrant
- Mexican Commercial Zone
- HM Safety Permit (HMSP)
- Compliance review rating
- Insurance cancellation
- Processing Out of Service Orders and Orders to Cease Operation
- Commercial compliance
- Driver medical certification

The Compliance Monitoring Release will incorporate findings from the Comprehensive Safety Analysis (CSA) 2010 program to provide enhanced compliance monitoring. At the same time, coordination with ongoing compliance-focused efforts such as the Performance and Registration Information Systems Management (PRISM) system which focuses on improving compliance monitoring will also be included.

### **Registration Release**

Implementation of the CSA 2010 program depends on data that is dependable, accurate, and timely. To address this critical need, the COMPASS program recently completed a feasibility analysis and identified areas where the application process for registration can be streamlined. Based on results of this feasibility study and the final Unified Registration System (URS) rule, the Registration Release will focus on changes to the registration and account maintenance process to include the filing of forms and updates to company information. The release will also leverage existing information to make carriers more aware of the New Entrant program and their registration requirements. A question and answer registration format and notification methods for registration results will be analyzed to ensure effectiveness of the notifications.

This release will expand the Portal developed in earlier COMPASS releases by adding the ability for companies to register and maintain their data on file with FMCSA. The release will be implemented using a combination of workflow and rule engine logic to dramatically improve data quality in support of CSA 2010. Functionality will include:

- Registration with FMCSA (URS)
- Updates to company information
- Notification of registration
- Insurance filings
- BOC-3 (Designation of Agents – motor carriers, brokers and freight forwarders) filings
- Online payment of fines

The audience for this release will be carriers; carrier representatives who file applications; insurance companies; process agent service companies; FMCSA contractors who enter applications, insurance filings or BOC-3 forms received in the mail; PRISM states and any other enforcement community users who add or modify registration information, and FMCSA analysts. FMCSA will establish working groups with members representing all of these stakeholders to ensure collaboration and open communication. The FMCSA operational teams will be involved throughout development of this release.

With the addition of registration data to the enterprise database, the Extensible Markup Language (XML) transactions for registration data will be shifted to a new web service in COMPASS. Since new data elements will be captured as part of URS, it will be necessary to examine the existing XML schema and make any required adjustments. The states that use these transactions must be part of the decision process for any changes to the schema. Enough lead time must be provided to insure that all impacted parties have adequate time to make the changes to their systems to accommodate any schema changes.

Other specific COMPASS work activities planned for FY 2009 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 2009 and FY 2010.
- ***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 (\$10.9 million):** This budget request accommodates the operations and maintenance of FMCSA's safety 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 and 2008.

- a. **COMPASS Operations and Maintenance:** In FY 2009, funds are requested for operations and maintenance of those components of COMPASS that are in an operational status. Specific operations and maintenance activities funded herein include programming resources, operational costs, data entry and data center hosting facilities to process and store information managed by COMPASS. Funding is also requested for the enhancement of the implemented releases of COMPASS resulting from feedback from users and stakeholders.
- b. **Motor Carrier Management Information System (MCMIS) Operations and Maintenance:** In FY 2009, 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 2009 is to minimize changes to the legacy systems and implement as many of the new requirements in COMPASS as possible as permitted by mandatory implementation dates.

- c. **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, FMCSA expects that the number of calls for assistance will decrease in the future.

- d. **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 2009, 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 (see chart below for technical support activity levels). 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:** This Congressional mandate requires using driver citation data to better identify high-risk motor carriers.

In FY 2002, a study was completed to determine the feasibility and usefulness of these data for FMCSA safety initiatives. In FY 2004 and FY 2005, we implemented procedures to obtain commercial driver history data from the States through the Commercial Driver License Information System. In FY 2009, 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.

- e. **Web Development and Maintenance:** In FY 2009, 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 2009. 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.

- f. **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 2009, 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 2009, 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 and that security controls are in place to protect the data.

**3) E-Government (\$1.8 million):** 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 2009, FMCSA will continue to support government-wide E-gov initiatives and Department-wide initiatives, including Grants.gov, E-rulemaking, Business Gateway, and E-authentication.

**4) Data Analysis and Program Effectiveness (\$3.7M 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.

#### **A) Economic and Environmental Analysis**

With respect to regulatory evaluations – or assessing anticipated economic, safety, and environmental effects of proposed regulations to industry, government, and society overall - - in FY 2009 we will conduct economic and environmental analyses for all of the agency's significant rulemakings. Specifically, in FY2009, we anticipate that 10 - 15 significant new regulations will need to be analyzed, including several related to the outcomes of CSA2010 research and driver medical standards.

#### **B) Program Effectiveness Models**

In addition to improving the statistical, economic and environmental analysis capabilities of FMCSA, the funding will be used to continue development of the annual updates to the

Compliance Review Effectiveness and Roadside Intervention Model. However, the Roadside Intervention Model methodology will be reviewed and updated based on information made available via the Violation Severity Assessment (VSA) Study, and exploratory study which ties individual violations of the FMCSRs to the likelihood of a large truck crash. While the VSA results are useful for the RI model update, they also serve as critical inputs to the CSA2010 research needs. Additionally, 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.

### **C) Large Truck Crash Data Analyses**

In FY 2009, FMCSA plans to continue to conduct analyses using the LTCSS data to develop greater insight into why crashes occur and what potential countermeasures can be initiated 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. Additionally, the Bus Crash Causation Study will be complete and analyses will be undertaken. .

**5) A&I & Data Quality (5.2M request):** This program area supports efforts to make a variety of large truck crash, enforcement, industry and other data available to Federal, State, and industry users, and aims to improve the quality of the data being provided, via direct financial (grant) support to State partners as well as through technical assistance.

#### **A) Analysis and Information (A&I) Online**

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 and to monitor large truck crash trends nationally and in individual States. In addition, individual motor carriers use A&I data 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. The site now includes eight individual modules: (1) Safestat Online, (2) Crash Statistics, (3) Program Measures, (4) NAFTA Safety Stats, (5) Passenger Carrier Safety, (6) Data Quality, (7) FMCSA Tools, and (8) Analysis, Results and Reports, all of which contain a wealth of data and analyses related to motor carrier safety.

In FY2009, it is anticipated that more than 2.4 million visits will be made to the A&I web site, again continuing the long trend of substantial annual increases in the number of visitors. In FY 2009, FMCSA plans to expand the type of safety data that will be disseminated via A&I Online to include several Geographic Information Systems (GIS) enhancements, including the mapping of motor carrier census, crash and inspection data and exploring the potential of using mapping tools to identify high-crash corridors. Also, a redesign of A&I will be complete, which will improve its accessibility to Federal, State, and industry users by allowing States to further tailor the A&I data and analysis content (which has become very broad and deep over time) to meet their individual needs. Also, we will continue to work to provide enhancements to the Driver Information Resource (DIR) for use by Federal and State enforcement officials and will be working on changes that will allow prospective motor carriers to review the safety performance history of individual commercial drivers so that such information can be used as input to hiring decisions. We will also continue to support an A&I training session at the FMCSA Safety Investigator Training Academy, to ensure that FMCSA enforcement staff have a full understanding of available data and analysis for use in their enforcement work.

Also in 2009, 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. Additional enhancements are planned for the FMCSA Tools Module of the A&I website, including (1) 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 (CVSP), and (2) the development and refinement of State safety performance measures that will assist State partners to monitor their progress toward meeting shared safety goals as part of their CVSP tracking.

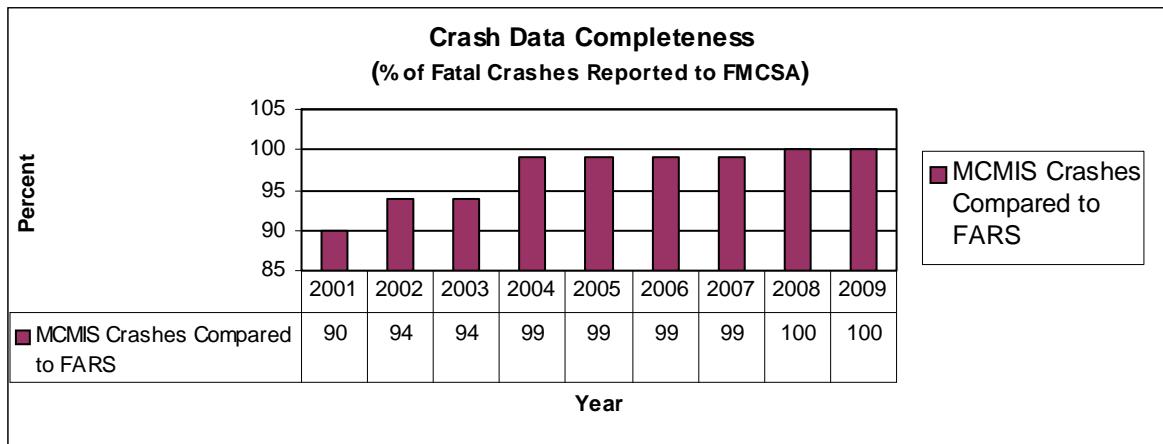
## **B) Data Quality – Technical Assistance**

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:

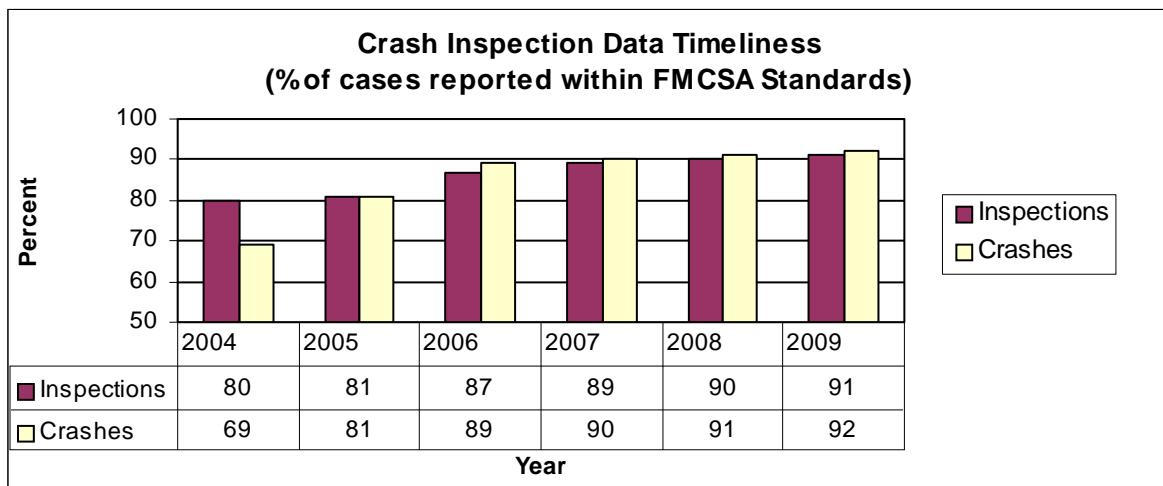
- Expert in-depth analysis of State motor carrier safety data collection and reporting policies and procedures, including offsite data reviews and onsite assessments;
- Identification of potential improvement strategies; and
- crash data collection training for law enforcement officers.

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

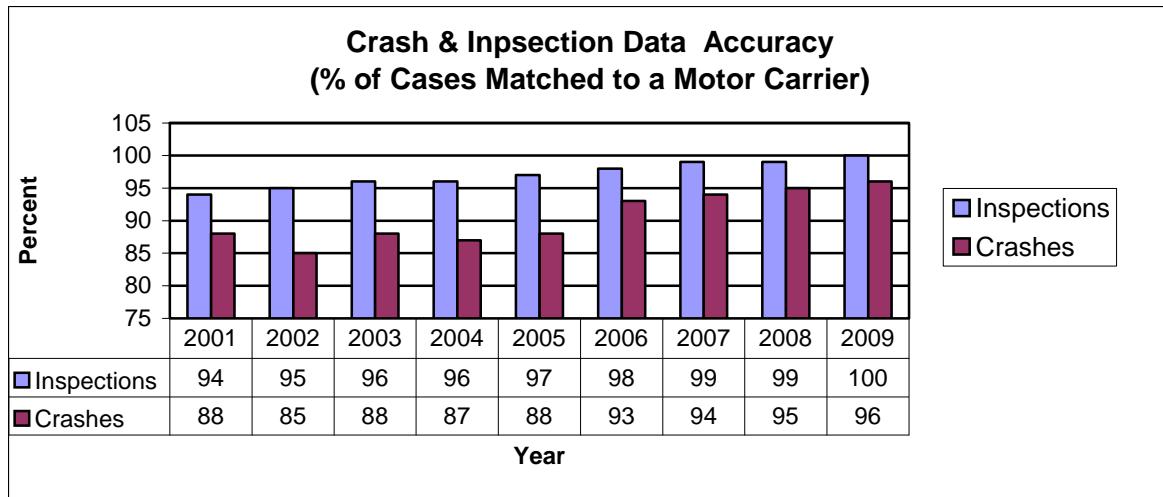
crash data, the timeliness of State-reported crashes to MCMIS, and the accuracy of inspection and crash data, although we continue to consider expansion of the data quality performance measures in an effort further improve data quality.



Footnote: FY07-FY09 figures are goals

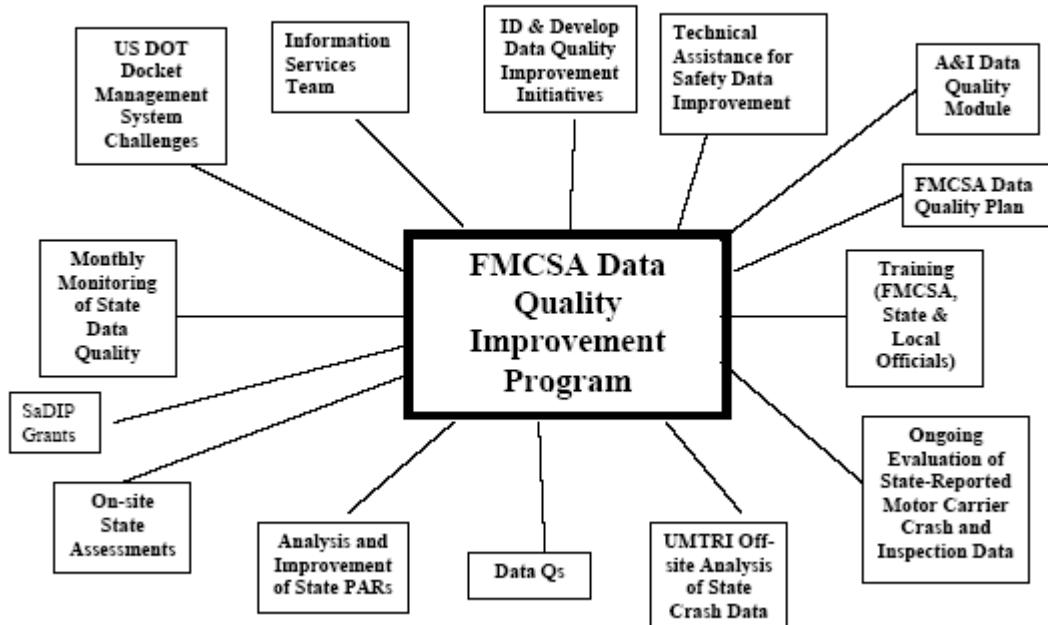


Footnote: FY07-FY09 figures are goals



Footnote: FY07-FY09 figures are goals

The following graphic indicates the multifaceted nature of FMCSA's planned data quality improvement efforts in 2009.



A detailed assessment of the safety data collection and reporting issues in priority States (“onsite assessments”) 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. Additionally, new data quality performance measures aimed at improving the completeness of non-fatal crash reporting and full reporting of inspection and crash data will be fully implemented and the state safety data quality map will be adjusted to incorporate these new measures.

**6) Safety Data Improvement Program (SaDIP) Grants (\$3.0M request):** SaDIP funds compliment the preceding Safety Data Improvement Technical Assistance funding category. While the technical 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. Therefore, technical assistance efforts will help to directly support SaDIP priorities.

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.

## 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