

# DEPARTMENT OF TRANSPORTATION

## STRATEGIC PLAN

### 2003 - 2008

### SAFER, SIMPLER, SMARTER TRANSPORTATION SOLUTIONS

### SEPTEMBER 2003

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My fellow employees:

I am pleased to present the United States Department of Transportation's Strategic Plan for fiscal years 2003-2008. This Plan provides a blueprint for achieving our strategic objectives in safety, mobility, global connectivity, environmental stewardship and security through *Safer, Simpler, Smarter Transportation Solutions*. The Department's top priorities are to keep the traveling public safe, increase their mobility, and ensure that our transportation system enables the Nation's economic growth and development.

As the Department plans for transportation's future, I must acknowledge the extraordinary events of the past two years. In many ways, the Department has become a more agile and more mature organization. We have succeeded in accomplishing one of the most daunting tasks ever to confront a Federal agency – to keep this Nation's transportation moving in spite of the brutal attacks of September 11, 2001. The Department's response to September 11 illustrates our core values and why we are considered one of the best-managed departments in the Federal Government.

I am confident you are as proud as I am of our many accomplishments under the leadership of President

George W. Bush. The Department has renewed its commitment to increasing transportation safety and to keeping our transportation system on the leading edge of technology. Our 21st Century transportation system safely and securely transports our citizens and delivers a wide range of goods throughout the country and around the world. In times of war, our transportation system also moves troops and carries defense cargo efficiently.

With the President's support, I have proposed significant legislation for the reauthorization of Federal surface and air transportation programs and for passenger rail reform. The Bush Administration is working with Congress to bring about important changes in all modes of transportation — at the same time — thus delivering on the promise of safer, simpler and smarter transportation solutions.

I appreciate your hard work in developing this Strategic Plan and urge you to put it into action building upon the substantial progress we have had in improving transportation in the United States and worldwide.

Norman Y. Mineta

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# **1. The Secretary's Vision**

## *"Safer, Simpler, Smarter Transportation Solutions"*

Leadership, effective management and commitment to the highest standards of public service characterized Transportation Secretary Norman Y. Mineta's response to unprecedented transportation challenges in recent years. As we plan for transportation's future, we must acknowledge that the extraordinary events of the past two years have made us a more innovative, more agile and more mature

organization.

Now Secretary Mineta is calling upon the DOT Team to be architects of the future and redefine our core mission in light of future challenges to transportation. DOT's core mission emphasizes the national interest in safe and efficient transportation. The Department of Transportation Act of 1966 calls for "... the development of transportation policies and programs that contribute to providing fast, safe, efficient, and convenient transportation at the lowest cost...."

This core mission is valid today and will be valid well into the future even with a global economy where anything can be made anywhere and sold everywhere else around the world. Today, multinational manufacturers source inputs from international suppliers, bring these inputs to production facilities, assemble them and ship them to customers around the globe. Competitive international trade depends on transportation.

Transportation is an integrated network consisting of publicly and privately owned and operated equipment, infrastructure and logistics systems. Increasingly the equipment – cars, trucks, buses, trains, ships, airplanes, launch vehicles and pipelines – uses information technology to ensure that the person or good being moved arrives at the right place at the right time. Similarly the infrastructure – highways, port facilities, airports, space launch and reentry sites, railway and transit stations – is connected by communication and information networks. Improvements in logistics systems sparked by information technology – such as navigation equipment, air traffic control systems, and tracking systems – increase not only the efficiency but also the safety of transportation. The Nation's economic growth and prosperity are dependent upon the synergies of our transportation and information networks.

Developing a strategic vision for the Department of Transportation is essential if we are to achieve our core mission in light of the challenges inherent in a global context where expectations for the movement of people and goods are propelled by information technology. Americans will require even safer and more efficient domestic and international transportation to support their daily lives, to underpin the economy and to connect the United States to the rest of the world.

Secretary Mineta has called for a safer, simpler and smarter transportation system for the benefit of all Americans. Safer because we will place greater emphasis on saving lives and reducing accidents than ever before. Simpler because we will improve the management of our resources by consolidating and streamlining programs. And smarter because we will focus on improving efficiency, achieving results and increasing accountability.

We have used these principles as our guide in developing ideas for the reauthorization of Federal surface and air transportation programs to ensure that they will successfully address our Nation's future needs. In addition to these two major pieces of legislation, this Administration is working to achieve significant reform in intercity passenger rail and to address maritime transportation issues with greater focus and substance.

This unique confluence of events gives the Bush Administration the opportunity, for the first time in history, to work with Congress in bringing about important changes in all modes of transportation – at the same time – thus delivering on the promise of safer, more efficient transportation at home and abroad.

## **Safety**

Secretary Mineta's top priority is improving the safety of the Nation's transportation system. President

Bush has challenged this Department to develop creative ways to reduce the number of fatalities on the Nation's highways. Secretary Mineta has accepted this challenge and, as a safety advocate, has established a goal to reduce the highway fatality rate to not more than 1.0 per 100 million vehicle miles traveled by 2008 from 1.7 per 100 million vehicle miles traveled in 1996.

The need to improve safety on our highways is clear. In 2002, over 42 thousand people were killed in traffic accidents. While alcohol remains the single, largest contributing factor to fatal crashes, claiming over 17,000 lives, about 25 percent of Americans (or about 70 million people) still do not use safety belts when driving or riding in motor vehicles. Finally, 11 percent of people killed in motor vehicle incidents are involved in crashes with large trucks. Our central strategies for reducing transportation fatalities and injuries on our highways are to reduce alcohol-impaired driving, to increase safety belt use and to ensure that commercial vehicles meet the highest possible safety standards.

Secretary Mineta's vision for aviation safety has several key elements and it extends to aviation here in the U.S. and throughout the world. Our goals are to reduce commercial aviation fatal accidents to 0.01 per 100 thousand departures and to reduce general aviation fatal accidents to 325 by 2008. Aviation safety begins with a proactive approach. We use hard data to detect problems and disturbing trends, take the actions that will achieve the greatest benefits in preventing accidents, use technology where it brings the greatest safety benefits and constantly question the status quo. We are committed to Safer Skies at home and abroad.

## **Mobility**

Congestion is clearly a growing threat to our economic well-being. Indeed, the U.S. Chamber of Commerce has said it is one of the biggest problems facing our economy today. Transportation congestion and bottlenecks damage air quality, slow commerce, increase energy consumption and threaten our quality of life causing Americans to waste significant time and money. Traffic congestion now costs motorists in our Nation's top urban areas about \$68 billion a year in wasted time and fuel. These costs do not include the added expense incurred by businesses and their customers when goods and materials are not delivered in a timely fashion. Without public transit, the congestion cost would be \$19 billion higher.

In 2000, aviation delays attributable to air traffic congestion cost passengers, shippers, and the industry an estimated record \$6.5 billion, not including costs to other sectors of the economy. The tragic events of 9/11 coupled with the economic downturn have depressed air traffic levels. The most optimistic predictions are for air travel and activity at air traffic facilities to return to pre 9/11 levels between 2005 and 2006. However, the mix of air traffic is expected to be more complex. There will be more small regional and business jets that use the same airspace and runways but require greater separation from the larger jets. This increased growth and complexity will require more capacity in the air traffic control system and at certain airports.

Clearly, the time has come for more effective solutions. The Department is committed to a comprehensive approach to congestion relief that involves creativity and leadership in making needed improvements throughout the transportation system.

Strategic expansion of our system capacity and other solutions are needed to address our growing mobility needs. We will accelerate the application of technology to improve operations for the most efficient use of existing facilities, maintain the infrastructure through better asset management, and inform travelers of dangerous conditions and alternative routes. We will further empower Tribal, state and local decision-making because local transportation problems are best solved locally. We will work

to develop a reliable and financially viable intercity passenger rail network, which is an essential element of the Nation's transportation system. Finally, we will explore ways to develop a robust, domestic short sea and waterway shipping system to alleviate congestion. Nationwide, growth in port container traffic is expected to double by 2020. Our Nation's coastal and waterway shipping system is underutilized and it could provide a practical, safe and efficient means of transporting freight.

Congestion cannot be relieved, however, without significant investment in the transportation infrastructure. As we have seen in Europe and elsewhere around the world, the private sector can play a huge role in infrastructure investments. For the most part, that has not been true in the United States. The Bush Administration hopes to change that. We will seek ways to expand and improve current Federal innovative finance programs. Figuring out how to finance new transportation infrastructure will take time and creative thinking on the part of many public and private sector players. The revenue streams that are the foundation of any innovative financing strategy are there: individuals and businesses will pay for improved efficiency in every sector of the economy, and transportation is no different.

An integral aspect of mobility is accessibility. To be inclusive, transportation must be accessible to all, including those with low incomes, the elderly and persons with disabilities. Transportation connects each of us to vitally important aspects of our lives: work, education, family, friends, recreation, health, and commerce. Many of the 37 million Americans who live below the poverty line rely on transit as their only means of transportation. As former recipients of Federal aid move from welfare to work, transit will offer the critical link that makes employment possible and the American workforce stronger. Accessible public transportation is critical to nearly 50 million Americans with disabilities and the increasing elderly population who can no longer drive. It is our obligation to ensure that transportation is not only safe and efficient, but that it is also accessible to all. Where barriers to accessibility exist, we will seek to eliminate them. When planning for the future, accessibility will be part of our vision. We will strive to give more freedom and choice to travelers and shippers. Mobility is the right of every American.

## **Global Connectivity**

Secretary Mineta's vision of the future acknowledges the vital importance of global connectivity in transportation. Transportation systems within and among Nations are lifelines to the future, to freer trade and accelerated economic growth, to greater cultural exchange and to the expansion of democracy around the world. Our increasingly globalized economy hinges on efficient supply chains and just-in-time manufacturing. Transportation is critical to both. With leaner inventories, companies must rely on transportation that enables them to conduct business in the most cost-effective, competitive way.

International trade and travel have become an increasingly important part of the transportation picture. In 2001, over 1.6 billion tons of international freight, valued at \$1.9 trillion, moved to and from the U.S. accounting for over 10 percent of the nearly 16 billion tons of freight that moved on the Nation's transportation system. That same year, over 19 million containers were used to transport imports into the U.S., six million by ocean vessels and 13 million by truck and rail from Canada and Mexico, illustrating the importance of efficient freight flows. Competitive international trade depends on transportation.

On the leading edge of international cooperation is commercial aviation which has grown 70-fold since the first jet airliner flew five decades ago, growth unmatched by any other mode of transportation over that period. Recent statistics show that over 1.6 billion passengers travel by air for business and recreation each year. This figure is expected to grow to 2.3 billion passengers annually by the end of the

decade.

Increasing globalization of the American economy will put pressure on the capacity of our ports and borders. By the year 2020, U.S. foreign trade in goods is expected to grow by more than half its current tonnage. Major congestion that now occurs in and around marine ports and terminals at specific points and times will increase. DOT must have new policies and programs in place to be prepared for this projected increase in trade.

We will employ four key strategies to address global connectivity in transport. We will continue to liberalize aviation markets around the world; expand the capacity and efficiency of our freight transportation system through a strategic freight agenda for the future; improve intermodal linkages, and ensure efficient trade movements at border crossings. In the future, America will need a fully integrated domestic transportation system as well as safe and efficient connections to the rest of the world.

## **Environmental Stewardship**

Current trends in transportation are exerting pressure on environmental resources worldwide. In the U.S., commercial and personal travel have grown substantially in recent years and will continue to increase in the future. For example, annual vehicle miles traveled on our Nation's highways have almost quadrupled since 1960 and have far outstripped the growth in lane-miles. Increased travel boosts transportation's energy consumption, creating challenges in terms of supply. Energy consumption is also tied to greenhouse gas production, an emerging concern for the transportation sector, which produces 26.8 percent of the greenhouse gases emitted in the U.S. and is increasing emissions faster than any other sector. Although transportation emissions of nearly all air pollutants are at their lowest levels in 30 years, and the use of public transportation contributes to the reduction in air emissions from cars and trucks, continued growth in travel has caused a slight increase in nitrogen oxide emissions and continues to challenge efforts to reduce air pollutant emissions.

Americans want solutions to our transportation problems but they want solutions that are consistent with sound environmental planning. Environmental streamlining and stewardship offer a new way of doing business that brings together the timely delivery of transportation projects and protection of the environment. This approach rejects the false choice often presented between adding transportation capacity and protecting our environment. Context-sensitive solutions are an effort to get all of the players to work together to ensure that transportation decisions are fully respectful of communities and of environmental resources.

In the coming years, DOT will balance the need for a safe and efficient transportation network with the importance of preserving environmental quality but in a more efficient manner. Our central strategy for achieving balance will be to consolidate and streamline our programs and improve system performance. We will accelerate the review of all vital transportation projects, consistent with the requirements of environmental law and our responsibilities to be good stewards of the environment. The time required to complete environmentally sound projects will be reduced, consistent with our goal of smarter transportation solutions.

We will implement Executive Order 13274, "Environmental Stewardship and Transportation Infrastructure Project Reviews," signed by President Bush to speed up decision making on vital airport, highway, transit and intermodal transportation projects, while safeguarding the environment. As specified in the Executive Order, we have created an executive-level Federal task force, chaired by Secretary Mineta, which will expedite priority projects and improve procedures that apply to all projects. Executive Order 13274 means environmentally sound projects will no longer be delayed unnecessarily

by inefficient review procedures. We will respect environmental requirements, but we will address those requirements more efficiently.

In addition to implementing the President's Executive Order, we are pursuing a wide range of other initiatives designed to lessen transportation's impact on the environment. For example, we are looking carefully at how we can reform the Corporate Average Fuel Economy (CAFE) standards to encourage vehicle manufacturers to improve the fuel efficiency of their products.

## **Security**

President Bush has directed DOT and the Department of Homeland Security (DHS) to work together to design a world-class transportation security system that will prevent terrorists from ever again using transportation as a weapon against us. We understand the urgency in securing our transportation facilities from terrorist attack as well as from foreign and domestic criminal enterprise. We also recognize that our transportation system must remain a vital link for mobilizing our armed forces for military contingencies and for supporting civilian emergency response.

In close collaboration with the DHS Emergency Response and Preparedness Directorate, we will determine how to keep our transportation system operating during an emergency and how to keep Americans who use it as safe and secure as possible. We will work closely with DHS, and with our State, local government and private sector partners to elevate security levels not only for aviation, but also for our railways, highways, waterways, transit systems, and pipelines. DOT's Maritime Administration is responsible for maintaining the Nation's Ready Reserve Fleet of vessels that can be called into action in time of war. We will ensure that certain military needs of the nation in the maritime sector are fully met during times of crisis. We will maximize the opportunities presented by our regulatory enforcement activities when they expose security risks in the transport of goods or people. We are dedicated to accomplishing our crucial transportation missions and will work to keep transportation operating safely and efficiently even during emergency situations.

## **Organizational Excellence and the President's Management Agenda**

Secretary Mineta understands that we cannot achieve our strategic objectives without a culture of continuous improvement. We support the President's Management Agenda (PMA) and are implementing it fully throughout the Department. Three principles guided the President's vision for government reform: government should be citizen centered, results oriented and market based, promoting innovation through competition. The PMA contains five mutually reinforcing goals that the DOT Team is integrating into its corporate culture in striving for continuous management improvement:

- Strategic Management of Human Capital;
- Budget and Performance Integration;
- Competitive Sourcing;
- Expanded E-Government; and
- Improved Financial Management.

To make DOT the most desirable place to work in the Federal government and the internationally recognized focal point for transportation core competencies, we must face a number of challenges in the years ahead. Most critically, we must attract the best and the brightest people to our workforce and inspire a new generation of innovators and pioneers in transportation careers. Secretary Mineta's vision calls for DOT to become the employer of choice not only within the transportation enterprise but also



within the Federal government.

## Conclusion

Americans have built a vast and highly productive network of transportation assets based on the strengths of individual modes – air, marine, highway, transit and rail. Now, our challenge is to become architects of the future blending these separate constituencies into a single, fully coordinated system – one that connects and integrates the individual modes in a manner that is at once safe, economically efficient, equitable, and environmentally sound. The American people require the safest and the most efficient transportation system we can provide. The quality of our lives, the shape of our communities, and the productivity of our economy depend on our success in meeting this goal.

## 2. Transportation at Home and Abroad

In the years ahead, America will require an even safer, more equitable and more efficient transportation system to connect citizens, businesses and governments here and abroad. As the backbone of the U.S. economy, transportation comprises 11 percent of the gross domestic product, approximately \$1.1 trillion annually and supports one in eight jobs. American households spent an average of \$7,000 on transportation in 1999, nearly 20 percent of their income – second only to the amount they spent on housing.

The U.S. transportation system annually provides over 4.9 trillion passenger miles of travel and 3.8 trillion ton miles of domestic freight generated by 281 million people, 7.1 million business establishments, and 88 thousand units of government. The system includes 3.9 million miles of public roads, and 2.1 million miles of oil and natural gas pipelines. There are networks consisting of 122,000 miles of major railroads, 26,000 miles of commercially navigable waterways, over 5 thousand public-use airports and four commercial spaceports. This vast system also includes 800 public transit operators in 417 urbanized areas, 300 transit systems serving rural areas and 4,000 transit agencies that provide mobility to elderly and disabled individuals. U.S. transit systems operate 154,244 transit vehicles, 10,572 miles of rail track and 2,825 rail stations. In addition, the transportation network includes 321 ports on the coasts, Great Lakes, and inland waterways. In 2001, the highway system carried over 2.7 trillion vehicle-miles of travel, the rail system carried over 500 million rail freight train miles, and 21 million trips on Amtrak trains. More than 9.1 billion trips were made on public transit, and 630 million passengers boarded airplanes.

International trade and travel have become an increasingly important part of the transportation picture. Over 1.6 billion tons of international freight, valued at \$1.9 trillion, moved to and from the U.S. in 2001, accounting for over 10 percent of the nearly 16 billion tons of freight that moved on the Nation's transportation system. Over 19 million containers were used to transport imports into the U.S. in 2001, six million by ocean vessels and 13 million by truck and rail from Canada and Mexico, illustrating the challenge of maintaining transportation security while facilitating efficient freight flows. International freight volumes at these levels represent a significant source of stress for U.S. domestic transportation. A total of 366 million inbound and outbound trips were also made between the U.S. and other countries in 2000, compared to 315 million trips in 1990 with same day travel between the U.S. and Canada or Mexico accounting for the majority of these trips.

Transportation is a strategic investment essential to strengthening the American economy. America needs a fully integrated domestic transportation system as well as safe and efficient connections to the rest of the world.

### 3. The U.S. Department of Transportation

The U.S. Department of Transportation (DOT) occupies a leadership role in the global transportation network. The people of DOT are 59,700 strong, dedicated to improving transportation in the U.S. and around the world by making it safer, simpler and smarter. Safer - because we will place a greater emphasis than ever before on saving lives and reducing accidents. Simpler - because we will consolidate and streamline our programs. And smarter - because we will focus on efficiency, achieving results and increasing accountability.

DOT's mission, as stated in Section 101 of Title 49, United States Code, is as follows:

*The national objectives of general welfare, economic growth and stability, and the security of the United States require the development of transportation policies and programs that contribute to providing fast, safe, efficient, and convenient transportation at the lowest cost consistent with those and other national objectives, including the efficient use and conservation of the resources of the United States.*

Since its first official day of operation in 1967, DOT's transportation programs have evolved to meet the economic and security demands of the Nation.<sup>[1]</sup> The Bush Administration has proposed a \$54.2 billion investment in our National transportation network in fiscal year 2004, an investment in the Nation's future.

Today DOT is comprised of the Office of the Secretary, the Surface Transportation Board,<sup>[2]</sup> the Office of the Inspector General and 10 operating administrations:

Federal Aviation Administration  
Federal Highway Administration  
Federal Motor Carrier Safety Administration  
Federal Railroad Administration  
Federal Transit Administration  
Maritime Administration  
National Highway Traffic Safety Administration  
Research and Special Programs Administration  
Saint Lawrence Seaway Development Corporation  
Bureau of Transportation Statistics

### 4. Values Statement

#### Professionalism

*As accountable public servants, we exemplify the highest standards of excellence, integrity, courtesy and respect in the work environment.*

#### Teamwork

*We support each other, respect differences in people and ideas, and work together in ONE DOT fashion.*

#### Customer Focus

*We strive to understand and meet the needs of our customers through service, innovation and creativity. We are dedicated to delivering results that matter to the American people.*

## **5. Strategic Plan Overview**

### **Vision**

*"Safer, Simpler, Smarter Transportation Solutions"*

### **Mission**

*To develop and administer policies and programs that contribute to providing fast, safe, efficient, and convenient transportation at the lowest cost consistent with the national objectives of general welfare, economic growth and stability, the security of the United States and the efficient use and conservation of the resources of the United States.*

### **Strategic Objectives**

*Safety: Enhance public health and safety by working toward the elimination of transportation-related deaths and injuries.*

*Mobility: Advance accessible, efficient, intermodal transportation for the movement of people and goods.*

*Global Connectivity: Facilitate a more efficient domestic and global transportation system that enables economic growth and development.*

*Environmental Stewardship: Promote transportation solutions that enhance communities and protect the natural and built environment.*

*Security: Balance homeland and national security transportation requirements with the mobility needs of the Nation for personal travel and commerce.*

### **Organizational Excellence**

*Advance the Department's ability to manage for results and achieve the goals of the President's Management Agenda.*

## **6. Safety Strategic Objective**

*"Enhance public health and safety by working toward the elimination of transportation-related deaths and injuries"*

### **6.1 Outcomes**

- 1) Reduction in transportation-related deaths
- 2) Reduction in transportation-related injuries

## 6.2 Strategies

Improving the safety of the Nation's transportation system is one of the highest priorities of the Bush Administration and the top priority of DOT Secretary Norman Y. Mineta. President Bush has said that what counts is reducing the number of people who die on the Nation's highways each year. The Secretary has accepted this challenge and has urged the entire DOT team to become safety advocates dedicated to saving lives and reducing transportation-related injuries. The Department has established a goal to reduce the highway fatality rate to not more than 1.0 per 100 million vehicle miles traveled by 2008 from 1.7 per 100 million vehicle miles traveled in 1996. Our central strategies for reducing transportation fatalities and injuries are to reduce alcohol-impaired driving, increase safety belt use and improve the safety of commercial vehicle operations.

The Department's vision for aviation safety extends to Safer Skies here in the U.S. and around the world. Our goals are to reduce commercial aviation fatal accidents to 0.01 per 100 thousand departures and to reduce general aviation fatal accidents to 325 by 2008. Our aviation strategies are proactive. We will use hard data to detect problems and disturbing trends, take actions that will achieve the greatest benefits in preventing accidents, use technology where it brings the greatest safety benefits and constantly question the status quo.

The resources and programs listed in DOT's Annual Performance Budgets are necessary to achieve the target reductions in transportation-related fatalities and injuries and execute the strategies presented below. Each year DOT reassesses its performance goals based on appropriations. The schedule for executing the strategies presented below extends from the present through fiscal year 2008. Each strategy supports both safety outcomes.

### Leadership

- 1) Propose legislation to streamline and consolidate surface transportation safety grant programs.
- 2) Propose legislation to reduce collisions at highway rail crossings and address related issues.
- 3) Collaborate with Tribes, States, local governments and other stakeholders on the development, implementation, enforcement and evaluation of safety countermeasures and programs that promote safe behavior and practices in all modes of transportation.
- 4) Collaborate with safety advocates and other stakeholders to design incentives for improving safety including financial inducements, third-party or self-certification of safety compliance for private and commercial operators, and partnerships to accelerate deployment of safety technologies.
- 5) Develop, promote and enforce performance-based, national and international safety standards and regulations that allow innovation while improving safety levels.
- 6) Work on maritime safety policies with the DHS/Coast Guard.

### Building Expertise

- 7) Conduct, support and publish research in all modes on safety enhancing technologies and on topics related to safety such as human performance, differing cultural norms, behavior, and unsafe trends.
- 8) Work with Tribes, states, local governments and other stakeholders to develop intermodal safety

standards and comprehensive highway safety plans.

9) Develop, promote and support public education and information activities that advance safe behavior, safe operations, and best safety practices in all modes of transportation.

10) Provide training and technical assistance to industry, Tribal governments, states, and other levels of government on safety issues and safety management practices.

11) Become the employer of choice for individuals seeking careers in transportation safety by providing job opportunities, internships, training and rotational assignments in safety core competencies.

### **Technology**

12) Work with Tribes, States, local governments and other stakeholders to build safety into the transportation infrastructure and into operational procedures through research, planning, design, engineering, incentives, and incorporation of safety enhancing technologies.

13) Mitigate the consequences of safety incidents through more effective response, technology, and coordination with private transportation providers and state and local government.

14) Capitalize on secure, advanced technology to provide information to the public in languages and formats they understand on the benefits of safe behavior and practices in all modes of transportation.

15) Increase the implementation of infrastructure and operational improvements focused on enhancing the ability of travelers to remain on the roadway, reducing the adverse consequences of roadway departure, improving intersection safety and protecting pedestrians in the roadway environment.

## **6.3 Management Challenges**

Safety is Secretary Mineta's top priority and he has directed the DOT Team to address the safety management challenges outlined by the General Accounting Office (GAO) and DOT's Office of the Inspector General (OIG).<sup>[3]</sup> Safety is of concern to the GAO because of the limited progress in recent years in improving safety on our Nation's roads, where 94 percent of all accidental fatalities occur; in general aviation, where 87 percent of all aviation fatalities occur; and in commercial aviation, where accidents have the potential for catastrophic loss of life. Both OIG and GAO cite improvement in transportation safety as one of the Department's most pressing challenges.

OIG noted that 2002 was a very safe year in aviation. Operational errors decreased by 11 percent and runway incursions decreased by 17 percent over their FY 2001 levels. However, the OIG has stated that the Federal Aviation Administration (FAA) needs to reduce operational errors and runway incursions because at least three serious operational errors and one serious runway incursion occur, on average, every ten days. The OIG noted that operational errors and runway incursions are expected to become more frequent as air traffic returns to pre 9/11 growth patterns.

### **Operational Errors**

The OIG noted that operational errors in fiscal year 2002 were down to 1,061 from an all-time high of almost 1,200 in fiscal year 2001. The OIG stated that FAA needs to ensure training for air traffic controllers who make errors and reexamine its new error severity rating system to be sure it accurately

reflects the safety risk of reported errors.

The FAA has acknowledged that operational errors are a serious aviation safety concern and will address them as follows:

*Milestone:* Develop and implement a three-year plan for operational error prevention.

### **Runway Incursions**

The OIG noted that runway incursions and close calls (Category A and B) were reduced in fiscal year 2002. On average, one runway incursion occurs per day and one close call occurs every ten days. To reduce these averages, FAA needs to follow through on its plans to train pilots and controllers to improve their surface operations performance and use technology to warn pilots and controllers of potential collisions.

The FAA has acknowledged the need to reduce runway incursions and close calls and will address them as follows:

*Milestone:* Create and accomplish a National Runway Safety Plan to reduce risk of surface operations.

### **Safety Belt Use**

The OIG observed that there was no credible basis to forecast increases in safety belt use in excess of the recent trend of one percentage point per year unless additional states enact and enforce primary safety belt laws. The National Highway Traffic Safety Administration (NHTSA) estimates that raising safety belt use from the current 79 percent mark to 85 percent would save 1,600 lives annually. The most effective means of increasing safety belt use is enactment and enforcement of primary safety belt laws that allow police to cite drivers for not wearing safety belts.

NHTSA has acknowledged the importance of increasing safety belt use and has developed an agenda for fiscal years 2003 – 2008 that includes the following milestones:

*Milestone:* Support the States in enforcement of primary safety belt laws.

*Milestone:* Continue to encourage the use of Occupant Protection Selective Traffic Enforcement Programs in the States.

### **TREAD Act**

The OIG has called for continued implementation of the Transportation Recall Enhancement, Accountability, and Documentation (TREAD) Act to improve highway safety. While NHTSA has made significant progress in implementing TREAD through 11 final rulemakings over the last two years, one rulemaking has not been completed.

NHTSA has acknowledged the importance of implementation of the TREAD Act and has developed an agenda that includes the following milestones:

*Milestone:* Complete the final rule concerning Certification Label.

*Milestone:* Improve data and data systems that support defect investigation and research.

## **Highway Safety at the Southern Border**

Trade between Mexico and the U.S., as measured by dollar value, may double by 2008, magnifying cross border traffic and safety issues. The OIG has stated that the key to a successful oversight program will be effective use of safety inspection resources and implementation of procedures. OIG recommended the Federal Motor Carrier Safety Administration (FMCSA) reevaluate its overall resource requirements for the U.S.-Mexico border as the number of Mexican motor carriers receiving authority to operate long haul vehicles in the U.S. increases. OIG noted the need for better Federal and state inspector access to current, accurate, and timely information on drivers, vehicles, and motor carriers.

FMCSA has acknowledged these motor carrier safety concerns and will address them through the following milestones:

*Milestone:* FMCSA will sustain staff, facilities, data systems and equipment to extend safety compliance and enforcement operations to include Mexican carriers operating in the U.S. in fiscal year 2003.

*Milestone:* FMCSA plans to establish performance measures and conduct an evaluation in fiscal year 2007 to assess the effectiveness of border safety audits on highway safety.

## **Commercial Driver's License Program**

The OIG recognizes the FMCSA must strive for improved credibility and integrity in the Commercial Driver's License (CDL) program. Fraudulent testing and licensing of commercial drivers compromises highway safety and necessitates expensive driver retesting on the state level. FMCSA needs to strengthen and clarify the Federal CDL standards and require states to monitor driver examiners to counter fraudulent licensing

FMCSA has acknowledged the importance of credibility and integrity in the CDL program and will address this issue through the following milestones:

*Milestone:* FMCSA will conduct reviews of state CDL programs to determine compliance with regulatory requirements through a repeating triennial cycle with 17 states reviewed each fiscal year through 2008.

*Milestone:* FMCSA will provide CDL programs and incentive grants to support improvements in state CDL programs and address deficiencies identified in compliance reviews and OIG audits.

*Milestone:* FMCSA will conduct a baseline evaluation of the CDL program in fiscal year 2005.

## **6.4 Cross-Cutting Programs**

DOT's staff seeks opportunities to partner with a wide variety of public and private organizations to leverage our resources, working smarter, and achieve our goals. Below we present a selection of active partnerships that are targeted to our safety outcomes - reductions in transportation related fatalities and injuries.

### **Aviation Safety Research**

Goal: To leverage FAA and National Aeronautics and Space Administration (NASA) R&D resources to reduce the fatal accident rate for U.S. commercial air carriers. (Supports both outcomes)

Agencies Involved: DOT/FAA lead, NASA, National Transportation Safety Board.

### **Proactive Use of Aviation Safety Information**

Goal: To collect data about safety problems in the aviation system and use that data proactively to rectify the problems before they cause accidents or incidents. (Supports both outcomes)

Agencies Involved: DOT/FAA as funding source; NASA, as operator of the program.

### **Determining Trends in Aviation Safety Issues**

Goal: To conduct periodic surveys of pilots, controllers, and others to determine trends in aviation safety issues. (Supports both outcomes)

Agencies Involved: NASA lead, DOT/FAA.

### **Safety Risk Management**

Goal: To promote more systematic application of safety risk management processes in aerospace in both government and industry applications. (Supports both outcomes)

Agencies Involved: NASA lead, DOT/FAA.

### **Hazardous Materials Safety**

Goal: To improve hazardous materials safety and security by facilitating strategic planning, coordinating programs and rule making, and improving program delivery. (Supports both outcomes)

Agencies Involved: DOT/Office of Intermodalism lead, RSPA, FAA, FMCSA, USCG, FRA, the Nuclear Regulatory Commission, the Departments of Defense, Homeland Security, Energy, and Health and Human Services, U.S. Bureau of Alcohol, Tobacco, and Firearms, Environmental Protection Agency (EPA), Occupational Health and Safety Agency, U.S. Customs Service, U.S. Postal Service, Centers for Disease Control and Prevention, state governments, police, firefighters and industry.

### **Safety Belt Use and Occupant Protection**

Goal: To increase safety belt use nation-wide

Agencies Involved: DOT/ NHTSA lead, several Federal agencies, Tribal Governments, State and local governments and numerous national organizations.

### **Drinking and Using Drugs While Driving**

Goal: To reduce the incidence of drinking and using drugs while driving.



Agencies Involved: DOT/NHTSA lead, Departments of Health and Human Services and Justice, Office of Drug Control Policy.

### **Injury Prevention and Control**

Goal: To conduct complementary research on injury prevention and related issues.

Agencies Involved: DOT/NHTSA and the National Center for Injury Prevention and Control.

## **6.5 Perspective and Outlook**

America's transportation network must provide for the safe movement of people and goods. However, it will be difficult to reach improved safety levels because of increased demand for transportation services and greater diversity in terms of vehicles, goods and operators. For example, in highway safety, vehicle miles traveled will increase and lead to more opportunities for accidents. Human diversity will also create new challenges, such as language comprehension and differing cultural norms that could impede some safety efforts. The driving population will include a greater proportion of elderly and limited, English-proficient individuals, raising the percentage of drivers in higher risk categories.

An increased volume of diverse goods, including radioactive materials, could lead to greater exposure to potentially catastrophic accidents. On-road vehicles have diversified, and vehicle designs may compromise vehicle compatibility and intensify risks to smaller vehicles. Expected growth in goods movement will result in greater numbers of large trucks on the highways potentially increasing the number and severity of crashes as the mix of vehicles becomes more varied. Finally, as driver distractions such as mobile phones, in-vehicle entertainment and navigation services become more prevalent in both commercial and private vehicles, driver inattention raises the risk of crashes. Mitigating these factors will be improvements in car technology, both in terms of crash-avoidance and crash-worthiness.

In aviation, DOT will be proactive in adapting to changing needs in a variety of areas as the industry adjusts to new security requirements and changes in demand. DOT must work with stakeholders to ensure that information, information technologies, and analytical techniques appropriate to identifying and resolving resultant safety issues are adapted or developed, made available, and used.

## **6.6 External Factors**

The external factors presented below could affect our ability to achieve our safety outcomes: reductions in transportation-related fatalities and injuries. We are unable to predict the interactions among these factors and have therefore presented both positive and negative safety consequences

**Expansion and integration of the telecommunications** and e-commerce industry sectors with transportation systems raises new challenges related primarily to unsafe user practices such as use of cell phones and other office and personal devices while driving. However these technologies can contribute to safety by alerting responders to the location of crashes and vehicles in distress.

**Adaptation of new materials, alternative fuels, and consumer electronics** to transportation systems offers the potential to reduce the number and severity of safety-related incidents. It also raises possible new concerns related to safety-worthiness of system designs.

**Increased technological complexity of transportation networks** offers the potential to reduce the frequency of serious transportation incidents, but because it may be more difficult to operate complex systems, incidents attributable to human operator error and network failures could increase.

**Growing involvement and influence** of state and local governments, private industry, and communities in safety policy implementation increases the opportunity for safety gains, but also increases the number of stakeholders who must collaborate and cooperate making it more difficult to gain consensus.

**Emergence of transnational corporations and globalization of markets** raises concerns about maintaining safety standards in system design and use internationally, and will stimulate demand for further harmonization of international safety standards related to system design and use as well as operator training.

**Increasing public concern for safety** could stimulate increased government oversight, public and private investment in safety design and practices, and a societal shift toward safer behaviors and attitudes.

**Consumer demands for environmentally compatible designs and practices** may contribute to safety or, in some cases, may compromise safety in transportation systems.

**Changes in U.S. demographics will bring new safety challenges.** Increasing numbers of elderly will present safety risks that must be taken into account when designing and building vehicles and infrastructure. A changing ethnic mix will introduce barriers, such as language and differing cultural norms, to achieving better transportation safety practices, among the traveling public and in commercial transportation.

## 6.7 Crosswalk between Outcomes in the Strategic Plan and Performance Measures in Annual Performance Budgets

Consistent with Secretary Mineta's emphasis on a smarter DOT committed to accountability and results, we will measure progress in reducing transportation related fatalities and injuries with safety performance measures fully developed in DOT's Annual Performance Budgets.<sup>[4]</sup> DOT's Performance Budgets contain details on the scope, source, limitations and statistical issues for each performance measure.

Table 1 presents a crosswalk for safety outcomes, performance targets for fiscal year 2008 and safety performance measures.

**Table 1. Safety Outcomes, Targets and Performance Measures**

Outcomes	Targets and Performance Measures
Reduction in transportation-related deaths	Highway Safety Targets: By 2008, reduce highway fatalities to 1.0 per 100 million vehicle miles traveled; reduce large truck fatalities to 1.65 per 100 million truck miles traveled.
Reduction in transportation-related injuries	
	Highway Safety Performance Measures

Highway fatality rate

Large truck-related fatality rate

Alcohol-related fatality rate

Percentage of front occupants using safety belts

Aviation Safety Targets: By 2008, reduce commercial aviation fatal accidents to 0.01 per 100 thousand departures; and reduce general aviation fatal accidents to 325.

Aviation Safety Performance Measures

Commercial air carrier fatal accident rate

Number of general aviation fatal accidents

Number of highest severity operational errors

Number of Category A and B runway incursions

Rail Safety Target: By 2008, reduce train accidents and incidents to 16.14 per million train miles.

Rail Safety Performance Measures

Train accident and highway rail incident rate

Rail-related fatality rate

Train accident rate

Grade crossing accident rate

Transit Safety Target: By 2008, reduce transit fatalities to 0.488 per 100 million passenger miles.

Transit Safety Performance Measures

Transit fatality rate

	Transit injury rate
	Pipeline Safety Target: By 2008, reduce total incidents for gas and hazardous liquid pipelines to 307.
	Pipeline Safety Performance Measure
	Number of incidents for natural gas and hazardous liquid pipelines
	Hazardous Materials Safety Target: By 2008, reduce the number of serious hazardous materials incidents to 488.
	Hazardous Materials Safety Performance Measures
	Number of serious hazardous materials transportation incidents

## 7. Mobility Strategic Objective

*"Advance accessible, efficient, intermodal transportation for the movement of people and goods"*

### 7.1 Outcomes

- 1) Improved infrastructure in all modes
- 2) Reduced congestion in all modes
- 3) Increased reliability throughout the system
- 4) Increased access for all Americans

### 7.2 Strategies

DOT's mobility outcomes target some of the most challenging and complex aspects of transportation: infrastructure, congestion, reliability and access. Our strategies are designed to produce improvements in these measures of mobility throughout the U.S. transportation network.

Transportation congestion and bottlenecks hurt air quality, slow commerce, increase energy consumption and threaten our quality of life. They waste significant time and money and have a negative impact on productivity. Traffic congestion is a growing threat to our economy and costs motorists in our top urban areas about \$68 billion a year in wasted time and fuel.

Improving mobility in light of increasing travel and trade must be done through a comprehensive approach that involves creativity and leadership in making improvements in all modes of transportation

and in the administration of Federal programs. DOT is serving President Bush well by changing the way business gets done. We must be pioneers in transportation to tackle and solve the thorny challenges that impact mobility. Strategic expansion of our system capacity and other creative solutions are needed to address our growing mobility needs.

It is our obligation to ensure that transportation is not only safe and efficient, but that it is also accessible. Transportation must be within reach of all Americans, including those with low incomes, the elderly and persons with disabilities. Where barriers to accessibility exist, we will seek to eliminate them.

The resources and programs listed in DOT's Annual Performance Budgets are necessary to achieve our mobility outcomes and execute our strategies. Each year DOT reassesses its performance goals based on appropriations. The schedule for executing the strategies presented below extends from the present through fiscal year 2008.

### **Leadership**

- 1) Work with Congress and stakeholders to reauthorize surface and aviation programs, propose legislation to reform intercity passenger rail and address maritime transportation issues. (Supports all outcomes)
- 2) In response to the transfer of Coast Guard to DHS, clarify DOT oversight over maritime commerce and industrial activities between the Maritime Administration (MARAD) and the St. Lawrence Seaway Development Corporation (SLSDC). (Supports all outcomes)
- 3) Promote more efficient use of the Nation's rail system by supporting investment in technology and the expansion of rail capacity through direct loans or loan guarantees. (Supports all outcomes)
- 4) Work with stakeholders to plan for civilian and military use of transportation vehicles and infrastructure. (Supports all outcomes)
- 5) Work with industry, Tribes, state and local governments to mitigate the impacts to efficient transportation caused by planned and unforeseen events. (Supports all outcomes)
- 6) Work with stakeholders in all modes to increase system capacity and operate the system at its highest level of efficiency without sacrificing safety. (Supports all outcomes)

### **Building Expertise**

- 7) Provide consumer information, investigate complaints and conduct reviews to ensure that the public is economically safeguarded in the movement of their personal goods and in their travel. (Supports outcomes 3 and 4)
- 8) Become the employer of choice for individuals seeking careers in the planning, design, engineering, management and financing of transportation infrastructure in all modes by providing job opportunities, internships, training and rotational assignments in mobility core competencies. (Supports all outcomes)
- 9) Provide technical assistance and training to improve intermodal transportation planning and effective management and operation of the system. (Supports all outcomes)

## Technology

- 10) Exploit web-enabled and other secure information technologies to update contingency planning; to speed response and restoration actions; to communicate emerging mobility issues; and to share information on best practices in improving mobility in all modes. (Supports all outcomes)
- 11) Examine ways to encourage cargo movements by water to bring improved capacity to our intermodal transportation system. (Supports outcomes 2 and 3)
- 12) In consultation with our public and private sector partners, conduct research and expedite the deployment of technologies as well as innovative operation and service concepts that improve the reliability and efficiency of the system, and the durability of the infrastructure. (Supports all outcomes)

## 7.3 Management Challenges

The strategies outlined above represent our approach to the mobility performance challenges we will face in the future. However, achieving progress is contingent upon our ability to meet the mobility management challenges outlined by the OIG and the GAO, as discussed below. The language that describes each challenge is essentially that used by the OIG and the GAO in their reports.

### Aviation Mobility

The OIG recognized the downturn in air traffic volume as an opportunity to address future capacity concerns in an efficient and timely manner. FAA needs to address the uncertainty regarding the airlines' ability to purchase and install new technologies (estimated at \$11 billion) called for in the Operational Evolution Plan, as the decline in airline revenue since early 2001 may reduce their ability to equip with new systems. The OIG stated that FAA should be strategically positioned – through a combination of new runways, better air traffic management technology, and greater use of non-hub airports – for a rebound in air travel. FAA must continue to make major modifications to the Operational Evolution Plan and achieve a balance in the use of Airport Improvement Program (AIP) Grants and Passenger Facility Charges (PFC) to ensure both adequate capacity and high security.

The FAA has acknowledged these concerns and will address them through their new strategic plan that will focus capacity investments on leverage points with the most significant national impacts.

### Airline Industry Competition

The GAO has stated that airline industry competition and service have mobility and economic consequences for consumers. Airlines' restructuring and consolidation will significantly affect the industry's competitive landscape. The GAO further states that industry consolidation raises critical public policy issues, such as greater potential barriers to carriers that want to enter markets, less competition in key markets, and greater risk of travel disruption as a result of labor disputes. Small communities face higher fares and reduced services as airlines continue to reduce their market presence. The GAO states that these actions will increase pressure on the Essential Air Service (EAS) program.

The Office of the Secretary and FAA have acknowledged the importance of airline industry competition and service to small communities and are working to bring about improvements in both areas. For example, during the past two years DOT has reviewed competition plans and plan updates submitted by 38 medium and large hub airports to ensure that those airports provide access to airport gates and other

facilities on reasonable terms to requesting air carriers and that the airports adopt practices and procedures, such as gate-use monitoring and gate availability notification, that are critical for removing barriers to competitive airline service. Additionally, DOT is conducting two studies investigating opportunities to improve airport utilization and efficiency of operations. One study seeks to understand the extent to which airport capacity is available at secondary airports, how such capacity could be used more effectively to reduce air traffic congestion at large airports, and whether existing Federal laws and regulations should be modified to make it easier for secondary airports to grow and expand. The other study is examining the application of market-based incentives, such as peak-period pricing, as a means of improving airport utilization and reducing travel delays. DOT will further address the challenges of airline competition and small community service through the following milestones for fiscal years 2003 to 2008.

*Milestone:* In fiscal year 2003, propose legislative changes to improve efficiency and effectiveness of the EAS program.[\[5\]](#)

*Milestone:* In fiscal year 2004, based on completed studies of secondary airports and market-based incentives, determine whether existing Federal laws and regulations should be modified and the specific modifications necessary to promote improvements in airport efficiency and capacity utilization.

## **Amtrak**

The OIG and GAO have noted that intercity passenger rail plays a vital role in surface transportation and have called upon DOT and Amtrak to develop alternatives to preserve commuter and intercity services in the event of cessation of service due to system shutdown. GAO calls for DOT to provide a framework for determining the role and level of investment for intercity passenger rail.

The Office of the Secretary and the Federal Railroad Administration have acknowledged the importance of intercity passenger rail as a component of our Nation's transportation infrastructure. More significantly, Secretary Mineta has set out five principles that need to be part of any successful reform of intercity passenger rail service:

Create a system driven by sound economics;

Require Amtrak transition to a pure operating company;

Introduce carefully managed competition to provide higher quality rail service at reasonable prices;

Establish a long-term partnership between States and the Federal government to support intercity passenger rail service; and

Create an effective public partnership, after a reasonable transition, to manage the capital assets of the Northeast Corridor.

DOT has been discussing these principles with stakeholders and will work with the Congress to translate these principles into legislation.

## **Investments in Surface Infrastructure**

Investments in surface infrastructure represent a major part of DOT's role in maintaining the transportation system. OIG has found that DOT could get better value for its investment dollars by

operating more efficiently through oversight of major projects. OIG noted that meeting this challenge will require FHWA to ensure that major projects are delivered on time and on budget. This includes delegating more contract-level responsibility to the states, improving state practices in oversight, making use of project management tools, and modernizing FHWA staffing structure to meet oversight needs. OIG also recommends strengthening sanctions, increasing scrutiny, providing specialized training at the state level, and allowing monetary recoveries to be returned to the affected state for use in fraud prevention programs.

FHWA has acknowledged this challenge and will provide an agency-wide balance between project and program oversight; evaluate the adequacy of skill sets within the FHWA staff working oversight; support efforts to detect and prevent fraud; assure that major projects are delivered on time, within budget, safely and with highest quality; and advance the principles of Transportation Asset Management (TAM). FHWA will demonstrate progress in meeting this challenge over the next five years through the following milestones:

Milestone: FHWA will develop an oversight program that monitors the effective use of all funds, which at a minimum includes areas related to financial integrity and project delivery. Risk assessment tools will be the foundation for the program.

Milestone: FHWA will use established core competencies, which include technical and non-technical skill sets to recruit, select and train major project oversight managers.

Milestone: FHWA will focus on a best practice approach to prevent fraud by working closely with our major project oversight managers and the OIG investigative staff. In addition, FHWA will co-host annual fraud conferences and support the AASHTO TRNS\*PORT program that identifies abuse in bid rigging and other things.

Milestone: FHWA will issue major project management plan templates and associated guidance as well as cost estimating standards.

Milestone: FHWA will assist State Departments of Transportation in developing and deploying TAM plans.

## **New Starts Program**

The GAO notes infrastructure concerns with respect to the Federal Transit Administration's (FTA) New Starts Program. The GAO stated that the program would likely have a very limited ability to fund new projects under the next authorization due to the number of projects that are or are soon to be approved. GAO recommends that FTA facilitate a clearer prioritization of projects by rating them "recommended" and "highly recommended."

FTA has acknowledged this challenge and will demonstrate progress in meeting it by developing milestones after surface transportation reauthorization has been signed into law.

## **Transportation Workforce Development**

The GAO has highlighted the nationwide shortfall in human capital with the requisite skills to meet transportation's changing needs throughout the Nation. The GAO stated that DOT's leadership and active involvement are essential to coordinate a strategic response by promoting agreement among high-level stakeholders on successful performance by transportation agencies and the competencies these



agencies will need to achieve this performance and information sharing on best practices, lessons learned, human capital research, and benchmarking against other industries and countries that face issues related to an aging workforce.

The Office of the Secretary and the Operating Administrations have acknowledged this challenge and, working in partnership with transportation providers, will demonstrate progress in meeting it through the following milestones:

*Milestone:* In fiscal year 2004, establish a strong DOT leadership role for transportation workforce development, training and education as a convener for the transportation industry.

*Milestone:* In fiscal year 2004, establish partnerships throughout the transportation industry and the education community for transportation workforce development.

*Milestone:* In fiscal year 2005, in cooperation with the transportation industry and the education community, assist in coordinating efforts to assure that young people are attracted to transportation jobs of the future.

## **7.4 Cross-Cutting Programs**

DOT's staff partners with other Federal agencies to address challenges, to leverage resources and to share expertise. Below we present selected partnerships that are targeted to our mobility outcomes.

### **All Weather Access to Airports**

Goal: Increase the number of airport runways that are accessible in low visibility conditions. (Supports outcomes 1 and 3)

Agencies Involved: DOT/FAA lead, Department of Defense (DoD), National Oceanic and Atmospheric Administration (NOAA), and the National Geodetic Survey (NGS).

### **Operation Evolution Plan**

Goal: The FAA's rolling 10 year plan for improving capacity and efficiency in the National Airspace System (Supports all outcomes)

Agencies Involved: DOT/FAA lead, DoD, NASA, and the aviation community.

### **Air Transportation Vision for America**

Goal: Develop a common aviation vision of the long-term future (about 2025) and develop a joint research agenda to support achieving that vision. (Supports all outcomes)

Agencies involved: DOT/FAA lead, NASA, DoD.

### **Federal Response Plan – Transportation**

Goal: Mitigate the impacts to efficient transportation caused by planned and unforeseen events (supports all outcomes).

Agencies Involved: Under the Federal Response Plan, almost all Federal agencies have a role in Presidentially declared disasters. DOT has the role of Emergency Support Function 1, Transportation, and is the lead in assisting all Federal agencies, state and local governments, and voluntary organizations to obtain transportation services into and out of disaster areas.

### **Maritime Transportation System**

Goal: Advance maritime freight transportation in accordance with DOT's Maritime Transportation System initiative and TEA-21 provisions. (Supports all outcomes)

Agencies Involved: DOT/MARAD lead, Departments of Agriculture, Commerce, Defense, Interior, Treasury and the Environmental Protection Agency (EPA).

## **7.5 Perspective and Outlook**

Shifting demographic and economic patterns present new challenges in transportation mobility. Mobility needs are expected to strain the system's capacity in the near future but at different times and in different ways depending on the mode. Population, a key driver in demand for transportation services, is projected to increase by over 3 million people per year. Much of the population growth is expected to be concentrated in urban regions, resulting in congestion on roads within cities and suburbs. Passenger vehicle travel on public roads is expected to grow by 24.7 percent and passenger travel on transit systems is expected to increase by 17.2 percent between 2000-2010.

Changes in population structure will also change demand for transportation services. The population will become increasingly elderly and more diverse, creating unfamiliar accessibility and equity issues. Baby Boomers begin to reach age 65 in 2010 increasing the need for responsive transit services and improved road safety features, such as enhanced signage. The increase in the proportion of elderly individuals and persons with disabilities will require creative alternatives to traditional individual transportation.

The increased mobility needs of the population are likely to conflict with the increased mobility needs of commerce. The commerce focus will continue to shift from physical economic centers operating from stock inventory to a more service-oriented market in which in-time, custom orders and electronic economic centers demand more reliable, efficient transportation.

We live in a world where economic productivity is tightly linked to transportation efficiency. Growth in e-commerce and the increased emphasis on reliable delivery will put more commercial traffic on the road, aggravating conflicts between private and commercial mobility. Increasing globalization of the American economy will pressure capacity around our ports and borders. Each year, over one billion tons of import and export trade cargo move by water. Another billion tons of cargo is carried in domestic waterborne movements, which serves over 90 percent of the U.S. population. By the year 2020, U.S. foreign trade in goods may grow by more than half its current tonnage, and inland waterway traffic will increase as well. Major congestion occurs in and around marine ports and terminals at specific points and times. This includes loading and discharging cargo as ships arrive and depart terminal areas, which is complicated by peak travel times in and around urban areas for freight. To date, we do not have a mechanism that will determine the magnitude of congestion in these multi-layered situations.

In 2000, aviation delays attributable to air traffic congestion cost passengers, shippers, and the industry an estimated record \$6.5 billion, not including costs to other sectors of the economy. The tragic events

of 9/11 coupled with the economic downturn have depressed air traffic levels. The most optimistic predictions are for air travel and activity at FAA air traffic facilities to return to pre 9/11 levels between 2005 and 2006. However, the mix of air traffic is expected to be more complex. There will be more small regional and business jets that use the same airspace and runways but require greater separation from the larger jets. This increased growth and complexity will require more capacity in the air traffic control system and at certain airports.

## 7.6 External Factors

The external factors presented below could affect our ability to achieve our mobility outcomes: improved infrastructure, reduced congestion, increased reliability and increased access to transportation services. We are unable to predict the interactions among these factors and have therefore presented both positive and negative consequences

**Cyclical and long-term changes in economic activity** have a strong impact on the level of personal travel and shipment of goods. Economic growth increases travel and trade putting pressure on capacity but economic downturns decrease travel and trade at the margins.

**E-commerce and web-enabled business affect** the nature of business-to-business transactions, the location of warehousing, shopping and travel, and traffic in residential areas because of increased freight deliveries to homes and businesses. Transportation reliability and efficiency become more important.

**Improvements in the fuel efficiency of the automobile fleet**, whether through new technologies such as hybrids, market-driven responses to increased gasoline prices, or changes in consumer preferences for smaller vehicles, would decrease gasoline use associated with a given level of travel, leading to reduced user-based revenues that fund DOT programs.

**The development, adoption, and acceptance of intelligent transportation** and navigation technologies may increase the carrying capacity of existing road networks and reduce the variability of travel times due to incidents.

**With the increasing population share of elderly persons and ethnic minorities** will come increasing political power of these groups. To the extent that the mobility needs and desires of these groups differ from the current population mix, government transportation priorities may be altered. The aging of the population, urban sprawl and accessibility to jobs and services will increase the need for delivering efficient, affordable and accessible transport.

**Changes in the nature of economic activity** will affect the forces of agglomeration and urbanization that hold cities together, resulting in possible changes in the size and geographic distribution of urban areas placing new demands on personal travel and commerce.

**Environmental concerns may preclude or limit additions** to or expansions of the existing transportation network, leading to increased travel times and user costs.

**Reducing greenhouse gas emissions** likely requires reducing the use of fossil fuels, requiring some combination of decreased travel or increased commuter choice and transit access, improved vehicle fuel efficiency, or alternative propulsion technologies.

**Changes in urban land use preferences** by residents and firms will affect future urban growth patterns and the type of transportation infrastructure and vehicles necessary to serve such patterns.

**Regionalization of transportation systems** will provide different population groups and new stakeholders greater involvement in planning and increased access to those systems perhaps making it more difficult to reach consensus on transportation plans.

**Concerns about safe driving** by young and elderly drivers may lead to greater restrictions on drivers' license privileges, requiring more public transit (including demand responsive services) and opportunities for walking and bicycling to provide for the mobility needs of these groups.

**Accessibility and meeting the physical and service needs** for all the population is a transportation challenge that will involve serving multiple generation households, families with children, persons with disabilities, the retired and the elderly.

## 7.7 Crosswalk between Outcomes in the Strategic Plan and Performance Measures in Annual Performance Budgets

Consistent with Secretary Mineta's emphasis on a smarter DOT, focused on accountability and achieving results that benefit the taxpayers and the Nation, we will measure progress in achieving our mobility outcomes through performance measures fully developed in DOT's Annual Performance Budgets. The Annual Performance Budgets contain information on the scope, source, limitations and statistical issues for each performance measure. Table 2 below presents a crosswalk for mobility outcomes, performance targets for fiscal year 2008 and related performance measures.

**Table 2. Mobility Outcomes, Targets and Performance Measures**

Outcomes	Targets and Performance Measures
Improved infrastructure in all modes	<p>Improved Infrastructure Target: By 2008, increase the percentage of vehicle miles traveled on pavement with acceptable ride quality to 94.9 percent.<a href="#">[6]</a></p> <p>Improved Infrastructure Performance Measures</p> <p>Percent of travel on the NHS meeting pavement performance standards for acceptable ride</p> <p>Percent of deck area on deficient NHS bridges</p> <p>Average condition of transit motor bus fleet</p> <p>Average condition of transit rail vehicle fleet</p>
Reduced congestion in all modes	Reduced Congestion Target: By 2008, decrease the growth in percent of urban area road travel occurring in congested conditions by 0.2 percent annually.

	<p>Reduced Congestion Performance Measures</p> <p>Percent of total annual urban area travel that occurs in congested conditions</p> <p>Number of metropolitan areas where integrated ITS infrastructure is deployed</p>
Increased reliability throughout the system	<p>Increased Reliability Targets: By 2008, increase the percent of flights arriving on time to 83.64 percent.</p> <p>Increased reliability Performance Measures</p> <p>Percent of flights arriving on time</p> <p>Large hub airport efficiency rate</p> <p>Average daily large hub airport arrival capacity</p>
Increased access for all Americans	<p>Increased Access Target: By 2008, increase bus and transit rail fleets' compliance with the Americans With Disabilities Act (ADA) to 100 percent.</p> <p>Increased Access Performance Measures</p> <p>Percent of bus fleets ADA compliant</p> <p>Percent of rail stations ADA compliant</p> <p>Number of employment sites made accessible through Job Access and Reverse Commute grants</p>

## 8. Global Connectivity Strategic Objective

*"Facilitate a more efficient domestic and global transportation system that enables economic growth and development"*

### 8.1 Outcomes

- 1) Reduced barriers to trade in transportation goods and services
- 1) More efficient movement of cargo throughout the supply chain
- 2) Enhanced international competitiveness of U.S. transport providers and manufacturers
- 3) Harmonized and standardized regulatory and facilitation requirements
- 4) The most competitive, cost effective and efficient environment for passenger travel

- 5) Expanded opportunities for all businesses, especially small, women-owned and disadvantaged businesses

## 8.2 Strategies

Secretary Mineta's vision of the future would be incomplete without recognition of the vital importance of global connectivity in transportation. Transportation systems within and among nations are lifelines to economic growth, to freer trade, and to greater cultural exchange. Our globalized economy hinges on efficient supply chains and just-in-time manufacturing: transportation is critical to both. With leaner inventories, companies depend on transportation being efficient enough to give them a competitive edge.

We are in a world where economic productivity is tightly linked to transportation efficiency. Multinational manufacturers source inputs from international suppliers, bring these inputs to production facilities, assemble them and ship them to customers around the globe. Competitive international trade depends on freight transportation.

A domestic and international intermodal approach is central to DOT's role in promoting global connectivity. For the \$8 trillion freight industry, efficient connections between modes and efficient transport in each mode are essential to the competitive position of U.S. products in global markets.<sup>[7]</sup> For example, increasing globalization of the American economy will pressure capacity around our ports and borders. The U.S. freight system currently carries about 15 billion tons each year that has a value of \$9.1 trillion. Freight forecasts suggest a doubling in tonnage of general cargo and international trade movements, and a tripling of freight by value in 2020. Major congestion occurs in and around marine ports and terminals at specific points and times. This includes loading and discharging cargo as ships arrive and depart terminal areas, a situation which is exacerbated during peak travel times in urban areas.

Secretary Mineta's vision calls for DOT to facilitate a strong, interconnected global transportation system vital for continued economic growth in the U.S. The recently published U.S. Chamber of Commerce report, Trade and Transportation, A Study of North American Port and Intermodal Systems reinforces this vision: "National leadership must create an intermodal action agenda, and that leadership must come from the top.... As much as the freight modes must be linked horizontally to form an intermodal system, so must the freight and intermodal offices be linked horizontally within the USDOT." Our strategies to address transportation in the global economy have two synergistic thrusts. One is directed toward opening international transportation markets and the other is directed toward the improvement of essential, intermodal transportation linkages. Both are needed to achieve the outcomes that will yield better global connectivity and a more competitive, cost effective marketplace.

The resources and programs listed in DOT's Annual Performance Budgets are necessary to achieve our global connectivity outcomes and execute our strategies. Each year DOT reassesses its performance goals based on appropriations. The schedule for executing the strategies presented below extends from the present through fiscal year 2008.

### Leadership

- 1) Work with our trading partners to seek further liberalization of international transportation markets. (Supports all outcomes)
- 2) Participate in international organizations at the ministerial and working levels to resolve issues related to global transportation. (Supports all outcomes)

- 3) Encourage and facilitate intermodal transportation planning worldwide. (Supports outcomes 2, 3, 5 and 6)
- 4) Engage all major freight stakeholders in the development of a strategic freight agenda for the future. (Supports outcomes 2, 3 and 6)
- 5) Advocate greater access to global capital markets for U.S. companies in the transportation sector. (Supports outcomes 1, 3, 5 and 6)
- 6) Where desirable, advocate worldwide adoption of harmonized standards and regulations. (Supports outcomes 3, 4 and 6)
- 7) Promote improved global safety and regulatory oversight in cooperation with international partners. (Supports outcome 4)
- 8) Promote global interoperable, seamless operations in cooperation with international partners. (Supports outcomes 2, 4, and 5)

### **Building Expertise**

- 9) Support and conduct research on issues concerning the intersection of passenger and freight transportation. (Supports outcomes 2, 4, and 5)
- 10) Invest in the capabilities of the Department's international program staff by recruiting a multilingual transportation workforce and developing core competencies in subjects related to international transportation. (Supports all outcomes)
- 11) Provide technical assistance to foreign transportation stakeholders with support from various international development agencies. (Supports outcomes 2, 4, 5 and 6)

### **Technology**

- 12) Accelerate the use of technologies such as Intelligent Transportation Systems (ITS) that reduce travel time delays at key intermodal transfer points, in significant corridors and at international border crossings. (Supports outcomes 2, 3, 4, 5 and 6)
- 13) Implement secure, advanced technology to expand communications with global constituents. (Supports all outcomes)
- 14) Ensure business access to contracting and subcontracting opportunities in all DOT programs through expanded use of information technologies and community based outreach. (Supports outcome 6)

## **8.3 Management Challenge**

The strategies outlined above represent our approach to the global connectivity challenges we will face in the future. However, achieving progress is contingent upon our ability to meet the crucial intermodal management challenge outlined by the GAO.

## **Intermodal Connections**

The GAO has noted that intermodal connections such as multimodal passenger terminals and roads that link freight terminals and major highways are among the transportation system's weakest links. The GAO emphasizes that the projected growth in freight volume up to 70 percent in the next 20 years, and projected growth in passenger travel up to 25 percent by 2010, will lead to increased congestion and decreased mobility. GAO called on DOT to address this challenge through an increased emphasis on intermodalism, intermodal planning and investment, and faster, more efficient modal linkages.

DOT has acknowledged this challenge and will demonstrate progress in meeting it by developing milestones after surface and aviation transportation reauthorizations have been signed into law.

## **8.4 Cross-Cutting Programs**

We seek opportunities to partner with a variety of public and private sector organizations to leverage resources, develop and share expertise and achieve our goals. Below we present a selection of active partnerships in that support our global connectivity strategic objective.

### **Freight Corridor Initiative**

Goal: To reduce travel time in key highway freight corridors. (Supports outcomes 1 and 2)

Agencies Involved: DOT/FHWA lead, the National Science and Technology Council (NSTC).

### **Border Crossing Initiative**

Goal: To reduce delays of commercial vehicles processed at National Highway System border crossings. (Supports outcomes 1 and 2)

Agencies Involved: DOT/FHWA lead, NSTC.

### **Micronesia Program**

Goal: To provide aviation safety services to the Republic of Marshall Islands, the Republic of Palau, and the Federated States of Micronesia. (Supports Outcome 4)

Agencies Involved: DOT/FAA in cooperation with the Department of State.

### **International Transportation**

Goal: To develop, coordinate and implement DOT's international transportation and trade policies and ensure that the U.S. transportation system supports the competitiveness of the U.S. transportation industry, and rapidly expanding global trade and tourism. (Supports outcomes 2 and 3)

Agencies Involved: DOT/Office of International Transportation and Trade lead, Office of the U.S. Trade Representative (USTR), the Departments of Commerce and State, the Export-Import Bank and other international organizations.



### **Asia Pacific Economic Cooperation (APEC)**

Goal: To promote the development of policies which improve upon the efficient, safe, and secure operation of transportation services among the 21 members of APEC. (Supports outcomes 1, 2, and 4)

Agencies Involved: DOT/Office of International Transportation and Trade lead, Departments of State and Commerce; USTR.

### **Western Hemisphere Transportation Initiative (WHTI)**

Goal: To provide a platform in which Ministers of Transport address important issues and develop plans of action to implement Ministers' priorities. (Supports outcomes 1, 2, and 4)

Agencies Involved: DOT/Office of International Transportation and Trade lead, Departments of State, Homeland Security, and Commerce; Inter-American Development Bank; International Civil Aviation Organization; United Nations; and the Economic Council for Latin American and the Caribbean.

### **North America Free Trade Agreement (NAFTA)**

Goal: To provide for the reciprocal phase out of land transportation cross-border restrictions on U.S. and Mexican carriers. (Supports outcome 1)

Agencies Involved: DOT/Office of International Transportation and Trade lead, Departments of State, Homeland Security, and Agriculture; USTR.

### **General Agreement on Trade and Services (GATS)**

Goal: To ensure that U.S. transportation interests and policy positions are fully represented in GATS negotiations concerning transportation services - moving goods or people by airplane, ship, truck, bus, or railroad- and the various activities that support such movements. (Supports all outcomes)

Agencies Involved: DOT/Office of International Transportation and Trade lead, USTR; World Trade Organization; Departments of Commerce, Agriculture, State, Treasury, Labor, Justice, Defense, Interior, Energy and Health and Human Services; the EPA; the Office of Management and Budget; the Council of Economic Advisers; the Council on Environmental Quality; the International Development Cooperation Agency; the National Economic Council; and the National Security Council.

### **Trade Policy**

Goal: To develop and coordinate transportation interests on trade and trade-related investment issues with the U.S. Government. This interagency trade policy mechanism consists of three tiers of committees: Trade Policy Staff Committee (TPSC); Trade Policy Review Group (TPRG); and, the Joint National Security Council/National Economic Council (NSC/NEC). (Supports all outcomes)

Agencies Involved: DOT/Office of International Transportation and Trade lead, USTR; World Trade Organization; Departments of Commerce, Agriculture, State, Treasury, Labor, Justice, Defense, Interior, Energy and Health and Human Services; the EPA and others.

### **International Policy Council (IPC)**

Goal: To define the mission priorities and work programs for coordinating the Department's international programs within the global transportation network. (Supports all outcomes)

Agencies Involved: DOT/Office of International Transportation and Trade lead,

The Departments of Commerce and State; and, the USTR.

### **Small Business**

Goal: To expand opportunities for small, women-owned and disadvantaged businesses in DOT and DOT-assisted contracts and grants. (Supports

outcome 6)

Agencies Involved: DOT Office of Small and Disadvantaged Business Utilization lead, all Federal Departments with focused coordination with the Small Business Administration, the Department of Commerce, the General Services Administration and the Office of Management and Budget.

### **Bilateral Maritime Agreements**

Goal: To work with our trading partners to seek further liberalization of certain maritime transportation markets. (Supports all outcomes)

Agencies Involved: DOT/MARAD lead, Department of State, and the USTR.

### **Harmonized International and Domestic Standards for the Maritime Industry**

Goal: To advocate worldwide adoption of harmonized maritime standards and regulations. (Supports outcome 4)

Agencies Involved: DOT/MARAD and DHS/USCG co-lead; International Maritime Organization; Departments of State, Treasury, Agriculture, and Commerce; and the USTR.

### **Deepwater Port Licensing Program**

Goal: To facilitate more efficient movement of liquid petroleum cargo throughout the supply chain by licensing more deepwater ports to serve this trade. (Supports outcome 2)

Agencies Involved: DOT/MARAD lead, Departments of Homeland Security/USCG, Energy, Commerce, and Interior; Army Corps of Engineers; and the EPA.

### **North American Transportation Data Projects**

Goal: To develop and exchange information on passengers, vehicles and freight moving to and from Canada, Mexico and the United States. (Supports outcomes 2,3 and 5)

Agencies Involved: DOT/BTS lead, Census Bureau, and the Customs Service.

### **Internationally Harmonized Regulations for Hazardous Material Transportation**

**Goal:** To increase the safe international movement of hazardous materials. (Supports outcomes 1, 2 and 3)

**Agencies Involved:** DOT/RSPA lead, Departments of Defense, Homeland Security, Energy, Health and Human Services, Labor, U.S. Postal Service as well as several international organizations.

## 8.5 Perspective and Outlook

This strategic plan addresses the growing importance of transportation in the global economy and focuses on connectivity within the U.S. and abroad. The international movement of people and goods supports trade, economic growth, cultural exchange, and the expansion of democracy around the world. DOT has participated with the European Union in an annual forum to find ways to cooperate by applying ITS technology to improve both freight movement and security. DOT is active in numerous international transport organizations such as the Asia Pacific Economic Cooperation, the Western Hemisphere Transportation Initiative, the Africa Transportation Initiative, NAFTA, the GATT negotiations and others. DOT also participates in the development of standards on facilitation and regulations, as well as freight data exchange and technology devices within organizations such as the International Maritime Organization, the International Civil Aviation Organization, the International Standards Organization, the International Telecommunications Union, the United Nations Center for Trade Facilitation and Electronic Business, the World Customs Organization, the International Electrotechnical Commission and other global organizations dedicated to improving transportation.

Globalization of the American economy will increase pressure on our ports and borders. Waterborne trade provides a vivid illustration. Over the first quarter of the 21<sup>st</sup> Century, total U.S. waterborne trade is expected to increase by 47 percent, from 2.1 billion metric tons (BMT) in 2000 to 3.1 BMT by 2025. Eighty two percent of this growth will come from the continuing boom in U.S. waterborne foreign trade and three-quarters will come from imports.

Within the hemisphere, there are international transportation issues on our northern and southern borders. DOT's St. Lawrence Seaway Development Corporation will coordinate its activities with its Canadian counterpart through an unique binational arrangement requiring 24 hour, year round attention. Canada and the U.S. cooperate in developing rules and regulations, day-to-day operations, ship inspections, traffic management, safety and environmental programs, and trade development programs concerning the Seaway.

With respect to our southern border, trade between Mexico and the U.S., as measured by dollar value, may double by 2008, magnifying cross border traffic, safety, environmental, security and capacity issues. The two Nations will collaboratively address these transportation issues to facilitate personal travel and the flow of commerce and cooperatively implement the transportation provisions of the smart border accords.

DOT's international profile in aviation is increasing with aviation safety as one of our most important exports. FAA is broadening our network of partnerships with civil aviation authorities, and is promoting relationships with regional safety organizations.

A domestic and international intermodal approach is central to our role in promoting global connectivity. The evolution of technology will build new international transportation networks. For the \$8 trillion freight industry, efficient connections between modes and efficient travel within each mode are essential to the competitive position of U.S. products in global markets.<sup>[8]</sup> DOT will work to better understand the movement of freight, secure financing for intermodal connectors, and improve systems

management and the application of technology to intermodal connections. We will play an important role in maintaining the strong, interconnected global transportation system vital for economic growth in the U.S.

## 8.6 External Factors

International trade and travel are expected to play an increasingly significant part of our work. The factors presented below are likely to influence our ability to achieve our global connectivity outcomes.

**The globalization of commerce** requires an efficient transportation system and is key to whether U.S. businesses will be competitive in the global marketplace. A loss of public support for global trade and the public transportation investments and activities that facilitate global trade would decrease the competitiveness of U.S. business in the global marketplace.

**Investment in domestic and international transportation systems** is central to survival in the global marketplace. Given the important role that transportation plays in commerce and tourism, if there is not greater private sector investment and improved coordination of public-private sector investment in domestic and international intermodal transportation connections, U.S. businesses will not be competitive in the global marketplace.

**Persistent obstacles to intermodalism** in the U.S. such as modal competition, the high cost of intermodal projects, the stovepipe organizational structure of public transportation agencies, and the way infrastructure is funded will impede efficiency in our transportation networks.

**Continuing deregulation as well as horizontal integration** of the global transportation system across all modes of transport will be important in developing and sustaining a transportation system that supports global economic activity. Transportation has become part of supply chain management by allowing time compression, reliable delivery, just in time inventory control, and customization.

**A recurrence of Severe Acute Respiratory Syndrome (SARS)** or the appearance of a similar contagious virus has the potential to disrupt personal and business travel world-wide. Transportation has become the means through which a pandemic could spread from nation to nation giving rise to both medical and transportation challenges. Likewise, stopping the accidental or purposeful importation of non-native flora and fauna via freight and passenger networks poses a major environmental challenge for governments from across the globe.

**The evolution of technology** will build new global transportation networks. The development and adoption of IT, navigation and other technologies will reflect two mutually reinforcing trends that build global networks of R&D, production, and marketing: (1) expanding international trade, foreign direct investment, and corporate alliances, and (2) converging technological capabilities across National boundaries.

**E-commerce and National competitiveness** will drive the need for greater collaboration between the public and private sectors to ensure the integration and deployment of new technologies into the transportation system.

**The extension of current information and communication technologies** will provide universal access to a National Information Infrastructure regardless of the information's physical location. It will support the reduction of transportation cost and trip time variance and improved transportation timeliness.

**The changing regulatory climate** is shifting toward minimizing National regulations, reducing international barriers to trade, harmonizing international transportation regulations, and developing standards of facilitation. This shift supports the reduction of transportation cost, trip time variance and improved transportation timeliness.

**Trends such as the growth of the elderly population** and their demand for leisure travel may require adaptation of vehicles and related transportation services in international transit and destinations.

**The ability to improve transportation security internationally** will impact personal travel and commerce. Terrorist attacks have been effective in reducing demand for travel. Unless travelers feel safe, they are unlikely to travel to international destinations.

## 8.7 Crosswalk between Outcomes in the Strategic Plan and Performance Measures in Annual Performance Budgets

Consistent with a smarter DOT committed to accountability and results that benefit the taxpayers and the Nation, we will measure progress in achieving our global connectivity outcomes through performance measures fully developed in DOT’s Annual Performance Budgets. These Budgets contain details on the scope, source, limitations and statistical issues for each outcome, target and performance measure listed in Table 3 below.

**Table 3. Global Connectivity Outcomes and Performance Measures**

Outcomes	Targets and Performance Measures
Reduced barriers to trade in transportation goods and services	<i>The 2008 target for the performance measure below is under development:</i>
More efficient movement of cargo throughout the international supply chain	Reduced Barriers Performance Measure
Enhanced international competitiveness of U.S. transport providers and manufacturers	Number of passengers in international markets with Open Skies aviation agreements
Harmonized and standardized regulatory and facilitation requirements	Efficient Cargo Movement Target
The most competitive, cost effective and efficient environment for passenger travel	Through 2008, maintain the U.S. St. Lawrence Seaway lock availability at 99 percent
Expanded opportunities for all businesses especially women owned and disadvantaged businesses	Efficient Cargo Movement Performance Measure
	Percentage of days in the shipping season that the U.S. portion of the St. Lawrence Seaway is available for shipping
	<i>2008 targets for the performance measures below are under development:</i>

	Efficient Cargo Movement Performance Measures
	Travel time in freight significant corridors
	Border crossing delay
	Enhanced Competitiveness Performance Measure
	Number of overseas airport slots opened to competition through aviation agreements
	Harmonized Requirements Performance Measure
	Number of regulatory requirements finalized
	Passenger Environment Performance Measure
	Number of passenger travel markets opened to competition through multilateral or regional agreements
	Expanded Opportunity Performance Measures
	Percent of total dollar value of DOT direct contracts awarded to women owned businesses
	Percent of total dollar value of DOT direct contracts awarded to small disadvantaged businesses

## 9. Environmental Stewardship Strategic Objective

*"Promote transportation solutions that enhance communities and protect the natural and built environment"*

### 9.1 Outcomes

- 1) Reduced pollution and other adverse environmental effects of transportation and transportation facilities
- 2) Streamlined environmental review of transportation infrastructure projects

## 9.2 Strategies

Current trends in transportation are exerting pressure on environmental resources worldwide. In the U.S., commercial and personal travel has grown substantially in recent years and will continue to increase in the future. Americans want solutions to transportation problems but they want solutions that are consistent with sound environmental planning.

Secretary Mineta's vision calls for a balance between environmental challenges and the need for a safe and efficient transportation network. Context-sensitive solutions are essential to get all of the players to work together to ensure that transportation decisions are fully respectful of communities and of environmental resources.

Our central strategy for achieving our environmental goals will be to work with our many stakeholders to implement President Bush's Executive Order 13274 concerning Environmental Stewardship. This Executive Order calls for a new way of doing business that brings together the timely delivery of transportation projects with the protection and enhancement of the environment. To execute this strategy, we will speed up the approval and completion of all vital transportation projects, consistent with the requirements of environmental law and our responsibilities to be good stewards of the environment.

The resources and programs listed in DOT's Annual Performance Budgets are necessary to achieve our environment outcomes and execute our strategies. Each year DOT reassesses its performance goals based on appropriations. The schedule for executing the strategies presented below extends from the present through fiscal 2008.

### Leadership

- 1) Exercise leadership in implementing President Bush's Executive Order 13274, *Environmental Stewardship and Transportation Infrastructure Project Reviews* by:
- 2) Expediting environmental reviews of high-priority transportation infrastructure projects, and
- 3) Advancing environmental stewardship through cooperative actions with project sponsors to promote protection and enhancement of the natural and human environment in the planning, development, operation, and maintenance of transportation facilities and services. (Supports both outcomes)
- 4) Work proactively with government, industry and public interest groups in the U.S. and internationally to set environmental policies and standards and enforce environmental laws pertaining to transportation. (Supports both outcomes)
- 5) Support the President's Hydrogen Fuel Initiative through research on fuel distribution and delivery infrastructure, transportation of associated hazardous materials, and vehicle safety. (Supports outcome 1)
- 6) Create incentives to avoid, reduce or mitigate the adverse environmental effects that can accompany transportation services and facilities. (Supports both outcomes)
- 7) Encourage public involvement in the transportation planning process to develop transportation solutions that support community needs. (Supports both outcomes)

8) Work proactively with Tribes, states, local governments, industry and all other transportation stakeholders to seek integrated approaches to resolving transportation issues while giving full consideration to local environmental conditions. (Supports both outcomes)

### **Building Expertise**

9) Foster dialogue, education and communication about transportation alternatives and choices that improve compatibility between transportation and communities and encourage consideration of the full range of transportation options, including pedestrian and bicycle travel, to address mobility and environmental challenges. (Supports both outcomes)

10) Support interdisciplinary research on connections among transportation, energy and the environment. (Supports both outcomes)

11) Publish timely information on best practices in mitigating transportation's impact on communities and the human and natural environment using secure Web-based technologies. (Supports both outcomes)

12) Collaborate with State and local emergency responders to simulate or exercise emergency response plans concerning environmental incidents in transportation. (Supports outcome 1)

13) Invest in the capabilities of the DOT workforce by hiring individuals with education and experience related to the nexus of transportation, energy and the environment such as urban and regional planning, economic development, environmental sciences and environmental law. (Supports both outcomes)

### **Technology**

14) Adopt transportation policies and promote technologies that reduce or eliminate environmental degradation. (Supports both outcomes)

15) Collaborate with Federal agencies and the private sector to support and conduct research in technologies that improve energy efficiency, foster the use of alternative fuels, and reduce vehicle emissions. (Supports outcome 1)

16) Improve DOT-owned or controlled facilities for the benefit of host communities by preventing pollution, recycling, using recycled products, and cleaning up contaminated facilities. (Supports outcome 1)

17) Work with our transportation partners to mitigate the adverse environmental effects that presently occur from existing transportation systems. (Supports outcome 1)

## **9.3 Management Challenges**

There are no management challenges listed by the GAO or the OIG pertaining to the Environmental Stewardship Strategic Objective.

## **9.4 Cross-Cutting Programs**

We partner with several agencies involved in environmental stewardship to share transportation



expertise and work to achieve mutual goals. Below we present active partnerships.

### **National Park Overflight**

Goal: To implement policy concerning overflight of national parks that balances environmental and safety issues with the needs of air tour operators and others who fly over national parks. (Supports outcome 1)

Agencies Involved: DOT/FAA lead, Department of the Interior/National Park Service.

### **Center for Climate Change and Environmental Forecasting**

Goals: To collaborate on environmental and climate change concerns; to enable the transportation sector to contribute to national goals for greenhouse gas reductions; and to ensure that the nation's transportation networks are prepared to address the potential long-range effects of global climate change. (Supports outcome 1)

Agencies Involved: DOT/Office of Policy lead, the Departments of State, Energy, Agriculture, NASA, NOAA and EPA.

### **Federal Brownfields Partnership**

Goal: To assist communities in revitalizing abandoned, underused or contaminated industrial or commercial property. (Supports outcome 1)

Agencies Involved: EPA lead, DOT and several other agencies are involved.

### **Relocation Assistance**

Goal: To protect communities through government-wide provisions for acquiring real property and relocating people, businesses and farms through Federally-aided projects. (Supports outcome 1)

Agencies Involved: DOT/FHWA lead. All Federal agencies that may require property acquisition or relocation are involved.

### **Hydrogen Economy**

Goal: To encourage the transition to a hydrogen economy through development, demonstration and deployment of advanced vehicle technologies. (Supports outcome 1)

Agencies Involved: Department of Energy lead; DOT, EPA, DoD, Council on Environmental Quality and others.

### **Environmental Justice**

Goal: To identify and address disproportionately high and adverse human health and environmental effects of transportation policies and programs on minority populations and low-income populations. (Supports outcome 1)

Agencies Involved: DOT/Office of Civil Rights lead, EPA, DOJ, and National Institutes of Health.

## **Obsolete Ship Disposal**

Goal: To improve DOT-owned or controlled facilities by preventing pollution and disposing of obsolete, Federal -owned, merchant-type vessels of 1,500 gross tons or more. (Supports outcome 1)

Agencies Involved: DOT/MARAD lead, Departments of Defense and State, and EPA.

## **Maritime Mobile Source Air and Water Emissions**

Goal: To conduct research and test technologies that improve energy efficiency, foster the use of alternative fuels, reduce vehicle emissions, and treat ballast water. (Supports outcome 1)

Agencies Involved: DOT/MARAD lead; International Maritime Organization; International Standards Organization; Departments of Defense, State, Homeland Security/USCG, and Energy; NOA; EPA and the U.S. maritime industry.

# **9.5 Perspective and Outlook**

Current trends in transportation increase pressure on environmental resources and energy. Commercial and personal travel is expected to continue to increase. For example, annual vehicle miles traveled (VMT) on our Nation's highways has almost quadrupled since 1960 and is continuing to grow, increasing the strains on transportation infrastructure. Growth in VMT has far outstripped the growth in lane-miles, which have increased by only 10 percent since 1980.

Increased travel boosts transportation's energy consumption, creating challenges both in terms of supply and delivery via pipelines. Energy consumption is also tied to greenhouse gas production, an emerging concern for the transportation sector which produces 26.8 percent of the GHG emitted in the U.S., and is increasing emissions faster than any other sector. Finally, although transportation emissions of nearly all air pollutants are at their lowest levels in 30 years, continued growth in travel has caused a slight increase in nitrogen oxide emissions and continues to challenge efforts to reduce air pollutant emissions.

The transportation sector faces several challenges in environmental stewardship in coming years. Many of the challenges stem from a growing and increasingly mobile population and from a growing economy. Population growth will place a greater strain on the Nation's transportation infrastructure, increase demand for energy and increase the number of vehicles on the road, leading to air quality concerns. Suburban areas will likely absorb a disproportionate amount of the population growth, amplifying the growth effects and creating additional challenges with emissions, noise, and infrastructure. Diffuse growth also requires new infrastructure and building new infrastructure may create land use conflicts and disrupt ecosystems.

The economy is a driver of demand for transportation. Periods of economic growth strain the capacity of the transportation system leading to calls for expansion of ports, highways and airports. Finally, climate change will likely prove a challenge to the transportation sector, both in terms of adapting to impacts on the transportation system and to mitigating transportation-related greenhouse gas emissions. While these issues will form the core challenge to integrating environmental stewardship and transportation in the near future, other, unforeseen issues may also be factors. We look forward to addressing these challenges.

## 9.6 External Factors

The relationship between transportation and the environment will play an important part of our work in the future. The factors presented below may determine our ability to achieve our environmental outcomes.

**Climate change** could have several impacts on transportation. It could result in public pressure to reduce emissions from transportation sources that would ultimately lower revenue from gasoline tax which finances much of the transportation infrastructure in the U.S. Climate change could also produce an increase in severe weather that could pose a threat to both transportation operations and to the infrastructure.

**Transportation faces a significant challenge** to control and minimize air, water, and noise pollution or it may encounter a public backlash that may impede system improvement. There may be non-air quality environmental and social impacts resulting from otherwise desirous advances in low-to-no-emission transportation technologies (i.e., hybrid and fuel cell drive trains). With the advent of hybrids, air quality improves and people may drive more rather than less. With more driving may come increased pressure on land and water use, more congestion, and other adverse effects. Transportation planning should take this scenario into account.

**Planning and development of transportation infrastructure that is resilient to environmentally caused damage** (e.g. earthquakes, floods, etc.) is an increasing need and a new challenge. It will support the reduction of transportation cost and trip time variance and improved transportation timeliness.

**Advances in fuel cells and blended fuel engines** for automobiles could take mileage up to 70-80 miles per gallon by the end of the decade. The availability of ultra-clean, hydrogen fuel cells for cars whose only by-product will be water clean enough to drink should reduce transportation's contribution to global climate change.

**Traffic congestion and air quality are becoming major challenges** that require solutions not only for our largest metropolitan areas, but for mid-size cities as well. Cities that were once considered the most-desired places to live or for businesses to locate are now seeking ways to unclog their increasingly congested roadways and regain their quality of life.

**The role of National government is changing** with an ongoing shift away from top down centralized decision-making and a shift towards increased state and local control of transportation. These trends could reverse if there were significant climate changes or if a rise in protectionism between international regional trading blocks were to occur.

**The changing regulatory climate appears to be shifting** toward minimizing national regulations, reducing international barriers to trade, and harmonizing international transportation regulations. This shift may limit DOT's ability to regulate pollutants produced by transportation sources.

**The forces of agglomeration and urbanization that hold cities together** may be affected by the nature of economic activity, potentially resulting in changes in the size and geographic distribution of urban areas, development of economically integrated regions and an increase in exposure to risks in the transportation system.

**Transportation infrastructure additions or expansions may be limited** due to environmental

concerns, leading to increased travel times and user costs.

Changing demographics in the immigrant and the elderly populations will introduce new cultural norms that will affect the way communities form, organize and use transportation.

## 9.7 Crosswalk between Outcomes in the Strategic Plan and Performance Measures in Annual Performance Budgets

Consistent with a smarter DOT fully committed to accountability and results that benefit the taxpayers and the Nation, we will measure progress in achieving our environment outcomes through performance measures developed in DOT’s Annual Performance Budgets. DOT’s Annual Performance Budgets contain details on the scope, source, limitations and statistical issues for each performance measure. Table 4 below presents a crosswalk for outcomes, performance targets for fiscal year 2008 and performance measures.

**Table 4. Environmental Stewardship Outcomes, Targets and Performance Measures**

Outcomes	Targets and Performance Measures
Reduced pollution and other adverse environmental effects of transportation and transportation facilities	Reduced Pollution and Adverse Effects Target: By 2008, reduce the number of people exposed to significant aviation noise to 396,000.
Streamlined environmental review of transportation infrastructure projects	Reduced Pollution And Adverse Effects Performance Measures
	Number of people exposed to significant aircraft noise levels
	Number of people in residential communities benefiting from federally funded aviation noise compatibility projects
	<i>Targets are under development for the following performance measures</i>
	Ratio of wetland acres replaced per acre unavoidably affected by Federal -aid Highway projects
	Tons of hazardous liquid materials spilled per million ton-miles shipped by pipeline
	12 month moving average number of area transportation emissions conformity lapses
	Percentage of DOT facilities

	<p>characterized as No Further Remedial Action Planned under the Superfund Amendments and Reauthorization Act</p> <p>Streamlined Review Target: By 2008, reduce the median time to complete Environmental Impact Statements (EIS) to 36 months and Environmental Assessments (EA) for DOT funded infrastructure projects to 12 months.</p> <p>Streamlined Review Performance Measure</p> <p>Median time to complete EISs and EAs for DOT funded projects.</p>
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## 10. Security Strategic Objective

*"Balance homeland and national security transportation requirements with the mobility needs of the Nation for personal travel and commerce"*

### 10.1 Outcomes

- 1) All modes have implemented steps that would prepare them for a rapid recovery of transportation from intentional harm and natural disasters
- 2) The U.S. transportation system meets national security requirements

### 10.2 Strategies

President Bush has directed DOT and DHS to work together to design a world-class transportation security system that will prevent terrorists from ever again using our 21<sup>st</sup> Century technologies as weapons against us. We recognize that our transportation system must remain a vital link for mobilizing materials and our armed forces for military contingencies and for civilian emergency response.

Our strategies, presented below, outline how we will work with the Departments of Defense and Homeland Security as well as with our state, local government and private sector partners, to leverage our core competencies in helping to meet critical needs for implementing national and homeland security requirements. We will assist in elevating security levels for aviation, railways, highways, waterways, transit systems, and pipelines while improving the safety and efficiency of the transportation network.

The resources and programs listed in DOT's Annual Performance Budgets are necessary to achieve our security outcomes and execute our strategies. Each year we reassess our performance goals based on appropriations. The schedule for executing the strategies extends from the present through fiscal year 2008.

## Leadership

- 1) Work closely with DHS/Coast Guard and the Transportation Security Administration (TSA) to establish an effective framework for working with the transportation industry to ensure future coordination of policies, regulations and programs. (Supports both outcomes)
- 2) As a member of the Transportation Security Oversight Board, review, ratify or disapprove of TSA proposed security regulations or security directives. (Supports outcome 2)
- 3) Maintain DOT responsibility for oversight of national security initiatives affecting the maritime transportation system within MARAD. (Supports both outcomes)
- 4) Work with DHS and DoD to develop and implement transportation-related homeland and national security policies. (Supports both outcomes)
- 5) Support and implement U.S. security strategies and plans related to transportation:
  - The National Security Strategy of the United States of America;
  - The National Strategy to Secure Cyber Space; and
  - The National Strategy for Homeland Security (Supports both outcomes)
- 6) Develop, test and evaluate plans for movement of personnel and material from origin to destination during military contingencies and disaster response. (Supports both outcomes)
- 7) Work with Congress, the Departments of Justice and Homeland Security and other stakeholders to seek enactment of legislation to strengthen the Federal criminal laws related to terrorist attacks and other violence against railroads and mass transportation systems. (Supports both outcomes) [\[9\]](#)

## Building Expertise

- 8) Support DHS/TSA in determining the best way to administer financial assistance for transportation security in all modes. (Supports outcome 2)
- 9) Help the Departments of Homeland Security and Justice heighten awareness of suspected terrorists, illegal migrants, and drug smugglers in transportation venues and develop standard procedures for reporting such occurrences to appropriate authorities. (Supports outcome 2)
- 10) Maintain the resources and capacity to support national defense requirements and assist in disaster response and recovery efforts (Supports both outcomes)

## Technology

- 11) Monitor the transportation system 24/7 to provide real-time reports and to help ensure rapid response and recovery from disruptions to transportation throughout the Nation. (Supports outcome 1)
- 12) Implement cybersecurity programs to adequately protect DOT systems integrated with the national critical infrastructure. (Supports both outcomes)

13) Employ advancements in secure, certified and accredited IT technology and communications to improve the accuracy, speed and simplicity of exchanging security, emergency response, and defense deployment information with Federal, state and local governments and the private sector. (Supports both outcomes)

14) Work closely with DHS to foster awareness and acceptance of transportation security services by industry and users of diverse backgrounds by providing equitable, accessible and nondiscriminatory public notice, preparation and treatment. (Supports outcome 2)

## 10.3 Management Challenge

DOT will work to improve security by utilizing the strategies outlined above and also by addressing the management challenge outlined by the General Accounting Office (GAO) and DOT's Office of the Inspector General (OIG).[\[10\]](#)

### Forge a Close Working Relationship with DHS

OIG points out that although the DHS has primary responsibility in the transportation security arena, DOT will still play a vital role. The OIG has stated that DOT must establish an effective framework for working with the transportation industry and DHS on regulatory and programmatic security issues. The report calls for a balance in implementing, regulating, funding, and overseeing programs that benefit the traveling public, and highlights DOT's primary responsibility for the safe transport of hazardous materials. GAO also highlighted this issue, stating, "The Department of Transportation will need to forge a close working relationship with the new agency to effectively protect borders and ensure security of all modes of transportation."

The Department has acknowledged this challenge and will meet it by executing the following milestone:

*Milestone:* As a member of the Transportation Security Oversight Board, review, ratify or disapprove of TSA proposed security regulations or security directives.

## 10.4 Cross-Cutting Programs

DOT partners with several agencies involved in National and homeland security to share transportation expertise and work to achieve mutual goals. Below we present active partnerships.

### Defense Sealift Capacity

Goal: To maintain sufficient capacity and crews to meet DOD surge and sustainment requirements during a national emergency. (Supports outcome 2)

Agencies Involved: DOT/MARAD lead, DoD, and the U.S. maritime industry.

### Port Readiness

Goal: To provide timely availability of DoD-designated commercial port facilities for the embarkation of military equipment and supplies during mobilizations. (Supports outcome 2)

Agencies Involved: DOT/MARAD lead, Departments of Defense and Homeland Security, and the U.S.

port industry.

## 10.5 Perspective and Outlook

On November 19, 2001, President Bush signed a new law that created the TSA within DOT. In an unprecedented effort, the people of DOT created a leading edge agency that combined world-class security with world-class customer service. Subsequent formation of DHS began the transition of transportation security functions from DOT to the new Department. DOT is collaborating with DHS to ensure security throughout the transportation system. As plans to attack the transportation network persist, DOT will draw on its industry-wide expertise to help facilitate a transportation network that is safe, efficient and secure.

DOT will continue to protect the Nation's transportation system from natural disasters, work with the DHS on security matters and with DoD on transportation-related issues in support of National security and implement cybersecurity programs to adequately protect systems integrated with the National critical infrastructure.

## 10.6 External Factors

Many security concerns will impact transportation in the future. The factors presented below may play a part in our ability to achieve our security outcomes.

**Growth in volumes of people and goods moving across borders** will make it increasingly difficult to detect and separate illegitimate from legitimate transportation activities. This means that interagency cooperation will be a greater necessity than ever before.

**Combating the increasing sophistication of devices and techniques** that terrorists and criminals may use to threaten or impinge upon the security of the U.S. transportation system and its lines of communication will require advances in technology and human vigilance.

**Nation states will provide the basic geopolitical framework**, but boundaries will continue to blur with the emergence of novel economic and security relationships. Greater numbers of powerful non-state entities with diverse interests and communications via the Internet will influence the global community. Transportation will need to take into account these entities.

**Improved intelligence and surveillance capabilities** will yield increased and timelier threat information. Private transportation providers and public authorities will need to maintain the flexibility and willingness to adjust security and transport procedures based on threat information.

**The sharing of proprietary and sensitive security information** between public authorities and industry officials may become more important in meeting future transportation security challenges. DOT and industry will have to explore new, non-traditional approaches for sharing sensitive information, overcoming disclosure concerns presented by the Freedom of Information Act and National security clearance limitations.

**International regional instabilities** could lead to attacks on U.S. interests including transportation.

**Public expectations for more reliable throughput and reduced transportation time** will need to be balanced with requirements for passenger, cargo and transportation system security.



**Public tolerance of security measures** in aviation is higher due to the perceived threat to this mode, a history of attacks, and the infrequency of airline travel by most Americans as compared with other modes. Should threats to other modes of transportation increase, DOT and DHS will have the challenge of addressing a low public tolerance of additional security measures on a frequent, even daily, commuter basis.

## 10.7 Crosswalk between Outcomes in the Strategic Plan and Performance Measures in Annual Performance Budgets

Consistent with a smarter DOT fully committed to accountability and results, we will measure progress in achieving our security outcomes through performance measures fully developed in DOT’s Annual Performance Budgets. Annual Performance Budgets contain detailed information on the scope, source, limitations and statistical issues for each performance measure. Table 5 presents a crosswalk for security outcomes, performance targets and performance measures.

**Table 5. Security Outcomes, Targets and Performance Measures**

Outcomes	Targets and Performance Measures
All modes have implemented steps that would prepare them for a rapid recovery of transportation from intentional harm and natural disasters	Transportation Capability Assessment for Readiness Index Score Target: By 2008, achieve an "A" rating indicating all modes have taken steps needed for a rapid recovery from intentional harm and natural disasters.
The U.S. transportation system meets national security requirements	Strategic Mobility Targets: Through 2008, maintain the timely availability of DoD required shipping capacity at 94 percent of that required; maintain the timely availability of DoD required commercial port use at 93 percent of that required.  Strategic Mobility Performance Measures  Percentage of DoD-required shipping capacity complete with crews available within mobilization timelines  Percentage of DoD-designated commercial ports available for military use within DoD established readiness timelines

## 11. Organizational Excellence Objective

*"Advance the Department’s ability to manage for results and achieve the goals of the President’s Management Agenda"*

### 11.1 Outcomes

- 1) Achieved strategic management of human capital
- 2) Achieved competitive sourcing goals
- 3) Achieved financial performance goals
- 4) Achieved budget and performance integration goals
- 5) Achieved e-government goals

## 11.2 Strategies

Secretary Mineta understands that we cannot achieve our strategic objectives without vision, leadership and a culture of continuous improvement. The Secretary has called on us to be leaders in pursuing best practices and achieving results that benefit the taxpayers and the Nation. Secretary Mineta's central management strategy for achieving organizational improvement will be delivering the results outlined in this Strategic Plan and full implementation of the President's Management Agenda (PMA).

To make DOT the most desirable place to work in the Federal Government and the internationally recognized focal point for transportation core competencies, we must face a number of challenges in the years ahead. Most critically, we must attract the best and the brightest people to our workforce and inspire a new generation of innovators and pioneers in transportation careers. Secretary Mineta's vision calls for DOT to become the employer of choice not only within the transportation enterprise but also within the Federal Government.

The resources and programs listed in DOT's Annual Performance Budgets are necessary to achieve our organizational outcomes. Each year we reassess our performance goals based on appropriations. The schedule for executing the organizational strategies presented below extends from the present through fiscal year 2008.

### Leadership

- 1) Exert leadership throughout the Department by articulating a long-range vision; setting clear strategic objectives; being accountable for achieving results; and maintaining a strong customer focus. (Supports all outcomes)
- 2) Utilize human capital in support of DOT's mission and strategic objectives, while empowering individual workers to realize their full potential. (Supports outcome 1)
- 3) Conduct workforce planning to identify mission-critical core competencies and implement plans to close gaps through vigorous outreach, recruiting and succession planning.
- 4) Sustain a learning environment that drives continuous improvement in performance through knowledge management, performance feedback, training, coaching and mentoring.
- 5) Foster a results-oriented workforce through performance management and awards systems that link individual/team/unit performance to organizational goals and results.
- 6) Use secure IT to automate, simplify and streamline processing of job applications and associated

personnel information.

- 7) Continuously consult internal program staff, industry and other external sources (e.g., University Transportation Centers) to update the core competencies that will be needed by DOT in the future and modify vacancy announcements and position descriptions announcements to reflect these skill sets.
- 8) Implement a diversity management plan to sustain a workforce that represents the face of America in all occupations and at all grade levels.
- 9) Achieve organizational and economic efficiencies by competing commercial functions between public and private entities (Supports outcome 2)
- 10) Find the best business solutions to accomplish the Department's mission through world-class acquisition and grants business processes. (Supports outcomes 2, 4 and 5)
- 11) Develop and execute plans to improve the protection of DOT people, facilities and equipment from intentional harm and to perform the essential functions of the Department even when key facilities are temporarily unavailable or unusable due to natural disaster or intentional harm. (Supports all outcomes)

### **Building Expertise**

- 12) Improve workforce equity by providing training, guidance, and service on conflict prevention, dispute resolution and anti-discrimination laws to all employees. (Supports outcome 1)
- 13) Provide accurate and timely financial information that links resources to results to program managers for their use in improving performance and accountability. (Supports outcomes 3 and 4)
- 14) Reduce delay in rulemaking proceedings by establishing Department-wide priorities and schedules, coordinating rulemaking actions, providing rulemaking process training and adopting best practices. (Supports all outcomes)

### **Technology**

- 15) Integrate e-government concepts in mission performance. (Supports all outcomes)
- 16) Undertake a rigorous analysis of the contribution of IT to each strategic objective to identify opportunities to support mission performance. (Supports outcome 5)
- 17) Leverage the Federal and Departmental Enterprise Architecture to improve services to citizens. (Supports outcome 5)
- 18) Expand the use of IT to enable faster, simpler and more efficient ways for citizens, state and local government, industry and other stakeholders to transact business with DOT. (Supports all outcomes)
- 19) Integrate effective IT security programs with critical business functions and systems to protect the confidentiality, integrity and availability of mission critical information. (Supports all outcomes)

## **11.3 Management Challenges**

The strategies articulated above represent our approach to future performance challenges. Additionally, the GAO and the DOT OIG have identified organizational areas needing management attention.

## **DOT Human Capital**

The GAO has noted that the need to address human capital is now a discrete challenge for DOT because of an impending wave of retirements. The GAO states that a shortfall of people and skills could compromise the transportation workforce and affect the economy, safety, and mobility of our Nation. Mirroring the GAO concern, the President's Management Agenda has set forth requirements for agencies to follow in addressing future human capital needs.

Both the President's Management Agenda and DOT have acknowledged the need to address human capital concerns. DOT will address these concerns through the following milestones:

*Milestone:* Operating Administrations will conduct workforce planning for mission critical occupations in FY 2003 that will identify current and future human capital needs, competencies required to meet these needs, and plans for addressing the gaps.

*Milestone:* DOT will implement a department-wide performance management system beginning in FY 2003 that aligns employee performance expectations with organizational goals and objectives, links awards and recognition to organizational goals, and addresses poor performance.

*Milestone:* To attract, acquire, and retain diverse, quality talent, DOT will have a uniform branding and marketing approach in place for the entire department by FY 2005.

## **FAA Human Capital**

The GAO has stated that FAA has not yet implemented recommendations to develop a comprehensive human capital strategy to meet the impending need to hire and train new controllers. The GAO further stated that the FAA has not addressed the resources needed at its training academy or for on the job training to handle the large influx of new controllers.

The FAA has acknowledged the need to develop a human capital strategy and is developing a new strategic plan with increased emphasis on human capital management as a component of the PMA and overall organizational excellence.

*Milestone:* Achieve progress towards a green rating in the strategic management of human capital by developing an FAA corporate human capital plan and expanding implementation of performance-based management systems, in support of the PMA.

## **FAA Cost and Performance Management**

The OIG calls for the FAA to operate more like a business with regard to cost-effectiveness and cost-controls in major acquisitions, in light of projected declines in Aviation Trust Fund revenues. OIG outlined steps necessary for this improvement. FAA must contain increases in operating costs that are due to personnel reform and tighten accountability for agency-wide performance; reshape Air Traffic Control (ATC) into a performance-based organization; re-baseline costs and/or milestones for modernization projects; develop metrics to assess progress on major acquisitions and strengthen contract oversight. The GAO noted that FAA acquisition remains a high risk area in 2003 because critical systems are not yet in place and proven in operations since FAA has not completed efforts to address

root causes of prior modernization problems.

The FAA has acknowledged the need to improve management of its costs and programs and will address these issues through the following milestones:

*Milestone:* Complete the implementation of labor distribution reporting by September 2003.

*Milestone:* Obtain a Clean Audit Opinion each year on FAA Financial Statements.

*Milestone:* Complete the implementation of the new DELPHI System.

*Milestone:* Complete the implementation of the Cost Accounting System in three lines of business.

*Milestone:* Incorporate air traffic actual labor distribution costs into the Cost Accounting System.

*Milestone:* Develop and implement a new FAA Strategic Plan that will improve management of FAA costs and programs through its Organizational Excellence goal.

## **Information Technology Security**

OIG has stated that DOT's ability to meet the PMA goal of better, wider spread use of information technology hinges on stronger computer security and better information technology investment controls. As the GAO notes, securing DOT's information technology systems is critical due to the heavy use of technology in air traffic control.

DOT's Chief Information Officer (CIO) has acknowledged the need to strengthen its computer security DOT wide. During fiscal years 2003-2008, the CIO will lead intermodal efforts to ensure the security of our transportation information systems to make IT systems less vulnerable to attack and other service disruptions, including those caused by natural disasters. The goal is to ensure that the appropriate people, processes, and technology are in place to protect the confidentiality, integrity, and availability of all DOT IT assets as required by the Computer Security Act of 1987, the Federal Information Security Management Act, OMB Circular A-130, and National Institute of Standards and Technology guidance.

DOT has established an IT Security Program requiring that all systems be assessed to identify vulnerabilities; that vulnerabilities be evaluated and mitigated where justified; and, that systems be tested and certified as adequately protected. The CIO will implement and operate the Network Intrusion Detection Systems (IDS) architecture and plan for the rollout of the Public Key Infrastructure (PKI) and smart-card architecture. Program policy is managed by the Office of the CIO and is integrated throughout the Department through the DOT CIO Council and the IT Security Committee of the Council. During FY 2004 and 2005, the CIO will address the following:

*Milestone:* Completed standards for a DOT-wide PKI Infrastructure, Wireless, e-Authentication/e-Signature and smart card architecture to selected DOT organizations with interoperability with the Federal e-Authentication solution.

*Milestone:* Certification and accreditation of DOT's mission critical IT assets.

*Milestone:* Protection of the majority of DOT mission critical systems by IDS.

*Milestone:* Periodic vulnerability scanning of all mission critical hosts to determine compliance security

baselines established in FY 2003/2004.

*Milestone:* New IT investments evaluated in the capital planning and control and enterprise architecture processes.

*Milestone:* Best practices and lessons learned evaluated and their use by DOT organizations mandated.

Increasing Oversight of IT Investments through the Capital Planning Process

The OIG has noted that while DOT is responsible for one of the largest IT investments among civilian agencies, the DOT CIO has little oversight over these investments: over 90 percent of these investments are controlled by the Operating Administrations. In 2002, DOT established an Investment Review Board, chaired by the Deputy Secretary to review major IT investment decisions.

The OIG stated that to ensure that the Board could influence major IT investment decisions, DOT needs to obtain explicit senior management support from the Operating Administrations, issue clear guidance to identify investments for review, and develop a system to implement decisions issued by the Board.

DOT’s CIO has acknowledged the need to increase oversight of IT investments and will address this concern through the following milestones:

*Milestone:* Ensure that proposed investments are consistent with and supported by the DOT Enterprise Architecture.

*Milestone:* Participate in the FAA Acquisition Boards; hold periodic investment reviews with the FAA CIO.

*Milestone:* Review all major DOT investments to ensure compliance with DOT policy and e-Government strategies.

## 11.4 Crosswalk between Outcomes in the Strategic Plan and Performance Measures in Annual Performance Budgets

We will mark our progress in achieving the goals of the President’s Management Agenda through performance measures fully developed in DOT’s Annual Performance Budgets. The Performance Budgets contain detailed information on the scope, source, limitations and statistical issues for each performance measure. Table 6 presents a crosswalk between outcomes, performance targets and performance measures.

**Table 6. Organizational Excellence Outcomes, Targets and Performance Measures**

Outcomes	Targets and Performance Measures
Achieved strategic management of human capital	Organizational Excellence Target: By 2008, achieve all planned milestones for implementing the PMA.
Achieved competitive sourcing goals	Performance Targets: By 2008 –
Achieved financial performance goals	Achieve 90 percent of cost and achieve 100

<p>Achieved budget and performance integration goals</p> <p>Achieved e-government goals</p>	<p>percent of planned capability and performance benefits upon full fielding of the capital equipment for major DOT acquisitions.</p> <p>Achieve 95 percent of schedule milestones for major Federally funded transportation infrastructure projects (with a schedule milestone missed by 10 percent or less counted as being achieved).</p> <p>Achieve 95 percent of cost estimates for major Federally funded transportation infrastructure projects (with a schedule milestone missed by 10 percent or less counted as being achieved).</p> <p>Obligate at least 80 percent of transit grants within 60 days after the submission of completed applications.</p>
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## 12. Program Evaluation

Program evaluation is one of the three major elements of the Government Performance and Results Act (GPRA). The statute calls for agencies to use program evaluations to assess the manner and extent to which Federal programs achieve intended objectives. The statute further calls for agency Performance Plans to include a summary of the findings of program evaluations completed in the fiscal year covered in the report. Finally, the GPRA calls for a schedule for future program evaluations to be presented in Strategic Plans.

We present detailed descriptions of DOT’s completed program evaluations in "The Department of Transportation Performance and Accountability Report for 2002."[\[11\]](#) To the extent that the results of completed program evaluations, along with reports of the OIG and the GAO, illuminated how we might achieve future goals or address future conditions, we considered these results in writing the strategies we selected to achieve strategic objectives and outcomes in this Strategic Plan. Generally, however, completed program evaluations, which are retrospective, tend to be more valuable in making year-to-year adjustments in program management than they are in setting long-range goals which anticipate future conditions.

Table 7 below presents a schedule for future program evaluations at DOT. These evaluations represent a cross-section of DOT programs that must be well-managed in full support of budget-performance integration.

**Table 7. Program Evaluations for Fiscal Years 2003-2008**

Program Evaluation	Strategic Goals				OE	Methodology	Scope	FY Completed
	S	M	G	E				
Free Flight (FAA)	X	X				Combination	Evaluation of	2003

							effectiveness of Free Flight Phase I tools in creating additional capacity, and in making more efficient use of existing capacity	
<b>Chemical/Biological Agent Detection (FTA)</b>				X		Combination	Evaluate the R&D of and use for chemical, biological and explosives detection systems in transportation systems	2003
<b>Continuity of Operations Plans (RSPA)</b>	X					Management Study	Obtaining government-wide information on the status of agencies' continuity of operations plans	2003
<b>Hazmat Grants Program (RSPA)</b>	X				X	PART	Program effectiveness using OMB's PART criteria	2003
<b>UTC Program (RSPA)</b>	X	X			X	Management Study	Assess how effectively the UTC Program is meeting program objectives, and RSPA's effectiveness in managing the program	2003
<b>Innovative Finance Techniques (FHWA, FTA, and FRA in 2004 only)</b>	X				X	Longitudinal & Cross-Sectional	Evaluation of specific techniques 2 to 4 years after implementation	2003-2005
<b>Data Quality Reviews (BTS)</b>					X	Combination	A selection of 5-7 assessments to improve the reliability, accuracy and relevance of DOT component agencies' data programs	2003-2008
<b>Compliance Review Impact Assessment Model (FMCSA)</b>	X					Longitudinal	Refine and update model measuring effectiveness of motor carrier compliance reviews in reducing crashes	2003 refreshed annually
<b>Roadside Inspection/Traffic Enforcement Analytical Model (FMCSA)</b>	X					Longitudinal	Update model measuring safety impact of traffic enforcement and roadside inspections on motor carrier safety	2003 refreshed annually
<b>Ship Disposal Program (MARAD)</b>			X			Combination	Evaluate effectiveness of ship scrapping efforts	2004
<b>CR Evaluation Phase II (FMCSA)</b>	X					Management Study	Examine alternative approaches to achieving compliance	2004
<b>Information Security (FAA)</b>				X		Combination	Evaluate the effectiveness	2004





<b>Causation Study (FMCSA)</b>									determine causal and contributing factors for crashes involving commercial motor vehicles	
<b>Commercial Drivers License Evaluation (FMCSA)</b>	X							Combination	Baseline evaluation of commercial drivers license program	2005
<b>Alternative Dispute Resolution Process Evaluation (General Counsel)</b>					X			Management Study	Follow up study to determine service quality, growth in use of alternative dispute resolution process, and cost-effectiveness	2005
<b>Title VI Complaints Process (Office of Civil Rights)</b>					X			Management Study	Evaluate the processing of civil rights complaints filed against providers of federally-assisted transportation services (external)	2005
<b>Hazmat Air Transportation (FAA)</b>	X							Combination	Review of safety effectiveness of FAA's hazmat safety program	2005
<b>Grade Crossing Warning Device Installation Study (FRA)</b>	X							Combination	Analyze the effectiveness of the various types of automatic warning devices in preventing highway-rail grade crossing collisions	2005
<b>UTC Program (RSPA)</b>	X	X				X		Management Study	Assess how effectively the UTC Program is meeting program objectives and requirements and the Department's effectiveness in managing the program	2006
<b>Facility Security (FAA)</b>					X			Combination	Review effectiveness of FAA's facility physical security program	2006
<b>New Entrant Safety Audit Evaluation (FMCSA)</b>	X							Longitudinal	Examine operational performance, develop metrics, and assess new program impact	2006
<b>Public Education and Enforcement Railroad Safety (FRA)</b>	X							Combination	Analyze the long term effectiveness of education and enforcement programs in preventing highway-rail collisions	2006
<b>Cost Allocation Study (FHWA)</b>		X	X					Combination	Evaluates highway user charges based on equity and economic principles	2006

<b>Impact of FHWA Safety Goals and Objectives (FHWA)</b>	X					Combination	Evaluate the effectiveness of strategies and initiatives to achieve the VF Safety objectives	2006
<b>Consideration of Management and Operations in the Planning Process (FHWA)</b>	X					Management Study	Assess the effectiveness of including operations as a planning factor in STIP/TIP development	2006
<b>Hazmat Program Effectiveness (RSPA)</b>	X					PART	Evaluate the effectiveness of hazmat program using OMB's PART criteria	2006
<b>Operational Error Programs (FAA)</b>	X					Longitudinal	Evaluate program effectiveness designed to reduce operational errors	2007
<b>Safer Skies (FAA)</b>	X	X				Combination	General Aviation – loss of control, survivability or aeronautical decision making interventions	2007
<b>NAFTA Border Safety Audit Evaluation (FMCSA)</b>	X					Longitudinal	Establish performance measures and assess the effectiveness of new border safety audits on highway safety	2007
<b>Advanced Air Bags (Phase 1) (NHTSA)</b>	X					Statistical analysis of crash data	Evaluation of the crash performance, fatality-reducing benefits and costs of advanced air bag systems implemented in passenger cars and light trucks since model year 2003	2008
<b>Aircraft Delay Reduction Program (FAA)</b>	X					Cost Benefit	Evaluate impacts, costs, and benefits of FAA's delay reduction program	2008

### Legend

Strategic Objective:

S Safety  
M Mobility  
G Global Connectivity  
E Environmental Stewardship  
SY Security  
OE Organizational Excellence

Methodology:

Longitudinal Study of data points or data series before and after intervention  
Cross Sectional Study of different groups or sites at the same point in time

Statistical	Regression or other statistical analysis
Combination	Use of two or more complementary analytic techniques
Management	Process evaluation using objective measurement and analysis
Cost-Benefit	Comparison of a program's outputs or outcomes with the costs to produce them
PART	OMB Program Assessment Rating Tool criteria

### 13. Appendix A: Overview of Legislative Authorities

The Secretary of Transportation, under the direction of the President, exercises leadership in transportation matters. Section 101 of Title 49 United States Code describes the United States Department of Transportation (DOT) purpose as follows:

"(a) The national objectives of general welfare, economic growth and stability, and security of the United States require the development of transportation policies and programs that contribute to providing fast, safe, efficient, and convenient transportation at the lowest cost consistent with those and other national objectives, including the efficient use and conservation of the resources of the United States.

(b) A Department of Transportation is necessary in the public interest and to –

(1) ensure the coordinated and effective administration of the transportation programs of the United States Government;

(2) make easier the development and improvement of coordinated transportation service to be provided by private enterprise to the greatest extent feasible;

(3) encourage cooperation of Federal , state and local governments, carriers, labor and other interested persons to achieve transportation objectives;

(4) stimulate technological advances in transportation, through research and development or otherwise;

(5) provide general leadership in identifying and solving transportation problems; and

(6) develop and recommend to the President and Congress transportation policies and programs to achieve transportation objectives considering the needs of the public, users, carriers, industry, labor and national defense."

Office of the Secretary (OST)

- Oversees formulation of national transportation policy and promotes intermodal transportation.
- Negotiates and implements international trade agreements.
- Provides oversight, coordination, and policy guidance on a variety of cross-cutting subject areas, such as transportation industry drug and alcohol testing, small and disadvantaged business enterprises, and access for Americans with disabilities.
- Investigates and decides whether an air carrier, foreign air carrier, or ticket agent has been or is engaged in an unfair or deceptive practice or unfair method of competition.
- Administers the Essential Air Services program, which subsidizes small communities that otherwise would lose commercial air services.
- Issues licenses to U.S. air carriers, and permits to foreign air carriers, which are required for their operations under the applicable transportation statutes.

- Participates as a member of the Airline Transportation Stabilization Board.

#### The Federal Aviation Administration (FAA)

- The Administrator is appointed by the President for a five-year term and reports directly to the Secretary.
- The FAA promotes safe flight of civil aircraft in air commerce by prescribing standards for the design, material, construction, quality of work, and performance of aircraft, aircraft engines, and propellers.
- The FAA issues airman certificates, type certificates, production certificates, airworthiness certificates, air carrier operating certificates, airport operating certificates, air agency certificates, and air navigation facility certificates.
- The FAA helps develop and maintain a safe and efficient nationwide system of public-use airports that meets the present and future needs of civil aeronautics.
- The FAA licenses launches of launch vehicles and the operation of non-Federal launch sites within the United States and by U.S. citizens abroad.

#### Federal Highway Administration (FHWA)

- The Administrator is appointed by the President and reports directly to the Secretary.
- FHWA assists states in improving their surface transportation systems. The primary focus of the Federal -aid program is completion and expansion of the National Highway System, which provides an interconnected system of principal arterial routes that serve major population centers, international border crossings, ports, airports, public transportation facilities, and other intermodal transportation facilities and major travel destinations.
- FHWA works with other Federal agencies to plan and construct public lands highways, park roads and parkways, and Indian reservation roads.

#### Federal Railroad Administration (FRA)

- The Administrator is appointed by the President and reports directly to the Secretary.
- FRA oversees our Nation's railroads, funds the rehabilitation of rail lines, and enforces the Federal railroad safety laws and regulations.

#### National Highway Traffic Safety Administration (NHTSA)

- The Administrator is appointed by the President and reports directly to the Secretary.
- NHTSA establishes and enforces automobile safety regulations, including crash avoidance and crashworthiness standards, and consumer protection standards, including fuel efficiency standards, bumper standards, and regulations relating to odometer tampering and domestic content labeling.
- NHTSA investigates safety defects.
- NHTSA carries out the duties and the powers of DOT to provide for aspects of highway safety, such as driver performance, other than highway safety design.

#### Federal Transit Administration (FTA)

- The Administrator is appointed by the President and reports directly to the Secretary.
- FTA assists in the development, improvement and funding of mass transportation systems, equipment, facilities, techniques, and methods with the cooperation of public and private mass transportation entities.

### Saint Lawrence Seaway Development Corporation (SLSDC)

- The Administrator is appointed by the President for a seven year term and reports directly to the Secretary.
- SLSDC is authorized to construct the Saint Lawrence Seaway, and to operate and maintain the seaway in coordination with the Saint Lawrence Management Corporation of Canada.

### Maritime Administration (MARAD)

- The Administrator is appointed by the President and reports directly to the Secretary.
- MARAD carries forth the congressional finding that it is necessary for the national defense and development of its foreign and domestic commerce that the United States shall have a merchant marine...sufficient to carry...a substantial portion of the waterborne export and import foreign commerce of the United States and to provide shipping service essential for maintaining the flow of such domestic and foreign waterborne commerce at all times...capable of serving as a naval and military auxiliary in time of war or national emergency.

### Research and Special Programs Administration (RSPA)

- The Administrator is appointed by the President and reports directly to the Secretary.
- RSPA regulates and enforces the safe and secure transportation of hazardous materials.
- RSPA regulates and enforces the safety and environmental protection of pipeline transportation.
- RSPA coordinates emergency preparedness and response relating to transportation matters, including those matters affecting national defense and involving national or regional emergencies.
- RSPA coordinates multi-modal research functions in DOT and oversees a university transportation research program.
- RSPA carries out the duties and responsibilities assigned to the Volpe National Transportation Systems Center.
- RSPA advises the Secretary on scientific and technological matters.

### Bureau of Transportation Statistics (BTS)

- The Director is appointed by the President for a four-year term and reports directly to the Secretary.
- BTS develops and analyzes data focused on freight movement, passenger travel, transportation economics, and airline activity.
- BTS develops and publishes key indicators of the national transportation system-including indicators of investment, condition, use, performance, productivity, and impacts.
- BTS develops statistical guidance and data definitions, in partnership with other agencies and organizations, to facilitate data improvement and data sharing
- BTS has lead responsibility for the transportation layer of the National Spatial Data Infrastructure.
- BTS is developing prototype geospatial data standards for the Administration's Geospatial One-Stop Electronic Government initiative.

### Federal Motor Carrier Safety Administration (FMCSA)

- The Administrator is appointed by the President, and reports directly to the Secretary.
- FMCSA carries out duties and powers of DOT to provide for motor carrier safety.
- FMCSA manages program and regulatory activities, including administering laws and promulgating and enforcing regulations relating to motor carrier safety.

- FMCSA carries out motor carrier registration and authority to regulate household goods transportation.
- FMCSA develops strategies for improving commercial motor vehicle, operator and carrier safety.
- FMCSA inspects records and equipment of commercial motor carriers, investigates accidents and reports violations of motor carrier safety regulations.
- FMCSA carries out research, development and technology transfer activities to promote safety of operation and equipment of motor vehicles for the motor carrier transportation program.
- FMCSA assists states in advancing commercial motor vehicle safety, registration and authority programs.

## 14. Appendix B: Major Program Authorizations

**Table B-1 Schedule for Major Program Authorizations**

<b>Operating Administration</b>	<b>Name of Law</b>	<b>Last/Future Authorization</b>
Federal Aviation Administration	Wendell H. Ford Aviation Investment and Reform Act for the 21 <sup>st</sup> Century (AIR-21)  Commercial Space Transportation Competitiveness Act of 2000  Aviation Insurance Program  Centennial Flight Authorization Act of 2003 (FLIGHT-100) (Administration Proposal)	Through FY 2003  Expired at the end of  FY 2002  CY 2004  Through FY 2007
Federal Highway Administration	Transportation Equity Act for the 21 <sup>st</sup> Century  (TEA-21)	Through October 1, 2003
Federal Motor Carrier Safety Administration	TEA-21  Motor Carrier Safety Improvement Act of 1999 (P.L. 106-159)	Through October 1, 2003
National Highway Traffic Safety Administration	TEA-21	Through October 1, 2003
Federal Railroad Administration	Federal Railroad Safety Improvement Act (Administration Proposal)	Authorization of appropriation for Federal rail safety programs expired in 1998. This administration proposal would reauthorize the entire Federal railroad safety program for FYs 04-07
Federal Transit Administration	TEA-21	Through October 1, 2003

Maritime Administration	Bob Stump National Defense Authorization Act for Fiscal Year 2003 (P.L. 107-314)	Through FY 2003
Research and Special Programs Administration	TEA-21	Through October 1, 2003
	Federal Hazardous Materials Transportation Law	Expired in 1998
	Pipeline Safety Improvement Act of 2002	Through FY 2006
St. Lawrence Seaway Development Corporation	Section 210 of the "Water Resources Development Act of 1986", P.L. 99-662	This a permanent authorization without an expiration date
Bureau of Transportation Statistics	TEA-21	Through October 1, 2003

[1] A summary of the legislative authorities that direct DOT's various missions and programs is in Appendix A and a schedule for the reauthorization of DOT's programs is in Appendix B.

[2] With passage of the Interstate Commerce Commission Termination Act of 1995 (P.L. 104-88, December 29, 1995), Congress established the Surface Transportation Board within DOT, effective January 1, 1996. While formally part of DOT, the Board is decisionally independent of DOT and by law "... shall not be responsible to or subject to the supervision or direction...of any other part of the Department of Transportation." (49 U.S.C. 703(c).

[3] Throughout this Strategic Plan the language used to describe each challenge is essentially the language used by the OIG in its Top Management Challenges, issued January 21, 2003 and by the GAO in its January 2003, Performance and Accountability Series.

[4] DOT's Annual Performance Plan will be incorporated into DOT's Performance Budget as directed by OMB Circular A-11.

[5] Proposed in DOT FY 2004 budget request.

[6] *Acceptable ride quality* refers to the International Roughness Index (>170 IRI) which measures the response of vehicle suspension as it travels over pavement.

[7] GAO Major Management Challenges and Program Risks – Department of Transportation.

[8] GAO Major Management Challenges and Program Risks – Department of Transportation.

[9] Legislative proposal in executive clearance.

[10] Throughout this Strategic Plan the language used to describe each challenge is essentially the language used by the OIG in its Top Management Challenges, issued January 21, 2003 and by the GAO in its January 2003, Performance and Accountability Series.

[11] <http://www.dot.gov/perfacc2002/toc.html>