United States
Department of Transportation

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Federal Motor Carrier Safety Administration

2011-2016 Strategic Plan

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Letter from the Administrator

I am proud to present the *Federal Motor Carrier Safety Administration 2011-2016 Strategic Plan: Raising the Safety Bar*. This is the Agency's second strategic plan since the inception of Federal Motor Carrier Safety Administration (FMCSA) in 2000, and it is based on the direction set forth in the United States Department of Transportation's (DOT) Strategic Plan and other roadway safety planning efforts. Our mission is clear. We are committed to reducing crashes, injuries, and fatalities involving commercial motor vehicle (CMV) transportation. I, along with all of FMCSA, serve to achieve that mission and fulfill all of our legislative mandates.

Motor Carrier Safety Improvement Act of 1999

Safety – FMCSA's Highest Priority

"In carrying out its duties, the Administration shall consider the assignment and maintenance of **safety as the highest priority**, recognizing the clear intent, encouragement, and dedication of Congress to the furtherance of the highest degree of safety in motor carrier transportation."

The successes we realized in reducing crashes, injuries, and fatalities over the past decade are notable; but there is more to be done. This new *Strategic Plan* is our road map that charts our course for the next five years. It directs how we will focus our resources to achieve greater success in saving lives. This *Strategic Plan* focuses on the people who work to ensure the safest possible CMV industry. We will continue to strengthen our partnerships with Federal, State, local, and foreign governments; reach out to all stakeholders; and collaborate effectively with other DOT safety agencies. Working together, we will continue to strive to eliminate severe crashes, injuries, and fatalities involving CMVs.

Our plan is based on establishing a strategic framework where safety is the highest Agency priority. That framework is shaped by three core principles: **raise the bar to enter the motor carrier industry; maintain high safety standards to remain in the industry; and remove high-risk carriers, drivers, and service providers from operation.** I am committed to these core principles and firmly believe that the values on which this *Strategic Plan* is built are those our dedicated workforce fully embraces. I look forward to serving with each of you to fulfill the goals identified in this *Strategic Plan*. ***Together we will raise the safety bar!***

Vision

Save lives by striving toward a crash-free and fully accountable CMV transportation life-cycle.

Mission

Reduce crashes, injuries, and fatalities involving CMV transportation through education, innovation, regulation, enforcement, financial assistance, partnerships, and full accountability.

Values

Commitment to Excellence

We provide the highest level of service — embracing our mission with energy and enthusiasm.

Innovation

We deliver creative, forward-looking, and data-driven solutions to advance our mission.

Collaboration

We work as a team — valuing the commitment and contributions of our many partners and stakeholders.

Integrity

We are committed to transparency and support Open Government initiatives — through our actions, we earn the respect and trust of our peers, partners, customers, and the American people.

Equity

We work to achieve fairness and due process and treat all parties with respect, dignity, and compassion.

Unity

We value our employees as our most important resource — respecting the differences among individuals and using the diverse experiences and perspectives of our workforce.

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Strategic Focus Areas & Goals

CMV Safety 1st Culture

- Goal 1: Develop and deliver programs focused on identifying and addressing CMV safety deficiencies and assigning management or operational accountability and responsibility.
- Goal 2: Establish strong enforcement strategies and sanctions that achieve effective safety-management practices and systems by regulated entities or remove them from the CMV transportation system.
- Goal 3: Develop, enhance, and promote safe driving programs and policies that address driver behaviors to reduce CMV-related crashes, injuries, and fatalities.

Exponential Safety Power (Safety^X Power)

- Goal 4: Establish new partnerships and enhance collaboration with existing partners as a force-multiplier supporting FMCSA's regulatory compliance focus.
- Goal 5: Implement communications and outreach strategies that promote improved compliance and informed and transparent decision-making.

Comprehensive Data &Technology Utilization

- Goal 6: Be the authoritative source for comprehensive CMV-related data to drive decision-making and support CMV Safety 1st Culture.
- Goal 7: Conduct and use transformative research that focuses on risk factors and safety technologies to inform and enhance FMCSA's programs and priorities.

One FMCSA

- Goal 8: Create a proactive, mission-centric organization through the redesign and prioritization of FMCSA's policies, processes, rulemaking, and legislative changes.
- Goal 9: Attract, develop, and retain talented and knowledgable employees through a comprehensive human capital strategy.
- Goal 10: Promote clear, thorough, and timely internal communications to enable common understanding and consistent execution of FMCSA programs.

AS OF JUNE 29, 2011

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I. INTRODUCTION

FMCSA is committed to eliminating crashes, injuries, and fatalities involving CMV transportation through education, innovation, regulation, enforcement, financial assistance, partnerships, and full accountability.

The CMV industry is a vital part of our Nation's economic strength and security, allowing goods, services, and people to travel throughout the country. Large trucks bring agricultural products from the farms to stores and restaurants, medical supplies to hospitals, clothes and toys to retail stores and individual homes, and fuel to heat homes. Passenger carriers transport the American public within and between cities and States for commerce, recreation, and employment. Commercial trucks and buses are an integral part of everyday life and livable communities.

FMCSA regulates over 500,000 registered motor carriers operating in interstate commerce, including an estimated 14,000 motorcoach (bus) companies and 14,000 intrastate hazardous material (hazmat) motor carriers. There are approximately 5.6 million CMV interstate and intrastate drivers of whom 3.7 million are active commercial driver's license (CDL) holders. Over the period of 2000-2009, total miles traveled by all vehicles grew 8 percent and by large trucks and buses increased 9 percent. In addition, the number of large trucks and buses registered has increased 21 percent over this time period. In 2009, there were just over 11.8 million registered large trucks and buses, traveling more than 302 billion vehicle miles. [1]

Even with this continued growth in CMV traffic, there was a 20 percent reduction in fatalities from crashes involving large trucks and buses, from 4,545 in 2008 down to 3,619 in 2009. This is the lowest number of fatalities from crashes involving large trucks and buses since fatal crash data collection began in 1975. The number of injuries in crashes involving large trucks and buses has also declined, dropping 18 percent between 2008 and 2009 to an estimated 93,000 persons injured. This is an all time low since injury data were first collected in 1989. For property-damage-only crashes, FMCSA has documented a 19 percent reduction from 2008 to 2009. In 2009, an estimated 278,000 property-damage-only crashes involving large trucks and buses were reported, which is the lowest level since 1991. The decline in crashes, injuries, and fatalities is due to the continual safety efforts of FMCSA and its partners.

CMV TRANSPORTATION LIFE-CYCLE

Through implementation of this *Strategic Plan*, FMCSA envisions a new comprehensive direction to achieve an even greater reduction in CMV-related crashes, injuries, and fatalities. The greatest potential for creating the safest CMV industry lies in focusing outreach, oversight, and enforcement resources on the entire CMV transportation life-cycle. The CMV transportation life-cycle concept encompasses the whole CMV transportation system, including all the entities that control or influence the operation of CMVs, and focuses on the specific responsibilities that all parties involved in the transport and logistics supply chain have for making improvements in any number of safety factors. This is a holistic view of safety that includes factors such as CMV and passenger-vehicle

[1] All data points referenced in this section can be found on FMCSA's web site: http://www.fmcsa.dot.gov/facts-research/research-technology/mission/ra.htm

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driver behavior, compliance systems, quality of roads, and vehicle technologies. This life-cycle approach will resolve CMV transportation challenges, addressing the management and operations of drivers and vehicles, and infrastructure. All entities in the CMV transportation life-cycle need to be aware of their impact on roadway safety and take responsibility for that impact.

While a "safety first culture" is necessary to further reduce CMV-related crashes, injuries, and fatalities, FMCSA recognizes that CMV transportation impacts society in other ways. FMCSA addresses these impacts by mitigating the risk associated with the transportation of hazmat, advancing national security interests through CMV-related efforts at our borders and intermodal ports, and enforcing statutory and regulatory provisions to protect the household goods (HHG) transportation consumer (i.e., individuals hiring professional movers).

FMCSA's ORGANIZATION & RESPONSIBILITIES

Growing out of the Federal Highway Administration, FMCSA was established as a separate administration within DOT on January 1, 2000, pursuant to the Motor Carrier Safety Improvement Act of 1999 (Public Law 106-159), with the safety mandate to reduce crashes, injuries, and fatalities involving CMVs.

Headquartered in Washington, DC, the Agency is led by an Administrator appointed by the President of the United States and confirmed by the Senate. Of FMCSA's approximately 1,100 employees, nearly 900 work in field offices throughout all 50 States, the District of Columbia, and Puerto Rico. All FMCSA employees are dedicated to roadway safety and saving lives.

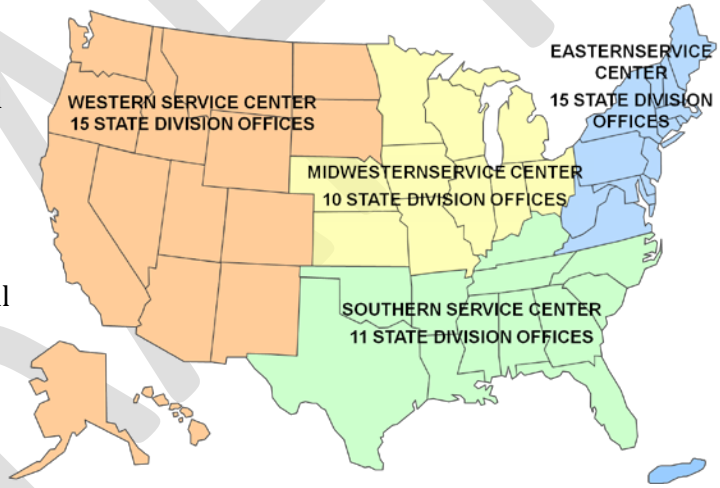

Figure 1: FMCSA has field offices throughout the US. The Puerto Rico Division Office serves the US Virgin Islands; Hawaii Division Office serves the three western territories (American Samoa, Guam, and Northern Mariana Islands).

FMCSA fulfills its mission by spearheading the research and analysis that drives policy regarding the safe operation of CMV transportation. It implements those policies through registration, licensing, regulatory standards, and enforcement programs. It provides guidance and oversight to State partners, who play a primary role in enforcing Agency regulations. FMCSA engages stakeholders through a robust outreach and education program and continually evaluates program effectiveness to guide future research initiatives.

FMCSA's key activities extend beyond enforcement and include a variety of actions that support the overall mission. For example, the Agency's actions affect international commerce through our impact on cross-border trade.

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Figure 2 illustrates these key activities and how they are integrated into the organization.

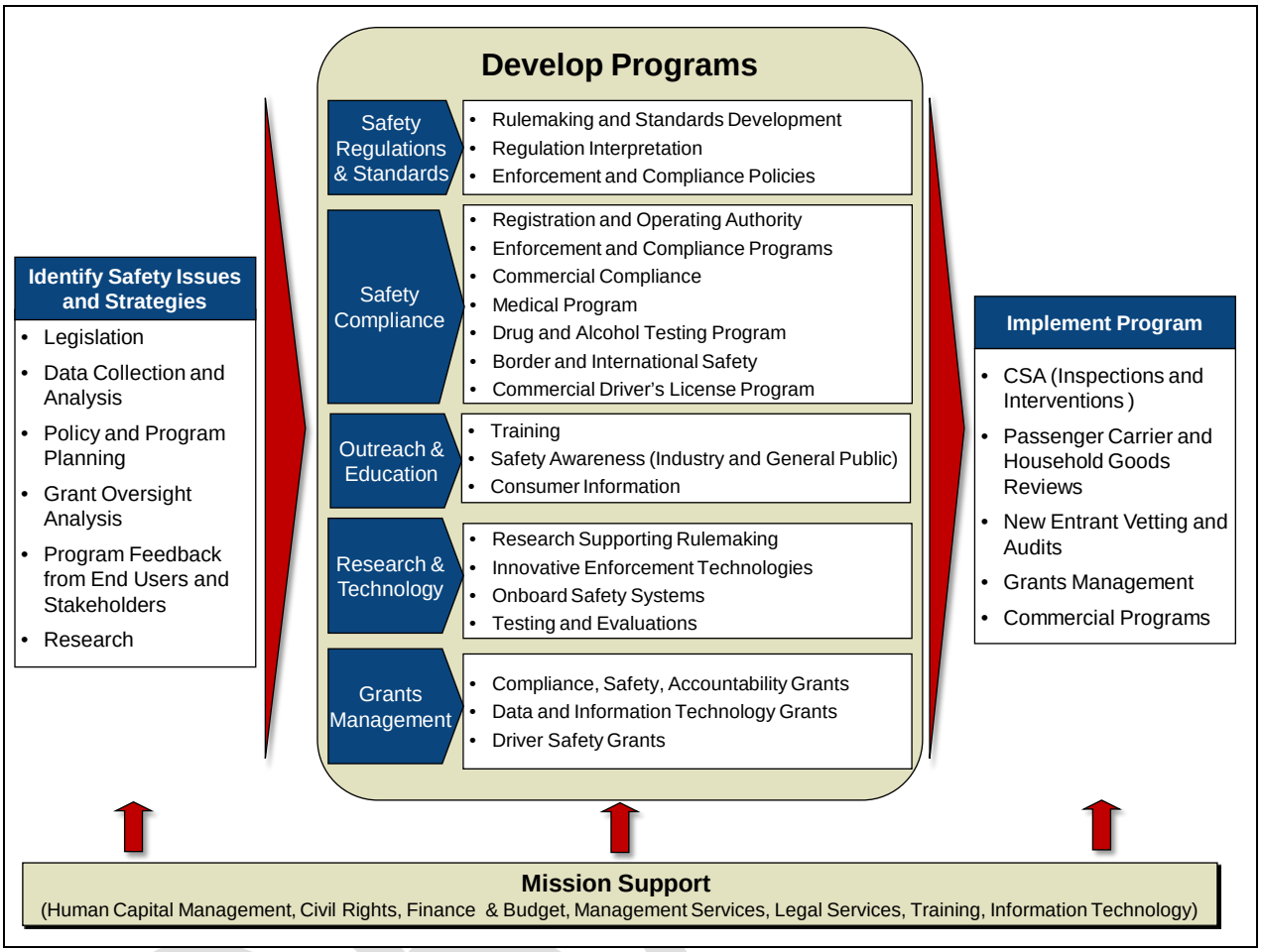

Figure 2: Key FMCSA Activities

FMCSA's FORCE-MULTIPLIER: PARTNERSHIPS & COLLABORATIONS

FMCSA maintains a strong relationship with its State and local grantees; the Agency understands that cooperation is necessary to accomplish the shared goal of reducing roadway crashes, specifically CMV crashes and their associated injuries and fatalities. The grantor-grantee partnership is, and will continue to be, vitally important to FMCSA if it is to achieve its safety mission. Specifically, while FMCSA employs approximately 1,100 staff members dedicated to CMV safety, its State and local grantees employ more than 12,000 safety professionals who are dedicated, either part- or full-time, to improving CMV safety. Additionally, grant funding to State and local entities currently comprises more than half of FMCSA's entire annual budget. As a result, each year, State and local grantees conduct more than 3.4 million of the 3.5 million CMV roadside inspections, more than 32,000 of the 34,000 new entrant safety audits, and more than 6,000 of the 15,000 compliance reviews. States are also responsible for issuing CDLs, which includes testing new driver applicants. On average, approximately one-half million new CDLs are issued annually. In 2008 (the latest data available), according to the American Association of Motor Vehicle Administrators (AAMVA), States issued 494,265 new CDLs and maintained 13,695,921 CDL

records. These records are critical to insuring that only qualified drivers are operating on our Nation's roadways.

A large number of stakeholders contribute to the success of FMCSA's efforts to reduce CMV-related crashes, injuries, and fatalities. FMCSA relies on all of these stakeholders to support its safety mission, making this a combined priority in the CMV industry. Industry, safety advocacy groups, and Federal, State, and local government partners play a critical role in the safety of the motoring public and the accomplishment of FMCSA's mission and goals.

STRATEGIC PLANNING APPROACH

The strategic planning process provided the Agency with a valuable opportunity to reach out across the Department to a full range of DOT safety agencies and FMCSA employees, including the Administrator and her senior management team, the various program offices in headquarters, and frontline field staff responsible for carrying out the mission on a daily basis. In keeping with FMCSA's commitment to coordinating its actions and initiatives with those of the Department, FMCSA has developed this *Strategic Plan* in concert with DOT's six roadway safety planning principles, including: 1) Collaboration for Roadway Safety, 2) Safer Behaviors, 3) Safer Vehicles, 4) Safer Roadways, 5) Empower Communities, and 6) Accountability and Managing for Results. While implementing this *Strategic Plan*, FMCSA will remain accountable to the Department's Strategic Plan and other roadway safety planning efforts.

Such opportunities for integration and coordination across DOT safety agencies and FMCSA offices remind us of the unlimited importance of our people in achieving our mission. It is no mistake that so many of the core values identified by Agency staff in this document are people-focused, such as "collaboration," "integrity," and "unity." Only through dedication to the development and protection of our workforce, as our most valuable resource, can we hope to continue to make significant strides in meeting the Agency's mission of reducing crashes, injuries, and fatalities involving CMV transportation, a mission shared on a very personal level by each and every FMCSA employee.

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II. STRATEGIC GOALS

The public looks to FMCSA to establish and apply the standards to uphold a safe CMV transportation life-cycle and promote and sustain efficiencies within the system. In order to meet the public's expectations, FMCSA is strategically aligning its resources to:

- enhance safety in every aspect of the CMV transportation system from warehouse to boardroom;
- leverage stakeholders in a common CMV safety agenda;
- ensure accountability for decisions impacting CMV transportation safety; and,
- inspire and energize our workforce and partners to tackle our toughest CMV safety challenges with innovative ideas and programs.

Our goals and strategies developed under this five-year *Strategic Plan* are grouped into four strategic focus areas:

CMV Safety 1st Culture: Deliver comprehensive safety programs and promote operating standards focused on fostering safety as the highest priority within the CMV transportation life-cycle. Recognize that, while safety is FMCSA's highest priority, the Agency must also foster other important societal goals within the CMV transportation industry, including security, hazmat safety, consumer protection, and other DOT objectives.

Exponential Safety Power (Safety^X Power): Establish new partnerships and develop policies and programs promoting opportunities to collaborate with all stakeholders on CMV safety interventions. Build a highly coordinated network of safety partners and stakeholders to advance a common safety agenda.

Comprehensive Data & Technology Utilization: Improve standards and systems to identify, collect, evaluate, and disseminate real-time performance data to all employees, customers, partners, and stakeholders. Leverage research and emerging technologies to positively impact CMV transportation safety.

One FMCSA: Improve the strategic management of programs and human capital within FMCSA to build and sustain a diverse workforce and to develop innovative solutions to the CMV transportation challenges of today and tomorrow.

The next section of the Plan will detail each strategic focus area and its associated goals, strategies, initiatives, and outcomes.

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CMV SAFETY 1ST CULTURE

Deliver comprehensive safety programs and promote operating standards focused on fostering safety as the highest priority within the CMV transportation life-cycle. Recognize that, while safety is FMCSA's highest priority, the Agency must also foster other important societal goals within the CMV transportation industry, including security, hazmat safety, consumer protection, and other DOT objectives.

Goal 1: Develop and deliver programs focused on identifying and addressing CMV safety deficiencies and assigning management or operational accountability and responsibility.

Strategy 1.1: Identify gaps in current legislative and regulatory authorities that prevent FMCSA from reaching certain elements of the CMV transportation life-cycle (e.g., entities touching roadway movement of passengers and freight: shippers, receivers, brokers, freight forwarders) who may have a deleterious effect on safety through their actions.

Strategy 1.2: Develop a new credentialing standard to include effective vetting, training, and testing elements for all regulated entities, establishing an understanding of and compliance with FMCSA safety, hazmat, drug and alcohol testing, and commercial regulations.

Goal 2: Establish strong enforcement strategies and sanctions that achieve effective safety-management practices and systems by regulated entities or remove them from the CMV transportation system.

Strategy 2.1: Enhance and provide the tools to regulated entities to assist them in proactively tracking and improving their own safety performance management.

Strategy 2.2: Remove unsafe and high-risk behaviors from the CMV transportation system by creating and applying appropriate interventions and enforcement sanctions to improve behavior and safety performance.

Strategy 2.3: Create a comprehensive prioritization system based upon safety and risk analysis to drive FMCSA intervention efforts — a single, unified system based upon algorithms that cover each segment of our regulated industry (e.g., passenger, property, Hazmat, and HHG carriers, as well as, shippers, drivers, cargo tank manufacturers or repair facilities, intermodal equipment providers (IEP), and brokers).

Goal 3: Develop, enhance, and promote safe driving programs and policies that address driver behaviors to reduce CMV-related crashes, injuries, and fatalities.

Strategy 3.1: Advance education programs for high-risk drivers operating around CMVs (e.g., young, inexperienced, distracted, or aggressive drivers).

Strategy 3.2: Emphasize expanded traffic enforcement for all drivers operating in and around CMVs.

Strategy 3.3: Increase efforts to combat fraud within the CDL issuance and maintenance process, the drug and alcohol testing process, and the medical certification process.

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Strategy 3.4: Develop and promulgate a driver safety fitness standard and associated driver monitoring process.

Strategy 3.5: Develop training and testing standards for CMV drivers on applicable Federal safety regulations.

CMV Safety 1st Culture: Initiatives & Outcomes

FMCSA will strengthen various programmatic elements that will have the ultimate effect of raising the bar for CMV safety across the transportation life-cycle. This approach ensures that FMCSA's presence in safety outreach, oversight, and enforcement is highly effective and consistent with our three core principles as they relate to entering the CMV industry; maintaining high standards and accountability when providing service; and removing high-risk carriers, drivers, and service providers from operation.

Entering the CMV Industry

Initiatives for raising the bar to enter the CMV industry focus on application process changes and system enhancements to catch data inconsistencies. The Agency is expanding its use of an automated vetting process as part of the new applicant screening program for all new carriers. By clearly defining successor liability standards, this will strengthen the Agency's efforts to prosecute reincarnated carriers that are trying to avoid fines and out-of-service orders by recreating themselves within the industry. FMCSA is also developing a drug and alcohol testing web site to improve the knowledge of motor carriers, drivers, and service agents regarding the drug and alcohol requirements and responsibilities.

As part of the DOT Motorcoach Safety Action Plan and its safety arsenal, the Agency is revising testing standards to ensure uniformity across State licensing agencies, which will also reduce the likelihood of licensing and testing fraud. FMCSA will also require individuals to obtain a Commercial Learner's Permit prior to obtaining a CDL. Subsequently, new, mandatory training standards for entry level commercial bus drivers will be required, to strengthen classroom and behind-the-wheel training.

INITIATIVE SPOTLIGHT ON RAISING THE BAR TO ENTRY

The proposed Unified Registration System (URS) would replace several current identification and registration systems with a single, on-line, Federal system. All interstate motor carriers, property brokers, and freight forwarders engaged in the interstate transportation of property or passengers would be required to register with FMCSA and periodically update their information. This action would consolidate, simplify, and eliminate any overlap amongst current Federal registration processes and increase public accessibility to data about interstate and foreign motor carriers, property brokers, and freight forwarders.

Maintaining High Standards

The future of FMCSA's regulatory compliance program is CSA: Compliance, Safety, Accountability. Under the CSA business process, the new and more comprehensive Safety Measurement System (SMS) uses safety violations and crash reports and groups them into several Behavior Analysis Safety Improvement Categories (BASICs). This allows the Agency to better assess the relative safety performance (risk) of carriers and prioritize workload to maximize the efficiency and effectiveness of limited Federal and State enforcement resources. The current BASICs are: Driver Fitness; Fatigued Driving; Unsafe Driving; Drugs/Alcohol; Vehicle Maintenance; Cargo Related; and Crash Indicator. FMCSA deployed the first phase of CSA interventions nationally in December 2010; the second phase is planned for deployment in late 2011. Once full implementation is completed, the Agency will have instituted a broad array of interventions and follow-on corrective actions. The third part of CSA, the updated Safety Fitness Determination (SFD), will require rulemaking to decouple the Agency's official Safety Rating (as required in 49 U.S.C. 31144) from the requirement of an onsite investigation. It will allow FMCSA to base Safety Ratings directly on performance data and to update them on a monthly basis.

A second initiative that FMCSA is launching in support of maintaining high standards is the National Registry of Certified Medical Examiners for the medical practitioners who perform CMV driver physical qualification examinations in the United States. This initiative is a critical component of FMCSA's deployment of a comprehensive, national commercial driver medical oversight program based on the Federal Motor Carrier Safety Regulations, including specific medical standards, policies, and guidelines. An estimated 40,000 commercial driver medical examiners will require training through FMCSA partnerships with national organizations, as well as testing and certification by FMCSA. FMCSA will populate, maintain, and oversee the registry, monitoring medical examiner qualifications and performance and linking the medical certifications issued to the CDL-holder's driving record.

A third initiative that FMCSA is developing in support of maintaining high standards is the CDL Drug and Alcohol Clearinghouse. This initiative will identify drivers who test positive for drugs or alcohol and fail to complete the return-to-duty process before returning to operating CMVs. Currently there are an estimated 94,000 drivers who annually test positive for alcohol or drugs. The Government Accountability Office (GAO) estimates that 50 percent of these drivers do not complete the return-to-duty process, but obtain employment with other motor carriers by not informing them of the driver's complete employment history. This means that each year up to 47,000 drug and alcohol abusing drivers may return to operating CMVs on public roadways without receiving the required rehabilitation necessary to be qualified. The associated rulemaking for this initiative will require employers to query the Clearinghouse before hiring a CDL driver and will inform employers of individuals who should not be hired because of drug and alcohol violations. For the first time, this database will give FMCSA the large-scale ability to identify motor carriers who are violating the drug and alcohol testing regulations. These data will be used to populate the CSA BASIC for Drugs/Alcohol. The Clearinghouse will also provide a means to identify DOT-qualified medical review officers and substance abuse professionals, in partnership with the

certifying industry organizations, and minimize the opportunity for unqualified service agents to enter the DOT drug and alcohol testing process.

Removing High-Risk Carriers, Drivers, and Vehicles

Most carriers and drivers care as much about roadway safety as FMCSA does and operate vehicles safely and within FMCSA regulations. However, FMCSA works to identify and remove the operators who cut corners, avoid sanctions, or pose a transportation safety risk. The Agency will continue to provide information on carrier safety to the public through the SMS and will complete a rulemaking proposing changes to the Safety Fitness Determination process for carriers so that a larger segment of the population is rated. Driver violation information will be provided to motor carriers more expeditiously through the enhanced Pre-employment Screening Program (PSP) and the Employee Notification System. Additionally, the Agency will pursue a methodology to assess the safety fitness of drivers to further identify unsafe drivers who should not be in the industry. Lastly, the Agency continues to conduct research on innovative technology to make trucks and buses safer and will promote the use of this technology through increased outreach to the industry.

Outcomes

- Reduce the number of unsafe and high-risk behaviors in the CMV transportation system through education, sanctions, or incentives for corrective actions.
- Develop and implement an automated feedback loop to assess the effectiveness of each CSA intervention program.
- Establish a comprehensive prioritization system for all industry segments (e.g., Hazmat and HHG carriers and motorcoach operators).
- Seek or clarify legislative authority over those industry segments that may have an impact on the CMV transportation life-cycle.
- Establish a legitimate means to inform motor carriers of drivers' DOT drug and alcohol testing history, and prevent unqualified drivers from obtaining employment without completing the DOT return-to-duty process.

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EXPONENTIAL SAFETY POWER (SAFETY^{X} POWER)

Establish new partnerships and develop policies and programs promoting opportunities to collaborate with all stakeholders on CMV safety interventions. Build a highly coordinated network of safety partners and stakeholders to advance a common safety agenda.

Goal 4: Establish new partnerships and enhance collaboration with existing partners as a force-multiplier supporting FMCSA's regulatory compliance focus.

Strategy 4.1: Foster a broader array of partnerships to address CMV transportation issues such as enforcement, driver medical standards, drug and alcohol testing, passenger transportation, driver licensing, and consumer protection.

Strategy 4.2: Expand grant application opportunities and increase FMCSA's financial assistance flexibility.

Strategy 4.3: Improve FMCSA's rulemaking process by seeking opportunities to increase transparency and participation.

Strategy 4.4: Promote increased outreach, public information campaigns, targeted education initiatives, and compliance incentives to a broader array of partners (e.g., judicial, shipper, broker, insurance, medical, and education communities) to expand the reach and impact of FMCSA's safety and other messages.

Goal 5: Implement communications and outreach strategies that promote improved compliance and informed and transparent decision-making.

Strategy 5.1: Expand the use of listening sessions, new media (including social networking sites), and similar tools to facilitate an environment of enhanced openness and public participation.

Strategy 5.2: Continue to promote compliance incentives for motor carriers to use advanced safety technologies (e.g., electronic on-board recorders (EOBRs), collision warning systems, on-board view-ahead cameras, stability control systems, crash imminent braking, and back up warning systems).

Strategy 5.3: Initiate outreach to increase motor carrier, driver, and service agent knowledge of FMCSA drug and alcohol requirements and responsibilities, including those resulting from the CDL Drug and Alcohol Clearinghouse.

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Exponential Safety Power (Safety ^{X} Power): Initiatives & Outcomes

FMCSA relies on many stakeholders to support its safety mission. Industry, safety advocate groups, and Federal, State, and local government partners perform a vital role in the safety of the motoring public and the accomplishment of FMCSA's goals. Developing active partnerships and coordinating with key stakeholders plays an integral role in achieving the Agency's mission, goals, and strategies. FMCSA believes that in order to create a sustained safety culture the Agency must enlist all those who have a stake in CMV transportation safety. It is beneficial for both the government and the private sector when partnerships focus on positive road safety initiatives and outcomes. FMCSA will continue to strengthen its traditional and non-traditional partnerships, including, but not limited to, State and local enforcement agencies, safety advocacy groups, the motor carrier industry, labor, and the general public.

PARTNERS are those organizations that interact with FMCSA directly, such as grant recipients and enforcement officials.

STAKEHOLDERS are those who have a vested interest in FMCSA and its mission, but do not receive compliance and enforcement grants or may not have direct interactions with the Agency, such as the regulated industries and the general motoring public.

As a regulatory agency, FMCSA uses rulemaking as a tool to support its safety mission. Through greater use of innovative rulemaking techniques, FMCSA will expand opportunities for stakeholder and partner input. This will enable FMCSA to better evaluate the impact of new rules on those groups.

INITIATIVE SPOTLIGHT ON GRANT FLEXIBILITY

Restructuring FMCSA's grant program under three umbrella grant programs (listed below) will allow for greater flexibility, diverse participation, and the ability to redirect funds based on National, State, and local needs.

- Compliance, Safety, Accountability Grants
- Data and Information Technology Grants
- Driver Safety Grants

Outcomes

- Increase issuance of financial assistance awards to a broader array of recipients (e.g., school educators and driver education programs, local enforcement, safety outreach organizations).
- Promote greater outreach and public involvement at all levels of the FMCSA business process.
- Target education to high-risk populations that impact the safety of our roadways and the CMV industry.
- Expand partnering efforts with new stakeholder groups (e.g., medical review officers, substance abuse professionals, laboratories, collectors, consortia, third party administrators, shippers, receivers, and brokers) to improve rulemakings and to facilitate implementation of new initiatives.

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COMPREHENSIVE DATA & TECHNOLOGY UTILIZATION

Improve standards and systems to identify, collect, evaluate, and disseminate real-time performance data to all employees, customers, partners, and stakeholders. Leverage research and emerging technologies to positively impact CMV transportation safety.

Goal 6: Be the authoritative source for comprehensive CMV-related data to drive decision-making and support CMV Safety 1st Culture.

Strategy 6.1: Assemble and share comprehensive safety information collected by FMCSA in a single CMV transportation safety data system that is easily accessible to all partners and stakeholders.

Strategy 6.2: Pursue access to relevant external data sources, including naturalistic data, to develop new regulations that address high-risk driving behaviors.

Strategy 6.3: Protect data from unauthorized access and safeguard personally-identifiable information in accordance with Federal mandates, while allowing motor carriers to effectively access their safety and driver data.

Strategy 6.4: Enhance data quality management to ensure the most accurate, timely, relevant, and complete data possible.

Goal 7: Conduct and use transformative research that focuses on risk factors and safety technology to inform and enhance FMCSA's programs and priorities.

Strategy 7.1: Expand research on CMV driver risk factors to support rulemaking and to promote a health, wellness, and safety culture in motor carriers.

Strategy 7.2: Identify, test, and deploy smart roadside technologies in partnership with Federal, State, and local safety agencies.

Strategy 7.3: Accelerate the deployment of onboard safety systems by promoting the benefits to fleets and insurance carriers and test next-generation onboard safety systems in partnership with technology providers and other DOT agencies.

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Comprehensive Data & Technology Utilization: Initiatives & Outcomes

FMCSA is developing a data and technology-focused plan that will capture the next generation of systems to best support all programs and activities and accelerate the impact of safety programs. Some of the key initial work will be focused on the data management issues addressed in this *Strategic Plan*, including possible data warehousing and mining solutions for improved overall data quality. There are many other technology solutions that will also be under review. In order to inform decision-making, FMCSA will work with Federal and State partners to exchange data from the International Registration Plan (IRP), Unified Registration System (URS), Performance Registration Information System Management (PRISM), Commercial Vehicle Information Systems and Networks (CVISN), and other available data. FMCSA will develop a completely integrated data system with improved search capabilities.

INITIATIVE SPOTLIGHT ON LEVERAGING TECHNOLOGY

Technology, such as EOBRs, assists the Agency in identifying non-compliant carriers and enforcing the hours-of-service regulations. EOBRs have many advantages, including: reducing the paperwork burden for carriers and drivers that would otherwise maintain paper records of duty status, enhancing Agency and State hours-of-service oversight capabilities, and heightening compliance standards. The Agency will continue to look at additional opportunities for leveraging technology to increase the overall safety of the CMV industry.

Outcomes

- Improve access to high quality safety data collected by FMCSA and disseminated through a single CMV transportation safety data system.
- Increase the number of fleets incorporating a driver-focused safety culture centered on driver risk factors, including health, wellness, safety, and fatigue management programs.
- Increase market penetration of onboard safety systems (e.g., adaptive cruise control, forward collision warning, lane departure warning, crash imminent braking, and stability control systems).
- Increase deployment of electronic data exchange and Smart Roadside technologies.

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ONE FMCSA

Improve the strategic management of programs and human capital within FMCSA to build and sustain a diverse workforce and to develop innovative solutions to the CMV transportation challenges of today and tomorrow.

Goal 8: Create a proactive, mission-centric organization through the redesign and prioritization of FMCSA's policies, processes, rulemaking, and legislative changes.

Strategy 8.1: Develop and implement an organizational structure that supports FMCSA's mission delivery.

Strategy 8.2: Use data and research to identify, update, improve the effectiveness of, or eliminate obsolete and conflicting legislation, regulations, and processes.

Strategy 8.3: Develop standardized FMCSA business processes in support of our mission by defining the operating baseline, initiating process improvement reviews, and documenting a continuous improvement program for all policies, processes, and programs.

Goal 9: Attract, develop, and retain talented and knowledgeable employees through a comprehensive human capital strategy.

Strategy 9.1: Determine staffing needs, consistently define candidate qualifications, and develop a recruitment strategy that targets highly-qualified, diverse applicants from employee groups with low participation rates at FMCSA and fills open positions in a timely manner.

Strategy 9.2: Develop processes and tools for capturing and transferring institutional knowledge, including workforce development and succession planning.

Strategy 9.3: Foster a discrimination-free environment that promotes professional growth and offers career opportunities within our organization, including effective and equitable training opportunities for all employees.

Strategy 9.4: Expand work-life balance opportunities and access to health, wellness, and safety programs to make FMCSA an employer of choice.

Goal 10: Promote clear, thorough, and timely internal communications to enable common understanding and consistent execution of FMCSA programs.

Strategy 10.1: Create and implement FMCSA standards for timeliness, frequency, and responsiveness of communications between and among leadership and staff in both headquarters and field offices.

Strategy 10.2: Ensure that key regulatory initiatives, guidance, and policy provisions are effectively vetted among headquarters and field personnel and continually monitored and managed by the appropriate community of practice, and that implementation issues are considered early in the policy-making process.

FMCSA will invest in its employees and develop an effective organization to support the CMV transportation safety mission. The Agency is developing new initiatives around employee recruitment and retention; employee health, wellness, and safety performance management; and workforce planning. The Agency will ensure that all FMCSA employees have the knowledge and skills necessary to develop and perform at the highest level, maintaining sufficient training opportunities for existing employees. Whenever and wherever new employees join FMCSA, the Agency will also address their unique training needs. Training programs will help support the transfer of knowledge and best practices from the employees who will retire in the coming years to a new workforce. Approximately 27 percent of FMCSA's workforce will be eligible to retire over the next five years, the life of this *Strategic Plan*.

INITIATIVE SPOTLIGHT ON THE FMCSA HIRING PROCESS

- Standardize the hiring process and related procedures
- Focus on recruiting a highly qualified and diverse pool of candidates including persons with disabilities
- Develop and disseminate recruitment messages highlighting the benefits of working for FMCSA

FMCSA will also enhance policies, procedures, and internal controls to improve efficiency and standardize operations across the Agency. FMCSA plans to expand the document management system for tracking and monitoring processes and regulatory interpretations. The Agency will identify and eliminate outdated and conflicting regulations, and will use a multi-disciplinary team approach to implement and evaluate the effectiveness of key regulatory initiatives, guidance, and policy provisions. This approach reinforces the Agency's commitment to providing timely and accurate communications to internal and external stakeholders and to uphold the public's trust through fiduciary responsibility.

Outcomes

- Promote human capital initiatives in the areas of strategic alignment, leadership and knowledge management, performance culture, talent management, and accountability.
- Maintain a diverse workforce with increased employee retention rates.
- Improve overall health, wellness, and safety of FMCSA employees, especially those that face additional risks around our Nation's borders.
- Advance efficient and timely communications within FMCSA.
- Demonstrate strong fiscal accountability through effective internal controls and sound budget management practices.
- Achieve placement within the "Top 10" on the listing of the *Best places to Work in the Federal Government*.
- Achieve Model Equal Employment Opportunity Program Status in accordance with the Equal Employment Opportunity Commission's management directive.

III. ACCOUNTABILITY: MEASURING PERFORMANCE, MANAGING FOR RESULTS, & TRANSPARENCY

FMCSA understands the importance of accountability. By measuring performance, managing for results, and transparency, FMCSA will demonstrate its responsibility for achieving the goals within this *Strategic Plan*. To be successful, FMCSA depends on accurate and readily accessible data for operational decision-making. FMCSA uses data collected from motor carriers, Federal and State agencies, and other sources to monitor motor carrier compliance with the Federal Motor Carrier Safety Regulations and Hazardous Materials Regulations and to evaluate the safety performance of motor carriers, drivers, and vehicle fleets. The data are used to characterize and evaluate the safety experience of CMV operations and to help Federal safety investigators focus their enforcement resources by identifying high-risk carriers, drivers, and vehicles. Crash and inspection data, compliance reviews, and other types of reviews are used to determine the safety performance of individual carriers and to identify those that require roadside inspections or other interventions. With the implementation of CSA, FMCSA will use data even more extensively in its mission to continually improve CMV transportation safety.

FMCSA managers are accountable for:

- setting outcome-focused goals, measuring progress, and tracking completion of key milestones;
- monitoring human capital strategies and commitments;
- identifying factors that influence and affect trends;
- adopting and implementing cogent strategies based on analysis of performance and other relevant data; and,
- exercising prudent fiscal management.

Managers are also responsible for being transparent as they report the status of high priority goals and objectives.

It is in the spirit of the OMB's direction that FMCSA has fashioned its strategic approach to address accountability through measuring performance, managing for results, and transparency.

OFFICE OF MANAGEMENT AND BUDGET (OMB) DIRECTION:

"Our (OMB) goal is to build a transparent, high-performance government capable of addressing the challenges of the 21st century. The American people deserve a government that works, where the public interest is prioritized, where the impact of government spending is transparent and held to high, objective standards, and where results and good management matter."

MEASURING PERFORMANCE

In addition to using data to make smarter day-to-day decisions, FMCSA collects and monitors program data and analyzes data trends to assist the Agency in measuring strategic progress and proactively identifying areas that may need additional attention. Through all of its programs, rules, and oversight activities, FMCSA aims to reduce the number of crashes, injuries, and fatalities involving CMVs. Each year, FMCSA establishes performance measures that communicate the impacts and outcomes associated with the activities it employs to improve safety and other congressionally mandated endeavors. Specific performance measures will be detailed in FMCSA's annual integrated Performance Budget, updated each year with targets and accomplishments that align with our four strategic focus areas.

MANAGING FOR RESULTS

FMCSA manages program performance and the effectiveness of FMCSA requirements and policies using several management tools. Conducting regular assessments of its programs and rules, FMCSA determines which programs, requirements, and policies have the greatest impact on achieving its safety mission. They are objective, systematic studies that answer questions about program performance and results. FMCSA conducts program evaluations in accordance with GAO's *Performance Measurement and Evaluation: Definitions and Relationships*[2] publication and FMCSA's internal Program Evaluation and Policy Directive. According to GAO, the four main types of program evaluations are process evaluations, outcome evaluations, impact evaluations, and cost-benefit/cost-effectiveness analyses. Available data are used to provide objective analysis of how well programs are working, to support management and resource allocation decisions, to identify program and process improvements, and to support performance metrics. These evaluations are part of a cycle that promotes continuous programmatic improvement, as depicted in Figure 3: Program Evaluation Cycle.

The Agency will develop performance reports that will provide information about FMCSA's progress in achieving long-term and annual goals, clearly indicating goals identified as a high priority and showing long-term trends wherever possible. The reports will explain where and why progress is being made and where and why problems have been encountered. In addition, the performance reports will link Agency outputs and outcomes to long-term goals.

Figure 3: Program Evaluation Cycle

TRANSPARENCY

A critical component of managing for results is communicating the results of FMCSA's program evaluations, developed internally and externally, and sharing the results with our stakeholders and partners. In implementing this *Strategic Plan*, FMCSA plans to establish a reporting dashboard with milestones dedicated to tracking and measuring progress against each of the four focus areas and their associated goals and strategies. FMCSA senior leaders will use this dashboard to accurately assess strategic progress and to inform decisions. This system will influence how FMCSA distributes resources among objectives that require attention. FMCSA is committed to communicating its progress by posting performance reports on the web site.

[2] U.S. Government Accountability Office*: Performance Measurement and Evaluation: Definitions and Relationships,* GAO-11-646SP. Washington, D.C.: Government Accountability Office, May 2011.