



U.S. Department of
Transportation

BUDGET ESTIMATES

FISCAL YEAR 2011

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

SUBMITTED FOR CONGRESSIONAL
JUSTIFICATION

FISCAL YEAR 2011 PERFORMANCE BUDGET SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS

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SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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FY 2011

FMCSA

Performance Budget Estimates

SECTION 1

Overview

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

ADMINISTRATOR'S OVERVIEW

For almost a decade, the Federal Motor Carrier Safety Administration (FMCSA) has operated as a separate safety regulatory agency within the Department of Transportation. In that time, hundreds of thousands of new commercial motor vehicle (CMV) carriers and millions of new drivers have entered the industry FMCSA regulates. At the end of 2008, there were over 731,473 carriers registered with FMCSA and over 14 million holders of commercial driver licenses (CDLs) across the country. With this enormous growth, the total vehicle miles traveled (VMT), for all vehicles, across the country increased from 2.7 trillion in 2000 to over 2.9 trillion in 2008. Despite this growth, the efforts of dedicated FMCSA employees and its state partners have led to an overall reduction in the CMV - related fatality rate of 24 percent since 2000. In 2008 (the most recent year for available crash data), the fatality rate from crashes involving large trucks and buses decreased to 0.155 per 100 million VMT. This represents a decrease for the fifth consecutive year. FMCSA has exceeded its ambitious target of reducing fatalities involving large trucks and buses to a rate of no more than 0.160 fatalities per 100 million VMT by the end of 2011.

Even with these encouraging performance indicators, the Agency still faces substantial challenges that the fiscal year (FY) 2011 budget seeks to address. To ensure that this progress continues and that FMCSA programs will continue to result in reduced fatality rates, the Agency proposes a FY 2011 budget request of \$569 million for programs authorized under the extension of the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU).

As the Administration is working with Congress to develop a comprehensive approach for surface transportation reauthorization, the FY 2011 Budget request for FMCSA contains no policy recommendations for programs subject to the granting of new or expanded authority. However, FMCSA has analyzed the operational challenges posed by an increasingly complex and growing CMV industry. Critical shortfalls in the Agency's capabilities will continue to pose obstacles in meeting these challenges. The FY 2011 budget includes a request for approximately \$20 million in additional funds and authorization for 59 additional full time equivalent (FTE) staff over the FY 2010 enacted level. This request also takes into consideration the growing needs of state grantees and asks for reallocation of \$8 million between three grant programs in order to competently implement timely safety regulations. This request addresses existing performance gaps and allow the Agency to meet several immediate new challenges, such as, regulatory implementation, process improvements, and modernization of safety data systems and procedures, that are critical in supporting the Agency's safety initiatives.

FY 2011 Administrator's Priorities:

- **Implement new regulations and increase compliance with existing Federal Motor Carrier Safety Regulations (FMCSRs) and Hazardous Materials Regulations (HMRs);**
- **Increase assurance that commercial drivers are appropriately credentialed, qualified and medically fit to operate Commercial Motor Vehicles (CMVs); and,**
- **Implement critical data systems and tools to support the safety mission.**

FY 2011 Priorities

For FMCSA, FY 2011 is a critical year because the Agency will fully transition enforcement activities to the new Comprehensive Safety Analysis 2010 (CSA 2010) operational model. Consequently, the Agency will focus on three key priority areas. FMCSA will implement several key new safety regulations and will increase its efforts to specifically address capabilities that ensure commercial motor carriers comply with FMCSRs and HMRs. The Agency will also implement increased capabilities to ensure that commercial drivers are appropriately credentialed, qualified and medically fit to operate CMVs. In addition, FMCSA will continue implementing enhancements of safety data systems through the Creating Opportunities, Methods, and Processes to Secure Safety (COMPASS) initiative, FMCSA's IT modernization. These initiatives will increase the efficiency, effectiveness, and reach of the Agency's core operations by strengthening many aspects of FMCSA's enforcement operations, information technology (IT) systems, and business processes. This overview provides a snapshot of the Agency plans for FY 2011. Details of these activities can be found in Sections III and IV of the budget.

Implement new rules and increase compliance with existing FMCSRs and HMRs:

A vital and far-reaching portion of the Agency's priorities is the CSA 2010 initiative, which is the Agency's new operational enforcement business model. Once implemented, the new enforcement approach will help the Agency achieve a greater reduction in large truck and bus crashes, reducing injuries and fatalities by enabling the Agency to complete safety fitness determinations on a much larger population of motor carriers. FMCSA plans to devote more FTE to provide support to field investigators in monitoring the data from the new Safety Measurement System for carriers and drivers. The Safety Measurement System also provides a constant targeted enforcement plan for high-risk carriers. The Agency will step up efforts to address the complex challenge of motor carriers registering under new operating names to avoid enforcement actions or sanctions, often called "carrier reincarnation." The Agency plans to fully implement an enhanced screening and vetting process for all carriers applying to enter the industry which will help detect reincarnated carriers and assure that previous safety records follow newly created carriers into their new corporate enterprises.

The FY 2011 budget also includes a request to increase grant funds available to state partners for New Entrant grants, to better enable them to respond to recent changes to regulations governing requirements for new entrant carriers. Tougher enforcement actions will be taken against newly operating carriers with serious deficiencies in their safety management controls which will

include closer monitoring of carriers' safety performance, corrective action plans and processing of appeals. More rigorous enforcement will increase the need for support of this process.

Increase assurance that drivers are appropriately credentialed, qualified and medically fit to operate Commercial Motor Vehicles:

The FMCSA has a long-standing policy of commitment to address the qualifications of drivers through the commercial driver's license program and medical fitness for duty regulations and standards. In FY 2011, the Agency will increase these efforts by devoting additional staff resources to this initiative to ensure that only well qualified drivers receive a CDL. In addition, FMCSA plans to devote additional staff to the implementation of a comprehensive Medical Examination Reporting System that will provide the Agency with the capability to monitor critical data related to the issuance of medical certificates to the 14 million CDL holders. In order to ensure that only certified professionals issue medical credentials, the Agency will also increase the number of staff devoted to implementation of the National Registry of Certified Medical Examiners.

Implement critical data systems and tools to support the safety mission:

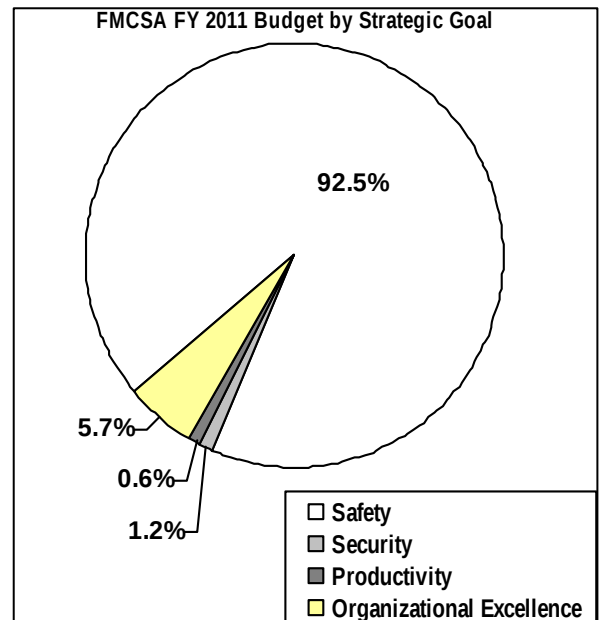
In order to ensure public safety is not compromised, the Agency and its state partners must be given the best data, tools and support to do their jobs. The Agency continues to work through COMPASS, the Agency's reengineering initiative of its information assets. In FY 2011, FMCSA plans to accelerate the COMPASS initiative to incorporate numerous regulatory and data system requirements that directly support the electronic linking of individual IT systems for new Agency safety initiatives. This acceleration will continue the momentum that has been built by previous work in connecting data sources into a single portal through which safety personnel can have ready and more rapid access to information.

DOT/FMCSA Strategic Goals:

FMCSA requests and receives resources from Congress that support four FMCSA Strategic Goals, which are detailed in the Agency's Strategic Plan. The Agency's annual performance budget acts as an update to the Strategic Plan, with the addition of performance elements which describe activities and outcomes according to common areas of performance. The FMCSA focuses on the following strategic goals:

Safety

The majority (92.5 percent) of the Agency's budget request focuses on safety interventions and the reduction of large truck and bus crashes, fatalities and injuries. In partnership with the states, FMCSA will invest in the highest impact safety activities and will award grants to states to enforce commercial truck and bus safety regulations, with special attention to carriers registered to transport the most dangerous HAZMAT cargoes and carriers transporting passengers.



Productivity

Although actions supporting commercial motor vehicle productivity make up only 0.6 percent of the overall budget, FMCSA expects that FY 2011 funding will allow the Agency and its state partners to engage consumers and the household goods (HHG) industry in reducing practices that subject consumers to unfair and dishonest treatment. FMCSA also seeks new ways to reduce congestion on the Nation's highways through the greater use of emerging safety technologies that enable enforcement personnel to inspect the safety credentials of moving CMVs.

Security

The FMCSA will apply 1.2 percent of its budget to programs that will help identify CMV involvement in the transportation of contraband and reduce the industry's vulnerability to threats, violence and natural disasters. These funds will be used to reduce the security threat associated with HAZMAT transported by CMVs by completing security contact reviews which will help verify that carriers have effective security plans and countermeasures in place. As a result of security contact reviews, carriers that have problems are informed of their vulnerabilities and provided recommendations for installing effective countermeasures.

Organizational Excellence

The FMCSA will dedicate approximately 5.7 percent of its budget to activities that support the organizational excellence strategic goal which enhances the internal workings of the Agency through continuous organizational improvement. The Agency's organizational improvement activities will result in the best available safety training and career opportunities for employees, enhanced cost-control measures, and improved decision-making processes which will lead to more success in completing the Agency's mission objectives. As a majority of Agency activities support the safety goal, FMCSA estimates that well over 93 percent of the activity under organizational excellence activities has a direct safety impact.

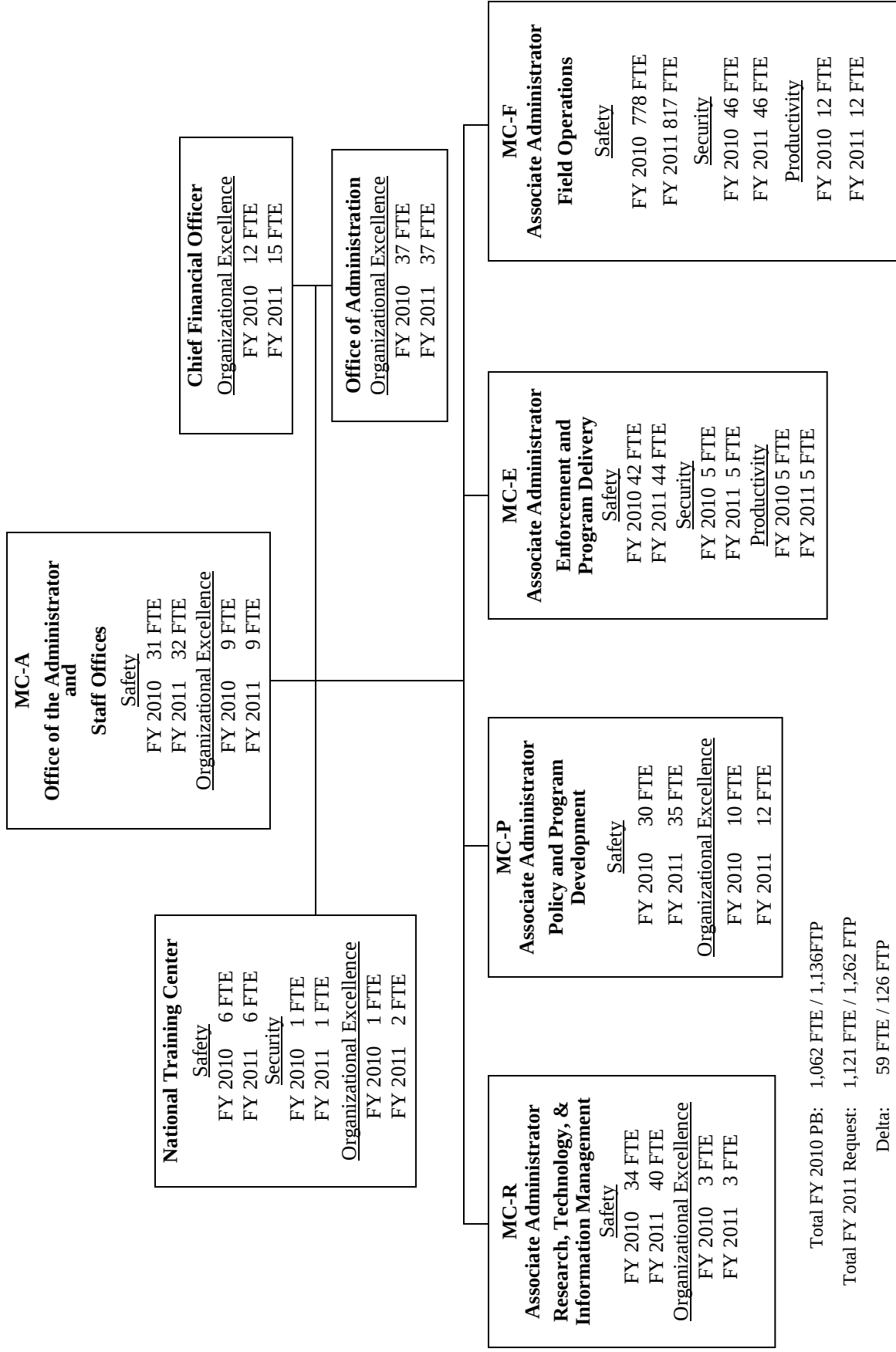
A Comprehensive Strategy for FY 2011:

In order to meet FMCSA's performance measures for reducing fatalities, crashes and injuries, the Agency is dependent upon a combination of strong, enforceable regulations; a capability to reach the maximum number of high risk carriers with effective safety interventions; and reliable and readily available safety data on which to base targeted enforcement aimed at high risk carriers. As discussed above, the Agency has put into place several high priority initiatives over the last five years in order to achieve these results. The CSA 2010 and COMPASS initiatives will both reach critical stages of initial operations in FY 2011, ensuring that FMCSA uses the best integration of data and targeted interventions to deal with the most unsafe carriers. Likewise, implementation of stronger enforcement of new entrants to CMV operations will ensure that carriers that have just entered the industry meet high standards for safety performance. Lastly, as illustrated in a recent report from GAO, closing a critical loophole in the new applicant screening process will allow detection of unsafe carriers that disband operations to evade Agency sanctions, before they can reincarnate as new entities in an attempt to evade safety enforcement. All of these initiatives, as well as their associated activities, can be accomplished with the resources requested in the FY 2011 request.

Exhibit I

Federal Motor Carrier Safety Administration

Organization Chart



Total FY 2010 PB: 1,062 FTE / 1,136FTP

Total FY 2011 Request: 1,121 FTE / 1,262 FTP

Delta: 59 FTE / 126 FTP

The FY 2011 FTE count (1,121) does not include reimbursable activity

FMCSA SAVE AWARD

Consolidation of FMCSA Web Sites

FMCSA has multiple Web sites with multiple owners, which are hosted by multiple contractors. FMCSA is in the process of determining the best way to consolidate and manage these sites to improve the quality of the content and reduce costs. Work has already been done on establishing a consistent look and feel. Now FMCSA will focus on more uniformly managing content, align underlying infrastructure and applying Web site upgrades. Consolidation is our long term objective, but the degree of consolidation and centralization of web management must be analyzed against other objectives such as utility to internal and external users, security, timelines, and other qualifying considerations. During fiscal year 2010, FMCSA will continue to explore ideas and craft a clear and practical plan for implementing the idea that yield savings and improve efficiencies. By the end of fiscal year 2011, FMCSA expects to have fully implemented the plan or achieved significant progress and realized cost savings, resulting from consolidation of FMCSA Web Sites.

FY 2011

FMCSA

Performance Budget Estimates

SECTION 2

Budget Summary
Tables

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**FISCAL YEAR 2011 PERFORMANCE BUDGET
SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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EXHIBIT II-1

**COMPARATIVE STATEMENT OF NEW BUDGET AUTHORITY
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
BUDGET AUTHORITY
(\$000)**

ACCOUNT NAME	FY 2009 ACTUAL	FY 2010 ENACTED	FY 2011 PRES BUDGET
Motor Carrier Safety Operations & Programs	\$234,000	\$234,000	\$234,000
Less Recission	<u>-\$4,839</u>	<u>\$0</u>	<u>\$0</u>
Net Motor Carrier Safety Operations & Programs	\$229,161	\$234,000	\$234,000
Motor Carrier Safety Grants	\$307,000	\$307,000	\$307,000
Less Recission	<u>-\$6,503</u>	<u>-\$1,611</u>	<u>\$0</u>
Net Motor Carrier Safety Safety Grants	\$300,497	\$305,389	\$307,000
Motor Carrier Safety Program	\$0	\$0	\$0
Less Recission	<u>-\$2,231</u>	<u>-\$6,416</u>	<u>\$0</u>
Net Motor Carrier Safety Operations & Programs	-\$2,231	-\$6,416	\$0
Motor Carrier Safety Grants	\$0	\$0	\$0
Less Recission	<u>-\$19,572</u>	<u>-\$3,233</u>	<u>\$0</u>
Net Motor Carrier Safety Operations & Programs	-\$19,572	-\$3,233	\$0
TOTAL	\$507,855	\$529,740	\$541,000

For programs and activities funded using contract authority provided by Pub. L. 109-59, amounts shown for obligations, obligation limitations and outlays assume the authorization of sufficient levels of contract authority in FY 2010 and FY 2011.

EXHIBIT II-2

**FY 2011 BUDGET REQUEST BY APPROPRIATION ACCOUNT
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)**

<u>ACCOUNTS</u>	FY 2009 ACTUAL	FY 2010 ENACTED	FY 2011 PRES BUDGET
Motor Carrier Safety Operations & Programs	\$234,000	\$239,828	\$259,878
Operating Expenses	\$177,500	\$183,050	\$195,669
Research & Technology	\$8,500	\$8,543	\$8,586
Information Management	\$34,445	\$34,618	\$41,943
Regulatory Development	\$9,680	\$9,728	\$9,777
Outreach & Education	\$2,875	\$2,889	\$2,903
CMV Operators Grants	\$1,000	\$1,000	\$1,000
Motor Carrier Safety Grants	\$307,000	\$310,070	\$310,070
MCSAP Grants	\$209,000	\$212,070	\$215,070
Border Enforcement Grants	\$32,000	\$32,000	\$32,000
CDL Improvement Grants	\$25,000	\$25,000	\$30,000
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	\$8,000	\$8,000	\$0
TOTALS:	\$541,000	\$549,898	\$569,948

RECEIPTS FROM NON-FEDERAL SOURCES

Motor Carrier Safety Operations & Programs	\$14,584	\$15,500	\$27,000
TOTALS:	\$14,584	\$15,500	\$27,000

PROPRIETARY AND OTHER GOVERNMENTAL RECEIPTS

Motor Carrier Safety Operations & Programs	N/A	N/A	N/A
TOTALS:	\$0	\$0	\$0

For programs and activities funded using contract authority provided by Pub. L. 109-59, amounts shown for obligations, obligation limitations and outlays assume the authorization of sufficient levels of contract authority in FY 2010 and FY 2011.

EXHIBIT II-3

**FY 2011 BUDGETARY RESOURCES BY APPROPRIATION ACCOUNT AND
STRATEGIC PURPOSE (A), DOT STRATEGIC GOAL (B), AND FMCSA STRATEGIC GOAL (C)
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)**

Appropriation/FMCSA Performance Goal/FMCSA Performance Objective	A	Protecting People, Places and Things			Supporting & Promoting Movement of People and Goods			Total
	B	Safety	Environmental Stewardship	Security, Preparedness & Response	Reduced Congestion	Global Connectivity	Organizational Excellence	
	C	Safety	N/A	Security	Productivity	N/A	Org Excel	
<u>MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS</u>		\$217,400		\$6,825	\$3,422		\$32,231	\$259,878
SAFETY		\$217,400						\$217,400
Performance Objective: Save lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes.		\$184,984						\$184,984
Performance Objective: Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles		\$32,416						\$32,416
SECURITY				\$6,825				\$6,825
Performance Objective: Reduce Vulnerability of CMV Transportation to Threats, Violence, and Natural Disasters				\$6,825				\$6,825
PRODUCTIVITY					\$3,422			\$3,422
Performance Objective: Improve Responsiveness to HHG Complaints					\$3,144			\$3,144
Performance Objective: Decrease Traffic Congestion in Pursuit of Safety					\$278			\$278
ORGANIZATIONAL EXCELLENCE							\$32,231	\$32,231
Provide an adaptable, world-class, mission-oriented organizational infrastructure in support of all FMCSA mission, objectives and strategies							\$32,231	\$32,231
<u>MOTOR CARRIER SAFETY GRANTS</u>		\$310,070		\$0	\$0		\$0	\$310,070
SAFETY		\$310,070						\$310,070
Performance Objective: Save lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes.		\$301,070						\$301,070
Performance Objective: Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles		\$9,000						\$9,000
TOTAL FY 2011 REQUEST		\$527,470		\$6,825	\$3,422		\$32,231	\$569,948

FTE (direct funded only)

974

52

17

78

1,121

+/- 1 due to rounding.

For programs and activities funded using contract authority provided by Pub. L. 109-59, amounts shown for obligations, obligation limitations and outlays assume the authorization of sufficient levels of contract authority in FY 2010 and FY 2011.

The Strategic Goals in this exhibit reflect those identified in DOT's 2006 – 2011 Strategic Plan. DOT's new strategic plan will be released in FY 2010.

EXHIBIT II-4

**FY 2011 BUDGET REQUEST RECAP BY ACCOUNT
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
BUDGET AUTHORITY
(\$000)**

ACCOUNTS	FY 2009 ACTUAL	FY 2010 ENACTED	FY 2011 PRES BUDGET
Motor Carrier Safety Operations & Programs	\$234,000	\$234,000	\$234,000
Less Recission	<u>-\$4,839</u>	<u>\$0</u>	<u>\$0</u>
Net Motor Carrier Safety Operations & Programs	\$229,161	\$234,000	\$234,000
 Motor Carrier Safety Grants	 \$307,000	 \$307,000	 \$307,000
Less Recission	<u>-\$6,503</u>	<u>-\$1,611</u>	<u>\$0</u>
Net Motor Carrier Safety Safety Grants	\$300,497	\$305,389	\$307,000
 Motor Carrier Safety Program	 \$0	 \$0	 \$0
Less Recission	<u>-\$2,231</u>	<u>-\$6,416</u>	<u>\$0</u>
Net Motor Carrier Safety Operations & Programs	-\$2,231	-\$6,416	\$0
 Motor Carrier Safety Grants	 \$0	 \$0	 \$0
Less Recission	<u>-\$19,572</u>	<u>-\$3,233</u>	<u>\$0</u>
Net Motor Carrier Safety Operations & Programs	-\$19,572	-\$3,233	\$0
 TOTAL (Mandatory)	 \$507,855	 \$529,740	 \$541,000

For programs and activities funded using contract authority provided by Pub. L. 109-59, amounts shown for obligations, obligation limitations and outlays assume the authorization of sufficient levels of contract authority in FY 2010 and FY 2011.

EXHIBIT II-5

**FY 2011 OUTLAYS
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
(\$000)**

ACCOUNT NAME	FY 2009 ACTUAL	FY 2010 ENACTED	FY 2011 PRES BUDGET
Motor Carrier Safety (LAE)	\$6,578	\$7,414	\$0
National Motor Carrier Safety Program	\$1,971	\$12,973	\$0
Motor Carrier Safety Operations & Programs	\$243,399	\$302,702	\$257,837
Motor Carrier Safety Grants	\$255,911	\$448,943	\$310,070
TOTAL	\$507,859	\$772,032	\$567,907
	\$507,859	\$772,032	\$567,907

EXHIBIT II-6

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

MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS

	SHOW AS NON ADDS				SHOW AS NON ADDS											
	FY 2010 Enacted	FY 2010 PC&B by Program	FY 2010 # FTE Per Program	FY 2010 Contract Expenses	2010 Pay Adj	2011 Pay Raises	GSA Rent	WCF Increase/ Decrease	Technical Adjustment	Inflation/ Deflation	FY 2011 Adjusted Base	FY 2011 Program Increase	FY 2011 FTE Program Increase	FY 2011 Contract Program Increase	FY 2011 Pres Program Increase	FY 2011 Pres Budget
ADMINISTRATIVE EXPENSES																
Direct FTE	1,062										1,062	59	59			1,121
	1,062															
GENERAL OPERATING EXPENSES																
Personnel Pay, Compensation & Benefits (10)	112,904	105,249	990		551	1,694				2,245	115,149	6,726				121,875
Contractual Services & Supplies (20)	13,895															
Travel (21)	691									69	13,964	0				13,964
Transportation (22)	691									3	694					694
Rent/Comm/Util (23)	6,543									33	6,576					6,576
Printing/Reproductions (24)	1,825									9	1,834					1,834
Other Services (25)	26,099			23,612						130	26,229	1,176		1,176		27,405
Supplies (26)	1,049									5	1,054			1,054		1,054
Equipment (31)	2,308									12	2,320			2,320		2,320
GSA Rent (23.1)	11,680						58			58	11,738			11,738		11,738
WCF/IT Franchise Fund	6,056						30			30	6,086	2,123		8,209		8,209
OPERATIONS TOTAL	183,050	105,249	990	23,612	551	1,694	58	30	0	2,594	185,644	10,025	6,726	59	1,176	195,669
CONTRACT ACTIVITIES																
Research & Technology Program	8,543	1,063	10	8,543						43	8,586					8,586
Information Management Program	34,618	2,870	27	34,618						173	34,791	7,152		7,325		41,943
Regulatory Development Program	9,728	2,552	24	9,728						49	9,777			9,777		9,777
Outreach & Education	2,889	1,169	11	2,889						14	2,903			2,903		2,903
PRISM Operations	0									0	0			0		0
TOTAL	55,778	7,655	72	55,778						279	56,057	7,152			63,209	
GRANTS																
CMV Operator's Grants	1,000															
GRANTS TOTAL	1,000									5	1,005	(5)				1,000
OPERATIONS & PROGRAMS ACCOUNT TOTAL	239,828	112,904	1,062	79,390	551	1,694	58	30	0	2,878	242,706	17,172	6,726	59	8,501	259,878

MOTOR CARRIER SAFETY GRANTS

GRANTS															
MCSAP	212,070								1,060	213,130	1,940				215,070
Basic Incentive	165,457								827	166,284	(3,882)				162,392
High Priority (up to \$15M)	15,000								75	15,075	(75)				15,000
New Entrant (up to \$29M)	29,000								145	29,145	5,855				35,000
Admin Take Down (up to 1.25%)	2,613								13	2,626	52			65	2,678
CDI Improvement	25,000								125	25,125	4,875			5,000	30,000
Border Enforcement Grants	32,000								160	32,160	(160)				32,000
PRISM	5,000								25	5,025	(25)				5,000
CVISN	25,000								125	25,125	(125)				25,000
Safety Data Improvement	3,000								15	3,015	(15)				3,000
CDLIS	8,000								40	8,040	(8,040)				0
GRANTS ACCOUNT TOTAL	310,070								0	1,550	311,620	(1,550)		(8,000)	310,070
GRAND TOTAL	549,898	112,904	1,062	79,390	551	1,694	58	30	0	4,428	554,326	15,622	59	5,566	569,948

For programs and activities funded using contract authority provided by Pub. L. 109-59, amounts shown for obligations, obligation limitations and outlays assume the authorization of sufficient levels of contract authority in FY 2010 and FY 2011.

EXHIBIT II-7

**CONTRIBUTIONS TO DOT WORKING CAPITAL FUND
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
(\$000)**

	FY 2010 ENACTED	FY 2011 PRES BUDGET	CHANGE
DIRECT			
Motor Carrier Safety Operations & Programs	\$6,056	\$8,209	\$2,153
SUBTOTAL	\$6,056	\$8,209	\$2,153
Reimbursible	\$0	\$0	\$0
SUBTOTAL	\$0	\$0	\$0
TOTAL	\$6,056	\$8,209	\$2,153

EXHIBIT II-8

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

	FY 2009 ACTUAL	FY 2010 ENACTED	FY 2011 PRES BUDGET
DIRECT FUNDED BY APPROPRIATION			
Motor Carrier Safety Operations & Programs	987	1,062	1,121
SUBTOTAL, DIRECT FUNDED	987	1,062	1,121
REIMBURSEMENTS/ALLOCATIONS/OTHER			
Motor Carrier Safety Operations & Programs	61	61	61
SUBTOTAL, REIMBURSE./ALLOC./OTH.	61	61	61
TOTAL FTEs	1,048	1,123	1,182

EXHIBIT II-9

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

	FY 2009 ACTUAL	FY 2010 ENACTED	FY 2011 PRES BUDGET
DIRECT FUNDED BY APPROPRIATION			
Motor Carrier Safety Operations & Programs	1,136	1,136	1,254
SUBTOTAL, DIRECT FUNDED	1,136	1,136	1,254
REIMBURSEMENTS/ALLOCATIONS/OTHER			
Motor Carrier Safety Operations & Programs	61	61	61
SUBTOTAL, REIMBURSE./ALLOC./OTH.	61	61	61
TOTAL POSITIONS	1,197	1,197	1,315

EXHIBIT II-10

**FY 2011 BUDGET REQUEST FOR NATIONAL SECURITY
EMERGENCY PREPAREDNESS AND RESPONSE
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)**

ACCOUNT TITLE	FY 2008 ACTUAL	FY 2009 ACTUAL	FY 2010 ENACTED	FY 2011 PRES BUDGET
HOMELAND SECURITY				
Border and Transportation	\$7,200	\$7,200	\$7,400	\$7,400
SUBTOTAL, HOMELAND SECURITY	\$7,200	\$7,200	\$7,400	\$7,400
NATIONAL IMPLEMENTATION PLAN FOR WAR ON TERROR				
NIP Related	\$7,200	\$7,200	\$7,400	\$7,400
Non-NIP Related	\$0	\$0	\$0	\$0
SUBTOTAL, NATIONAL IMPLEMENTATION PLAN FOR WAR ON TERROR	\$7,200	\$7,200	\$7,400	\$7,400
TOTAL, NATIONAL SECURITY, EMERGENCY PREPAREDNESS AND RESPONSE	\$14,400	\$14,400	\$14,800	\$14,800

Funding amounts are included in the Operations and Programs account.

FY 2011

FMCSA

Performance Budget Estimates

SECTION 3

Budget

by

Appropriation Account

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**FISCAL YEAR 2011 PERFORMANCE BUDGET
SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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FISCAL YEAR 2011 PERFORMANCE BUDGET

SECTION 3: BUDGET BY APPROPRIATION ACCOUNT

OVERVIEW

The Federal Motor Carrier Safety Administration's (FMCSA) primary mission is to promote safe commercial motor vehicle (CMV) operations and reduce large truck and bus crashes and related injuries and fatalities through education, regulation, enforcement, research and innovative technologies. Agency resources and activities contribute comprehensively to the achievement of this mission. To this end, FMCSA requests and receives resources from Congress in two Appropriation Accounts. Section 3 of the budget is organized by these Appropriations accounts:

- **Motor Carrier Safety Operations and Programs (Section 3A):** This account provides the necessary resources to support Federal motor carrier safety program activities and maintain the Agency's administrative and program support infrastructure. 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. 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. Operating expenses provide operating and administrative funding for FMCSA's core activities including: CMV safety enforcement and compliance operations; hazardous materials (HAZMAT) enforcement and compliance operations; border enforcement and HAZMAT security operations and outreach; emergency preparedness; household goods (HHG) enforcement and compliance operations; and, organizational excellence, program support, and oversight. Resources are also provided to fund motor carrier regulatory development and implementation, information management, research and technology activities, safety education and outreach, and the 24-hour safety and consumer telephone hotline.
- **Motor Carrier Safety Grants (Section 3B):** This account provides the necessary resources to support state grants in support of motor carrier safety program activities such as performing state interventions, identifying and apprehending traffic violators, conducting roadside inspections, and performing safety audits on new entrant carriers. Grants are also provided to states to perform enforcement activities at the borders, improve commercial driver's license oversight, improve safety information and data exchanges, and improve and modernize safety data systems

Section 3 also provides overviews, anticipated accomplishments and performance goals for the budget year by appropriated program. For detailed performance information by Strategic Goal, please refer to Section 4 of this budget document. To better link Sections 3 and 4 together in this budget, an additional exhibit has been added. Exhibit III-3 in Section 3C breaks down the funding request for each appropriated account into the corresponding dollar contribution toward the Agency's strategic goals.

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FY 2011

FMCSA

Performance Budget Estimates

SECTION 3A

Motor Carrier Safety Operations
and Programs

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**FISCAL YEAR 2011 PERFORMANCE BUDGET
SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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APPROPRIATION LANGUAGE
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, \$259,878,000, 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 \$259,878,000, for "Motor Carrier Safety Operations and Programs." of which \$8,586,000, to remain available until September 30, 2013, 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.

Exhibit III-1A
MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS
Summary by PROGRAM ACTIVITIES
Appropriations, Obligations, Limitations, and Exempt Obligations
 (\$000)

PROGRAM ACTIVITY	FY 2009 ACTUAL	2010 ENACTED	2011 PRES BUDGET	CHANGE FY 2010-2011
OPERATING EXPENSES	\$177,500	\$183,050	\$195,669	\$12,619
RESEARCH and TECHNOLOGY	\$8,500	\$8,543	\$8,586	\$43
INFORMATION MANAGEMENT	\$34,445	\$34,618	\$41,943	\$7,325
REGULATORY DEVELOPMENT	\$9,680	\$9,728	\$9,777	\$49
OUTREACH and EDUCATION	\$2,875	\$2,889	\$2,903	\$14
COMMERCIAL MOTOR VEHICLE OPERATORS GRANTS	\$1,000	\$1,000	\$1,000	\$0
total	\$234,000	\$239,828	\$259,878	\$20,050

FTE's

DIRECT FUNDED	987	1,062	1,121	59
REIMBURSABLE	61	61	61	0
TOTAL	1,048	1,123	1,182	59

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-related 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 (FMCSRs). 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.

Exhibit III-2A
MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS
Summary Analysis of Change from FY 2010 President's Budget to FY 2011
Appropriations, Obligations, Limitations, and Exempt Obligations
(\$000)

		Changes from FY 2010 Enacted to FY 2011	PC&B	FTE	Contract Services & Supplies	REQUEST
FY 2010 Pres. Bud. BASE			\$112,904	1,062	\$126,924	\$239,828
ADJUSTMENTS TO BASE						
Salaries & Benefits			\$2,245			
Contractual Services & Supplies						
Travel	\$69				\$69	
Transportation	\$3				\$3	
Rent/Comm./Util.	\$33				\$33	
Printing/Reproduction	\$9				\$9	
Other Services	\$130				\$130	
Supplies	\$5				\$5	
Equipment	\$12				\$12	
GSA Rent	\$58				\$58	
Working Capital Fund	\$30				\$30	
Total Contractual Services & Supplies		\$349				
CONTRACT ACTIVITIES						
Research Technology Program	\$43				\$43	
Information Management	\$173				\$173	
Regulatory Development	\$49				\$49	
Outreach & Education	\$14				\$14	
CMV Operations Grants	\$5				\$5	
Total Contract Activities		\$284				
Subtotal Adjustments to Base		\$633	\$2,245		\$633	\$2,878
New or Expanded Programs						
Salaries & Benefits			\$6,726	59	\$6,726	
INFORMATION MANAGEMENT	\$7,152				\$7,152	
OTHER SERVICES	\$1,176				\$1,176	
WCF	\$2,123				\$2,123	
CMV Operations Grants	(\$5)				(\$5)	
TOTAL NEW or EXPANDED PROGRAMS		\$10,446	\$6,726	59	\$17,172	\$17,172
TOTAL CHANGE FROM FY 2010		\$11,079	\$8,971	229	\$20,050	\$20,050
FY 2011 BUDGET REQUEST		\$138,003	\$121,875	1,291	\$259,878	\$259,878

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Detailed Justification for Operating Expenses

Operating Expenses	FY 2011 Request: \$196 M
Overview: Operating expenses support the primary mission of FMCSA to reduce crashes, injuries, and fatalities involving large trucks and buses through education and partnerships and the development and enforcement of data and science-driven regulations with the States. Operating expenses provide operating and administrative funding for the following FMCSA core activities: <u>CMV safety, HAZMAT, and Border enforcement and compliance operations:</u> This activity helps to ensure compliance with the FMCSRs and to remove unsafe carriers from the Nation's highways. Targeted enforcement, driven by performance data of carriers and drivers, is FMCSA's primary strategy for meeting its safety goals. FMCSA targets high risk carriers through a series of interventions such as compliance reviews (CRs), safety audits, HAZMAT carrier reviews, and roadside inspections. The Agency has a successful partnership with states to implement these programs. The frequency of truck crashes, fatalities, and injuries has declined over the years as a result of these efforts. For more details, please Section 4A of this document. <u>HAZMAT security operations and outreach and Emergency Preparedness:</u> Growing security threats to the Nation's transportation system have altered the Federal Government's operations and activities and impacted FMCSA's mission in recent years. While FMCSA is not the lead Federal agency for homeland security activities, the Agency has a significant role with regard to security in the truck and bus industries. FMCSA's unique access to the CMV industry through safety activities allows the Agency to leverage this relationship and provide 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. <u>HHG enforcement and compliance operations:</u> 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. The Agency's CMV productivity strategic objective contributes to the efficiency of the motor carrier industry, including the critical area of HHG moves. The primary goal is to identify HHG carriers operating improperly throughout the United States and focus enforcement resources toward improving their behavior. When FMCSA makes information on movers' rights and carrier records available to the public, consumers can make better informed decisions when they choose a carrier to assist them with a HHG move. FMCSA is exploring the scope of the HHG regulations and analyzing the state of the industry in order to exercise all available authority to ensure that HHG carriers are compliant with regulations. The Agency will develop mechanisms to rank carriers based on complaints and prioritize safety activities based, in part, on HHG complaints. <u>Organizational excellence, program support, and oversight:</u> The Agency's objective in this area is to provide an adaptable, world-class mission-oriented organization that supports all of the Agency's objectives and strategies. FMCSA will undertake activities for continual 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. These strategies will enable FMCSA to continue to save more lives through the most efficient means. FMCSA's strategies to achieve the Organizational Excellence objective include adopting good-government best practices, aspects of sound management and organizational efficiency.

FY 2010 Base: \$183M

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.

Anticipated FY 2010 Accomplishments:

Comprehensive Safety Analysis 2010 (CSA 2010)

In FY 2010, FMCSA plans to implement CSA 2010 by replacing the Agency's current motor carrier measurement system, SAFESTAT, with the CSA 2010 Safety Measurement System (SMS). This is scheduled to occur in July 2010. Following that, as individual states are trained, the Agency plans to send CSA 2010 warning letters nationwide to inform motor carriers of safety problems. FMCSA will provide roadside inspectors nationwide with access to a motor carrier's safety data, as reflected in the carrier's BASIC scores. This data can then be used to select the motor carrier for inspection in support of the CSA 2010 initiative. FMCSA plans to have this data available to roadside inspectors by summer 2010. Finally, by the end of the year, as individual states are trained, FMCSA plans to deploy CSA 2010 interventions nationwide to supplement the CR.

The FMCSA will continue to conduct the 30-month Op-Model test, which began in January 2008, and will continue to analyze the results. The test is scheduled for completion in June 2010. The Agency will continue to provide CSA 2010 development support for the CSA 2010 Carrier Safety Fitness Determination rulemaking and provide CSA 2010 development support for the CSA 2010 Drug and Alcohol Testing Results rulemaking. The Agency plans to publish an NPRM in FY 2010.

The FMCSA will continue to work with the Commercial Vehicle Safety Alliance (CVSA) to improve roadside inspection uniformity in support of CSA 2010 and to develop a long-term solution for determining crash accountability for fatal and nonfatal CMV crashes in support of the CSA 2010 program.

PRISM Operations

In FY 2010, FMCSA will conduct briefings with state motor carrier associations and other stakeholders to educate them on model PRISM-enabling state legislation. FMCSA will provide PRISM support to the states for technical IT assistance, identification of high-risk carriers, maintenance of the PRISM central site database, and coordination with state license plate registration system contractors.

Enforcement and Compliance

In FY 2010, FMCSA will implement the new entrant and intermodal chassis rule provisions and carry out the maximum fine recommendations of the Office of the Inspector General (OIG) and Government Accountability Office (GAO). FMCSA will work on the drug and alcohol testing refusal database and proactively enforce the return to duty provisions for drivers who test positive for drugs. FMCSA will continue efforts and increase field activity in safety interventions such as roadside inspections, CRs, safety audits, HHG CRs, and successor liability enforcement. FMCSA will focus enforcement efforts on high risk carriers.

Passenger Carrier Safety Operations

In FY 2010, FMCSA will continue to implement the Department's Motorcoach Safety Action Plan to improve motorcoach safety through reducing crashes, injuries, and fatalities.

As part of this effort, FMCSA will continue to implement the passenger carrier vetting system that began in FY 2009. The Agency will review all applicants for new operating authority for compliance with the fit, willing, and able provisions of the regulations. Dismissed carrier applications will be directed to FMCSA's division offices to make the states aware that unauthorized operations should not occur. The enforcement provisions of the Over-the-Road Bus Transportation Accessibility Act of 2007 will be implemented fully, and data will be maintained on carriers that have their authority suspended or revoked for non-compliance. In coordination with state partners, FMCSA will continue to conduct field strike forces and terminal reviews on a national basis. In partnership with the Department of Justice, compliance review data will be collected on passenger carrier adherence to the American's with Disabilities Act

Hazardous Materials (HAZMAT) Safety

In FY 2010, FMCSA will conduct prioritized interventions such as HAZMAT CRs, HAZMAT shipper reviews, and roadside strike force enforcement to verify that carriers have appropriate Pipeline and Hazardous Materials Safety Administration (PHMSA) registration, proper HAZMAT Safety Permit (HMSP) and safe HAZMAT compliance practices. The Agency will continue its efforts in conducting HAZMAT package inspections, HAZMAT cargo tank facility reviews, and HAZMAT vehicle inspections. FMCSA is expanding its partnerships with the HAZMAT industry by presenting cargo tank facility compliance information, presenting the results of research into the service life of cargo tanks, and promoting and communicating traffic enforcement efforts to reduce the incidence of rollover crashes.

The FMCSA is working to meet the mandate of the Sanitary Food Transportation Act of 2005 by providing training to both Agency and state enforcement personnel. FMCSA is continuing its efforts to reestablish the cargo tank manufacturing activity in coordination with PHMSA. FMCSA will use the findings of the HAZMAT serious crash study within the Agency to better focus resources on issues surrounding HAZMAT transportation. FMCSA will implement a routing analysis tool to ensure compliance with the HAZMAT routing regulations.

Safety Training

In FY 2010, FMCSA will focus on improving the quality and standardizing the process for

identifying optimal training approaches. The Agency is strengthening partner relationships through collaborative analysis, using the learning industry's most respected methodologies, and FMCSA is standardizing all training development activities. As courses and curricula are modernized, FMCSA is exploring the viability of various options for accreditation of the training activity and maintaining high standards in the most efficient and effective manner possible. The Agency will focus on working with the CSA 2010 initiative to prepare the rollout training for the new business model and to revamp existing material to fit the new model.

Federal Commercial Driver's License (CDL) Operations

In FY 2010, FMCSA will continue to implement recommendations from the CDL Task Force report, issued in 2008, to build on prior accomplishments and ensure that states are in compliance with the current and newly effective CDL requirements. This will include working closely with the states as they begin to implement the new CDL information system (CDLIS) modernization requirements and to merge the medical certification requirements into the CDL record.

Driver Medical Qualifications

In FY 2010, FMCSA will complete an implementation plan for the final rule for medical certification for a CDL and provide guidance to the states for executing the compliance requirements.

The Agency will reach out to stakeholder groups and the public through the internet, meetings, listserv, and other means, to maximize early participation. FMCSA plans to implement an online application process for vision exemptions.

HAZMAT Security Operations and Outreach

In FY 2010, FMCSA will participate in external Agency activities, such as threat and security vulnerability assessments with Transportation Security Agency (TSA). FMCSA will finalize the findings from the HAZMAT Safety and Security Routing Analysis and propose to incorporate the lessons learned into operations in FY 2010.

FMCSA plans to continue to coordinate with state partners to complete security contact reviews (SCRs) and security sensitivity visits (SSVs). The Agency will continue to communicate threat characteristics, security tips, procedures and advice to the HAZMAT industry and state and Federal Agencies. FMCSA will continue to conduct security visits of motor carriers transporting HAZMAT that require security plans.

Security Training

In FY 2010, FMCSA will train targeted Federal, state, and local safety specialists and law enforcement officers in security job-specific and criminal interdiction skills. The Agency will deliver technical assistance to Agency partners in support of FMCSA's security mission. FMCSA will increase the scope of criminal interdiction data to include data on drug-impaired CMV drivers. The Agency will conduct employee training in the areas of continuity of operations (COOP) awareness, hurricane and tornado preparedness, and disaster and vulnerability training.

Emergency Preparedness

In FY 2010, FMCSA plans to participate in government-wide COOP exercises led by various agencies. These exercises are conducted to measure agency interoperability and interconnectivity among Federal departments and agencies from individual COOP sites throughout the United States. The Agency will monitor, update, and redesign the Avian Flu Pandemic Plan to ensure adequate measures are in place to protect Agency personnel during pandemic situations. FMCSA will conduct emergency preparedness briefings for Agency employees.

HHG Operations

In FY 2010, FMCSA will investigate and more fully vet new applicants who apply for interstate HHG carrier authority to prevent carriers with poor records from reestablishing under different names. FMCSA will conduct enforcement efforts that include Web site investigations, in which a review is conducted of carriers' or brokers' internet advertisements to ensure their compliance with commercial regulations. The Agency will investigate HHG complaints from consumers and perform Web site monitoring.

The FMCSA will conduct full safety interventions on HHG carriers that receive a high volume of complaints, as well as those listed on the high risk (A/B) safety violation list. FMCSA will expand HHG training and will add the HHG enforcement curriculum to the academy class curriculum that all new field recruits undergo. FMCSA will conduct national strike force HHG reviews during the year, supplemented by regional strike force activities. The Agency will target HHG reviews on carriers that do not implement an arbitration program as required by regulations. The Agency will fully implement the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU)-mandated HHG carrier reporting system during the year.

Additionally, the Agency anticipates that the manual vetting process of HHG carrier applications will be automated in the COMPASS registration system.

HHG Hotline

In FY 2010, FMCSA will execute established procedures to receive and react to HHG complaints in a uniform and consistent manner and make enforcement decisions. The Agency will respond to HHG complaints in a timely manner and focus enforcement efforts on the worst 100 HHG carriers as identified by these consumer complaints and the carrier's safety violations.

Human Capital Services

In FY 2010, FMCSA will complete internal consolidation of human resource servicing. The Agency will examine current practices and policies in light of changing Federal laws and regulations and update or create guidance materials as necessary. Regular feedback from employee surveys and other information-gathering tools will be applied to enhance the service portfolio. Automated systems will be reviewed to identify opportunities to streamline operations.

Employee Development Training

In FY 2010, FMCSA will offer training to enhance employees' ability to identify, develop, and implement a career plan of requisite training, using eLMS as a planning and scheduling tool. FMCSA will manage a comprehensive leadership and supervisory development effort. FMCSA will develop guidelines and identify career development paths for all employees. The Agency will work to provide comprehensive briefings to acquaint all new FMCSA employees with the organization and its mission and the training and tools available to reach their goals.

Employee Ethics

In FY 2010, FMCSA will update the ethics training page on the KnowZone and the computer based orientation that allows for improved new employee training and information on specialized issues (e.g. acquisitions and grants); maintain automated updating of the training database; and maintain the 100 percent rate for training of all employees. The Agency will review financial disclosure reports from all employees required to submit such reports. This activity will also begin to offer specialized ethics training to FMCSA grantees.

Civil Rights

In FY 2010, FMCSA will conduct required diversity training for all employees. FMCSA will perform Title VI training for all FMCSA staff with external civil rights duties, ensure that qualified applicants from employee groups with low participation rates at FMCSA are informed about vacancies, and ensure that three percent of all new hires consist of persons with targeted disabilities.

Financial Management and Oversight

In FY 2010, FMCSA will enhance its financial oversight over Agency grants, including conducting state site reviews, addressing corrective actions for identified weaknesses, and leading the implementation of a grants management system (in accordance with Departmental guidance). The Agency will continue to conduct financial management training and continue to enhance funds management and financial reporting through establishing and/or providing training on key processes.

Additionally, FMCSA will enhance its internal review and audit process to identify and correct areas of vulnerability or weakness for the Agency's resources. FMCSA will maintain its low travel card delinquency rates through the enhancement and continual monitoring of cardholder reports. The Agency will establish a formal Managerial Cost Allocation (MCA) system in coordination with the Department guidance.

Acquisitions Management

In FY 2010, FMCSA continues the implementation and enhancement of the automated procurement system (called PRISM) and the development and implementation of standard operating procedures and related process improvements. FY 2010 activities will include continued training and certification of the acquisitions career workforce. FMCSA will continue the commitment to award FY 2010 dollars at not less than 27.7 percent to small disadvantaged businesses and 25.1 percent to women-owned businesses.

Budget Formulation and Execution

In FY 2010, FMCSA will improve on-line reporting capabilities, resulting in the effective execution of the annual budget. The Agency will improve the process of providing budget execution data to the program areas and senior management. In addition, the Agency will increase the reconciliation of payroll data, improve cash flow planning and continue to strengthen internal controls.

Strategic Management and Evaluation

In FY 2010, FMCSA will conduct a senior leaders planning retreat, or comparable activity, to define Agency priorities, identify resource requirements, and determine resource allocation, to meet the requirements of the next surface transportation authorization bill and Agency and Departmental goals. FMCSA will ensure that these decisions are incorporated into the FY 2012 Performance Budget. FMCSA will finalize its revision of the Strategic Plan.

In FY 2010, FMCSA plans to implement improvements to its program management office (PMO) process through increased automation of its tracking, monitoring, and action planning procedures. FMCSA will continue its work to reduce the number of outstanding recommendations from its oversight agencies.

The FMCSA will finalize its new outcome-based performance measures and create a central database repository to manage Agency performance measures.

The FMCSA will monitor and track the actions taken in response to the recommendations contained in the program evaluations completed in FY 2009. FMCSA will complete evaluations on HAZMAT Safety Permitting Operations and the Agency use of inter-agency agreements (IAAs). In addition, FMCSA will initiate evaluations on the handling of personally identifiable information (PII) within Agency data systems and processes. The Agency will also initiate evaluations of the FMCSA Safety and Household Goods Hotline, as well as evaluations of safety regulations to determine their impact on safety outcomes. Further, the Agency will conduct section 610 reviews of 49 CFR parts 325, 388, 350, and 355. In addition, FMCSA will determine the topics of future program evaluations based on performance data and other factors.

Central Support Services

In FY 2010, FMCSA will renew field office occupancy agreements and pursue any outstanding long-term occupancy agreements for border offices based on identified requirements. The Agency will process Freedom of Information Act (FOIA) requests in a timely manner. FMCSA will work with the General Services Administration (GSA) to maintain and operate the government vehicles assigned to the Agency. When replacements are necessary, the Agency plans to increase the number of alternative fuel vehicles (AFVs), where possible.

Organizational Development

In FY 2010, FMCSA human resource servicing will be fully consolidated within the Agency. The Human Capital Workgroup will continue to meet regularly and examine continuing

employee feedback about the consolidation, as reflected in responses to the Federal Human Capital Survey, the Federal New Employee Survey, and the FMCSA Employee Exit Survey. The Group will continue to monitor strategies implemented to improve aspects of Agency culture and work-life and adjust strategies as necessary to facilitate continued improvement. The Group will review the Human Capital Plan's action plan periodically and recommend revisions as appropriate to close successfully addressed recommendations or to add new recommendations derived from current employee feedback.

To better serve Agency employees while conserving staff resources, FMCSA will work towards consolidating current stand-alone automated systems. This effort should produce greater accuracy, enhanced data security, and reduced processing time. FMCSA will assess the need for developing competency models for additional occupational groups.

Intra-Agency Communication

In FY 2010, an enterprise information portal will be introduced on the KnowZone which will allow expanded collaboration opportunities, increase transparency, and greatly enhance the ability of people and teams to connect and share expertise. This is in concert with the Administration's goals for open communication and for enterprise and social networking. As far as it is practical, the latest technologies will be explored and implemented, i.e., message boards, online chat, blogs, wikis, etc., to provide optimum information sharing and exploration. New and enhanced methodologies for Web content management will be provided to facilitate rapid update of the most recent information.

FY 2011 Budget Request:

For FY 2011, FMCSA requests \$195.7 million/1,121 FTE, \$12.6 million and 59 FTE above FY 2010 Enacted level. This request fully supports necessary operations to meet Agency goals and objectives.

Comprehensive Safety Analysis 2010 (CSA 2010)

In the first quarter of FY 2011, FMCSA will complete training the states and rolling out the new CSA 2010 interventions and Warning Letters. The Agency plans to complete the analysis of the Op-Model test results for final changes to the CSA 2010 concept. The Agency plans to complete deployment of CSA 2010 interventions nationwide by December 2010 and launch follow-up training for the Federal and state enforcement officers to ensure continuous improvement under CSA 2010.

Finally, in support of the CSA 2010 initiative, FMCSA will continue working with CVSA to improve roadside inspection uniformity and develop a long-term solution for determining crash accountability for fatal and nonfatal CMV crashes.

PRISM Operations

The FMCSA will continue to conduct briefings with state motor carrier associations and other stakeholders to educate them on model PRISM-enabling state legislation. FMCSA will continue providing PRISM support to the states for 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 continue efforts to increase the

number of states receiving automated notification of FMCSA out-of-service orders, invoking license plate sanctions, and enforcing census update requirements as a condition of license plate renewal. Additionally, FMCSA will continue working with state partners to increase the number of states that suspend, revoke, or deny license plates based on FMCSA's determination that the carrier must cease interstate operations.

Regulatory and Standards Development

In FY 2011, FMCSA requests an additional \$684 thousand and 6 FTE (regulation writers, economists, and attorneys). The additional regulation writer will increase the Agency's capacity for drafting rulemaking documents and managing rulemaking teams. The additional economist will provide comprehensive analyses of the anticipated costs and safety and economic benefits of rulemaking actions to ensure that Agency senior leaders have the best-available information to make informed decisions about regulatory options. This will ensure that stakeholders have an adequate opportunity to comment on all key analytical assumptions and estimates concerning the rulemaking. The additional attorney will work with rulemaking teams in developing regulatory options that are consistent with the statutory provisions applicable to the specific rulemaking action and support the Agency's rulemaking priorities; they will provide comprehensive legal reviews of the draft rulemaking notices and economic and environmental analyses to ensure legal sufficiency of FMCSA rulemaking actions.

Enforcement and Compliance

The Agency requests \$1.3 million above base to fully implement an enhanced screening or vetting process for all carriers applying to enter into the industry. Under this program, no motor carrier applicant will be granted operating authority until FMCSA has completed a comprehensive investigation to determine on a preliminary basis whether the carrier is willing and able to comply with the applicable safety regulations, Americans with Disabilities Act rules, and HHG regulations, and that the carrier is not re-registering to avoid a previous history of unsafe or non-compliant operations.

The FMCSA will also enhance its capability for reviewing questionable applicants, issuing dismissal letters to carriers that fail to respond to inquiries and requests for information, and issuing show-cause letters prior to denying applicants' requests for authority. The FMCSA will also assign safety investigators to its Service Centers to coordinate the background investigation and vetting process with state partners and to maintain and refine the new entrant screening process.

In FY 2011, FMCSA requests an additional \$342 thousand and 2 FTE to address safety weaknesses and vulnerabilities in the present controlled substances and alcohol testing and reporting process. As identified by GAO, the House Transportation and Infrastructure (T&I) Committee and the motor carrier industry, as many as 50 percent of the CMV drivers who test positive for illegal drugs and alcohol continue to operate large trucks and buses on the Nation's highways by applying to other motor carrier employers without revealing their previous employer or substance abuse history. To improve this unsafe situation, FMCSA is in the process of developing a national database that employers would be required to check to verify that a specific driver has not previously tested positive for controlled substances or alcohol. Medical Review Officers (MROs) and companies would be required to report positive controlled substances testing information to the database. The additional FTE will support the development of a more stringent reporting process, as well as serve as subject matter experts for enforcement agencies and CMV companies. Further, implementation of this

national database will require additional professional staff to evaluate the reported data to ensure compliance; to respond to the increased number of compliance issues related to noncompliant drivers, carriers, and service agents; to investigate driver due process appeals and procedural complaint issues; and to handle the increased number of enforcement cases and due process issues.

During FY 2011, the Agency will complete the training of all Federal and state enforcement personnel and fully transition to the new CSA 2010 operational model. FMCSA is requesting an additional \$2.9 million and 25 FTE to support the required monitoring and enforcement activities, such as reviewing the data from the new Safety Measurement System and preparing preliminary carrier assessments for Safety Investigators (SIs) in the Division Offices. This work will include providing background information on the motor carriers to be investigated, scheduling interviews with carrier officials, and gathering information from carriers during off-site investigations. The SIs will need the support of these lower graded FTE to handle the more routine administrative tasks, leaving the SIs to focus on their investigative mission and maintaining the existing percentage of time devoted directly to investigations.

In FY 2011, FMCSA requests an additional \$1.4 million and 12 FTE to provide for efficient and effective implementation of the enhanced new entrant safety assurance process to manage the increased Federal support to state partners as they implement an increased regimen related to new entrant audits. In addition to their current activities, FMCSA field staff will assume new responsibilities to ensure the program is properly administered. Primarily, field staff will monitor the motor carriers that fail new entrant safety audits, review corrective action plans (CAPs) associated with the failed audits, review requests for appeals of the enforcement actions, and issue enforcement case decisions in a timely manner. The Agency estimates that the higher safety audit pass-fail threshold established by the rule will result in a 45-55 percent failure rate of new entrant carriers as opposed to the current 1 percent rate. Carriers who fail the safety audit must submit a CAP to FMCSA, which will require resources to review and issue decisions within the timeframes prescribed by the rule. With the current rate of approximately 37,000 new entrant audits performed per year, between 16,500 and 20,500 carriers will fail their audit. The Agency expects 80 percent of those failed carriers to submit a CAP. The FMCSA's personnel will need to review and issue decisions on approximately 13,000–16,500 petitions for review of the audit results annually. In addition to the CAP petitions from a new entrant audit failure, it is estimated 15 percent of these carriers will be subject to an expedited action due to violations discovered roadside, resulting in over 15,500 petitions. The additional FTE will enable the Agency to manage the program effectively and to ensure that the delivery of other safety programs is not adversely affected by the implementation of the enhanced new entrant process.

In FY 2011, FMCSA plans to implement the electronic on-board recorder rule provisions and continue to execute the new entrant and intermodal rule provisions. FMCSA will continue field activity in the areas of roadside inspections, CRs, safety audits, HHG safety CRs, and successor liability enforcement. FMCSA staff will fully employ the safety interventions adopted under the CSA 2010 model. The Agency will continue work on the Drug and Alcohol testing database and proactively enforce the return to duty provisions after testing positive for drugs

Passenger Carrier Safety Operations

In FY 2011, FMCSA will continue to implement the Department's Motorcoach Safety Action Plan to improve motorcoach safety through reducing crashes, injuries, and fatalities.

In support of this effort, FMCSA will use its new applicant screening (NAS) system to monitor passenger carriers who apply for operating authority. The Agency will continue to evaluate the automated authority application system. One of the most complex challenges facing FMCSA is the need to develop and implement a process to prevent passenger carriers from avoiding enforcement actions or sanctions, or distancing themselves from a history of poor safety performance by registering with FMCSA under a new name. This action is often called "carrier reincarnation" and the truck and bus carriers that engage in this practice are often referred to as "chameleon or reincarnated carriers." This process will assist FMCSA in detecting prior unsafe passenger carriers that disband operations before they can reincarnate as new entities, in an attempt to avoid their previous safety records.

Additionally, FMCSA will pursue an integrated strategy to address a range of issues that include driver performance such as fatigue, behavior, and medical qualifications. The Agency will also address vehicle maintenance and operator oversight and will work with NHTSA on occupant protection (fire safety and emergency egress), and data collection and analysis. The Agency will also emphasize enhanced regulatory oversight such as addressing railroad grade crossing safety to prohibit bus drivers from entering railroad crossings unless there is sufficient room to clear the tracks completely without stopping and use of technologies to improve passenger carrier safety.

The FMCSA will implement the CSA2010 enforcement model within the passenger carrier industry, as well as with the rest of the commercial vehicle industry. The CSA 2010 enforcement model will give FMCSA a broader array of progressive interventions to engage passenger carriers when their safety performance data indicates unsafe behavior. The enforcement provisions of the Over the Road Bus (OTRB) Accessibility Act will also be fully executed, ensuring these vehicles are accessible to people with disabilities. FMCSA will collect data on carriers who have their authority suspended or revoked for non-compliance with these provisions and will share it with the Department of Justice (DOJ) as per the Memorandum of Understanding (MOU) between the two agencies.

Additionally, FMCSA and state partners will conduct on-site safety interventions, field strike force activities, destination inspections, and terminal reviews on a national basis in order to enforce safety regulations.

Hazardous Materials (HAZMAT) Safety

In FY 2011, FMCSA will continue to conduct prioritized interventions such as HAZMAT compliance reviews, HAZMAT shipper reviews, and roadside strike force enforcement to verify PHMSA registration, HMSP verification and safety compliance. The Agency will continue its efforts in conducting HAZMAT package inspections, HAZMAT cargo tank facility reviews and vehicle inspections. FMCSA will continue its partnerships with the HAZMAT industry by conducting cargo tank facility outreach training and promoting traffic enforcement efforts to reduce the incidence of rollover crashes. FMCSA plans to provide information surrounding service life of cargo tanks to PHMSA for future analysis.

FMCSA will continue to meet the SAFETEA-LU mandate of the Sanitary Food Transportation Act of 2005 by continuing to provide training on sanitary food transportation. The Agency will continue its efforts to fully reestablish the cargo tank manufacturing program. FMCSA will begin to implement the findings of the HAZMAT serious crash study into FMCSA HAZMAT activities. Building on the work begun in FY 2010, FMCSA will increase compliance with the HAZMAT routing regulations.

Safety Training

In FY 2011, FMCSA will continue to focus on optimizing the efficiency of training activities through various methods, including fully integrating distance learning, simulation, hands-on and other modern techniques. This will include continuing the process of accreditation, if it is determined to be feasible. The Agency will continue efforts to ensure training focuses on preparing FMCSA and state partners in implementing the CSA 2010 enforcement and business model.

Federal CDL Operations

In FY 2011, FMCSA will support and enhance state CDL CRs to ensure uniformity and compliance with the FMCSRs. It will also help to detect and prevent CDL fraud; and it will assist in the oversight, monitoring and improvement of the effectiveness of the testing and licensing procedures of the states.

Without this funding, FMCSA will be unable to enhance its oversight of state licensing agencies' level of compliance with the Federal CDL regulations. Enhancement of FMCSA's oversight capability will improve safety by helping the Agency and its state partners identify unsafe drivers and remove their CDL privileges.

In FY 2011, FMCSA will continue its CDL activities to build on FY 2010 accomplishments and ensure that States are in compliance with the current and newly effective CDL requirements. This will include working closely with the states as they continue to implement the new CDLIS modernization requirements and the merging of the medical certification requirements as part of the CDL record.

Driver Medical Qualifications

The Agency requests \$285 thousand and 2 FTE above base to support the additional activities being requested for Driver Medical and Improvement under the Regulatory Standards Development and Oversight Program

In FY 2011, FMCSA requests an additional \$57 thousand and 1 FTE to support the implementation of a comprehensive Medical Examination Reporting System that will provide the Agency with the capability of monitoring the volume of medical certificates issued. The system will also identify drivers that seek medical certificates from multiple medical examiners within a short period of time (indicative of a medically unqualified driver concealing a serious medical condition) and medical examiners that appear to issue an unusually large volume of medical certificates compared to other healthcare providers on the Agency's National Registry. The FMCSA estimates that approximately 3.5 million medical examinations of truck and bus drivers are performed each year, which means FMCSA is likely to receive about 300,000 reports from medical examiners each month. With this projected

workload, it is essential to have an electronic reporting system.

This data system will complement the National Registry and the Agency's 2008 final rule merging the medical certification and CDL issuance and renewal processes. The monitoring system will provide a means to help identify questionable activities on the part of drivers and medical examiners, so that appropriate action may be taken by the state licensing agency if the FMCSA's information suggests the medical certificate the driver submitted to the state may not be valid. This enhancement will prevent the current practice where drivers are able to bypass detection by failing to report failed medical examinations and by providing fraudulent medical certificates and examination forms. This funding will enable FMCSA to meet the requirements of Section 4116 of SAFETEA-LU.

In FY 2011, FMCSA requests an additional \$57 thousand and 1 FTE to support the implementation of the National Registry, based on the planned publication of the final rule in FY 2010. The FMCSA will work with the private sector to provide the training curriculum and standardized tests that will be used for the program and establish a process for verifying that medical examiners are licensed by appropriate state health agencies to perform medical examinations. The Agency will also put into place the necessary IT system to provide to the motor carriers, drivers, Federal and state enforcement personnel, and the general public information to enable any interested party to verify whether a specific individual is on the National Registry of Certified Medical Examiners. The Agency will also continue to support the development of health education modules for drivers and develop a highly visible public education campaign that emphasizes driver physical qualifications requirements.

In FY 2011, FMCSA will reach out to stakeholder groups and the public through the internet, meetings, listserv, and other means to ensure understanding of how to execute compliance requirements and maximize early participation. FMCSA plans to implement an online application process for vision exemptions.

HAZMAT Security Operations and Outreach

In FY 2011, FMCSA will continue participating in external agency programs such as threat and security vulnerability assessments with TSA. FMCSA will continue to provide HAZMAT information to TSA regarding the secure transportation of HAZMAT by providing data relating to HAZMAT motor carriers' security programs.

The Agency will continue providing national program and policy guidance in coordination with state partners in completing SCRs and SSVs. FMCSA will also continue to communicate threat characteristics, security tips, procedures and advice to the HAZMAT industry and Federal and State government; and the Agency will conduct security visits of motor carriers transporting HAZMAT that require security plans.

The FMCSA will incorporate the HAZMAT safety and security risk analysis into FMCSA's HAZMAT routing program. FMCSA will be working with state routing agencies on use of the new system to designate routes based on safety and security risk performance measures.

Security Training

In FY 2011, FMCSA will continue to train targeted Federal, State, and local law enforcement and safety professionals in the specific skills related to security jobs. The Agency will train

personnel in an effort to continue to increase significant CMV interdictions and will deliver technical assistance to FMCSA and Agency partners in support of FMCSA's security mission. FMCSA will continue work on increasing the scope of criminal interdiction data provided by FMCSA partners to include data on drug-impaired CMV drivers. The Agency will 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.

Emergency Preparedness

In FY 2011, FMCSA will continue participation in the government-wide COOP exercises led by various agencies (i.e., Department of Homeland Security, Federal Emergency Management Agency, Department of Transportation, etc.). These exercises are conducted to test and monitor interoperability and interconnectivity among Federal departments and agencies from individual COOP sites throughout the United States. The Agency will continue to monitor activities associated with the Avian Flu Pandemic Plan and will implement any update/redesign approved from FY 2010 to ensure adequate measures are in place to protect Agency personnel during pandemic situations. FMCSA will continue conducting emergency preparedness briefings to Agency employees.

HHG Operations

In FY 2011, FMCSA will fully implement a more intensive vetting system to better examine new applicants who apply for interstate HHG carrier authority to prevent carriers with poor records from reestablishing under different names. The Agency will continue conducting full CRs on HHG carriers that receive a high volume of complaints or are identified through the Comprehensive Safety Analysis 2010 (CSA 2010) rating system. FMCSA will conduct National strike force HHG reviews during the year, supplemented by regional strike force activities. FMCSA will continue conducting targeted HHG reviews on carriers who do not fully implement an arbitration program, as required by the Federal Motor Carrier Safety Regulations (FMCSRs).

The Agency will continue conducting Web site investigations, which review carriers' or brokers' internet advertisements to ensure their compliance with commercial regulations. The Agency will initiate internet investigations based on complaints from consumers and Web site monitoring.

In FY 2011, FMCSA will fully implement the SAFETEA-LU-mandated HHG carrier reporting system and monitor HHG carriers for compliance with the regulations.

HHG Hotline

In FY 2011, FMCSA will continue to execute established procedures to receive and react to HHG complaints in a uniform and consistent manner and make enforcement decisions. The Agency will continue responding to HHG complaints in a timely and efficient manner, focusing enforcement efforts on the worst 100 HHG carriers as identified by these consumer complaints and the carrier's safety record.

Human Capital Services

For FY 2011, FMCSA requests an additional \$57 thousand and 1 FTE to provide enhanced human capital services to handle the increased workload of the additional 59 FTE for field and headquarters staff being requested in this budget. FMCSA will have a fully operational consolidated human resources office that will provide the full portfolio of human resource services to employees. FMCSA will use these resources to meet the increased workload in planning, recruitment, and development of work plans, hiring documents, and other servicing activities. These resources are necessary to ensure FMCSA will attract, hire and retain well qualified personnel capable of meeting our mission requirements.

The Agency will study results of outside Human Capital audits and develop plans for addressing specific recommendations and suggestions for improving human resources servicing and human capital planning. FMCSA will continue to assess employee feedback and identify additional opportunities for service improvement.

Employee Development Training

In FY 2011, FMCSA requests an additional \$57 thousand and 1 FTE to provide an enhanced employee development and training regimen. As the Agency implements new safety regulations, new training courses and training materials must be developed and delivered to Federal and state enforcement personnel responsible for the enforcement and oversight of the changing requirements. The FMCSA will use these resources to provide additional training capabilities and capacity to meet the increased workload for the Agency's National Training Center in delivering courses to improve employee performance, knowledge, and skills, and to empower employees to take advantage of greater opportunities for training. Additional resources are required to ensure up-to-date, technically accurate and timely training is available for Federal and state enforcement personnel responsible for keeping America's roads safe. Without these resources, there is a significant risk of delayed delivery of pertinent training based on the Agency's current constrained training resources and capacity.

In FY 2011, FMCSA will continue training to enhance employee abilities to identify, develop, and implement a career plan of required training. The Agency will utilize the electronic Learning Management System (eLMS) as the platform for planning, scheduling and delivering Web based training.

The Agency will work to provide a comprehensive program to acquaint all new FMCSA employees with the organization and its mission. FMCSA will develop, identify and implement career and leadership development paths based on core competencies for all employees and make the training tools available to reach their goals.

Employee Ethics

In FY 2011, FMCSA will continue maintaining the ethics training page on the KnowZone and the computer based orientation that allows for improved new employee training and information sharing on specialized issues (e.g. acquisitions and grants). The Agency will continue to develop the general training page on the KnowZone to serve as the focal point for training. FMCSA will continue to maintain the automated updating of the training database and to meet the 100 percent rate for employee ethics training. The ethics activity will continue to provide in-person and computer-based training on general ethics matters to employees who

are required to file annual financial disclosure reports and specialized acquisition and grants management ethics training to those employees with procurement or grants management responsibilities. This activity will review financial disclosure reports from all employees required to submit such reports.

FMCSA will continue providing specialized ethics training to FMCSA grantees to ensure proper use and management of grant funds.

Civil Rights

In FY 2011, FMCSA will complete the second and final phase of required diversity training for all employees. The Agency will continue to ensure that qualified applicants from employee groups with low participation rates at FMCSA are informed about vacancies and ensure that three percent of all new hires consist of persons with targeted disabilities.

Financial Management and Oversight

In FY 2011, FMCSA requests an additional \$399 thousand and 3 FTE to create the Office of Grants Management, which will be staffed with one Grant Officer, Grant Specialists, Finance Analysts, MCSAP/Transportation Specialists, CDL/Transportation Specialists, and an attorney advisor. These resources will provide for development and implementation of policies, standards, and procedures for the administration of all financial assistance programs within FMCSA. These resources will allow the Agency to improve its oversight and ensure greater accountability and standardization among grant programs. Currently, the grants are managed by more than 50 offices throughout the country, creating inconsistencies because employees are performing multiples tasks and roles. By consolidating the management of these grants into a single office with dedicated professionals, FMCSA can reduce program vulnerabilities through better and consistent management of internal controls while allowing program staff to rededicate their time to programmatic goals.

The establishment of the Office of Grants Management provides FMCSA the opportunity to hire specially trained individuals who have the expertise necessary for our grants program. As an agency that processes the majority of its funding through grants, an Office of Grants Management is needed to centralize this activity with employees that possess the skills to maintain compliance with Office of Management and Budget (OMB) guidance, Federal law, and regulations on grants. FMCSA currently does not employ employees that are trained in grants management. This will allow the Agency to provide greater focus on grants, which will correspond to greater efficiency in grant processing.

The lack of an Office of Grants Management has lead to employee double tasking in areas where employees are not properly trained and lack of resources; and it has resulted in longer response times for legal questions. Currently, programmatic employees are performing tasks related to program issues and tasks processing grants. The establishment of the Office of Grants Management would enable these employees to focus on program issues, allowing those programs to function at a higher level. Resources have been stretched thin by attempting to provide minimal training to program employees so that they can also process grants. These employees are also working additional hours to cover both programmatic and grant issues. Finally, in an attempt to provide both grant related and program related legal guidance, attorneys' response times are increased. Establishment of the Office of Grants Management

would rectify these problems by centralizing the specialized skills and knowledge that we require.

Through this new office, FMCSA will review and approve all grant disbursements to grantees to ensure compliance with financial regulations and statutes. The Agency will establish formal processes, procedures, and forms for consistent implementation, application, and oversight of grant awards and expenditures. The Agency will provide financial assistance during all phases of the grant process.

Further, the Agency will consolidate all the administrative functions such as preparing grant announcements, reviewing grant applications, and managing technical review panels. FMCSA will also have a single office to address audits, review grant related correspondence, and provide legal counsel. Additionally, the Agency will be able to provide consistent guidance and counsel on rulemakings and interpretations related specifically to grant programs.

In FY 2011, FMCSA requests an additional \$57 thousand and .5 FTE to provide additional capability to improve the oversight and reporting of financial performance data. These resources are critical to ensure FMCSA can meet these requirements as well as to allow FMCSA to implement and oversee the appropriate internal controls. These resources will allow the Agency to meet the requirements for the accounting processes and support our ability to meet financial reporting deadlines. Additionally, the Agency will be able to meet internal control requirements and support financial audits.

In FY 2011, FMCSA will continue enhancement of its financial oversight and procurement activities by establishing standard operating procedures for key processes and training and by providing expertise through knowledgeable staffing. The Agency will also continue to conduct financial management training and enhance funds management and financial reporting through training on key processes.

The Agency will also continue activities to ensure travel card delinquency rates are less than one percent. The Agency will continue to utilize and enhance the MCA system, in coordination with Department direction and guidance.

Acquisitions Management

In FY 2011, FMCSA requests an additional \$114 thousand and 1 FTE to provide additional capabilities to meet the increased workload in acquisitions management to procure goods and services. These include pre- and post- award support, contract management and administration, and contract closeout activities for the Agency's increasing contractual requirements. The Agency's acquisitions volume has increased substantially over the past few years; however, the number of FTE has remained the same. The Agency has not been able to dedicate resources to complete contract closeouts, to write policies and procedures, and to conduct internal quality reviews. Additionally, based on preliminary findings from an external program review, deficiencies were identified in key areas such as; proper acquisition planning, acquisitions workforce training (includes contractor representatives (COTRs) and other personnel involved in the acquisitions process), and effective contract monitoring and administration. FMCSA plans to dedicate additional resources to address these findings and to allow for a better distribution of workload among the acquisition staff, increasing customer service and performance efficiency to meet mission-critical deadlines.

In FY 2011, FMCSA intends to continue implementing and enhancing PRISM, developing and implementing standard operating procedures, and making acquisitions related process improvements. The Agency will continue to train and certify the acquisitions career workforce. FMCSA will continue the closeout of contracts, purchase orders and cooperative agreements to reduce the amount of data that will migrate from the previous stand-alone version of PRISM to the ONEDOT PRISM initiative. Additionally, the Agency will continue the review and audit of Agency purchase cards and will update the purchase card and COTR handbooks as appropriate.

Budget Formulation and Execution

In FY 2011, FMCSA requests an additional \$114 thousand and 1 FTE to meet the increased workload in budget formulation and execution.

The Agency must improve its budget formulation through a more robust corporate review model. This will require additional resources to develop and maintain standardized investment review and cost estimation activities that are key to a sound Planning, Programming, Budgeting, and Execution (PPBE) process. These new resources will allow FMCSA to formulate future budgets using a formal PPBE process that will properly identify, validate, and prioritize program requirements. The PPBE process will enable the Agency to better utilize performance information and incorporate information that is already available through research, evaluation, and oversight reports when developing future year plans. FMCSA already considers these sources when making decisions, but does not have a consistent approach in place which achieves maximum efficiency. This process will also provide FMCSA the capability of prioritizing new investments based on their relative impact on mission success in order to achieve a greater reduction in crashes, injuries and fatalities. With these new resources and capabilities, the Agency will be able to better formulate a well defined and sound multi-year plan and budget projection ensuring that resources are given to the most mission critical activities. This will enable the Agency to more competently justify its requirements.

These additional resources will allow FMCSA to properly implement the improved budget execution process and additional internal controls that will allow FMCSA to properly commit, obligate, and expend funds. In addition, the Agency will be able to confidently obligate more than 99 percent of appropriated funds and receive clean end-of-year audits. Additionally, the Agency will be able to accurately reconcile funds execution for every pay period throughout the fiscal year, in order to closely monitor actual payroll expenditures against projections.

Strategic Management and Evaluation

In FY 2011, FMCSA will conduct the annual senior leaders planning meeting to define Agency priorities, identify resource requirements, and determine resource allocation to meet the requirements of the next surface transportation authorization bill and Agency and Departmental goals. FMCSA will ensure that these decisions are incorporated into the FY 2013 Performance Budget. FMCSA will begin the first full year of implementation for its updated strategic plan.

The FMCSA will continue to implement improvements to its Program Management Oversight (PMO) process through increased automation of its tracking, monitoring, and action planning procedures. This effort will improve transparency and managerial awareness of ongoing and

proposed actions designed to enhance the Agency's ability to meet its mission and goals. FMCSA will continue its work to reduce the number of outstanding recommendations from its oversight agencies.

The Agency will use its new outcome-based performance measure central database repository to assist Agency managers to monitor performance. FMCSA will use these outcome-based performance measures to more accurately reflect the Agency's mission of saving lives and reducing injuries by preventing and minimizing the severity of truck and bus crashes. FMCSA's outcome-based measures will better show the effect its activities and policies have on safety-related behavior of its regulated entities.

The FMCSA will continue monitoring and tracking actions taken in response to the recommendations contained in the evaluations completed in FY 2010. In addition, FMCSA will complete evaluations on the handling of personally identifiable information (PII) within Agency data systems and processes. The Agency will also complete the evaluation of the FMCSA Safety and Household Goods Hotline, as well as an evaluation of safety regulations to determine their impact on safety outcomes. FMCSA will initiate two additional program evaluations of areas, which will be determined in FY 2010. Further, the Agency will conduct section 610 reviews of 49 CFR parts 325, 388, 350, and 355.

Central Support Services

In FY 2011, FMCSA requests an additional \$57 thousand and .5 FTE to assess and manage requirements for critical infrastructure needs at border inspection facilities. Given that these facilities are shared with CBP and not designed to accommodate the Agency's inspection needs, FMCSA is in the process of working with the U.S. Customs and Border Protection (CBP) and GSA to identify critical upgrades for the safety of the Agency's inspectors. This FTE will be working with the CBP and GSA on these complex and special border space issues to help improve the safety and working conditions of these facilities. The Office of the Inspector General (OIG) has consistently concluded in annual audits that inspections of motorcoaches from Mexico pose a significant challenge due to insufficient and unsafe space allocation at motorcoach crossings. Specifically, the OIG reports on FMCSA's implementation of the North American Free Trade Agreement's cross-border trucking provisions have found that motorcoach inspection space is crowded and unsafe as inspections frequently occur near moving traffic. Most crossing facilities do not have dedicated space designed for inspections or places to park motorcoaches that are placed out of service.

In FY 2011, FMCSA will continue to pursue outstanding long-term occupancy agreements for border offices based on identified requirements. Working with GSA, the Agency will maintain field office occupancy agreements and continue to make renovations as necessary. The Agency will process FOIA requests in a timely manner, while accomplishing the President's goal of providing more transparency in government through a thorough review of FOIA requests to determine whether more documents are eligible to be included on the Agency's electronic reading room Web site. FMCSA will continue to work with GSA to maintain and operate the government vehicles assigned to the Agency. When replacements are necessary, the Agency will continue to increase the number of AFVs, where possible.

Organizational Development

In FY 2011, FMCSA will examine results of external audits and create plans for implementing recommended changes. Updates to the Human Capital Plan will be considered in light of audit recommendations.

The Human Capital Workgroup will continue to meet regularly and examine continuing employee feedback. The Group will continue to develop strategies for improvement and track the results of strategies implemented to improve aspects of Agency culture and work-life identified through employee feedback. The Group will periodically review the Human Capital Plan's action plan and recommend revisions as appropriate to close out successfully addressed recommendations or to add new recommendations derived from current employee feedback.

In addition, FMCSA will determine whether competency models for additional occupational groups would benefit employee development and retention.

Intra-Agency Communication

In FY 2011, FMCSA will continue exploring opportunities to enhance employee access to information about Agency activities, decisions, and plans through an enterprise information portal on the KnowZone introduced in FY 2010. Use of this capability will support the Agency's efforts to promote transparency in the decision-making process by employing multiple media to increase the availability of information, especially for employees stationed in more remote areas.

The FMCSA will continue the use of a content management system implemented in FY 2010 to ensure that content on the Web is well organized, updated, relevant, and uses Departmental formatting standards. In addition, FMCSA will continue to implement the latest in Web technology, such as Web 2.0, to utilize the latest trends in social networking and media, and to increase the use of multimedia and dynamic content on the KnowZone. Consistent with Administration priorities, the Agency will ensure transparency of key programs and investments to provide accountability across all programs through public disclosure of performance metrics and results.

Electronic Government and IT Support

In FY 2011, FMCSA requests an additional \$57 thousand and .5 FTE to enable the Agency to improve transparency and comply with new Cyber-security initiatives (see the Information Management Program for details)

In FY 2011, FMCSA requests an additional \$57 thousand and .5 FTE to provide additional capabilities to meet the increased workload within Information Technology to address requirements to enhance FMCSA mission-critical safety systems, including new functionality associated with drug and alcohol, new entrant, COMPASS and related initiatives.

Program Support

In FY 2011, FMCSA requests an additional \$114 thousand and 1 FTE for the Office of Communications to further expand "new media" opportunities to effectively disseminate targeted safety information to carriers, drivers, and the general public as part of our CSA 2010

initiative. The Agency anticipates that after the CSA 2010 implementation, which represents a major shift in the Agency's enforcement program, there will be a very high demand for information from the carriers, drivers, special interest groups, the general public, and both state and Federal representatives. The Agency lacks adequate core capabilities in social marketing and event planning to proactively nurture the growth in the safety culture through strategic communication.

The Office of Chief Counsel will continue providing support for activities surrounding the surface transportation reauthorization. The Agency also anticipates a significant increase in workload to ensure compliance with new statutory requirements, including legal interpretations, new rulemaking and enforcement activities, and an increase in general law support for new financial assistance and other programs established by the new authorization.

Detailed Justification for Research and Technology Program

Research and Technology Program	FY 2011 Request: \$8.6 M
Overview: The Research and Technology (R&T) performance element provides for conducting systematic studies, which provide robust scientific discovery, knowledge, and understanding of the factors involved in CMV crashes. FMCSA has a focus on adopting, testing, and deploying innovative driver, carrier, vehicle, and roadside best practices and technologies. The development, testing, and deployment of simple and advanced innovative driver and vehicle technologies and integrated IT solutions support the Agency's priorities by demonstrating new roadside safety technologies and operational concepts. This activity accelerates the deployment of vehicle-based and other safety and security technologies	
FY 2010 Base: \$8.5M The R&T program is focused on significantly improving CMV safety, HAZMAT 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.	
Anticipated FY 2010 Accomplishments: In FY 2010, FMCSA will analyze data collected for the Large Truck Crash Causation Study (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. FMCSA will develop an unobtrusive fatigue monitoring system that can detect and warn drivers who are drowsy or about to fall asleep. FMCSA will continue work on the second phase of a Small Business Innovative Research (SBIR) project to develop a low cost, easily installed device to increase safety belt use. FMCSA will continue research and evaluation of safety and security technologies. FMCSA will continue ongoing research activities such as the Field Operational Test (FOT) of new safety technologies. The FMCSA will continue activities aimed at assuring interoperability of systems supporting safety, security, and productivity and providing technical assistance to states. FMCSA will continue its long term partnership with the National Academies' Transportation Research Board (TRB) to increase TRB's participation and expertise in FMCSA's analysis, research, and technology activities. The FMCSA will evaluate the technical and operational feasibility of wireless roadside inspection systems. Several IT elements to support wireless roadside inspections will be included in this evaluation. These elements include a back office system prototype and roadside CMV identification systems at fixed, mobile, staffed and un-staffed weigh stations.	

FY 2011 Budget Request:

For FY 2011, FMCSA requests \$8.6 million for the Research and Technology Program.

In FY 2011, FMCSA plans to begin a number of new research efforts including a study of the impact of driver compensation on CMV safety; an evaluation of the Ticketing Aggressive Cars and Trucks program; the Phase I Small Business Innovative Research program effort at developing navigation systems particularly for HAZMAT drivers, taking into account approved HAZMAT routes and vital infrastructure; partnering with the Federal Transit Administration (FTA) to conduct a Motorcoach/Bus Naturalistic Driving Study; investigating the viability of a remedial training program for high-risk CMV drivers.

The FMCSA will continue to evaluate, through the Case-Control Commercial Driver Individual Differences Study, the most critical driver risk factors that affect CMV safety, including demographic characteristics, medical conditions, personality traits, attitudes, work environmental conditions, and behavioral history. This study will include a medical examination and battery of psychological and behavioral history measures provided to as many as 21,000 CMV drivers. For the hours of service (HOS) regulations for CMV drivers, FMCSA will continue research to determine the effectiveness of different restart in restoring driver alertness and performance.

The Agency will continue research aimed at accelerating the deployment of vehicle-based and other safety and security technologies to reduce crashes. FMCSA will continue conducting fast-turnaround and independent evaluations of promising safety technologies aimed at commercial vehicle operations. FMCSA will continue the Advanced System Testing utilizing a Data Acquisition System Highway (FAST DASH) program. With FAST DASH, FMCSA partners with technology providers to conduct a fast turn-around and independent evaluation of new safety technologies. These activities will reduce both the time and the resources required to conduct independent evaluations of potentially life-saving new safety technologies. FMCSA will continue to participate in a DOT inter-modal sponsored study that will collect and conduct detailed root cause analyses to determine the cause of bus and motor coach fires.

The Agency will continue research that will support rulemaking activities by gathering and consolidating information for inclusion in the Agency's rulemakings and required analyses. FMCSA will use the Service Corps of Retired Executives (SCORE) to help new entrant motor carriers to establish a culture for making daily operating decisions based on both good business practices and FMCSA regulatory requirements.

The FMCSA will continue activities aimed at assuring interoperability of systems supporting safety, security, and productivity and providing technical assistance to states. The Agency will continue a project to refine software used by state motor vehicle administrators to manage the skills testing portion of the CDL application process. While the original project focus was on third party testers, the project also covers fraud perpetrated by testers who are employees of state motor vehicle administrations. Continuation of this effort will make the software easier to implement across the states. A couple of refinements will make the scheduling process for examiners more user-friendly by creating a simpler, more basic summary schedule report.

The Agency will also continue the Smart Park: Real Time Parking Availability project to demonstrate the feasibility of technology for conveying real-time information on parking availability to truckers on the road and to determine if drivers change their behavior as a result of

the information. In 2011, FMCSA will conduct a field operational test to evaluate the safety benefits of the Smart Park concept.

In FY 2009, the Agency successfully demonstrated the Smart Infra-Red Inspection System's (SIRIS) ability to automatically capture and analyze thermal images of a moving CMV's wheels, tires, and engine compartment in order to determine the functionality of the brakes, look for defective wheel bearings and under-inflated tires, and identify irregular hot spots in the engine compartment. The SIRIS then provides exception-based alerts to safety inspectors if a problem is automatically detected. In 2011, the Agency will conduct further testing to develop a set of performance-based specifications that states can use to procure SIRIS devices that meet FMCSA's requirements for quality and effectiveness.

The Agency will exercise the long-standing partnership with the National Academies of Science's TRB, which will be broadened to increase TRB's participation and expertise in FMCSA's analysis, research, and technology programs. Specific joint activities include publishing truck and bus synthesis reports and special reports, conducting conferences, and publishing reports from the Innovations Deserving Exploratory Analysis (IDEA) program.

The FMCSA will complete the evaluation of the technical and operational feasibility of wireless roadside inspection systems and document the feasibility of these systems and their impact on relieving congestion and safety in a final report. If feasible, a field operational test (FOT) involving several states and CMVs will begin in 2012.

Detailed Justification for Information Management Program

Information Management	FY 2011 Request: \$41.9M
Overview: The FMCSA is a data-driven, citizen focused organization. Information Management (IM) is the backbone of FMCSA program development, execution, and evaluation. The IM program ensures that FMCSA maintains the 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. This program addresses the efficient and effective collection, compilation, analysis, and dissemination of crucial safety data so that FMCSA and its safety partners can develop the most effective countermeasures, including regulations, programs, and policies; conduct operations; and allocate scarce resources to positively impact truck and bus safety. Without the best and most reliable data or adequate IT tools, FMCSA and its safety partners will not be able to accurately focus on the highest risk motor carriers, drivers, and vehicles, nor will FMCSA be able to measure the effectiveness of its programs. IM is essential for all major FMCSA activities that lead to reducing fatalities and injuries resulting from truck and bus crashes IT provides a vital and integral part of the Agency's service delivery model by providing unique application and infrastructure support. FMCSA continues to undergo its major business and IT transformation and modernization effort, called COMPASS, which is necessary to replace the current system architecture that consists of multiple stand-alone databases and requires numerous user identifications (IDs) and passwords. COMPASS is a top priority for the Agency and its completion will ensure more effective and efficient identification and enforcement of unsafe motor carriers and drivers. Through COMPASS, FMCSA is working towards retiring numerous legacy and outdated architecture and systems, and transitioning the organization to a fully Web-based environment built on an integrated suite of commercially available IT solutions. FMCSA is implementing additional functionality of the existing enterprise Web portal, expanding E-Authentication, and improving data warehousing capabilities. These efforts support the CSA2010 initiative by delivering the necessary functionality for all phases of its implementation. The FMCSA continues to improve the quality of motor carrier inspection and crash data collected and uploaded to FMCSA by states. The Agency will continue to analyze the economic and environmental impacts of FMCSA regulations and evaluate the effectiveness of FMCSA enforcement policies and activities using quantitative methods. FMCSA provides data, analyses, and online tools to Federal, state, and industry participants. 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, OIG, and the National Transportation Safety Board (NTSB) recommendations. FMCSA and CBP are partnering to improve truck safety at the Nation's land borders, utilizing the Automated Commercial Environment/International Trade Data System (ACE/ITDS). ACE/ITDS incorporates an Automated Truck Manifest feature that improves the efficiency of inspections at the Canadian and Mexican borders. Carriers transmit their planned border crossing itineraries, driver information and manifest through ACE/ITDS	

before reaching the borders. This information is linked to FMCSA's Motor Carrier Management Information System (MCMIS). This enables FMCSA and state safety inspectors and CBP border officers to know, before a truck reaches a port of entry, whether the vehicle or driver are free to enter U.S. roadways or they need to be inspected more closely for safety compliance. Therefore, FMCSA and CBP border officers have the capability to identify and contain high risk CMVs and drivers before they reach the national highways, based on safety information maintained by the Agency.

FY 2010 Base: \$34.6M

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 2010 Accomplishments:

In FY 2010, FMCSA will continue to improve its IT services by providing additional features and interfaces and allowing for more intense monitoring of motor carriers in support of CSA 2010 implementation. The Agency will provide a greater array of system tools for FMCSA field and state personnel engaged in conducting inspections, investigations, and reviews. As functionality is implemented in COMPASS, those same functions will be retired from the legacy systems. Operations and maintenance, technical support, hardware, software, and training will continue to be provided to the Federal and state enforcement users.

In FY 2010, FMCSA plans to get more states to achieve green status for timeliness, accuracy, and completeness of data. FMCSA plans to complete additional off-site state data quality assessments and on-site data quality reviews. The Agency will continue to produce motor carrier safety statistics based on crash and roadside inspection data and will provide motor carriers safety information online to the general public through its Analysis and Information Web site.

FMCSA will continue working with other Federal partners on the deployment of ACE/ITDS at commercial cargo border crossings. FMCSA will continue to conduct targeted commercial motor carrier, vehicle, and driver inspections (including operating authority and financial responsibility checks) based on ACE/ITDS screening procedures, and safety enforcement interventions based in part on ACE/ITDS screening data.

FY 2011 Budget Request:

For FY 2011, FMCSA requests \$41.9 million for the IM program, \$7 million above base. These resources will provide additional capabilities to meet the increased workload within IT and to address requirements to enhance FMCSA mission-critical safety systems, including new functionality associated with drug and alcohol, new entrant, e-Gov, COMPASS and related initiatives.

While funding is requested separately for the individual initiatives supported by information systems, funding for COMPASS provides the means for linking the separate systems together in a common suite of applications so that Federal and state enforcement personnel can move seamlessly from one application to another; and critical information can flow from one application to another. COMPASS will include appropriate access limitations to ensure that users are only allowed to view information for which they have a legal right and cannot access personally identifiable information or proprietary information.

This investment will also ensure that FMCSA provides adequate IT support of new Agency safety initiatives, such as the High-Risk Carrier Identification and Intervention System (the data backbone for the CSA 2010 initiative), the enhanced New Entrant Safety Assurance Process (a necessary tool for the implementation of the new entrant rule), the National Registry of Certified Medical Examiners (a required system for compliance with multiple items on the NTSB Most Wanted List), and a national database of controlled substances and alcohol testing results. As the current legacy systems operations and maintenance costs continue to increase each year, it is critical for the Agency to direct resources towards development of the new systems, in order to retire the legacy systems. These additional resources will allow FMCSA to implement planned enhancements and achieve efficiency by reducing operating costs associated with maintaining the legacy systems.

Accelerating COMPASS will allow FMCSA to meet current needs, retire the functionality associated with several legacy systems and prepare for cost-effective implementation of new business requirements. With this funding, the major systems development work associated with enforcement and inspection will be addressed in FY 2011. This will allow for the retirement of functionality associated with select current systems, including the Enforcement Management Information System (EMIS), Inspection Selection System (ISS), ASPEN, Past Inspection Query (PIQ), Query Central, and CDLIS Access, and inspection functionality within the Motor Carrier Management Information System (MCMIS) and SAFETYNET. In addition, the work associated with crash functionality would be addressed in later FY 2011 and completed in FY 2012. Once that work is completed, both existing MCMIS and SAFETYNET functionality will be retired.

Without this additional funding, FMCSA will be challenged to meet the growing FMCSA Field operations requirements associated with enforcement, driver and vehicle inspection results and crash reporting. With finite resources, there will be increasing challenges to meet growing workloads in the Agency's field offices. The operations and maintenance costs associated with the current systems will continue to escalate. The outcome of additional funding will include improved systems functionality for mission-critical Field

operations and related activity, improving productivity, and ensuring FMCSA stakeholders have the necessary tools to do their job.

The Agency will complete the enterprise database, which will provide a data warehouse of all registration and safety information, making critical information more accessible to enforcement personnel in the field and at the roadside. Additionally, the enterprise database will use the latest technologies to improve data quality. FMCSA will also reduce redundancy and maintenance costs of legacy databases. The Agency will further enhance the mobile client application, started in FY 2010, to improve capabilities over the current legacy field systems, while retiring most of these legacy systems.

FMCSA will continue efforts to get more states to achieve green status for timeliness, accuracy, and completeness of data. Additional offsite state data quality assessments will be completed, as well as more onsite data quality reviews. The Agency will continue to produce motor carrier safety statistics based on crash and roadside inspection data and will continue to provide motor carrier safety information online to the general public through its Analysis and Information Web site. FMCSA will continue to produce timely and high quality economic and environmental analysis for all of the Agency's significant rulemakings.

The Agency plans to continue working with Federal partners for deployment of ACE/ITDS at commercial cargo border crossings. FMCSA will continue to conduct targeted commercial motor carrier, vehicle, and driver inspections (including operating authority and financial responsibility checks) based on ACE/ITDS screening procedures; and CRs based in part on ACE/ITDS screening data.

In FY 2011, FMCSA requests one additional FTE resource for Electronic Government identified in the Operating Expenses section to enable the Agency to improve transparency and comply with new Cyber-security initiatives. These resources will also deliver effective IT system training and testing and ensure that all Federal, state and contract personnel using FMCSA IT systems comply fully with security and privacy policies in accordance with the new Cyber-security initiatives. The Agency is committed to maintaining secure IT systems. The additional resources will also enable the Agency to continue to evolve its enterprise architecture, conduct privacy activities and security assessments, prepare Privacy Impact Assessments, and conduct other security activities required to maintain the integrity of FMCSA-maintained data and the security of the Agency's IT systems. The FMCSA personnel responsible for system applications will continue to comply with section 508 to improve the accessibility and usefulness of FMCSA Web sites to ensure greater transparency for the general public and for those stakeholders who conduct business with the Agency.

The Agency will develop industry standard enterprise information security architecture, monitor security vulnerabilities and continue to integrate security into IT development methodology. FMCSA will address findings and recommendations that pertain to security vulnerabilities identified in OIG audits, OMB/OST guidance, and internal evaluations. The Agency has developed a multi-year action plan to address these issues in a systematic and meaningful approach. Another area of primary focus is that of safeguarding all personally-identifiable information (PII).

In FY 2011, IT security will continue to implement all security and privacy policies in

accordance with the Government's Cyber-security initiatives to ensure FMCSA systems are secure. The Agency will continue to evolve its enterprise architecture, security and privacy activities, conduct security assessments, provide annual IT security training, and conduct other security activities required to ensure the safe operation of Agency IT systems.

The Agency will develop industry standard enterprise information security architecture, monitor security vulnerabilities and continue to integrate security into IT development methodology. FMCSA will address findings and recommendations that pertain to security vulnerabilities identified in OIG audits, OMB and OST guidance, and internal evaluations. The Agency has developed a multi-year action plan to address these issues in a systematic and meaningful approach. Additionally, the Agency will focus efforts on safeguarding all personally-identifiable information (PII).

Detailed Justification for the Regulatory and Standards Development Program

Regulatory and Standards Development and Oversight	FY 2011 Request: \$9.8M
Overview: 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. Through regulations, FMCSA promotes improved safety and strengthens operating requirements. The Agency will provide a clear path for compliance and enforcement efforts, and establish the keystone of enhanced safety performance and outreach efforts. Standards and regulations are the basis for FMCSA safety and commercial enforcement activities. FMCSA implements non-regulatory policy approaches such as interpretations, exemptions, pilots, and educational materials to address unique CMV challenges. FMCSA develops outreach materials and information and provides responses to industry and stakeholder inquiries to improve understanding of new and existing regulations and standards. The Agency 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 these activities is to establish well-written, concise, and effective standards, guidance, and regulations for the motor carrier industry. The Agency supports this performance element with policy, economic, and legal analyses to ensure that regulations are focused on the most effective solution to identified safety challenges and rulemaking documents are legally sufficient.	
FY 2010 Base: \$9.8M 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.	
Anticipated FY 2010 Accomplishments: In FY 2010, FMCSA plans to complete a significant rulemaking regarding entry-level driver training, initiate a wide-ranging review and revision of regulatory guidance associated with CMV regulations, and review the standards as they apply to fatigue-management, driver distraction, and other driver performance factors as they relate to CMV drivers. The Agency will continue ongoing regulatory and policy development, as well as subject-matter guidance and outreach to stakeholders and partners.	

FY 2011 Budget Request:

For FY 2011, FMCSA requests \$9.8 million for Regulatory Standards Development and Oversight.

FMCSA is harshly criticized for the slow pace of regulatory development. These regulatory resources aim to improve the pace of regulatory development and provide greater institutional capacity

The six additional FTE requested under operating expenses will support the Agency's efforts to complete several statutorily mandated rulemakings, including certain rulemakings required by SAFETEA-LU. The resources will also enable the Agency to accelerate the pace at which significant safety rules are promulgated, resulting in an increase in the number of performance-based safety requirements imposed on the truck and bus industries and a reduction in the number of CMV-related crashes, injuries and fatalities. Furthermore, the resources will support the completion of rulemakings initiated in response to recommendations from FMCSA's Medical Review Board and Motor Carrier Safety Advisory Committee, two Federal advisory committees authorized by SAFETEA-LU. Finally, the resources would enable the Agency to respond quickly to any new statutory requirements for rulemaking that may be included in the next surface transportation reauthorization legislation.

The Agency will focus on statutorily mandated rulemakings in FY 2011, including several that are more than five years old. This includes issuing final rules concerning the Unified Registration System, originally mandated by the ICC Termination Act of 1995, with certain provisions required by SAFETEA-LU. FMCSA will also address railroad grade crossing safety, to prohibit truck and bus drivers from entering a railroad crossing unless there is sufficient room to clear the tracks completely. The Agency will perform rulemaking activities related to hours of service (HOS) supporting documents, to prescribe the type and number of documents motor carriers must maintain and use to verify the accuracy of the handwritten records of duty status.

FMCSA will also perform regulatory work related to electronic on-board recorders, to mandate the use of the devices by a significant percentage of the motor carrier industry; thereby extending the requirements to more carriers. This action will extend coverage to more than the Agency anticipates being covered by the 2009 final rule, which focuses on truck and bus companies with high HOS violation rates. The Agency will also focus on completing a rulemaking concerning a national database of positive controlled substances and alcohol test results to ensure that all truck and bus drivers who test positive for controlled substances see a substance abuse professional (SAP) and undergo return-to-duty and follow-up tests prior to being allowed to resume safety-sensitive functions.

Further, the Agency will develop medical standards rulemakings based on recommendations from the Agency's Medical Review Board (at least five rulemakings anticipated in FY 2011). FMCSA will develop regulations in response to pending rulemaking petitions on subjects such as cargo securement and the use of electronic signatures on documents the Agency requires motor carriers to maintain. FMCSA will continue its review of Agency guidance and interpretive rules to identify actions requiring a Federal Register notice to formally announce the policy or posting at the Agency's Web site, and to eliminate out-dated or inconsistent regulatory guidance

In FY 2011, FMCSA will also complete a review and revision of Regulatory Guidance associated with CMV regulations, and will continue to review all aspects of fatigue-management, driver distraction, and other driver performance factors as they relate to CMV drivers. The Agency will continue extensive ongoing regulatory and policy development as well as subject-matter guidance and outreach to stakeholders and partners.

Outreach and Education	FY 2011 Request: \$2.9 M
Overview: The FMCSA conducts outreach and education activities as an effective countermeasure strategy to reduce fatalities, injuries, and crashes involving CMVs. The Agency partners with FHWA, NHTSA, states, safety advocates, enforcement and industry stakeholders to inform and heighten public awareness and appreciation of the safe operation and best driver safety practices for both CMVs and passenger vehicles to prevent crashes. 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. The Agency also provides consumer awareness materials to the general public to equip them with the information necessary to protect themselves against moving fraud by dishonest movers.	
FY 2010 Base: \$2.9M 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 NHTSA and State highway agencies and provides consumer information related to HHG movers to prevent moving fraud.	
Anticipated FY 2010 Accomplishments: In FY 2010, FMCSA will implement the new CMV Driver Outreach Initiative and promote the Ticketing Aggressive Cars and Trucks (TACT) activity in selected states with the highest fatality and crash rates to demonstrate the effectiveness of combining high-visibility enforcement with education, communications, and evaluation. FMCSA will complete an ongoing evaluation of TACT and establish best practice strategies for future improvements. The Agency will conduct a National Occupant Protection Use Survey (NOPUS) of safety belt use among CMV drivers in order to measure the effectiveness of the CMV Safety Belt outreach initiative. As a result of outreach and education activities, safety belt use among CMV drivers will continue to improve. The Agency will highlight CMV safety belt outreach and enforcement activities during Roadcheck 2010. Roadcheck is the largest targeted enforcement activity on commercial vehicles in North America, with approximately 14 trucks or buses being inspected, on average, every minute from Canada to Mexico during a 72-hour period in early June. Approximately 8,522 Commercial Vehicle Safety Alliance (CVSA)-certified inspectors at 1,850 locations across North America perform the truck and bus inspections. 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 translate designated outreach materials into Spanish and French. FMCSA will research, design, and develop education and training materials concerning passenger safety for bus companies and their drivers, with additional outreach to faith-based organizations. The Agency will also develop and implement educational materials in support of FMCSA's Medical Examiner's and CSA 2010 activities. Additionally, FMCSA will promote awareness and protect the American public from the illegal activities of dishonest moving companies and brokers.	

The FMCSA will continue its successful outreach initiative with the publishers of Yellow Book and engage Yellow Pages and One Book to feature the Protect Your Move Web site information. The Agency will continue to distribute outreach and education materials on HHG topics and will continue partnerships with the U.S. Postal Service and other partners to increase public awareness. Finally, FMCSA will increase the public awareness of the Protect Your Move Web site while achieving an improved positive satisfaction score on the American Customer Satisfaction Index survey.

The FMCSA will develop a toolkit for commercial enforcement of HHG regulations for state partners. The toolkit will consist of enforcement contacts from both the Federal and state agencies. The Agency anticipates sharing HHG data with the states to help facilitate compliance and enforcement on known problem carriers and will coordinate with the OIG on hostage goods enforcement.

FY 2011 Budget Request:

For FY 2011, FMCSA requests \$2.9 million for the Outreach and Education program.

In FY 2011, FMCSA will focus a great deal of outreach and education efforts on the implementation of CSA 2010 and the new enforcement and business processes it employs. FMCSA will enhance and expand the Driver Outreach Initiative to more effectively communicate information specifically geared towards drivers. The Driver Outreach Initiative's primary goal is to ensure drivers are as safe as possible in their work environments. By promoting safety, health and wellness among drivers, the initiative will decrease the incidence of crashes involving trucks and motorcoaches on our roadways, thereby reducing injuries and fatalities. The Agency will continue to promote the TACT activity in selected states with the highest fatality and crash rates, combining high-visibility enforcement with education, communications, and evaluation. FMCSA will use the TACT evaluation completed in FY 2010 to establish best practice strategies for future improvements. The Agency will use the NOPUS survey of safety belt use among CMV drivers, conducted in FY 2010, to measure the effectiveness of the CMV Safety Belt outreach initiatives. As a result of outreach and education activities, safety belt use among CMV drivers will continue to improve.

FMCSA will continue highlighting CMV safety belt outreach and enforcement activities during Roadcheck 2011. The Agency will also 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 translating designated outreach materials into Spanish and French.

FMCSA will continue efforts in the research, design, and development of educational and training materials concerning passenger safety for bus companies, drivers, Medical Examiners and other high priority groups.

Further, FMCSA will continue to promote awareness and protect the American public from the illegal activities of dishonest moving companies and brokers. This activity will focus on increasing consumer awareness of moving fraud perpetrated via the Internet. FMCSA will continue to enhance coordination and cooperation among partner organizations (including

the industry and Federal, state, and local governments) related to HHG consumer outreach and education.

The FMCSA will continue its successful outreach initiative with the publishers of Yellow Book and engage Yellow Pages and One Book to feature Protect Your Move Web site information. FMCSA will continue activities to increase the public awareness of the Protect Your Move Web site while achieving an improved positive satisfaction score on the American Customer Satisfaction Index survey. The FMCSA will distribute the HHG toolkit to state partners as a regular component of enforcement activities.

Detailed Justification for CMV Operator's Grants Program

CMV Operator's Grants	FY 2011 Request: \$1 M
Overview: FMCSA was directed by SAFETEA-LU to establish the CMV Operators grant to support quality training for CMV operators. These funds are intended for community colleges and truck driver training schools. Because driver behavior was identified as the most prominent cause of truck crashes, these funds will help the Agency achieve its goal of reducing large truck and bus related fatalities. Since enacting SAFETEA-LU in August 2005, thirty-eight (38) grants have been awarded and more than 2,000 drivers trained with approximately 35% receiving enhanced training (e.g., hazardous materials). On average 60 applications are received each year with funding requests approaching \$8 million.	
FY 2010 Base: \$1M This is a relatively new program that was established through SAFETEA-LU. The initial budget in FY 2006 was \$1 million.	
Anticipated FY 2010 Accomplishments: For FY 2010, FMCSA anticipates awarding between 8 to 12 grants to truck driving schools and accredited community colleges, offering CMV training in support of increasing the number of Commercial Drivers License holders with enhanced operator safety training (to reduce the severity and number of crashes on U.S. roads involving CMVs), as well as, to assist economically distressed regions of the U.S. by providing workforce training opportunities for qualified individuals to become CMV operators.	
FY 2011 Budget Request: For FY 2011, FMCSA requests \$1 million for the CMV Operator's Grants. In FY 2011, FMCSA will continue providing grants to train operators and future operators in the safe use of CMVs. Additionally, FMCSA will award grants to qualified applicants in accordance with criteria established by the Agency to address FMCSA's priority areas for increasing driver emphasis and training to meet the Agency's long term safety goal.	

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**Explanation of Funding Changes (from FY 2010 PB) for
Motor Carrier Safety Operations and Programs**
[Includes both non discretionary changes and new or expanded programs as identified in
Summary Exhibit IV]

Motor Carrier Safety Operations and Programs	\$20M
Overview:	
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.	
Operating Expenses	\$12.6M
The requested increase for Operating Expenses includes current services (inflation) changes of \$9.4 million for statutory pay raises and 59 additional FTE and operating expenses, plus \$3.2 million above the base in program increases for mission critical programs and activities.	
Information Management	\$7.3M
The requested increase for Information Management includes a current service adjustment of \$173 thousand and \$7.2 million for enhanced capabilities to ensure compliance with FMCSRs.	
Other Programs	\$0.1M
The requested increase for other programs includes current services adjustments for Research & Technology of \$43 thousand; Regulatory Development of \$49 thousand; and \$14 thousand for Outreach & Education programs.	

FY 2011

FMCSA

Performance Budget Estimates

SECTION 3B

Motor Carrier
Safety Grants

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**FISCAL YEAR 2011 PERFORMANCE BUDGET
SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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APPROPRIATION LANGUAGE
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, 31313 of title 49, United States Code, and section 4126 and 4128 of Public Law 109-59, \$310,070,000, 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 \$310,070,000, for "Motor Carrier Safety Grants." of which \$215,070,000 shall be available for the Motor Carrier Safety Assistance Program to carry out section 31102 and 31104(a) of title 49, United States Code; \$30,000,000 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: Provided further, That of the funds made available for the motor carrier safety assistance program, \$35,000,000 shall be available for audits of new entrant motor carriers.

EXHIBIT III-1B
MOTOR CARRIER SAFETY GRANTS
Appropriation Summary by Program Activity
(\$000)

PROGRAM ACTIVITY (GRANT)	FY 2009 ACTUAL	2010 ENACTED	2011 PRES BUDGET	CHANGE FY 2010- 2011
Motor Carrier Safety Assistance Programs (MCSAP)	\$209,000	\$212,070	\$215,070	\$3,000
Commercial Driver's License (CDL) Program Improvements	\$25,000	\$25,000	\$30,000	\$5,000
Border Enforcement Grants	\$32,000	\$32,000	\$32,000	\$0
Performance and Registration Information System Management (PRISM)	\$5,000	\$5,000	\$5,000	\$0
Commercial Vehicle Information Systems and Networks (CVISN) Deployment	\$25,000	\$25,000	\$25,000	\$0
Safety Data Improvement Grants	\$3,000	\$3,000	\$3,000	\$0
CDL Information System (CDLIS) Modernization	\$8,000	\$8,000	\$0,000	(\$8,000)
Total	\$307,000	\$310,070	\$310,070	\$0

FTE's

DIRECT FUNDED	0	0	0	0
REIMBURSABLE	0	0	0	0
TOTAL	0	0	0	0

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 (\$30 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;
- 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.

Exhibit III-2B MOTOR CARRIER SAFETY GRANTS Summary Analysis of Changes from FY 2010 to FY 2011 (\$000)		
	Changes from FY 2010 to FY 2011	Pres Budget TOTAL
FY 2010 Enacted Base		\$310,070
Motor Carrier Grant Programs Adjustment to Base MCSAP \$1,060 CDL Improvement \$125 Border Enforcement \$160 PRISM \$25 CVISN \$125 Safety Data Improvement Grants \$15 CDLIS \$40 Subtotal Adjustment to Base		 \$1,550
New or Expanded Programs MCSAP \$1,940 CDL Improvement \$4,875 Border Enforcement (\$160) PRISM (\$25) CVISN (\$125) Safety Data Improvement Grants (\$15) CDLIS (\$8,040) Subtotal New or Expanded Programs		 (\$1,550)
TOTAL CHANGE FROM 2010		\$0
FY 2011 Pres Budget		\$310,070

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Detailed Justification for the MCSAP Grants Program

MCSAP Grants	FY 2011 Request: \$215M
Overview: The FMCSA's Motor Carrier Safety Assistance Program (MCSAP) supplements state resources to reduce the incidence and severity of commercial motor vehicle (CMV) crashes. They accomplish this by supporting and enhancing state CMV safety enforcement, technology deployment, and safety information capabilities. Basic Motor Carrier Safety Assistance grants funds and safety performance incentive funds support state conducted roadside inspections, compliance reviews (CRs), traffic enforcement, public outreach, training, and data collection. 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 safety audits.	
FY 2010 Base: \$212M 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 CRs, 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.	
Anticipated FY 2010 Accomplishments: In FY 2010, FMCSA will continue to work with states to identify CMV high-crash corridors, propose specific actions for reducing crashes in these corridors, and emphasize traffic enforcement efforts on rural roads and in highway work zones. FMCSA will increase emphasis and focus on drivers by ensuring that Level III inspections are a large part of state-conducted roadside inspections. Level III inspections are roadside interventions that focus specifically on drivers. All states will continue to include a bus inspection component in their CVSPs. FMCSA will encourage all states to conduct new entrant safety audits, with the number of state-conducted new entrant audits continuing to increase. FMCSA will work with state partners to incorporate appropriate changes to CVSPs and grant deliverables in support of the CSA 2010 enforcement and business model. The Agency will also develop outreach and training materials to educate grantees on new performance measures that will gauge the effectiveness of the CSA 2010 interventions and other enforcement activities.	

FY 2011 Budget Request:

For FY 2011, FMCSA requests \$215 million for MCSAP Grants, \$3 million realignment from CDLIS Grants for New Entrant Grants. The additional funding will be used to provide the necessary resources available for grants to states to address the increased demand for new entrant safety audits as the CDLIS Modernization effort is near completion so no additional funding is requested in FY 2011.

In FY 2011, FMCSA will continue its efforts in requiring states to identify CMV high-crash corridors and propose specific actions for reducing the frequency and severity of crashes in these corridors. The Agency will increase the focus on traffic enforcement efforts on rural roads and in highway work zones. FMCSA will continue to focus on drivers by ensuring that states include Level III inspections as part of state-conducted roadside inspections. As part of the increased attention paid to motorcoaches, FMCSA will require states to continue to include a bus inspection component in their CVSPs. 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.

FMCSA will work with state partners to ensure that they incorporate the CSA 2010 enforcement and business model changes in their CVSPs and grant deliverables. The Agency will also implement outreach and training to educate grantees on new performance measures driven by the new CSA 2010 interventions and other enforcement activities.

Detailed Justification for CDL Improvement Grants Program

CDL Improvement Grants	FY 2011 Request: \$30M
Overview:	
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. Since the implementation of the CDL program, there have been numerous regulatory changes implemented by the states. FMCSA and others have discovered instances of fraud in CDL activity that present safety and security concerns. To address this concern, Congress created the CDL Improvement grant to provide funding to states to assist them in implementing programmatic changes and combating fraud. In response to public and Congressional concerns, the <i>Commercial Motor Vehicle Safety Act</i> 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 HAZMAT 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, DOT, in partnership with the American Association of Motor Vehicle Administrators (AAMVA), created the national CDLIS pointer system that would enable the states to communicate and exchange driver's license information.	
FY 2010 Base: \$25M	
Funding for the CDL Improvement grants program pays for improvements to the accuracy and completeness of driver conviction and disqualification data so that only qualified drivers receive initial or renewed CDLs. CDL Improvement 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.	
Anticipated FY 2010 Accomplishments:	
In FY 2010, FMCSA will emphasize and monitor the use of CDL Improvement Grant funds by the states for critical eligible activities. This will include emphasizing the state use of grant funds to implement merging the medical certification requirements into the CDL record and continue to combat fraud.	

FY 2011 Budget Request:
For FY 2011, FMCSA requests \$30 million for CDL Improvement Grants, \$5 million realignment from CDLIS grants to CDL Improvement Grants. The additional funding will be used to provide the necessary resources to the states due to increased costs for critical eligible activities. In FY 2011, FMCSA will continue to emphasize and monitor the use of CDL Improvement Grant funds by the states for critical eligible activities. This will include emphasizing the use of CDL grant funds by the states to implement the new CDL testing and commercial learner's permit standards, merge the medical certification requirements into the CDL record, and continue to combat fraud.

Detailed Justification for Border Enforcement Grants Program

Border Enforcement Grants		FY 2011 Request: \$32M
Overview:		
In 2007, trucks crossed the U.S. borders with Canada and Mexico nearly 11.9 million times. An estimated seven to ten percent of these trucks transported HAZMAT. Foreign carriers, drivers, and vehicles must comply with the same Federal safety regulations as their U.S. counterparts when operating in this country. Freight and CMV traffic crossing the international borders with Mexico and Canada continues to increase nearly every year. Close cooperation among Federal and state agencies is necessary to ensure that only safe and secure cargo, vehicles, drivers, and authorized carriers cross at international borders, and that the manner of crossing is efficient. Border grant funding supports state efforts to enforce the Federal motor carrier safety, operating authority, and financial responsibility requirements on foreign carriers. This activity promotes the necessary telecommunications and information technology (IT) systems that connect the states, Federal border inspection agencies, and the governments of Canada and Mexico. FMCSA will assist in identifying and locating foreign carriers and drivers that have violated Federal safety and security laws and regulations. The Southern Border enforcement grants funds are 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. Northern Border enforcement grants are 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 activities unique to their situations, including hiring additional staff to address cross border traffic.		
FY 2010 Base: \$32M		
Border Enforcement grants support state enforcement activities related to Federal motor carrier safety and hazardous materials (HAZMAT) safety and security, as well as the operating authority and financial responsibility requirements for foreign carriers. The program also develops the necessary telecommunications and IT systems to connect states, Federal border inspection agencies, and the governments of Canada and Mexico.		
Anticipated FY 2010 Accomplishments:		
In FY 2010, the Southern and Northern Border states will promote compliance by carrying out an optimal number of inspections of foreign-domiciled carriers and drivers operating at or near the U.S. borders. Inspections include checks to verify drivers possess a valid CDL or equivalent foreign license and ensure proof of required financial responsibility and active authority to operate in the United States. Federal and state personnel will ensure that priority is given to inspections of foreign domiciled motor coaches and CMVs transporting HAZMAT.		

FY 2011 Budget Request:

For FY 2011, FMCSA requests \$32 million for Border Enforcement Grants.

In FY 2011, FMCSA will continue working with Southern and Northern Border states to ensure compliance with Federal Motor Carrier Safety Regulations (FMCSRs) and Federal Hazardous Materials Regulations (FHMRS) by maintaining an optimal number of inspections of foreign-domiciled carriers and drivers operating at or near the U.S. borders. Inspections will include checks to verify drivers possess a valid CDL and ensure proof of required financial responsibility and active authority to operate in the United States. Federal and state personnel will ensure priority is given to inspections of foreign domiciled motor coaches and CMVs transporting HAZMAT.

Detailed Justification for PRISM Grant Program

PRISM Grants	FY 2011 Request: \$5M
Overview:	
The Performance and Registration Information Systems Management (PRISM) grant program is an essential component of the Agency's enforcement program, providing critical information to Federal and state personnel on the size and operating characteristics of carriers. PRISM provides a direct safety enforcement link by tying carrier safety performance to vehicle identification numbers (VINs). PRISM states require motor carriers to identify and link the USDOT number to each registered vehicle in their fleet. The link to individual VINs helps identify motor carriers that change company names in an attempt to evade FMCSA sanctions. PRISM grant funding to states is used primarily to establish information system connectivity among roadside enforcement personnel, state vehicle registration agencies and FMCSA. This provides 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 PRISM is that state vehicle registration agencies suspend a motor carrier's IRP license plates in conjunction with an FMCSA order to cease interstate operation. States also deny renewal of IRP license plates to any motor carrier that is prohibited from operating in interstate commerce by FMCSA. During FY 2008, FMCSA ordered nearly 972 motor carriers to cease interstate operations. These numbers are expected to continue to increase in both fiscal years 2010 and 2011.	
FY 2010 Base: \$5M	
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 deny renewal of IRP license plates to any motor carrier that is prohibited from operating in interstate commerce by FMCSA.	
Anticipated FY 2010 Accomplishments:	
In FY 2010, FMCSA will oversee PRISM grants to participating states. The Agency will increase connectivity at the roadside for law enforcement and will improve the near real-time carrier and vehicle safety status information for law enforcement officers to identify out-of-service carriers. FMCSA will increase the emphasis on upgrading IRP offices for PRISM connectivity. The FMCSA will conduct briefings with state motor carrier associations and other stakeholders to educate them on model PRISM-enabling state legislation. FMCSA will provide PRISM support to the states for technical IT assistance, identification of high-risk carriers, maintenance of the PRISM central site database, and coordination with state license plate registration system contractors.	

FY 2011 Budget Request:

For FY 2011, FMCSA requests \$5 million for PRISM Grants.

In FY 2011, FMCSA will continue to oversee PRISM grants in participating states, and increase connectivity at the roadside and improve the availability of near real-time carrier/vehicle safety status information for law enforcement officers to identify out-of-service carriers. FMCSA will continue increased emphasis to upgrade IRP offices for PRISM connectivity.

The FMCSA will continue to conduct briefings with state motor carrier associations and other stakeholders to educate them on model PRISM-enabling state legislation. FMCSA will continue providing PRISM support to the states for 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 continue efforts to increase the number of states receiving automated notification of FMCSA out-of-service orders and invoking license plate sanctions, FMCSA will increase the number of states enforcing census update requirements as a condition of license plate renewal. Additionally, FMCSA will continue working with state partners to increase the number of states that suspend, revoke, or deny license plates based on FMCSA's determination that the carrier must cease interstate operations.

Detailed Justification for Commercial Vehicle Information Systems and Networks (CVISN) Grants Program

CVISN Grants	FY 2011 Request: \$25 M
Overview: CVISN deployment integrates state, Federal, and carrier systems to improve safety and productivity. This activity 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 states and motor carriers, and improve the efficiency of commercial vehicle operations. CVISN deployment is an unprecedented cooperative effort, comprised of a variety of stakeholders, including FMCSA, DOT and other Federal agencies, the states, motor carrier and industry associations, and the private sector. Limited states' resources represent the most significant constraint to achieving the safety goals supported by the CVISN Deployment Program. This constraint is regularly addressed by working on increasing partnerships and creating opportunities to leverage each other's work. The FMCSA will implement expanded CVISN capabilities to enhance the safety, security, and productivity of commercial vehicle operations. FMCSA, in cooperation with the CVISN stakeholder community, defined and prioritized 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 and screening functions. Additional capabilities include developing business cases and interoperability tests and sharing lessons learned and best practices. The deployment of CVISN systems yields safety and operational benefits, including improved highway safety and security, and highway operations, increased operational efficiency for motor carriers using CVISN systems, enhanced customer service via Web-based credentialing systems, and improved data accuracy.	
FY 2010 Base: \$25M The FMCSA will implement expanded CVISN capabilities to enhance the safety, security, and productivity of commercial vehicle operations. FMCSA, in cooperation with the CVISN stakeholder community, defined and prioritized 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 and screening functions. Additional capabilities include developing business cases and interoperability tests, and sharing lessons learned and best practices.	

Anticipated FY 2010 Accomplishments:

In FY 2010, FMCSA will provide states with critical funding to deploy both core and expanded CVISN capabilities. FMCSA will provide technical assistance and support to all states on their core and expanded CVISN deployment efforts. FMCSA will provide CVISN deployment grants to additional states to implement core CVISN capabilities. FMCSA will also integrate and align CVISN with the Agency's CSA 2010 business process.

FY 2011 Budget Request:

For FY 2011, FMCSA requests \$25 million for CVISN Grants.

In FY 2011, FMCSA will continue to provide states with critical funding for deployment of both core and expanded CVISN capabilities. FMCSA will also provide technical assistance and support to all States for their core and expanded CVISN deployment efforts. FMCSA will provide CVISN deployment program grants to additional states to implement core CVISN capabilities and certify deployment of core CVISN capabilities. FMCSA will continue accepting CVISN activity plans and provide CVISN deployment grants.

Detailed Justification for Safety Data Improvement (SaDIP) Grants

Safety Data Improvement (SaDIP) Grants	FY 2011 Request: \$3M
Overview:	
The FMCSA is responsible for regulating the safety of interstate truck and motor coach travel in the United States. To fulfill this role, FMCSA collects safety data from the states, motor carriers, Federal staff, and other sources. FMCSA uses the collected data to evaluate and enhance its safety programs, update inventories, monitor compliance of motor carrier companies, measure the condition of vehicle fleets, track the driving records of licensed operators, and record crashes involving CMVs on public roadways. High quality, timely data in each of these areas is 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 effort to ensure the availability of superior data and support governments, businesses, and citizens in making appropriate decisions about motor carrier safety. One aspect of this effort involves 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 safety systems. The FMCSA recognizes that each state faces unique challenges when collecting and reporting safety data. As a result, the Agency has implemented Safety Data Improvement (SaDIP) to help states identify their challenges and implement improvement strategies.	
FY 2010 Base: \$3M	
The FMCSA recognizes that each state faces unique challenges when collecting and reporting safety data. As a result, the Agency has implemented SaDIP to help states identify their challenges and implement improvement strategies.	
Anticipated FY 2010 Accomplishments:	
In FY 2010, FMCSA will work with states to improve overall quality of state-reported data collection and reporting, with the expectation that additional states will 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 2011 Budget Request:	
For FY 2011, FMCSA requests \$3 million for SaDIP grants. In FY 2011, FMCSA will continue working with states to improve overall quality of state-reported data collection and reporting. The SaDIP grants will result in additional states achieving "green" status based on the timeliness, accuracy, and completeness of data. FMCSA will focus outreach to grantees on improving data specific for the success of CSA 2010.	

Detailed Justification for CDLIS Grants

CDLIS Grants	FY 2011 Request: \$0
Overview: The FMCSA selected AAMVA, a non-profit association that represents the state officials who administer and enforce motor vehicle laws, as the responsible organization for operating and modernizing the CDLIS. In full operation since April 1992, CDLIS serves as a clearinghouse that each of the 51 jurisdictions (the 50 states and the District of Columbia) can check before issuing a CDL. CDLIS helps to ensure that only one license or CDL is issued to each driver nationwide and ensures that all convictions are reported to the licensing state and are made a part of the driver's record. 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 CMVs in the United States. CDLIS was originally created to accommodate approximately four to five million drivers and currently includes nearly 14 million CDL records. A modernization effort will enable FMCSA and the states to take advantage of new IT advances and expand CDLIS' storage capacity to make it more responsive to current needs. As required by SAFETEA-LU, the modernization plan must do the following: (1) comply with applicable Federal IT 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.	
FY 2010 Base: \$8M CDLIS was originally created to accommodate approximately four to five million drivers and currently includes nearly 14 million CDL records. A modernization effort will enable FMCSA and the states to take advantage of new IT advances and expand CDLIS' storage capacity to make it more responsive to current needs. As required by SAFETEA-LU, the modernization plan must do the following: (1) comply with applicable Federal IT 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 2010 Accomplishments: In FY 2010, the Agency will provide grant funds to the states for their implementation efforts of the new modernized CDLIS. The Agency will also monitor the use of CDLIS grant funds by the states and AAMVA and continue work on improving security standards.	

FY 2011 Budget Request:

For FY 2011, FMCSA requests no additional funding for CDLIS Grants as the CDLIS Modernization effort is near completion, so FMCSA proposes the realignment of \$3 million to the MCSAP Grant program for New Entrant Grants as well as \$5 million to the Commercial Driver License (CDL) Program Improvements Grants to address the increased demand and costs for these grants.

In FY 2011, FMCSA plans to continue the monitoring and complete the implementation efforts of the new modernized CDLIS and the use of CDLIS grant funds by the States and AAMVA.

Explanation of Funding Changes for Motor Carrier Safety Grants

[Includes both non-discretionary changes and new or expanded programs as identified in
Summary Exhibit III-2]

Motor Carrier Safety Grants	\$0 M
Overview: As described in further detail below, FMCSA does not request a significant change in this appropriation account.	
MCSAP Grants FMCSA requests a realignment of \$3 million from the CDLIS grants to increase the Agency's MCSAP Grant program for New Entrant Grants above the base.	\$3.0 M
CDLIS Grants FMCSA requests realignment of \$8 million to the MCSAP Grant program for New Entrant Grants (\$3M) and CDL Improvement Grant (\$5M)	(\$8.0 M)
CDL Improvement Grant FMCSA requests realignment of \$5 million to the CDL Improvement Grant program.	\$5.0 M

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FY 2011

FMCSA

Performance Budget Estimates

SECTION 3C

Other Budgetary
Tables

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**FISCAL YEAR 2011 PERFORMANCE BUDGET
SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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EXHIBIT III-3A(i)
DEPARTMENT OF TRANSPORTATION
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS
PROGRAM AND FINANCING (\$ 000)

Code: 69-8159-0-7-401		Identification	2009 Actual	2010 Enacted	2011 Pres Budget
Obligations by Program Activity:					
0001	Operating Expenses		179,287	183,050	195,669
0003	Research and Technology		8,500	8,543	8,586
0004	Information Management		34,445	34,618	41,943
0005	Regulatory Development		2,875	9,728	9,777
0006	Outreach and Education		9,680	2,889	2,903
0007	CMV Operators Grants		1,000	1,000	1,000
0100	Subtotal, direct program		235,787	239,828	259,878
0901	Reimbursable program		15,073	27,000	27,000
1000	Total new obligations		250,860	266,828	286,878
Budgetary Resources Available for Obligation:					
2140	Unobligated balance carried forward, start of year		11,744	9,564	3,736
2200	New budget authority (gross)		243,418	256,000	256,000
2210	Resources available from recoveries of PY obligations		5,262	5,000	5,000
2390	Total budgetary resources available for obligation		260,424	270,564	264,736
2395	Total new obligations		(250,860)	(266,828)	(286,878)
2440	Unobligated balance carried forward, end of year		9,564	3,736	(22,142)
New Budget Authority (gross), detail:					
Discretionary					
4026	Appropriation (trust fund, definite)		234,000	239,828	259,878
4049	Portion applied to liquidate contract authority		(234,000)	(239,828)	(259,878)
4936	Contract authority permanently reduced		0	0	0
5800	Spending authority from offsetting collections: Offsetting collections (cash)		14,257	27,000	27,000
Mandatory					
6610	Mandatory contract authority		234,000	229,000	229,000
6636	Contract Authority permanently reduced		(4,839)	0	0
6690	Contract Authority (Total mandatory)		229,161	229,000	229,000
7000	Total new budget authority (gross)		243,418	256,000	256,000
Change in obligated balances:					
7240	Obligated balance, start of year		98,913	86,855	18,683
7310	Total new obligations		250,860	266,828	286,878
7320	Total outlays (gross)		(257,656)	(330,000)	(285,000)
7345	Recoveries of prior year obligations		(5,262)	(5,000)	(5,000)
7400	Change in uncollectable customer payments from federal sources(unexpired)		0		0
7440	Obligated balance, end of year		86,855	18,683	15,561
Outlays (gross), detail:					
8690	Outlays from new discretionary authority		187,788	240,000	258,000
8693	Outlays from discretionary balances		69,868	90,000	27,000
8700	Total outlays (gross)		257,656	330,000	285,000
Offsets					
Against gross budget authority and outlays					
8845	Against gross budget authority and outlays offsetting collections (cash) from: Offsetting governmental collections (from non-Federal sources)		14,257	27,000	27,000
8890	Total, offsetting collections (cash)		14,257	27,000	27,000
Net Budget Authority and Outlays:					
8900	Budget authority		229,000	229,000	229,000
9000	Outlays		243,399	302,702	257,837

EXHIBIT III-3A(ii)
DEPARTMENT OF TRANSPORTATION
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

MOTOR CARRIER SAFETY GRANTS
PROGRAM AND FINANCING (\$ 000)

Identification Code: 69-8158-0-7-401		2009 Actual	2010 Enacted	2011 Pres Budget
Obligations by Program Activity:				
0001	Motor Carrier Safety Assitsance Program	209,000	212,000	215,070
0002	Commercial Driver's License (CDL) Program Improvement Grants	25,000	25,000	25,000
0003	Border Enforcement Grants	32,000	32,000	32,000
0004	Perfromance and Registration Information System	5,000	5,000	5,000
0005	Commercial Vehicle Information Systems	25,000	25,000	30,000
0006	Safety Data Improvement Grants	3,000	3,000	3,000
0007	CDL Information System	8,000	8,000	0
1000	Total new obligations	307,000	310,000	310,070
Budgetary Resources Available for Obligation:				
2140	Unobligated balance carried forward, start of year	7,185	4,866	(2,134)
2200	New budget authority (gross)	300,000	298,000	300,000
2210	Resources available from recoveries of prior year obligations	4,681	5,000	0
2390	Total budgetary resources available for obligation	311,866	307,866	297,866
2395	Total new obligations	(307,000)	(310,000)	(310,070)
2440	Unobligated balance carried forward, end of year	4,866	(2,134)	(12,204)
New Budget Authority (gross), detail:				
Discretionary				
4026	Discretionary appropriation (trust fund, definite)	307,000	307,000	310,070
4049	Portion applied to liquidate contract authority	(307,000)	(307,000)	(310,070)
Mandatory				
6610	Mandatory contract authority	307,000	300,000	300,000
6635	Contract authority permanently reduced	(7,000)	(2,000)	0
6690	Conract Authority (Total mandatory)	300,000	298,000	300,000
7000	Total new budget authority (gross)	300,000	298,000	300,000
Change in obligated balances:				
7240	Obligated balance, start of year	315,795	362,000	218,000
7310	Total new obligations	307,000	310,000	310,070
7320	Total outlays (gross)	(255,911)	(448,943)	(310,070)
7345	Recoveries of prior year obligations	(5,254)	(5,000)	0
7440	Obligated balance, end of year	361,630	218,057	218,000
Outlays (gross), detail:				
8690	Outlays from new discretionary authority	76,063	87,000	0
8693	Outlays from discretionary balances	179,848	361,943	310,070
8700	Total outlays (gross)	255,911	448,943	310,070
Net Budget Authority and Outlays:				
8900	Budget authority	300,000	298,000	310,070
9000	Outlays	255,911	448,943	310,070

EXHIBIT III-3A(iii)
DEPARTMENT OF TRANSPORTATION
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

MOTOR CARRIER SAFETY GRANTS
PROGRAM AND FINANCING (\$ 000)

Identification Code: 69-8048-0-7-401		2009 Actual	2010 Enacted	2011 Pres Budget
Budgetary Resources Available for Obligation:				
2140	Unobligated balance carried forward, start of year	19,752	15,639	12,406
2145	Adjustments to Unobligated Balance Carried Forward, Start of Year	12,406	0	0
2200	New budget authority (gross)	(19,752)	(3,233)	
2210	Resources available from recoveries of prior year obligations	3,233	0	0
2390	Total budgetary resources available for obligation	15,639	12,406	12,406
2440	Unobligated balance carried forward, end of year	15,639	12,406	12,406
Change in obligated balances:				
7240	Obligated balance, start of year	30,578	12,968	1,000
7245	Adjustment to Obligated Balance Carrier Forward, Start of Year	(12,406)	0	
7320	Total outlays (gross)	(1,971)	(12,968)	0
7345	Recoveries of prior year obligations	(3,233)	0	0
7440	Obligated balance, end of year	12,968	0	1,000
Outlays (gross), detail:				
8693	Outlays from discretionary balances	1,971	12,968	0
Net Budget Authority and Outlays:				
8900	Budget authority	(19,752)	(3,233)	0
9000	Outlays	1,971	12,973	0

EXHIBIT III-3A(iv)
DEPARTMENT OF TRANSPORTATION
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS
PROGRAM AND FINANCING (\$ 000)

Identification Code: 69-8055-0-7-401		2009 Actual	2010 Enacted	2011 Pres Budget
Budgetary Resources Available for Obligation:				
2140	Unobligated balance carried forward, start of year	2,314	6,104	0
2200	New budget authority (gross)	(1,313)	(6,104)	0
2210	Resources available from recoveries of prior year obligations	6,416	0	0
2390	Total budgetary resources available for obligation	7,417	0	0
2395	Total New Obligations	(1,313)		
2440	Unobligated balance carried forward, end of year	6,104	0	0
Change in obligated balances:				
7240	Obligated balance, start of year	20,410	7,414	0
7310	Total new obligations	1,313		
7320	Total outlays (gross)	(6,580)	(7,414)	0
7345	Recoveries of prior year obligations	(6,416)	0	0
7400	Change in uncollected customer payments from Federal sources (unexpired)	(1,313)		
7440	Obligated balance, end of year	7,414	0	0
Outlays (gross), detail:				
8693	Outlays from discretionary balances	6,580	7,414	0
8700	Total outlays (gross)	6,580	7,414	0
Net Budget Authority and Outlays:				
8900	Budget authority	(2,314)	0	0
9000	Outlays	6,577	7,414	0

EXHIBIT III-3B(i)
DEPARTMENT OF TRANSPORTATION
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS
OBJECT CLASSIFICATION
(\$ 000)

	FY 2009 ACTUAL	FY 2010 ENACTED	FY 2011 PRES BUDGET
Direct Obligations:			
Personnel compensation			
11.1 Full-time permanent	\$76,228	\$77,033	\$83,313
11.3 Other than full-time permanent	\$2,000	\$2,000	\$2,000
11.9 Total personnel compensation	\$78,228	\$79,033	\$85,313
12.1 Civilian personnel benefits	\$33,526	\$33,871	\$36,562
21.0 Travel and transportation of persons	\$13,641	\$13,895	\$13,964
22.0 Transportation of Things	\$614	\$691	\$694
23.1 Rental payments to GSA	\$10,387	\$11,680	\$11,738
23.3 Comm., Rent, and Utilities	\$6,353	\$6,543	\$6,576
24.0 Printing	\$1,623	\$1,825	\$1,834
25.2 Other services	\$79,079	\$79,390	\$90,237
25.5 Research and development contracts	\$6,316	\$8,543	\$8,586
26.0 Supplies and materials	\$933	\$1,049	\$1,054
31.0 Equipment	\$2,300	\$2,308	\$2,320
41.0 Grants, subsidies, and	\$1,000	\$1,000	\$1,000
99.0 Subtotal, Direct Obligations	\$234,000	\$239,828	\$259,878
Reimbursable Obligations:			
Personnel Compensation			
11.1 Full-time permanent	\$4,000	\$4,000	\$4,000
11.3 Other than full-time permanent	\$0	\$0	\$0
Total personnel compensation	\$4,000	\$4,000	\$4,000
12.1 Civilian personnel benefits	\$1,000	\$1,000	\$1,000
25.0 Other services	\$9,584	\$10,500	\$22,000
99.0 Subtotal, Reimbursable Obligations	\$14,584	\$15,500	\$27,000
99.9 Total Obligations:	\$248,584	\$255,328	\$286,878

EXHIBIT III-3B(ii)
DEPARTMENT OF TRANSPORTATION
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

MOTOR CARRIER SAFETY GRANTS
OBJECT CLASSIFICATION

(\$ 000)

	FY 2009 ACTUAL	FY 2010 ENACTED	FY 2011 PRES BUDGET
Direct Obligations:			
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	\$269,000	\$276,000	\$279,070
99.9 Total Obligations	\$300,000	\$307,000	\$310,070

EXHIBIT III-C
DEPARTMENT OF TRANSPORTATION
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS

PERSONNEL SUMMARY

	FY 2009 ACTUAL	FY 2010 ENACTED	FY 2011 PRES BUDGET
DIRECT FUNDED BY APPROPRIATION			
1001 Full time equivalent employment	987	1,062	1,121
REIMBURSEMENTS/ALLOCATIONS/OTHER			
2001 Full time equivalent employment	61	61	61
TOTAL FTEs	1,048	1,123	1,182

EXHIBIT III-3D
REQUEST BY STRATEGIC PURPOSE (A),
DOT STRATEGIC GOAL (B) AND FMCSA STRATEGIC GOAL (C)
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
(\$000)

Appropriation Programs	Protecting People, Places and Things				Supporting & Promoting Movement of People and Goods			Program Total
	A							
	B	Safety	Environmental Stewardship	Security, Preparedness & Response	Reduced Congestion	Global Connectivity	Organizational Excellence	
	C	Safety	N/A	Security	Productivity	N/A	Org Excel	
Motor Carrier Safety Operations & Programs		217,400		6,825	3,422		32,231	259,878
General Operating Expenses		158,481		6,825	2,419		27,944	195,669
Regulatory Development		7,807					1,970	9,777
Research & Technology		7,809			278		499	8,586
Information Management		40,125					1,818	41,943
Outreach & Education		2,178			725			2,903
CMV Operator Grants		1,000						1,000
Motor Carrier Safety Grants		310,070						310,070
MCSAP Grants		215,070						215,070
Border Enforcement Grants		32,000						32,000
CDL Improvement Grants		30,000						30,000
CDLIS Grants		0						0
CVISN Grants		25,000						25,000
SaDip Grants		3,000						3,000
PRISM Grants		5,000						5,000
Grand TOTAL		527,470	0	6,825	3,422	0	32,231	569,948

EXHIBIT III-3D
REQUEST BY STRATEGIC PURPOSE (A),
DOT STRATEGIC GOAL (B) AND FMCSA STRATEGIC GOAL (C)
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
(\$000)

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

ESTIMATES	CONTRACT AUTHORITY
1995 73,000,000	1995 73,000,000
1996 68,000,000	1996 68,000,000
1997 74,000,000	1996 Rescission of Contract Authority (33,000,000) ¹
1998	1997 74,000,000
1999	1997 Rescission of Contract Authority (12,300,000) ²
2000	1998 85,000,000
2001	1999 100,000,000
2002	2000 105,000,000
2003	2001
2004	2002
2005	2003
2006	2004
2007	2005
2008	2006
2009	2007
2010	2008 Rescission of Contract Authority (32,187,720) ³
	2009 Rescission of Contract Authority (2,231,259) ⁴
	2010 Rescission of Contract Authority (6,415,501)

- ¹ Enacted rescission pursuant to P.L. 104-134.
² Enacted rescission pursuant to P.L. 104-208.
³ Enacted rescission of prior year carryover P.L. 110-161.
⁴ Enacted rescission of prior year carryover P.L. 111-8.

ESTIMATES	APPROPRIATION
2000	2000 76,058,400 ¹
2001 92,194,000	2001 92,194,000
2002 139,007,000	2001 Rescission of Liquidating Cash (202,827) ²
2003 117,464,000	2002 110,000,000
2004	2002 Rescission of Liquidating Cash (158,000) ³
2005	2002 Rescission of Liquidating Cash (107,000) ⁴
	2003 117,464,000
	2003 Rescission of Liquidating Cash (763,516) ⁵
	2003 Rescission of Liquidating Cash (200,000) ⁵
	2004 176,070,000
	2004 Rescission of Liquidating Cash (1,532,675) ⁶
	2005 257,547,000
	2005 Rescission of Liquidating Cash (2,698,376) ⁷
	2006
	2007
	2008 Rescission of Liquidating Cash .. (32,187,720) ⁸
	2009 Rescission of Liquidating Cash (2,231,259) ⁹
	2010 Rescission of Liquidating Cash (6,415,501)

- ¹ 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.)
² Enacted .22% rescission pursuant to Public Law 106-554.
³ Enacted TASC rescission pursuant to Public Law 107-87, as amended by P.L. 107-117
⁴ Enacted rescission pursuant to P.L. 107-206.
⁵ Enacted 0.65% and \$200K rescission pursuant to P.L. 108-7.
⁶ Applied 0.59% and \$494K rescission pursuant to FY 2004 enacted, P.L. 108-199.
⁷ Applied 0.8% and 638K rescission pursuant to FY 2005 enacted, P.L. 108-447.
⁸ Rescission of prior year carryover P.L. 110-161
⁹ Rescission of prior year carryover P.L. 111-8
.

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

ESTIMATES	CONTRACT AUTHORITY
1998 90,000,000	1998
1999 100,000,000	1999
2000 155,000,000 ¹	2000 (105,000,000) ⁴
2001 187,000,000 ²	2001 177,000,000
2002 204,837,000 ³	2002 205,896,000 ⁵
2003 190,000,000	2003 190,000,000
2004	2003 Rescission of Contract
2005	Authority (1,235,000) ⁶
2006	2004 190,000,000
2007	2004 Rescission of Contract
2008	Authority (1,121,000) ⁷
2009	2005 190,000,000
2010	2005 Rescission of Contract
	Authority (1,520,000) ⁸
	2006
	2007
	2008 Rescission of Contract
	Authority (5,212,858) ⁹
	2009 Rescission of Contract
	Authority (19,571,910) ¹⁰
	2010 Rescission of Contract
	Authority (3,232,639)

¹ Includes \$50 million in revenue aligned budget authority.

² Includes \$10 million in revenue aligned budget authority.

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

⁴ Transferred to the newly established FMCSA from the FHWA Motor Carrier Safety Grants account.

⁵ 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.

⁶ Enacted 0.65% rescission pursuant to P.L. 108-7.

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

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

⁹ Enacted rescission of prior year carryover P.L. 110-161.

¹⁰ Enacted rescission of prior year carryover P.L. 111-8.

NATIONAL MOTOR CARRIER SAFETY PROGRAM (CONT'D)
LIMITATION ON OBLIGATIONS

ESTIMATES	LIMITATION
1998 100,000,000	1998
1999 100,000,000	1999
2000 155,000,000 ¹	2000 (105,000,000) ⁴
2001 187,000,000 ²	2001 177,000,000
2002 204,837,000 ³	2001 Rescission of Liquidating Cash (389,400) ⁵
2003 190,000,000	2002 205,896,000 ⁶
2004.....	2003 190,000,000
2005.....	2003 Rescission of Liquidating Cash (1,235,000) ⁷
2006.....	2004..... 190,000,000
	2004 Rescission of Liquidating Cash (1,121,000) ⁸
	2005..... 190,000,000
	2005 Rescission of Liquidating Cash (1,520,000) ⁹
	2006
	2007
	2008 Rescission of Liquidating Cash (5,212,858) ¹⁰
	2009 Rescission of Liquidating Cash (19,571,910) ¹¹
	2010 Rescission of Liquidating Cash (3,232,639)

¹ Includes \$50 million in revenue aligned budget authority.

² Includes \$10 million in revenue aligned budget authority.

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

⁴ Transferred to the newly established FMCSA from the FHWA Motor Carrier Safety Grants account.

⁵ Enacted .22% rescission pursuant to P. L. 106-554.

⁶ 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.

⁷ Enacted 0.65% rescission pursuant to P.L. 108-7.

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

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

¹⁰ Rescission of prior year carryover P.L. 110-161

¹¹ Rescission of prior year carryover P.L. 111-8

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

ESTIMATES	CONTRACT AUTHORITY
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) ¹
2009..... 234,000,000	2007.....223,000,000
2010..... 239,828,000	2008.....228,000,000
2011..... 259,878,000	2008 Rescission of Contract ²
	Authority.....(1,815,553)
¹ Applied 1.0 % rescission pursuant to FY 2006 Enacted, P.L. 109-148.	2009.....234,000,000
² Rescission of Prior Year Carryover	2009 Rescission of Contract ³
³ Enacted rescission of prior year carryover P.L. 111-8	Authority.....(4,839,259)
	2010.....239,828,000

ESTIMATES	APPROPRIATION
2004.....	2004.....
2005.....	2005.....
2006..... 213,000,000	2006.....213,000,000
2007..... 223,000,000	2006 Rescission of Liquidating Cash.. (2,130,000) ¹
2008..... 228,000,000	2007.....210,870,000
2009..... 234,000,000	2008.....229,654,000 ²
2010..... 239,828,000	2009.....234,000,000
2011..... 259,878,000	2009 Rescission of Liquidating Cash (4,839,259) ³
	2010.....239,828,000
¹ Enacted rescission pursuant to P.L. 109-148.	
² Enacted increase in Obligation Limitation to use Prior Year Carryover Contract Authority	
³ Enacted rescission pursuant to P.L. 111-8.	

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

ESTIMATES	CONTRACT AUTHORITY
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) ¹
2009.....307,000,000	2007.....297,411,000 ²
2010.....310,070,000	2008.....300,000,000
2011.....310,070,000	2008 Rescission of Contract
	Authority P.L. 110-161... (11,260,214) ³
	2009.....307,000,000
	2009 Rescission of Contract
	Authority P.L. 111-8..... (6,502,558) ⁴
	2010.....310,070,000
	2010 Rescission of Contract
	Authority P.L. 111-8..... (1,610,661)

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

²Includes \$3,411,000 RABA Adjustment

³Rescission of Prior Year Carryover

⁴Rescission of Prior Year Carryover

MOTOR CARRIER SAFETY GRANTS

LIMITATION ON OBLIGATIONS

ESTIMATES	APPROPRIATION
1995.....83,000,000	1995..... 74,000,000
1996.....85,000,000	1996..... 77,225,000
1997.....85,000,000	1996 Rescission of Contract
1998.....	Authority (1,000) ¹
1999.....	1997..... 78,225,000
2000.....	1998..... 84,825,000
2001.....	1999..... 100,000,000
2002.....	2000..... 105,000,000
2003.....	2001.....
2004.....	2002.....
2005.....	2003.....
2006.....282,000,000	2004.....
2007..... 297,502,000	2005.....
2008..... 300,000,000	2006.....282,000,000
2009..... 307,000,000	2006 Rescission of Contract
2010.....310,070,000	Authority..... (2,820,000) ²
2011.....310,070,000	2007.....297,411,000 ³
	2008..... 300,000,000
	2008 Rescission of Contract
	Authority..... (11,260,214) ⁴
	2009..... 307,000,000
	2009 Rescission of Contract
	Authority..... (6,502,558) ⁵

¹ Enacted rescission pursuant to P.L. 104-134.

² Enacted rescission pursuant to P.L. 109-148.

³ Includes \$3,411,000 RABA Adjustment

⁴ Rescission of prior year carryover P.L. 110-161

⁵ Rescission of prior year carryover P.L. 111-8

FY 2011

FMCSA

Performance Budget Estimates

SECTION 4

Performance
Budget

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**FISCAL YEAR 2011 PERFORMANCE BUDGET
SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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A Note about DOT's Strategic Goals

The performance sections of the FY 2011 budget submissions align with current FY 2006-2011 DOT strategic plan. DOT will release a new strategic plan in FY 2010 that will detail the Department's new priorities and areas of emphasis. DOT expects the performance sections of the FY 2012 budget submission will be aligned to this new strategic plan.

EXHIBIT IV-1

FY 2011 BUDGET REQUEST BY DOT STRATEGIC OBJECTIVE AND PERFORMANCE GOAL
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
Appropriations, Obligation Limitations, & Exempt Obligations
(\$000)

	(A)	(B)	(C)
PERFORMANCE GOALS & MEASURES	FY 2009	FY 2010	FY 2011
by PERFORMANCE MEASURE	ACTUAL	ENACTED	PRES BUDGET
1. Safety Strategic Goal			
A. Objective: Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes			
Performance Strategy: Increase Compliance with Federal Motor Carrier Safety Requirements	\$322,864	\$332,537	\$351,055
Performance Strategy: Promote Safe Operations and Best Practices through Partnerships and Education	\$11,979	\$10,085	\$7,550
Performance Strategy: Improve Driver Qualifications, Credentialing and Licensing Systems	\$41,390	\$41,530	\$39,405
Performance Strategy: Improve Safety Information, Research and Analysis to Advance Innovation and Technical Solutions	\$75,000	\$76,530	\$81,762
Performance Strategy: Modernize and Optimize Operational Effectiveness to Improve Safety	\$5,729	\$5,949	\$6,283
Performance Strategy: Other Support	\$26,111	\$24,512	\$22,130
B. Objective: Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials incidents involving			
Performance Strategy: Increase Compliance with Federal Motor Carrier Safety Requirements	\$17,647	\$17,991	\$19,285
TOTAL SAFETY STRATEGIC GOAL	\$500,720	\$509,134	\$527,470
2. Security			
A. Objective: Reduce Vulnerability of CMV Transportation to Threats, Violence, and Natural Disasters			
Performance Strategy: Promote CMV Security with Emphasis on HAZMAT, through Operations, Research, Partnerships and Education	\$5,037	\$5,216	\$6,004
Performance Strategy: Ensure Emergency Preparedness	\$504	\$512	\$821
Performance Strategy: Other Support	\$1,640	\$1,666	\$0
TOTAL SECURITY GOAL	\$7,181	\$7,394	\$6,825
2. Productivity			
A. Objective: Improve Responsiveness to HHG Complaints			
Performance Strategy: Engage Consumers, Shippers, and Carriers through Partnerships, Education and Compliance Operations	\$2,853	\$2,640	\$3,144
Performance Strategy: Other Support	\$354	\$356	\$0
B. Objective: Advance Electronic Safety and Credentials Monitoring while Maintaining Flow of Commerce			
Performance Strategy: Promote CMV Security with Emphasis on HAZMAT, through Operations, Research, Partnerships and Education	\$512	\$566	\$278
TOTAL PRODUCTIVITY GOAL	\$3,719	\$3,562	\$3,422
3. Global Connectivity			
A. Objective: Achieve a More Efficient North/Central American Transportation System through Innovative CMV Solutions			
Performance Strategy: Advance Electronic Safety and Credentials Monitoring to Facilitate International Traffic Flow	\$317	\$327	\$0
Performance Strategy: Other Support	\$44	\$44	\$0
TOTAL GLOBAL CONNECTIVITY GOAL	\$361	\$371	\$0
5. Organizational Excellence			
A. Objective: Provide an Adaptable, World-Class, Mission-Oriented Organizational Infrastructure in Support of All FMCSA Mission,			
Performance Strategy: Promote Strategic Management of Human Capital	\$4,357	\$4,442	\$8,055
Performance Strategy: Advance Electronic-Government Solutions	\$2,681	\$2,719	\$2,171
Performance Strategy: Implement Competitive Sourcing	\$258	\$262	\$0
Performance Strategy: Enhance Financial & Procurement Performance	\$8,847	\$8,944	\$7,274
Performance Strategy: Integrate Budget and Performance	\$2,814	\$2,867	\$6,404
Performance Strategy: Promote Organizational Efficiency and Open Communications	\$8,369	\$8,491	\$5,995
Performance Strategy: Other Support	\$1,693	\$1,712	\$2,332
TOTAL ORGANIZATIONAL EXCELLENCE GOAL	\$29,019	\$29,437	\$32,231
GRAND TOTAL	\$541,000	\$549,898	\$569,948

+/- \$1K Variance Due to Rounding

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EXHIBIT IV-3

PERFORMANCE OVERVIEW Federal Motor Carrier Safety Administration

Annual Performance Results and Targets

The Federal Motor Carrier safety Administration (FMCSA) integrates performance results into its budget request to demonstrate alignment with the Department of Transportation's Strategic Plan. The FMCSA has developed a set of core outcome-based performance measures specific to Agency-level activities which are detailed throughout Section IV of the FY 2011 budget. Included in these measures, the following four correspond directly to DOT level performance measures to demonstrate departmental program results:

Strategic Goal: Safety

This performance measure supports the new DOT High Priority Performance goal of reducing highway fatalities to no more than 1.13 – 1.16 fatalities per 100 million vehicle miles traveled (VMT) by FY 2011 (See Attachment A). The FMCSA measure below contributes to the reduction of large truck and bus fatalities per 100 million vehicle miles traveled (VMT).

DOT High Priority Performance Goal *

Rate of highway fatalities per 100 Million Vehicle Miles Traveled. <i>Shared Measure with NHTSA and FHWA.</i>						
	2006	2007	2008	2009	2010	2011
Target	1.38	1.38	1.37	1.35	1.30	1.13 -1.16
Actual	1.42r	1.36r	1.25	TBD		

* For FY 2011, DOT identified this measure as a High Priority Performance Goal and set a new target to reduce the rate of highway fatalities to 1.13 – 1.16 fatalities per 100 million VMT by the end of FY 2011. The FY 2010 rate is 1.3 fatalities per 100 million VMT. However, DOT may revise and further refine its goal in the future based on findings from its new research.

This performance measure supports the DOT goal of reducing the total number of serious HAZMAT incidents to no more than 448 serious reportable transportation incidents by the end of 2011. The FMCSA contribution below, measures the reduction of serious incidents involving commercial motor vehicles on the highways.

Number of serious reportable HAZMAT incidents involving commercial motor vehicles (Calendar year)	2006	2007	2008	2009	2010	2011
Target	470	466	485	420	400	390
Actual	401	391	354			

Strategic Goal: Organizational Excellence.

The following performance measures contribute to the achievement of the DOT goal of ensuring that an adequate percentage of contracts are awarded to small disadvantaged businesses and women-owned businesses. FMCSA contributes to this goal by measuring the percentage of its annual procurements awarded to small disadvantaged businesses and women owned businesses.

Percentage of procurement dollars awarded to small disadvantaged businesses	2006	2007	2008	2009	2010	2011
Target	46.0%	46.0%	46.0%	27.7%	27.7%	27.7%
Actual	18.3%	34.0%	33.0%			

Percentage of procurement dollars awarded to women owned businesses	2006	2007	2008	2009	2010	2011
Target	40.0%	30.0%	30.0%	25.1%	25.1%	25.1%
Actual	19.7%	24.2%	19.0%			

EXHIBIT IV-5

KEY PROGRAM REVIEWS, ASSESSMENTS OR EVALUATIONS FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

A. Recent Reviews, Assessments and Evaluations

No.	Name/Title	Type	Result
1	PART – FMCSA Grant Programs	Assessment	Good but needs improvement
2	Agency Tracking of Oversight Recommendations	Evaluation	Ongoing
3	FMCSA Enforcement Activities	Evaluation	Good but needs improvement
4	Property Management Procedures	Evaluation	Good but needs improvement
5	IT Security	Evaluation	Good but needs improvement
6	HR Hiring Process	Evaluation	Ongoing
7	HazMat Permitting Process	Evaluation	Ongoing
8	Household Goods Consumer Issues	Assessment	Ongoing
9	Reincarnated Motor Carriers	Assessment	Ongoing
10	CDLIS (Phase II)	Assessment	Ongoing
11	Annual NAFTA Audit	Assessment	Ongoing
12	FMCSA's Contract Practices	Assessment	Ongoing
13	FMCSA's Motor Coach Safety Program	Assessment	Ongoing
14	Motor Coach Rollover (Victoria, Texas)	Assessment	Ongoing
15	Motor Coach Crash (Sherman, Texas)	Assessment	Ongoing

A1. PART – Grants Assessments

- Organization requiring the examination: FMCSA
- Organization conducting the examination: OMB
- Start date: 1/08
- End date: 9/08

A2. Agency Tracking of Oversight Recommendations

- Organization requiring the examination: FMCSA
- Organization conducting the examination: External Evaluator
- Start date: 5/09
- End date: (TBD)

A3. FMCSA Enforcement Activities

- Organization requiring the examination: FMCSA
- Organization conducting the examination: GAO
- Start date: 2006
- End date: 12/08

A4. Property Management Procedures

- Organization requiring the examination: FMCSA
- Organization conducting the examination: External Evaluator
- Start date: 9/07
- End date: 4/09

A5. IT Security

- Organization requiring the examination: FMCSA
- Organization conducting the examination: External Evaluator
- Start date: 12/07
- End date: 2/09

A6. HR Hiring Process

- Organization requiring the examination: FMCSA
- Organization conducting the examination: External Evaluator
- Start date: 2/09
- End date: (TBD)

A7. HazMat Permitting Process

- Organization requiring the examination: FMCSA
- Organization conducting the examination: External Evaluator
- Start date: 5/09
- End date: (TBD)

A8. Household Goods Consumer Issues

- Organization requiring the examination: FMCSA
- Organization conducting the examination: GAO
- Start date: 11/12/08
- End date: 10/30/09

A9. Reincarnated Motor Carriers

- Organization requiring the examination: FMCSA
- Organization conducting the examination: GAO
- Start date: 11/19/08
- End date: 7/28/09

A10. CDLIS (Phase II)

- Organization requiring the examination: FMCSA
- Organization conducting the examination: OIG
- Start date: 12/5/07
- End date: 7/30/09

A11. Annual NAFTA Audit

- Organization requiring the examination: FMCSA
- Organization conducting the examination: OIG
- Start date: 7/11/08
- End date: 8/17/09

A12. FMCSA's Contract Practices

- Organization requiring the examination: FMCSA
- Organization conducting the examination: OIG
- Start date: 6/11/08
- End date: (TBD) *Exit conference scheduled for 1/20/10*

A13. FMCSA's Motor Coach Safety Program (Motor Coach Safety Action Plan)

- Organization requiring the examination: FMCSA
- Organization conducting the examination: OIG
- Start date: 11/19/08
- End date: (TBD)

A14. Motor Coach Rollover (Victoria, Texas)

- Organization requiring the examination: FMCSA
- Organization conducting the examination: NTSB
- Start date: 1/2/08
- End date: 12/29/09

A15. Motor Coach Crash (Sherman, Texas)

- Organization requiring the examination: FMCSA
- Organization conducting the examination: NTSB
- Start date: 8/8/08
- End date: 11/19/09

B. Planned Reviews, Assessments and Evaluations

No.	Name/Title	Type	Result
1	Agency Use of Inter Agency Agreements (IAAs)	Evaluation	TBD
2	Agency Management of Personally Identifiable Information (PII)	Evaluation	TBD
3	FMCSA Safety and Household Goods Hotline Operations	Evaluation	TBD
4	Evaluation of Safety Regulations to Determine Relative Impact on Safety Outcomes	Evaluation	TBD

B1. Agency Use of Inter Agency Agreements (IAAs)

- Organization requiring the examination: FMCSA
- Organization conducting the examination: TBD
- Start date: TBD (FY2010)
- End date: TBD (FY2010)

B2. Agency Management of Personally Identifiable Information (PII)

- Organization requiring the examination: FMCSA
- Organization conducting the examination: External Evaluator
- Start date: TBD (FY2010)
- End date: TBD (FY2010)

B3. FMCSA Safety and Household Goods Hotline Operations

- Organization requiring the examination: FMCSA
- Organization conducting the examination: External Evaluator
- Start date: TBD (FY2010)
- End date: TBD (FY2010)

B4. Evaluation of Safety Regulations to Determine Relative Impact on Safety Outcomes

- Organization requiring the examination: FMCSA
- Organization conducting the examination: External Evaluator
- Start date: TBD (FY2010)
- End date: TBD (FY2010)

FISCAL YEAR 2011 PERFORMANCE BUDGET

SECTION 4: PERFORMANCE BUDGET

OVERVIEW

The Federal Motor Carrier Safety Administration's (FMCSA) primary mission is to promote safe commercial motor vehicle (CMV) operation and reduce large truck and bus crashes and related injuries and fatalities through the development of sound data-based regulations, education, outreach, enforcement, research and the use and promotion of innovative technologies. Agency resources and activities contribute comprehensively toward the achievement of this mission. To this end, FMCSA requests and receives resources from Congress that supports four FMCSA Strategic Goals, which are detailed in the Agency's Strategic Plan.

The Agency's annual performance budget acts as an update to the Strategic Plan, with the addition of performance elements that describe activities and outcomes according to common areas of performance. Just as Section 3 of this document outlines the Agency activities and goals based on the appropriations accounts, Section 4 presents the FMCSA goals and performance measures in a performance budget format. This section is organized by four Strategic Goals and aligns directly to the objectives and strategies of the Strategic Plan.

The narrative sections for each strategic goal include exhibits that detail the funding requested at several strategic levels, as well as performance measures that are tracked to account for the outcomes of Agency activities. As in years past, each section also includes a logic model which details the funding request in the same format as depicted in the Agency's strategic plan. In addition to these items and the narratives, FMCSA has also added a new component to section 4 of the budget, a series of logic tables. Each narrative section contains a logic table that outlines performance elements according to their funding, activities, planned annual achievements and contribution to outcomes. Another addition to the budget this year is an exhibit of completed and planned program evaluations, which are also referenced in more detail in the Organizational Excellence narrative (Section 4D).

Section 4 of the budget is broken into the following sub-sections:

- **Safety (Section 4A):** FMCSA's number one priority is the promotion of safety, and the activities and outcomes in Section 4A support the FMCSA and DOT Safety Goals. Saving lives remains FMCSA's main strategic objective under the Safety Goal. However, the Agency also focuses on reducing injuries, preventing and minimizing the severity of crashes, and reducing serious hazardous materials (HAZMAT) incidents by ensuring the highest safety standards. Approximately 93 percent of FMCSA's funding contributes to the Safety Goal. FMCSA is committed to preventing crashes and reducing the related injuries and fatalities. Through efficient and effective outreach, education, and enforcement activities, FMCSA partners with states, other Federal government agencies, the CMV industry, and the public to achieve the goal of having no more than 0.160 fatalities from CMV related crashes per 100 million vehicle miles traveled (VMT).
- **Security (Section 4B):** Growing security threats to the Nation's transportation system have considerably altered the Federal government's operations in recent years. As a result, the Agency has broadened the definition of the Security Goal to more clearly define what the Agency does in this area for HAZMAT security, as well as to describe how the Agency is called upon to support other Federal agencies in emergency preparedness. FMCSA recognizes that safety and security are inextricably linked, as both inherently

involve risks to life and property. FMCSA's unique access to the CMV industry through its safety programs allows the Agency to leverage these relationships and provide assistance.

- **Productivity (Section 4C):** The FMCSA has the responsibility to effectively respond to household goods (HHG) complaints from consumers. To carry out this responsibility, FMCSA has established a consumer hotline and the Protect Your Move Web site to collect consumer complaints and to help educate consumers on making sound choices when planning a move. Additionally, FMCSA contributes to the DOT goal of reducing congestion and other impediments to the smooth operation of the Nation's transportation system to improve the flow and movement of goods. FMCSA is working with state partners to utilize electronic safety and credentials monitoring devices to inspect vehicles and drivers in order to decrease congestion caused by roadside safety activities.
- **Organizational Excellence (Section 4D):** FMCSA strives to provide an adaptable, world-class, mission-oriented organizational infrastructure in support of all of FMCSA's goals, objectives, and strategies. The Agency is undertaking activities for continuous organizational improvement that will result in a more highly trained and motivated workforce, enhanced cost-control measures, and improved decision-making processes. The FMCSA has created a best-practice of integrating budget and performance through its annual Performance Budget. The Agency has also initiated the reporting of an efficiency performance measure, to demonstrate the cost effectiveness of budgeted operations in relation to the lives saved through FMCSA safety programs.

Section 4 provides overviews, anticipated accomplishments and performance goals for the budget year, broken down by strategic goal, objectives, strategies, and performance elements. For Appropriation level detail, please refer to Section 3 of this budget document.

FY 2011

FMCSA

Performance Budget Estimates

SECTION 4A

Commercial Motor Vehicle (CMV)
Safety

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**DEPARTMENT OF TRANSPORTATION
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
SECTION 4A: COMMERCIAL MOTOR VEHICLE SAFETY**

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PERFORMANCE GOAL
Commercial Motor Vehicle (CMV) Safety

Safety Summary Overview

FMCSA activities contribute to the Department of Transportation (DOT) Safety strategic goal and performance target to reduce highway fatalities to no more than 1.3 – 1.16 per 100 million vehicle-miles of travel (VMT) by the end of 2011 as follows:

DOT works 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 (FMCSRs) and Hazardous Materials (HAZMAT) Regulations through Federal operations; increasing compliance with the Motor Carrier Safety Assistance grants 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 physical qualifications; enhancing commercial driver identification and systems; improving CMV safety information and analysis (including a significant Information Technology (IT) modernization); and advancing technological solutions.

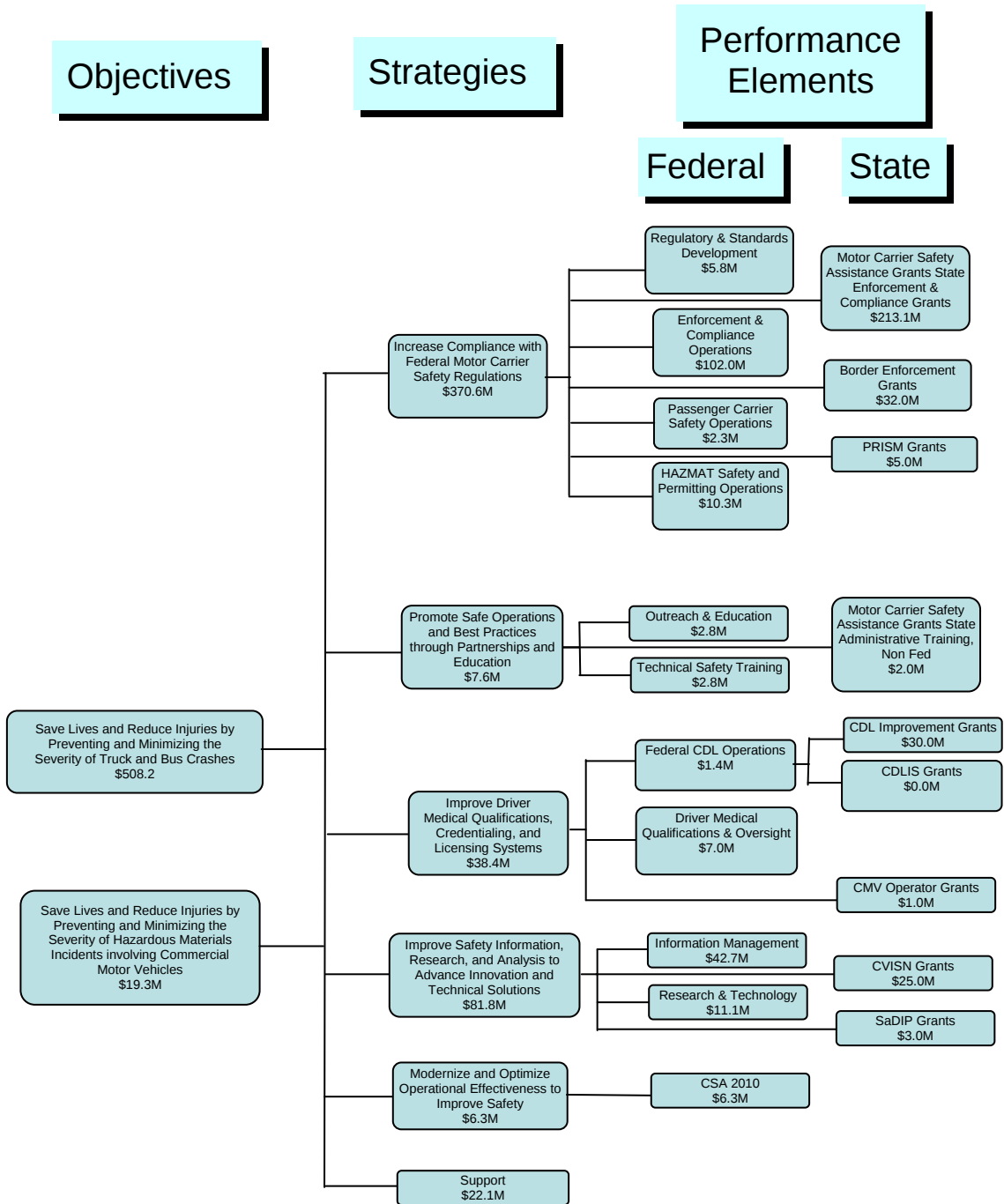
DOT works to reduce the number and severity of CMV and HAZMAT incidents through performance elements that include enforcement and compliance operations, border enforcement grants, and research and technology.

The resources requested to achieve this goal are:

REQUEST by STRATEGIC GOAL (\$000)	FY 2009 <u>ENACTED</u>	FY 2010 <u>PRES BUD</u>	FY 2011 <u>REQUEST</u>
I. Safety	<u>\$500,721</u>	<u>\$509,134</u>	<u>\$527,469</u>
A. Save lives and reduce injuries by preventing and minimizing the severity of truck and bus crashes			
1. Motor Carrier Safety Operations and Programs	\$185,074	\$190,073	\$207,114
2. Motor Carrier Safety Grants	\$298,000	\$301,070	\$301,070
FTE	851	851	861
B. Save lives and reduce injuries by preventing and minimizing the severity of HAZMAT incidents involving CMVs			
1. Motor Carrier Safety Operations and Programs	\$8,647	\$8,991	\$10,285
2. Motor Carrier Safety Grants	\$9,000	\$9,000	\$9,000
FTE	84	84	84

The Administration is developing a comprehensive approach for surface transportation reauthorization, and will work with Congress in developing a legislative framework to support critical motor carrier program activities that will reduce crashes, save lives, and prevent injuries on the Nation's highways.

Commercial Motor Vehicle Safety Goal Logic Model



NOTE: Totals may not add due to rounding

Promoting safety is the Federal Motor Carrier Safety Administration's (FMCSA) primary mission.

SAFETY GOAL DASHBOARD

CMV Safety Strategic Objectives

- Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes.
- Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles.

Performance Strategies

- Increase Compliance with Federal Motor Carrier Safety Regulations and Federal Hazardous Materials Regulations.
- 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.

FMCSA is committed to helping the Department achieve the new High Priority Performance Goal with a new target to reduce the rate of highway fatalities to 1.13 – 1.16 fatalities per 100 million vehicle miles traveled (VMT) by the end of FY 2011. Additionally, FMCSA is modernizing its enforcement business process through its Comprehensive Safety Analysis 2010 (CSA 2010) initiative which seeks to improve the efficiency and effectiveness of the compliance and enforcement program. Using a performance based safety fitness determination methodology and a broader array of progressive compliance interventions, CSA 2010 will provide a greater reduction in large truck and bus crashes, injuries, and fatalities. By December 2010, this initiative will be fully tested and ready for implementation.

Recent performance indicators demonstrate that FMCSA's efforts have contributed to saving over 10,000 lives since 2000, the year FMCSA was established. Safety is essential for the economy, the health of citizens, and expansion of the transportation network. FMCSA has two primary objectives under the Safety goal:

Objective 1: Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes

The FMCSA is on pace to achieve the new High Priority Performance Goal of reducing fatalities to 1.13 – 1.16 per 100 million vehicle miles traveled by 2011. In FY 2007, highway fatalities involving large trucks and buses fell to 0.169 fatalities per 100 million VMT. This represents a five percent improvement over 2006. The Agency has initiated an array of activities and strategies to improve its impact on safety. Preliminary data show that FMCSA also exceeded the FY 2008 fatality goal target by achieving a rate of 0.155 fatalities per 100 million total VMT from crashes involving large trucks and buses. This represents a further reduction of eight percent between 2007 and 2008.

Table 4A-1

DOT High Priority Performance Goal: Safety *

Rate of highway fatalities per 100 Million Vehicle Miles Traveled. <i>Shared Measure with NHTSA and FHWA.</i>						
	2006	2007	2008	2009	2010	2011
Target	1.38	1.38	1.37	1.35	1.30	1.13 - 1.16
Actual	1.42r	1.36r	1.25	TBD		

*For FY 2011, DOT identified this measure as a High Performance Goal and set a new target to reduce the rate of highway fatalities to 1.13 – 1.16 fatalities per 100 million vehicle miles traveled (VMT) by the end of FY 2011. The FY 2010 rate is 1.3 fatalities per 100 million VMT. However, DOT may revise and further refine its goal in the future based on findings from its new research.

The performance measure shown in Table 4A-1 serves as FMCSA’s primary outcome-based performance measure, and is geared to measure the objective of “Saving Lives and Reducing Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes.”

The achievement of FMCSA’s primary safety goal has either remained steady or improved every year since FMCSA’s inception in 2000. This improvement can be attributed to the implementation and maturation of several aggressive safety programs, either implemented or augmented from the 2005 Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy For Users (SAFETEA-LU) authorization legislation. Fatalities are shown here as a rate per 100 million total VMT. Increases in funding to safety activities drove increases in outreach, education, enforcement, roadside inspections, interventions, the implementation of aggressive safety-oriented rules and strong partner support. These initiatives contributed greatly to achieving the lowest recorded fatality rate in the Agency’s history.

Table 4A-2

Injury crashes involving large trucks and buses per 100 million total VMT (Calendar year) 1/	2006	2007	2008	2009	2010	2011
Target	N/A	N/A	N/A	2.75	2.71	2.67
Actual	2.88	2.72	2.54*	-	-	-

1/ New Performance Measure Initiated in 2009

*preliminary estimate

The performance measure shown in Table 4A-2 tracks the Agency’s progress on reducing highway injuries linked to crashes. The measure counts injury crashes that include large trucks, greater than 10,000 pounds, and regulated buses that operate on the interstate highways. This measures the Agency’s progress towards meeting the strategic goal of reducing injuries by reducing CMV crashes.

Table 4A-3

Fatal crashes involving large trucks and buses per 100 million total VMT (Calendar year)	2006	2007	2008	2009	2010	2011
Target	N/A	N/A	N/A	0.154	0.152	0.150
Actual	0.154	0.147	0.136*	-	-	-

*preliminary estimate

The performance measure shown in Table 4A-3 counts fatal crashes that include large trucks greater than 10,000 pounds and regulated buses operating on the interstate highways. This new measure was developed in CY 2009 to show that the Agency has made consistent progress towards meeting the strategic goal of reducing fatalities by reducing CMV crashes.

Table 4A-4

Safety Intervention Effectiveness	2006	2007	2008	2009	2010	2011
Target	N/A	N/A	N/A	N/A	69.6%	70.6%
Actual	-	69.9%	71.0%	71.8%*	-	-

*preliminary estimate

The performance measure shown in Table 4A-4 measures the rate CMV carriers either improve or maintain a satisfactory level of compliance from one compliance review (CR) (the Agency's main safety intervention) visit to the next. The measure of 71.0 percent in FY 2008 indicates that the CR achieves its desired effect of improved compliance more than two-thirds of the time. Carriers tend to improve after they have received an enforcement intervention (CR, roadside inspection, audit.) As FMCSA introduces multiple types of CSA 2010 enforcement interventions in the future, coupled with more direct interactions with carriers, this rate will improve.

Table 4A-5

States satisfying "green" data quality criteria as reflected on the State Safety Data Quality (SSDQ) map.	2006	2007	2008	2009	2010	2011
Target	32	38	12	28	32	36
Actual	35	21	29	-	-	-

NOTE: New measures were added in FY 2007 impacting the 2007 actual and changing the 2008 and beyond targets.

The performance measure shown in Table 4A-5 addresses quality concerns to improve data quality and enable FMCSA to more effectively target "at risk" carriers and operators. This methodology was developed to evaluate the completeness, timeliness, accuracy, and consistency of the state-reported commercial motor vehicle crash and inspection records in the Motor Carrier Management Information System (MCMIS). The quality of crash data is evaluated monthly and the states receive ratings of "Good" (*Green*), "Fair" (*Yellow*) or "Poor" (*Red*) for seven State Safety Data Quality (SSDQ) measures as well as the overall rating reflected in this measure. This overall rating considers all seven SSDQ measures. FMCSA depends on accurate and timely safety data collected by states to prioritize CMV companies for roadside inspections and on-site safety compliance reviews.

Table 4A-6

Safety belt use by drivers of large trucks	2006	2007	2008	2009	2010	2011
Target	55%	59%	68%	70%	71%	72%
Actual	59%	65%	72%	-	-	-

Wearing safety belts is a proven lifesaving measure. The performance measure shown in Table 4A-6 shows the percent of CMV operators who wear safety belts based on National Occupant Protection Use Survey (NOPUS) measures. The Agency goal is to increase safety belt use by CMV operators to reduce injuries and fatalities. About half of CMV-occupant fatalities involve the vehicle rolling over and the driver being ejected. Safety belt use reduces the likelihood of death by 30 times in such crashes. In 2004, FMCSA began emphasizing CMV operator safety belt use after 48% of CMV operators were found to be belted compared to about 80% of passenger vehicle occupants. Progress in this performance measure will contribute to the Agency's overall safety goals.

Objective 2: Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents involving Commercial Vehicles

In 2007 (the most recent data available), FMCSA exceeded the goal of no more than 466 serious hazardous materials (HAZMAT) incidents involving CMVs. Education activities, stronger regulatory standards, and the delivery of strong compliance initiatives contributed to a national improvement in reducing the number of serious HAZMAT incidents by nine percent between 2005 and 2007.

Table 4A-7

Number of serious reportable HAZMAT incidents involving CMVs	2006	2007	2008	2009	2010	2011
Target	470	466	485	420	400	390
Actual	401	391	354*	-	-	-

*preliminary estimate

The performance measure shown above in Table 4A-7 shows the number of serious reportable HAZMAT incidents involving CMVs. The objective is to reduce the number of serious reportable hazardous material incidents. Serious incidents, as defined by Pipeline and Hazardous Materials Safety Administration (PHMSA) Standards include: incidents resulting in a fatality or major injury; the evacuation of 25 or more employees, responders or any member of the general public; the closure of a major transportation artery; the alteration of an aircraft flight plan or operation caused by the release of a hazardous material; or the exposure of hazardous material to fire. Serious HAZMAT incidents also include any release of the following: radioactive materials from Type B packaging, Risk Group 3 or 4 infectious substances, over 11.9 gallons or 88.2 pounds of a severe marine pollutant, or a bulk quantity (over 119 gallons or 882 pounds) of a hazardous material. In 2000, the Agency set a goal of a 20 percent improvement by 2010. New targets were developed, beginning in FY 2009, to set more aggressive goals since actual performance has exceeded previous goals.

The FMCSA achieves national success in promoting safety through five strategies, as outlined in the following sections.

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Operating Administration: FMCSA					Dollar (\$M)s	FTEs
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)			\$ 527.469	974
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes			\$ 508.184	890
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles			\$ 19.285	84
FMCSA Strategy:		Increase Compliance with Federal Motor Carrier Safety Requirements			\$ 351.054	789
Contribution to DOT Goals:		Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.				
Purpose - Customers and Beneficiaries		Develop safety-related direction and guidance in support of the regulated large truck and bus industry (carriers and drivers), and provide assurance to safety advocates and the public at large that the highways are safer.				
Program Name (Performance Element)	FY 2011 Inputs (Resources)		FY 2011 Activity (Products and Services)	FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
	(\$M)	FTE				
Regulatory & Standards Development	\$5.773	22	The purpose of this element is to promulgate effective and timely, research-based regulations that advance the Agency's strategic goals. Through regulations, FMCSA will promote improved safety and strengthen operating requirements. The Agency will provide a clear path for compliance and enforcement efforts, and establish the keystone of enhanced safety performance and outreach efforts. Standards and regulations are the basis for FMCSA safety and commercial enforcement activities. FMCSA implements non-regulatory policy approaches such as interpretations, exemptions, pilots, and educational materials to address unique CMV challenges. FMCSA develops outreach materials and information and provides responses to industry and stakeholder inquiries to improve understanding of new and existing regulations and standards. The Agency 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 these activities is to establish well-written, concise, and effective standards, guidance, and regulations for the motor carrier industry.	In FY 2011, FMCSA will complete a review and revision of Regulatory Guidance associated with commercial motor vehicle (CMV) regulations, and continues to review all aspects of fatigue-management, driver distraction, and other driver performance factors as they relate to CMV drivers. The Agency will continue extensive ongoing regulatory and policy development as well as subject-matter guidance and outreach to stakeholders and partners.	This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 – 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 -1.16 fatalities per 100 million VMT by end of FY 2011. This performance measure serves as FMCSA's primary outcome-based performance measure, and is geared to measure the objective of "Saving Lives and Reducing Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes. 2. Reduced rate of injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. This performance measure tracks the Agency's prior progress on reducing highway injuries linked to crashes. The measure counts injury crashes that include large trucks, greater than 10,000 pounds, and regulated buses that operate on the interstate highways. This measures the Agency's progress towards meeting the strategic goal of reducing injuries by reducing CMV crashes. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150. This performance measure counts fatal crashes that include large trucks greater than 10,000 pounds and	

Operating Administration: FMCSA					
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)		Dollar (\$M)s	FTEs
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes		\$ 527.469	974
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles		\$ 508.184	890
FMCSA Strategy:		Increase Compliance with Federal Motor Carrier Safety Requirements		\$ 19.285	84
Contribution to DOT Goals:		Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.		\$ 351.054	789
Purpose - Customers and Beneficiaries		Develop safety-related direction and guidance in support of the regulated large truck and bus industry (carriers and drivers), and provide assurance to safety advocates and the public at large that the highways are safer.			
Program Name (Performance Element)	FY 2011		FY 2011 Activity (Products and Services)	FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes
	Inputs (Resources)	FTE			
					regulated buses operating on the interstate highways. This new measure was developed in CY 2009 to show that the Agency has made consistent progress towards meeting the strategic goal of reducing fatalities by reducing CMV crashes. 4. Number of serious reportable HAZMAT incidents involving CMVs; CY2011 target is no more than 390. The performance measure's objective is to reduce the number of serious reportable hazardous material incidents. Serious incidents, as defined by Pipeline and Hazardous Materials Safety Administration (PHMSA) Standards include: incidents resulting in a fatality or major injury; the evacuation of 25 or more employees, responders or any member of the general public; the closure of a major transportation artery; the alteration of an aircraft flight plan or operation caused by the release of a hazardous material; or the exposure of hazardous material to fire. Serious HAZMAT incidents also include any release of the following: radioactive materials from Type B packaging, Risk Group 3 or 4 infectious substances, over 11.9 gallons or 88.2 pounds of a severe marine pollutant, or a bulk quantity (over 119 gallons or 882 pounds) of a hazardous material

Operating Administration: FMCSA						Dollar (\$M)s	FTEs	
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)					\$ 527.469	974
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes					\$ 508.184	890
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles					\$ 19.285	84
FMCSA Strategy:		Increase Compliance with Federal Motor Carrier Safety Requirements					\$ 351.054	789
Contribution to DOT Goals:		Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.						
Purpose - Customers and Beneficiaries		Develop safety-related direction and guidance in support of the regulated large truck and bus industry (carriers and drivers), and provide assurance to safety advocates and the public at large that the highways are safer.						
Program Name (Performance Element)	FY 2011 Inputs (Resources)		FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs		FY 2011 Planned Outcomes	
	(\$M)	FTE						
Enforcement & Compliance Operations	\$101.881	750	The enforcement and compliance activity helps to ensure compliance with the FMCSRs and to remove unsafe carriers from the Nation's highways. Targeted enforcement, driven by data, is FMCSA's primary strategy for meeting its safety goals. FMCSA targets high risk carriers through a series of interventions such as compliance reviews, safety audits, HAZMAT carrier reviews, and roadside inspections. The Agency has a successful partnership with states to implement these programs. The frequency of truck crashes, fatalities, and injuries have declined over the years, as a result of these efforts.			In FY 2011, FMCSA will implement the electric on-board recorder rule provisions and continue to execute the new entrant and intermodal rule provisions. The Agency will continue work on the Drug and Alcohol testing database and proactively enforce the return to duty provisions after testing positive for drugs. FMCSA will continue field activity in the areas of roadside inspections, compliance reviews, safety audits, household goods safety compliance reviews, and successor liability enforcement. FMCSA staff will fully employ the safety interventions adopted under the CSA 2010 model.		
						This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 – 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 -1.16 fatalities per 100 million VMT by end of FY 2011. 2. Reduced rate of injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150. 4. Number of serious reportable HAZMAT incidents involving CMVs; CY2011 target is no more than 390. 5. Safety intervention effectiveness; CY 2011 target is 70.6 percent.		

Operating Administration: FMCSA					Dollar (\$M)s	FTEs
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)			\$ 527.469	974
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes			\$ 508.184	890
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles			\$ 19.285	84
FMCSA Strategy:		Increase Compliance with Federal Motor Carrier Safety Requirements			\$ 351.054	789
Contribution to DOT Goals:		Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.				
Purpose - Customers and Beneficiaries		Develop safety-related direction and guidance in support of the regulated large truck and bus industry (carriers and drivers), and provide assurance to safety advocates and the public at large that the highways are safer.				
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
Passenger Carrier Safety Operations	\$2.330	17	A critical part of FMCSA's overall highway safety mission is to reduce crashes, injuries, and fatalities involving commercial passenger vehicles. 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 the Nation's transportation network. FMCSA estimates that bus travel grew three to seven percent annually in recent years. Each year more than 34,000 commercial motor carriers provide over 700 million passenger trips, giving commercial bus travel the same breadth as commercial air travel. This sector 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 over 35,000 motorcoaches in the U.S. There are approximately 120,000 drivers who have Commercial Driver's Licenses (CDLs) with passenger endorsements.	In FY 2011, FMCSA will continue to implement the Department's Motorcoach Safety Action Plan to improve motorcoach safety through reducing crashes, injuries, and fatalities. In support of this effort, FMCSA's operating authority vetting system team will monitor passenger carriers who apply for operating authority and evaluate the automated authority application system. The interstate small passenger van provisions of SAFETEA-LU will be carried out and CSA2010 interventions will be conducted on these carriers. The enforcement provisions of the Over the Road Bus (OTRB) Accessibility Act will be fully executed and data will be maintained on carriers who have their authority suspended or revoked for non-compliance. The Agency will continue to communicate with the Department of Justice (DOJ) and coordinate with them as per the Memorandum of Understanding (MOU) for ADA activities. FMCSA will also determine ADA compliance by OTRB companies in conjunction with New Entrant safety audits and CRs. Additionally, FMCSA's support will include working with state partners to conduct field strike force activities, destination inspections, and terminal reviews on a national basis. Reviews will be conducted by safety investigators based on data from the CSA 2010 program.	This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 – 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 -1.16 fatalities per 100 million VMT by end of FY 2011. 2. Reduced rate of Injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150. 4. Safety intervention effectiveness; CY 2011 target is 70.6 percent.	

Operating Administration: FMCSA						Dollar (\$M)s	FTEs	
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)				\$ 527.469	974	
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes				\$ 508.184	890	
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles				\$ 19.285	84	
FMCSA Strategy:		Increase Compliance with Federal Motor Carrier Safety Requirements				\$ 351.054	789	
Contribution to DOT Goals:		Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.						
Purpose - Customers and Beneficiaries		Develop safety-related direction and guidance in support of the regulated large truck and bus industry (carriers and drivers), and provide assurance to safety advocates and the public at large that the highways are safer.						
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs		FY 2011 Planned Outcomes		
HAZMAT Safety and Permitting Operations	\$9,054	78	The purpose of this performance element is to reduce serious HAZMAT incidents involving CMVs by ensuring that HAZMAT carriers comply with FMCSRs and Federal Hazardous Materials Regulations (FHMRS). FMCSA accomplishes this through various enforcement interventions such as HAZMAT compliance reviews, HAZMAT shipper reviews, cargo tank facility reviews, HAZMAT package inspections, and HAZMAT vehicle inspections. FMCSA partners with PHMSA and other governmental agencies to ensure HAZMAT is transported in a safe and secure manner. FMCSA and PHMSA have developed systems to share HAZMAT information to support each other's initiatives. FMCSA continues to partner with PHMSA to develop and enhance HAZMAT initiatives to support the Department's requirement to reduce crashes and serious HAZMAT incidents.		In FY 2011, FMCSA will continue to conduct prioritized interventions such as HAZMAT compliance reviews, HAZMAT shipper reviews, and roadside strike force enforcement to verify PHMSA registration, HMSP verification and safety compliance. The Agency will continue its efforts in conducting HAZMAT package inspections, HAZMAT cargo tank facility reviews and vehicle inspections. FMCSA will continue its partnerships with the HAZMAT industry by conducting cargo tank facility outreach training, and promoting traffic enforcement efforts to reduce the incidences of rollover crashes. FMCSA plans to provide information surrounding service life of cargo tanks to PHMSA for future analysis. FMCSA will continue to meet the SAFETEA-LU mandate of the Sanitary Food Transportation Act of 2005, by continuing to provide training on sanitary food transportation. The Agency will continue its efforts to fully reestablish the cargo tank manufacturing program. FMCSA will begin to implement the findings of the HAZMAT serious crash study into FMCSA HAZMAT activities. Building on the work begun in FY 2010, FMCSA will increase compliance with the HAZMAT routing regulations.		This performance element supports the DOT goal of reducing the number of serious reportable transportation-related HAZMAT incidents to no more than 448 in calendar year 2011, and contributes to the accomplishment of the following FMCSA performance measure: 1. Number of serious reportable HAZMAT incidents involving CMVs; CY2011 target is no more than 390. This performance element also supports the DOT goal of reducing highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 -1.16 fatalities per 100 million VMT by end of FY 2011 2. Reduced rate of Injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150.	

Operating Administration: FMCSA							Dollar (\$M)s	FTEs
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)					\$ 527.469	974
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes					\$ 508.184	890
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles					\$ 19.285	84
FMCSA Strategy:		Increase Compliance with Federal Motor Carrier Safety Requirements					\$ 351.054	789
Contribution to DOT Goals:		Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.						
Purpose - Customers and Beneficiaries		Develop safety-related direction and guidance in support of the regulated large truck and bus industry (carriers and drivers), and provide assurance to safety advocates and the public at large that the highways are safer.						
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FTE	FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs		FY 2011 Planned Outcomes	
Motor Carrier Safety Assistance Grants	\$ 213.110	0	The FMCSA's Motor Carrier Safety Assistance grants supplement state resources to reduce the incidence and severity of CMV crashes. They accomplish this by supporting and enhancing state CMV safety enforcement, technology deployment, and safety information capabilities. Basic Motor Carrier Safety Assistance grants funds and safety performance incentive funds support state conducted roadside inspections, compliance reviews, traffic enforcement, public outreach, training, and data collection. 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 safety audits.		In FY 2011, FMCSA will continue its efforts in requiring states to identify CMV high-crash corridors and propose specific actions for reducing the frequency and severity of crashes in these corridors. The Agency will increase the focus on traffic enforcement efforts on rural roads and in highway work zones. FMCSA will continue to focus on drivers by ensuring that states include Level III inspections as part of state-conducted roadside inspections. As part of the increased attention paid to motorcoaches, FMCSA will require states to continue to include a bus inspection component into their CVSPs. 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. FMCSA will work with state partners to ensure that they incorporate the CSA 2010 enforcement and business model changes into their CVSPs and grant deliverables. The Agency will also implement outreach and training to educate grantees on new performance measures driven by the new CSA 2010 interventions and other enforcement activities.		This performance element supports the DOT goal of reducing highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 -1.16 fatalities per 100 million VMT by end of FY 2011 2. Reduced rate of Injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150. 4. Number of serious reportable HAZMAT incidents involving CMVs; CY2011 target is no more than 390. 5. Safety intervention effectiveness; CY 2011 target is 70.6 percent. 6. Safety belt use by drivers of large trucks; CY 2011 target is 72 percent. Wearing safety belts is a proven lifesaving measure. The performance measure shows the percent of CMV operators who wear safety belts based on National Occupant Protection Use Survey (NOPUS) measures. The Agency goal is to increase safety belt use by CMV operators to reduce injuries and fatalities. About half of CMV-occupant fatalities involve the vehicle rolling over and the driver being ejected. Safety belt use reduces the likelihood of death by 30 times in such crashes.	

Operating Administration: FMCSA					Dollar (\$M)s	FTEs	
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)				\$ 527.469	974
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes				\$ 508.184	890
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles				\$ 19.285	84
FMCSA Strategy:		Increase Compliance with Federal Motor Carrier Safety Requirements				\$ 351.054	789
Contribution to DOT Goals:		Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.					
Purpose - Customers and Beneficiaries		Develop safety-related direction and guidance in support of the regulated large truck and bus industry (carriers and drivers), and provide assurance to safety advocates and the public at large that the highways are safer.					
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes		
Border Enforcement Grants	\$ 32.000	0	These grants cover necessary safety enforcement of nearly 11.9 border crossings between the United States, Canada and Mexico each year. Foreign carriers, drivers, and vehicles must comply with the same Federal safety regulations as their U.S. counterparts when operating in this country. Border grant funding supports state efforts to enforce the Federal motor carrier safety, operating authority, and financial responsibility requirements on foreign carriers. This activity promotes the necessary telecommunications and IT systems among the states and with Federal border inspection agencies and the governments of Canada and Mexico.	In FY 2011, FMCSA will continue working with southern and northern border-states to ensure compliance with FMCSRs by maintaining an optimal number of inspections of foreign-domiciled carriers and drivers operating at or near the U.S. borders. Inspections will include checks to verify drivers possess a valid commercial driver's license and ensure proof of required financial responsibility and active authority to operate in the United States. Federal and state personnel will ensure priority is given to inspections of foreign domiciled motor coaches and commercial motor vehicles transporting HAZMAT.	This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 – 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 -1.16 fatalities per 100 million VMT by end of FY 2011 2. Reduced rate of Injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150. 4. Number of serious reportable HAZMAT incidents involving CMVs; CY2011 target is no more than 390. 5. Safety intervention effectiveness; CY 2011 target is 70.6 percent.		
		The Southern border enforcement grants funds are used to support state inspectors involved in inspection of foreign carriers, drivers, and vehicles along and near the border with Mexico. Northern border enforcement grants are used to fund additional state inspection activities and related operations along the highway corridors leading from Canada. The affected states have developed CMV enforcement activities unique to their situations, including hiring additional staff to address cross border traffic.					

Operating Administration: FMCSA					Dollar (\$M)s	FTEs	
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)				\$ 527.469	974
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes				\$ 508.184	890
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles				\$ 19.285	84
FMCSA Strategy:		Increase Compliance with Federal Motor Carrier Safety Requirements				\$ 351.054	789
Contribution to DOT Goals:		Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.					
Purpose - Customers and Beneficiaries		Develop safety-related direction and guidance in support of the regulated large truck and bus industry (carriers and drivers), and provide assurance to safety advocates and the public at large that the highways are safer.					
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FTE	FY 2011 Activity (Products and Services)	FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes		
Performance and Registration Information System Management (PRISM) Grants	\$ 5,000	0	PRISM provides a direct safety enforcement link by tying carrier safety performance to vehicle identification numbers (VINs). PRISM states require motor carriers to identify and link the USDOT number to each registered vehicle in their fleet. The link to individual VINs helps identify motor carriers that change company names in an attempt to evade FMCSA sanctions. PRISM grant funding to states is used primarily to establish information system connectivity among roadside enforcement personnel, state vehicle registration agencies and FMCSA. This provides 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 PRISM is that state vehicle registration agencies suspend a motor carrier's IRP license plates in conjunction with an FMCSA order to cease interstate operation. States also deny renewal of IRP license plates to any motor carrier that is prohibited from operating in interstate commerce by FMCSA. During FY 2008, FMCSA ordered nearly 972 motor carriers to cease interstate operations. These numbers are expected to continue to increase in both FY 2010 and FY 2011.	In FY 2011, FMCSA will continue to oversee PRISM grants in participating states and increase connectivity at the roadside and improve the availability of near real-time carrier/vehicle safety status information for law enforcement officers to identify out-of-service carriers. FMCSA will continue increased emphasis to upgrade IRP offices for PRISM connectivity. The FMCSA will continue to conduct briefings with state motor carrier associations and other stakeholders to educate them on model PRISM-enabling state legislation. FMCSA will continue providing PRISM support to the states for 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 continue efforts to 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 as a condition of license plate renewal. Additionally, FMCSA will continue working with state partners to increase the number of states that suspend, revoke, or deny license plates based on FMCSA's determination that the carrier must cease interstate operations.	This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 – 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 -1.16 fatalities per 100 million VMT by end of FY 2011 2. Reduced rate of Injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150. 4. Number of serious reportable HAZMAT incidents involving CMVs; CY2011 target is no more than 390.		

Operating Administration: FMCSA					Dollar (\$M)s	FTEs	
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)				\$ 527.469	974
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes				\$ 508.412	890
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles				\$ 19.285	84
FMCSA Strategy:		Promote Safe Operations and Best Practices through Partnerships and Education				\$ 7.510	9
Contribution to DOT Goals:		Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.					
Purpose – Customers and Beneficiaries		Safety-related training and outreach information for the regulated large truck and bus industry (carriers and drivers), and provide safety assurances to safety advocates and the public at large					
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Planned Accomplishments)		FY 2011 Achievements and Outputs		FY 2011 Planned Outcomes	
	(\$M)	FTE					
Safety Training	\$4.757	6	This performance element assures that each federally funded motor carrier safety enforcement official is 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 HAZMAT. FMCSA is the sole provider of motor carrier technical safety training for Federal and state safety investigators, auditors, and inspectors. This training encompasses all CMV enforcement personnel including new hires, experienced enforcement officials, specialists, and program managers. This training also includes border operations training and provides additional border related training of the above material. The FMCSA develops training for Federal and state personnel when significant rulemaking changes are implemented. Changes to rulemakings due to implementation of CSA 2010 and SAFETEA-LU mean 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 recertification will place new and revised demands on the training division.	In FY 2011, FMCSA will continue to focus on optimizing the efficiency of training activities through various methods, including fully integrating distance learning, simulation, hands-on and other modern techniques. This will include continuing the process of accreditation, if it is determined to be feasible. The Agency will continue efforts to ensure training focuses on preparing FMCSA and state partners in implementing the CSA 2010 enforcement and business model.	This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 – 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 -1.16 fatalities per 100 million VMT by end of FY 2011. 2. Reduced rate of injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150. 4. Number of serious reportable HAZMAT incidents involving CMVs; CY2011 target is no more than 390. 5. Safety intervention effectiveness; CY 2011 target is 70.6 percent.		

Operating Administration: FMCSA					Dollar (\$M)s	FTEs		
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)				\$ 527.469	974	
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes				\$ 508.412	890	
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles				\$ 19.285	84	
FMCSA Strategy:		Promote Safe Operations and Best Practices through Partnerships and Education				\$ 7.510	9	
Contribution to DOT Goals:		Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.						
Purpose – Customers and Beneficiaries		Safety-related training and outreach information for the regulated large truck and bus industry (carriers and drivers), and provide safety assurances to safety advocates and the public at large						
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Planned Accomplishments)		FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes			
Outreach and Education	<table><tr><td>\$2.793</td><td>3</td></tr></table>	\$2.793	3	The FMCSA conducts outreach and educational activities in support of DOT's strategic goals. The Agency partners with FHWA, NHTSA, states, safety advocates, enforcement and industry stakeholders to inform and heighten public awareness and appreciation of the safe operation and best driver safety practices for both CMVs and the passenger vehicles. The Agency provides consumer awareness materials to the general public to equip them with the information necessary to protect themselves against moving fraud by dishonest movers.		In FY 2011, FMCSA will focus a great deal of outreach and education efforts on the implementation of CSA 2010 and the new enforcement and business processes it employs. FMCSA will enhance and expand the Driver Outreach Initiative so as to more effectively communicate information specifically geared towards drivers. The Agency will continue to promote the TACT activity in selected states with the highest fatality and crash rates, combining high-visibility enforcement with education, communications, and evaluation. FMCSA will use the TACT evaluation completed in FY 2010 to establish best practice strategies for future improvements. FMCSA will continue highlighting CMV safety belt outreach and enforcement activities during Roadcheck 2011. The Agency will also 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 translating designated outreach materials into Spanish and French. FMCSA will continue efforts in research, design, and development of educational and training materials concerning passenger safety for bus companies, drivers, Medical Examiners and other high priority groups.	This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 – 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 -1.16 fatalities per 100 million VMT by end of FY 2011. 2. Reduced rate of Injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150. 4. Safety belt use by drivers of large trucks; CY 2011 target is 72 percent. 5. Number of serious reportable HAZMAT incidents involving CMVs; CY2011 target is no more than 390.	
\$2.793	3							

Operating Administration: FMCSA					
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)		Dollar (\$M)s	FTEs
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes		\$ 527.469	974
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles		\$ 508.412	890
FMCSA Strategy:		Improve Driver Qualifications, Credentialing, and Licensing Systems.		\$ 19.285	84
Contribution to DOT Goals:		Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.		\$ 39.405	20
Purpose – Customers and Beneficiaries					
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)	FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
	(\$M)				
Federal Commercial Driver's License (CDL) Operations	\$1.436	7	This performance element provides regulatory development, interpretation, and oversight to ensure rules are in place and effective so that only qualified drivers receive a CDL and help identify and remove disqualified drivers from the road. Since the responsibility for issuing and managing CDLs rests with states, this performance element provides covert and overt task forces to identify fraud and compliance reviews of state CDL programs. More than 13 million CDLs have been issued since the first was issued in 1989. Every month, another 40,000 CDLs are issued by states. Since the FMCSA CDL state compliance reviews were initiated in 1994, every state CDL activity has been reviewed at least three times. Currently, FMCSA reviews a state at least every 3½ years or sooner if a problem is identified within the State's program. The DOT's OIG has identified the need for improved oversight of the CDL activity as a Departmental Management Challenge. One of the principal findings of the OIG is that the risk of CDL fraud is a significant issue within the states.	In FY 2011, FMCSA will continue its CDL activities to build on FY 2010 accomplishments and ensure that States are in compliance with the current and newly effective CDL requirements. This will include working closely with the states as they continue to implement the new CDLIS modernization requirements and the merging of the medical certification requirements as part of the CDL record.	This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 – 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 - 1.16 fatalities per 100 million VMT by end of FY 2011. 2. Reduced rate of injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150.

Operating Administration: FMCSA					
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)		Dollar (\$M)s	FTEs
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes		\$ 527.469	974
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles		\$ 508.412	890
		Improve Driver Qualifications, Credentialing, and Licensing Systems.		\$ 19.285	84
FMCSA Strategy:				\$ 39.405	20
Contribution to DOT Goals:		Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.			
Purpose – Customers and Beneficiaries		Driver related safety initiatives for the regulated large truck and bus industry (carriers and drivers), and provide safety assurances to safety advocates and the general public.			
Program Name (Performance Element)	FY 2011	FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes
	Inputs (Resources)				
Driver Medical Qualifications					
	\$6.969	13	The FMCSA has jurisdiction over the medical oversight of approximately 14 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. FMCSA’s medical activity has developed a strategy for creating a much-improved comprehensive medical program, including evaluation of the current medical certification process and successful implementation of key initiatives. The driver medical oversight function covers medical regulation and policy development, development of an examiner performance system (the National Registry of Medical Examiners), and establishment of state and Federal capacity for medical status reporting and monitoring.	In FY 2011, FMCSA will reach out to stakeholder groups and the public through the internet, meetings, listserv, and other means to ensure understanding of how to execute compliance requirements and maximize early participation. FMCSA plans to implement an online application process for vision exemptions.	This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 – 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 - 1.16 fatalities per 100 million VMT by end of FY 2011. 2. Reduced rate of injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150.

Operating Administration: FMCSA					Dollar (\$M)s	FTEs	
Strategic Goal:	SAFETY (information drawn from Section 4A of the FY 2011 budget)					\$ 527.469	974
FMCSA Objectives:	Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes					\$ 508.412	890
	Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles					\$ 19.285	84
FMCSA Strategy:	Improve Driver Qualifications, Credentialing, and Licensing Systems.					\$ 39.405	20
Contribution to DOT Goals:	Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.						
Purpose – Customers and Beneficiaries	Driver related safety initiatives for the regulated large truck and bus industry (carriers and drivers), and provide safety assurances to safety advocates and the general public.						
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)			FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
	(\$M)	FTE					
Commercial Driver's License (CDL) Improvement Grants	\$30,000	0	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 HAZMAT 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, DOT, in partnership with the American Association of Motor Vehicle Administrators (AAMVA), created the national CDLIS pointer system that would enable the states to communicate and exchange driver license information.			In FY 2011, FMCSA plans to continue providing grant funds to the States for their implementation efforts of the new modernized CDLIS. The Agency will continue monitoring the use of CDLIS grant funds by the States and AAMVA for eligible activities	This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 – 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 - 1.16 fatalities per 100 million VMT by end of FY 2011. 2. Reduced rate of injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150.

Operating Administration: FMCSA				Dollar (\$M)s	FTEs
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)			974
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes			890
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles			84
		Improve Driver Qualifications, Credentialing, and Licensing Systems.			20
Contribution to DOT Goals:		Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.			
Purpose – Customers and Beneficiaries		Driver related safety initiatives for the regulated large truck and bus industry (carriers and drivers), and provide safety assurances to safety advocates and the general public.			
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)	FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
	(\$M)	FTE			
Commercial Driver's License Information System (CDLIS) Grants	\$0	0	The FMCSA selected AAMVA, a non-profit association that represents the state officials who administer and enforce motor vehicle laws, as the responsible organization for operating and modernizing the CDLIS. In full operation since April 1992, CDLIS serves as a clearinghouse that each of the 51 jurisdictions (the 50 states and the District of Columbia) can check before issuing a CDL. CDLIS helps to ensure that only one license or CDL is issued to each driver nationwide and ensures that all convictions are reported to the licensing state and are made a part of the driver's record. 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 CMVs in the United States. CDLIS was originally created to accommodate approximately four to five million drivers and currently includes nearly 14 million CDL records. A modernization effort will enable FMCSA and the states to take advantage of new IT advances and expand CDLIS' storage capacity to make it more responsive to current needs.	In FY 2011, FMCSA plans to continue providing grant funds to the States for their implementation efforts of the new modernized CDLIS. The Agency will continue monitoring the use of CDLIS grant funds by the States and AAMVA for eligible activities.	This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 - 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 - 1.16 fatalities per 100 million VMT by end of FY 2011. 2. Reduced rate of injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150.

Operating Administration: FMCSA						
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)			Dollar (\$M)s	FTEs
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes			\$ 527.469	974
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles			\$ 508.412	890
FMCSA Strategy:		Improve Driver Qualifications, Credentialing, and Licensing Systems.			\$ 19.285	84
Contribution to DOT Goals:		Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.				
Purpose – Customers and Beneficiaries		Driver related safety initiatives for the regulated large truck and bus industry (carriers and drivers), and provide safety assurances to safety advocates and the general public.				
Program Name (Performance Element)	FY 2011	FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
	Inputs (Resources)					
	(\$M)	FTE				
Commercial Motor Vehicle (CMV) Operator Grants	\$1,000	0	The CMV Operators grant was created to provide an incentive to support quality training for CMV operators. These funds are intended for community colleges and truck driver training schools. Because driver behavior was identified as the most prominent cause of truck crashes, these funds will help the Agency achieve its goal of reducing large truck and bus related fatalities.	In FY 2011, FMCSA will continue providing grants to train operators and future operators in the safe use of CMVs. Additionally, FMCSA will award grants to qualified applicants in accordance with criteria established by the Agency to address FMCSA’s priority areas for increasing driver emphasis and training to meet the Agency’s long term safety goal.	This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 – 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 - 1.16 fatalities per 100 million VMT by end of FY 2011. 2. Reduced rate of Injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150.	

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Operating Administration: FMCSA					
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)		Dollar (\$M)s	FTEs
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes		\$ 527.469	974
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles		\$ 508.412	890
				\$ 19.285	84
FMCSA Strategy:		Improve Safety Information, Research, and Analysis to Advance Innovation and Technical Solutions		\$81.762	40
Contribution to DOT Goals:		Contribute to the Department of Transportation (DOT) Safety strategic goal 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			
Purpose – Customers and Beneficiaries		Information and research related safety enhancements and initiatives which improve our knowledge of the regulated large truck and bus industry (carriers, drivers).			
Program Name (Performance Element)	FY 2011	FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs	
	Inputs (Resources)				
	(\$M)	FTE			
Information Management	\$42.697	18	This performance element addresses the efficient and effective collecting, compiling, analyzing, and disseminating of crucial safety data so that FMCSA and its safety partners can develop the most effective countermeasures, including regulations, programs, and policy, conduct operations, and allocate scarce resources to positively impact truck and bus safety. Without the best and most reliable data or adequate IT tools, FMCSA and its safety partners will not be able to accurately focus on the highest risk motor carriers, drivers, and vehicles, nor will FMCSA be able to measure the effectiveness of its programs. Information management is the backbone for all major FMCSA activities that lead to reducing fatalities and injuries resulting from truck and bus crashes.	In FY 2011, FMCSA will continue to deliver more functionality to the Federal and state enforcement staff, motor carrier industry, and FMCSA IT technical staff through the COMPASS initiative. The Agency will implement new enforcement functionality that is driven by mission needs such as implementation of CSA 2010 and detection of chameleon carriers that apply for operating authority. The Agency will complete the enterprise database, which will provide a data warehouse of all registration and safety information, making critical information more accessible to enforcement personnel in the field and at the roadside. Additionally, the enterprise database will use the latest technologies to improve data quality. FMCSA will also reduce redundancy and maintenance cost of legacy databases. The Agency will further enhance the mobile client application, started in FY 2010, to include all the functionality that is in the current legacy field systems, while retiring most of the functionality associated with these systems. FMCSA will continue efforts to get more states to achieve green status for timeliness, accuracy, and completeness of data. Additional offsite state data quality assessments will be completed, as well as more onsite data quality reviews. The Agency will continue to produce motor carrier safety statistics	This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 – 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 -1.16 fatalities per 100 million VMT by end of FY 2011. 2. Reduced rate of injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150. 4. The States satisfying "green" data quality criteria; CY 2011 target is 72 percent. The performance measure addresses quality concerns to improve data quality and enable FMCSA to more effectively target “at risk” carriers and operators. This methodology was developed to evaluate the completeness, timeliness, accuracy, and consistency of the state-reported commercial motor vehicle crash and inspection records in the Motor Carrier Management Information System (MCMIS). The quality of crash data is evaluated monthly and the states receive

Operating Administration: FMCSA					
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)		Dollar (\$M)s	FTEs
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes		\$ 527.469	974
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles		\$ 508.412	890
				\$ 19.285	84
FMCSA Strategy:		Improve Safety Information, Research, and Analysis to Advance Innovation and Technical Solutions			40
Contribution to DOT Goals:		Contribute to the Department of Transportation (DOT) Safety strategic goal 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			
Purpose – Customers and Beneficiaries		Information and research related safety enhancements and initiatives which improve our knowledge of the regulated large truck and bus industry (carriers, drivers).			
Program Name (Performance Element)	FY 2011 Inputs (Resources)		FY 2011 Activity (Products and Services)	FY 2011 Achievements and Outputs	Planned Outcomes
	(\$M)	FTE			
				based on crash and roadside inspection data and will continue to provide motor carrier safety information online to the general public through its Analysis and Information website. FMCSA will continue to produce timely and high quality economic and environmental analysis for all of the Agency's significant rulemakings. The Agency plans to continue working with Federal partners for deployment of ACE/ITDS at commercial cargo border crossings. FMCSA will continue to conduct targeted commercial motor carrier, vehicle, and driver inspections (including operating authority and financial responsibility checks) based on ACE/ITDS screening procedures; and compliance reviews based in part on ACE/ITDS screening data.	ratings of "Good" (Green), "Fair" (Yellow) or "Poor" (Red) for seven State Safety Data Quality (SSDQ) measures as well as the overall rating reflected in this measure. This overall rating considers all seven SSDQ measures. FMCSA depends on accurate and timely safety data collected by states to prioritize CMV companies for roadside inspections and on-site safety compliance reviews.

Operating Administration: FMCSA					
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)		Dollar (\$M)s	FTEs
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes		\$ 527.469	974
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles		\$ 508.412	890
				\$ 19.285	84
FMCSA Strategy:		Improve Safety Information, Research, and Analysis to Advance Innovation and Technical Solutions		\$81.762	40
Contribution to DOT Goals:		Contribute to the Department of Transportation (DOT) Safety strategic goal 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			
Purpose – Customers and Beneficiaries		Information and research related safety enhancements and initiatives which improve our knowledge of the regulated large truck and bus industry (carriers, drivers).			
Program Name (Performance Element)	FY 2011 Inputs (Resources)		FY 2011 Activity (Products and Services)	FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes
	(\$M)	FTE			
Research and Technology	\$11.065	22	The Research and Technology (R&T) performance element provides for conducting systematic studies, which provide robust scientific discovery, knowledge, and understanding of the factors involved in CMV crashes. FMCSA has a focus on adopting, testing, and deploying innovative driver, carrier, vehicle, and roadside best practices and technologies. The development, testing, and deployment of simple and advanced innovative driver and vehicle technologies and integrated IT solutions support the Agency's priorities by demonstrating new roadside safety technologies and operational concepts. This activity accelerates the deployment of vehicle-based and other safety and security technologies.	In FY 2011, FMCSA plans to begin a number of new research efforts including a study of the impact of driver compensations on CMV safety; an evaluation of the Ticketing Aggressive Cars and Trucks program; Phase I Small Business Innovative Research program effort at developing navigation systems particularly for Hazardous Material (HAZMAT) drivers taking into account approved HAZMAT routes and vital infrastructure; partnering with the Federal Transit Administration (FTA) to conduct a Motorcoach/Bus Naturalistic Driving Study; investigating the viability of remedial training program for high-risk CMV drivers; and an evaluation of the random roadside drug testing analysis. The Agency will continue research aimed at accelerating the deployment of vehicle-based and other safety and security technologies to reduce crashes. FMCSA will continue conducting fast-turnaround and independent evaluations of promising safety technologies aimed at commercial vehicle operations FMCSA will continue to participate in a DOT inter-modal (e.g., NHTSA) sponsored study that will collect and conduct detailed root cause analyses to determine the cause of bus and motor coach fires. (More examples of planned achievements can be found in the narrative section (Safety Goal / Section 4-A) for the Research and Technology performance element)	This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 – 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 -1.16 fatalities per 100 million VMT by end of FY 2011. 2. Reduced rate of injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150. 4. The States satisfying "green" data quality criteria; CY 2011 target is 72 percent. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150. 4. Number of serious reportable HAZMAT incidents involving CMVs; CY2011 target is no more than 390.

Operating Administration: FMCSA					
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)		Dollar (\$M)s	FTEs
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes		\$ 527.469	974
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles		\$ 508.412	890
				\$ 19.285	84
FMCSA Strategy:		Improve Safety Information, Research, and Analysis to Advance Innovation and Technical Solutions		\$81.762	40
Contribution to DOT Goals:		Contribute to the Department of Transportation (DOT) Safety strategic goal 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			
Purpose – Customers and Beneficiaries		Information and research related safety enhancements and initiatives which improve our knowledge of the regulated large truck and bus industry (carriers, drivers).			
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes
	(\$M)	FTE			
Commercial Vehicle Information Systems and Networks (CVISN) Grants	\$25.000	0	In FY 2011, FMCSA will continue to provide states with critical funding for deployment of both core and expanded CVISN capabilities. FMCSA will also continue providing technical assistance and support to all States for their core and expanded CVISN deployment efforts. FMCSA will continue providing CVISN deployment program grants to additional states to implement core CVISN capabilities and certify deployment of core CVISN capabilities. FMCSA will continue accepting CVISN activity plans and provide CVISN deployment grants.	CVISN deployment integrates state, Federal, and carrier systems to improve safety and productivity. This activity 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 states and motor carriers, and improve the efficiency of commercial vehicle operations. The FMCSA will implement expanded CVISN capabilities to enhance the safety, security, and productivity of commercial vehicle operations. FMCSA, in cooperation with the CVISN stakeholder community, defined and prioritized 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 and screening functions. Additional capabilities include developing business cases, interoperability tests, and sharing lessons learned and best practices.	This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 – 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 -1.16 fatalities per 100 million VMT by end of FY 2011. 2. Reduced rate of injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150. 4. The States satisfying "green" data quality criteria; CY 2011 target is 72 percent.

Operating Administration: FMCSA					
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)		Dollar (\$M)s	FTEs
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes		\$ 527.469	974
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles		\$ 508.412	890
				\$ 19.285	84
FMCSA Strategy:		Improve Safety Information, Research, and Analysis to Advance Innovation and Technical Solutions		\$81.762	40
Contribution to DOT Goals:		Contribute to the Department of Transportation (DOT) Safety strategic goal 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			
Purpose – Customers and Beneficiaries		Information and research related safety enhancements and initiatives which improve our knowledge of the regulated large truck and bus industry (carriers, drivers).			
Program Name (Performance Element)	FY 2011 Inputs (Resources)		FY 2011 Activity (Products and Services)	FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes
	(\$M)	FTE			
Safety Data Improvement (SaDIP) Grants	\$3.000	0	In FY 2011, FMCSA will continue working with states to improve overall quality of state-reported data collection and reporting. The SaDIP grants will result in additional states achieving “green” status based on the timeliness, accuracy, and completeness of data. FMCSA will focus outreach to grantees on improving data specific for the success of CSA 2010.	The FMCSA is responsible for regulating the safety of interstate truck and motor coach travel in the United States. To fulfill this role, FMCSA collects safety data from the states, motor carriers, Federal staff, and other sources. FMCSA uses the collected data to evaluate and enhance its safety programs, update inventories, monitor compliance of motor carrier companies, measure the condition of vehicle fleets, track the driving records of licensed operators, and record crashes involving CMVs on public roadways. High quality, timely data in each of these areas is 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 effort to ensure the availability of superior data and support governments, businesses, and citizens in making appropriate decisions about motor carrier safety. One aspect of this effort involves 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 safety systems.	This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 – 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 -1.16 fatalities per 100 million VMT by end of FY 2011. 2. Reduced rate of injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150. 4. The States satisfying "green" data quality criteria; CY 2011 target is 72 percent.

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Operating Administration: FMCSA					Dollar (\$M)s	FTEs
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)			\$ 527,469	974
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes			\$ 508,412	890
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles			\$ 19,285	84
FMCSA Strategy:		Modernize and Optimize Operational Effectiveness to Improve Safety			\$6,282	3
Contribution to DOT Goals:		Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.				
Purpose – Customers and Beneficiaries		Improve processes which enforce compliance of the regulated large truck and bus industry carriers and drivers, and ensure the confidence of safety advocates and the public at large.				
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
CSA 2010	\$6,282 3	The goal of CSA 2010 is to “touch” more regulated entities through a broader array of 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 2010 will implement a new safety measurement system (SMS) that measures the safety performance of carriers and drivers and takes into account all safety violations (not just acute and critical violations which is now the case), weighted on the basis of their linkage to crash causation. The SMS enables FMCSA to more readily pinpoint specific unsafe behavior on the part of carriers and drivers. The FMCSA has also developed a new safety-fitness-rating methodology as part of CSA 2010, which is no longer tied to the resource-intensive CR and relies more strongly on roadside safety performance data categorized into the following seven BASICS: Fatigued Driving, Unsafe Driving, Vehicle Maintenance, Driver		In FY 2011, FMCSA will fully implement the CSA 2010 enforcement and business model. The Agency plans to complete the analysis of the Op-Model test results for final changes to the CSA 2010 concept. The Agency plans to complete deployment of CSA 2010 interventions nationwide by December 2010 and launch follow-up training for the Federal and state enforcement officers to ensure continuous improvement under CSA 2010. FMCSA will publish the CSA 2010 Carrier Safety Fitness Determination final rule (FR) in early FY 2011. Additionally, FMCSA will publish a final rule on CSA 2010 Drug and Alcohol Testing Results. Finally, FMCSA will continue working with CVSA to improve roadside inspection uniformity in support of CSA 2010 and develop a long-term solution for determining crash accountability for fatal and nonfatal CMV crashes in support of the CSA 2010 initiative.	This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 – 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 - 1.16 fatalities per 100 million VMT by end of FY 2011. 2. Reduced rate of Injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150. 4. Number of serious reportable HAZMAT incidents involving CMVs; CY2011 target is no more than 390.	

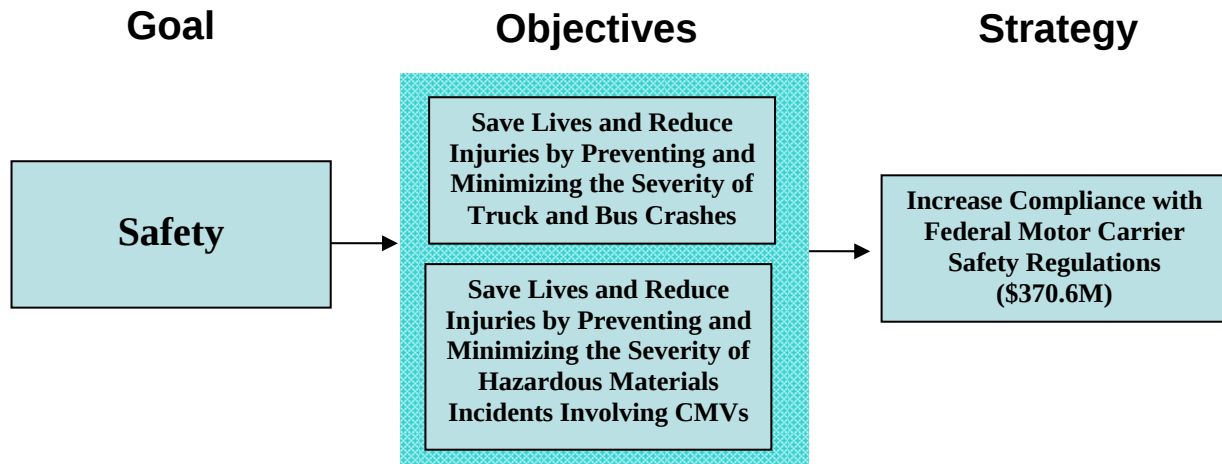
Operating Administration: FMCSA					
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)			FTEs
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes			974
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles			890
					84
FMCSA Strategy:		Modernize and Optimize Operational Effectiveness to Improve Safety			3
Contribution to DOT Goals:		Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.			
Purpose – Customers and Beneficiaries		Improve processes which enforce compliance of the regulated large truck and bus industry carriers and drivers, and ensure the confidence of safety advocates and the public at large.			
Program Name (Performance Element)	FY 2011 Inputs (Resources)		FY 2011 Activity (Products and Services)	FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes
	(\$M)	FTE			
			Fitness, Improper Loading/Cargo Securement, Controlled Substances and Alcohol, and Crash History. The Agency has also created new progressive interventions designed to change unsafe behavior early while identifying the root cause of the safety problem. This new intervention “toolbox” is progressive in nature and uses specific targeted activities based on the carrier’s safety-fitness-rating from their BASICs. These interventions are warning letters, off-site investigations, on-site focused investigations, and on site comprehensive investigations (similar to the current CR). This tool-box includes a cooperative safety plan, notice of violation, and notice of claim follow-on actions.		

Operating Administration: FMCSA						Dollar (\$M)s	FTEs		
Strategic Goal:		SAFETY (information drawn from Section 4A of the FY 2011 budget)					\$ 527,469	974	
FMCSA Objectives:		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Truck and Bus Crashes					\$ 508,412	890	
		Save Lives and Reduce Injuries by Preventing and Minimizing the Severity of Hazardous Materials Incidents Involving Commercial Motor Vehicles					\$19,285	84	
FMCSA Strategy:		Provide Program Support					\$22,130	29	
Contribution to DOT Goals:		Reduce highway fatalities to no more than 1.0 per 100 million vehicle miles traveled by 2011.							
Purpose – Customers and Beneficiaries		Improve processes which enforce compliance of the regulated large truck and bus industry carriers and drivers, and ensure the confidence of safety advocates and the public at large.							
Performance Element	FY 2011 Inputs (Resources)		FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes			
	(\$M)	FTE							
Support	\$22.130	29	Program support for the safety goal includes offices and services that provide vital oversight, guidance, specialized support, and overall leadership to all of the FMCSA strategic goals. Components of the Office of the Administrator are included in this performance element and are vital to the success of the Agency through the provision of leadership vision and overall 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 critical 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. (More details about the activities associated with this performance element can be found in the narrative section (Safety Goal / Section 4-A) for the Support performance element)					In FY 2011, FMCSA’s Office of Chief Counsel will continue providing support for activities surrounding the surface transportation reauthorization. The Agency also anticipates a significant increase in workload to ensure compliance with new statutory requirements, including legal interpretations, new rulemaking and enforcement activities, and general law support for new financial assistance and other programs established by the new authorization. The Office of Communications will further expand “new media” opportunities to effectively disseminate targeted safety information to carriers, drivers, and the general public.	This performance element supports the new DOT High Priority Performance Goal of reducing highway fatalities to no more than 1.13 - 1.16 per 100 million vehicle miles traveled by 2011, and contributes to the accomplishment of the following FMCSA performance measures: 1. Reduced rate of highway fatalities to 1.13 - 1.16 fatalities per 100 million VMT by end of FY 2011. 2. Reduced rate of injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 3. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150. 4. The States satisfying "green" data quality criteria; CY 2011 target is 72 percent.

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STRATEGY

Increase Compliance with Federal Motor Carrier Safety Requirements



STRATEGY OVERVIEW

For FY 2011, the Budget request for this Strategy is \$370.6 million, \$4.9 million above base and 49.5 additional FTE annualized.

The FMCSA's primary safety activities are centered on development, promotion and enforcement of the Federal Motor Carrier Safety Regulations (FMCSRs). Agency activities discourage noncompliance, reduce violations, and ultimately prevent crashes and HAZMAT incidents. Compliance begins with the development and promulgation of effective regulations, standards and rules which are validated through aggressive and far-reaching enforcement activity. FMCSA, along with its state partners, ensure that carriers and CMV drivers are medically qualified and properly credentialed and that carriers, drivers, and vehicles meet Federal safety standards.

PERFORMANCE ELEMENTS (FEDERAL ACTIVITIES)

FMCSA has four Federal performance elements that support this Strategy:

1. **Regulatory and Standards Development**
2. **Enforcement and Compliance Operations**
3. **Passenger Carrier Safety Operations**
4. **HAZMAT Safety and Permitting Operations**

1. Regulatory and Standards Development

Responsible Official: Associate Administrator for Policy and Program Development

The purpose of this element is to promulgate effective and timely, research-based regulations that advance the Agency's strategic goals. Through regulations, FMCSA promotes improved safety and strengthens operating requirements. The Agency will provide a clear path for compliance and enforcement efforts, and establish the keystone of enhanced safety performance and outreach efforts. Standards and regulations are the basis for FMCSA safety and commercial enforcement activities. FMCSA implements non-regulatory policy approaches such as interpretations,

exemptions, pilots, and educational materials to address unique CMV challenges. FMCSA develops outreach materials and information and provides responses to industry and stakeholder inquiries to improve understanding of new and existing regulations and standards. The Agency 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 these activities is to establish well-written, concise, and effective standards, guidance, and regulations for the motor carrier industry. The Agency supports this performance element with policy, economic, and legal analyses to ensure that regulations are focused on the most effective solution to identified safety challenges and rulemaking documents are legally sufficient.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA plans to complete a significant rulemaking regarding entry-level driver training, initiate a wide-ranging review and revision of regulatory guidance associated with CMV regulations, and review the standards as they apply to fatigue-management, driver distraction, and other driver performance factors as they relate to CMV drivers. The Agency will continue ongoing regulatory and policy development, as well as subject-matter guidance and outreach to stakeholders and partners.

For FY 2011, the Budget includes \$5.8 million, \$316 thousand above base and three additional FTE annualized.

FMCSA is harshly criticized for the slow pace of regulatory development. These regulatory resources aim to improve the pace of regulatory development and provide greater institutional capacity

In FY 2011, FMCSA is requesting an additional \$343 thousand and three FTE (regulation writers, economists, and attorneys). The additional regulation writers will increase the Agency's capacity for drafting rulemaking documents and managing rulemaking teams. The additional economists will provide comprehensive analyses of the anticipated costs; and safety and economic benefits of rulemaking actions to ensure that senior leaders of the Agency have the best-available information to make informed decisions about regulatory options. This will ensure that stakeholders have an adequate opportunity to comment on all key analytical assumptions and estimates concerning the rulemaking. The additional attorneys will work with rulemaking teams in developing regulatory options that are consistent with the statutory provisions applicable to the specific rulemaking action and support the Agency's rulemaking priorities: they will provide comprehensive legal reviews of the draft rulemaking notices and economic and environmental analyses to ensure legal sufficiency of FMCSA rulemaking actions.

The additional resources will support the Agency's efforts to complete several statutorily mandated rulemakings, including certain rulemakings required by SAFETEA-LU. The resources will also enable the Agency to accelerate the pace at which significant safety rules are promulgated resulting in an increase in the number of performance-based safety requirements imposed on the truck and bus industries and a reduction in the number of commercial motor vehicle-related crashes, injuries and fatalities. Furthermore, the resources will support the completion of rulemakings initiated in response to recommendations from FMCSA's Medical Review Board and Motor Carrier Safety Advisory Committee, two Federal advisory committees authorized by SAFETEA-LU. Finally, the resources would enable the Agency to respond quickly to any new statutory requirements for rulemaking that may be included in the next surface transportation reauthorization legislation.

The Agency will focus on statutorily mandated rulemakings in FY 2011, including several that are more than five years old. This includes issuing final rules concerning the Unified Registration System, originally mandated by the ICC Termination Act of 1995, with certain provisions required by SAFETEA-LU. FMCSA will also address railroad grade crossing safety, to prohibit truck and bus drivers from entering a railroad crossing unless there is sufficient room to clear the tracks completely without stopping. The Agency will perform rulemaking activities related to hours of service (HOS) supporting documents, to prescribe the type and number of documents motor carriers must maintain and use to verify the accuracy of the handwritten records of duty status.

FMCSA will also perform regulatory work related to electronic on-board recorders, to mandate the use of the devices by a significant percentage of the motor carrier industry; thereby extending the requirements to more carriers. This action will extend coverage to more than the Agency anticipates being covered by the 2009 final rule, which focuses on truck and bus companies with high HOS violation rates. The Agency will also focus on completing a rulemaking concerning a national database of positive controlled substances and alcohol test results to ensure that all truck and bus drivers who test positive for controlled substances see a Substance Abuse Professional (SAP) and undergo return-to-duty and follow-up tests prior to being allowed to resume safety-sensitive functions.

Further, the Agency will develop medical standards rulemakings based on recommendations from the Agency's Medical Review Board (at least five rulemakings anticipated in FY 2011). FMCSA will develop regulations in response to pending rulemaking petitions on subjects such as cargo securement and the use of electronic signatures on documents the Agency requires motor carriers to maintain. FMCSA will continue its review of Agency guidance and interpretive rules to identify actions requiring a Federal Register notice to formally announce the policy or posting at the Agency's web site, and to eliminate out-dated or inconsistent regulatory guidance

In FY 2011, FMCSA will also complete a review and revision of Regulatory Guidance associated with commercial motor vehicle (CMV) regulations, and will continue to review all aspects of fatigue-management, driver distraction, and other driver performance factors as they relate to CMV drivers. The Agency will continue extensive ongoing regulatory and policy development as well as subject-matter guidance and outreach to stakeholders and partners.

2. Enforcement and Compliance Operations

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

The Bureau of Transportation Statistics reports that in 2006 (the most recent year for which data is available) large trucks and buses represented 3.8 percent of registered vehicles but accounted for 7 percent of the travel volume on the Nation's highways. FMCSA safety initiatives, many of which originated in the *Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users* (SAFETEA-LU) authorizing legislation, have resulted in marked improvement over recent years. For example, despite increased VMT and more vehicles on the roads, the raw number of all highway fatalities decreased by two percent since calendar year 2000 from 41,945 to 41,059 in 2007. During that same time, fatalities involving large trucks decreased by nine percent.

As of the end of 2008, there were 731,473 carriers registered with FMCSA and over 14 million commercial drivers. Nationwide, over nine million trucks are registered with state departments of

motor vehicles. In CY 2008, FMCSA received almost 50,000 applications from carriers for operating authority.

The enforcement and compliance activity helps to ensure compliance with the FMCSRs and to remove unsafe carriers from the Nation's highways. Targeted enforcement, driven by performance data of carriers and drivers, is FMCSA's primary strategy for meeting its safety goals. FMCSA targets high risk carriers through a series of interventions such as compliance reviews, safety audits, HAZMAT carrier reviews, and roadside inspections. The Agency has a successful partnership with states to implement these programs. The frequency of truck crashes, fatalities, and injuries have declined over the years, as a result of these efforts.

One of the most complex challenges facing FMCSA is the need to develop and implement a process to prevent motor carriers from avoiding enforcement actions or sanctions, or distancing themselves from a history of poor safety performance by registering with FMCSA under a new name. This process is often called "carrier reincarnation" and the truck and bus carriers that engage in this practice are often referred to as "chameleon carriers." This practice has been documented by the Government Accountability Office (GAO) and the National Transportation Safety Board (NTSB) and, if it is allowed to continue, a number of unsafe truck and bus companies will continue to operate on our highways. In order to specifically respond to a GAO report on carrier reincarnation that was released in July 2009, FMCSA has developed a New Applicant Screening process to close this critical loophole. This process will detect prior unsafe carriers that disband operations before they can reincarnate as new entities, in an attempt to avoid their previous safety records. This process will allow FMCSA to screen close to 40,000 new commercial carrier applicants a year, a capability increase of over 85 percent compared to the current Agency capability.

The FMCSA believes that implementing a competent process to capture and identify carriers attempting to evade their prior safety records is essential if the Agency is to achieve its safety goals. This New Applicant Screening Process will identify carriers that may be attempting to reincarnate themselves by comparing critical data on new applicants for operating authority with data in FMCSA's safety and registration records for other companies. This comparison will automatically and electronically yield matches of data between applicants and other companies that will allow the Agency to identify possible reincarnated carriers with greater efficiency. Through these efforts, FMCSA will increase the capability to ensure that all applicants applying for DOT operating authority meet the criteria for assessing compliance with the regulatory requirements. All applicants will be sufficiently vetted to ensure that their applications are complete and that all applicants are fit, willing and able to comply with safety regulations, the Americans with Disabilities Act rules, and Household Goods regulations; and that the carriers are not re-registering to avoid a previous history of unsafe or non-compliant operations.

The FMCSA plans to dedicate more staff resources to the enforcement of drug and alcohol requirements for drivers. The ability of some commercial vehicle drivers to avoid compliance with critical elements of the Department's controlled substances and alcohol testing program represents significant safety vulnerability for the transportation system. Presently, some drivers circumvent the regulations when they have failed a controlled substance or alcohol test by switching jobs to avoid (1) meeting with and following the guidance from a Substance Abuse Professional (SAP), and (2) undergoing return-to-duty testing and subsequent follow-up testing. Typically, these drivers would allow enough time between leaving one job (or failing a pre-employment drug test) and applying for a new job to be able to pass a pre-employment controlled substances test with a

prospective employer. There is no process by which the new employer would know about the previous controlled substances or alcohol positive test history, unless the driver discloses this information. Therefore the underlying problem of the driver's controlled substances use and/or alcohol misuse would remain undetected, increasing the likelihood that the driver would operate a CMV while impaired. This issue is the subject of outstanding NTSB and GAO recommendations. Also, legislation to mandate the establishment of a national database of positive test results has been introduced recently in both the House and Senate.

A key activity contributing to safety on the Nation's highways is the New Entrant safety assurance process. Under this activity, enforcement personnel audit all new motor carrier owners and operators seeking authority to provide transportation of property and passengers in interstate commerce. Data has shown that these carriers have the highest potential to pose serious safety risks on the Nation's highways. These new motor carriers (private and for-hire) must apply for registration (USDOT Number) as a new entrant and are subject to a safety audit within 18 months (nine months for passenger carriers). Most carriers receive a Safety Audit within the first five-months of operating. FMCSA closely monitors the carrier's over the road safety performance during the 18 month period. The carrier is required to demonstrate it has the necessary systems in place to ensure basic safety management controls. Failure to demonstrate these basic controls may result in the revocation of the carrier's new entrant registration.

The FMCSA will implement its December 2008 final rule concerning the New Entrant Safety Assurance Process on December 16, 2009. The final rule will have a major impact on the delivery of mission critical compliance and enforcement activities. The FMCSA expects the rule to have a dramatic impact on the safety of new entrant carriers as because it raises the pass-fail threshold for assessing compliance with critical safety regulations such that tougher enforcement actions will be taken against carriers with serious deficiencies in their safety management controls. FMCSA anticipates that more carriers will fail the new entrant safety audit because the pass-fail threshold is more stringent. This front-end safety assurance will require more FMCSA staff to monitor carriers' safety performance, corrective action plans (CAPs) and appeals associated with the due process aspects of the enforcement process.

On March 11, 2009, the President signed into law the Omnibus Appropriations Act, 2009. Section 136 of the Transportation, Housing and Urban Development, and Related Agencies Appropriations Act, 2009 (division I, title I of the Omnibus Appropriations Act, 2009) provides: "None of the funds appropriated or otherwise made available under this Act may be used, directly or indirectly, to establish, implement, continue, promote, or in any way permit a cross-border motor carrier demonstration program to allow Mexican-domiciled motor carriers to operate beyond the commercial zones along the international border between the United States and Mexico, including continuing, in whole or in part, any such program that was initiated prior to the date of the enactment of this Act."

In accordance with the legislation, FMCSA has terminated the long-haul cross-border demonstration project. The Agency has ceased processing applications by prospective project participants and has taken other necessary steps to comply with the provision. The President tasked the Department of Transportation to work with the U.S. Trade Representative and the Department of State, along with leaders in Congress and Mexican officials, to propose legislation creating a new cross-border trucking initiative that will meet the concerns of Congress and fulfill the United States' NAFTA commitments.

Consistent with the President's mandate to the Secretary of Transportation, FMCSA has drafted legislative principles to respond to the concerns raised by Congress, oversight organizations, and interested stakeholders.

The FMCSA's major initiative to modernize and increase the efficiency and effectiveness of enforcement activities is the CSA 2010 initiative (see page 4A-67). The Agency will complete the implementation of CSA 2010 by December 31, 2010 and will transition enforcement activities to the new enforcement operational model. FMCSA anticipates that once implemented, the new enforcement model will help the Agency and state partners to achieve a greater reduction in large truck and bus crashes, reducing injuries and fatalities, by enabling the Agency to complete safety fitness determinations on a much larger population of motor carriers. Under the current enforcement model, Safety Investigators spend approximately 80 percent of their time doing actual investigative work with the other time being spent traveling to and from carriers' principal place of business and other miscellaneous tasks. During the current CSA 2010 Op-Model tests, preliminary results indicate the implementation of the new enforcement model will increase the workload of Safety Investigators by requiring that they handle multiple carrier interventions at one time, with the current on-site comprehensive compliance review serving as only one of the interventions. FMCSA has developed a strategy to devote FTE resources towards activities that directly support Safety Investigators and allow them to maintain the existing percentage of time devoted directly towards investigations.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will implement the new entrant and intermodal chassis rule provisions and carry out the maximum fine recommendations of the Office of the Inspector General (OIG) and Government Accountability Office (GAO). FMCSA will work on the drug and alcohol testing refusal clearinghouse database and proactively enforce the return to duty provisions for drivers who test positive for drugs. FMCSA will continue efforts and increase field activity in safety interventions such as roadside inspections, compliance reviews, safety audits, household goods compliance reviews, and successor liability enforcement. FMCSA will focus enforcement efforts on high risk carriers.

For FY 2011, the Budget includes \$102.0 million; \$5.3 million above base and 41 additional FTE annualized.

In FY 2011, FMCSA is requesting an additional \$285 thousand and two and one-half FTE to fully implement an enhanced screening/vetting process for all carriers applying to enter into the truck or bus industry. Under this process, no motor carrier applicant will be granted operating authority until FMCSA has completed a comprehensive investigation to determine (on a preliminary basis) whether the carrier is willing and able to comply with the applicable safety regulations, Americans with Disabilities Act rules, and Household Goods regulations, and that the carrier is not re-registering to avoid/evade a previous history of unsafe or non-compliant operations.

The additional FTE will design and implement an automated verification and information request system, and coordinate the background investigations on applicants with state agencies. The FMCSA will also enhance its capability for reviewing questionable applicants, issuing dismissal letters to carriers that fail to respond to inquiries and requests for information, and issuing show-cause letters prior to denying applicants' requests for authority. The FMCSA will also assign

safety investigators to its Service Centers to coordinate the background investigation and vetting process with state partners and to maintain and refine the new entrant screening process.

In FY 2011, FMCSA is requesting an additional \$342 thousand and three FTE to address safety weaknesses and vulnerabilities in the present controlled substances and alcohol testing and reporting process. As identified by GAO, the House T&I Committee and the motor carrier industry, as many as 50% of the CMV drivers who test positive for illegal drugs and alcohol continue to operate large trucks and buses on the Nation's highways by applying to other motor carrier employers without revealing their previous employer or substance abuse history. To improve this unsafe situation, FMCSA is in the process of developing a national database that employers would be required to check to verify that a specific driver has not previously tested positive for controlled substances or alcohol. Medical Review Officers (MROs) and companies would be required to report positive controlled substances testing information to the database. The additional FTE will support the development of a more stringent reporting process, as well as serve as subject matter experts for enforcement agencies and CMV companies. Further, implementation of this national database will require additional professional staff to evaluate the reported data to ensure compliance; to respond to the increased number of compliance issues relating to noncompliant drivers, carriers, and service agents; to investigate driver due process appeals and procedural complaint issues; and, to handle the increased number of enforcement cases and due process issues.

During FY 2011, the Agency will complete the training of all Federal and state enforcement personnel and fully transition to the new CSA 2010 operational model. FMCSA is requesting an additional \$2.9 million and 25.5 FTE to support the required monitoring and enforcement activities such as reviewing the data from the new Safety Measurement System and preparing preliminary carrier assessments for Safety Investigators (SIs) in the Division Offices. This work will include providing background information on the motor carriers to be investigated, scheduling interviews with carrier officials, and gathering information from carriers during off-site investigations. The Safety Investigators will need the support of these lower graded FTE to handle the more routine administrative tasks, leaving the SIs to focus on their investigative mission and maintaining the existing percentage of time devoted directly towards investigations.

In FY 2011, FMCSA is requesting an additional \$1.4 million and 12 FTE to provide for efficient and effective implementation of the enhanced new entrant safety assurance process to manage the increased Federal support to state partners as they implement an increased regimen related to new entrant audits. In addition to their current activities, FMCSA field staff will assume new responsibilities to ensure the program is properly administered. Primarily, field staff will monitor the motor carriers that fail new entrant safety audits, review CAPs associated with the failed audits, review requests for appeals of the enforcement actions, and issue enforcement case decisions in a timely manner. The Agency estimates that the higher safety audit pass-fail threshold established by the rule will result in a 45-55 percent failure rate of new entrant carriers as opposed to the current 1 percent rate. Carriers who fail the safety audit must submit a corrective action plan to FMCSA, which will require resources to review and issue decisions within the timeframes prescribed by the rule. With the current rate of approximately 37,000 New Entrant Audits performed per year, between 16,500 and 20,500 carriers will fail their audit. The Agency expects 80 percent of those failed carriers to submit a CAP. The FMCSA's personnel will need to review and issue decisions on approximately 13,000–16,500 petitions for review of the audit results annually. In addition to the CAP petitions from a New Entrant Audit failure, it is estimated 15 percent of these carriers will be subject to an expedited action due to violations discovered roadside, resulting in over 15,500

petitions. The additional FTE will enable the Agency to manage the program effectively and to ensure that the delivery of other safety programs is not adversely affected by the implementation of the enhanced new entrant process.

In FY 2011, FMCSA plans to implement the electronic on-board recorder rule provisions and continue to execute the new entrant and intermodal rule provisions. FMCSA will continue field activity in the areas of roadside inspections, compliance reviews, safety audits, household goods safety compliance reviews, and successor liability enforcement. FMCSA staff will fully employ the safety interventions adopted under the CSA 2010 model.

3. Passenger Carrier Safety Operations

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

A critical part of FMCSA's overall highway safety mission is to reduce crashes, injuries, and fatalities involving commercial passenger vehicles. 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 the Nation's transportation network. FMCSA estimates that bus travel grew three to seven percent annually in recent years. Each year approximately 3,600 interstate motorcoach companies operate over 34,000 motorcoaches in the United States and provide over 500 million passenger trips, giving commercial bus travel the same breadth as commercial air travel. Additionally, there are approximately 120,000 drivers who have Commercial Driver's Licenses (CDLs) with passenger endorsements. This sector 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.

Although motorcoaches are one of the safest forms of commercial passenger transportation, a motorcoach crash or fire can have catastrophic consequences, including multiple deaths, injuries, and significant property damage. To reduce to the greatest extent practicable risks to passengers, FMCSA focuses on bus safety. The Agency is aiming for more stringent enforcement and compliance, coordinated research, improved data, better identification of unsafe companies, and more focused outreach and training.

On April 30, 2009, U.S. Transportation Secretary Ray LaHood ordered a full departmental review of motorcoach safety that will result in a Departmental Motorcoach Safety Action Plan. This plan, unveiled in August 2009, outlines activities that will improve motorcoach safety. FMCSA, along with the National Highway Traffic Safety Administration (NHTSA), Federal Highway Administration (FHWA), PHMSA and the Federal Transit Authority (FTA) will participate in this safety initiative will also consider outstanding recommendations from the National Transportation Safety Board (NTSB).

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will continue to implement the Department's Motorcoach Safety Action Plan to improve motorcoach safety through reducing crashes, injuries, and fatalities.

As part of this effort, FMCSA will continue to implement the new applicant screening process that began in FY 2009. The Agency will review all applicants for new operating authority for compliance with the fit, willing, and able provisions of the regulations. Dismissed carrier applications will be directed to FMCSA's division offices to make the states aware that unauthorized operations should not occur. The enforcement provisions of the Over-the-Road Bus Transportation Accessibility Act of 2007 will be implemented fully and data will be maintained on carriers that have their authority suspended or revoked for non-compliance. In coordination with state partners, FMCSA will continue to conduct field strike forces and terminal reviews on a national basis. In partnership with the Department of Justice, compliance review data will be collected on passenger carrier adherence to the American's with Disabilities Act.

For FY 2011, the Budget includes \$2.3 million

In FY 2011, FMCSA will continue to implement the Department's Motorcoach Safety Action Plan to improve motorcoach safety through reducing crashes, injuries, and fatalities.

In support of this effort, FMCSA will use its new applicant screening (NAS) system to monitor passenger carriers who apply for operating authority. The Agency will continue to evaluate the automated authority application system. One of the most complex challenges facing FMCSA is the need to develop and implement a process to prevent passenger carriers from avoiding enforcement actions or sanctions, or distancing themselves from a history of poor safety performance by registering with FMCSA under a new name. This action is often called "carrier reincarnation" and the truck and bus carriers that engage in this practice are often referred to as "chameleon or reincarnated carriers." This process will assist FMCSA in detecting prior unsafe passenger carriers that disband operations before they can reincarnate as new entities, in an attempt to avoid their previous safety records.

Additionally, FMCSA will pursue an integrated strategy to address a range of issues that include driver performance such as fatigue, behavior, and medical qualifications. The Agency will also address vehicle maintenance and operator oversight and will work with NHTSA on occupant protection (fire safety and emergency egress), and data collection and analysis. The Agency will also emphasize enhanced regulatory oversight such as addressing railroad grade crossing safety to prohibit bus drivers from entering railroad crossings unless there is sufficient room to clear the tracks completely without stopping and use of technologies to improve passenger carrier safety.

The FMCSA will implement the CSA2010 enforcement model within the passenger carrier industry, as well as with the rest of the commercial vehicle industry. The CSA 2010 enforcement model will give FMCSA a broader array of progressive interventions to engage passenger carriers when their safety performance data indicates unsafe behavior. The enforcement provisions of the Over the Road Bus (OTRB) Accessibility Act will also be fully executed, ensuring these vehicles are accessible to people with disabilities. FMCSA will collect data on carriers who have their authority suspended or revoked for non-compliance with these provisions and will share it with the Department of Justice (DOJ) as per the Memorandum of Understanding (MOU) between the two agencies.

Additionally, FMCSA and state partners will conduct on-site safety interventions, field strike force activities, destination inspections, and terminal reviews on a national basis; in order to enforce safety regulations.

4. HAZMAT Safety and Permitting Operations

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

The purpose of this performance element is to reduce serious HAZMAT incidents involving CMVs by ensuring that HAZMAT carriers comply with FMCSRs and Federal Hazardous Materials Regulations (FHMRS). FMCSA accomplishes this through various enforcement interventions such as HAZMAT compliance reviews, HAZMAT shipper reviews, cargo tank facility reviews, HAZMAT package inspections, and HAZMAT vehicle inspections. FMCSA partners with PHMSA and other governmental agencies to ensure HAZMAT is transported in a safe and secure manner. FMCSA and PHMSA have developed systems to share HAZMAT information to support each other's initiatives. FMCSA continues to partner with PHMSA to develop and enhance HAZMAT initiatives to support the Department's requirement to reduce crashes and serious HAZMAT incidents.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will conduct prioritized interventions such as HAZMAT compliance reviews, HAZMAT shipper reviews, and roadside strike force enforcement to verify that carriers have appropriate PHMSA registration, proper HAZMAT Safety Permit (HMSP) and safe HAZMAT compliance practices. The Agency will continue its efforts in conducting HAZMAT package inspections, HAZMAT cargo tank facility reviews, and HAZMAT vehicle inspections. FMCSA is expanding its partnerships with the HAZMAT industry by presenting cargo tank facility compliance information, presenting the results of research into the service life of cargo tanks, and promoting and communicating traffic enforcement efforts to reduce the incidents of rollover crashes.

The FMCSA is working to meet the mandate of the Sanitary Food Transportation Act of 2005 by providing training to its personnel and state enforcement personnel. FMCSA is continuing its efforts to reestablish the cargo tank manufacturing activity in coordination with PHMSA. FMCSA will use the findings of the HAZMAT serious crash study within the Agency to better focus resources on issues surrounding HAZMAT transportation. FMCSA will implement a routing analysis tool to ensure compliance with the HAZMAT routing regulations.

For FY 2011, the Budget includes \$10.3 million

In FY 2011, FMCSA will continue to conduct prioritized interventions such as HAZMAT compliance reviews, HAZMAT shipper reviews, and roadside strike force enforcement to verify PHMSA registration, HMSP verification and safety compliance. The Agency will continue its efforts in conducting HAZMAT package inspections, HAZMAT cargo tank facility reviews and vehicle inspections. FMCSA will continue its partnerships with the HAZMAT industry by conducting cargo tank facility outreach training, and promoting traffic enforcement efforts to reduce the incidences of rollover crashes. FMCSA plans to provide information surrounding service life of cargo tanks to PHMSA for future analysis.

FMCSA will continue to meet the SAFETEA-LU mandate of the Sanitary Food Transportation Act of 2005, by continuing to provide training on sanitary food transportation. The Agency will continue its efforts to fully reestablish the cargo tank manufacturing program. FMCSA will begin to implement the findings of the HAZMAT serious crash study into FMCSA HAZMAT activities. Building on the work begun in FY 2010, FMCSA will increase compliance with the HAZMAT routing regulations.

PERFORMANCE ELEMENTS (GRANTS TO STATES)

FMCSA has three grants to states performance elements that support this Strategy:

- 1. Motor Carrier Safety Assistance Program Grants**
- 2. Border Enforcement Grants**
- 3. Performance and Registration Information Systems Management (PRISM) Grants**

1. Motor Carrier Safety Assistance Program Grants

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

The FMCSA's Motor Carrier Safety Assistance grants supplement state resources to reduce the incidence and severity of CMV crashes. They accomplish this by supporting and enhancing state CMV safety enforcement, technology deployment, and safety information capabilities.

Basic Motor Carrier Safety Assistance grants funds and safety performance incentive funds support state conducted roadside inspections, compliance reviews, traffic enforcement, public outreach, training, and data collection. 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 safety audits.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will continue to work with states to identify CMV high-crash corridors, propose specific actions for reducing crashes in these corridors, and emphasize traffic enforcement efforts on rural roads and in highway work zones. FMCSA will increase emphasis and focus on drivers by ensuring that Level III inspections are a large part of state-conducted roadside inspections. Level III inspections are roadside interventions that focus specifically on drivers. All states will continue to include a bus inspection component into their Commercial Vehicle Safety Plans (CVSPs).

FMCSA will encourage all states to conduct New Entrant Safety Audits, with the number of state-conducted New Entrant Audits continuing to increase. The FMCSA's data analysis concludes that new entrant motor carriers have a lower level of regulatory compliance and less safe operations, on average, than more experienced motor carriers. To address this safety challenge, Congress authorized the New Entrant Safety Assurance Process in the Motor Carrier Safety Improvement Act of 1999 and in 2005, with the enactment of SAFETEA-LU, authorized \$29 million in grants for states to conduct New Entrant Safety Audits of new motor carriers entering the industry. In FY

2009, FMCSA completed a rulemaking greatly enhancing the effectiveness of the new entrant safety assurance process to provide an improved and strengthened process for taking action against new entrant carriers with significant deficiencies in their basic safety management practices, thereby prohibiting them from continuing to operate until the deficiencies are corrected.

In each of the last two fiscal years, as states have increased their participation in the program and due to increasing state costs, the demand for program funding exceeded available resources by approximately \$7 million. In addition, despite the best efforts of the participating state agencies, the states are not capable of conducting audits of all the new entrant carriers within their borders and FMCSA must supplement state activity with new entrant safety audits conducted by a contractor.

FMCSA will work with state partners to incorporate appropriate changes to CVSPs and grant deliverables in support of the CSA 2010 enforcement and business model. The Agency will also develop outreach and training materials to educate grantees on new performance measures that will gauge the effectiveness of the CSA 2010 interventions and other enforcement activities.

For FY 2011, the Budget includes \$213.1 million in MCSAP grants, \$900 thousand below base, and requests that these funds be transferred from CDLIS Grants to the MCSAP Grant to increase availability of New Entrant Grant funding to State partners.

For FY 2011, FMCSA is requesting realignment of \$3 million from CDLIS grants to MCSAP New Entrant grants. These additional resources will be used to provide additional grants to states to conduct New Entrant Safety Audits. This increase in funding will allow state partners more capability to meet the demands of full and effective implementation of the new requirements and corrective action plans associated with the implementation of the New Entrant Rule. This will also allow them to more effectively work with carriers in developing and monitoring corrective action plans.

In FY 2011, FMCSA will continue its efforts in requiring states to identify CMV high-crash corridors and propose specific actions for reducing the frequency and severity of crashes in these corridors. The Agency will increase the focus on traffic enforcement efforts on rural roads and in highway work zones. FMCSA will continue to focus on drivers by ensuring that states include Level III inspections as part of state-conducted roadside inspections. As part of the increased attention paid to motorcoaches, FMCSA will require states to continue to include a bus inspection component into their CVSPs. 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.

FMCSA will work with state partners to ensure that they incorporate the CSA 2010 enforcement and business model changes into their CVSPs and grant deliverables. The Agency will also implement outreach and training to educate grantees on new performance measures driven by the new CSA 2010 interventions and other enforcement activities.

2. Border Enforcement Grants

Responsible Officials: Associate Administrator for Enforcement and Program Delivery
Associate Administrator for Field Operations

In 2007, trucks crossed the U.S. borders with Canada and Mexico nearly 11.9 million times. An estimated seven to ten percent of these trucks transported HAZMAT. Foreign carriers, drivers, and vehicles must comply with the same Federal safety regulations as their U.S. counterparts when operating in this country. Freight and CMV traffic crossing the international borders with Mexico and Canada continue to increase nearly every year. Close cooperation among Federal and state agencies is necessary to ensure that only safe and secure cargo, vehicles, drivers, and authorized carriers cross in an efficient manner at international borders. Border grant funding supports state efforts to enforce the Federal motor carrier safety, operating authority, and financial responsibility requirements on foreign carriers. This activity promotes the necessary telecommunications and IT systems among the states and with Federal border inspection agencies and the governments of Canada and Mexico. FMCSA will assist in identifying and locating foreign carriers and drivers that have violated Federal safety and security laws and regulations.

The Southern border enforcement grants funds are 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 enforcement grants are 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 activities unique to their situations, including hiring additional staff to address cross border traffic.

Anticipated FY 2010 accomplishments

In FY 2010, the southern and northern border states will promote compliance by carrying out an optimal number of inspections of foreign-domiciled carriers and drivers operating at or near the U.S. borders. Inspections include checks to verify drivers possess a valid CDL or equivalent foreign license and ensure proof of required financial responsibility and active authority to operate in the United States. Federal and state personnel will ensure that priority is given to inspections of foreign domiciled motor coaches and CMVs transporting HAZMAT.

For FY 2011, the Budget includes \$32.0 million in Border Enforcement Grants

In FY 2011, FMCSA will continue working with southern and northern border-states to ensure compliance with FMCSRs and FHMRs by maintaining an optimal number of inspections of foreign-domiciled carriers and drivers operating at or near the U.S. borders. Inspections will include checks to verify drivers possess a valid commercial driver's license and ensure proof of required financial responsibility and active authority to operate in the United States. Federal and state personnel will ensure priority is given to inspections of foreign domiciled motor coaches and commercial motor vehicles transporting HAZMAT.

3. Performance and Registration Information System Management (PRISM) Grants

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

PRISM is an essential component of the Agency's enforcement program, providing critical information to Federal and state personnel on the size and operating characteristics of carriers.

PRISM provides a direct safety enforcement link by tying carrier safety performance to vehicle identification numbers (VINs). PRISM states require motor carriers to identify and link the USDOT number to each registered vehicle in their fleet. The link to individual VINs helps identify motor carriers that change company names in an attempt to evade FMCSA sanctions. PRISM grant funding to states is used primarily to establish information system connectivity among roadside enforcement personnel, state vehicle registration agencies and FMCSA. This provides 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 PRISM is that state vehicle registration agencies suspend a motor carrier's IRP license plates in conjunction with an FMCSA order to cease interstate operation. States also deny renewal of IRP license plates to any motor carrier that is prohibited from operating in interstate commerce by FMCSA. During FY 2008, FMSCA ordered nearly 972 motor carriers to cease interstate operations. These numbers are expected to continue to increase in both FY 2010 and FY 2011.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will oversee PRISM grants to participating states. The Agency will increase connectivity at the roadside for law enforcement and will improve the near real-time carrier and vehicle safety status information for law enforcement officers to identify out-of-service carriers. FMCSA will increase emphasis on upgrades of IRP offices for PRISM connectivity.

The FMCSA will conduct briefings with state motor carrier associations and other stakeholders to educate them on model PRISM-enabling state legislation. FMCSA will provide PRISM support to the states for technical IT assistance, identification of high-risk carriers, maintenance of the PRISM central site database, and coordination with state license plate registration system contractors.

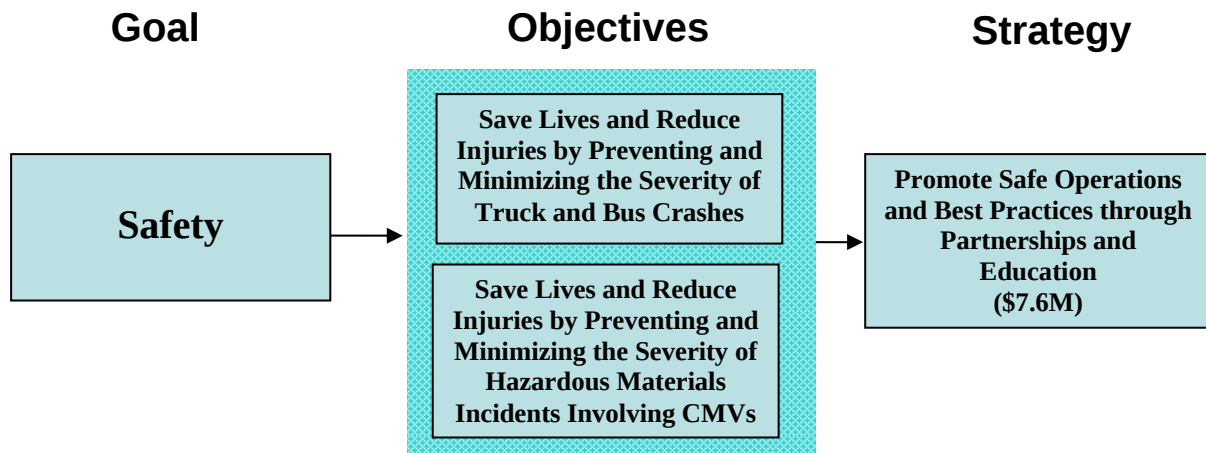
For FY 2011, the Budget includes \$5.0 million in PRISM Grants

In FY 2011, FMCSA will continue to oversee PRISM grants in participating states and increase connectivity at the roadside and improve the availability of near real-time carrier/vehicle safety status information for law enforcement officers to identify out-of-service carriers. FMCSA will continue increased emphasis to upgrade IRP offices for PRISM connectivity.

The FMCSA will continue to conduct briefings with state motor carrier associations and other stakeholders to educate them on model PRISM-enabling state legislation. FMCSA will continue providing PRISM support to the states for 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 continue efforts to 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 as a condition of license plate renewal. Additionally, FMCSA will continue working with state partners to increase the number of states that suspend, revoke, or deny license plates based on FMCSA's determination that the carrier must cease interstate operations.

STRATEGY

Promote Safe Operations and Best Practices through Partnerships and Education



STRATEGY OVERVIEW

For FY 2011, the Budget request for this Strategy is \$7.6 million.

A major part of this strategy is to provide high quality motor carrier safety and law enforcement training to FMCSA's customers. FMCSA's National Training Center (NTC) is responsible for training in the areas of commercial driver and vehicle inspection, drug interdiction, intelligent transportation systems, compliance and enforcement, highway safety, education and outreach, and management and support. The NTC serves as the national focal point for the development and delivery of motor carrier safety training to enhance the capabilities of participating state, Federal, and local government officials.

The state training courses are presented at various field locations nationwide. There is no tuition cost to the requesting state or agency. Since 2000, FMCSA has delivered over 1,000 training presentations to more than 32,000 state, Federal, and local government employees.

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 problems or areas for improvement. This allows FMCSA to target educational materials and other outreach countermeasures to appropriate audiences. The Agency aims to impact the knowledge, attitudes, and behaviors of motor carriers, CMV drivers, and passenger vehicle drivers who operate in the vicinity of large trucks, especially among high-risk drivers.

The 2006 CMV Safety Belt Usage Study showed that only 59 percent of all CMV drivers used 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. Therefore, the Agency partnered with NHTSA and engaged in a campaign to promote seat belt use among CMV drivers. 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.

Due to these and other efforts, CMV safety belt usage has increased from 65 percent in 2007 to 72 percent in 2008, which compares to 83 percent of passenger car drivers.

PERFORMANCE ELEMENTS (FEDERAL ACTIVITIES)

FMCSA has two Federal performance elements that support this Strategy:

- 1. Safety Training**
- 2. Outreach and Education**

1. Safety Training

Responsible Official: *Director, National Training Center*

This performance element assures that each federally funded motor carrier safety enforcement official is 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 HAZMAT. FMCSA is the sole provider of motor carrier technical safety training for Federal and state safety investigators, auditors, and inspectors. This training encompasses all CMV enforcement personnel including new hires, experienced enforcement officials, specialists, and program managers. This training also includes border operations training and provides additional border related training of the above material.

The FMCSA develops training for Federal and state personnel when significant rulemaking changes are implemented. Changes to rulemakings due to implementation of CSA 2010 and SAFETEA-LU mean 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 recertification will place new and revised demands on the training division.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will focus on standardizing the quality and process for identifying optimal training approaches. The Agency is strengthening partner relationships through collaborative analysis using the learning industry's most respected methodologies and is standardizing all training development activities. As courses and curricula are modernized, FMCSA is exploring the viability of various options for accreditation of the training activity and maintaining these high standards in the most efficient and effective manner possible. The Agency will focus on working with the CSA 2010 initiative to prepare the rollout training for the new business model and revamping existing material to fit the new model.

For FY 2011, the Budget includes \$2.8 million Federal Operations and \$2.0 million Motor Carrier Safety Assistance Grants

In FY 2011, FMCSA will continue to focus on optimizing the efficiency of training activities through various methods, including fully integrating distance learning, simulation, hands-on and other modern techniques. This will include continuing the process of accreditation, if it is determined to be feasible. The Agency will continue efforts to ensure training focuses on preparing FMCSA and state partners in implementing the CSA 2010 enforcement and business model.

2. Outreach and Education

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

The FMCSA conducts outreach and educational activities in support of DOT's strategic goals. The Agency partners with FHWA, NHTSA, states, safety advocates, enforcement and industry stakeholders to inform and heighten public awareness and appreciation of the safe operation and best driver safety practices for both CMVs and the passenger vehicles. The Agency provides consumer awareness materials to the general public to equip them with the information necessary to protect themselves against moving fraud by dishonest movers.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will implement the new CMV Driver Outreach Initiative and promote the Ticketing Aggressive Cars and Trucks (TACT) activity in selected states with the highest fatality and crash rates to demonstrate the effectiveness of combining high-visibility enforcement with education, communications, and evaluation. FMCSA will complete an ongoing evaluation of TACT and establish best practice strategies for future improvements. The Agency will conduct a NOPUS survey of safety belt use among CMV drivers in order to measure the effectiveness of the CMV Safety Belt outreach initiative. As a result of outreach and education activities safety belt use among CMV drivers will continue to improve.

The Agency will highlight CMV safety belt outreach and enforcement activities during Roadcheck 2010. Roadcheck is the largest targeted enforcement activity on commercial vehicles in North America, with approximately 14 trucks or buses being inspected, on average, every minute from Canada to Mexico during a 72-hour period in early June. Approximately 8,522 Commercial Vehicle Safety Alliance (CVSA)-certified inspectors at 1,850 locations across North America perform the truck and bus inspections. 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 translate designated outreach materials into Spanish and French.

FMCSA will research, design, and develop education and training materials concerning passenger safety for bus companies and their drivers with additional outreach to faith-based organizations. The Agency will also develop and implement educational materials in support of FMCSA's Medical Examiner's and CSA 2010 activities.

For FY 2011, the Budget includes \$2.8 million

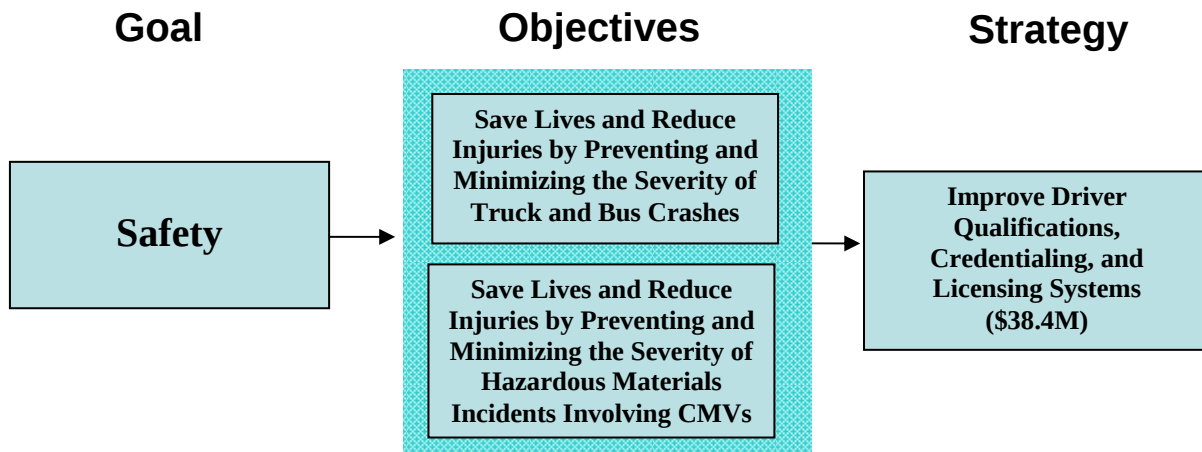
In FY 2011, FMCSA will focus a great deal of outreach and education efforts on the implementation of CSA 2010 and the new enforcement and business processes it employs. FMCSA will enhance and expand the Driver Outreach Initiative so as to more effectively communicate information specifically geared towards drivers. The Driver Outreach Initiative's primary outcome is to ensure drivers are as safe as possible in their work environments. By promoting safety, health and wellness among drivers, the initiative will decrease the incidents of crashes involving trucks and motorcoaches on our roadways, thereby, reducing injuries and fatalities. The Agency will continue to promote the TACT activity in selected states with the highest fatality and crash rates, combining high-visibility enforcement with education, communications, and evaluation. FMCSA will use the TACT evaluation completed in FY 2010 to establish best practice strategies for future improvements. The Agency will use the NOPUS survey of safety belt use among CMV drivers, conducted in FY 2010, to measure the effectiveness of the CMV Safety Belt outreach initiatives. As a result of outreach and education activities safety belt use among CMV drivers will continue to improve.

FMCSA will continue highlighting CMV safety belt outreach and enforcement activities during Roadcheck 2011. The Agency will also 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 translating designated outreach materials into Spanish and French.

FMCSA will continue efforts in research, design, and development of educational and training materials concerning passenger safety for bus companies, drivers, Medical Examiner's and other high priority groups.

STRATEGY

Improve Driver Medical Qualifications, Credentialing, and Licensing Systems



STRATEGY OVERVIEW

For FY 2011, the Budget request for this Strategy is \$38.4 million, \$3.9 million below base and two additional FTE annualized.

This strategy addresses increasing issues with CMV driver medical qualifications, proper credentialing, and controlled licensing. FMCSA is working to ensure that a driver's CDL is not obtained through fraud, allowing unsafe operators to operate CMVs on the Nation's roads. FMCSA continues work on unifying the driver's medical qualifications as part of an overall licensing process that ties into the issuance of a CDL.

The FMCSA is working to provide information to carriers and drivers on medical rules and impending guidance. The Agency will develop and implement CMV driver fitness for duty activities that govern the safety and health of CMV drivers. Section 4116 of SAFETEA-LU requires the Secretary of Transportation to establish and maintain a current National Registry of Certified Medical Examiners whose examiners are qualified to perform examinations and issue medical certificates for CMV drivers. SAFETEA-LU requires that medical examiners complete an education activity on the driver physical qualification standards. FMCSA is developing the National Registry to establish clearly defined standards for medical examiner competency through training, testing, certification, and recertification. This activity will allow FMCSA to perform

quality reviews of medical examiner performance and practice, including analyses of medical examination reports.

SAFETEA-LU also requires the establishment of a surveillance system for medical examiner reporting and the Motor Carrier Safety Improvement Act (MCSIA) of 1999 requires the merging of the medical certification and CDL process to enhance the monitoring of drivers' medical status, which supports safety by providing new enforcement capabilities for states and FMCSA. Through these activities, FMCSA will develop and implement evidence-based medical standards for CMV drivers. The Agency must review and revise, where appropriate, FMCSA's medical standards and develop new standards where critical gaps exist. FMCSA will work with the Medical Review Board (MRB) to institutionalize a permanent, continuous review cycle for medical policy and research.

PERFORMANCE ELEMENTS (FEDERAL ACTIVITIES)

FMCSA has two Federal performance elements that support this Strategy:

- 1. Federal Commercial Driver's License (CDL) Operations**
- 2. Driver Medical Qualifications**

1. Federal Commercial Driver's License (CDL) Operations

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

This performance element provides regulatory development, interpretation, and oversight to ensure rules are in place and effective so that only qualified drivers receive a CDL and help identify and remove disqualified drivers from the road. Since the responsibility for issuing and managing CDLs rests with states, this performance element provides covert and overt task forces to identify fraud and compliance reviews of state CDL programs.

More than 13 million CDLs have been issued since the first was issued in 1989. Every month, another 40,000 CDLs are issued by states. Since the FMCSA CDL state compliance reviews were initiated in 1994, every state CDL activity has been reviewed at least three times. Currently, FMCSA reviews a state at least every 3½ years or sooner if a problem is identified within the State's program. The DOT's OIG has identified the need for improved oversight of the CDL activity as a Departmental Management Challenge. One of the principal findings of the OIG is that the risk of CDL fraud is a significant issue within the states.

Public safety demands that only safe drivers receive a Commercial Driver's License (CDL) and that unsafe truck and bus drivers lose their commercial vehicle driving privileges. The FMCSA accomplishes this goal through oversight of the states' implementation of the CDL program and providing Federal and state enforcement personnel with information about the validity of commercial licenses for drivers from the U.S., Mexico, and Canada, via the Commercial Driver's License Information System (CDLIS) and other information systems.

The FMCSA has discovered in recent years that states continue to have significant problems complying with the CDL program requirements resulting in fraudulent activities and unsafe drivers remaining on U.S. highways. In addition, there remains an on-going need to maintain an

electronic communications link to the driver licensing systems in Canada and Mexico to ensure that enforcement officials in the U.S. are able to determine whether drivers from those countries are qualified to operate commercial vehicles in the U.S. In fact, the electronic communications link to Mexico's licensing system is required under Section 350 of the 2002 DOT Appropriations Act as carried forward in all subsequent appropriations acts since FY 2002.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will continue to implement recommendations from the CDL Task Force report issued in 2008 through its CDL activities to build on prior accomplishments and ensure that states are in compliance with the current and newly effective CDL requirements. This will include working closely with the states as they begin to implement the new CDLIS modernization requirements and the merging of the medical certification requirements as part of the CDL record.

For FY 2011, the Budget includes \$1.4 million for CDL Federal Operations

In FY 2011, FMCSA will support and enhance state CDL Compliance Reviews to ensure uniformity and compliance with the Federal Motor Carrier Safety Regulations (FMCSRs). It will also help to detect and prevent CDL fraud, and will assist in the oversight, monitoring and improvement of the effectiveness of the testing and licensing procedures of the states.

Without this funding, FMCSA will be unable to enhance its oversight of state licensing agencies' level of compliance with the Federal CDL regulations. Enhancement of FMCSA's oversight capability will improve safety by helping the Agency and its state partners identify unsafe drivers and remove their CDL privileges.

In FY 2011, FMCSA will continue its CDL activities to build on FY 2010 accomplishments and ensure that States are in compliance with the current and newly effective CDL requirements. This will include working closely with the states as they continue to implement the new CDLIS modernization requirements and the merging of the medical certification requirements as part of the CDL record.

2. Driver Medical Qualifications

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

The FMCSA has jurisdiction over the medical oversight of approximately 14 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. FMCSA's medical activity has developed a strategy for creating a much-improved comprehensive medical program, including evaluation of the current medical certification process and successful implementation of key initiatives.

The FMCSA is responsible for establishing and enforcing regulations prescribing minimum standards for truck and bus drivers' physical qualifications and fitness for duty. To fulfill certain SAFETEA-LU requirements, FMCSA must establish an information system for medical examiners to report to the Agency the name and unique numerical identifier for each driver that attempts to obtain a medical certificate. This system will also enable FMCSA to monitor the number of

medical certificates being issued by each medical examiner, and look for certain trends or patterns that may be indicative of problems.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will complete an implementation plan for the medical certification CDL final rule and provide guidance to the states for executing the compliance requirements.

In FY 2010, FMCSA plans to publish a final rule to implement a National Registry of Certified Medical Examiners, pursuant to SAFETEA-LU. The National Registry will enable the Agency to ensure through required training and testing, that medical examiners are knowledgeable of the Federal physical qualifications standards for truck and bus drivers, and capable of applying those standards in a consistent manner.

The Agency will reach out to stakeholder groups and the public through the internet, meetings, listserv, and other means to maximize early participation. FMCSA plans to implement an online application process for vision exemptions.

For FY 2011, the Budget includes \$7 million, \$114 thousand above base and two additional FTE annualized.

In FY 2011, FMCSA is requesting an additional \$57 thousand and one FTE to support the implementation of a comprehensive Medical Examination Reporting System that will provide the Agency with the capability to monitor the volume of medical certificates issued on a periodic basis. The system will also identify drivers that seek medical certificates from multiple medical examiners within a short period of time (indicative of a medically unqualified driver concealing a serious medical condition), and medical examiners that appear to issue an unusually large volume of medical certificates, compared to other healthcare providers on the Agency's National Registry. The FMCSA estimates that approximately 3.5 million medical examinations of truck and bus drivers are performed each year, which means FMCSA is likely to receive about 300,000 reports from medical examiners each month. With this projected workload, it is essential to have an electronic reporting system.

This data system will complement the National Registry and the Agency's 2008 final rule merging the medical certification and CDL issuance and renewal processes. The monitoring system will provide a means to help identify questionable activities on the part of drivers and medical examiners so that appropriate action may be taken by the state licensing agency if the FMCSA's information suggests the medical certificate the driver submitted to the state may not be valid. This enhancement will prevent the current practice where drivers are able to bypass detection by failing to report failed medical examinations and by providing fraudulent medical certificates and examination forms. This funding will enable FMCSA to meet the requirements of Section 4116 of SAFETEA-LU.

In FY 2011, FMCSA is requesting an additional \$57 thousand and one FTE to support the implementation of the National Registry based on the planned publication of the final rule in FY 2010. The FMCSA will work with the private sector to provide the training curriculum and standardized tests that will be used for the program, and establish a process for verifying that medical examiners are licensed by appropriate state health agencies to perform medical examinations. The Agency will also put into place the necessary IT system to provide to the

motor carriers, drivers, Federal and state enforcement personnel, and the general public, information to enable any interested party to verify whether a specific individual is on the National Registry of Certified Medical Examiners. The Agency will also continue to support the development of health education modules for drivers and develop a highly visible public education campaign that emphasizes driver physical qualifications requirements.

In FY 2011, FMCSA will reach out to stakeholder groups and the public through the internet, meetings, listserv, and other means to ensure understanding of how to execute compliance requirements and maximize early participation. FMCSA plans to implement an online application process for vision exemptions.

PERFORMANCE ELEMENTS (GRANTS TO STATES)

FMCSA has three Grants to states performance elements that support this Strategy:

- 1. Commercial Driver's License (CDL) Improvement Grants**
- 2. Commercial Driver's License Information System (CDLIS) Grants**
- 3. Commercial Motor Vehicle (CMV) Operator Grants**

1. Commercial Driver's License (CDL) Improvement Grants

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

Since the implementation of the CDL program, there have been numerous regulatory changes implemented by the states. FMCSA and others have discovered instances of fraud in the CDL activity that represents safety and security concerns. To address this need, Congress created the CDL Improvement grant 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 HAZMAT 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, DOT, in partnership with the American Association of Motor Vehicle Administrators (AAMVA), created the national CDLIS pointer system that would enable the states to communicate and exchange driver license information.

Anticipated FY 2010 Accomplishments

In FY 2010, FMCSA will emphasize and monitor the use of CDL grant funds by the states for critical eligible activities. This will include emphasizing the use of CDL grant funds by the states to implement the merging of the medical certification requirements as part of the CDL record and continued funding activities to combat fraud.

For FY 2011, the Budget includes \$30.0 million

In FY 2011, FMCSA will continue to emphasize and monitor the use of CDL grant funds by the states for critical eligible activities. This will include emphasizing the use of CDL grant funds by the states to implement the new CDL testing and commercial learner's permit standards, merge the medical certification requirements as part of the CDL record, and continue funding activities to combat fraud.

2. Commercial Driver's License Information System (CDLIS) Grants:

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

The FMCSA selected AAMVA, a non-profit association that represents the state officials who administer and enforce motor vehicle laws, as the responsible organization for operating and modernizing the CDLIS. In full operation since April 1992, CDLIS serves as a clearinghouse that each of the 51 jurisdictions (the 50 states and the District of Columbia) can check before issuing a CDL. CDLIS helps to ensure that only one license or CDL is issued to each driver nationwide and ensures that all convictions are reported to the licensing state and are made a part of the driver's record. 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 CMVs in the United States.

CDLIS was originally created to accommodate approximately four to five million drivers and currently includes nearly 14 million CDL records. A modernization effort will enable FMCSA and the states to take advantage of new IT advances and expand CDLIS' storage capacity to make it more responsive to current needs. As required by SAFETEA-LU, the modernization plan must do the following: (1) comply with applicable Federal IT 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 2010 Accomplishments

In FY 2010, the Agency will provide grant funds to the states for their implementation efforts of the new modernized CDLIS. The Agency will also monitor the use of CDLIS grant funds by the states and AAMVA for eligible activities and continue work on improving security standards.

For FY 2011, the Budget includes \$1.0 million, \$7 million below base, and requests that these funds be transferred to the MCSAP Grant to increase availability of New Entrant Grant funding to State partners.

In FY 2011, FMCSA plans to continue providing grant funds to the States for their implementation efforts of the new modernized CDLIS. The Agency will continue monitoring the use of CDLIS grant funds by the States and AAMVA for eligible activities. However, the need for these grant funds will be reduced in FY 2011, and FMCSA proposes the subsequent reduction for this program.

3. CMV Operators Grants

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

The CMV Operators grant was created to provide an incentive to support quality training for CMV operators. These funds are intended for community colleges and truck driver training schools. Because driver behavior was identified as the most prominent cause of truck crashes, these funds will help the Agency achieve its goal of reducing large truck and bus related fatalities.

Anticipated FY 2010 Accomplishments

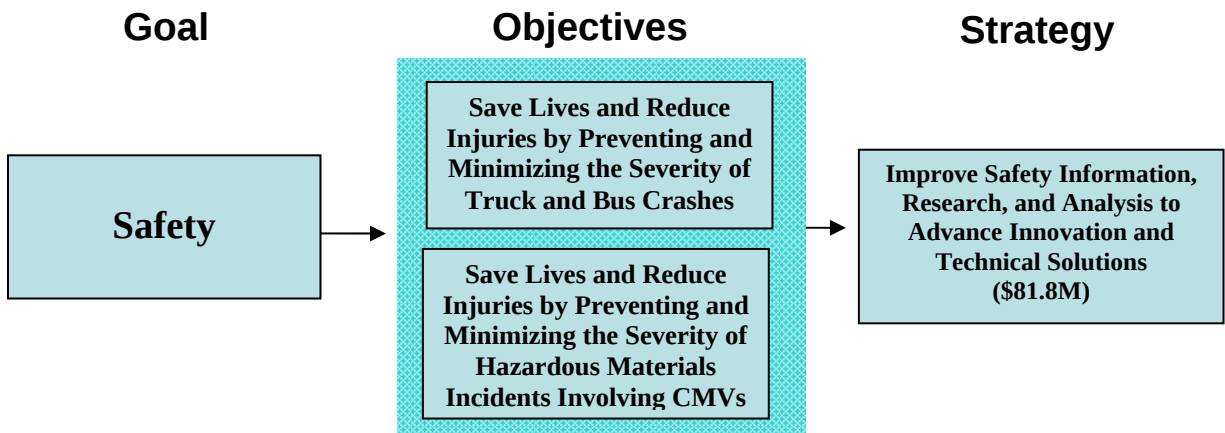
For FY 2010, FMCSA will provide grants to community colleges or truck driver training schools for training operators and future operators in the safe use of CMVs.

For FY 2011, the Budget includes \$1.0 million

In FY 2011, FMCSA will continue providing grants to train operators and future operators in the safe use of CMVs. Additionally, FMCSA will award grants to qualified applicants in accordance with criteria established by the Agency to address FMCSA's priority areas for increasing driver emphasis and training to meet the Agency's long term safety goal.

STRATEGY

Improve Safety Information, Research, and Analysis to Advance Innovation and Technical Solutions



STRATEGY OVERVIEW

For FY 2011, the Budget request for this Strategy is \$81.8 million, \$7.3 million above base and one additional FTE annualized.

The FMCSA mission is heavily dependent on complete, timely, and accurate data. To this end, FMCSA's information management (IM) and analysis activities are extremely important. The data the Agency collects and the analysis it performs provides the necessary information and evidence base to make sound and well informed decisions. To improve the effectiveness and efficiency of

this data, FMCSA continues to modernize its outdated architecture and applications. This effort, called COMPASS, is a top Agency priority that ensures streamlined access to information for the enforcement community, both Federal and state, so they can more efficiently examine company and driver performance data and take appropriate actions against unsafe motor carriers and drivers.

The FMCSA uses research to identify new and emerging technologies that will help to reduce crashes, injuries, and fatalities and will contribute to a safe, secure, and highly mobile transportation network. Research projects are focused on new technologies that produce safer drivers and carriers, improve the safety of CMVs, and advance safety through information-based initiatives.

PERFORMANCE ELEMENTS (FEDERAL ACTIVITIES)

FMCSA has two Federal performance elements that support this Strategy:

- 1. Information Management**
- 2. Research and Technology**

1. Information Management

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

This performance element addresses the efficient and effective collecting, compiling, analyzing, and disseminating of crucial safety data so that FMCSA and its safety partners can develop the most effective countermeasures, including regulations, programs, and policy, conduct operations, and allocate scarce resources to positively impact truck and bus safety. Without the best and most reliable data or adequate IT tools, FMCSA and its safety partners will not be able to accurately focus on the highest risk motor carriers, drivers, and vehicles, nor will FMCSA be able to measure the effectiveness of its programs. Information management is the backbone for all major FMCSA activities that lead to reducing fatalities and injuries resulting from truck and bus crashes.

IT provides a vital and integral part of the Agency's service delivery model by providing unique application and infrastructure support. FMCSA continues to undergo its 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 identifications (IDs) and passwords. COMPASS is a top priority for the Agency and its completion will ensure more effective and efficient identification and enforcement of unsafe motor carriers and drivers. Through COMPASS, FMCSA is working towards retiring numerous legacy and outdated architecture and systems, and transitioning the organization to a fully web-based environment built on an integrated suite of commercially available IT solutions. FMCSA is implementing additional functionality of the existing enterprise web portal, expanding of E-Authentication, and improving data warehousing capabilities. These efforts support the CSA2010 initiative by delivering the necessary functionality for all phases of its implementation.

The FMCSA continues to improve the quality of motor carrier inspection and crash data collected and uploaded to FMCSA by states. The Agency will continue to analyze the economic and environmental impacts of FMCSA regulations and evaluate the effectiveness of FMCSA enforcement policies and activities using quantitative methods and results. FMCSA provides data,

analyses, and online tools to Federal, state, and industry participants. 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, OIG, and NTSB recommendations.

FMCSA and U.S. Customs and Border Protection (CBP) are partnering to improve truck safety at the Nation's land borders utilizing the Automated Commercial Environment/International Trade Data System (ACE/ITDS). ACE/ITDS incorporates an Automated Truck Manifest feature that improves the efficiency of inspections at the Canadian and Mexican borders. Carriers transmit their planned border crossing itineraries, driver information and manifest through ACE/ITDS before reaching the borders. This information is linked to FMCSA's Motor Carrier Management Information System (MCMIS). This enables FMCSA and state safety inspectors and CBP border officers to know, before a truck reaches a port of entry, whether the vehicle or driver are free to enter U.S. roadways or they need to be inspected more closely for safety compliance. Therefore, FMCSA and CBP border officers have the capability to identify and contain high risk CMVs and drivers before they reach the National highways based on safety information maintained by the Agency.

Anticipated FY 2010 Accomplishments

In FY 2010, FMCSA will continue to improve its IT services by providing additional features and interfaces, and allowing for more intense monitoring of motor carriers in support of CSA 2010 implementation. The Agency will provide a greater array of system tools for FMCSA field and state personnel engaged in conducting inspections, investigations, and reviews. As functionality is implemented in COMPASS, those same functions will be retired from the legacy systems. Operations and maintenance, technical support, hardware, software, and training will continue to be provided to the Federal and state enforcement users.

In FY 2010, FMCSA plans to get more states to achieve green status for timeliness, accuracy, and completeness of data. FMCSA plans to complete additional off-site state data quality assessments, and on-site data quality reviews. The Agency will continue to produce motor carrier safety statistics based on crash and roadside inspection data and will provide motor carriers safety information online to the general public through its Analysis and Information website.

FMCSA will continue working with other Federal partners on the deployment of ACE/ITDS at commercial cargo border crossings. FMCSA will continue to conduct targeted commercial motor carrier, vehicle, and driver inspections (including operating authority and financial responsibility checks) based on ACE/ITDS screening procedures and safety enforcement interventions based in part on ACE/ITDS screening data.

For FY 2011, the Budget includes \$42.7 million, \$7.2 million above base and one additional FTE annualized.

In FY 2011, FMCSA is requesting an additional \$7.2 million and one FTE. These resources will provide additional capabilities to meet the increased workload within Information Technology to address requirements to enhance FMCSA mission-critical safety systems, including new functionality associated with Drug and Alcohol, New Entrant, e-Gov, COMPASS and related initiatives.

While funding is requested separately for the individual initiatives supported by information systems, funding for COMPASS provides the means for linking the separate systems together in a common suite of applications so that Federal and state enforcement personnel can move seamlessly from one application to another, and critical information can flow from one application to another. COMPASS will include appropriate access limitations to ensure that users are only allowed to view information for which they have a legal right and cannot access personally identifiable information or proprietary information.

This investment will also ensure that FMCSA provides adequate informational technology support of new Agency safety initiatives, such as the High-Risk Carrier Identification and Intervention System (the data backbone for the CSA 2010 initiative), the enhanced New Entrant Safety Assurance Process (a necessary tool for the implementation of the New Entrant Rule), the National Registry of Certified Medical Examiners (a required system for compliance with multiple items on the NTSB Most Wanted List), and; a national database of controlled substances and alcohol testing results. As the current legacy systems operations and maintenance costs continue to increase each year, it is critical for the Agency to direct resources towards development of the new systems, in order to retire the legacy systems. These additional resources will allow FMCSA to implement planned enhancements and achieve efficiency by reducing operating costs associated with maintaining the legacy systems.

Accelerating COMPASS will allow FMCSA to meet current needs and the retirement of functionality associated with several legacy systems and prepare for cost-effective implementation of new business requirements. With this funding, the major systems development work associated with enforcement and inspection will be addressed in FY 2011. This will allow for the retirement of functionality associated with select current systems, including the Enforcement Management Information System (EMIS), Inspection Selection System (ISS), ASPEN, Past Inspection Query (PIQ), Query Central, and CDLIS Access, and inspection functionality within the Motor Carrier Management Information System (MCMIS) and SAFETYNET. In addition, the work associated with crash functionality would be addressed in later FY 2011 and completed in FY 2012. Once that work is completed, both existing MCMIS and SAFETYNET functionality will be retired.

Without this additional funding, FMCSA will be challenged to meet the growing FMCSA Field operations requirements associated with enforcement, driver and vehicle inspection results and crash reporting. With finite resources, there will be increasing challenges to meet growing workloads in the Agency's field offices. The operations and maintenance costs associated with the current systems will continue to escalate. The outcomes will include improved systems functionality for mission-critical Field operations and related activity, improving productivity, and ensuring FMCSA stakeholders have the necessary tools to do their job.

The Agency will complete the enterprise database, which will provide a data warehouse of all registration and safety information, making critical information more accessible to enforcement personnel in the field and at the roadside. Additionally, the enterprise database will use the latest technologies to improve data quality. FMCSA will also reduce redundancy and maintenance costs of legacy databases. The Agency will further enhance the mobile client application, started in FY 2010, to improve capabilities over the current legacy field systems, while retiring most of these legacy systems.

FMCSA will continue efforts to get more states to achieve green status for timeliness, accuracy, and completeness of data. Additional offsite state data quality assessments will be completed, as well as more onsite data quality reviews. The Agency will continue to produce motor carrier safety statistics based on crash and roadside inspection data and will continue to provide motor carrier safety information online to the general public through its Analysis and Information website. FMCSA will continue to produce timely and high quality economic and environmental analysis for all of the Agency's significant rulemakings.

The Agency plans to continue working with Federal partners for deployment of ACE/ITDS at commercial cargo border crossings. FMCSA will continue to conduct targeted commercial motor carrier, vehicle, and driver inspections (including operating authority and financial responsibility checks) based on ACE/ITDS screening procedures; and compliance reviews based in part on ACE/ITDS screening data.

2. Research and Technology

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

The Research and Technology (R&T) performance element provides for conducting systematic studies, which provide robust scientific discovery, knowledge, and understanding of the factors involved in CMV crashes. FMCSA has a focus on adopting, testing, and deploying innovative driver, carrier, vehicle, and roadside best practices and technologies.

The development, testing, and deployment of simple and advanced innovative driver and vehicle technologies and integrated IT solutions support the Agency's priorities by demonstrating new roadside safety technologies and operational concepts. This activity accelerates the deployment of vehicle-based and other safety and security technologies.

Anticipated FY 2010 Accomplishments

In FY 2010, FMCSA will analyze data collected for the Large Truck Crash Causation Study (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. FMCSA will develop an unobtrusive fatigue monitoring system that can detect and warn drivers who are drowsy or about to fall asleep. FMCSA will continue work on the second phase of a Small Business Innovative Research (SBIR) project to develop a low cost, easily installed device to increase safety belt use.

FMCSA will continue research and evaluation of safety and security technologies. FMCSA will continue ongoing research activities such as the Field Operational Test (FOT) of new safety technologies.

The FMCSA will continue activities aimed at assuring interoperability of systems supporting safety, security, and productivity and providing technical assistance to states. FMCSA will continue its long term partnership with the National Academies' Transportation Research Board (TRB) to increase TRB's participation and expertise in FMCSA's analysis, research, and technology activities.

For FY 2011, the Budget includes \$11.1 million

In FY 2011, FMCSA plans to begin a number of new research efforts including a study of the impact of driver compensations on CMV safety; an evaluation of the Ticketing Aggressive Cars and Trucks program; Phase I Small Business Innovative Research program effort at developing navigation systems particularly for Hazardous Material (HM) drivers taking into account approved HM routes and vital infrastructure; partnering with the Federal Transit Administration (FTA) to conduct a Motorcoach/Bus Naturalistic Driving Study; investigating the viability of remedial training program for high-risk CMV drivers.

The FMCSA will continue to evaluate, through the Case-Control Commercial Driver Individual Differences Study, the most critical driver risk factors that affect CMV safety including demographic characteristics, medical conditions, personality traits, attitudes, work environmental conditions, and behavioral history. This study will include a medical examination and battery of psychological and behavioral history measures to as many as 21,000 CMV drivers. FMCSA will continue research to determine the effectiveness of different restart provisions in the hours of service regulations (HOS) governing CMV drivers in restoring driver alertness and performance. The Agency will continue research aimed at accelerating the deployment of vehicle-based and other safety and security technologies to reduce crashes. FMCSA will continue conducting fast-turnaround and independent evaluations of promising safety technologies aimed at commercial vehicle operations. FMCSA will continue the Advanced System Testing utilizing a Data Acquisition System Highway (FAST DASH) program. With FAST DASH, FMCSA partners with technology providers to conduct a fast turn-around and independent evaluation of new safety technologies. These activities will reduce both the time and the resources required to conduct independent evaluations of potentially life-saving new safety technologies. FMCSA will continue to participate in a DOT inter-modal sponsored study that will collect and conduct detailed root cause analyses to determine the cause of bus and motor coach fires.

The Agency will continue research that will support rulemaking activities by gathering and consolidating information for inclusion in the Agency's rulemakings and required analyses. FMCSA will use the Service Corps of Retired Executives (SCORE) to help new entrant motor carriers to establish a culture for making daily operating decisions based on both good business practices and FMCSA regulatory requirements.

The FMCSA will continue activities aimed at assuring interoperability of systems supporting safety, security, and productivity and providing technical assistance to states. The Agency will continue a project to refine software used by state motor vehicle administrators to manage the skills testing portion of the Commercial Driver's License (CDL) application process. While the original project focus was on 3rd party testers, the project also covers fraud perpetrated by testers who are employees of state motor vehicle administrations. Continuation of this effort will make the software easier to implement across the states. A couple of refinements will make the scheduling process for examiners more user-friendly by creating a simpler, more basic summary schedule report.

The Agency will also continue the Smart Park: Real Time Parking Availability project to demonstrate the feasibility of technology for conveying real-time information on parking availability to truckers on the road and to determine if drivers change their behavior as a result of the information. In 2011, FMCSA will conduct a field operational test to evaluate the safety

benefits of the Smart Park concept.

The Agency, in 2009 successfully demonstrated the Smart Infra-Red Inspection System's (SIRIS) ability to automatically capture and analyze thermal images of a moving CMV's wheels, tires, and engine compartment in order to determine the functionality of the brakes, look for defective wheel bearings and under-inflated tires, and identify irregular hot spots in the engine compartment. The SIRIS then provides exception-based alerts to safety inspectors if a problem is automatically detected. In 2011, the Agency will conduct further testing to develop a set of performance-based specifications that states can use to procure SIRIS devices that meet FMCSA's requirements for quality and effectiveness.

The Agency will exercise the long-standing partnership with the National Academies of Science's TRB, which will be broadened to increase TRB's participation and expertise in FMCSA's analysis, research, and technology programs. Specific joint activities include publishing truck and bus synthesis reports and special reports, conducting conferences, and publishing reports from the Innovations Deserving Exploratory Analysis (IDEA) program.

PERFORMANCE ELEMENTS (GRANTS TO STATES)

FMCSA has two Grants to states performance elements that support this Strategy:

- 1. Commercial Vehicle Information Systems and Networks (CVISN) Grants**
- 2. Safety Data Improvement Grants**

1. Commercial Vehicle Information Systems and Networks (CVISN) Grants

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

CVISN deployment integrates state, Federal, and carrier systems to improve safety and productivity. This activity 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 states and motor carriers, and improve the efficiency of commercial vehicle operations.

CVISN deployment is an unprecedented cooperative effort, comprised of a variety of stakeholders, including FMCSA, DOT and other Federal agencies, the states, motor carrier and industry associations, and the private sector. Limitation in states' resources represents the most significant constraint to achieving 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.

The FMCSA will implement expanded CVISN capabilities to enhance the safety, security, and productivity of commercial vehicle operations. FMCSA, in cooperation with the CVISN stakeholder community, defined and prioritized 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 and screening functions. Additional capabilities

include developing business cases, interoperability tests, and sharing lessons learned and best practices.

The deployment of CVISN systems yields safety and operational 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 2010 Accomplishments

In FY 2010, FMCSA will provide states with critical funding to deploy both core and expanded CVISN capabilities. FMCSA will provide technical assistance and support to all states on their core and expanded CVISN deployment efforts and will provide CVISN deployment grants to additional states to implement core CVISN capabilities. FMCSA will also integrate and align CVISN with the Agency's CSA 2010 business process.

For FY 2011, the Budget includes \$25.0 million

In FY 2011, FMCSA will continue to provide states with critical funding for deployment of both core and expanded CVISN capabilities. FMCSA will also provide technical assistance and support to all States for their core and expanded CVISN deployment efforts. FMCSA will provide CVISN deployment program grants to additional states to implement core CVISN capabilities and certify deployment of core CVISN capabilities. FMCSA will continue accepting CVISN activity plans and provide CVISN deployment grants.

2. Safety Data Improvement (SaDIP) Grants

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

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

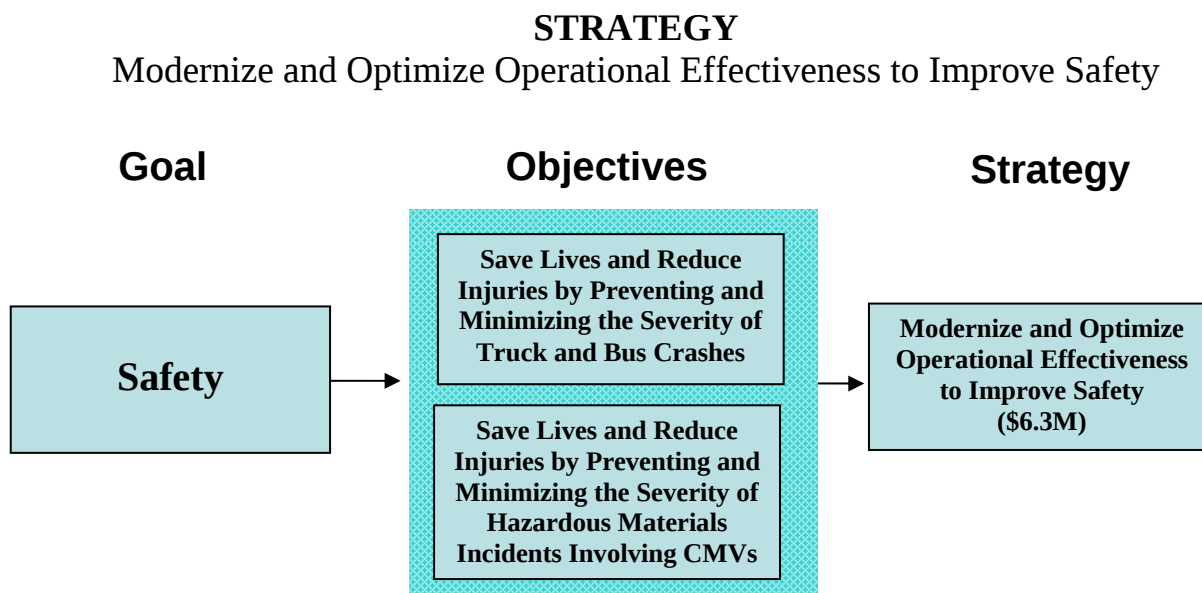
The FMCSA has established, and had in effect for several years, a comprehensive data quality improvement effort to ensure the availability of superior data and support governments, businesses, and citizens in making appropriate decisions about motor carrier safety. One aspect of this effort involves 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 safety systems.

The FMCSA recognizes that each state faces unique challenges when collecting and reporting safety data. As a result, the Agency has implemented Safety Data Improvement (SaDIP) to help states identify their challenges and implement improvement strategies.

In FY 2010, FMCSA will work with states to improve overall quality of state-reported data collection and reporting, with the expectation that additional states will achieve “green” status based on the timeliness, accuracy, and completeness criteria established and monitored by FMCSA and made available to states via internet access.

For FY 2011, the Budget includes \$3.0 million

In FY 2011, FMCSA will continue working with states to improve overall quality of state-reported data collection and reporting. The SaDIP grants will result in additional states achieving “green” status based on the timeliness, accuracy, and completeness of data. FMCSA will focus outreach to grantees on improving data specific for the success of CSA 2010.



STRATEGY OVERVIEW

For FY 2011, the Budget request for this Strategy is \$6.3 million.

The FMCSA’s major initiative to modernize and make more effective Agency enforcement activities is its CSA 2010 initiative. This effort will lead the Agency into a more cost effective approach to carrying out its compliance and enforcement programs. Aside from roadside inspections, the safety CR is the primary intervention tool FMCSA has used historically 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 reaching directly only about two percent of all motor carriers annually.

PERFORMANCE ELEMENT

Comprehensive Safety Analysis 2010

FMCSA has one Federal performance element that supports this Strategy:

Comprehensive Safety Analysis 2010 (CSA 2010)

Responsible Official: *Assistant Administrator and Chief Safety Officer*

The goal of CSA 2010 is to “touch” more regulated entities through a broader array of 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 2010 is not a stand-alone initiative, but a “comprehensive safety analysis” involving the entire Agency in a collaborative effort. When fully tested and eventually implemented, CSA 2010 will provide FMCSA with a new operational model (Op-Model) that will greatly enhance the Agency’s efficiency and effectiveness to reach and thoroughly evaluate a significantly larger portion of the regulated population, both carriers and drivers.

This CSA 2010 process began with the Compliance Review Working group in 2002. This working group lead to the creation of a team made up of FMCSA field and headquarters staff and its state partners to develop a new enforcement model based on the premise that unsafe behaviors cause crashes. CSA 2010 was designed to emphasize on-road safety performance as a leading indicator of future motor carrier and driver safety performance.

CSA 2010 will implement a new safety measurement system (SMS) that measures the safety performance of carriers and drivers and takes into account all safety violations (not just acute and critical violations which is now the case), weighted on the basis of their linkage to crash causation. The SMS enables FMCSA to more readily pinpoint specific unsafe behavior on the part of carriers and drivers.

The FMCSA has developed a new safety-fitness-rating methodology as part of CSA 2010, which is no longer tied to the resource-intensive CR and relies more strongly on roadside safety performance data categorized into the following seven BASICS: Fatigued Driving, Unsafe Driving, Vehicle Maintenance, Driver Fitness, Improper Loading/Cargo Securement, Controlled Substances and Alcohol, and Crash History.

The Agency has also created new progressive interventions designed to change unsafe behavior early while identifying the root cause of the safety problem. This new intervention “toolbox” is progressive in nature and uses specific targeted activities based on the carriers' safety-fitness-rating from their BASICS. These interventions are warning letters, off-site investigations, on-site focused investigations, and on site comprehensive investigations (similar to the current CR). This tool-box includes a cooperative safety plan, notice of violation, and notice of claim follow-on actions.

Beginning in February 2008 and continuing to December 2010, FMCSA is testing the core and enabling elements of the CSA 2010 operational model. FMCSA is currently conducting an Op-Model test in Colorado, Georgia, Missouri and New Jersey, as well as performing an independent analysis throughout the 30-month test. The FMCSA has received encouraging results from the Op-Model test. Preliminary results show that the Agency has been able to contact approximately four times as many motor carriers through the new intervention process and

conducted more investigations and follow-on corrective actions than under the current process used for the control group.

Anticipated FY 2010 Accomplishments

In FY 2010, FMCSA plans to implement CSA 2010 by replacing the Agency's current motor carrier measurement system, SAFESTAT, with the CSA 2010 SMS. This is scheduled to occur in summer 2010. The Agency plans to send CSA 2010 warning letters nationwide to inform motor carriers of safety problems beginning then. FMCSA will provide roadside inspectors nationwide with access to a motor carrier's safety data, as reflected in the carrier's BASIC scores. This data can then be used to select the motor carrier for inspection in support of the CSA 2010 initiative. FMCSA plans to have this data available to roadside inspectors by summer 2010. Finally, FMCSA plans to deploy CSA 2010 interventions nationwide to supplement the CR by the end of the year.

The FMCSA will continue to conduct the 30-month Op-Model test and will continue to analyze the results. The test is scheduled for completion in 2010. The Agency will continue to provide CSA 2010 development support for the CSA 2010 Carrier Safety Fitness Determination rulemaking and provide CSA 2010 development support for the CSA 2010 Drug and Alcohol Testing Results rulemaking. The Agency plans to publish an NPRM in FY 2010.

The FMCSA will continue to work with the Commercial Vehicle Safety Alliance (CVSA) to improve roadside inspection uniformity in support of CSA 2010 and develop a long-term solution for determining crash accountability for fatal and nonfatal CMV crashes in support of the CSA 2010 program.

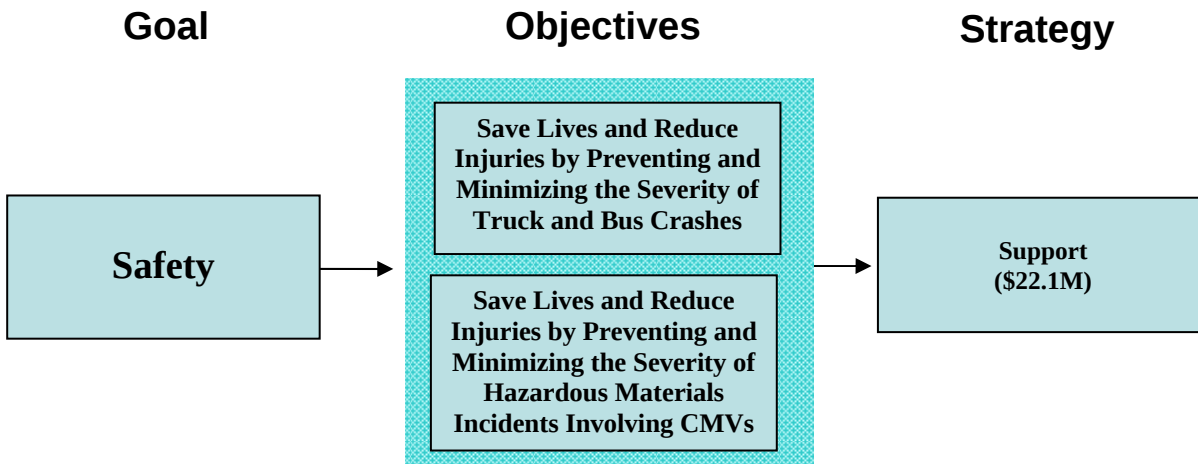
For FY 2011, the Budget includes \$6.3 million

In the first quarter of FY 2011, FMCSA will implement the CSA 2010 enforcement and business model. The Agency plans to complete the analysis of the Op-Model test results for final changes to the CSA 2010 concept. The Agency plans to complete deployment of CSA 2010 interventions nationwide by December 2010 and launch follow-up training for the Federal and state enforcement officers to ensure continuous improvement under CSA 2010.

FMCSA will publish the CSA 2010 Carrier Safety Fitness Determination final rule (FR) in early FY 2011. Additionally, FMCSA will publish a final rule on CSA 2010 Drug and Alcohol Testing Results.

Finally, FMCSA will continue working with CVSA to improve roadside inspection uniformity in support of CSA 2010 and develop a long-term solution for determining crash accountability for fatal and nonfatal CMV crashes in support of the CSA 2010 initiative.

STRATEGY Support



STRATEGY OVERVIEW

For FY 2011, the Budget includes baseline amounts of \$22.1 million, \$57 thousand above base and one additional FTE annualized.

Program support for the safety goal includes offices and services that provide vital oversight, guidance, specialized support, and overall leadership to all of the FMCSA strategic goals. Components of the Office of the Administrator are included in this performance element and are vital to the success of the Agency through the provision of leadership vision and overall 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 critical 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.

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. Support also provides legal support to ensure that Agency activities 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 activities and initiatives of FMCSA and its partners; and that the Agency is represented effectively in administrative and court proceedings concerning safety enforcement and regulatory initiatives. FMCSA provides legislative affairs support to ensure that the Agency's initiatives accurately reflect safety goals and promote understanding among the Congress and its staff.

Anticipated FY 2010 Accomplishments

In FY 2010, the Office of Chief Counsel will provide assistance in developing a comprehensive approach for surface transportation reauthorization, and will work with Congress in developing a

legislative framework to support critical motor carrier program activities that will reduce crashes, save lives, and prevent injuries on the Nation's highways.

For FY 2011, the Budget includes \$22.1 million, \$57 thousand above base and one additional FTE annualized.

In FY 2011, FMCSA's is requesting these additional resources for the Office of Communications to further expand "new media" opportunities to effectively disseminate targeted safety information to carriers, drivers, and the general public as part of our CSA 2010 initiative. The Agency anticipates that after the CSA 2010 implementation, which represents a major shift in the Agency's enforcement program, there will be a very high demand for information from the carriers, drivers, special interest groups, the general public, and both state and Federal representatives. The Agency lacks adequate core capabilities in strategic communication, social marketing, and event planning to proactively and strategically nurture the growth in the safety culture.

The Office of Chief Counsel will continue providing support for activities surrounding the surface transportation reauthorization. The Agency also anticipates a significant increase in workload to ensure compliance with new statutory requirements, including legal interpretations, new rulemaking and enforcement activities, and general law support for new financial assistance and other programs established by the new authorization.

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FY 2011

FMCSA

Performance Budget Estimates

SECTION 4B

Security

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

SECTION 4B: SECURITY

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SECURITY
Performance Goal: Security

Security Summary Overview

FMCSA activities contribute to the Department of Transportation (DOT) Security strategic goal, 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 Department.

DOT will deploy the resources in this budget to improve the security of motor carrier transport of hazardous materials (HAZMAT) 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)	<u>FY 2009 ENACTED</u>	<u>FY 2010 BUDGET</u>	<u>FY 2011 REQUEST</u>
I. Security, Preparedness, and Response	<u>\$7,181</u>	<u>\$7,394</u>	<u>\$6,825</u>
A. HAZMAT Emergency Response			
1. Motor Carrier Safety Operations and Programs	\$6,677	\$6,882	\$6,004
B. Ensure Emergency Preparedness			
1. Motor Carrier Safety Operations and Programs	\$504	\$512	\$821
FTE	51	51	52

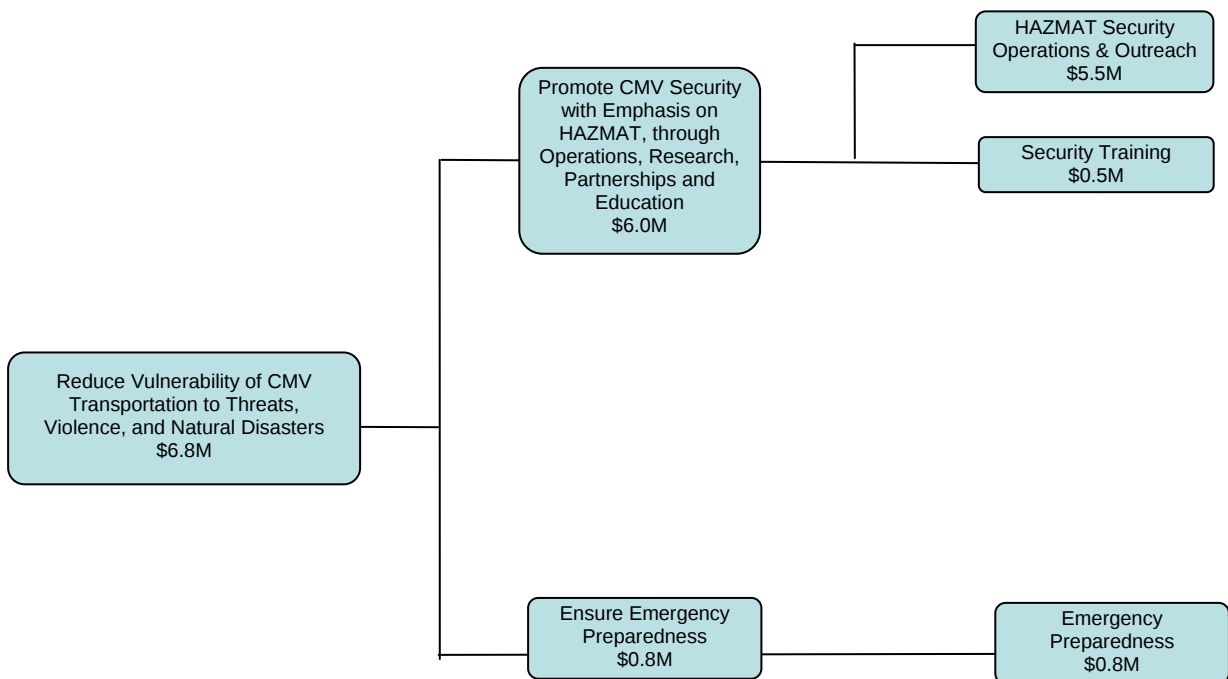
Security Goal Logic Model

(Current Services Amounts)

Objective

Strategies

Performance
Elements



SECURITY GOAL DASHBOARD

Security Strategic Objective:

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

Performance Strategies

- Hazardous Materials (HAZMAT) Security Operations and Outreach
- Security Training
- Emergency Preparedness

The Federal Motor Carrier Safety Administration (FMCSA) integrates performance results into its budget to demonstrate alignment with the Department of Transportation's (DOT's) Strategic Plan. FMCSA tracks the following performance measure to demonstrate results:

Table 4B-1

Percent of Carriers with Effective Security Plans	2006	2007	2008	2009	2010	2011
Target	N/A	N/A	N/A	N/A	90.8%	91.8%
Actual	88.2%	87.8%	90.7%	-	-	-

The performance measure shown in Table 4B-1 reflects the percentage of carriers determined by FMCSA to have solid security plans in place that conform to regulatory requirements. The determination of whether a carrier has an effective security plan is made during the course of a conducted Security Contact Review (SCR). FMCSA conducts over 2,000 SCRs each year.

Growing security threats to the nation's transportation system have altered the Federal Government's operations and activities and impacted FMCSA's mission in recent years. While FMCSA is not the lead Federal agency for homeland security activities, the Agency has a significant role with regard to security in the truck and bus industries. FMCSA's unique access to the CMV industry through safety activities 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.

Operating Administration: FMCSA						Dollar (\$M)s	FTEs
Strategic Goal:		Security (information drawn from Section 4B of the FY 2011 budget)					
FMCSA Objective:		Reduce Vulnerability of CMV Transportation to Threats, Violence, and Natural Disasters					52
FMCSA Strategy:		Promote CMV Security with Emphasis on HAZMAT, through Operations, Research, Partnerships and Education.					48
Contribution to DOT Goals:		Help ensure the U.S. transportation system meets national security requirements. Transportation security has been identified as an area of priority emphasis by the Department.					
Purpose – Customers and Beneficiaries		Security education, enforcement and exchange of best-practices/countermeasures for the regulated commercial motor vehicle industry and shipper places of origin.					
Program Name (Performance Element)	FY 2011		FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
	Inputs (Resources)	FTE					
HAZMAT Security Operations & Outreach	\$5.545	47	In FY 2011, FMCSA will continue participating in external agency programs such as threat and security vulnerability assessments with TSA. FMCSA will continue to provide HAZMAT information to TSA regarding the secure transportation of HAZMAT by providing data relating to HAZMAT motor carriers' security programs. The Agency will continue providing national program and policy guidance in coordination with state partners in completing SCRs and SSVs. FMCSA will also continue to communicate threat characteristics, security tips, procedures and advice to the HAZMAT industry, Federal and State government; and conduct security visits of motor carriers transporting HAZMAT that require security plans. The FMCSA will incorporate the HAZMAT safety and security risk analysis into FMCSA's HAZMAT routing program. FMCSA will be working with state routing agencies on use of the new system to designate routes based on safety and security risk performance measures.		The FMCSA conducts security sensitivity visits (SSVs) and security contact reviews (SCRs) as part of its regular safety interventions of HAZMAT carriers. SSVs are educational security activities covering best practices that are conducted with HAZMAT motor carriers that do not require a security plan. SCRs are comprehensive reviews of security plans and their implementation and are conducted on HAZMAT motor carriers that transport placardable amounts of HAZMAT (as specified in 49 CFR 172 Subpart F). FMCSA has instituted security outreach operations to inform HAZMAT carriers of potential security threats and increase their awareness of security hazards. FMCSA leverages HAZMAT security by coordinating it with activities that include HAZMAT safety compliance and enforcement activities, and other motor carrier industry contacts. The FMCSA continues to work in close coordination with the Transportation Security Administration (TSA) to establish protocols ensuring the security of CMV transportation, especially CMVs carrying HAZMAT cargo. As the Agency with primary responsibility for regulating the trucking industry, FMCSA is in regular contact with HAZMAT carriers and has incorporated SSVs and SCRs into its normal operations. Keeping the commercial vehicle industry focused on improving the security of HAZMAT shipments is an ongoing FMCSA priority, though decreasing in emphasis as TSA continues to increase its role in HAZMAT security operations.	The FMCSA outcome for its security operations contributes to the DOT goal of ensuring the U.S. transportation system meets national security requirements. This performance element contributes to the accomplishment of the following FMCSA performance measure: 1. The percent of carriers with effective security plans. This performance measure reflects the percentage of carriers determined by FMCSA to have solid security plans in place that conform to regulatory requirements. The determination of whether a carrier has an effective security plan is made during the course of a conducted Security Contact Review (SCR). FMCSA conducts over 2,000 SCRs each year.	

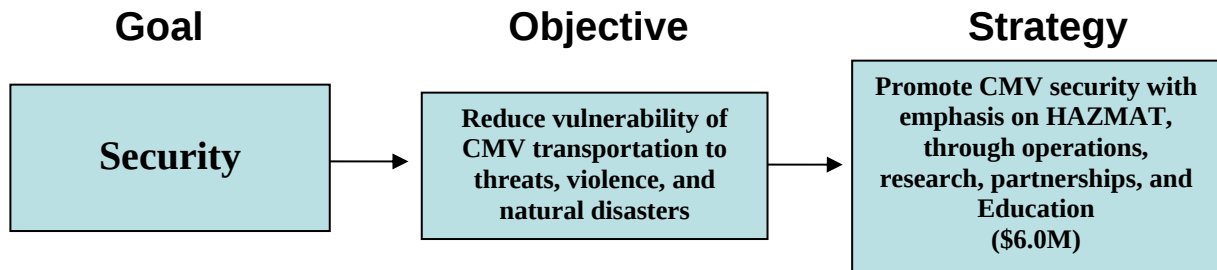
Operating Administration: FMCSA						Dollar (\$M)s	FTEs
Strategic Goal:		Security (information drawn from Section 4B of the FY 2011 budget)					
FMCSA Objective:		Reduce Vulnerability of CMV Transportation to Threats, Violence, and Natural Disasters				\$6.825	52
FMCSA Strategy:		Promote CMV Security with Emphasis on HAZMAT, through Operations, Research, Partnerships and Education.				\$6.004	48
Contribution to DOT Goals:		Help ensure the U.S. transportation system meets national security requirements. Transportation security has been identified as an area of priority emphasis by the Department.					
Purpose – Customers and Beneficiaries		Security education, enforcement and exchange of best-practices/countermeasures for the regulated commercial motor vehicle industry and shipper places of origin.					
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs		FY 2011 Planned Outcomes	
Security Training.	\$460	1	The purpose of the security training performance element is to plan, develop, and deploy training that meets FMCSA's mission by enhancing security on the Nation's highways. Through required security training to appropriate Federal and state personnel, FMCSA is able to meet the Department's mission of training Federal, State, and local officers on how to identify possible criminal activity involving CMV operations. FMCSA trains state and Federal safety specialists on assessing compliance with security regulations. The security training performance element's long-term goal is to provide state, Federal, and local safety specialists with security-specific training that supports FMCSA's security mission. This training will increase the safety on our highways as well as the interdiction of criminal activity involving CMVs in transit.	In FY 2011, FMCSA will continue to train targeted Federal, State, and local law enforcement and safety professionals in security-job specific skills. The Agency will train personnel in an effort to continue to increase significant CMV interdictions and deliver technical assistance to FMCSA and Agency partners in support of FMCSA's security mission. FMCSA will continue work on increasing 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 Commercial Driver's License (CDL) holders.		The FMCSA outcome for its security training program contributes to the DOT goal of ensuring the U.S. transportation system meets national security requirements. This performance element contributes to the accomplishment of the following FMCSA performance measure: 1. The percent of carriers with effective security plans. This performance measure reflects the percentage of carriers determined by FMCSA to have solid security plans in place that conform to regulatory requirements. The determination of whether a carrier has an effective security plan is made during the course of a conducted SCR. FMCSA conducts over 2,000 SCRs each year.	

Operating Administration: FMCSA						Dollar (\$M)s	FTEs
Strategic Goal:		Security (information drawn from Section 4B of the FY 2011 budget)					
FMCSA Objective:		Reduce Vulnerability of CMV Transportation to Threats, Violence, and Natural Disasters				\$ 6.825	52
FMCSA Strategy:		Ensure emergency preparedness				\$ 0.821	4
Contribution to DOT Goals:		Help ensure the U.S. transportation system meets national security requirements. Transportation security has been identified as an area of priority emphasis by the Department.					
Purpose – Customers and Beneficiaries		Security education and emergency preparedness to ensure FMCSA operations continue even in the midst of an emergency.					
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs		FY 2011 Planned Outcomes	
Emergency Preparedness	\$0.821	4	This critical performance element is designed to facilitate the Agency's ability to continue its essential functions in the event of a manmade or natural disaster, by expanding its COOP Site with updated technology. FMCSA coordinates with external partners on CMV security-related issues to enhance infrastructure protection and safety. During times of disaster, FMCSA coordinates with state, Federal, and local governments, as well as industry stakeholders to assist with the Federal efforts to respond and recover from emergencies and disasters. The long-term goals of the emergency preparedness performance element are to ensure the continuous performance of the Agency's essential functions and operations during an emergency or crisis. FMCSA protects essential facilities, equipment, records, and other assets to reduce or mitigate disruptions to Agency operations and reduce loss-of-life, thereby minimizing damage and losses across the country. FMCSA assists the Federal effort in achieving a timely and orderly recovery from an emergency by resuming full service to its stakeholders. FMCSA participates in interagency activities, planning, and tabletop exercises.	In FY 2011, FMCSA will continue participation in the government-wide COOP exercises led by various agencies (i.e., Department of Homeland Security, Federal Emergency Management Agency, Department of Transportation, etc.). These exercises are conducted to test and monitor agency interoperability and interconnectivity among Federal departments and agencies from individual COOP sites throughout the United States. The Agency will continue to monitor activities associated with the Avian Flu Pandemic Plan and will implement any update/redesign approved from FY 2010 to ensure adequate measures are in place to protect Agency personnel during pandemic situations. FMCSA will continue conducting emergency preparedness briefings to Agency employees.	This performance element supports the DOT Security goal of ensuring the US transportation system meets national security requirements.		

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STRATEGY

Promote Commercial Motor Vehicle (CMV) Security with Emphasis on Hazardous Materials (HAZMAT), through Operations, Research, Partnerships and Education



STRATEGY OVERVIEW

For FY 2011, the Budget includes baseline amounts of \$6.0 million.

The FMCSA's HAZMAT security activities reduce security risks associated with the transportation of certain HAZMAT. Following the events of September 11, 2001, FMCSA assumed an active role in security operations and outreach to carriers of HAZMAT cargo. FMCSA implemented security activities for motor carriers that transport HAZMAT. For HAZMAT carriers, FMCSA conducts extensive on site security assessments; encourages carrier security sensitivity; and communicates information about HAZMAT security threats, alerts, security vulnerabilities, and best practices.

PERFORMANCE ELEMENTS (FEDERAL ACTIVITIES)

FMCSA has two Federal performance elements that support this Strategy:

- 1. Hazardous Materials (HAZMAT) Security Operations and Outreach**
- 2. Security Training**

1. Hazardous Materials (HAZMAT) Security Operations and Outreach.

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

The FMCSA conducts security sensitivity visits (SSVs) and security contact reviews (SCRs) as part of its regular safety interventions of HAZMAT carriers. SSVs are educational security activities covering best practices that are conducted with HAZMAT motor carriers that do not require a security plan. SCRs are comprehensive reviews of security plans and their implementation and are conducted on HAZMAT motor carriers that transport placardable amounts of HAZMAT (as specified in 49 CFR 172 Subpart F). FMCSA has

instituted security outreach operations to inform HAZMAT carriers of potential security threats and increase their awareness of security hazards. FMCSA leverages HAZMAT security by coordinating it with activities that include HAZMAT safety compliance and enforcement activities, and other motor carrier industry contacts.

The FMCSA continues to work in close coordination with the Transportation Security Administration (TSA) to establish protocols ensuring the security of CMV transportation, especially CMVs carrying HAZMAT cargo. As the Agency with primary responsibility for regulating the trucking industry, FMCSA is in regular contact with HAZMAT carriers and has incorporated SSVs and SCRs into its normal operations. Keeping the commercial vehicle industry focused on improving the security of HAZMAT shipments is an ongoing FMCSA priority, though decreasing in emphasis as TSA continues to increase its role in HAZMAT security operations.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will participate in external agency activities such as threat and security vulnerability assessments with TSA. FMCSA will finalize the findings from the HAZMAT Safety and Security Routing Analysis and propose to incorporate the lessons learned into operations in FY 2010.

FMCSA plans to continue to coordinate with state partners to complete SCRs and SSVs. The Agency will continue to communicate threat characteristics, security tips, procedures and advice to the HAZMAT industry, state and Federal Agencies. FMCSA will continue to conduct security visits of motor carriers transporting HAZMAT that require security plans.

For FY 2011, the Budget includes \$5.5 million

In FY 2011, FMCSA will continue participating in external agency programs such as threat and security vulnerability assessments with TSA. FMCSA will continue to provide HAZMAT information to TSA regarding the secure transportation of HAZMAT by providing data relating to HAZMAT motor carriers' security programs.

The Agency will continue providing national program and policy guidance in coordination with state partners in completing SCRs and SSVs. FMCSA will also continue to communicate threat characteristics, security tips, procedures and advice to the HAZMAT industry, Federal and State government; and conduct security visits of motor carriers transporting HAZMAT that require security plans.

The FMCSA will incorporate the HAZMAT safety and security risk analysis into FMCSA's HAZMAT routing program. FMCSA will be working with state routing agencies on use of the new system to designate routes based on safety and security risk performance measures.

2. Security Training.

Responsible Official: *Director, National Training Center*

The purpose of the security training performance element is to plan, develop, and deploy training that meets FMCSA's mission by enhancing security on the Nation's highways. Through required security training to appropriate Federal and state personnel, FMCSA is able to meet the Department's mission of training Federal, State, and local officers on how to identify possible criminal activity involving CMV operations. FMCSA trains state and Federal safety specialists on assessing compliance with security regulations.

The security training performance element's long-term goal is to provide state, Federal, and local safety specialists with security-specific training that supports FMCSA's security mission. This training will increase the safety on our highways as well as the interdiction of criminal activity involving CMVs in transit.

Anticipated FY 2010 accomplishments

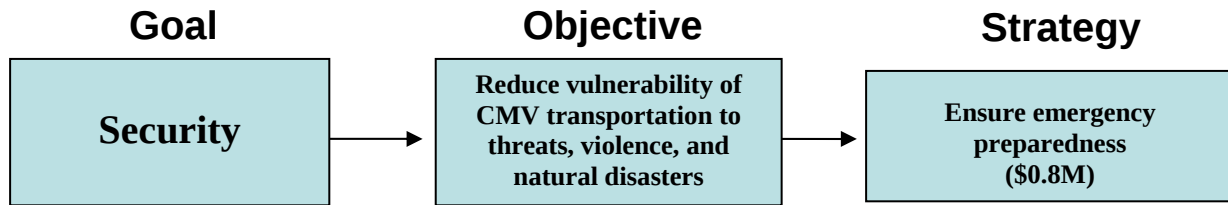
In FY 2010, FMCSA will train targeted Federal, state, and local safety specialists and law enforcement officers in security job-specific and criminal interdiction skills. The Agency will deliver technical assistance to Agency partners in support of FMCSA's security mission. FMCSA will increase the scope of criminal interdiction data to include data on drug-impaired CMV drivers. The Agency will conduct employee training in the areas of continuity of operations (COOP) awareness, hurricane and tornado preparedness, and disaster and vulnerability training.

For FY 2011, the Budget includes \$0.5 million

In FY 2011, FMCSA will continue to train targeted Federal, State, and local law enforcement and safety professionals in security-job specific skills. The Agency will train personnel in an effort to continue to increase significant CMV interdictions and deliver technical assistance to FMCSA and Agency partners in support of FMCSA's security mission. FMCSA will continue work on increasing 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 Commercial Driver's License (CDL) holders.

STRATEGY

Ensure Emergency Preparedness



STRATEGY OVERVIEW

For FY 2011, the Budget includes baseline amounts of \$0.8 million.

To ensure that FMCSA is able to conduct its mission during disasters and crises, as well as support the Federal efforts in responding to disasters, FMCSA must have COOP and essential emergency-functions planning. These efforts support the transportation component of the National Response Plan (NRP), Emergency Support Function One (ESF-1). Additionally, in Homeland Security Directive Five (HSPD-5), in January 2008, the Department of Homeland Security (DHS) released the National Response Framework (NRF), successor to the NRP, which focuses on response and short-term recovery, articulates the doctrine, principles and architecture by which our Nation prepares for and responds to all-hazard disasters across all levels of government and communities. FMCSA assists in these efforts by applying the Agency's unique knowledge of the CMV industry and enforcement community as well as providing on-site ESF-1 support during disaster responses.

PERFORMANCE ELEMENTS (FEDERAL ACTIVITIES)

FMCSA has one Federal performance element that supports this Strategy:

Emergency Preparedness

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

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

The long-term goals of the emergency preparedness performance element are to ensure the continuous performance of the Agency's essential functions and operations during an emergency or crisis. FMCSA protects essential facilities, equipment, records, and other assets to reduce or mitigate disruptions to Agency operations and reduce loss-of-life, thereby minimizing damage and losses across the country. FMCSA assists the Federal effort in achieving a timely and orderly recovery from an emergency by resuming full service to its stakeholders. FMCSA participates in interagency activities, planning, and tabletop exercises.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA plans to participate in government-wide COOP exercises led by various agencies. These exercises are conducted to measure agency interoperability and interconnectivity among Federal departments and agencies from individual COOP sites throughout the United States. The Agency will monitor, update, and redesign the Avian Flu Pandemic Plan to ensure adequate measures are in place to protect Agency personnel during pandemic situations. FMCSA will conduct emergency preparedness briefings for Agency employees.

For FY 2011, the Budget includes \$0.8 million

In FY 2011, FMCSA will continue participation in the government-wide COOP exercises led by various agencies (i.e., Department of Homeland Security, Federal Emergency Management Agency, Department of Transportation, etc.). These exercises are conducted to test and monitor agency interoperability and interconnectivity among Federal departments and agencies from individual COOP sites throughout the United States. The Agency will continue to monitor activities associated with the Avian Flu Pandemic Plan and will implement any update/redesign approved from FY 2010 to ensure adequate measures are in place to protect Agency personnel during pandemic situations. FMCSA will continue conducting emergency preparedness briefings to Agency employees.

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FY 2011

FMCSA

Performance Budget Estimates

SECTION 4C

Productivity

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

SECTION 4C: PRODUCTIVITY

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PERFORMANCE GOAL
Productivity

Commercial Motor Vehicle (CMV) Productivity Summary Overview

FMCSA activities contribute to the Department of Transportation (DOT) Reduced Congestion strategic goal and to the DOT performance outcome of increased access for all Americans:

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

The resources requested to achieve this goal are:

REQUEST by STRATEGIC GOAL (\$000)	<u>FY 2009 ENACTED</u>	<u>FY 2010 BUDGET</u>	<u>FY 2010 BUDGET</u>
I. Productivity	<u>\$3,719</u>	<u>\$3,643</u>	<u>\$3,423</u>
A. Engage consumers, shippers, and carriers through partnerships, education and compliance operations to improve responsiveness to Household Goods complaints			
1. Motor Carrier Safety Operations and Programs	\$2,853	\$3,104	\$3,144
B. Advance electronic safety and credentials monitoring while maintaining flow of commerce			
1. Motor Carrier Safety Operations and Programs	\$866	\$539	\$279
FTE	16	16	17

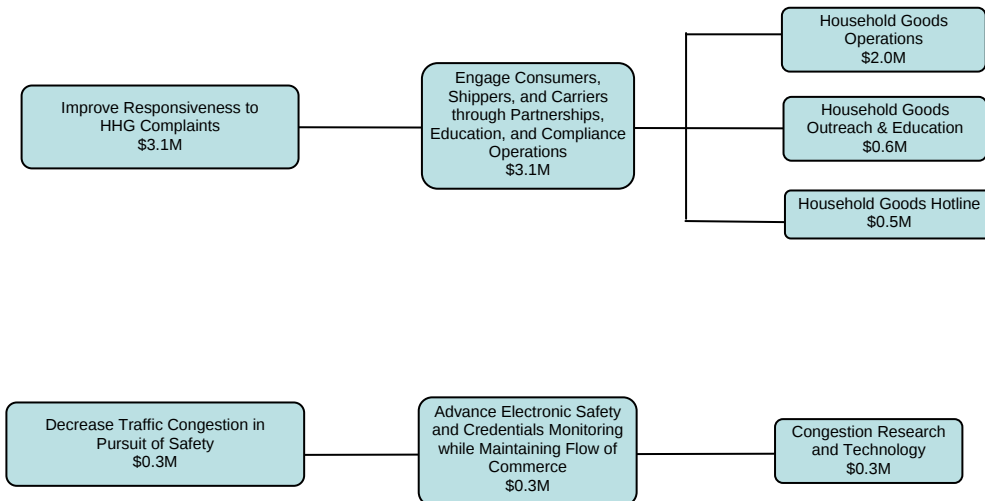
CMV Productivity Goal Logic Model

(Current Services Amounts)

Objectives

Strategies

Performance
Elements



CMV PRODUCTIVITY DASHBOARD

CMV Productivity Objectives

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

Performance Strategies

- Engage Consumers, Shippers, and Carriers through Partnerships, Education, and Compliance Operations.
- Advance Electronic Safety and Credentials Monitoring while Maintaining Flow of Commerce

The Federal Motor Carrier Safety Administration (FMCSA) integrates performance results into its budget to demonstrate alignment with the Department of Transportation's (DOT's) Strategic Plan. FMCSA tracks the following performance measures to demonstrate results:

The efficient movement of goods underpins the U.S. economy and trucks carry 80 percent of the value of all goods shipped in the United States. The Agency's commercial motor vehicle (CMV) productivity strategic objective contributes to the efficiency of the motor carrier industry including the critical area of Household Goods (HHG) moves.

Table 4C-1

Household Goods Commercial Review (HHG CR) Improvement Rate	2006	2007	2008	2009	2010	2011
Target	N/A	N/A	N/A	N/A	18.0%	20.0%
Actual	20.4%	-9.2%	33.0%*	-	-	-

* Preliminary Data

The performance measure shown in Table 4C-1 compares the average number of complaints received on HHG companies 12 months leading up to the time they receive a commercial review (HHG CR) to the average number of complaints received on those same HHG companies 12 months after the same review. The performance measure represents an improvement rate in customer complaints for HHG companies that the Agency reviewed in a given year.

For HHG commercial reviews conducted in FY 2008, FMCSA received 873 complaints in a period of 12 months before the reviews were conducted. This compares to 585 complaints that were received on those same companies up to 12 months after the reviews were conducted. This equates to a 33 percent improvement. This performance measure tracks not only the improvement of carrier adherence to commercial regulations, but the overall effectiveness of the HHG commercial reviews conducted by the Agency and its partners.

In April of 2007, the database the Agency uses to record complaints was drastically improved to better link complaints to specific carriers. Consequently, a larger number of linkages were realized after reviews than before, contributing to anomalous result in 2007. The Agency has identified performance targets beginning in FY 2010 that take into consideration this anomaly and set a steady improvement rate that will track the effectiveness of HHG activities.

To ensure the achievement of this performance measure, FMCSA has developed an approach for addressing the highest risk carriers for which complaints have been received. By coupling this risk-based approach with consistent enforcement activity, national HHG strike forces, effective outreach, and education initiatives; the overall effectiveness should continue to improve. As data collection and tracking of complaints has improved, the impact of enforcement actions is more apparent. The Agency's targets will be reassessed annually as better data is accumulated and used to determine future trends.

Table 4C-2

Total crashes involving large trucks and buses per 100 million VMT	2006	2007	2008	2009	2010	2011
Target	N/A	N/A	N/A	12.96	12.70	12.45
Actual	13.78	14.74*	TBD	-	-	-

*preliminary estimate

The performance measure shown in Table 4C-2 tracks the Agency's progress in reducing crashes involving large trucks and buses. The measure counts crashes that include large trucks weighing more than 10,000 pounds and regulated buses that operate on the interstate or intrastate highways. This measure was adopted in FY 2009 to measure the Agency's progress towards reducing congestion on the nation's highways by reducing the number of CMV crashes. The investment in our safety activities also reduces congestion by reducing the frequency of blocked highways as a consequence of crashes and thus promotes the free flow of goods and people.

Reducing congestion and other impediments to achieving a high performing national transportation system is a Departmental priority, and will improve the flow and movement of goods, increase CMV carrier operational efficiencies, and overall transportation safety.

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

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

These strategies will be executed through four performance elements: Congestion Research and Technology, HHG Operations; HHG Outreach and Education; and operating the HHG Hotline. The interrelationship of activities and resources and their linkage to the congestion goal are illustrated in the logic model.

Operating Administration: FMCSA					Dollar (\$M)s	FTEs	
Strategic Goal:	CMV Productivity (information drawn from Section 4C of the FY 2011 budget)					\$3.423	17
	Decrease Traffic Congestion in Pursuit of Safety					0.278	0
FMCSA Objectives:	Improve Responsiveness to HHG Complaints.					3.144	17
FMCSA Strategy:	Engage Consumers, Shippers, and Carriers through Partnerships, Education, and Compliance operations					\$3.144	17
Contribution to DOT Goals:	Contributes to the Department of Transportation (DOT) Reduced Congestion strategic goal and to the DOT performance outcome of increased access for all Americans:						
Purpose – Customers and Beneficiaries	Educate and respond to the concerns of the general public regarding issues with the household goods industry.						
	FY 2011						
	Inputs (Resources)						

Operating Administration: FMCSA					
Strategic Goal:	CMV Productivity (information drawn from Section 4C of the FY 2011 budget)			Dollar (\$M)s	FTEs
	Decrease Traffic Congestion in Pursuit of Safety			\$3.423	17
				0.278	0
FMCSA Objectives:	Improve Responsiveness to HHG Complaints.			3.144	17
FMCSA Strategy:	Engage Consumers, Shippers, and Carriers through Partnerships, Education, and Compliance operations				
Contribution to DOT Goals:	Contributes to the Department of Transportation (DOT) Reduced Congestion strategic goal and to the DOT performance outcome of increased access for all Americans:			\$3.144	17
Purpose – Customers and Beneficiaries					
Educate and respond to the concerns of the general public regarding issues with the household goods industry.					
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)	FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
Household Goods Outreach and Education.	\$0.648	The HHG Outreach and Education performance element provides consumers with information to protect themselves against dishonest and rogue movers. The goal of this activity is to increase the level of consumer information that HHG motor carriers and brokers provide to individual consumers and to improve consumers' awareness of their rights and responsibilities, to enable them to protect themselves from unscrupulous movers. This performance element increases FMCSA's ability to provide the public with a moving fraud prevention activity and reduce the number of serious complaints from movers who have been treated unfairly. FMCSA maintains the Protect Your Move web site, participates in partnership events, develops the needed outreach and education materials for movers, and provides rulemaking outreach support to the public and moving industry. One of the Agency's long-term goals is to increase public awareness of the Protect Your Move web site.	In FY 2011, FMCSA will continue to promote awareness and protect the American public from the illegal activities of dishonest moving companies and brokers. This activity will focus on increasing consumer awareness of moving fraud perpetrated via the Internet. FMCSA will continue to enhance coordination and cooperation among partner organizations (including the industry and Federal, state, and local governments) related to HHG consumer outreach and education. The FMCSA will continue its successful outreach initiative with the publishers of Yellow Book and engage Yellow Pages and One Book to feature Protect Your Move Web site information. The Agency will continue to print and distribute outreach and education materials to HHG partners, field, and state offices. FMCSA will continue activities to increase the public awareness of the Protect Your Move Web site while achieving an improved positive satisfaction score on the American Customer Satisfaction Index survey. The FMCSA will distribute the HHG toolkit to state partners as a regular component of enforcement activities.	This performance element supports the DOT goal of reducing congestion and increased access for all Americans. In addition, this performance element contributes to the FMCSA performance measure entitled "Household Goods Commercial Intervention Improvement Rate." This new consumer protection performance measure correlates the improvement of carrier adherence to commercial regulations to the incidence of consumer complaints. The Agency measures success in terms of fewer consumer complaints against HHG carriers following a commercial review intervention.	
	1				

Operating Administration: FMCSA						
Strategic Goal:	CMV Productivity (information drawn from Section 4C of the FY 2011 budget)				Dollar (\$M)s	FTEs
	Decrease Traffic Congestion in Pursuit of Safety				\$3.423	17
FMCSA Objectives:					0.278	0
	Improve Responsiveness to HHG Complaints.				3.144	17
FMCSA Strategy:	Engage Consumers, Shippers, and Carriers through Partnerships, Education, and Compliance operations				\$3.144	17
Contribution to DOT Goals:	Contributes to the Department of Transportation (DOT) Reduced Congestion strategic goal and to the DOT performance outcome of increased access for all Americans:					
Purpose – Customers and Beneficiaries	Educate and respond to the concerns of the general public regarding issues with the household goods industry.					
Program Name (Performance Element)	FY 2011		FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs	
	Inputs (Resources)	FTE			Planned Outcomes	
Household Goods Hotline	\$0.488	1	Consumers who are subjected to dishonest movers report their experiences to the FMCSA Household Goods Hotline. The hotline provides a repository for consumer complaints and provides summary information for the Agency to consider in scheduling compliance and enforcement actions during future HHG reviews. HHG consumer calls have exceeded 14,000 a year since 2003, many of which are complaints about HHG movers. FMCSA collects consumer complaint data to ensure that enforcement managers can make data driven compliance and enforcement decisions.		In FY 2011, FMCSA will continue to execute established procedures to receive and react to HHG complaints in a uniform and consistent manner and make enforcement decisions. The Agency will continue responding to HHG complaints in a timely and efficient manner focusing enforcement efforts on the worst 100 HHG carriers as identified by these consumer complaints and the carrier's safety record.	
			Consumers who are subjected to dishonest movers report their experiences to the FMCSA Household Goods Hotline. The hotline provides a repository for consumer complaints and provides summary information for the Agency to consider in scheduling compliance and enforcement actions during future HHG reviews. HHG consumer calls have exceeded 14,000 a year since 2003, many of which are complaints about HHG movers. FMCSA collects consumer complaint data to ensure that enforcement managers can make data driven compliance and enforcement decisions.		This performance element supports the DOT goal of reducing congestion and increased access for all Americans. In addition, this performance element contributes to the FMCSA performance measure entitled "Household Goods Commercial Intervention Improvement Rate." This new consumer protection performance measure correlates the improvement of carrier adherence to commercial regulations to the incidence of consumer complaints. The Agency measures success in terms of fewer consumer complaints against HHG carriers following a commercial review intervention.	

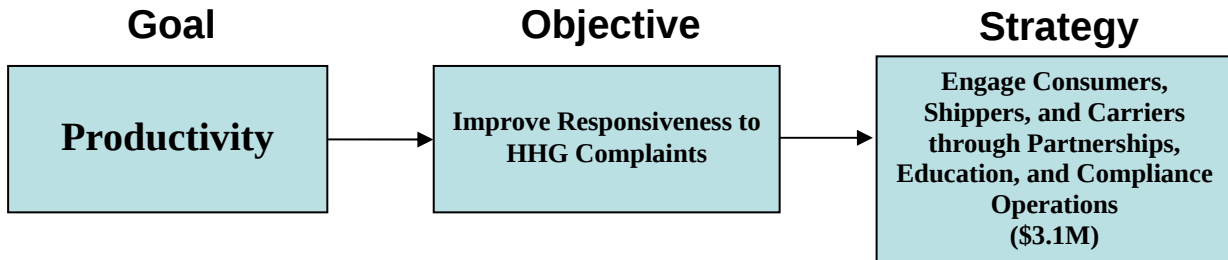
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Operating Administration: FMCSA					Dollar (\$M)s	FTEs	
Strategic Goal:	Productivity (information drawn from Section 4C of the FY 2011 budget)					\$3.423	17
	Decrease Traffic Congestion in Pursuit of Safety					0.278	0
FMCSA Objectives:	Improve Responsiveness to HHG Complaints.					3.144	17
FMCSA Strategy:	Advance Electronic Safety and Credentials Monitoring while Maintaining Flow of Commerce					\$ 0.278	0
Contribution to DOT Goals:	Contributes to the Department of Transportation (DOT) Reduced Congestion strategic goal and to the DOT performance outcome of increased access for all Americans:						
Purpose – Customers and Beneficiaries	Promote safety initiatives to decrease traffic congestion in pursuit of the regulated CMV industry and general public safety.						
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs		FY 2011 Planned Outcomes	
Congestion Research and Technology:	\$0.278	0	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 wireless safety and 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 a national wireless roadside inspection system. This system would allow safe and legal commercial vehicles and drivers that were wirelessly inspected to travel past the weigh and inspection stations without stopping. The system would also work to reduce the amount of time carriers spend entering and exiting weigh stations, inspection booths, and in roadside inspections by expediting the traditional inspection process. This is intended to reduce the congestion that builds around these particular areas due to physical site and inspection personnel capacity limitations.		For FY 2011, FMCSA will complete the evaluation of the technical and operational feasibility of wireless roadside inspection systems and document the feasibility of these systems and their impact on congestion and safety in a final report. If feasible, a field operational test (FOT) involving several states and CMVs will begin in 2012.		This performance element supports the DOT goal of reducing congestion and increased access for all Americans as well as the FMCSA goal which focuses on congestion associated with CMVs, as well as accomplishing the following FMCSA performance measure: Reduction of total crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 12.45. The performance measure tracks the Agency's progress in reducing crashes involving large trucks and buses. The measure counts crashes that include large trucks weighing more than 10,000 pounds and regulated buses that operate on the interstate or intrastate highways. This measure was adopted in FY 2009 to measure the Agency's progress towards reducing congestion on the nation's highways by reducing the number of CMV crashes. The investment in our safety activities also reduces congestion by reducing the frequency of blocked highways as a consequence of crashes and thus promotes the free flow of goods and people.

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STRATEGY

Engage Consumers, Shippers, and Carriers through Partnerships, Education, and Compliance Operations



STRATEGY OVERVIEW

For FY 2011, the Budget includes baseline amounts of \$3.1 million.

This strategy's primary goal is to identify HHG carriers operating improperly throughout the United States and focus enforcement resources toward improving their behavior. When FMCSA makes information on movers' rights and carrier records available to the public, consumers can make better informed decisions when they choose a carrier to assist them with a HHG move. FMCSA is exploring the scope of the HHG regulations and analyzing the state of the industry in order to exercise all available authority to ensure that HHG carriers are compliant with regulations. The Agency will develop mechanisms to rank carriers based on complaints and prioritize safety activities based, in part, on HHG complaints.

PERFORMANCE ELEMENTS (FEDERAL ACTIVITIES)

FMCSA has three Federal performance elements that support this Strategy:

- 1. Household Goods Operations**
- 2. Household Goods Outreach and Education**
- 3. Household Goods Hotline**

1. Household Goods Operations

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

Ensuring efficient motor carrier operations and protecting consumers from unscrupulous operating practices contributes to this 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 focus available enforcement resources on the most problematic carriers. The FMCSA has undertaken a campaign to educate HHG

consumers about the threats posed by “rogue” moving companies and to improve moving fraud prevention and enforcement efforts.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will investigate and more fully vet new applicants who apply for interstate HHG carrier authority to prevent carriers with poor records from reestablishing under different names. FMCSA will conduct enforcement efforts to include web site investigations in which a review is conducted of carriers’ or brokers’ internet advertisements to ensure their compliance with commercial regulations. The Agency will investigate HHG complaints from consumers and web site monitoring.

The FMCSA will conduct full safety interventions on HHG carriers that receive a high volume of complaints as well as those listed on the high risk (A/B) safety violation list. FMCSA will expand HHG training and will add the HHG enforcement curriculum to the academy class curriculum that all new field recruits undergo. FMCSA will conduct national strike force HHG reviews during the year, supplemented by regional strike force activities. The Agency will target HHG reviews on carriers that do not implement an arbitration program as required by regulations. The Agency will fully implement the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU)-mandated HHG carrier reporting system during the year.

Additionally, the Agency anticipates that the manual vetting process of HHG carrier applications will be automated in the COMPASS registration system.

For FY 2011, the Budget includes \$2.0 million

In FY 2011, FMCSA will fully implement a more intensive vetting system to more fully examine new applicants who apply for interstate HHG carrier authority to prevent carriers with poor records from reestablishing under different names. The Agency will continue conducting full compliance reviews on HHG carriers that receive a high volume of complaints and identified through the Comprehensive Safety Analysis 2010 (CSA 2010) rating system. FMCSA will conduct National strike force HHG reviews during the year, supplemented by regional strike force activities. FMCSA will continue conducting targeted HHG reviews on carriers who do not implement fully an arbitration program, as required by the Federal Motor Carrier Safety Regulations (FMCSRs).

The Agency will continue conducting web site investigations in which a review of carriers’ or brokers’ internet advertisements will be conducted to ensure their compliance with commercial regulations. The Agency will initiate internet investigations based on complaints from consumers and web site monitoring.

In FY 2011, FMCSA will fully implement the SAFETEA-LU-mandated HHG carrier reporting system and monitor HHG carriers for compliance with the regulations.

2. Household Goods Outreach and Education.

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

The HHG Outreach and Education performance element provides consumers with information to protect themselves against dishonest and rogue movers. The goal of this activity is to increase the level of consumer information that HHG motor carriers and brokers provide to individual consumers and to improve consumers' awareness of their rights and responsibilities, to enable them to protect themselves from unscrupulous movers.

This performance element increases FMCSA's ability to provide the public with a moving fraud prevention activity and reduce the number of serious complaints from movers who have been treated unfairly. FMCSA maintains the Protect Your Move web site, participates in partnership events, develops the needed outreach and education materials for movers, and provides rulemaking outreach support to the public and moving industry. One of the Agency's long-term goals is to increase public awareness of the Protect Your Move web site.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will promote awareness and protect the American public from the illegal activities of dishonest moving companies and brokers.

The FMCSA will continue its successful outreach initiative with the publishers of Yellow Book and engage Yellow Pages and One Book to feature Protect Your Move Web site information. The Agency will continue to distribute outreach and education materials on HHG messages and will continue partnerships with the U.S. Postal Service and other partners to increase public awareness. Finally, FMCSA will increase the public awareness of the Protect Your Move Web site while achieving an improved positive satisfaction score on the American Customer Satisfaction Index survey.

The FMCSA will develop a toolkit for commercial enforcement of HHG regulations for state partners. The toolkit will consist of enforcement contacts from both the Federal and state agencies. The Agency anticipates sharing HHG data with the states to help facilitate compliance and enforcement on known problem carriers and will coordinate with the OIG on hostage goods enforcement.

For FY 2011, the Budget includes \$0.6 million

In FY 2011, FMCSA will continue to promote awareness and protect the American public from the illegal activities of dishonest moving companies and brokers. This activity will focus on increasing consumer awareness of moving fraud perpetrated via the Internet. FMCSA will continue to enhance coordination and cooperation among partner organizations (including the industry and Federal, state, and local governments) related to HHG consumer outreach and education.

The FMCSA will continue its successful outreach initiative with the publishers of Yellow Book and engage Yellow Pages and One Book to feature Protect Your Move Web site information. The Agency will continue to print and distribute outreach and education

materials to HHG partners, field, and state offices. FMCSA will continue activities to increase the public awareness of the Protect Your Move Web site while achieving an improved positive satisfaction score on the American Customer Satisfaction Index survey. The FMCSA will distribute the HHG toolkit to state partners as a regular component of enforcement activities.

3. Household Goods Hotline

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

Consumers who are subjected to dishonest movers report their experiences to the FMCSA Household Goods Hotline. The hotline provides a repository for consumer complaints and provides summary information for the Agency to consider in scheduling compliance and enforcement actions during future HHG reviews. HHG consumer calls have exceeded 14,000 a year since 2003, many of which are complaints about HHG movers. FMCSA collects consumer complaint data to ensure that enforcement managers can make data driven compliance and enforcement decisions.

Anticipated FY 2010 accomplishments

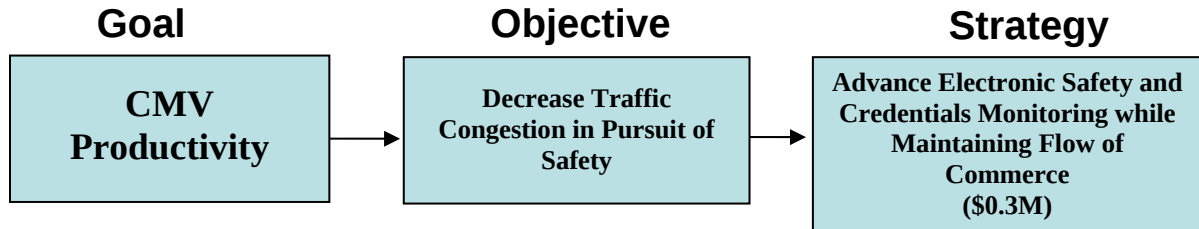
In FY 2010, FMCSA will execute established procedures to receive and react to HHG complaints in a uniform and consistent manner and make enforcement decisions. The Agency will respond to HHG complaints in a timely manner and focus enforcement efforts on the worst 100 HHG carriers as identified by these consumer complaints and the carrier's safety violations.

For FY 2011, the Budget includes \$0.5 million

In FY 2011, FMCSA will continue to execute established procedures to receive and react to HHG complaints in a uniform and consistent manner and make enforcement decisions. The Agency will continue responding to HHG complaints in a timely and efficient manner focusing enforcement efforts on the worst 100 HHG carriers as identified by these consumer complaints and the carrier's safety record.

STRATEGY

Advance Electronic Safety and Credentials Monitoring while Maintaining Flow of Commerce



STRATEGY OVERVIEW

For FY 2011, the Budget includes baseline amounts of \$0.3 million.

Reducing congestion is a Departmental priority. FMCSA supports this priority by reducing crashes involving CMVs, preventing highway congestion. Therefore, through new electronic roadside enforcement technologies, FMCSA can reduce the wait time for trucks to stop at weigh stations, preventing backups onto the interstate, thereby curbing congestion.

PERFORMANCE ELEMENTS (FEDERAL ACTIVITIES)

FMCSA has one Federal performance element that supports this Strategy:

Productivity Research and Technology:

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

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 wireless safety and 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 a national wireless roadside inspection system. This system would allow safe and legal commercial vehicles and drivers that were wirelessly inspected to travel past the weigh and inspection stations without stopping. The system would also work to reduce the amount of time carriers spend entering and exiting weigh stations, inspection booths, and in roadside inspections by expediting the

traditional inspection process. This is intended to reduce the congestion that builds around these particular areas due to physical site and inspection personnel capacity limitations.

Anticipated FY 2010 accomplishments

For FY 2010, FMCSA will evaluate the technical and operational feasibility of wireless roadside inspection systems. Several information technology (IT) elements to support wireless roadside inspections will be included in this evaluation. These elements include a back office system prototype and roadside CMV identification systems at fixed, mobile, staffed and un-staffed weigh stations.

For FY 2011, the Budget includes \$0.3 million

For FY 2011, FMCSA will complete the evaluation of the technical and operational feasibility of wireless roadside inspection systems and document the feasibility of these systems and their impact on relieving congestion and safety in a final report. If feasible, a field operational test (FOT) involving several states and CMVs will begin in 2012.

FY 2011

FMCSA

Performance Budget Estimates

SECTION 4D

Organizational Excellence

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

SECTION 4D: ORGANIZATIONAL EXCELLENCE

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PERFORMANCE GOAL
Organizational Excellence

Organizational Excellence Summary Overview

FMCSA activities contribute to the Department of Transportation (DOT) Organizational Excellence goal by enabling the Federal Motor Carrier Safety Administration (FMCSA) to improve program delivery through quality administrative and information technology support. The budget supports strategies of strategic management of human capital, citizen-centered government through e-Government activities, improved financial and procurement performance to ensure sound fiscal stewardship, and budget and performance integration to link resources to results.

At this funding level, FMCSA will have 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:

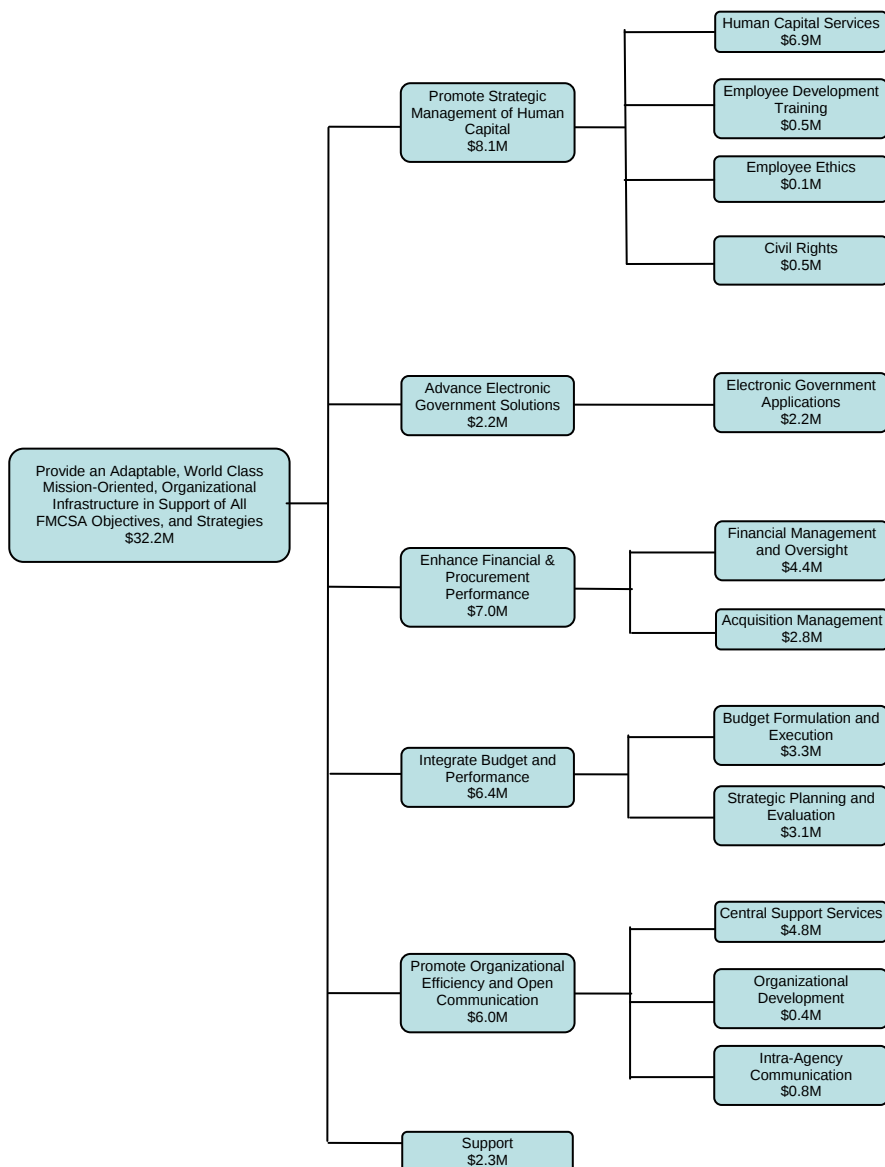
REQUEST by STRATEGIC GOAL (\$000)	<u>FY 2009 ENACTED</u>	<u>FY 2010 BUDGET</u>	<u>FY 2011 REQUEST</u>
I. Organizational Excellence	<u>\$29,018</u>	<u>\$29,863</u>	<u>\$32,231</u>
A. Provide an Adaptable, World Class Mission-Oriented, Organizational Infrastructure in Support of all FMCSA Objectives and Strategies			
1. Motor Carrier Safety Operations and Programs	\$29,018	\$29,863	\$32,231
FTE	58	58	78

Organizational Excellence Goal Logic Model

Objective

Strategies

Performance
Elements



NOTE: Totals may not add due to rounding

ORGANIZATIONAL EXCELLENCE GOAL DASHBOARD

Organizational Excellence Strategic Objective

Provide an Adaptable, World-Class Mission-Oriented, Organizational Infrastructure in Support of All FMCSA Objectives and Strategies

Performance Strategies

- Promote Strategic Management of Human Capital
- Advance Electronic Government Solutions
- Enhance Financial and Procurement Performance
- Integrate Budget and Performance
- Promote Organizational Efficiency and Open Communication

The FMCSA's objective under the Organizational Excellence Goal is to provide an adaptable, world-class mission-oriented organization that supports all of the Agency's objectives and strategies. FMCSA will undertake activities for continual 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. These strategies will enable FMCSA to continue to save more lives through the most efficient means. FMCSA's strategies to achieve the Organizational Excellence objective include adopting good-government best practices, aspects of sound management and organizational efficiency.

Organizational Excellence Performance Measures

The FMCSA integrates performance results into its budget to demonstrate alignment with DOT's Strategic Plan. FMCSA tracks the following performance measures to demonstrate results under this Strategic Objective:

Table 4E-1

Percentage of Procurement Dollars awarded to Small Disadvantaged Businesses	2006	2007	2008	2009	2010	2011
Target	46.0%	46.0%	46.0%	27.7%	27.7%	27.7%
Actual	18.3%	34.0%	33.0%	-	-	-

The performance measure shown in Table 4E-1 measures the percentage of procurement dollars awarded to Small Disadvantaged Businesses (SDBs). The Agency has made progress in this measure by placing greater emphasis on improving its contracting activities, emphasizing contracting officer's technical representative (COTR) training, hiring qualified professionals, and educating program offices on compliance with the Competition in Contracting Act. These efforts have improved FMCSA's performance in this measure by almost 15 percent over the FY 2006 results. In FY 2009, the Department adjusted the target

to align it with the three prior years' achievements. The Department also made similar adjustments to targets in other DOT modes.

Table 4E-2

Percentage of Procurement Dollars awarded to Women-Owned Businesses	2006	2007	2008	2009	2010	2011
Target	40.0%	30.0%	30.0%	25.1%	25.1%	25.1%
Actual	19.7%	24.2%	19.0%	-	-	-

The performance measure shown in Table 4E-2 measures the percentage of procurement dollars awarded to Women Owned Businesses (WOBs). The Agency is making progress in this measure by placing greater emphasis on improving its contracting activities, emphasizing COTR training, hiring qualified professionals, and educating program offices on compliance with the Competition in Contracting Act. Through these efforts, FMCSA's performance in this measure is expected to meet the goal. In FY 2009, the Department adjusted the target to align it with the three prior years' achievements. The Department also made similar adjustments to targets in other DOT modes.

Table 4E-3

Lives saved efficiency index (constant FY 2000 Dollars in thousands)	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Target	N/A	N/A	N/A	\$207	\$203	\$199
Actual	\$266	\$209	\$155	-	-	-

The efficiency index shown in Table 4E-3 captures the cost of FMCSA's safety activities in relation to lives saved by funded safety activities. The lives saved efficiency index calculates the cost of resources expended annually to achieve the goal of saving a life on the Nation's highways. It measures fatalities avoided relative to improvements made since 2000 in relation to the actual safety dollars spent. FMCSA computed the efficiency measure from 2001 to 2007 (the most recent year for which accurate fatality rate data is available). This index indicates that 2007 represented the best return as far as efficiency of funds executed by FMCSA to save lives.

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Operating Administration: FMCSA					Dollar (\$M)s	FTEs
Strategic Goal:	Organizational Excellence (information drawn from Section 4D of the FY 2011 budget)				\$ 32.231	78
FMCSA Objectives:	Provide an Adaptable, World Class Mission-Oriented, Organizational Infrastructure in Support of All FMCSA Objectives, and Strategies				\$ 29.671	75
FMCSA Strategy:	Promote Strategic Management of Human Capital				\$ 8.056	27
Contribution to DOT Goals:	Contributes to the DOT Organizational Excellence goal by enabling the Federal Motor Carrier Safety Administration (FMCSA) to improve program delivery through quality administrative and information technology support.					
Purpose- Customers and Beneficiaries	Provides adaptable, world-class mission-oriented, organizational infrastructure support to enable the achievement of FMCSA objectives.					
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FTE	FY 2011 Activity (Products and Services)	FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
Human Capital Services	\$6.853	20	FMCSA is establishing its own Human Capital Services capabilities. The Agency has developed Human Capital Plan, Workforce Plan, Recruitment Plan, and Succession Planning models as baseline tools for shaping the organization. These tools will enhance efficiencies in operation and promote accountability for results in achieving organizational goals. Ongoing review and assessment of these plans will be critical in monitoring and planning results. Efforts are ongoing to develop strategies to prevent gaps in leadership and programmatic competencies. We are developing a performance planning model that ensures accurate performance linkage from the highest level of management to the lowest level of the workforce with a direct link to Agency goals. This will promote accountability in achieving results as a human capital priority.	In FY 2011, FMCSA will have a fully operational consolidated human resource office that will provide the full portfolio of human resource services to employees. The Agency will study results of outside Human Capital audits and develop plans for addressing specific recommendations and suggestions for improving human resources servicing and human capital planning. FMCSA will continue to assess employee feedback and identify additional opportunities for service improvement.	This performance element supports the DOT goal of Organizational Excellence, as well as the following FMCSA performance measure: Lives saved efficiency index (constant FY 2000 Dollars in thousands); CY 2011 target is an efficiency rate of no more than \$199K per life saved. The efficiency index captures the cost of FMCSA's safety activities in relation to lives saved by funded safety activities. The lives saved efficiency index calculates the cost of resources expended annually to achieve the goal of saving a life on the Nation's highways. It measures fatalities avoided relative to improvements made since 2000 in relation to the actual safety dollars spent 2. Reduced rate of large truck and bus fatalities per 100 million total VMT; CY 2011 target is 0.160. 3. Reduced rate of injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 4. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150. 5. Number of serious reportable HAZMAT incidents involving CMVs; CY2011 target is no more than 390.	

Operating Administration: FMCSA					Dollar (\$M)s	FTEs
Strategic Goal:	Organizational Excellence (information drawn from Section 4D of the FY 2011 budget)				\$ 32.231	78
FMCSA Objectives:	Provide an Adaptable, World Class Mission-Oriented, Organizational Infrastructure in Support of All FMCSA Objectives, and Strategies				\$ 29.671	75
FMCSA Strategy:	Promote Strategic Management of Human Capital				\$ 8.056	27
Contribution to DOT Goals:	Contributes to the DOT Organizational Excellence goal by enabling the Federal Motor Carrier Safety Administration (FMCSA) to improve program delivery through quality administrative and information technology support.					
Purpose- Customers and Beneficiaries	Provides adaptable, world-class mission-oriented, organizational infrastructure support to enable the achievement of FMCSA objectives.					
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FTE	FY 2011 Activity (Products and Services)	FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
Employee Development Training	\$0.517	2	This performance element focuses on the continuous development of all employees to improve quality, expand knowledge and skills, and adapt to a continuously changing work environment. This includes empowering employees to have greater opportunities for training by further expanding the FMCSA Electronic Learning Management System (eLMS) capabilities and course offerings and by continuing to establish a Supervisory Leadership Development Program (SLDP) in view of higher than anticipated management turnover rates. The long term goal of employee development training is to provide FMCSA employees training in job specific skills to ensure their efficiency and effectiveness. Optimization of eLMS is necessary to achieve this goal.	In FY 2011, FMCSA will continue training to enhance employee abilities to identify, develop, and implement a career plan of required training. The Agency will utilize the electronic Learning Management System (eLMS) as the platform for planning, scheduling and delivering web based training. The Agency will work to provide a comprehensive program to acquaint all new FMCSA employees with the organization and its mission. FMCSA will develop, identify and implement career and leadership development paths based on core competencies for all employees and make the training tools available to reach their goals.	This performance element supports the DOT goal of Organizational Excellence, as well as the following FMCSA performance measure: 1. Lives saved efficiency index (constant FY 2000 dollars in thousands); CY 2011 target is an efficiency rate of no more than \$199K per life saved. 2. Reduced rate of large truck and bus fatalities per 100 million total VMT; CY 2011 target is 0.160. 3. Reduced rate of injury crashes involving large trucks and buses per 100 million VMT; CY 2011 target is 2.67. 4. Reduced rate of fatal crashes involving large trucks and buses per 100 million total VMT; CY 2011 target is 0.150. 5. Number of serious reportable HAZMAT incidents involving CMVs; CY2011 target is no more than 390.	

Operating Administration: FMCSA					Dollar (\$M)s	FTEs
Strategic Goal:	Organizational Excellence (information drawn from Section 4D of the FY 2011 budget)				\$ 32.231	78
FMCSA Objectives:	Provide an Adaptable, World Class Mission-Oriented, Organizational Infrastructure in Support of All FMCSA Objectives, and Strategies				\$ 29.671	75
FMCSA Strategy:	Promote Strategic Management of Human Capital				\$ 8.056	27
Contribution to DOT Goals:	Contributes to the DOT Organizational Excellence goal by enabling the Federal Motor Carrier Safety Administration (FMCSA) to improve program delivery through quality administrative and information technology support.					
Purpose- Customers and Beneficiaries	Provides adaptable, world-class mission-oriented, organizational infrastructure support to enable the achievement of FMCSA objectives.					
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FTE	FY 2011 Activity (Products and Services)	FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
Employee Ethics	\$0.137	1	The FMCSA conducts ethics training and provides 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). Attorneys advise approximately 315 employees in completing an annual Confidential Financial Disclosure Report (OGE Form 450) and another 15 Senior Executive Service and Schedule C employees in completing an annual Public Financial Disclosure Report (SF 278). Attorneys track and review financial reporting of approximately 315 employees to ensure conflicts do not exist between the Agency mission and the employees' financial interests. To support the highest ethical standards for its employees, FMCSA provides new employee, annual, specialized acquisition and ad-hoc ethics training and legal advice to its employees and senior officials.	In FY 2011, FMCSA will continue maintaining the ethics training page on the KnowZone and computer based orientation that allows for improved new employee training and information sharing on specialized issues (e.g., acquisitions and grants). The Agency will continue to develop the general training page on the KnowZone to serve as the focal point for training. FMCSA will continue to maintain the automated updating of the training database and will continue to meet the 100 percent rate for employee ethics training. The ethics activity will continue to provide in-person and computer-based training on general ethics matters to employees who are required to file annual financial disclosure reports and specialized acquisition and grants management ethics training to those employees with procurement or grants management responsibilities. This activity will review financial disclosure reports from all employees required to submit such reports. FMCSA will continue providing specialized ethics training to FMCSA grantees to ensure proper use and management of grant funds.	This performance element supports the DOT goal of Organizational Excellence, as well as the following FMCSA performance measure: Lives saved efficiency index (constant FY 2000 dollars in thousands); CY 2011 target is an efficiency rate of no more than \$199K per life saved.	

Operating Administration: FMCSA					
Strategic Goal:		Organizational Excellence (information drawn from Section 4D of the FY 2011 budget)		Dollar (\$M)s	FTEs
FMCSA Objectives:		Provide an Adaptable, World Class Mission-Oriented, Organizational Infrastructure in Support of All FMCSA Objectives, and Strategies		\$ 32.231	78
FMCSA Strategy:		Promote Strategic Management of Human Capital		\$ 29.671	75
Contribution to DOT Goals:		Contributes to the DOT Organizational Excellence goal by enabling the Federal Motor Carrier Safety Administration (FMCSA) to improve program delivery through quality administrative and information technology support.		\$ 8.056	27
Purpose- Customers and Beneficiaries		Provides adaptable, world-class mission-oriented, organizational infrastructure support to enable the achievement of FMCSA objectives.			
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)	FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
Civil Rights	\$0.549	4	The FMCSA conducts civil rights activities 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 Civil Rights Office is essential toward achieving a discrimination-free workplace. FMCSA has conducted outreach efforts to the 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 required to ensure discrimination does not exist in activities funded by the Federal Government, in accordance with Title VI of the Civil Rights Act. The Agency performs on-site compliance reviews of grant recipients to ensure that they comply. FMCSA will increase the number of discrimination compliance reviews and conduct outreach and provide technical assistance to participants and beneficiaries. FMCSA will create a model equal employment opportunity (EEO) framework in a workplace that is able to attract, develop, and retain a highly qualified and highly skilled diverse workforce.	In FY 2011, FMCSA will complete the second and final phase of required diversity training for all employees. The Agency will continue to ensure that qualified applicants from employee groups with low participation rates at FMCSA are informed about vacancies and ensure that three percent of all new hires consist of persons with targeted disabilities.	This performance element supports the DOT goal of Organizational Excellence, as well as the following FMCSA performance measure: Lives saved efficiency index (constant FY 2000 dollars in thousands); CY 2011 target is an efficiency rate of no more than \$199K per life saved.

Operating Administration: FMCSA				Dollar (\$M)s	FTEs	
Strategic Goal:	Organizational Excellence (information drawn from Section 4D of the FY 2011 budget)				\$ 32.231	78
FMCSA Objectives:	Provide an Adaptable, World Class Mission-Oriented, Organizational Infrastructure in Support of All FMCSA Objectives, and Strategies				\$ 29.671	75
FMCSA Strategy:	Advance Electronic Government Solutions				\$ 2.171	2
Contribution to DOT Goals:	Contributes to the DOT Organizational Excellence goal by enabling the Federal Motor Carrier Safety Administration (FMCSA) to improve program delivery through quality administrative and information technology support.					
Purpose - Customers and Beneficiaries	Provides adaptable, world-class mission-oriented, organizational infrastructure support to enable the achievement of FMCSA objectives.					
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
Electronic Government Solutions	\$2.171	2	The e-Gov performance element focuses on activities designed explicitly to address select government-wide e-Gov and related initiatives. FMCSA continues the development and release of select e-Gov activities, including e-Authentication. Well-defined management practices help to ensure that FMCSA makes the best possible use of finite budgetary and staff resources. These activities will better align IT investments with specific business needs and will address opportunities to foster the professional development of the workforce. Another key area of focus will be the work required to implement FMCSA's enterprise architecture based on COMPASS as addressed in the Information Management performance element in the Safety Goal section of this budget. FMCSA will support e-Gov through Agency efforts to maintain a customer focus and increase public access to activities 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 OMB and Departmental targets in the areas of Section 508 compliance, Enterprise Architecture (EA), Project Management, Government-wide e-Gov initiatives, IT Security, System Security Certification and Accreditation, and Capital Planning.	In FY 2011, IT security will continue to implement all security and privacy policies in accordance with the Government's Cyber-security initiatives to ensure FMCSA systems are secure. The Agency will continue to evolve its enterprise architecture, security and privacy activities, conduct security assessments, provide annual IT security training, and conduct other security activities required to ensure the safe operation of Agency IT systems. FMCSA developers will continue to comply with Section 508 to improve accessibility and usefulness of FMCSA web sites to ensure greater transparency for the general public and for those stakeholders who conduct business with the Agency. The Agency will develop industry standard enterprise information security architecture, monitor security vulnerabilities and continue to integrate security into IT development methodology. FMCSA will address findings and recommendations to security vulnerabilities identified in OIG audits, OMB and OST guidance, and internal evaluations. The Agency has developed a multi-year action plan to address these issues in a systematic and meaningful approach. Additionally, the Agency will focus efforts on safeguarding all personally-identifiable information (PII).	This performance element supports the DOT goal of Organizational Excellence, as well as the following FMCSA performance measure: Lives saved efficiency index (constant FY 2000 Dollars in thousands); CY 2011 target is an efficiency rate of no more than \$199K per life saved. The efficiency index captures the cost of FMCSA's safety activities in relation to lives saved by funded safety activities. The lives saved efficiency index calculates the cost of resources expended annually to achieve the goal of saving a life on the Nation's highways. It measures fatalities avoided relative to the improvements made since 2000 in relation to the actual safety dollars spent. FMCSA computed the efficiency measure from 2001 to 2007 (the most recent year for which accurate fatality rate data is available). This index indicates that 2007 represented the best return as far as efficiency of funds executed by FMCSA to save lives.	

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Operating Administration: FMCSA						Dollar (\$M)s	FTEs	
Strategic Goal:	Organizational Excellence (information drawn from Section 4D of the FY 2011 budget)						\$ 32.231	78
FMCSA Objectives:	Provide an Adaptable, World Class Mission-Oriented, Organizational Infrastructure in Support of All FMCSA Objectives, and Strategies						\$ 29.671	75
FMCSA Strategy:	Enhance Financial & Procurement Performance						\$ 7.045	19
Contribution to DOT Goals:	Contributes to the DOT Organizational Excellence goal by enabling the Federal Motor Carrier Safety Administration (FMCSA) to improve program delivery through quality administrative and information technology support.							
Purpose – Customers and Beneficiaries	Provides adaptable, world-class mission-oriented, organizational infrastructure support to FMCSA employees and partners to enable the achievement of FMCSA objectives.							
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)				FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
	(\$M)	FTE						
Financial Management and Oversight	\$4.357	11	FMCSA is dedicated to improving accounting processes, which leads to improved financial reporting by providing timely and accurate financial analysis and support. Included in this performance element are internal controls, audits, travel, and reporting. These activities are critical to support the Agency's mission and to provide relevant information for leadership decisions.		In FY 2011, FMCSA will continue enhancement of its financial oversight and procurement activities by establishing standard operating procedures on key processes and training and by providing expertise through knowledgeable staffing. The Agency will also continue to conduct financial management and training and enhance funds management and financial reporting through training on key processes.		This performance element supports the DOT goal of Organizational Excellence, as well as the following FMCSA performance measure: Lives saved efficiency index (constant FY 2000 Dollars in thousands): CY 2011 target is an efficiency rate of no more than \$199K per life saved. The efficiency index captures the cost of FMCSA's safety activities in relation to lives saved by funded safety activities. The lives saved efficiency index calculates the cost of resources expended annually to achieve the goal of saving a life on the Nation's highways. It measures fatalities avoided relative to improvements made since 2000 in relation to the actual safety dollars spent. FMCSA computed the efficiency measure from 2001 to 2007 (the most recent year for which accurate fatality rate data is available). This index indicates that 2007 represented the best return as far as efficiency of funds executed by FMCSA to save lives.	
			Another important part of this element is a competent grants management activity. In order to fully respond to the annual Departmental financial statement audit to improve financial performance, FMCSA must improve the financial management oversight of grants and acquisitions management. The Agency must do this while maintaining current levels of performance for other activities related to financial and procurement performance. The long term goals of this performance element are to establish and implement a grants management system in accordance with Departmental mandates, assist with establishing a grants management manual, conduct regular financial audits, and provide analysis of state grants.		The Agency will also continue activities to ensure travel card delinquency rates are less than one percent. The Agency will continue to utilize and enhance the MCA system, in coordination with Department direction and guidance.			

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Program Name (Performance Element)	FY 2011 Inputs (Resources)		FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes
	(\$M)	FTE				
Acquisitions Management	\$2.745	9	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 to meet the Agency's mission. Acquisitions management includes pre- and post-award support, contract management and administration, and contract closeout. This support includes management and oversight of contracting officer's warrants, certification and training, contracting officer's technical representatives, and purchase cards. 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 implement fully standard operating procedures. Over the next few years, FMCSA will concentrate on modernizing acquisitions systems and staffing to recruit, retain, and certify employees; providing customer product and service knowledge; and tracking mandated procurement oversight information accurately.		In FY 2011, FMCSA intends to continue PRISM implementation and enhancement, development and implementation of standard operating procedures, and making acquisitions related process improvements. The Agency will continue to train and certify the acquisitions career workforce. FMCSA will continue the closeout of contracts, purchase orders and cooperative agreements to reduce the amount of data that will migrate from the previous stand-alone version of PRISM to the ONEDOT Prism initiative. Additionally, the Agency will continue the review and audit of agency purchase cards and will update the purchase card and COTR handbooks as appropriate.	This performance element supports the DOT goal of Organizational Excellence, as well as the following FMCSA performance measure: 1. Lives saved efficiency index (constant FY 2000 Dollars in thousands); CY 2011 target is an efficiency rate of no more than \$199K per life saved. 2. Percentage of procurement dollars awarded to small disadvantaged businesses (SDBs); CY 2011 target is 27.7 percent. The performance measure computes the percentage of procurement dollars awarded to SDBs. The Agency has made progress in this measure by placing greater emphasis on improving its contracting activities, emphasizing contracting officer's technical representative (COTR) training, hiring qualified professionals, and educating program offices on compliance with the Competition in Contracting Act. These efforts have improved FMCSA's performance in this measure by almost 15 percent over the FY 2006 results. In FY 2009, the Department adjusted the target to align it with the three prior years' achievements. The Department also made similar adjustments to targets in other DOT modes. 3. Percentage of Procurement Dollars awarded to Women-Owned Businesses (WOBs); CY2011 target is 25.1 percent. The performance measure computes the percentage of procurement dollars awarded to WOBs. The

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FMCSA Strategy:	Enhance Financial & Procurement Performance			\$ 29.671	75
Contribution to DOT Goals:	Contributes to the DOT Organizational Excellence goal by enabling the Federal Motor Carrier Safety Administration (FMCSA) to improve program delivery through quality administrative and information technology support.			\$ 7.045	19
Purpose – Customers and Beneficiaries	Provides adaptable, world-class mission-oriented, organizational infrastructure support to FMCSA employees and partners to enable the achievement of FMCSA objectives.				
Program Name (Performance Element)	FY 2011 Inputs (Resources)		FY 2011 Activity (Products and Services)	FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes
	(\$M)	FTE			
					Agency is making progress in this measure by placing greater emphasis on improving its contracting activities, emphasizing COTR training, hiring qualified professionals, and educating program offices on compliance with the Competition in Contracting Act. Through these efforts, FMCSA's performance in this measure is expected to meet the goal. In FY 2009, the Department adjusted the target to align it with the three prior years' achievements. The Department also made similar adjustments to targets in other DOT modes.

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Operating Administration: FMCSA					
Strategic Goal:		Organizational Excellence (information drawn from Section 4D of the FY 2011 budget)		Dollar (\$M)s	FTEs
FMCSA Objectives:		Provide an Adaptable, World Class Mission-Oriented, Organizational Infrastructure in Support of All FMCSA Objectives, and Strategies		\$ 32.427	82
FMCSA Strategy:		Integrate Budget and Performance		\$ 30.096	79
Contribution to DOT Goals:		Contributes to the DOT Organizational Excellence goal by enabling the Federal Motor Carrier Safety Administration (FMCSA) to improve program delivery through quality administrative and information technology support.		\$ 6.404	16
Purpose - Customers and Beneficiaries		Provides adaptable, world-class mission-oriented, organizational infrastructure support to FMCSA employees and partners to enable the achievement of FMCSA objectives.			
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)	FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
Budget Formulation and Execution	\$ 3.291	8	This performance element integrates 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 that integrates the Agency's performance plan into the budget process throughout the year to strengthen the Agency's resource-to-results linkage to support management, funding, and allocation decisions. By leveraging the Agency's evaluation capabilities with a sound plan, the Agency utilizes performance results to effect needed improvements and determine future budget requests.	In FY 2011, 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 funds execution for every pay period throughout the fiscal year, in order to closely monitor actual payroll expenditures against projections. Further, FMCSA will formulate the FY2012 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 FY2011 budget development with the Highway Reauthorization process.	This performance element supports the DOT goal of Organizational Excellence, as well as the following FMCSA performance measure: Lives saved efficiency index (constant FY 2000 Dollars in thousands), CY 2011 target is an efficiency rate of no more than \$199K per life saved. The efficiency index captures the cost of FMCSA's safety activities in relation to lives saved by funded safety activities. The lives saved efficiency index calculates the cost of resources expended annually to achieve the goal of saving a life on the Nation's highways. It measures fatalities avoided relative to improvements made since 2000 in relation to the actual safety dollars spent. FMCSA computed the efficiency measure from 2001 to 2007 (the most recent year for which accurate fatality rate data is available). This index indicates that 2007 represented the best return as far as efficiency of funds executed by FMCSA to save lives.

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Purpose - Customers and Beneficiaries	Provides adaptable, world-class mission-oriented, organizational infrastructure support to FMCSA employees and partners to enable the achievement of FMCSA objectives.							
Program Name (Performance Element)	FY 2011 Inputs (Resources)		FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes		
	(\$M)	FTE	This performance element includes activities in the areas of strategic management, performance measurement, external liaison, and evaluation. Activities include the implementation and tracking of the Agency's Strategic Plan and performance management through the utilization of a concise set of output performance measures which are maintained and tracked under this performance element. This performance element is responsive to FMCSA's oversight organizations: the Government Accountability Office (GAO), the Department of Transportation's Office of the Inspector General (OIG), and the National Transportation Safety Board (NTSB). As well, FMCSA facilitates the Motor Carrier Safety Advisory Committee (MCSAC) as they provide advice and recommendations to the Administrator of FMCSA on motor carrier safety and motor carrier safety regulations. FMCSA also monitors the effectiveness of programs through program evaluation. (More information can be found in the narrative portion of the Organizational Excellence Goal / Section 4E)				FY 2011, FMCSA will begin the first full year of implementation for its updated strategic plan. FMCSA will continue to implement improvements to its PMO process through increased automation of its tracking, monitoring, and action planning procedures. This effort will improve transparency and managerial awareness of ongoing and proposed actions designed to enhance the Agency's ability to meet its mission and goals. FMCSA will continue its work to reduce the number of outstanding recommendations from its oversight agencies. FMCSA will use its new outcome-based performance measure central database repository to assist Agency managers to monitor performance. FMCSA's outcome-based measures will better show the effect its activities and policies have on safety-related behavior of its regulated entities. FMCSA will continue monitoring and tracking actions taken in response to the recommendations contained in the evaluations completed in FY 2010. In addition, FMCSA will complete evaluations on the handling of personally identifiable information (PII) within Agency data systems and processes. The Agency will also complete the evaluation of the FMCSA Safety and Household Goods Hotline, as well as an evaluation of safety regulations to determine their impact on safety outcomes. FMCSA will initiate two additional program evaluations of areas, which will be determined in FY 2010. Further, the Agency will conduct Section 610 reviews of 49 CFR parts 325, 388, 350, and 355.	This performance element supports the DOT goal of Organizational Excellence, as well as the following FMCSA performance measure: Lives saved efficiency index (constant FY 2000 Dollars in thousands); CY 2011 target is an efficiency rate of no more than \$199K per life saved.

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Strategic Goal:	Organizational Excellence (information drawn from Section 4D of the FY 2011 budget)					\$ 32.427	82
FMCSA Objectives:	Provide an Adaptable, World Class Mission-Oriented, Organizational Infrastructure in Support of All FMCSA Objectives, and Strategies					\$ 30.096	79
FMCSA Strategy:	Promote Organizational Efficiency and Open Communication					\$5.995	11
Contribution to DOT Goals:	Contributes to the DOT Organizational Excellence goal by enabling the Federal Motor Carrier Safety Administration (FMCSA) to improve program delivery through quality administrative and information technology support.						
Purpose -Customers and Beneficiaries	Provides adaptable, world-class mission-oriented, organizational infrastructure support to FMCSA employees and partners to enable the achievement of FMCSA objectives.						
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)			FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
	(\$M)	FTE					
Central Support Services	\$4.834	8	The central support services function consolidates the Agency's management and information services to improve the effectiveness and efficiency of delivered activities. Required services for all FMCSA operations include facilities management, telecommunications, mail, printing, and field relocations. These essential functions and others are supported centrally to leverage economy of scale and to monitor and control costs. The FMCSA will develop Agency-wide policies and activities 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, transportation, occupational safety, printing, transit benefits, telecommunications, and other administrative services. FMCSA also executes the Freedom of Information Act (FOIA), Paperwork Reduction Act, and Privacy Act activities and maintains administrative directives for all Agency activities.			In FY 2011, FMCSA will continue to pursue outstanding long-term occupancy agreements for border offices based on identified requirements. Working with GSA, the Agency will maintain field office occupancy agreements and continue to make renovations as necessary. The Agency will process FOIA requests in a timely manner while accomplishing the President's goal of providing more transparency in government through a thorough review of FOIA requests to determine whether more documents are eligible to be included on the agency's electronic reading room. FMCSA will continue to work with GSA to maintain and operate the government vehicles assigned to the agency. When replacements are necessary, the agency will continue to increase the number of AFVs, where possible.	This performance element supports the DOT goal of Organizational Excellence, as well as the following FMCSA performance measure: Lives saved efficiency index (constant FY 2000 Dollars in thousands); CY 2011 target is an efficiency rate of no more than \$199K per life saved. The efficiency index captures the cost of FMCSA's safety activities in relation to lives saved by funded safety activities. The lives saved efficiency index calculates the cost of resources expended annually to achieve the goal of saving a life on the Nation's highways. It measures fatalities avoided relative to improvements made since 2000 in relation to the actual safety dollars spent. FMCSA computed the efficiency measure from 2001 to 2007 (the most recent year for which accurate fatality rate data is available). This index indicates that 2007 represented the best return as far as efficiency of funds executed by FMCSA to save lives.

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Strategic Goal:		Organizational Excellence (information drawn from Section 4D of the FY 2011 budget)			Dollar (\$M)s	FTEs
FMCSA Objectives:		Provide an Adaptable, World Class Mission-Oriented, Organizational Infrastructure in Support of All FMCSA Objectives, and Strategies			\$ 32.427	82
FMCSA Strategy:		Promote Organizational Efficiency and Open Communication			\$ 30.096	79
Contribution to DOT Goals:		Contributes to the DOT Organizational Excellence goal by enabling the Federal Motor Carrier Safety Administration (FMCSA) to improve program delivery through quality administrative and information technology support.			\$5.995	11
Purpose -Customers and Beneficiaries						
Provides adaptable, world-class mission-oriented, organizational infrastructure support to FMCSA employees and partners to enable the achievement of FMCSA objectives.						
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
	(\$M)					
Organizational Development	\$0.378	1	The FMCSA has established a Human Capital Workgroup to serve as a planning vehicle to focus on Agency workforce planning and management across organizational lines and align human capital activities for the best solutions. The members represent the perspectives of their organization by sharing feedback and concerns that are then considered for incorporation in strategies identified in or appended to the Agency Human Capital Plan. FMCSA assesses leadership and communication practices regularly within the organization through a variety of vehicles, including the annual Federal Human Capital Survey, the Federal New Employee Survey, and the FMCSA Employee Exit Survey. The Human Capital Workgroup examines feedback from all sources, identifies primary areas of concern common to multiple feedback sources, develops recommendations for addressing those concerns, and develops plans for implementing the recommended improvements.	In FY 2011, FMCSA will examine results of external audits and create plans for implementing recommended changes. Updates to the Human Capital Plan will be considered in light of audit recommendations. The Human Capital Workgroup will continue to meet regularly and examine continuing employee feedback. The Group will continue to develop strategies for improvement and track the results of strategies implemented to improve aspects of Agency culture and work-life identified through employee feedback. The Group will periodically review the Human Capital Plan's action plan and recommend revisions as appropriate to close out successfully addressed recommendations or to add new recommendations derived from current employee feedback. In addition, FMCSA will determine whether competency models for additional occupational groups would benefit employee development and retention.	This performance element supports the DOT goal of Organizational Excellence, as well as the following FMCSA performance measure: Lives saved efficiency index (constant FY 2000 Dollars in thousands); CY 2011 target is an efficiency rate of no more than \$199K per life saved.	

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FMCSA Objectives:	Provide an Adaptable, World Class Mission-Oriented, Organizational Infrastructure in Support of All FMCSA Objectives, and Strategies					\$ 30.096	79
FMCSA Strategy:	Promote Organizational Efficiency and Open Communication					\$5.995	11
Contribution to DOT Goals:	Contributes to the DOT Organizational Excellence goal by enabling the Federal Motor Carrier Safety Administration (FMCSA) to improve program delivery through quality administrative and information technology support.						
Purpose -Customers and Beneficiaries	Provides adaptable, world-class mission-oriented, organizational infrastructure support to FMCSA employees and partners to enable the achievement of FMCSA objectives.						
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)			FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes	
	(\$M)	FTE					
Intra-Agency Communication	\$0.783	2	The FMCSA promotes open communication to employees about Agency goals, achievements, and future plans to enhance overall FMCSA performance. The Agency will develop communication and outreach activities to achieve a greater level of team spirit and inspire employees to achieve its mission. The KnowZone is the Agency's intranet site for employees. The KnowZone contains information useful to FMCSA employees, including the latest news, directives, guidance, human resources information, updates regarding major Agency activities, calendar of events, and headquarters and field rosters. An enterprise information portal will be introduced on the KnowZone which will allow expanded collaboration opportunities, increase transparency, and will greatly enhance the ability of people, teams and expertise to connect. This is in concert with the Administration's goals for open communication and for enterprise and social networking. The latest technologies will be explored and implemented as is practical such as message boards, online chat, blogs, wikis, etc. to provide optimum information sharing and exploration. New and enhanced methodologies for web content management will be provided to facilitate rapid update of the most recent information.				
			In FY 2011, FMCSA will continue exploring opportunities to enhance employee access to information about Agency activities, decisions, and plans through an enterprise information portal on the KnowZone introduced in FY 2010. Use of this capability will support the Agency's efforts of promoting transparency in the decision-making process by employing multiple media to increase the availability of information, especially for employees stationed in more remote areas. The FMCSA will continue the use of a content management system implemented in FY 2010 to ensure that content on the Web is well organized, updated, relevant, and uses Departmental formatting standards. In addition, FMCSA will continue to implement the latest in web technology, such as Web 2.0, to utilize the latest trends in social networking and media, and to increase the use of multimedia and dynamic content on the KnowZone. Consistent with Administration priorities, the Agency will ensure transparency of key programs and investments to provide accountability across all programs through public disclosure of performance metrics and results.				
			This performance element supports the DOT goal of Organizational Excellence, as well as the following FMCSA performance measure: Lives saved efficiency index (constant FY 2000 Dollars in thousands), CY 2011 target is an efficiency rate of no more than \$199K per life saved.				

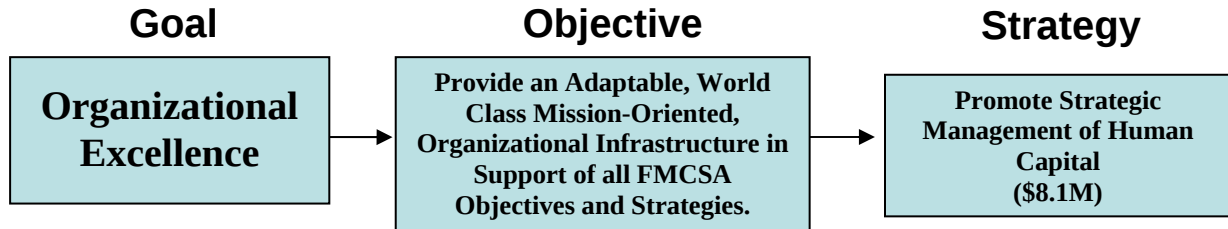
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Strategic Goal:	Organizational Excellence (information drawn from Section 4D of the FY 2011 budget)					\$ 32.427	82
FMCSA Objectives:	Provide an Adaptable, World Class Mission-Oriented, Organizational Infrastructure in Support of All FMCSA Objectives, and Strategies					\$ 30.096	79
FMCSA Strategy:	Support					\$2.332	3
Contribution to DOT Goals:		Contributes to the DOT Organizational Excellence goal by enabling the Federal Motor Carrier Safety Administration (FMCSA) to improve program delivery through quality administrative and information technology support.					
Purpose - Customers and Beneficiaries		Provides adaptable, world-class mission-oriented, organizational infrastructure support to FMCSA employees and partners to enable the achievement of FMCSA objectives.					
Program Name (Performance Element)	FY 2011 Inputs (Resources)	FY 2011 Activity (Products and Services)		FY 2011 Achievements and Outputs	FY 2011 Planned Outcomes		
Support	\$2.332	3	Support includes offices and services that provide vital oversight, guidance, specialized support and overall leadership to all of the FMCSA strategic goals. Components within the Office of the Administrator are included in this performance element through the provision of leadership vision and overall 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 activities, policies, and strategies. Legal support ensures that Human Capital and Acquisition activities are implemented effectively to meet statutory requirements and to avoid costly litigation. The legal office supports the procurement and grant management review process to maintain an appropriate competitive environment.	In FY 2011, FMCSA will participate in mediations involving discrimination claim and employee discipline issues, grievance proceedings and arbitrations pursuant to any negotiated collective bargaining unit. The Agency will continue to use proactive mediation to resolve employment-related disputes prior to trial or administrative hearing. The legal office will provide significant support to implement a uniform, standardized, documented process for FMCSA grant management. The Office of Communications will further expand "New Media" opportunities to effectively disseminate targeted safety information to carriers, drivers, and the general public.	This performance element supports the DOT goal of Organizational Excellence, as well as the following FMCSA performance measure: Lives saved efficiency index (constant FY 2000 Dollars in thousands); CY 2011 target is an efficiency rate of no more than \$199K per life saved. The efficiency index captures the cost of FMCSA's safety activities in relation to lives saved by funded safety activities. The lives saved efficiency index calculates the cost of resources expended annually to achieve the goal of saving a life on the Nation's highways. It measures fatalities avoided relative to improvements made since 2000 in relation to the actual safety dollars spent. FMCSA computed the efficiency measure from 2001 to 2007 (the most recent year for which accurate fatality rate data is available). This index indicates that 2007 represented the best return as far as efficiency of funds executed by FMCSA to save lives.		

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STRATEGY

Promote Strategic Management of Human Capital



STRATEGY OVERVIEW

For FY 2011, the Budget includes baseline amounts of \$8.1 million, \$114 thousand above base and two additional FTE annualized

The FMCSA will engage in activities that promote strategic management of human capital, enabling the Agency to implement better planning and policies that identify, recruit, develop, and retain a diverse and talented workforce in support of the strategic goals. FMCSA will conduct process reviews of human capital activities 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.

PERFORMANCE ELEMENTS (FEDERAL ACTIVITIES)

FMCSA has four Federal performance elements that support this Strategy:

- 1. Human Capital Services**
- 2. Employee Development Training**
- 3. Employee Ethics**
- 4. Civil Rights**

1. Human Capital Services

Responsible Official: *Director, Office of Human Capital Management*

When FMCSA was established in January 2000, many of the Agency's primary functions associated with its Human Capital Services remained dependent on the established support infrastructure of the Federal Highway Administration (FHWA). This arrangement has had a significant impact on FMCSA's own human capital goals. As explained in further detail below, FMCSA is establishing its own capabilities in this area. The Agency has developed Human Capital Plan, Workforce Plan, Recruitment Plan, and Succession Planning models as baseline tools for shaping the organization. These tools will enhance efficiencies in operation and promote accountability for results in achieving organizational goals. Ongoing review and assessment of these plans will be critical in monitoring and planning results.

Efforts are ongoing to develop strategies to prevent gaps in leadership and programmatic competencies. The Agency is developing a performance planning model that ensures accurate performance linkage from the highest level of management to the lowest level of the workforce with a direct link to Agency goals. This will promote accountability in achieving results as a human capital priority.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will complete internal consolidation of human resource servicing. The Agency will examine current practices and policies in light of changing Federal laws and regulations and update or create additional guidance materials as necessary. Regular feedback from employee surveys and other information-gathering tools will be applied to enhance the service portfolio. Automated systems will be reviewed to identify opportunities to streamline operations.

For FY 2011, the Budget includes \$6.9 million, \$57 thousand above base and one additional FTE annualized.

For FY 2011, FMCSA is requesting an additional \$64 thousand and one FTE to provide enhanced human capital services to handle the increased workload of the additional 59 FTE for field and headquarters staff being requested in this budget. FMCSA will have a fully operational consolidated human resources office that will provide the full portfolio of human resource services to employees. FMCSA will use these resources to provide additional capabilities to meet the increased workload in planning, recruitment, and development of work plans, hiring documents, and other servicing activities. These resources are necessary to ensure FMCSA will attract, hire and retain well qualified personnel capable of meeting our mission requirements.

The Agency will study results of outside Human Capital audits and develop plans for addressing specific recommendations and suggestions for improving human resources servicing and human capital planning. FMCSA will continue to assess employee feedback and identify additional opportunities for service improvement.

2. Employee Development Training

Responsible Official: *Director, National Training Center*

This performance element focuses on the continuous development of all employees to improve quality, expand knowledge and skills, and adapt to a continuously changing work environment. This includes empowering employees to have greater opportunities for training by further expanding the FMCSA Electronic Learning Management System (eLMS) capabilities and course offerings and by continuing to establish a Supervisory Leadership Development Program (SLDP) in view of higher than anticipated management turnover rates.

The long term goal of employee development training is to provide FMCSA employees training in job specific skills to ensure their efficiency and effectiveness. Optimization of eLMS is necessary to achieve this goal.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will offer training to enhance employees' ability to identify, develop, and implement a career plan of requisite training, using eLMS as a planning and scheduling tool. FMCSA will manage a comprehensive leadership and supervisory development effort. FMCSA will develop guidelines and identify career development paths for all employees. The Agency will work to provide comprehensive briefings to acquaint all new FMCSA employees with the organization and its mission and the training and tools available to reach their goals.

For FY 2011, the Budget includes \$517 thousand, \$50 thousand above base and one additional FTE annualized

In FY 2011, FMCSA is requesting an additional \$64 thousand and one FTE to provide an enhanced employee development and training regimen. As the Agency implements new safety regulations, new training courses and training materials must be developed and delivered to Federal and state enforcement personnel responsible for the enforcement and oversight of the changing requirements. The FMCSA will use these resources to provide additional training capabilities and capacity to meet the increased workload for the Agency's National Training Center in delivering courses to improve employee performance, knowledge, and skills, and to empower employees to take advantage of greater opportunities for training. Additional resources are required to ensure up-to-date, technically accurate and timely training is available for Federal and state enforcement personnel responsible for keeping America's roads safe. Without these resources, there is a significant risk of delayed delivery of pertinent training based on the Agency's current constrained training resources and capacity.

In FY 2011, FMCSA will continue training to enhance employee abilities to identify, develop, and implement a career plan of required training. The Agency will utilize the electronic Learning Management System (eLMS) as the platform for planning, scheduling and delivering web based training.

The Agency will work to provide a comprehensive program to acquaint all new FMCSA employees with the organization and its mission. FMCSA will develop, identify and implement career and leadership development paths based on core competencies for all employees and make the training tools available to reach their goals.

3. Employee Ethics

Responsible Official: *Chief Counsel/Deputy Administrator*

The FMCSA conducts ethics training and provides 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). Attorneys advise approximately 315 employees in completing an annual Confidential Financial Disclosure Report (OGE Form 450) and another 15 Senior Executive Service and Schedule C employees in completing an annual Public Financial Disclosure Report (SF 278). Attorneys track and review financial reporting

of approximately 315 employees to ensure conflicts do not exist between the Agency mission and the employees' financial interests. To support the highest ethical standards for its employees, FMCSA provides new employee, annual, specialized acquisition and ad-hoc ethics training and legal advice to its employees and senior officials.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will update the ethics training page on the KnowZone computer based orientation to allow for improved new employee training and information on specialized issues (e.g. acquisitions and grants), maintain automated updating of the training database, and maintain the 100 percent rate for training of all employees. The Agency will review financial disclosure reports from all employees required to submit such reports. This activity will also begin to offer specialized ethics training to FMCSA grantees.

For FY 2011, the Budget includes \$137 thousand

In FY 2011, FMCSA will continue maintaining the ethics training page on the KnowZone and computer based orientation that allows for improved new employee training and information sharing on specialized issues (e.g., acquisitions and grants). The Agency will continue to develop the general training page on the KnowZone to serve as the focal point for training. FMCSA will continue to maintain the automated updating of the training database and will continue to meet the 100 percent rate for employee ethics training. The ethics activity will continue to provide in-person and computer-based training on general ethics matters to employees who are required to file annual financial disclosure reports and specialized acquisition and grants management ethics training to those employees with procurement or grants management responsibilities. This activity will review financial disclosure reports from all employees required to submit such reports.

FMCSA will continue providing specialized ethics training to FMCSA grantees to ensure proper use and management of grant funds.

4. Civil Rights

Responsible Official: *Deputy Administrator*

The FMCSA conducts civil rights activities 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 Civil Rights Office is essential toward achieving a discrimination-free workplace. FMCSA has conducted outreach efforts to the 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 required to ensure that discrimination does not exist in 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 activity is on site compliance reviews of grant recipients.

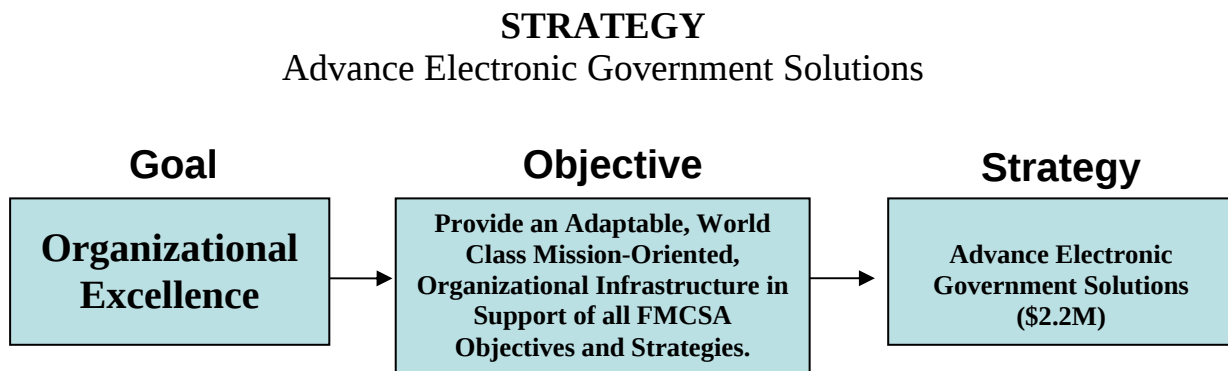
The long term goal of this activity is to reduce the risk of discrimination incidents. To accomplish this, FMCSA will increase the number of discrimination compliance reviews and conduct outreach and provide technical assistance to participants and beneficiaries. FMCSA will create a model equal employment opportunity (EEO) framework in a workplace that is able to attract, develop, and retain a highly qualified and highly skilled diverse workforce.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will conduct required diversity training for all employees. FMCSA will perform Title VI training for all FMCSA staff with external civil rights duties, ensure that qualified applicants from employee groups with low participation rates at FMCSA are informed about vacancies, and ensure that three percent of all new hires consist of persons with targeted disabilities.

For FY 2011, the Budget includes \$549 thousand

In FY 2011, FMCSA will complete the second and final phase of required diversity training for all employees. The Agency will continue to ensure that qualified applicants from employee groups with low participation rates at FMCSA are informed about vacancies and ensure that three percent of all new hires consist of persons with targeted disabilities.



STRATEGY OVERVIEW

For FY 2011, the Budget request for this Strategy is \$2.2 million, \$57 thousand above base and one additional FTE annualized.

The FMCSA achieves internal efficiency and offers external customers greater electronic access to processes and activities through the advancement of technology. FMCSA employs various electronic government (e-Gov) cross-cutting initiatives designed to address specific business requirements. FMCSA is addressing this through the development of initiatives, such as, FMCSA's Five-Year Information Technology (IT) Strategic Plan, enterprise architecture governance, robust IT security, capital planning and investment control (CPIC), and effective IT communications. Aside from addressing FMCSA's strategic vision, this

performance element addresses requirements of the Clinger-Cohen Act, Federal Information Security Management Act, e-Government Act, and Office of Management and Budget (OMB) guidance and directives.

PERFORMANCE ELEMENT (FEDERAL ACTIVITIES)

FMCSA has one Federal performance element that supports this Strategy:

Electronic Government Solutions

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

The e-Gov performance element focuses on activities designed explicitly to address select government-wide e-Gov and related initiatives. FMCSA continues the development and release of select e-Gov activities, including e-Authentication. Well-defined management practices help to ensure that FMCSA makes the best possible use of finite budgetary and staff resources. These activities will better align IT investments with specific business needs and will address opportunities to foster the professional development of the workforce. Another key area of focus will be the work required to implement FMCSA's enterprise architecture based on COMPASS as addressed in the Information Management performance element in the Safety Goal section of this budget.

The FMCSA will continue projects in direct support of e-Gov through Agency efforts to maintain a customer focus and increase public access to activities 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 OMB and Departmental targets in the areas of Section 508 compliance, Enterprise Architecture (EA), Project Management, Government-wide e-Gov initiatives, IT Security, System Security Certification and Accreditation, and Capital Planning.

Anticipated FY 2010 accomplishments

In FY 2010, the Agency will implement the latest policies and procedures governing IT security and Section 508 compliance. In addition, FMCSA will work to mature its project management process and improve its websites to make it easier for the public to conduct business with the Agency.

For FY 2011, the Budget includes \$2.2 million, \$57 thousand above base and one additional FTE annualized

In FY 2011, FMCSA is requesting an additional \$57 thousand and one FTE to enable the Agency to improve transparency and comply with new Cyber-security initiatives. These resources will also deliver effective IT system training and testing and ensure that all Federal, state and contract personnel using FMCSA IT systems comply fully with security and privacy policies in accordance with the new Cyber-security initiatives. The Agency is committed to maintaining secure IT systems. The additional resources will also enable the Agency to continue to evolve its enterprise architecture, security and privacy activities,

conduct security assessments, prepare Privacy Impact Assessments, and conduct other security activities required to maintain the integrity of FMCSA-maintained data and the security of the Agency's IT systems. The FMCSA personnel responsible for system applications will continue to comply with Section 508 to improve accessibility and usefulness of FMCSA Web to ensure greater transparency for the general public and for those stakeholders who conduct business with the Agency.

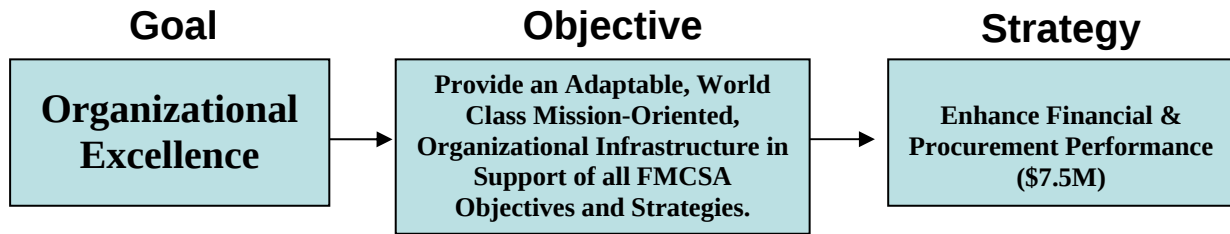
The Agency will develop industry standard enterprise information security architecture, monitor security vulnerabilities and continue to integrate security into IT development methodology. FMCSA will address findings and recommendations to security vulnerabilities identified in OIG audits, OMB/OST guidance, and internal evaluations. The Agency has developed a multi-year action plan to address these issues in a systematic and meaningful approach. Another area of primary focus is that of safeguarding all personally-identifiable information (PII).

In FY 2011, IT security will continue to implement all security and privacy policies in accordance with the Government's Cyber-security initiatives to ensure FMCSA systems are secure. The Agency will continue to evolve its enterprise architecture, security and privacy activities, conduct security assessments, provide annual IT security training, and conduct other security activities required to ensure the safe operation of Agency IT systems. FMCSA developers will continue to comply with Section 508 to improve accessibility and usefulness of FMCSA web sites to ensure greater transparency for the general public and for those stakeholders who conduct business with the Agency.

The Agency will develop industry standard enterprise information security architecture, monitor security vulnerabilities and continue to integrate security into IT development methodology. FMCSA will address findings and recommendations to security vulnerabilities identified in OIG audits, OMB and OST guidance, and internal evaluations. The Agency has developed a multi-year action plan to address these issues in a systematic and meaningful approach. Additionally, the Agency will focus efforts on safeguarding all personally-identifiable information (PII).

STRATEGY

Enhance Financial and Procurement Performance



STRATEGY OVERVIEW

For FY 2011, the Budget request for this Strategy is \$7.5 million, \$514 thousand above base and nine additional FTE annualized.

The FMCSA manages a robust series of activities to support internal controls, audits, travel, financial operations, procurement operations, and managerial cost accounting. These activities support the Agency and provide financial information for decision making. Without these activities, 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.

PERFORMANCE ELEMENTS (FEDERAL ACTIVITIES)

FMCSA has two Federal performance elements that support this Strategy:

- 1. Financial Management and Oversight**
- 2. Acquisitions Management**

1. Financial Management and Oversight

Responsible Official: *Chief Financial Officer*

A key area of emphasis under this performance element is financial operations and reporting. FMCSA is dedicated to improving accounting processes, which leads to improved financial reporting by providing timely and accurate financial analysis and support. Included in this performance element are internal controls, audits, travel, and reporting. These activities are critical to support the Agency's mission and to provide relevant information for leadership decisions.

Another important part of this element is a competent grants management activity. In order to fully respond to the annual Departmental financial statement audit to improve financial performance, FMCSA must improve the financial management oversight of grants and

acquisitions management. The Agency must do this while maintaining current levels of performance for other activities related to financial and procurement performance.

This performance element ensures that sufficient internal controls are in place for proper stewardship of grants, certifies that grants are properly administered and that funds are being spent for their intended purpose. This effort assists the Agency in avoiding material weaknesses as indicated by a successful and unqualified financial statement.

The long term goals of this performance element are to establish and implement a grants management system in accordance with Departmental mandates, assist with establishing a grants management manual, conduct regular financial audits, and provide analysis of state grants.

In order for the Agency to fully respond to the Departmental financial statement audit and mandates from the OMB and the Department, while adhering to the Government Performance and Results Act (GPRA) of 1993, FMCSA must expand its managerial cost accounting initiative. Managerial accounting more closely ties cost accounting information to FMCSA activities and performance data. 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 and tie those resources to actual results. To implement managerial cost accounting fully, FMCSA needs to automate the costing process, identify what outputs to measure, and determine what costing method is most practical.

Anticipated FY 2010 accomplishments

The FMCSA oversees multiple state grants that are managed by staff from program offices in Washington, DC and field staff, as collateral duties. To improve the overall consistency of grants management and to ensure compliance with Federal grant regulations, the Agency plans to develop a new grant management oversight capability. To accomplish this, FMCSA will consolidate all facets of grants management into a new Office of Grants Management, led by a warranted Grants Officer, similar to a Contract Officer.

In FY 2010, FMCSA will enhance its financial oversight over Agency grants, including conducting state site reviews, addressing corrective actions for identified weaknesses, leading the implementation of a grants management system (in accordance with Departmental guidance). The Agency will continue to conduct financial management training and continue to enhance funds management and financial reporting through establishing and/or providing training on key processes.

Additionally, FMCSA will enhance its internal review and audit process to identify and correct areas of vulnerability or weakness for the agency's resources. FMCSA will maintain its low travel card delinquency rates through the enhancement and continual monitoring of cardholder reports. The Agency will establish a formal Managerial Cost Allocation (MCA) system in coordination with the Department guidance.

For FY 2011, the Budget includes \$4.8 million, \$400 thousand above base and seven additional FTE annualized.

In FY 2011, FMCSA is requesting an additional \$386 thousand and three FTE to create the Office of Grants Management which will be staffed with one Grant Officer, Grant Specialists, Finance Analysts, MCSAP/Transportation Specialists, CDL/Transportation Specialists, and an attorney advisor. These resources will provide for development and implementation of policies, standards, and procedures for the administration of all financial assistance programs within FMCSA. These resources will allow the Agency to improve its oversight and ensure greater accountability and standardization among grant programs. Currently, the grants are managed by more than 50 offices throughout the country creating inconsistencies because employees are performing multiple tasks and roles. By consolidating the management of these grants into a single office with dedicated professionals, FMCSA can reduce program vulnerabilities through better and consistent management of internal controls while allowing program staff to rededicate their time to programmatic goals.

The establishment of the Office of Grants Management provides FMCSA the opportunity to hire specially trained individuals who have the expertise necessary for our grant program. As an agency that processes the majority of its funding through grants, an Office of Grants Management is needed to centralize this activity with employees that possess the skills to maintain compliance with Office of Management and Budget guidance, Federal law, and regulations on grants. FMCSA currently does not employ employees that are trained in grants management. This will allow the agency to provide greater focus on grants which will correspond to greater efficiency in grant processing.

The lack of an Office of Grants Management has led to employee double tasking in areas where employees are not properly trained, lack of resources, and longer response times for legal questions. Currently, programmatic employees are performing tasks related to program issues and tasks processing grants. The establishment of the Office of Grants Management would enable these employees to focus on program issues, allowing for higher functionality of those programs. Resources have been stretched thin by attempting to provide minimal training to program employees so that they can also process grants. These employees are also working longer and additional hours to cover both programmatic and grant issues. Finally, in an attempt to provide both grant related and program related legal guidance, attorneys' response times are longer than preferable for the program offices. Establishment of the Office of Grants Management would rectify these problems by centralizing the specialized skills that we require.

Through this new office, FMCSA will review and approve all grant disbursements to grantees to ensure compliance with financial regulations and statutes. The Agency will establish formal processes, procedures, and forms for consistent implementation, application, and oversight of grant awards and expenditures. The Agency will provide financial assistance during all phases of the grant process.

Further, the Agency will consolidate all the administrative functions such as preparing grant announcements, reviewing grant applications, and managing technical review panels. FMCSA will also have a single office to address audits, review grant related

correspondence, and provide legal counsel. Additionally, the Agency will be able to provide consistent guidance and counsel on rulemakings and interpretations related specifically to grant programs.

In FY 2011, FMCSA is requesting an additional \$64 thousand and one FTE to provide additional capability to improve the oversight and reporting of financial performance data. These resources are critical to ensure FMCSA can meet these requirements as well as to allow FMCSA to implement and oversee the appropriate internal controls. These resources will allow the Agency to meet the requirements in the accounting processes and support our ability to meet financial reporting deadlines. Additionally, the Agency will be able to meet internal control and travel requirements, and support financial audits.

In FY 2011, FMCSA will continue enhancement of its financial oversight and procurement activities by establishing standard operating procedures on key processes and training and by providing expertise through knowledgeable staffing. The Agency will also continue to conduct financial management training and enhance funds management and financial reporting through training on key processes.

The Agency will also continue activities to ensure travel card delinquency rates are less than one percent. The Agency will continue to utilize and enhance the MCA system, in coordination with Department direction and guidance.

2. Acquisitions Management

Responsible Official: *Chief, Acquisitions Management*

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 to meet the Agency's mission. Acquisitions management includes pre- and post-award support, contract management and administration, and contract closeout. This support includes management and oversight of contracting officer's warrants, certification and training, contracting officer's technical representatives, and purchase cards.

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

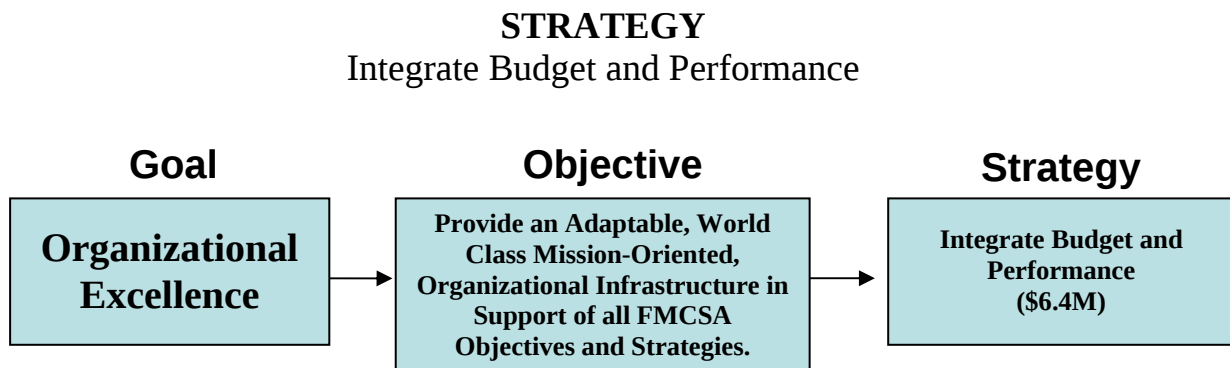
Anticipated FY 2010 accomplishments

In FY 2010, FMCSA continues the implementation and enhancement of automated procurement system (PRISM) and the development and implementation of standard operating procedures and related process improvements. FY 2010 activities will include continued training and certification of the acquisitions career workforce. FMCSA will continue the commitment to award FY 2010 dollars at not less than 27.7 percent to small disadvantaged businesses and 25.1 percent to women-owned businesses.

For FY 2011, the Budget includes \$2.8 million, \$114 thousand above base and two additional FTE annualized.

In FY 2011, FMCSA is requesting an additional \$114 thousand and two FTE to provide additional capabilities to meet the increased workload in acquisitions management to procure goods and services. These include pre- and post- award support, contract management and administration, and contract closeout activities for the Agency's increasing contractual requirements. The Agency's acquisitions volume has increased substantially over the past few years; however, the number of FTE has remained the same. The Agency has not been able to dedicate resources to complete contract closeouts, to write policies and procedures, and to conduct internal quality reviews. Additionally, based on preliminary findings from an external program review, deficiencies were identified in key areas such as: proper acquisition planning, acquisitions workforce training (includes COTRs and other personnel involved in the acquisitions process), and effective contract monitoring and administration. FMCSA plans to dedicate additional resources to address these findings and to allow for a better distribution of workload among the Acquisition's staff increasing customer service and performance efficiency to meet mission-critical deadlines.

In FY 2011, FMCSA intends to continue Prism implementation and enhancement, development and implementation of standard operating procedures, and making acquisitions related process improvements. The Agency will continue to train and certify the acquisitions career workforce. FMCSA will continue the closeout of contracts, purchase orders and cooperative agreements to reduce the amount of data that will migrate from the previous stand-alone version of Prism to the ONEDOT Prism initiative. Additionally, the Agency will continue the review and audit of agency purchase cards and will update the purchase card and COTR handbooks as appropriate.



STRATEGY OVERVIEW

For FY 2011, the Budget request for this Strategy is \$6.4 million, \$114 thousand above base and two additional FTE annualized.

The FMCSA develops a strategically-aligned budget that provides proper resource allocation to future requirements based on careful tracking of current-year execution and

analysis. The Integrated Performance Budget is a product developed jointly by budget and performance analysts within the Agency. The FMCSA identifies needs and determines priorities, and resources based on sound analysis. During execution of the budget, FMCSA tracks allocations and obligations to determine the appropriate resource needs for future budget requests.

PERFORMANCE ELEMENTS (FEDERAL ACTIVITIES)

FMCSA has two Federal performance elements that support this Strategy:

- 1. Budget Formulation and Execution**
- 2. Strategic Management and Evaluation**

1. Budget Formulation and Execution

Responsible Official: *Chief Financial Officer/Associate Administrator for Policy and Program Development*

This performance element integrates 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 that integrates the Agency's performance plan into the budget process throughout the year to strengthen the Agency's resource-to-results linkage to support management, funding, and allocation decisions. By leveraging the Agency's evaluation capabilities with a sound plan, the Agency utilizes performance results to effect needed improvements and determine future budget requests.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will improve the on-line reporting capabilities with the expected result of effective execution of the annual budget. The Agency will improve the process of providing budget execution data to the program areas and senior management. In addition, the Agency will increase the reconciliation of payroll data, improve cash flow planning and continue to strengthen internal controls.

For FY 2011, the Budget includes \$3.3 million, \$114 thousand above base and two additional FTE annualized.

In FY 2011, FMCSA is requesting an additional \$114 thousand and two FTE to meet the increased workload in budget formulation and execution.

The Agency must improve its budget formulation through a more robust corporate review model. This will require additional resources to develop and maintain standardized investment review and cost estimation activities that are key to a sound Planning, Programming, Budgeting, and Execution (PPBE) process. These new resources will allow FMCSA to formulate future budgets using a formal PPBE process that will properly identify, validate, and prioritize program requirements. The PPBE process will enable the

Agency to better utilize performance information and incorporate information that is already available through research, evaluation, and oversight reports when developing future year plans. FMCSA already considers these sources when making decisions, but does not have a consistent approach in place which achieves maximum efficiency. This process will also provide FMCSA the capability to prioritize new investments based on their relative impact to mission success; in order to achieve a greater reduction in crashes, injuries and fatalities. With these new resources and capabilities, the Agency will be able to better formulate a well defined and sound multi-year plan and budget projection ensuring that resources are given to the most mission critical activities. This will enable the Agency to more competently justify its requirements.

These additional resources will also allow FMCSA to properly implement the improved budget execution process and additional internal controls that will allow FMCSA to properly commit, obligate, and expend funds. In addition, the Agency will be able to confidently obligate more than 99 percent of appropriated funds and receive clean end-of-year audits. Additionally, the Agency will be able to accurately reconcile funds execution for every pay period throughout the fiscal year, in order to closely monitor actual payroll expenditures against projections.

2. Strategic Management and Evaluation

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

The FMCSA is committed to creating a sound strategic management and evaluation capability. This performance element includes activities in the areas of strategic management, performance measurement, external liaison, and evaluation.

Strategic Management

Effective strategic management begins with the development of the Agency's Strategic Plan. The FMCSA Strategic Plan lays out a six year roadmap for goals, objectives, strategies, and performance measures for which all FMCSA activities will be held accountable. The Strategic Plan is the key link between the Agency's strategic vision and the development of the Agency's performance budget, which outlines the annual performance plan.

Performance Measurement

The FMCSA uses a living-planning cycle by holding a Senior Leaders Planning Retreat each year. The planning retreat allows managers at various levels an opportunity to contribute in setting the priorities, direction, and focus of the Agency that will be used to allocate scarce resources.

Beginning in FY 2008, FMCSA underwent a full review of its performance measures to ensure that these measures more accurately represent how the Agency is achieving its mission in terms of the stated strategic objectives and strategies. Beginning in FY 2009, FMCSA will use new performance measures to achieve the mission of saving lives and reducing injuries by preventing and minimizing the severity of truck and bus crashes. In the past, FMCSA presented a large number of performance measures that reported output and

effort rather than focusing primarily on measures that communicated improvement towards achieving mission success. In order to show the effect that the Agency's activities and policies have on the safety-related behavior of the regulated industry, rather than output based measures of how much effort the Agency is expending, FMCSA reduced the number of performance measures by nearly 80 percent and moved almost exclusively to outcome-based measures. The FY 2010 Budget reflects these new outcome-based performance measures, as will the next Strategic Plan.

External Liaison

The FMCSA recognizes that responsiveness to oversight organizations is a shared responsibility of all FMCSA management officials and an integral part of good management. Corrective action taken by management on resolved findings and recommendations is essential to improving the effectiveness and efficiency of Agency operations. FMCSA's oversight organizations include the Government Accountability Office (GAO), the Department of Transportation's Office of the Inspector General (OIG), and the National Transportation Safety Board (NTSB).

In addition to recommendations from oversight organizations, FMCSA must consider the impact its policies, regulations, and operations have on external stakeholders. To assist with this task the Secretary of Transportation established the Motor Carrier Safety Advisory Committee (MCSAC) in September 2006 as authorized by the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). The Motor Carrier Safety Advisory Committee (MCSAC) provides advice and recommendations to the Administrator of FMCSA on motor carrier safety and motor carrier safety regulations and is comprised of 15 members appointed by the Administrator. The Committee members include representatives of the motor carrier industry, safety advocate groups, and safety enforcement officials.

Evaluation

The FMCSA decision makers use evaluation results to provide objective analysis of how well FMCSA activities are working and whether results intended are being realized. The information is essential for decision makers to manage activities effectively and to help decide how to prioritize limited resources. Evaluations are objective, systematic studies that answer questions about performance and results. By examining a broader range of information than is feasible through day-to-day analysis, an evaluation study can explore the benefits as well as ways to improve performance. In addition, evaluation is one of the three major elements of the Government Performance and Results Act (GPRA), which calls for agencies to use evaluation to assess the manner and extent to which Federal activities achieve intended objectives.

To create an institutional evaluation culture, FMCSA has created a formal, standard process to plan, execute, and use information from evaluations to provide senior decision makers with information to make better programmatic and operational decisions. As part of its evaluation activities, FMCSA conducts regulatory effectiveness reviews, which are designed to evaluate the performance of existing FMCSA regulations. While all agencies evaluate their proposed regulations before they are published to predict the affect they may have,

FMCSA's regulatory effectiveness reviews assess rules after they are published to determine whether they are having the desired effect. In some cases, rules written many years ago may no longer be effective due to changes in technology or the CMV operating environment.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will conduct a senior leaders planning retreat or comparable activity to define Agency priorities, identify resource requirements, and determine resource allocation to meet the requirements of the next surface transportation authorization bill and Agency and Departmental goals. FMCSA will ensure that these decisions are incorporated into the FY 2012 Performance Budget. FMCSA will finalize its revision of the Strategic Plan.

In FY 2010, FMCSA plans to implement improvements to its program management office (PMO) process through increased automation of its tracking, monitoring, and action planning procedures. FMCSA will continue its work to reduce the number of outstanding recommendations from its oversight agencies.

The FMCSA will finalize its new outcome-based performance measures and create a central database repository to manage Agency performance measures.

The FMCSA will monitor and track the actions taken in response to the recommendations contained in the program evaluations completed in FY 2009. FMCSA will complete evaluations on HAZMAT Safety Permitting Operations and the Agency use of inter-agency agreements (IAAs). In addition, FMCSA will initiate evaluations on the handling of personally identifiable information (PII) within Agency data systems and processes. The Agency will also initiate evaluations of the FMCSA Safety and Household Goods Hotline, as well as safety regulations to determine their impact on safety outcomes. Further, the Agency will conduct Section 610 reviews of 49 CFR parts 325, 388, 350, and 355. In addition, FMCSA will determine the topics of future program evaluations based on performance data and other factors.

For FY 2011, the Budget includes \$3.1 million

In FY 2011, FMCSA will conduct the annual senior leaders planning retreat to define Agency priorities, identify resource requirements, and determine resource allocation to meet the requirements of the next surface transportation authorization bill and Agency and Departmental goals. FMCSA will ensure that these decisions are incorporated into the FY 2013 Performance Budget. FMCSA will begin the first full year of implementation for its updated strategic plan.

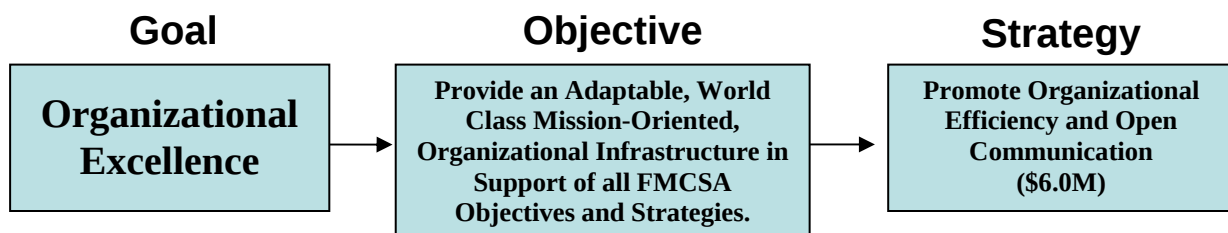
The FMCSA will continue to implement improvements to its PMO process through increased automation of its tracking, monitoring, and action planning procedures. This effort will improve transparency and managerial awareness of ongoing and proposed actions designed to enhance the Agency's ability to meet its mission and goals. FMCSA will continue its work to reduce the number of outstanding recommendations from its oversight agencies.

The Agency will use its new outcome-based performance measure central database repository to assist Agency managers to monitor performance. FMCSA will use these outcome-based performance measures to more accurately reflect the Agency's mission of saving lives and reducing injuries by preventing and minimizing the severity of truck and bus crashes. FMCSA's outcome-based measures will better show the effect its activities and policies have on safety-related behavior of its regulated entities.

The FMCSA will continue monitoring and tracking actions taken in response to the recommendations contained in the evaluations completed in FY 2010. In addition, FMCSA will complete evaluations on the handling of personally identifiable information (PII) within Agency data systems and processes. The Agency will also complete the evaluation of the FMCSA Safety and Household Goods Hotline, as well as an evaluation of safety regulations to determine their impact on safety outcomes. FMCSA will initiate two additional program evaluations of areas, which will be determined in FY 2010. Further, the Agency will conduct Section 610 reviews of 49 CFR parts 325, 388, 350, and 355.

STRATEGY

Promote Organizational Efficiency and Open Communication



STRATEGY OVERVIEW

For FY 2011, the Budget request for this Strategy is \$6.0 million, \$57 thousand above base and one additional FTE annualized

The FMCSA promotes organizational efficiency and open communication to enhance overall performance and develops communication and outreach activities to help achieve the Agency's mission. FMCSA searches continually for the most efficient infrastructure and support.

PERFORMANCE ELEMENTS (FEDERAL ACTIVITIES)

FMCSA has three Federal performance elements that support this Strategy:

- 1. Central Support Services**
- 2. Organizational Development**
- 3. Intra-Agency Communication**

1. Central Support Services

Responsible Official: *Director, Office of Management Information and Services*

The central support services function consolidates the Agency's management and information services to improve the effectiveness and efficiency of delivered activities. Required services for all FMCSA operations include facilities management, telecommunications, mail, printing, and field relocations. These essential functions and others are supported centrally to leverage economy of scale and to monitor and control costs.

The FMCSA develops Agency-wide policies and activities 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, transportation, occupational safety, printing, transit benefits, telecommunications, and other administrative services. FMCSA also executes the Freedom of Information Act (FOIA), Paperwork Reduction Act, and Privacy Act activities and maintains administrative directives for all Agency activities.

The FMCSA is responsible for ensuring the safety of all Mexican trucks that enter into the United States. The original truck inspection facilities, consisting primarily of mobile trailers used for office space, are now in need of repair and in many cases, replacement. These trailers present a range of challenges, including health and safety issues, creating unacceptable working conditions for staff. Furthermore, U.S. Customs and Border Protection (CBP) facilities at southern border crossings were not built to accommodate the needs for on-site safety inspections of commercial motor vehicles. New and improved truck and motorcoach safety inspection space and overhead canopies to protect Federal personnel from extremely hot and inclement weather are needed. In coordination with the General Services Administration and the Department of Homeland Security, FMCSA has evaluated the safety mission-related needs as well as employee health and safety needs, to develop an inspection facilities improvement plan for these border facilities to provide for the most efficient use of funds at the border crossings.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA will renew field office occupancy agreements and pursue any outstanding long-term occupancy agreements for border offices based on identified requirements. The Agency will process FOIA requests in a timely manner. FMCSA will work with the General Services Administration (GSA) to maintain and operate the

government vehicles assigned to the Agency. When replacements are necessary, the Agency plans to increase the number of alternative fuel vehicles (AFVs), where possible.

For FY 2011, the Budget includes \$4.8 million, \$57 thousand above base and one additional FTE annualized

In FY 2011, FMCSA is requesting an additional \$57 thousand and one FTE to address and manage critical infrastructure needs at border inspection facilities. Given that these facilities are shared with CBP and not designed to accommodate the Agency's inspection needs, FMCSA is in the process of working with the CBP and GSA to identify critical upgrades for the safety of the Agency's inspectors. This FTE will be working with the CBP and GSA on these complex and special border space issues to help with improving the safety and working conditions of these facilities. The Office of the Inspector General has consistently concluded in annual audits that inspections of motorcoaches from Mexico pose a significant challenge due to insufficient and unsafe space allocation at motorcoach crossings. Specifically, their reports on FMCSA's implementation of the North American Free Trade Agreement's cross-border trucking provisions have found that motorcoach inspection space is crowded and unsafe as inspections frequently occur near moving traffic. Most crossing facilities do not have dedicated space designed for inspections or places to park motorcoaches that are placed out of service.

In FY 2011, FMCSA will continue to pursue outstanding long-term occupancy agreements for border offices based on identified requirements. Working with GSA, the Agency will maintain field office occupancy agreements and continue to make renovations as necessary. The Agency will process FOIA requests in a timely manner while accomplishing the President's goal of providing more transparency in government through a thorough review of FOIA requests to determine whether more documents are eligible to be included on the agency's electronic reading room. FMCSA will continue to work with GSA to maintain and operate the government vehicles assigned to the agency. When replacements are necessary, the agency will continue to increase the number of AFVs, where possible.

2. Organizational Development

Responsible Official: *Director, Office of Human Capital*

The FMCSA has established a Human Capital Workgroup to serve as a planning vehicle to focus on Agency workforce planning and management across organizational lines and align human capital activities for the best solutions. The members represent the perspectives of their organization by sharing feedback and concerns that are then considered for incorporation in strategies identified in or appended to the Agency Human Capital Plan.

FMCSA assesses leadership and communication practices regularly within the organization through a variety of vehicles, including the annual Federal Human Capital Survey, the Federal New Employee Survey, and the FMCSA Employee Exit Survey. The Human Capital Workgroup examines feedback from all sources, identifies primary areas of concern common to multiple feedback sources, develops recommendations for addressing those concerns, and develops plans for implementing the recommended improvements.

Anticipated FY 2010 accomplishments

In FY 2010, FMCSA human resource servicing will be fully consolidated within the Agency. The Human Capital Workgroup will continue to meet regularly and examine continuing employee feedback about the consolidation, and as reflected in responses to the Federal Human Capital Survey, the Federal New Employee Survey, and the FMCSA Employee Exit Survey. The Group will continue to monitor relative success or strategies implemented to improve aspects of Agency culture and work-life and adjust strategies as necessary to facilitate continued improvement. The Group will review the Human Capital Plan's action plan periodically and recommend revisions as appropriate to close successfully addressed recommendations or to add new recommendations derived from current employee feedback.

To better service Agency employees while conserving staff resources, FMCSA will work towards consolidating current stand-alone automated systems. This effort should produce greater accuracy, enhanced data security, and reduced processing time. FMCSA will assess the need for developing competency models for additional occupational groups.

For FY 2011, the Budget includes \$378 thousand

In FY 2011, FMCSA will examine results of external audits and create plans for implementing recommended changes. Updates to the Human Capital Plan will be considered in light of audit recommendations.

The Human Capital Workgroup will continue to meet regularly and examine continuing employee feedback. The Group will continue to develop strategies for improvement and track the results of strategies implemented to improve aspects of Agency culture and work-life identified through employee feedback. The Group will periodically review the Human Capital Plan's action plan and recommend revisions as appropriate to close out successfully addressed recommendations or to add new recommendations derived from current employee feedback.

In addition, FMCSA will determine whether competency models for additional occupational groups would benefit employee development and retention.

3. Intra-Agency Communication

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

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 activities to achieve a greater level of team spirit and inspire employees to achieve its mission. Employees are FMCSA's greatest asset and must all be well-informed of Agency operations and expectations.

The KnowZone is the Agency's intranet site for employees. The KnowZone contains information useful to FMCSA employees, including the latest news, directives, guidance, human resources information, updates regarding major Agency activities, calendar of events, and headquarters and field rosters. An enterprise information portal will be

introduced on the KnowZone which will allow expanded collaboration opportunities, increase transparency, and will greatly enhance the ability of people, teams and expertise to connect. This is in concert with the Administration's goals for open communication and for enterprise and social networking. The latest technologies will be explored and implemented as is practical such as message boards, online chat, blogs, wikis, etc. to provide optimum information sharing and exploration. New and enhanced methodologies for web content management will be provided to facilitate rapid update of the most recent information.

The FMCSA provides daily news to employees, tracking events and information that concern the Agency or its stakeholders each morning to Agency staff. Updating employees on the latest news and information is a critical tool for communicating Agency priorities and activities.

Anticipated FY 2010 accomplishments

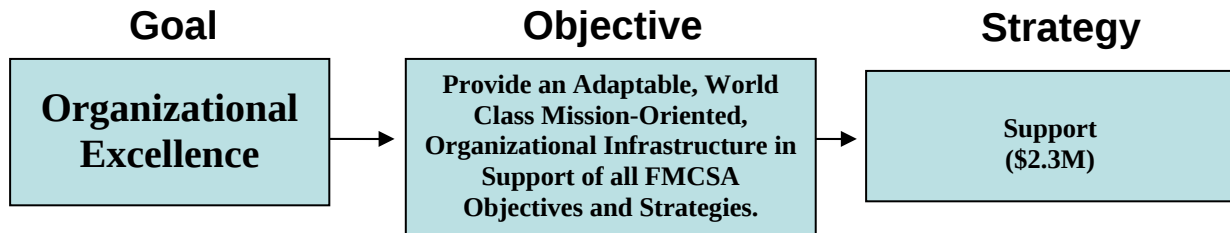
In FY 2010, an enterprise information portal will be introduced on the KnowZone which will allow expanded collaboration opportunities, increase transparency, and will greatly enhance the ability of people, teams and expertise to connect. This is in concert with the Administration's goals for open communication and for enterprise and social networking. The latest technologies will be explored and implemented as is practical such as message boards, online chat, blogs, wikis, etc. to provide optimum information sharing and exploration. New and enhanced methodologies for web content management will be provided to facilitate rapid update of the most recent information.

For FY 2011, the Budget includes \$783 thousand

In FY 2011, FMCSA will continue exploring opportunities to enhance employee access to information about Agency activities, decisions, and plans through an enterprise information portal on the KnowZone introduced in FY 2010. Use of this capability will support the Agency's efforts of promoting transparency in the decision-making process by employing multiple media to increase the availability of information, especially for employees stationed in more remote areas.

The FMCSA will continue the use of a content management system implemented in FY 2010 to ensure that content on the Web is well organized, updated, relevant, and uses Departmental formatting standards. In addition, FMCSA will continue to implement the latest in web technology, such as Web 2.0, to utilize the latest trends in social networking and media, and to increase the use of multimedia and dynamic content on the KnowZone. Consistent with Administration priorities, the Agency will ensure transparency of key programs and investments to provide accountability across all programs through public disclosure of performance metrics and results.

STRATEGY Support



STRATEGY OVERVIEW

For FY 2011, the Budget request for this Strategy is \$2.3 million.

Support includes offices and services that provide vital oversight, guidance, specialized support and overall leadership to all of the FMCSA strategic goals. Components within the Office of the Administrator are included in this performance element through the provision of leadership vision and overall 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 activities, policies, and strategies. Legal support ensures that Human Capital and Acquisition activities are implemented effectively to meet statutory requirements and to avoid costly litigation. The legal office supports the procurement and grant management review process to maintain an appropriate competitive environment.

Anticipated FY 2010 accomplishments

In FY 2010, vital leadership, management direction, and legal services will be provided and communications initiatives will be developed to support the accomplishment of organizational excellence within FMCSA.

For FY 2011, the Budget includes \$2.3 million

In FY 2011, FMCSA will participate in mediations involving discrimination claim and employee discipline issues, grievance proceedings and arbitrations pursuant to any negotiated collective bargaining unit. The Agency will continue to use proactive mediation to resolve employment-related disputes prior to trial or administrative hearing. The legal office will provide significant support to implement a uniform, standardized, documented process for FMCSA grant management. The Office of Communications will further expand "New Media" opportunities to effectively disseminate targeted safety information to carriers, drivers, and the general public.

FY 2011

FMCSA

Performance Budget Estimates

SECTION 4E

Attachment A

DOT High Priority Performance Goal:
Reduce the Highway Fatality Rate

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DOT High Priority Performance Goal (Attachment A)

Reduce the Highway Fatality Rate

Reducing highway fatalities continues to be a priority at the Department of Transportation. Tragically, highway crashes remain the leading cause of death for Americans age 4 through 34. We are committing to reduce the rate of fatalities to 1.13 – 1.16 fatalities per 100 million vehicle miles traveled (VMT) by the end of FY 2011. This is an aggressive goal, and will reflect significant progress from the historic low rate of 1.25 fatalities per 100 million VMT in FY 2008.

DOT is taking specific steps to reduce highway fatalities and achieve our FY 2011 goal. For example, in addition to setting standards, funding infrastructure improvements, and enforcing requirements, in the next two years DOT will assist states with higher fatality rates implement proven safety measures, rigorously review applications from new motor carrier companies to ensure they meet all safety requirements, and test methods to reduce distracted driving.

DOT is further researching the effects of the recession and depressed VMT levels on the fatality rate. In addition, we are evaluating the effect of new technology, safety standards and changing demographic trends on passenger survival in a crash. DOT may revise its goal in the future based on findings from this the new research.

Priority Performance Goal - Reduce the Highway Fatality Rate

Reduce the rate of highway fatalities to 1.13 – 1.16 fatalities per 100 million vehicle miles traveled (VMT) by the end of FY 2011, through a variety of initiatives aimed at drivers, improved road design, and the use of technology to improve safety.

1. Problem being addressed

Problem statement: Motor vehicle travel is the primary means of transportation in the U.S. and has the highest fatality rate per capita of all modes of transportation – making it one of our Nation’s most pressing public health problems. When ranked by specific ages, motor vehicle crashes are the leading cause of death for people of every age from 4 through 34 (based on the 2006 National Center for Health Statistics mortality data).

Importance: Traffic fatalities account for nearly 90 percent of transportation-related fatalities and drain more than \$230 billion from the economy each year.

2. Contributing programs within the agency/outside the agency

Three operating administrations within the DOT have responsibility for addressing highway safety. The National Highway Traffic Safety Administration (NHTSA) has responsibility for overseeing vehicle safety standards and administering driver behavior programs. The Federal Highway Administration (FHWA) focuses on roadway infrastructure safety design

and operations. The Federal Motor Carrier Safety Administration (FMCSA) has the lead to reduce crashes, injuries, and fatalities involving large trucks and buses.

Contributing Programs			
Mode	Program	Focus	Proposed effect
NHTSA	State Highway Safety Grant Programs	Driver behavior	Promote occupant protection (increase seat belt and child safety seat use), motorcycle safety, alcohol impaired driving countermeasures, high visibility enforcement, and state traffic safety information system improvements.
NHTSA	Rulemaking	Motor vehicle and equipment safety standards	Improve the crashworthiness and crashavoidance of vehicles, Provide consumer information - Government 5 Star Safety Ratings Program
NHTSA	Enforcement	Industry compliance with motor vehicle safety standards Identification of safety-related defects. Enforce Federal odometer law.	Remove and ensure manufacturers remedy, as necessary, unsafe motor vehicles and equipment from the highways.
NHTSA	Research and Analysis	Advance vehicle safety technologies – crashworthiness and crashavoidance	Decrease alcohol involvement in crashes Decrease the number of rollover crashes Improve vehicle-to-vehicle crash compatibility Improve data systems
NHTSA	Highway Safety Programs	Behavioral research Technical assistance National leadership	Identify safety trends Develop alternative solutions Assess costs, benefits, and effectiveness of programs
NHTSA	National Driver Register	Problem Driver Pointer System	Identify drivers whose licenses have been suspended or revoked for serious traffic offenses, such as driving under the influence of alcohol or other drugs.
FHWA	Highway Safety Improvement Program	Highway infrastructure	States will continue to use their Strategic Highway Safety Plans (SHSP) to develop future transportation plans and select projects for funding. In addition, states will address safety issues using proven safety countermeasures (e.g., roundabouts) to reduce roadway departure, intersection, or pedestrian-related fatal and injury-related crashes. As a result, fewer traffic fatalities and injuries will occur within each state and nationally.

Contributing Programs continue			
Mode	Program	Focus	Proposed effect
FHWA	Transportation and ITS Research Program	Highway safety technologies	Make available new transportation safety techniques and innovations (e.g., vehicle-infrastructure ITS applications) as well as provide training and technical assistance to states and other partners on innovative uses of these technologies.
FMCSA	Enforcement & Intervention	Driver Compliance	Ensure Commercial Motor Vehicle (CMV) drivers operate safely and are properly trained, medically fit, and licensed.
FMCSA	Enforcement & Intervention	Roadside Compliance	Ensure detection and correction of CMV safety defects, CMV driver deficiencies, and unsafe motor carrier practices before they become contributing factors to crashes.
FMCSA	Enforcement & Intervention	Carrier Compliance	Ensure, through an examination or intervention of a motor carrier's operations, carriers are in compliance with US Federal Motor Carrier Safety Regulations (FMCSRs) and US Hazardous Materials Regulations (HMRs).
FMCSA	Regulatory and Standards Deployment	Safe Operations	Create a safe CMV operating environment.
FMCSA	Information and Data Management	Analytically sound and safety-conscious decision making data	Ensure that motor carrier and CMV driver safety data, state and national crash statistics, current analysis results, and detailed motor carrier safety performance data is accurate which allows Federal and State enforcement officials to target high risk motor carriers, CMVs, and drivers for inspections and investigations.
FMCSA	Training, Education, & Outreach:	To educate and improve safety awareness	Ensure enforcement personnel are highly trained and educated and the motor carrier industry is informed and aware of safe CMV operations.
FMCSA	Research, Development, & Technology:	New and emerging safety technologies	To gain fundamental and applied knowledge in order to develop new methods and technologies to enhance CMV and CMV driver safety and security.

Quarterly Performance Measure:

DOT has selected NHTSA's FastFARS program as the Department's quarterly performance measure. The FastFARS program is designed as an Early Fatality Notification System to capture fatality counts from States more rapidly and in real-time. It aims to provide near real-time notification of fatality counts from all jurisdictions reporting to FARS by electronically transmitting the data. FastFARS provides month-to-month changes, reported quarterly, in fatalities and vehicle-miles-traveled (VMT). Its latest release was in January 2010 and included the first three quarters (January to September) of 2009. FastFARS results enable DOT to look at anomalies (Leap Year in 2008 – estimated that 95 fatalities occurred during this extra day in February 2008), changes in the environment (gas prices), and other possible external factors that may impact both fatalities and VMT. It can serve as a leading

indicator to whether the Department may or may not achieve or exceed its current Safety goal – the overall highway fatality rate – supported by NHTSA, FHWA, and FMCSA.

3. Implementation strategy overview

DOT, through NHTSA, FHWA, and FMCSA focuses on strategies to impact the people or human element, vehicles and equipment, and the transportation system/infrastructure. DOT is making significant strides in each respective mode, emphasizing the importance of risk-based, data, and technology driven approaches that recognize the diversity of safety challenges and complexity of this segment of the transportation industry.

People/Human Element = Issues involving the vehicle driver, pedestrian, bicyclist, motorcycle operator, truck or motorcoach driver.

Vehicle/Equipment = Issues involving the car, SUV, motorcycle, large truck, and/or motorcoach.

System/Infrastructure = Issues involving roads, highways, and bridges.

Strategies employed address: **PREVENTION** – Prevent or reduce the occurrence of highway safety-related crashes/incidents; **MITIGATION** – Mitigate the consequences when a crash/incident occurs by reducing the severity and increasing the survivability of the crash/incident; and **RESPONSE** – After an crash/incident occurs, employ rapid and appropriate emergency medical and other necessary responses and assess the situation for future prevention and mitigation solutions.

Tracking Success

The highway fatality rate is officially reported once a year. NHTSA, FHWA, and FMCSA have identified the following outputs and milestones that will lead to a further reduction in highway fatality rates and numbers.

- Quarterly assessment of progress on NHTSA’s distracted driving demonstration projects (NY and CT):
- Quarterly report on estimated penetration rates for electronic stability control;
- Utilization of Highway Safety Improvement Program obligated funds, FHWA (target is a 1 percent increase in utilization of funds by October 1, 2010)
- Safety Countermeasure Implementation Index, FHWA (target is an increase from a baseline of 66 to 70 by October 1, 2010, based on a 0-100 scale index).
- Milestones for implementing Comprehensive Safety Analysis (CSA) 2010
- The effect of the New Entrant Safety Assurance Rule, as demonstrated by:
 - Number of new carriers registered
 - Number of safety audits completed
 - Number of safety audits failures

- o Based on failures, number of, and monitoring of corrective action plans and carriers progress
- o Number of revocations of authority

4. Resources Required

The modal FY2011 budgets' to support DOT's Safety Strategic Objective are:

- FHWA - \$9.8 billion
- NHTSA - \$860.6 million
- FMCSA - \$527.5 million

For specific and detailed information on modal funding and strategies, please refer to each mode's Exhibit IV – Safety Strategic Goal.

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FY 2011

FMCSA

Performance Budget Estimates

SECTION 5

Research, Development
and Technology

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**FISCAL YEAR 2011 PERFORMANCE BUDGET
SUBMISSION TO THE COMMITTEES ON APPROPRIATIONS**

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Research, Development & Technology
Department of Transportation
Budget Authority
(in thousands of dollars)

	FY 2009 Actual	FY 2010 Enacted	FY 2011 Pres Budget	FY 2011 Applied	FY 2011 Development
Federal Motor Carrier Safety Administration	11,050	10,271	10,322	5,429	717
A. Produce Safer Drivers	3,875	2,776	4,915	1,625	340
1. Produce Safer Drivers	2,275	1,526	1,965	1,625	340
2. Produce Safer Drivers (T)	1,600	1,250	2,950	NA	NA
B. Improve Safety of Commercial Vehicles	1,375	1,700	775	225	0
1. Improve Safety of Commercial Vehicles	0	0	225	225	0
2. Improve Safety of Commercial Vehicles (T)	1,375	1,700	550	NA	NA
C. Produce Safer Carriers	1,275	700	750	750	0
1. Produce Safer Carriers	1,275	700	750	750	0
2. Produce Safer Carriers (T)	0	0	0	NA	NA
D. Advanced Safety Through Info-Based Initiatives	1,200	1,542	525	0	99
1. Advanced Safety Through Info-Based Initiatives	500	842	99	0	99
2. Advanced Safety Through Info-Based Initiatives (T)	700	700	426	NA	NA
E. Improve Security Through Safety Initiatives	275	0	0	0	0
1. Improve Security Through Safety Initiatives	0	0	0	0	0
2. Improve Security Through Safety Initiatives (T)	275	0	0	NA	NA
F. Enable and Motivate Internal Excellence	500	1,183	975	725	0
1. Enable and Motivate Internal Excellence	250	679	725	725	0
2. Enable and Motivate Internal Excellence (T)	250	504	250	NA	NA
G. Administrative Expenses	2,550	2,370	2,382	2,104	278
Subtotal, Research & Development	6,850	6,117	6,146	5,429	717
Subtotal, Technology Investment (T)	4,200	4,154	4,176	NA	NA
Subtotal, Facilities (F)	0	0	0	0	0
Total FMCSA	11,050	10,271	10,322	5,429	717

DEPARTMENT OF TRANSPORTATION
RESEARCH AND DEVELOPMENT
FY 2011 PRESIDENT'S BUDGET SUBMISSION
(IN MILLIONS OF DOLLARS)

<u>MODE</u>	<u>ACCOUNT</u>	<u>CHAR CODE</u>	<u>R&D TYPE</u>	<u>BUDGET AUTHORITY</u>			<u>OUTLAYS</u>		
				<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>	<u>FY 2009</u>	<u>FY 2010</u>	<u>FY 2011</u>
FMCSA	MOTOR CARRIER SAFETY	1422	APPLIED	5	4	5	5	4	5
	MOTOR CARRIER SAFETY	1432	DEV	4	3	4	4	3	4
	MOTOR CARR SFTY OPS & PROG	1422	APPLIED	0	0	0	0	0	0
	MOTOR CARR SFTY OPS & PROG	1432	DEV	0	0	0	0	0	0
	TOTAL FMCSA			9	7	9	9	7	9
NHTSA	OPERATIONS & RESEARCH	1422	APPLIED	0	0	0	0	0	0
	OPERATIONS & RESEARCH (TF)	1422	APPLIED	82	61	66	44	64	55
	TOTAL NHTSA			82	61	66	44	64	55

FMSCA				
Deborah A. Roberts				
Deborah.A.Roberts@dot.gov - Phone: (202) 366-0474				
Categories	No of FTEs	No of Contractors	Cost of Contractors (\$ in millions)	Total Cost (\$ in millions)
Financial Operations				
<i>Accounts Payable</i>	-	-	\$ -	\$ -
<i>Accounts Receivable</i>	-	-	\$ -	\$ -
<i>Disbursement</i>	-	-	\$ -	\$ -
<i>General Ledger</i>	-	-	\$ -	\$ -
<i>Intragovernmental</i>	-	-	\$ -	\$ -
<i>Travel</i>	1.00	1.00	\$ 126,477.92	\$ 99,813.00
Sub-total Financial Operations	1.00	1.00	\$ 126,477.92	\$ 99,813.00
Financial Reports	4.50	1.00	\$ 126,922.17	\$ 2,319,187.50
Accounting Policy	-	-	\$ -	\$ -
Internal Control	-	4.00	\$ 1,154,024.74	\$ -
Audit Support	-	-	\$ -	\$ -
Financial Systems	-	2.00	\$ 540,587.26	\$ -
Budget				
<i>Formulation</i>	1.50	0.50	\$ 26,162.40	\$ 1,373,000.00
<i>Execution</i>	1.50	0.50	\$ 26,162.40	\$ 1,373,000.00
Sub-total Budget	3.00	1.00	\$ 52,324.80	\$ 2,746,000.00
OIG for Financial Statements Audit	-	-	\$ -	\$ -
Cost Accounting/Performance Management	-	-	\$ -	\$ -
Grants Management	-	-	\$ -	\$ -
Other (UDO Clean Up)	-	6.00	\$ 1,057,758.50	\$ -
Total	8.50	15.00	\$ 3,058,095.39	\$ 5,165,000.50

Is the CFO responsible for handling the budget functions? (Yes/No)

Yes

Federal Financial Management Shared Service Provider Information:

Do you use a Federal financial management shared service provider (SSP)? (Yes/No)

Yes

If yes, what services? (Hosting, Application Support, Transaction Processing)

FAA-ESC \$2,580,022.20

Annual amount paid to Federal Financial Management SSP for support

\$ -

Comments:

Exhibit 53 FY2011	
FMCSA009: FMCSA Modernization Project	
I. General Information	
I.1. Investment Name	FMCSA009: FMCSA Modernization Project
I.2. Investment Description Description: The description should explain the entry item, its components, and what program(s) it supports. If the investment is part of a multi-agency initiative or part of another business case, please provide a description of where that business case is located in the appropriate agency budget submission. The description must be less than 256 characters, and must end in a period.	FMCSA's IT Modernization program (COMPASS), aligns business processes with new technology solutions, based on the EA transition strategy, and results in closing performance gaps by providing mission-critical information for customers.
I.3. Federal Agency Code Description: The federal agency code, WorkLenz auto-answered	021
I.4. Bureau Code Description: The bureau code, WorkLenz auto-answered	17
I.5. Part # of Exhibit 53 Description: The Exhibit 53 part number determines which section the investment should be listed in the report. Refer to the OMB publication A-11 section 53.9 for guidance.	01 - IT investments for Mission Area Support
I.6. Mission Area Description: Report each mission area in which IT investments are funded. This information should map directly to your agency's strategic and annual performance plan. For IT investments that cover more than one agency, report in the mission area with oversight of the IT investment. Mission area 01 is reserved for your "financial management" IT investments.	14 - Mission Support Systems
I.7. Type of Investment Description: For definitions of Major versus Non-Major IT investments, please refer to the OMB publication A-11 section 53.4. Joint effort investments are shared with other federal departments where the business case is reported by the other department.	01 - Major IT Investment
I.8. Investment Identifier Description: Enter your agency's four digit numeric identifier for this investment. (XXXX)	1280
I.9. Investment Category of the investment reported. Description: Identify the investment category of the investment you are reporting. Select one of the following two digit codes according to what you report on the title line: 00 - Total investment title line, or the first time the agency is reporting this particular investment. 24 - PMC E-Gov initiatives or an individual agency's participation in one of the PMC E-Gov initiatives.	00
II. Primary FEA Mapping	
II.1. Line of Business Description: Select a Line of Business from the FEA Business Reference Model. Note: The BRM Mode of Delivery lines of business (200-level codes) are not valid for Primary FEA Mappings.	118 - Transportation
II.2. Sub-Function Description: Select the primary Sub-Function under the FEA Business Reference Model. Note: The BRM Mode of Delivery sub-functions are not valid for Primary FEA Mappings.	061 - Ground Transportation
III. Unique Project Identifier	
III.1. 2011 Unique Project Identifier (UPI) Description: WorkLenz auto-answered. Will be in format XXX-XX-0[1-6]-XX-0[1-4]-XXXX-(00[24]). This is the aggregate of answers from questions I.3, I.4, I.5, I.6, I.7, I.8, I.9.	021-17-01-14-01-1280-00
III.2. 2010 Unique Project Identifier (UPI) Description: The 2010 UPI for this investment, user entered, must be in the format XXX-XX-0[1-6]-XX-0[1-4]-XXXX-(00[04]07[09]24[55]). If this is a new investment, leave field blank.	021-17-01-14-01-1280-00
IV. Financial and Security	
IV.1. Homeland Security Priority Identifier Description: Select all identifiers that apply. To highlight more than one option, hold down the Ctrl key while selecting options. To de-select an option that is already selected, hold down the Ctrl key and click on that option.	2 - Border and Transportation Security

IV.2. Homeland Security Presidential Directive 12 (HSPD-12) Description: Enter the amount of this investment's PY2009 funding associated with the agency's HSPD-12 implementation. Enter all costs in millions (X.XXX). For example, \$1,250,000 should be entered as 1.250.	\$0.267
IV.3. Core Financial System (%) Description: Enter an estimated percentage of the total IT investment budget authority associated with the core financial system. It must be entered as a number between 0 and 100. (Ex. 50% is entered as 50).	0
IV.4. Segment Architecture Description: Segment Architecture represents the agency segment architecture the investment supports. The segment is identified by a unique code predetermined by the agency and the FEA PMO. The segment architecture code is a six digit code (XXX-XXX) coordinated and maintained by the agency Chief Architect and the FEA PMO. The six digit segment code must match one of the registered agency segment codes or the submission will not be accepted. If new segments are established or revised, agencies are required to coordinate the numbering sequence with the FEA PMO office for approval. This is required for all investments. The agency Chief Architect should review the agency's portfolio to ensure accurate investment to segment architecture alignment. For detailed guidance regarding segment architecture codes, please refer to http://www.egov.gov .	104-000

V. Life Cycle Cost Reporting

V.1. Life Cycle Costs Table

Description: The OMB MAX account number must be in the format (XXX-XX-XXXX-X). Enter all costs in millions (X.XXX). For example, \$1,250,000 should be entered as 1.250. Intra-Govs Collections should be entered as a negative amount. For example, a collection of \$1,250,000 should be entered as -1.250.

Funding Source	MAX Account ID Code	Category	2008 and Earlier	PY - 2009	CY - 2010	BY - 2011	2012	2013	2014	2015 and Beyond	Total
FMCSA - Motor Carrier Safety Operations and Programs	021-17-8159-0	Planning	\$13.331	\$4.400	\$4.500	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$22.231
FMCSA - Motor Carrier Safety Operations and Programs	021-17-8159-0	Acquisition	\$25.932	\$7.500	\$7.800	\$18.852	\$23.700	\$24.700	\$24.200	\$44.814	\$177.498
FMCSA - Motor Carrier Safety Operations and Programs	021-17-8159-0	Operations & Maintenance	\$39.650	\$8.300	\$8.400	\$9.000	\$9.300	\$9.300	\$9.300	\$50.100	\$143.350
FMCSA - Motor Carrier Safety Operations and Programs	021-17-8159-0	D/M/E - Government Personnel	\$7.283	\$2.389	\$2.447	\$3.265	\$3.343	\$3.423	\$3.505	\$14.792	\$40.447
FMCSA - Motor Carrier Safety Operations and Programs	021-17-8159-0	SS - Government Personnel	\$5.164	\$1.634	\$1.673	\$1.713	\$1.754	\$1.796	\$1.839	\$7.807	\$23.380

V.2. Number of FTEs

Description: The Number of FTEs table must be used if reporting any Personnel costs via Life Cycle Costs Table. The number must be entered as an integer.

	2008 and Earlier	2009	2010	2011	2012	2013	2014	2015 and Beyond
D/M/E - Number of FTEs	52	17	17	22	22	22	22	88
SS - Number of FTEs	61	19	19	19	19	19	19	76

Exhibit 300 FY2011	
FMCSA009: FMCSA Modernization Project	
Part I: Summary Information And Justification (All Capital Assets)	
Description: In Part I, complete Sections A, B, C, and D for all capital assets (IT and non-IT). Complete Sections E and F for IT capital assets.	
I.A. Overview (All Capital Assets)	
Description: The following series of questions are to be completed for all investments.	
I.A.1. Date of Submission:	2010-01-08
I.A.2. Agency:	021
I.A.3. Bureau:	17
I.A.4. Name of this Investment: Description: (Up to 250 characters)	FMCSA009: FMCSA Modernization Project
I.A.5. Unique Project (Investment) Identifier: Description: For IT investment only, see section 53.9. For all other, use agency ID system.	021-17-01-14-01-1280-00
I.A.6. What kind of investment will this be in FY2011? Description: Please NOTE: Investments moving to O&M in FY2011, with Planning/Acquisition activities prior to FY2011 should not select O&M. These investments should indicate their current status.	Mixed Life Cycle
I.A.7. What was the first budget year this investment was submitted to OMB?	FY2006
I.A.8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap; this description may include links to relevant information which should include relevant GAO reports, and links to relevant findings of independent audits. Description: (Up to 2500 characters)	
The FMCSA Modernization Project (also known as COMPASS) is aligned with FMCSA's mission of saving lives and making America's roads safer by providing more efficient access to safety information on behalf of FMCSA, state partners, and customers, and developing new tools for streamlining and enhancing enforcement processes. The current application architecture severely restricts FMCSA's service delivery due to a lack of flexibility, adaptability, data accessibility, and ease of use, which makes it challenging to meet customers' business needs. In response to these challenges, FMCSA has elected to invest in a new, highly integrated and flexible systems architecture. Through this investment, FMCSA plans to improve high-risk carrier data formulation, improve services delivered by its systems application suite, and improve key IT portfolio and related management practices. Ultimately, FMCSA expects this investment to result in substantial improvement in the efficiency and effectiveness of Field safety operations. Enforcement Staff for example, will be able to conduct roadside and border safety inspections, safety audits, and compliance reviews more efficiently thanks to the integration of the applications and improved data quality. The new workflow and rule engine capabilities will allow Enforcement Staff to automatically monitor commercial vehicle activities to determine if action is required and then trigger processes for suspending or revoking registration or operating authority, when necessary. FMCSA customers will also see a significant improvement in their ability to access information and synthesize data, and FMCSA will be able to maintain its ongoing IT costs based on industry standards.	
I.A.8.a. Enter dates for approved rebaselining, alternative analysis, and risk management plan and risk register information. Description: Provide here the date of any approved rebaselining within the past year, the date for the most recent (or planned) alternatives analysis for this investment, and whether this investment has a risk management plan and risk register. (Up to 500 characters)	
This investment has not been rebaselined within the past year. The most recent alternatives analysis was completed on 1/4/2010; it shows that the alternative being followed since the investment was first submitted remains the preferable alternative. The FMCSA IT Risk Management Plan was updated on 7/15/2009. A risk register is maintained and reviewed bi-weekly by the Modernization Program Management Office (PMO).	
I.A.9. Did the Agency's Executive/Investment Committee approve this request?	yes
I.A.9.a. If "yes," what was the date of this approval?	2009-08-11
I.A.10. Contact information of Program/Project Manager	
I.A.10.a. Name: Description: (Up to 250 characters)	Coady, Brian
I.A.10.b. Phone Number: Description: (Up to 250 characters)	202-366-4666
I.A.10.c. E-mail: Description: (Up to 250 characters)	brian.coady@dot.gov
I.A.11. What project management qualifications does the Project Manager have? (per FAC-P/PM)?	Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.
I.A.12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):	
I.A.12.a. Financial Management System Table	
I.A.12.b. If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses	

I.B. Summary of Funding (Budget Authority for Capital Assets)

I.B.1. Summary of Funding Table

Description: Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. Funding for all costs associated with the entire life-cycle of the investment should be included in this report. Funding levels should be shown for budget authority by year consistent with funding levels in Exhibit 53. The Summary of Funding table shall include the amounts allocated to the investment from, and should be directly tied to, the Fiscal Year Budget. This includes direct appropriations (discretionary or mandatory accounts), user fees, and approved self-funding activities and will provide the actual annual "budget" for the investment. This "budget" will be a subset of the congressionally approved budget for each fiscal year. This will provide Departments/Agencies and OMB useful information on the actual Fiscal Year dollars being asked for and spent on an investment.

NOTE: For the multi-agency investments, this table should include all funding (both managing partner and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.

I.B.1.a. Summary of Spending for Project Phases (Reported in Millions)

	PY-1 and earlier	PY 2009	CY 2010	BY 2011	BY+1 2012	BY+2 2013	BY+3 2014	BY+4 2015 and beyond	Total
Planning	\$13.331	\$4.400	\$4.500	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$22.231
Acquisition	\$25.932	\$7.500	\$7.800	\$18.852	\$23.700	\$24.700	\$24.200	\$44.814	\$177.498
Subtotal Planning and Acquisition	\$39.263	\$11.900	\$12.300	\$18.852	\$23.700	\$24.700	\$24.200	\$44.814	\$199.729
Operations and Maintenance	\$39.650	\$8.300	\$8.400	\$9.000	\$9.300	\$9.300	\$9.300	\$50.100	\$143.350
Disposition Costs (Optional)	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
SUBTOTAL	\$78.913	\$20.200	\$20.700	\$27.852	\$33.000	\$34.000	\$33.500	\$94.914	\$343.079
Government FTE Costs	\$12.447	\$4.023	\$4.120	\$4.978	\$5.097	\$5.219	\$5.344	\$22.599	\$63.827
TOTAL	\$91.360	\$24.223	\$24.820	\$32.830	\$38.097	\$39.219	\$38.844	\$117.513	\$406.906

I.B.1.b. Summary of Spending for Project Phases (Government FTE Costs Only)

	PY-1 and earlier	PY 2009	CY 2010	BY 2011	BY+1 2012	BY+2 2013	BY+3 2014	BY+4 2015 and beyond	Total
Number of FTE represented by Costs	113	36	36	41	41	41	41	164	513

I.B.2. If the summary of funding has changed from the FY2010 President's budget request, briefly explain those changes:

Description: (Up to 2500 characters)

Additional funding is included in 2011. FMCSA will use these resources to accelerate the COMPASS initiative. COMPASS will incorporate the numerous regulatory and data system requirements that directly support new agency safety initiatives. Without the additional funding, FMCSA may not meet the growing field operations requirements associated with enforcement, inspection and crash reporting. As operations and maintenance costs associated with current legacy systems continue to escalate, planned enhancements cannot be met under the current budget. Accelerating COMPASS will allow FMCSA to meet planned mission critical needs and the retirement of functionality associated with several legacy systems and prepare for cost-effective implementation of new business requirements.

I.C. Acquisition/Contract Strategy (All Capital Assets).

I.C.1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.

Description: Alternative Financing Options Abbreviations: ESPC - Energy savings performance contract; UESC - Utility energy efficiency service contract; EUL - Enhanced use lease contract; N/A - no alternative financing used.

Character Limitations: Contract or Task Order Number - 250 Characters; Type of Contract/Task Order - 250 Characters;

Contract or Task Order Number	Type of Contract/Task Order (In accordance with FAR Part 16)	Has the contract been awarded? (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (\$M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used?	Is EVM in the contract? (Y/N)
Volpe COMPASS Support GWA-SA-93	InterAgency Agreement	yes	2009-10-01	2009-10-01	2010-09-30	\$0.930	no	yes	yes	NA	yes
Volpe PPA-43 - Tech Support, HMPPIP GWA-SA-43	InterAgency Agreement	yes	2009-10-01	2009-10-01	2010-09-30	\$2.200	no	yes	yes	NA	yes
Volpe PPA-03 - Infrastructure GWA-SA-03	InterAgency Agreement	yes	2009-10-01	2009-10-01	2010-09-30	\$2.800	no	yes	yes	NA	yes
Volpe PPA-0G - Application Programming GWA-SA-OG	InterAgency Agreement	yes	2009-01-01	2009-01-01	2010-12-31	\$13.225	no	yes	yes	NA	yes
Volpe PPA-99 - Field Systems Maintenance GWA-SA-99	InterAgency Agreement	yes	2009-08-07	2009-08-10	2010-09-30	\$2.160	no	yes	yes	NA	yes
Department of the Interior/Gov Works SAIC DTMC-75-08-x-00011	InterAgency Agreement	yes	2005-09-19	2005-10-01	2010-09-30	\$50.700	yes	yes	yes	NA	yes
Wyle CIO Support DTMC-75-07-F-00009	Time and Materials/Labor Hour	yes	2006-12-18	2006-12-18	2011-12-17	\$47.200	no	yes	yes	NA	yes
Avalon IT Security DTMC-75-07-F-00014	Firm Fixed Price	yes	2007-01-16	2007-01-16	2012-01-05	\$5.680	no	yes	yes	NA	yes
NIC Technologies PSP - DTMC75-09-C-00026	Firm Fixed Price	yes	2009-09-17	2009-09-17	2014-09-16	\$0.000	no	no	yes	NA	no
Future Volpe TSC DM&E and O&M contracts	InterAgency Agreement	no	2010-09-30	2010-10-01	2018-09-30	\$92.250	yes	yes	yes	NA	yes
Follow-on to SAIC Systems Integration Contract	InterAgency Agreement	no	2010-09-30	2010-10-01	2015-09-30	\$40.000	yes	yes	yes	NA	yes
Follow-on to Wyle CIO Support Contract	Time and Materials/Labor Hour	no	2011-12-16	2011-12-17	2016-12-16	\$39.000	no	yes	yes	NA	yes
Follow-on to Avalon IT Security Contract	Firm Fixed Price	no	2012-01-05	2012-01-06	2017-01-05	\$6.400	no	yes	yes	NA	yes
I.C.2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:. Description: (Up to 2500 characters).											
I.C.3. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements?							yes				

I.C.3.a. If "yes," what is the date?

2009-08-11

I.D. Performance Information (All Capital Assets)**I.D.1. Performance Information Table.**

Description: In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan and the relevant Agency Segment Architecture. The investment must discuss its performance measures in support of the agency's mission and strategic goals as outlined in the corresponding Segment Architecture. Performance measures (indicators) must be provided. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as "significant," "better," "improved," that do not have a quantitative measure.

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at <http://www.whitehouse.gov/omb/e-gov/>. The table can be extended to include performance measures for years beyond the next President's Budget.

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2006	Safety	Customer Results	Access	Customer score of ability to accomplish the desired service via the website	Average for Q1 of FY 2006 is 7.0 out of 10	5% improvement	Average for Q4 FY 2006 is 7.2, a 3% increase
2006	Safety	Customer Results	Access	Satisfaction score for the usefulness of information in enabling customers to make better decisions	?Average for Q1 of FY 2006 is 8.2 out of 10	?3% improvement in satisfaction	?Average for FY 2006 is 8.1, a decrease
2006	Safety	Mission and Business Results	Ground Transportation	Fatalities involving large trucks and buses per 100 million vehicle miles traveled	The rate for FY2005 was 0.185 fatalities per 100 million total vehicle miles traveled (VMT).	The target is 0.179 per 100 million VMT	Actual rate for FY 2006 is 0.176 per 100 million VMT
2006	Safety	Mission and Business Results	Ground Transportation	Number of serious hazardous materials incidents involving large trucks	Reduced from 574 (actual) in FY2000 to 528 (actual) in FY2005.	Planned reduction of hazardous materials incidents to 470 in FY2006	Actual number for FY 2006 is 401
2006	Safety	Processes and Activities	Compliance	Average time an issue is open	36.3 days	5% reduction	FY 2006 the average was 50.3 days; high priority issues were closed in an average of 26 days
2006	Safety	Processes and Activities	Efficiency	Number of compliance reviews (Federal)	In FY 2005, there were 7,978 compliance reviews conducted	10000	FY 2006 total was 9,718 Federal compliance reviews, a 22% increase
2006	Safety	Technology	Data Reliability and Quality	Percentage of FMCSA reported crash data matched to a carrier	In FY 2005 the percentage matched was 88%	4% improvement	For FY 2006, the percentage matched was 93%, a 5% improvement
2007	Safety	Customer Results	Integration	Number of systems that require an independent sign on not automatically provided by the COMPASS portal	In FY 2006, 21 systems required independent sign on	Target is 17 systems out of 21	For FY2007, 17 of 21 systems required independent sign on
2007	Safety	Mission and Business Results	Ground Transportation	Number of serious hazardous materials incidents involving large trucks	Actual rate is 528 in FY2005.	Target is 466 hazardous materials incidents in FY2007	Actual number for FY 2007 is 382
2007	Safety	Mission and Business Results	Ground Transportation	Fatalities involving large trucks and buses per 100 million vehicle miles traveled	Actual rate for FY 2006 is 0.176	FY2007 target rate is 0.175	Actual rate for FY 2007 is 0.168 per 100 million VMT
2007	Safety	Processes and Activities	Security	Average time to resolve a security risk identified in the vulnerability scan	FY 2007 is baseline: Average is 120 hours	Target is 72 hours	FY 2007 average is 120 hours
2007	Safety	Technology	Data Standardization or	Percentage of technical coverage	Formal definition begun in FY 2007	Target level of coverage for FY	Coverage for FY 2007 is 7%

			Tagging	of business concepts	as part of COMPASS. Baseline is 0% coverage.	2007 is 7%	
2008	Safety	Customer Results	Customer Satisfaction	Satisfaction score from Federal system users	Baseline is under development using newly approved survey	3.75 out of 5.00	3.75 out of 5.00
2008	Safety	Customer Results	Integration	Number of systems that require an independent sign on not automatically provided by the COMPASS portal	For FY2007, 7 of 11 systems required independent sign on	Target for FY 2008 is 2 systems	7 of 11 systems required independent sign on
2008	Safety	Mission and Business Results	Ground Transportation	Fatalities involving large trucks and buses per 100 million vehicle miles traveled	Actual rate for FY 2006 is 0.176	FY2008 target rate is 0.171	Preliminary rate for CY2008 is 0.155 (subject to change)
2008	Safety	Processes and Activities	Security	Average time to resolve high vulnerabilities	FY 2007 average is 120 hours	Target is 72 hours	FY 2008 average is 120 hours
2008	Safety	Technology	Data Standardization or Tagging	Percentage of technical coverage of business concepts	Coverage for FY 2007 is 7%	Target level of coverage is 14% for FY 2008	Coverage for FY 2008 is 7%
2009	Safety	Customer Results	Customer Satisfaction	Satisfaction score from Federal system users	Baseline is 3.75 out of 5.00	Target is 3.80	3.85 out of 5.00
2009	Safety	Customer Results	Integration	Number of systems that require an independent sign on not automatically provided by the COMPASS portal	For FY 2008, 17 of 21 systems required independent sign on	Target for FY 2009 is 0 systems	In FY2009, zero systems require independent sign-on; all 11 systems are available via the COMPASS portal
2009	Safety	Mission and Business Results	Ground Transportation	Fatalities involving large trucks and buses per 100 million vehicle miles traveled	Actual rate for CY 2007 is 0.168	CY2009 target rate is 0.167	TBD in October 2010
2009	Safety	Processes and Activities	Security	Average time to resolve high vulnerabilities	FY 2008 average is 120 hours	Target is 72 hours	TBD in October 2009
2009	Safety	Technology	Availability	Percent of time systems are available	Baseline is 99.5%	Target is 99.7%	TBD in October 2009
2010	Safety	Customer Results	Customer Satisfaction	Satisfaction score from Federal system users	Baseline is 3.85 out of 5.00	Target is 3.85	TBD in October 2010
2010	Safety	Customer Results	Integration	Total number of existing systems replaced by investment	Zero of 19 systems retired	Target for FY 2010 is 6 systems	TBD in October 2010
2010	Safety	Mission and Business Results	Ground Transportation	Fatalities involving large trucks and buses per 100 million vehicle miles traveled	Baseline will be determined based on prior year's performance	CY2010 target rate is 0.164	TBD in October 2011
2010	Safety	Processes and Activities	Security	Average time to resolve high vulnerabilities	Baseline will be determined based on prior year's performance	Target for high vulnerabilities is 48 hours	TBD in October 2010
2010	Safety	Technology	Availability	Percent of time systems are available	Baseline will be determined based on prior year's performance	FY2010 target is 99.7%	TBD in October 2010
2011	Safety	Customer Results	Customer Satisfaction	Satisfaction score from Federal system users	Baseline will be determined based on prior year's performance	Target is 3.90	TBD in October 2011
2011	Safety	Customer Results	Integration	Total number of existing systems replaced by investment	Baseline will be determined based on prior year's performance	Target in FY2011 is 7 systems	TBD in October 2011
2011	Safety	Mission and Business Results	Ground Transportation	Fatalities involving large trucks and buses per 100 million vehicle	Baseline will be determined based on prior year's performance	CY2011 target rate is 0.160	TBD in October 2012

				miles traveled			
2011	Safety	Processes and Activities	Security	Average time to resolve high vulnerabilities	Baseline will be determined based on prior year's performance	Target for high vulnerabilities is 48 hours	TBD in October 2011
2011	Safety	Technology	Availability	Percent of time systems are available	Baseline will be determined based on prior year's performance	Target is 99.7%	TBD in October 2011
2012	Safety	Customer Results	Customer Satisfaction	Satisfaction score from Federal system users	Baseline will be determined based on prior year's performance	Target is 3.95	TBD in October 2012
2012	Safety	Customer Results	Integration	Total number of existing systems replaced by investment	Baseline will be determined based on prior year's performance	Target in FY2012 is 12 systems	TBD in October 2012
2012	Safety	Mission and Business Results	Ground Transportation	Fatalities involving large trucks and buses per 100 million vehicle miles traveled	Baseline will be determined based on prior year's performance	CY2012 target rate is 0.157	TBD in October 2013
2012	Safety	Processes and Activities	Security	Average time to resolve high vulnerabilities	Baseline will be determined based on prior year's performance	Target for high vulnerabilities is 48 hours	TBD in October 2012
2012	Safety	Technology	Availability	Percent of time systems are available	Baseline will be determined based on prior year's performance	Target is 99.7%	TBD in October 2012
2013	Safety	Customer Results	Customer Satisfaction	Satisfaction score from Federal system users	Baseline will be determined based on prior year's performance	Target is 4.00	TBD in October 2013
2013	Safety	Customer Results	Integration	Total number of existing systems replaced by investment	Baseline will be determined based on prior year's performance	Target for FY2013 is 15 systems	TBD in October 2013
2013	Safety	Mission and Business Results	Ground Transportation	Fatalities involving large trucks and buses per 100 million vehicle miles traveled	Baseline will be determined based on prior year's performance	CY2013 target rate is 0.154	TBD in October 2014
2013	Safety	Processes and Activities	Security	Average time to resolve high vulnerabilities	Baseline will be determined based on prior year's performance	Target for high vulnerabilities is 48 hours	TBD in October 2013
2013	Safety	Technology	Availability	Percent of time systems are available	Baseline will be determined based on prior year's performance	Target is 99.7%	TBD in October 2013
2014	Safety	Customer Results	Customer Satisfaction	Satisfaction score from Federal system users	Baseline will be determined based on prior year's performance	Target is 4.00	TBD in October 2014
2014	Safety	Customer Results	Integration	Total number of existing systems replaced by investment	Baseline will be determined based on prior year's performance	Target for FY2014 is 18 systems	TBD in October 2014
2014	Safety	Mission and Business Results	Ground Transportation	Fatalities involving large trucks and buses per 100 million vehicle miles traveled	Baseline will be determined based on prior year's performance	CY2014 target rate is 0.151	TBD in October 2015
2014	Safety	Processes and Activities	Security	Average time to resolve high vulnerabilities	Baseline will be determined based on prior year's performance	Target for high vulnerabilities is 48 hours	TBD in October 2014
2014	Safety	Technology	Availability	Percent of time systems are available	Baseline will be determined based on prior year's performance	Target is 99.7%	TBD in October 2014
2015	Safety	Customer Results	Customer Satisfaction	Satisfaction score from Federal system users	Baseline will be determined based on prior year's performance	Target is 4.00	TBD in October 2015
2015	Safety	Customer Results	Integration	Total number of existing systems replaced by investment	Baseline will be determined based on prior year's performance	Target for FY2015 is 19 systems	TBD in October 2015

2015	Safety	Mission and Business Results	Ground Transportation	Fatalities involving large trucks and buses per 100 million vehicle miles traveled	Baseline will be determined based on prior year's performance	CY2015 target rate is 0.151	TBD in October 2016
2015	Safety	Processes and Activities	Security	Average time to resolve high vulnerabilities	Baseline will be determined based on prior year's performance	Target for high vulnerabilities is 48 hours	TBD in October 2015
2015	Safety	Technology	Availability	Percent of time systems are available	Baseline will be determined based on prior year's performance	Target is 99.7%	TBD in October 2015

I.E. Security (IT Capital Assets)

Description: For IT investments, agencies should maintain up-to-date tracking of which systems in the FISMA inventory support any IT investment. Linking major IT investments to FISMA systems will be addressed outside the context of the A-11 budget submission of the Exhibit 300.

I.F. Enterprise Architecture (EA) (IT Capital Assets only)

Description: In order to successfully address this area of the capital asset plan and business case, the investment must be included in the agency's EA and Capital Planning and Investment Control (CPIC) process and mapped to and supporting the FEA. The business case must demonstrate the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

Have the requisite investment-level architecture documentation requirements (e.g., reference model mappings, FTF mappings, etc.) for this investment been documented in the corresponding Segment Architecture? For detailed guidance regarding segment architecture requirements, please refer to <http://www.whitehouse.gov/omb/e-gov/>. See this guidance also regarding the reporting of six digit codes corresponding to agency segment architectures in Exhibit 53, and, for limited cases determined by the Chief Architect, reporting an investment alignment with multiple segments.

I.F.1. Is this investment included in your agency's target enterprise architecture? ☒ yes

Part II: Planning, Acquisition and Performance Information

Description: Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life Cycle" investments in response to Question 6, Part I, Section A above.

II.A. Cost and Schedule Performance (All Capital Assets)

Description: Agencies should be measuring the performance of operational assets against the baseline established during the planning or full acquisition phase (i.e., operational analysis), or, where approved, the current baseline, and be properly operating and maintaining the asset to maximize its useful life. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements.

EVM is required only on Planning or Acquisitions portions of investments. For mixed lifecycle investments, O&M milestones should still be included in the cost and schedule performance table. This table should accurately reflect the milestones in the initial baseline or approved current baseline.

For investments including Planning or Acquisitions spending, complete the following table on milestones used to measure cost and schedule performance, representing only one level of the investment's Work Breakdown Structure. This should generally show Level 3 of the Work Breakdown Structure. For activities related to Operations and Maintenance included in Mixed Life Cycle investments, provide milestones used to track cost and schedule performance in the same format used for development activities milestones in this same table.

II.A.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description: Complete the following table to compare actual performance against the current performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/"04/28/2004"), baseline and actual start dates, and the baseline and actual total costs (in \$ Millions). Note that the 'Description of Milestone' and 'Percent Completed'-both Planned and Actual-fields are required.

WBS Level	Description of Milestone	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date (yyyy-mm-dd)	Actual Start Date (yyyy-mm-dd)	Planned Completion Date (yyyy-mm-dd)	Actual Completion Date (yyyy-mm-dd)	Planned Percent Complete	Actual Percent Complete
01.00	DM&E - COMPASS Architecture and Foundation	\$16.800	\$16.800	2005-10-01	2005-10-01	2006-09-30	2006-09-30	100.00	100.00
01.00	O&M - FMCSA Systems (FY06)	\$14.700	\$14.700	2005-10-01	2005-10-01	2006-09-30	2006-09-30	100.00	100.00
01.00	DM&E - COMPASS Release 1 (Portal Access)	\$10.800	\$10.646	2006-10-01	2006-10-01	2007-09-30	2007-09-30	100.00	100.00
01.00	O&M - FMCSA Systems (FY07)	\$17.000	\$16.900	2006-10-01	2006-10-01	2007-09-30	2007-09-30	100.00	100.00
01.00	DM&E -	\$11.663	\$11.929	2007-10-01	2007-10-01	2008-09-30	2009-09-30	100.00	100.00

	COMPASS Release 2 (SSO)								
01.00	O&M - FMCSA Systems (FY08)	\$7.950	\$8.674	2007-10-01	2007-10-01	2008-09-30	2008-12-31	100.00	100.00
01.00	DM&E - COMPASS Release 3A (New Entrant)	\$12.940	\$8.528	2008-10-01	2008-09-15	2009-09-30		94.74	78.69
01.00	O&M - FMCSA Systems (FY09)	\$8.300	\$5.398	2008-10-01	2009-01-01	2009-09-30	2009-10-31	100.00	100.00
01.00	DM&E - COMPASS Release 3B (CSA2010 and Registration)	\$13.300	\$4.682	2009-10-01	2009-08-05	2010-09-30		28.87	24.80
01.00	O&M - FMCSA Systems (FY10)	\$8.400	\$1.454	2009-10-01	2009-08-01	2010-09-30		16.67	16.67
01.00	DM&E - COMPASS Release 4 (Enforcement)	\$19.500		2010-10-01		2011-09-30		0.00	0.00
01.00	O&M - FMCSA Systems (FY11)	\$11.200	\$0.000	2010-10-01		2011-09-30		0.00	0.00
01.00	DM&E - COMPASS Release 5 (Crash)	\$22.800		2011-10-01		2012-09-30		0.00	0.00
01.00	O&M - FMCSA Systems (FY12)	\$11.200	\$0.000	2011-10-01		2012-09-30		0.00	0.00
01.00	DM&E - COMPASS Release 6 (Data Warehouse)	\$22.800		2012-10-01		2013-09-30		0.00	0.00
01.00	O&M - FMCSA Systems (FY13)	\$11.200	\$0.000	2012-10-01		2013-09-30		0.00	0.00
01.00	DM&E - COMPASS Release 7 (Data Exchange)	\$21.800		2013-10-01		2014-09-30		0.00	0.00
01.00	O&M - FMCSA Systems (FY14)	\$11.200	\$0.000	2013-10-01		2014-09-30		0.00	0.00
01.00	DM&E - COMPASS Release 8 (Customer Relationship Management)	\$13.800		2014-10-01		2015-09-30		0.00	0.00
01.00	O&M - FMCSA Systems (FY15)	\$11.200	\$0.000	2014-10-01		2015-09-30		0.00	0.00
01.00	DM&E - COMPASS Release 9 (Inspect HM Shipments)	\$13.800		2015-10-01		2016-09-30		0.00	0.00
01.00	O&M - FMCSA Systems (FY16)	\$11.200	\$0.000	2015-10-01		2016-09-30		0.00	0.00
01.00	Future Acquisition (FY17 & Beyond)	\$17.126		2016-10-01		2018-09-30		0.00	0.00
01.00	Future O and M (FY17 & Beyond)	\$22.400	\$0.000	2016-10-01		2018-09-30		0.00	0.00

Part III: For "Operation and Maintenance" Investments ONLY (Steady State)

Description: Part III should be completed only for investments identified as "Operations and Maintenance" (Steady State) in response to Question 6 in Part I, Section A above.

III.A. Cost and Schedule Performance

Description: For investments classified as Operations and Maintenance investments, complete the following table on milestones used to measure cost and schedule performance, representing only one level of the investment's Work Breakdown Structure. This should generally show Level 3 of the Work Breakdown Structure.

III.A.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description: Complete the following table to compare actual performance against the current performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004"), baseline and actual start dates, and the baseline and actual total costs (in \$ Millions). Note that the 'Description of Milestone' and 'Percent Completed'-both Planned and Actual-fields are required.

Part IV: Planning for "Multi-Agency Collaboration" ONLY

Description: Part IV should be completed only for investments identified as an E-Gov initiative, a Line of Business (LOB) Initiative, or a Multi-Agency Collaboration effort. The "Multi-Agency Collaboration" choice should be selected in response to Question 6 in Part I, Section A above. Investments identified as "Multi-Agency Collaboration" will complete only Parts I and IV of the exhibit 300.

IV.A. Multi-Agency Collaboration Oversight (All Capital Assets)

Description: Multi-agency Collaborations, such as E-Gov and LOB initiatives, should develop a joint exhibit 300.

IV.A.1. Stakeholder Table

Description: As a joint exhibit 300, please identify all the agency stakeholders (all participating agencies, this should not be limited to agencies with financial commitment). All agency stakeholders should be listed regardless of approval. If the partner agency has approved this joint exhibit 300 please provide the date of approval.

IV.A.2. Partner Capital Assets within this Investment

Description: Provide the partnering strategies you are implementing with the participating agencies and organizations. Identify all partner agency capital assets (including shared service providers) supporting the common solution (section 300.7); Managing Partner capital assets should also be included in this joint exhibit 300. These capital assets should be included in the Summary of Spending table of Part I, Section B. All partner agency migration investments should also be included in this table. Funding contributions/fee-for-service transfers should not be included in this table. (Partner Agency UPIs should also appear on the Partner Agency's exhibit 53.)

IV.A.3. Partner Funding Strategies (\$millions)

Description: For jointly funded initiative activities, provide in the "Partner Funding Strategies Table": the name(s) of partner agencies; the UPI of the partner agency investments; and the partner agency contributions for CY and BY. Please indicate partner contribution amounts (in-kind contributions should also be included in this amount) and fee-for-service amounts. (Partner Agency Asset UPIs should also appear on the Partner Agency's exhibit 53. All fee-for-service reimbursements for Shared Service Providers should be included in this table. For non-IT fee-for-service amounts the Partner exhibit 53 UPI can be left blank) (IT migration investments should not be included in this table)

IV.A.4. Did you conduct an alternatives analysis for this investment?

Description: An Alternatives Analysis for multi-agency collaborations should also be performed. This should be available upon request. Use OMB Circular A-94 for all investments and the Clinger Cohen Act of 1996 for IT investments to determine the criteria you should use in your Benefit/Cost Analysis.

IV.A.4.a. If "yes," what is the date the analysis was completed?

IV.A.4.b. If "no," what is the anticipated date this analysis will be completed?

IV.A.4.c. If no analysis is planned, please briefly explain why: Description: (Up to 500 characters)

IV.A.5. Does this investment replace any legacy systems investments?

Description: Disposition costs (costs of retirement of legacy systems) may be included as a category in Part I, Section B, Summary of Funding, or in separate investments, classified as major or non-major. For legacy system investments being replaced by this investment, include the following data on these legacy investments.

IV.A.6. For Multi-Agency Investments, Cost and Schedule Milestone table should be completed in the same format as Part II Section A and Part III Section A, above.

IV.A.6.a. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description: Complete the following table to compare actual performance against the current performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004"), baseline and actual start dates, and the baseline and actual total costs (in \$ Millions). Note that the 'Description of Milestone' and 'Percent Completed'-both Planned and Actual-fields are required.

**Federal Motor Carrier Safety Administration
Intramural/Extramural R&D Estimates
FY 2011**

Extramural Projects	\$3,339,000
Intramural Projects	\$ 425,000
	\$3,764,000

(Research and Development w/o Administrative Expenses in Budget Authority)

Survey of Federal Funds for Research & Development

Federal Motor Carrier Safety Administration Agency Code: 115000

Data Output for Volume 57

Person Submitting the Data

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**Table I. Outlays for Research & Development and R&D Plant: FYs 2007, 2008, and 2009
(Dollars in Thousands)**

Table I: R&D and R&D Plant Outlays: FY 2007, 2008, and 2009 (Dollars in Thousands)	FY 2007 Vol. 57 Actual	FY 2008 Vol. 57 Preliminary	FY 2009 Vol. 57 Preliminary
R&D and R&D Plant			
<u>TOTAL Research & Development</u>	 12,743	9,000	8,000
<u>TOTAL R&D Plant</u>	0	0	0
<u>TOTAL Research & Development and R&D Plant</u>	 12,743	9,000	8,000
Please enter a brief explanation for the trend(s) noted above. The outlay results for FY 2006 were based on limited outlay information that was available at that time. The actual outlay figure was closer to the OMB figure of 10 million. That being the case, we would have a \$2.743M increase from the previous year --from \$10 M (for FY 2006) to \$12.743 M (for FY 2007 Actuals); and this increase would represent an increase in appropriated funds for Research in FY 2007.			

**Table I - Narrative I: Reconciliation with the Office of Management and Budget (OMB) Special Analysis
of Federal R&D Programs (Dollars in Thousands)**

Table I - Narrative 1: Relationship of R&D Outlays Data Submitted for FFS Volume 57, to R&D Outlays Data Reported to OMB FY 2009 (Dollars in Thousands)	FY 2007 Vol. 57 Actual	FY 2008 Vol. 57 Preliminary	FY 2009 Vol. 57 Preliminary
Total R&D Outlays			
Outlays for Total R&D Reported in Federal	12,743	9,000	8,000

Funds Table 1, Item 1			
Outlays for Total R&D Reported to OMB in Response to Circular Number A-11 (Max Schedule C)	12,000	9,000	8,000
Difference in Outlays Reported in Table I and Outlays reported to OMB	743	0	0
Please enter a brief explanation for the trend(s) noted above.	The difference in the two reports is due to additional funding information that was received at the time that this report was being prepared.		

Table I - Narrative II: Reconciliation with the Office of Management and Budget (OMB) Special Analysis of Federal R&D Plant Programs (Dollars in Thousands)

Table I - Narrative II: Relationship of R&D Outlays Data Submitted for FFS Volume 57, to R&D Outlays Data Reported to OMB FY 2009 (Dollars in Thousands)	FY 2007 Vol. 57 Actual	FY 2008 Vol. 57 Preliminary	FY 2009 Vol. 57 Preliminary
Total R&D Outlays			
Outlays for Total R&D Plant Reported in Federal Funds Table 1, Item 2	0	0	0
Outlays for R&D Facilities Reported to OMB in Response to Circular Number A-11 (Max Schedule C)	0	0	0
Difference Between R&D Facilities Outlays Reported in Table I and Outlays Reported to OMB	0	0	0
Please enter a brief explanation for the trend(s) noted above.	No trend explanation provided.		

Table II. Summary of Obligations for Research & Development and R&D Plant: FYs 2007, 2008, and 2009 (Dollars in Thousands)

Table II: R&D and R&D Plant Oblig: FY 2007, 2008, and 2009 (Dollars in Thousands)	FY 2007 Vol. 57 Actual	FY 2008 Vol. 57 Preliminary	FY 2009 Vol. 57 Preliminary
Character of Work			
Basic Research	0	0	0
Applied Research	9,427	7,753	6,460
TOTAL Research ¹	9,427	7,753	6,460
Development	0	0	0
TOTAL Research & Development	9,427	7,753	6,460
Total R&D Plant	0	0	0
TOTAL Research & Development and R&D Plant	9,427	7,753	6,460
Please enter a brief explanation for the trend(s) noted above.	The increase from last year's value is due to carry-over funds from FY 2006 (FY 2006 funds were three-year funds--meaning that whatever amount that was not obligated in FY 2006 would be carried over into FY 2007). Also, the Research Division received a larger allocation in FY 2007.		

Footnotes:

¹ Basic research plus applied research equals total research.

Table II - Narrative I: Description of R&D Program Obligations (Dollars in Thousands)

Table II - Narrative I: Description of R&D Program Obligations for FFS Volume 57 (Dollars in Thousands)	FY 2007 Vol. 57 Actual	FY 2008 Vol. 57 Preliminary	FY 2009 Vol. 57 Preliminary
TOTAL R&D	9,427	7,753	6,460
TOTAL Research	9,427	7,753	6,460

In the box below, list each activity or subactivity covered by the R&D Obligations shown above. For each activity or subactivity give the R&D obligations for fiscal years 2007, 2008, and 2009 and identify within parentheses the portion that is for research only, excluding development.

In addition, provide a brief explanation of the R&D supported under each activity or subactivity, **including reasons for increases or decreases during the 3-year period**

Please enter a brief explanation for the trend(s) noted above.

A. Produce Safer Drivers - (1) improves the safety behavior of non-commercial drivers in the vicinity of trucks and buses, and (2) ensures that commercial drivers are physically qualified, trained to perform safely, and mentally alert. FY 2007: 5924(5924) FY 2008: 4778 (4778) FY 2009: 3230 (3230) B. Improve Safety of Commercial Motor Vehicles - focuses on improving truck and bus performance through vehicle-based safety technologies. FY 2007: 1228 (1228) FY 2008: 361 (361) FY 2009: 0 C. Produce Safer Carriers - supports the agency's enforcement of carrier-related Federal Motor Carrier Safety Regulations. FY 2007: 645 (645) FY 2008: 901 (901) FY 2009: 2034 (2034) D. Advance Safety through Information-based Initiatives - improves the safety and productivity of commercial vehicle operations through the application of life-saving safety systems and technologies. FY 2007: 1310 (1310) FY 2008: 901 (901) FY 2009: 798 (798) E. Improve Security through Safety Initiatives - develops and implements safety initiatives that also have security benefits for truck and bus operations. FY 2007: 128 (128) FY 2008: 361 (361) FY 2009: 0 F. Enable and Motivate Internal Excellence - focuses on R&T's commitment to improve its performance and its approach to more effectively and more economically serve its customers within U.S. DOT, State agencies, and in the motor carrier industry. FY 2007: 192 (192) FY 2008: 451 (451) FY 2009: 399 (399)

Table II - Narrative II: Description of R&D Plant Obligations (Dollars in Thousands)

Table II - Narrative II: Description of R&D Plant Program Obligations for FFS Volume 57 (Dollars in Thousands)	FY 2007 Vol. 57 Actual	FY 2008 Vol. 57 Preliminary	FY 2009 Vol. 57 Preliminary
R&D Plant Reported in Federal Funds Table II, Item 8	0	0	0

For each activity or subactivity give the R&D Plant obligations for fiscal years 2007, 2008, and 2009.

In addition, provide a brief explanation of the R&D Plant supported under each activity or subactivity, **including reasons for increases or decreases during the 3-year period**

Please enter a brief explanation for the trend(s) noted above.

No trend explanation provided.

Table III. Obligations for Basic, Applied, and Total Research by Field of Science and Engineering (FOS): FY 2007 (Dollars in Thousands)

Table III: Basic, Applied, and Total Research by Field of S&E: FY 2007 (Dollars in Thousands)	Basic Research Vol. 57 Actual	Applied Research Vol. 57 Actual	Total Research ¹ Vol. 57 Actual
Field of Science and Engineering			
Life Sciences			
Biological (excl Environmental)	0	0	0
Environmental Biology	0	0	0
Agricultural Science	0	0	0
Medical Sciences	0	907	907
Life Sciences, n.e.c. ²	0	550	550
TOTAL Life Sciences	0	1,457	1,457
Psychology			
Biological Aspects	0	0	0
Social Aspects	0	0	0
Psychological Sciences, n.e.c.	0	0	0
TOTAL Psychology	0	0	0
Physical Sciences			
Astronomy	0	0	0
Chemistry	0	0	0
Physics	0	0	0
Physical Sciences, n.e.c.	0	0	0
TOTAL Physical Sciences	0	0	0
Environmental Sciences			
Atmospheric Sciences	0	0	0
Geological Sciences	0	0	0
Oceanography	0	0	0
Environmental Sciences, n.e.c.	0	0	0
TOTAL Environmental Sciences	0	0	0
Mathematics and Computer Sciences			
Mathematics	0	128	128
Computer Sciences	0	0	0
Math and Computer Sciences, n.e.c.	0	0	0
TOTAL Mathematics and Computer Sciences	0	128	128
Engineering			
Aeronautical	0	0	0
Astronautical	0	0	0
Chemical	0	0	0
Civil	0	0	0
Electrical	0	0	0
Mechanical	0	580	580
Metallurgy and Materials	0	0	0
Engineering, n.e.c.	0	0	0

TOTAL Engineering	0	580	580
Social Sciences			
Anthropology	0	0	0
Economics	0	0	0
Political Science	0	0	0
Sociology	0	0	0
Social Sciences, n.e.c.	0	0	0
TOTAL Social Sciences	0	0	0
Other Sciences, n.e.c.	0	7,262	7,262
TOTAL All Fields ³	0	9,427	9,427

Please enter a brief explanation for the trend(s) noted above.

The increase in value for Medical Sciences over last year's value is merely due to the fact that none of the projects from last year were classified as relating to Medical Science. Therefore, any increase would seem infinite; and subsequently, the total would also appear substantial. The value displayed in the field of engineering appears larger because projects related to that field received larger allocations in FY 2007. Finally, a greater number of projects were classified as "Other Sciences" because 1) they were multidisciplinary or interdisciplinary in nature, and could not be classified within one of the broad fields of science already listed. As a result, there was an increase in funds for that category; and subsequently, an increase in the total amount appeared for that category.

- Footnotes:
- 1 Basic research plus applied research equals total research.
 - 2 Not elsewhere classified.
 - 3 The total for column 1 should equal the amount reported for FY2007 basic research in Table II. The total for column 2 should equal the amount reported for FY2007 applied research in Table II.

Table IV. Obligations for Basic, Applied, and Total Research by Field of Science and Engineering (FOS): FY 2008 (Dollars in Thousands)

Table IV: Basic, Applied, and Total Research Obligation by Field of S&E: FY 2008 (Dollars in Thousands)	Basic Research Vol. 57 Preliminary	Applied Research Vol. 57 Preliminary	Total Research ¹ Vol. 57 Preliminary
Field of Science and Engineering			
Life Sciences			
Life Sciences	0	0	0
Psychology	0	0	0
Physical Sciences	0	0	0
Environmental Sciences	0	0	0
Mathematics & Computer Sciences	0	361	361
Engineering	0	361	361
Social Sciences	0	0	0
Other Sciences, n.e.c. ²	0	7,031	7,031
TOTAL All Fields ³	0	7,753	7,753

Please enter a brief explanation for the trend(s) noted above.

Priorities change from year to year. In this case, a smaller allocation was given to projects related to the field of Life Sciences in FY 2008. As a result, there was a decrease in the total amount for that field. Also, in FY 2008, one of the projects involved the discipline of mathematics; therefore, an increase in value appears for this field.

- Footnotes:
- 1 Basic research plus applied research equals total research.
 - 2 Not elsewhere classified.
 - 3 The total for column 1 should equal the amount reported for FY2008 basic research in Table II. The total for column 2 should equal the amount reported for FY2008 applied research in Table II.

Table V. Obligations for Basic, Applied, and Total Research by Field of Science and Engineering (FOS): FY 2009 (Dollars in Thousands)

Table V: Basic, Applied, and Total Research Obligation by Field of S&E: FY 2009 (Dollars in Thousands)	Basic Research Vol. 57 Preliminary	Applied Research Vol. 57 Preliminary	Total Research ¹ Vol. 57 Preliminary
Field of Science and Engineering			
Life Sciences			
Life Sciences	0	0	0
Psychology	0	0	0
Physical Sciences	0	0	0
Environmental Sciences	0	0	0
Mathematics & Computer Sciences	0	0	0
Engineering	0	798	798
Social Sciences	0	0	0
Other Sciences, n.e.c. ²	0	5,662	5,662
TOTAL All Fields³	0	6,460	6,460

Please enter a brief explanation for the trend(s) noted above.	In FY 2009, a smaller allocation of funds for projects related to the field of Mathematics & Computer Sciences is expected. On the other hand, more funding is expected to be granted to projects related to the field of Engineering that year.
--	--

Footnotes:

- Basic research plus applied research equals total research.
- Not elsewhere classified.
- The total for column 1 should equal the amount reported for FY2009 basic research in Table II. The total for column 2 should equal the amount reported for FY2009 applied research in Table II.

Table VI. Obligations for Research & Development by Performer and Character of Work: FY 2007 (Dollars in Thousands)

Table VI: R&D Obligation by Performer and Character of Work: FY 2007 (Dollars in Thousands)	Basic Research Vol. 57 Actual	Applied Research Vol. 57 Actual	Development Vol. 57 Actual	Research & Development Total ¹ Vol. 57 Actual
Performer				
Federal Intramural ¹	0	3,305	0	3,305
Portion of Federal intramural for Personnel Costs ²	0	2,115	0	2,115
Industrial Firms Excl FFRDCs	0	522	0	522
FFRDCs Admin by Industrial Firms	0	0	0	0
Univ & Colleges Excl FFRDCs	0	4,784	0	4,784
FFRDCs Admin by Univ & Colleges	0	0	0	0
Nonprofit Inst Excl FFRDCs	0	816	0	816
FFRDCs Admin by Nonprofit Inst	0	0	0	0
State and Local Governments	0	0	0	0
TOTAL All Domestic Performers	0	9,427	0	9,427

Foreign	0	0	0	0
TOTAL All Performers ³	0	9,427	0	9,427
Please enter a brief explanation for the trend(s) noted above. As priorities change, allocated amounts to various performers also change. Industrial firms received a smaller allocation of funds in FY 2007 than in FY 2006 because the number of projects done by industrial firms decreased. The totals for both Universities & Colleges and Nonprofit Institutions increased considerably because more projects were assigned to these performers.				
Footnotes: 1 Include 1) R&D conducted by federal agencies (intramural research), and 2) Federal costs associated with the R&D performed with federal funds outside the federal sector under contract, grant, or cooperative agreement (extramural research). 2 Include the portion of Federal intramural costs (reported above) associated with 1) personnel costs for the planning and administration of extramural R&D, and 2) personnel costs for federal intramural research projects. 3 Total equals basic research, applied research, and development in Table II for 2007.				

Table VI - Narrative I: Relationship of Univ. and Col. (excl. FFRDCs) R&D Data Submitted for the Federal Funds Survey, Volume 57, to Data Submitted for the Federal Support Survey, FY 2007 (Dollars in Thousands)

Table VI - Narrative I: Relationship of Univ. and Col. (Excl. FFRDCs) data submitted for FFS Vol. 57 to data submitted for the Federal support Survey, FY 2007 (Dollars in Thousands)		Total Research and Development Vol. 57 Actual
Research and Development		
Amount reported in Federal Funds Survey table VI Item 5, Universities and Colleges (excluding FFRDCs) for Basic Research plus Applied Research plus Development		4,784
Amount reported for R&D to Universities and Colleges (total for all Institutions) in the Federal Support Survey		4,784
DIFFERENCE		0
Please enter a brief explanation for the trend(s) noted above. No trend explanation provided.		

Table VI - Narrative II: Relationship of Nonprofit Inst. (excl. FFRDCs) R&D Data Submitted for the Federal Funds Survey, Volume 57, to Data Submitted for the Federal Support Survey, FY 2007 (Dollars in Thousands)

Table VI - Narrative II: Relationship of Nonprofit Inst. (Excl. FFRDCs) data submitted for FFS Vol. 57 to data submitted for the Federal Support Survey, FY 2007 (Dollars in Thousands)		Total Research and Development Vol. 57 Actual
Research and Development		
Amount reported in Federal Funds Survey table VI Item 7, Nonprofit Institutions (excluding FFRDCs) for Basic Research plus Applied Research plus Development		816
Amount reported for R&D to Nonprofit Institutions (total for all Institutions) in the Federal Support Survey		816
DIFFERENCE		0
Please enter a brief explanation for the trend(s) noted above. No trend explanation provided.		

Table VII. Obligations for Research & Development by Performer and Character of Work: FY 2008
(Dollars in Thousands)

Table VII: R&D Oblig by Performer and Character of Work: FY 2008 (Dollars in Thousands)	Basic Research	Applied Research	Development	Research & Development Total ¹
	Vol. 57 Preliminary	Vol. 57 Preliminary	Vol. 57 Preliminary	Vol. 57 Preliminary
Performer				
Federal Intramural ¹	0	2,684	0	2,684
Portion of Federal intramural for Personnel Costs ²	0	2,684	0	2,684
Industrial Firms Excl FFRDCs	0	2,004	0	2,004
FFRDCs Admin by Industrial Firms	0	0	0	0
Univ & Colleges Excl FFRDCs	0	2,475	0	2,475
FFRDCs Admin by Univ & Colleges	0	0	0	0
Nonprofit Inst Excl FFRDCs	0	590	0	590
FFRDCs Admin by Nonprofit Inst	0	0	0	0
State and Local Governments	0	0	0	0
TOTAL All Domestic Performers	0	7,753	0	7,753
Foreign	0	0	0	0
TOTAL All Performers³	0	7,753	0	7,753

Please enter a brief explanation for the trend(s) noted above.

As priorities change, so do allocation amounts to various performers. In contrast to FY 2007, industrial firms received more funds in FY 2008 because the funds allocated to projects done by industrial firms increased. The values for performers in the categories of Universities & Colleges and Nonprofit Institutions decreased because fewer projects and less money were received by these performers. Subsequently, the overall totals changed.

Footnotes:
¹ Include 1) R&D conducted by federal agencies (intramural research), and 2) Federal costs associated with the R&D performed with federal funds outside the federal sector under contract, grant, or cooperative agreement (extramural research).
² Include the portion of Federal intramural costs (reported above) associated with 1) personnel costs for the planning and administration of extramural R&D, and 2) personnel costs for federal intramural research projects.
³ Total equals basic research, applied research, and development in Table II for 2008.

Table VIII. Obligations for Research & Development by Performer and Character of Work: FY 2009
(Dollars in Thousands)

Table VIII: R&D Oblig by Performer and Character of Work: FY 2009 (Dollars in Thousands)	Basic Research	Applied Research	Development	Research & Development Total ¹
	Vol. 57 Preliminary	Vol. 57 Preliminary	Vol. 57 Preliminary	Vol. 57 Preliminary
Performer				
Federal Intramural ¹	0	3,100	0	3,100
Portion of Federal intramural for Personnel Costs ²	0	2,398	0	2,398
Industrial Firms Excl FFRDCs	0	1,429	0	1,429
FFRDCs Admin by Industrial Firms	0	0	0	0
Univ & Colleges Excl FFRDCs	0	1,429	0	1,429

FFRDCs Admin by Univ & Colleges	0	0	0	0
Nonprofit Inst Excl FFRDCs	0	502	0	502
FFRDCs Admin by Nonprofit Inst	0	0	0	0
State and Local Governments	0	0	0	0
TOTAL All Domestic Performers	0	6,460	0	6,460
Foreign	0	0	0	0
TOTAL All Performers³	0	6,460	0	6,460

Please enter a brief explanation for the trend(s) noted above.

The totals for allocations to Universities & Colleges are expected to decrease due to changes in priorities.

Footnotes:
¹ Include 1) R&D conducted by federal agencies (intramural research), and 2) Federal costs associated with the R&D performed with federal funds outside the federal sector under contract, grant, or cooperative agreement (extramural research).
² Include the portion of Federal intramural costs (reported above) associated with 1) personnel costs for the planning and administration of extramural R&D, and 2) personnel costs for federal intramural research projects.
³ Total equals basic research, applied research, and development in Table II for 2009.

**Table IX. Obligations for Research & Development and R&D Plant at Individual Federally Funded Research and Development Centers (FFRDCs): FY 2007
(Dollars in Thousands)**

Table IX: R&D and R&D Plant Oblig at FFRDCs: FY 2007 (Dollars in Thousands)

ADMINISTERED BY INDUSTRIAL FIRMS	R&D Obligations	R&D Plant Obligations
Idaho National Engineering & Environmental Laboratory (Bechtel BWX Technologies Idaho, LLC) Idaho Falls, ID	0	0
Los Alamos National Laboratory (Los Alamos National Security, LLC) Los Alamos, NM ²¹	0	0
National Cancer Institute at Frederick (Science Applications International Corp.; Charles River Laboratories, Inc.; Data Management Services, Inc.; Wilson Information Services, Inc.) Frederick, MD ¹⁹	0	0
Sandia National Laboratories (Scandia Corporation which is a subsidiary of Lockheed Martin Corp.) Albuquerque, NM	0	0
Savannah River Technology Center (Westinghouse Savannah River Co.) Aiken, SC	0	0
TOTAL Industrial-Administered FFRDCs ^{1 2}	0	0
ADMINISTERED BY Universities & Colleges³	R&D Obligations	R&D Plant Obligations
Ames Laboratory (Iowa State University of Science and Technology) Ames, IA	0	0
Argonne National Laboratory (University of Chicago) Argonne, IL	0	0
Ernest Orlando Lawrence Berkeley National Laboratory (University of California) Berkeley, CA	0	0
Fermi National Accelerator Laboratory (Universities Research Association, Inc.) Batavia, IL	0	0
Jet Propulsion Laboratory (California Institute of Technology) Pasadena, CA	0	0
Lawrence Livermore National Laboratory (University of California) Livermore, CA	0	0
Lincoln Laboratory (Massachusetts Institute of Technology) Lexington, MA	0	0
National Astronomy & Ionosphere Center (Cornell University) Arecibo, PR	0	0
National Center for Atmospheric Research (University Corporation for Atmospheric Research) Boulder, CO	0	0

National Optical Astronomy Observatories (Association of Universities for Research in Astronomy, Inc.) Tucson, AZ ⁴	0	0
National Radio Astronomy Observatory (Associated Universities, Inc.) Charlottesville, VA Green Bank, WV	0	0
National Radio Astronomy Observatory -- Green Bank, WV Green Bank, WV	0	0
National Radio Astronomy Observatory -- Charlottesville, VA Charlottesville, VA	0	0
Princeton Plasma Physics Laboratory (Princeton University) Princeton, NJ	0	0
Software Engineering Institute (Carnegie Mellon University) Pittsburgh, PA	0	0
Stanford Linear Accelerator Center (Leland Stanford, Jr. University) Stanford, CA	0	0
Thomas Jefferson National Accelerator Facility (Southwestern Universities Research Association, Inc.) Newport News, VA ⁵	0	0
TOTAL University & College-Administered FFRDCs ^{6 7}	0	0
ADMINISTERED BY NONPROFIT INSTITUTIONS⁸	R&D Obligations	R&D Plant Obligations
Aerospace Federally Funded Research & Development Center (The Aerospace Corp.) El Segundo, CA	0	0
Arroyo Center (RAND Corporation) Santa Monica, CA ⁹	0	0
Brookhaven National Laboratory (Brookhaven Science Associates, Inc.) Upton, Long Island, NY ¹⁰	0	0
C3I Federally Funded Research & Development Center (MITRE Corp.) Bedford, MA McLean, VA ¹¹	0	0
C3I -- Bedford, MA Laboratory Bedford, MA	0	0
C3I -- McLean, VA Laboratory McLean, VA	0	0
Center for Advanced Aviation System Development (MITRE Corp.) McLean, VA ¹¹	0	0
Center for Naval Analyses (The CNA Corporation) Alexandria, VA	0	0
Center for Nuclear Waste Regulatory Analyses (Southwest Research Institute) San Antonio, TX	0	0
Homeland Security Institute (Analytic Services, Inc) Arlington, VA ²⁰	0	0
Inst for Defense Analyses Communications & Computing FFRDC (Institute for Defense Analyses) Alexandria, VA ¹²	0	0
Institute for Defense Analyses Studies & Analyses FFRDC (Institute for Defense Analyses) Alexandria, VA	0	0
Internal Revenue Service (IRS) FFRDC (MITRE Corp.) Lanham, MD ^{11 18}	0	0
National Biodefense Analysis and Countermeasures Center (Battelle National Biodefense Institute) Frederick, MD ²²	0	0
National Defense Research Institute (RAND Corporation) Santa Monica, CA ⁹	0	0
National Renewable Energy Laboratory (Midwest Research Institute) Golden, CO ¹³	0	0
Oak Ridge National Laboratory (UT-Battelle, LLC) Oak Ridge, TN ¹⁶	0	0
Pacific Northwest National Laboratory (Battelle Memorial Institute) Richland, WA	0	0
Project Air Force (RAND Corporation) Santa Monica, CA ⁹	0	0
Science and Technology Policy Institute, The (Institute for Defense Analysis) Washington, DC ¹⁷	0	0
TOTAL Nonprofit-Administered FFRDCs ^{14 15}	0	0

No trend explanation provided.

Please enter a brief explanation for

the trend(s) noted above.

Footnotes:	1 Totals equal combined obligations for basic research, applied research, and development, as reported in FFRDCs Administered by Industrial Firms of Table VI. 2 Totals R&D Plant Obligations equal item 2 of Table XI for 2007. 3 Includes university consortia. 4 Since February 1984 this center includes three former FFRDCs: Cerro Tololo Inter-American Observatory, Kitt Peak National Observatory and the National Solar Observatory (formerly Sacramento Peak Observatory). 5 In May 1996 the name was changed from Continuous Electron Beam Accelerator Facility. 6 Totals equal combined obligations for basic research, applied research, and development, as reported in FFRDCs Administered by Universities and Colleges of Table VI. 7 Totals equal FFRDCs Administered by Universities & Colleges of Table XI for 2007. 8 Other than universities and colleges. 9 The following portions of the RAND Corporation are FFRDCs: Project Air Force, the Arroyo Center, and the National Defense Research Institute (formerly Defense/Office of the Joint Chiefs of Staff). All other agency support to RAND is reported under "Other Nonprofit Institutions Excluding FFRDCs". 10 March 1, 1998 Brookhaven National Laboratory acquired a new nonprofit administrator (Brookhaven Science Associates, Inc.). The previous administrator was a university consortium. 11 Only the C3I Federally Funded Research & Development Center, the Center for Advanced Aviation System Development, and the Internal Revenue Service (IRS) FFRDC portions of the MITRE Corporation are reported as FFRDCs. All other agency support to MITRE is reported under "Other Nonprofit Institutions Excluding FFRDCs." 12 Although the Institute for Defense Analyses Communications & Computing FFRDC has been in existence since 1956, the Department of Defense added it to the Master Government List of FFRDCs for the first time in October 1995. 13 In September 1991 the name was changed from Solar Energy Research Institute. 14 Totals equal combined obligations for basic research, applied research, and development, as reported in FFRDCs Administered by Nonprofit Institutions of Table VI. 15 Totals equal FFRDCs Administered by Nonprofit Institutions of Table XI for 2007. 16 April 1, 2000 Oak Ridge National Laboratory acquired a new nonprofit administrator (UT-Battelle, LLC). The previous administrator was the industrial firm Lockheed Martin Energy Research Corp. 17 October 1, 1998 the Critical Technologies Institute was renamed The Science and Technology Policy Institute. 18 In October 1998 the Tax Systems Modernization Institute (IIT Research Institute) Lanham, MD was replaced with Internal Revenue Service (IRS) Federally Funded Research and Development Center (FFRDC) administered by the MITRE Corp. in McLean, VA. 19 In 2000, the name was changed from NCI Frederick Cancer Research and Development Center. It continues to be an FFRDC. 20 On April 26, 2004, the Homeland Security Institute was created. 21 On June 1, 2006, Los Alamos National Laboratory acquired a new industrial firm administrator (Los Alamos National Security, LLC). 22 The Department of Homeland Security established this new FFRDC on December 20, 2006.
Notes:	Each supporting agency should report obligations to each FFRDC it uses even though the FFRDC may be under the sponsorship of another agency. See NSF's website for a list of FFRDCs shown by sponsoring agency and administering organization. The Department of the Army decertified the Institute for Advanced Technology (Universities of Texas), Austin, TX, as an FFRDC in November 1993. The Department of Energy decertified Bettis Atomic Power Laboratory, Hanford Engineering Development Laboratory, and Knolls Atomic Power Laboratory as FFRDCs in October/November 1992. The Department of Energy removed from the Master Government List of FFRDCs (1) the Energy Technology Engineering Center in November 1995 and (2) the Inhalation Toxicology Research Institute in May 1996.

Table X. Obligations for Basic Research and Total Research & Development to Foreign Performers¹ by Geographic Area and Country: FY 2007
(Dollars in Thousands)

Table X: Basic Research and Total R&D to Foreign Performers: FY 2007 (Dollars in Thousands)

TOTAL TABLE X All Areas & Organizations

0

0

Please enter a brief explanation for the trend(s) noted above.

No trend explanation provided.

- Footnotes: ¹ See instructions for definition of a Foreign Performer.
- ² Total of columns equals basic research in the "Foreign" category of performer for Table VI.
- ³ Total of columns equals the sum of basic research, applied research, and development in Foreign in Table VI.

**Table XI. Obligations for R&D Plant by Performer of Research & Development Supported: FYs 2007, 2008, and 2009
(Dollars in Thousands)**

Table XI: R&D Plant Oblig. by Performer: FYs 2007, 2008, and 2009 (Dollars in Thousands)	FY 2007 Vol. 57 Actual	FY 2008 Vol. 57 Preliminary	FY 2009 Vol. 57 Preliminary
Performer			
Federal Intramural ¹	0	0	0
Industrial Firms Excl FFRDCs	0	0	0
FFRDCs Admin by Industrial Firms	0	0	0
Univ & Colleges Excl FFRDCs	0	0	0
FFRDCs Admin by Univ & Colleges	0	0	0
Nonprofit Inst Excl FFRDCs	0	0	0
FFRDCs Admin by Nonprofit Inst	0	0	0
State and Local Governments	0	0	0
TOTAL All Domestic Performers	0	0	0
Foreign	0	0	0
TOTAL All Performers ²	0	0	0

Please enter a brief explanation for the trend(s) noted above. No trend explanation provided.

- Footnotes: ¹ Include 1) R&D conducted by federal agencies (intramural research), and 2) Federal costs associated with the R&D performed with federal funds outside the federal sector under contract, grant, or cooperative agreement (extramural research).
- ² Equals total research and development of Table II.

Table XI - Narrative I: Relationship of Univ. and Col. (excl. FFRDCs) R&D Plant Data Submitted for the Federal Funds Survey, Volume 57, to Data Submitted for the Federal Support Survey, FY 2007 (Dollars in Thousands)

Table XI - Narrative I: Relationship of Univ. and Col. (Excl. FFRDCs) Data submitted for FFS Vol. 57 to data submitted for the Federal support Survey, FY 2007 (Dollars in Thousands)	FY 2007 Vol. 57 Actual
R&D Plant	
Amount reported in Federal Funds Survey Table XI Item 4, Universities and Colleges (excluding FFRDCs)	0
Amount reported for R&D Plant to Universities and Colleges (total for all Institutions) in the Federal Support Survey	0
DIFFERENCE	0

Please enter a brief explanation for the trend(s) noted above. No trend explanation provided.

Table XI - Narrative II: Relationship of Nonprofit Inst. (excl. FFRDCs) R&D Plant Data Submitted for the Federal Funds Survey, Volume 57, to Data Submitted for the Federal Support Survey, FY 2007 (Dollars in Thousands)

Table XI - Narrative II: Relationship of Nonprofit Inst. (Excl. FFRDCs) Data submitted for FFS Vol. 57 to data submitted for the Federal support Survey, FY 2007 (Dollars in Thousands)

FY 2007
Vol. 57 Actual

R&D Plant	
Amount reported in Federal Funds Survey Table XI Item 6, Nonprofit Institutions (excluding FFRDCs)	0
Amount reported for R&D Plant to Nonprofit Institutions (total for all Institutions) in the Federal Support Survey	0
DIFFERENCE	0
Please enter a brief explanation for the trend(s) noted above.	
No trend explanation provided.	

Table A. Obligations for Research & Development, by State and Performer: FY 2007 (Dollars in Thousands)

Table A: R&D Obligations by State and Performer: FY 2007 (Dollars in Thousands)

State ¹	Federal Intramural ²	Industrial Firms Excluding FFRDCs ³	FFRDCs Admin by Industrial Firms ⁴	Univ and Colleges Excluding FFRDCs ⁵	FFRDCs Admin by Univ and Colleges ⁶	Other Nonprofit Insts Excluding FFRDCs ⁷	FFRDCs Admin by Other Nonprofit Insts ⁸	State and Local Gvnmts ⁹
District of Columbia	236	0	0	0	0	816	0	0
Iowa	6	0	0	20	0	0	0	0
Maryland	36	123	0	0	0	0	0	0
Massachusetts	1,534	0	0	0	0	0	0	0
Ohio	72	250	0	0	0	0	0	0
State ¹	Federal Intramural ²	Industrial Firms Excluding FFRDCs ³	FFRDCs Admin by Industrial Firms ⁴	Univ and Colleges Excluding FFRDCs ⁵	FFRDCs Admin by Univ and Colleges ⁶	Other Nonprofit Insts Excluding FFRDCs ⁷	FFRDCs Admin by Other Nonprofit Insts ⁸	State and Local Gvnmts ⁹
Virginia	1,421	149	0	4,764	0	0	0	0
Total	3,305	522	0	4,784	0	816	0	0

Please enter a brief explanation for the trend(s) noted above.

Federal Intramural: Tennessee - project no longer performed by this state; therefore, zero (0) amount appears. Virginia - considerably larger number of projects being performed by universities in Virginia; therefore, a large increase in allocation amounts for this state Industrial Firms: DC - no projects done by industrial firms in this state; thus, a decrease in value MD - allocation amounts to this state increased MA - project allocated to different performer than before; therefore, decrease in value VA - projects performed in this state were completed or discontinued The overall total for Industrial Firms decreased (based on totals for all states in this column). Universities & Colleges: Several projects were done by universities in this state; thus, a resulting increase in allocations and, subsequently, an increase in totals. Non-profit Institutions: DC - infinite increase is due to the fact that projects scheduled for commitment in 2006 were not done until FY 2007 (they were obligated with carryover funds). MD - project previously done by performer in this state was completed. An increase in the total is due to a large increase in DC performers.

- Footnotes: ¹ The category, "Other outlying areas," includes other U.S. Territories and possessions with the exception of Puerto Rico. The category, "Offices abroad" includes R&D performed or administered in offices of the U.S. government that are located abroad. These categories appear in the "Add a New State" box above.
- ² Total equals combined obligations for basic & applied research, and development, as reported in Federal Intramural in Table

VI.

- ³ Total equals combined obligations for basic & applied research, and development, as reported in Industrial Firms Excluding FFRDCs in Table VI.
- ⁴ Total equals combined obligations for basic & applied research, and development, as reported in FFRDCs Admin by Industrial Firms in Table VI.
- ⁵ Total equals combined obligations for basic & applied research, and development, as reported in Universities & Colleges Excluding FFRDCs in Table VI.
- ⁶ Total equals combined obligations for basic & applied research, and development, as reported in FFRDCs Admin by Universities & Colleges in Table VI.
- ⁷ Total equals combined obligations for basic & applied research, and development, as reported in Nonprofit Institutions Excluding FFRDCs in Table VI.
- ⁸ Total equals combined obligations for basic & applied research, and development, as reported in FFRDCs Admin by Nonprofit Institutions in Table VI.
- ⁹ Total equals combined obligations for basic & applied research, and development, as reported in State & Local Governments in Table VI.

Key: FFRDCs = Federally funded research and development centers.

Table B. Obligations for R&D Plant, by State and Performer: FY 2007
(Dollars in Thousands)

Table B: Obligations for R&D Plant for State and Performer: FY 2007 (Dollars in Thousands)

State ¹	Federal Intramural ²	Industrial Firms Excluding FFRDCs ³	FFRDCs Admin by Industrial Firms ⁴	Univ and Colleges Excluding FFRDCs ⁵	FFRDCs Admin by Univ and Colleges ⁶	Other Nonprofit Insts Excluding FFRDCs ⁷	FFRDCs Admin by Other Nonprofit Insts ⁸	State and Local Gvnmts ⁹
Total	0	0	0	0	0	0	0	0

Please enter a brief explanation for the trend(s) noted above.

No trend explanation provided.

- Footnotes: ¹ The category, "Other outlying areas," includes other U.S. Territories and possessions with the exception of Puerto Rico. The category, "Offices abroad" includes R&D performed or administered in offices of the U.S. government that are located abroad. These categories appear in the "Add a New State" box above.
- ² Total equals Federal Intramural, Table XI, for FY 2007.
- ³ Total equals Industrial Firms Excluding. FFRDCs, Table XI, for FY 2007.
- ⁴ Total equals FFRDCs Administered by Industrial Firms, Table XI, for FY 2007.
- ⁵ Total equals Universities & Colleges Excluding. FFRDCs, Table XI, for FY 2007.
- ⁶ Total equals FFRDCs Administered by Universities & Colleges, Table XI, for FY 2007.
- ⁷ Total equals Nonprofit Institutions Excluding. FFRDCs, Table XI, for FY 2007.
- ⁸ Total equals FFRDCs Administered by Nonprofit Institutions, Table XI, for FY 2007.
- ⁹ Total equals State & Local Governments, Table XI, for FY 2007.

Key: FFRDCs = Federally funded research and development centers.

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