U.S. Department of Transportation

FY 2010

Annual Performance Report

TABLE OF CONTENTS

FOREWORD 3

ORGANIZATION 4

LEGISLATIVE AUTHORITY 5

PERFORMANCE FRAMEWORK 7

HOW DOT WORKS TO ACHIEVE ITS STRATEGIC OBJECTIVES AND PERFORMANCE GOALS 9

PERFORMANCE HIGHLIGHTS 10

PERFORMANCE SUMMARY TABLES 12

SAFETY 19

REDUCED CONGESTION 36

GLOBAL CONNECTIVITY 48

ENVIRONMENTAL STEWARDSHIP 57

SECURITY, PREPAREDNESS AND RESPONSE 65

ORGANIZATIONAL EXCELLENCE 73

PERFORMANCE DATA COMPLETENESS AND RELIABILITY 85

OTHER ACCOMPANYING INFORMATION 88

OFFICE OF INSPECTOR GENERAL TOP MANAGEMENT CHALLENGES 89

AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 90

GAO HIGH RISK ISSUE 95

DATA DETAILS 96

PROGRAM EVALUATIONS 97

FOREWORD

The United States Department of Transportation's (DOT or Department) *Annual Performance Report* for fiscal year (FY) 2010 provides an overview of the Department's performance results to Congress, the President and the American people. The report details information about our stewardship over the financial resources entrusted to us. Additionally, the report provides information about our performance as an organization, our achievements, our initiatives and our challenges.

The *Annual Performance Report* is one in a series of reports required under the Administration's Pilot Program for Alternative Approaches to Performance and Accountability Reporting. This is the first year that the Department has participated in this voluntary program in an effort to strengthen its annual reporting documents and to present more streamlined and timely information to clarify the relationship between performance, budgetary resources and financial reporting. The Department intends to provide a more meaningful, transparent and easily understood analysis of accountability over its resources. The report provides readers with an overview of the Department's highest priorities, as well as our strengths and challenges.

The Department's FY 2010 pilot annual reporting includes the following three components:

Annual Performance Report **(APR)** [available February 2011]
The APR is produced in conjunction with the FY 2012 President's Budget Request and provides detailed performance information and descriptions of results by each key performance measure.

FY 2010 ***Summary of Performance and Financial Information*** [available February 2011]
This document provides an integrated overview of performance and financial information that integrate significant aspects of the AFR and the APR into a user-friendly consolidated format.

Agency Financial Report **(AFR)** [published November 2010]

The AFR is organized into three major sections:

- The Management's Discussion and Analysis section provides executive-level information on the Department's history, mission, organization, key activities, analysis of financial statements, systems, controls and legal compliance, accomplishments for the fiscal year and management and performance challenges facing the Department.
- The Financial Details section provides a message from the Chief Financial Officer, consolidated and combined financial statements, the Department's notes to the financial statements and the report of independent auditors.
- The Other Accompanying Information section provides *Improper Payments Information Act* reporting details and other statutory reporting requirements.

All three reports will be available on the Department's Web site at:
http://www.dot.gov/about.html#perfbudgplan

ORGANIZATION

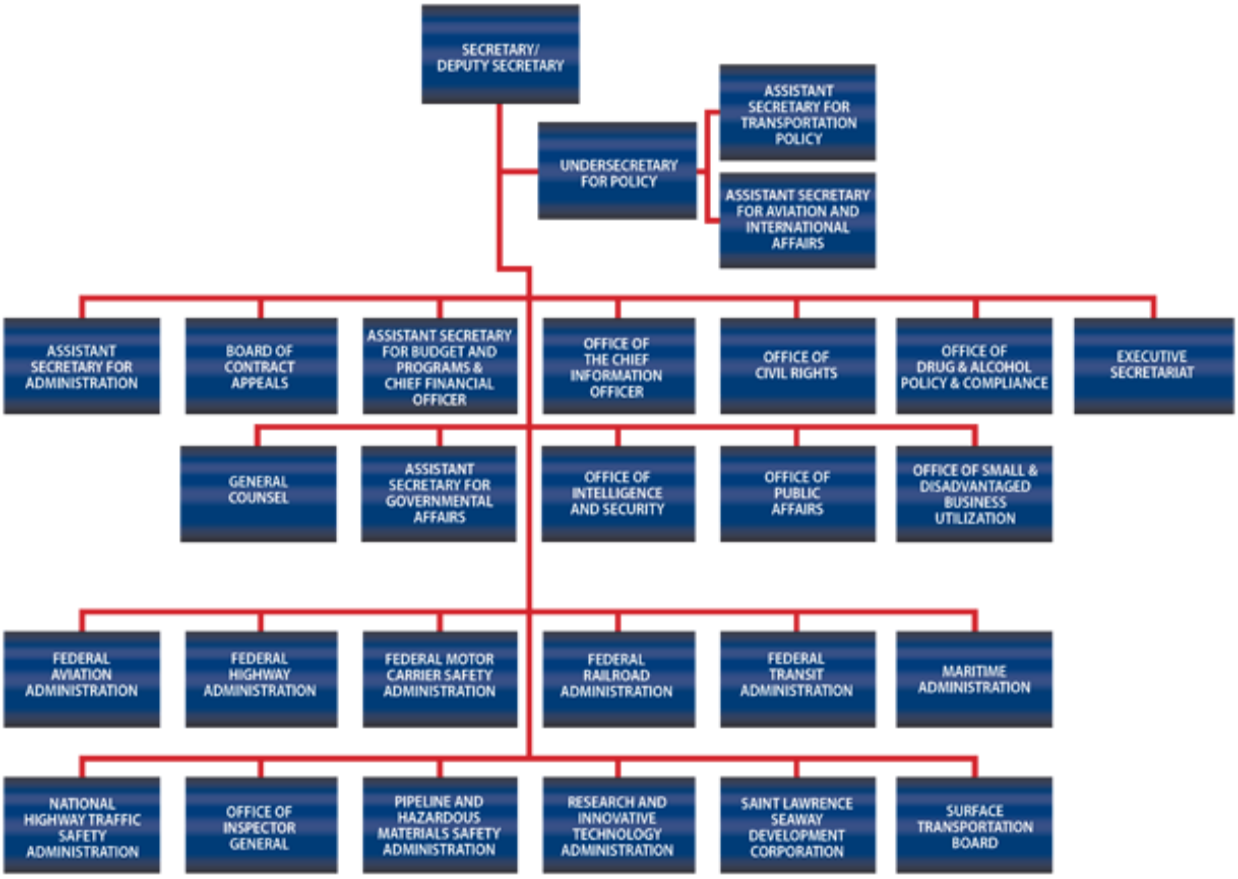
HISTORY

Established in 1967, DOT sets Federal transportation policy and works with State, local, and private sector partners to promote a safe, secure, efficient, and interconnected National transportation system of roads, railways, pipelines, airways, and seaways. DOT's overall objective of creating a safer, simpler, and smarter transportation program is the guiding principle as we move forward to achieve specific goals.

HOW WE ARE ORGANIZED

DOT employs almost 60,000 people across the country, in the Office of the Secretary of Transportation (OST) and through twelve Operating Administrations (OAs) and bureaus, each with its own management and organizational structure.

The Office of the Secretary of Transportation provides overall leadership and management direction, administers aviation economic and consumer protection programs, and provides administrative support. The Office of Inspector General (OIG) and the Surface Transportation Board (STB), while formally part of DOT, are independent by law.



LEGISLATIVE AUTHORITY

The DOT strategic plan summarizes the legislative authorities of each Operating Administration (OA). To provide a context for the reader, highlights of the responsibilities of each OA are listed below.

Office of the Secretary. The Office of the Secretary (OST) oversees the formulation of national transportation policy and promotes intermodal transportation. Other responsibilities range from negotiation and implementation of international transportation agreements, assuring the fitness of U.S. airlines, enforcing airline consumer protection regulations, issuance of regulations to prevent alcohol and illegal drug use in transportation systems.

Federal Aviation Administration. The Federal Aviation Administration's (FAA) mission is to promote aviation safety and mobility by building, maintaining, and operating the Nation's air traffic control system; overseeing commercial and general aviation safety through regulation and inspection; and providing assistance to improve the capacity and safety of our airports.

Federal Highway Administration. The mission of the Federal Highway Administration (FHWA) is to improve mobility on our Nation's highways through national leadership, innovation, and program delivery.

Federal Motor Carrier Safety Administration. The Federal Motor Carrier Safety Administration's (FMCSA) primary mission is to prevent commercial motor vehicle-related fatalities and injuries.

Federal Railroad Administration. The Federal Railroad Administration's (FRA) mission is to ensure that our Nation has safe, secure, and efficient rail transportation.

Federal Transit Administration. The Federal Transit Administration (FTA) provides leadership, technical assistance, and financial resources for safe, technologically advanced public transportation that enhances mobility and accessibility, improves America's communities, preserves the natural environment, advances economic growth, and ensures that transit systems are prepared to function during and after natural or unnatural disasters.

Maritime Administration. The Maritime Administration's (MARAD) mission is to promote the development and maintenance of an adequate, well-balanced U.S. merchant marine that is sufficient to carry the Nation's domestic waterborne commerce and a substantial portion of its waterborne foreign commerce, and to serve as a naval and military auxiliary in time of war or national emergency.

National Highway Traffic Safety Administration. The National Highway Traffic Safety Administration's (NHTSA) mission is to save lives, prevent injuries and reduce economic costs due to road traffic crashes through education, research, safety standards, and enforcement activity.

Office of Inspector General. The Inspector General Act of 1978, as amended, established the Office of Inspector General (OIG) as an independent and objective organization within the DOT. The OIG's mission is to promote economy, effectiveness, and efficiency and to prevent and detect fraud, waste, and abuse in DOT operations and programs by conducting and supervising independent and objective audits and investigations.

Pipeline and Hazardous Materials Safety Administration. PHMSA's mission is to protect people and the environment from the risks inherent in transportation of hazardous materials - by pipeline and other modes of transportation.

Research and Innovative Technology Administration. The Research and Innovative Technology Administration (RITA) works to advance DOT priorities for innovation and research in transportation technologies and concepts.

Saint Lawrence Seaway Development Corporation. The U.S. Saint Lawrence Seaway Development Corporation (SLSDC), a wholly owned government corporation, is responsible for the operations and maintenance of the U.S. portion of the St. Lawrence Seaway between Montreal and Lake Erie.

Surface Transportation Board. The Surface Transportation Board (STB) is charged with promoting substantive and procedural regulatory reform in the economic regulation of surface transportation, and with providing an efficient and effective forum for the resolution of disputes and the facilitation of appropriate business transactions.

PERFORMANCE FRAMEWORK

Everything we do at DOT is aimed toward making measurable improvements in our transportation system, the security of our Nation, and the quality of American life. In the *Annual Performance Report* we hold ourselves accountable to the public for effectively bringing to bear the Department's resources in improving the Nation's transportation system. We use these results to improve our strategies and resource decisions.

DOT's performance framework is as follows:

- The **DOT Strategic Plan** provides a comprehensive vision for improving the Nation's complex and vital transportation system. DOT is drafting a new Strategic Plan covering FY 2011 – 2016, which will be the framework for future reports. This year's report, however, is framed by the FY 2006 – 2011 Strategic Plan, which outlines five strategic objectives in the areas of safety, mobility, global connectivity, security and the environment that articulate the longer term focus of the Department. In addition to the broad objectives, the plan targets specific outcomes we want to achieve, and identifies key challenges.

Our Mission

To serve the United States by ensuring a fast, safe, efficient, accessible and convenient transportation system that meets our vital national interests and enhances the quality of life of the American people, today and into the future.

- The **DOT Performance Budget** operationalizes the Strategic Plan, and provides direct linkages between DOT's budget request and the results the public can expect for programs within each of our Operating Administrations. The performance budget defines the performance goals and measures used to manage progress toward our strategic objectives. It describes in detail one fiscal year's resources and programmatic effort within a strategic context. The performance budget also aligns each dollar requested to one of our strategic objectives.
- This **DOT Annual Performance Report** provides a public accounting of our FY 2010 performance results.
- **Performance accountability** for DOT organizations, executives, and employees embed the philosophy of managing for performance into the Department's culture and daily practices. Performance accountability within the Department is accomplished through the following mechanisms:

  DOT Organizational Assessments of Performance – A review of each Operating Administration's performance is done at the end of the fiscal year to assess the organization's success in the following areas: meeting Department-wide performance targets; results of program assessments and efforts associated with addressing any management challenges or material weaknesses identified by DOT's Office of Inspector General. The results of these

assessments are then factored in to the personal performance evaluations of our senior executives.

Employee Performance Plans – Prepared for each fiscal year, these plans document expected levels of employee performance that clearly link to our strategic objectives through the performance framework.

HOW DOT WORKS TO ACHIEVE ITS STRATEGIC OBJECTIVES AND PERFORMANCE GOALS

The Department achieves its goals through its leadership role in U.S. transportation policy, operations, investment, and research. To influence results, DOT programs rely on a number of common interventions and actions. These include:

- *Direct operations and investment in DOT capital assets that provide capability*, such as air traffic control and the St. Lawrence Seaway operations.
- *Infrastructure investments and other grants*, such as investment in highway, rail, transit, marine highways and shipyards, airport, and Amtrak capital infrastructure, and grants for safety, job access, or other important transportation programs.
- *Innovative financial tools and credit programs,* such as those provided for by the Transportation Infrastructure Finance and Innovation Act, and the Railroad Rehabilitation and Improvement Financing Program.
- *Rulemaking*, in areas such as equipment, vehicle, or operator standards; for improving safety; and providing aviation consumer protection.
- *State/local organizational capacity building*, through training, best practices, peer-to-peer exchanges and other activities that strengthen the capability of State Departments of Transportation, Metropolitan Planning Organizations, and local governments to play their essential front-line role in planning, investing in, and operating highway and transit systems.
- *Enforcement* to ensure compliance, including inspections, investigations, and penalty action.
- *Research and technology development and application*, such as fostering new materials and technologies in transportation, and transportation related research.
- *Education and outreach*, such as consumer awareness, and campaigns to influence personal behavior.
- *Public Information,* such as that provided by the Bureau of Transportation Statistics, and each DOT Operating Administration, so that States, localities, regions, and private sector entities can better plan their activities.

Some of these interventions and actions reside entirely within the Federal Government, but most involve significant partnering with State and local authorities and with the transportation industry. These are the broad areas of action that DOT – and State and local governments – commonly use to bring about desired results.

PERFORMANCE HIGHLIGHTS

The Department of Transportation (DOT) achieved a significant milestone this year: traffic fatalities in the U.S. have fallen to an historic 60-year low. Highway fatalities for 2009 (the latest data available) fell 10% from the previous year to a total of 33,808. Not since 1950, when our roads carried far less traffic, have traffic fatalities been this low.

The Department met nearly 80% of its performance targets for the year. Like every government agency, however, there are areas that we want to improve upon. A brief discussion of our results by strategic objective follows.

Safety

DOT tracks the safety of Americans on the highways, in the air, on transit systems, and on railroads. In FY 2010 we met 9 out of 10 safety goals. Fatalities in general aviation, particularly from amateur-built aircraft, however, did not decline as quickly as anticipated. To address this issue, FAA has established a Flight Standardization Board for Experimental Amateur-built Aircraft.

Reduced Congestion

One of DOT's strategic objectives is to reduce congestion across the modes of transportation. We do this in a variety of ways, by providing funds that keep our highways in a state of good repair, managing air traffic efficiently, and encouraging the use of mass transit in order to reduce traffic on roadways. For the first time in many years, the number of people across the country using mass transit decreased. Ridership fell for several reasons: a general decline in the economy, relatively high unemployment, and a decline in State and local tax revenues used to support transit. Ridership levels, however, are projected to increase as the economy improves and transit agencies begin to restore services and routes cut during the recession.

Global Connectivity

DOT contributes to the economy and American businesses' connection with markets across the world by moving products, goods and vehicles with as little delay as possible. In FY 2010, the St. Lawrence Seaway, which is a vital waterway between the upper Midwest and global markets, was open 99.8% of the shipping season. On the roadways, we continue to make progress in limiting delays at border crossings and improving the flow of freight traffic in Interstate corridors.

Environmental Stewardship

The transportation system has a significant impact on the environment and DOT mitigates that impact whenever possible. For the third year in a row, there were no violations of air pollution

standards in major metropolitan areas. Streamlining the process for completing environmental impact statements, however, continues to be a challenge.

Security, Preparedness and Response

While the Department of Homeland Security has primary responsibility for the security of the transportation system, DOT must ensure it is prepared to continue operating during a crisis. To this end, DOT tracks the readiness of key staff and Operating Administrations. DOT has a role in supporting the Department of Defense during military mobilization. For the third year in a row we have exceeded the readiness requirements for shipping capacity and commercial port access.

Organizational Excellence

Mindful of the need to wisely use taxpayer money, DOT tracks the cost and scheduling associated with major system purchases and major infrastructure projects. Although we did not make our cost and schedule targets for major infrastructure projects as a whole, we are seeing improvements within individual projects. DOT agencies will continue to review the finance plans, project management plans, and cost estimates that are required for each major project, and will continue to offer training to engineering and financial management staff on these specific responsibilities.

PERFORMANCE SUMMARY TABLES

SAFETY PERFORMANCE SUMMARY

Performance Measure	2004	2005	2006	2007	2008	2009	2010 Target	2010 Actual	Met / Not Met
Passenger vehicle occupant highway fatality rate per 100 million passenger vehicle miles traveled (VMT).	1.17	1.15	1.10	1.04	1.03	0.98 – 1.04#	0.99	0.87#	Met
Large truck and bus fatality rate per 100 million total VMT.	N/A	0.185	0.177	0.169	0.155	0.121 (r)	0.164	0.108 - 0.119#	Met
Motorcyclist fatality rate per 100,000 motorcycle registrations.	69.83	73.48	72.42	72.48	71.30	73.75 – 74.96#	78	65#	Met
Non-occupant fatality rate per 100 million VMT.	0.19	0.20	0.19	0.18	0.18	0.18 - 0.19#	0.19	0.16#	Met
Number of commercial air carrier fatalities per 100 million persons onboard.	N/A	N/A	N/A	N/A	0.4	6.8*	8.1	0.3*	Met
Fatal Accidents per 100,000 Flight Hours in General Aviation.	N/A	N/A	N/A	N/A	N/A	1.17*	1.10	1.16#	Not Met
Rail-related accidents and incidents per million train miles.	19.03r	18.09r	17.59r	17.36r	16.88r	16.71r	16.40	15.90*	Met

Performance Measure	2004	2005	2006	2007	2008	2009	2010 Target	2010 Actual	Met / Not Met
Transit fatalities per 100 million passenger-miles traveled.	0.467	0.428	0.389	0.437	0.332	0.273	0.458	0.188	Met
Number of natural gas and hazardous liquid pipeline incidents with death or major injury.	48	41	35	47	41	49(r)	30-43	40*	Met
Number of hazardous materials transportation incidents with death or major injury.	35	48(r)	32	36	24(r)	29	22-36	31*	Met

(r) revised; * preliminary estimate; # projection from trends

REDUCED CONGESTION SUMMARY

Performance Measure	2004	2005	2006	2007	2008	2009	2010 Target	2010 Actual	Met / Not Met
Percentage of travel on the National Highway System (NHS) meeting pavement performance standards for "good" rated ride.	52	52	54	57	56	57	58	58*	Met
Percentage of deck area on National Highway System (NHS) bridges rated as deficient, adjusted for average daily traffic.	32.0	29.9	29.2	29.7	29.5	29.2	28.9	28.7	Met
Percentage of total annual urban area travel occurring in congested conditions	28.6	28.6	28.4	27.8	26.3	26.6#	27.1	26.8#	Met
Average percent change in transit boardings per transit market (150 largest transit agencies)	0.7	1.9	2.1	2.5	4.3	2.2	2.0	-4.2	Not Met
Percent of transit bus fleets compliant with the Americans with Disabilities Act (ADA)	96	96	97	98	98	98	98	98	Met
Percent of key transit rail stations compliant with the ADA.	82	91	92	93	95	95	94.5	95.2	Met
Percent of all flights arriving within 15 minutes of schedule at the 35 Operational Evolution Partnership airports due to National Airspace System related delays.	79.07	88.44	88.36	86.96	87.29	88.98(r)	88.00	90.56#	Met

(r) revised; * preliminary estimate; # projection from trends

GLOBAL CONNECTIVITY PERFORMANCE SUMMARY

Performance Measure	2004	2005	2006	2007	2008	2009	2010 Target	2010 Actual	Met / Not Met
Percent of days in the shipping season that the U.S. portion of the St. Lawrence Seaway system is available.	99.1	99.7	99.0	99.4	98.8	99.4	99.0	99.8	Met
Number of freight corridors with an annual decrease in the average buffer index rating.	N/A	N/A	3	5	21	19	13	14	Met
Number of National Highway System border crossings with a decrease in unexpected delay.	N/A	N/A	N/A	4	3	3	5	5	Met
Percent share of the total dollar value of DOT direct contracts that are awarded to women-owned businesses.	3.8	6.6	8.4	10.4	7.0	9.0	5.1	8.0*	Met
Percent share of the total dollar value of DOT direct contracts that are awarded to small disadvantaged businesses.	15.6	12.7	16.2	18	16	15.5	14.5	14.57*	Met

(r) revised; * preliminary estimate; # projection from trends

ENVIRONMENTAL STEWARDSHIP PERFORMANCE SUMMARY

Performance Measure	2004	2005	2006	2007	2008	2009	2010 Target	2010 Actual	Met / Not Met
Number of areas in conformity lapse	6.3	5.8	1.3	0.0	0.0	0.0	0	0	Met
Number of hazardous liquid pipeline spills with environmental consequences	138	127	106	97	128	110	89-108	86*	Met
Number of Exemplary Human Environmental Initiatives undertaken	N/A	N/A	N/A	N/A	11	16	10	10	Met
Median time in months to complete environmental impact statements for DOT funded infrastructure projects	N/A	56	57	67	63.5	79.3	48	63.9	Not Met

(r) revised; * preliminary estimate; # projection from trends

SECURITY PERFORMANCE SUMMARY

Performance Measure	2004	2005	2006	2007	2008	2009	2010 Target	2010 Actual	Met / Not Met
Percentage of DoD-required shipping capacity complete with crews available within mobilization timelines.	94	95	93	97	97	95	94	96	Met
Percentage of DoD-designated commercial ports available for military use within DoD established readiness timelines.	93	87	100	100	100	100*	93	100	Met
Percent of DOT personnel with emergency management responsibilities who are prepared to respond to disasters and emergencies.	N/A	N/A	N/A	N/A	N/A	100	100	100	Met
Percent of DOT agencies meeting annual response requirements.	N/A	N/A	N/A	N/A	N/A	96	100	96	Not Met

(r) revised; * preliminary estimate; # projection from trends

ORGANIZATIONAL EXCELLENCE PERFORMANCE SUMMARY

Performance Measure	2004	2005	2006	2007	2008	2009	2010 Target	2010 Actual	Met / Not Met
Percent of major federally funded transportation infrastructure projects with less than 2 percent annual growth in the project completion milestone as reported in the finance plan.	73	89	89	89	79	78	90	84	Not Met
Percent of finance plan cost estimated for major federally funded transportation infrastructure projects with less than 2 percent annual growth in project completion cost.	75	81	84	83	82	84	90	84	Not Met
For major DOT aviation systems, percentage of cost goals established in the acquisitions project baselines that are met.	100	97.00	100	100	96.08	100	90	97*	Met
For major DOT aviation systems, percentage of scheduled milestones established in acquisition project baselines that are met.	91.50	92.00	97.44	97.00	93.88	93.75	90	90.74*	Met

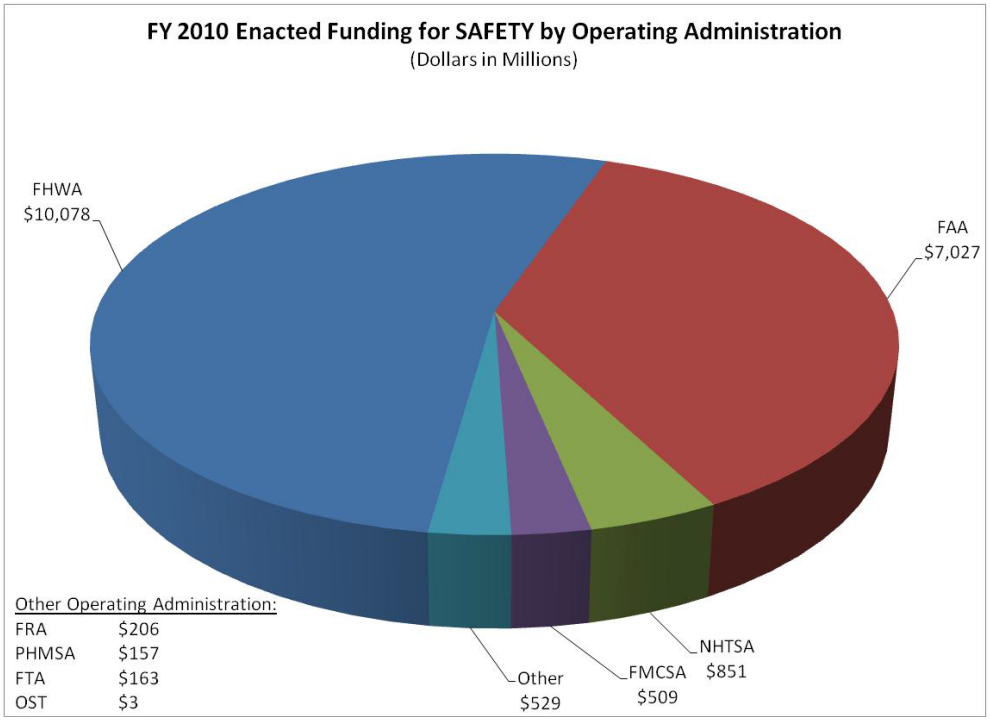
* FAA's En Route Modernization Program (or ERAM) is currently 4 years behind schedule and an estimated $330 million over budget. FAA has put a corrective action plan in place to improve the program.

(r) revised; * preliminary estimate; # projection from trends

Safety

DOT

Improving safety throughout the transportation network is the premier goal of the Department of Transportation. There are many ways in which we affect safety on the highways, in the air, on the railroads, on vessels and in our waterways, and on subway systems. Safety rulemaking is one of our primary tools. We also sponsor and conduct research to address the causal factors and risks in accidents in all transportation modes. We support outreach, education, enforcement, and demonstration programs aimed at the public or specific transportation industries. We make extensive use of safety-related data to evaluate the impact of new vehicle and infrastructure technologies, focus inspection activities, prioritize and address risks, and assess enforcement techniques. In Fiscal Year 2010, the U.S. Department of Transportation dedicated $19 billion to promote safety in our nation's transportation system.



TOTAL FY 2010 FUNDING: $18,994 MILLION

Roadway Safety

Reducing the rate of roadway fatalities per 100 million vehicle miles traveled (VMT)

In the first decade of the 21st century, the United States experienced more than 400,000 deaths and over 25,000,000 injuries on the nation's roadways. Roadway crashes are the leading cause of death for Americans age 4 through 34. In FY 2010, the Department of Transportation designated reducing roadway fatalities as one of its high priority performance goals. Three agencies, the National Highway Traffic Safety Administration (NHTSA), the Federal Highway Administration (FHWA), and the Federal Motor Carrier Safety Administration (FMCSA), are working together to address multiple dimensions of roadway safety. Our goal is to reduce roadway fatalities by the end of calendar year (CY) 2011 to 1.10 per 100 million vehicle miles traveled. In FY 2010, these agencies dedicated $11.4 billion to address roadway safety.

Public Benefit

NHTSA, FHWA, and FMCSA work with partners to promote highway safety by preventing motor vehicle crashes and reducing their associated economic costs through the development and implementation of data-driven, workable, and self-sustaining highway safety programs. In addition to lives saved and reduced injuries, the public benefits from reduced damage to property and reduced loss of business and personal revenue.

What are we measuring? DOT tracks four broad categories of roadway fatalities: occupants of passenger vehicles, motorcyclists, pedestrians and pedalcyclists (collectively referred to as non-occupants in this report), and passengers of large trucks and buses. Breaking the larger category of roadway fatalities into these sub-groups allows us to pinpoint the challenges in reducing fatalities and develop targeted solutions.

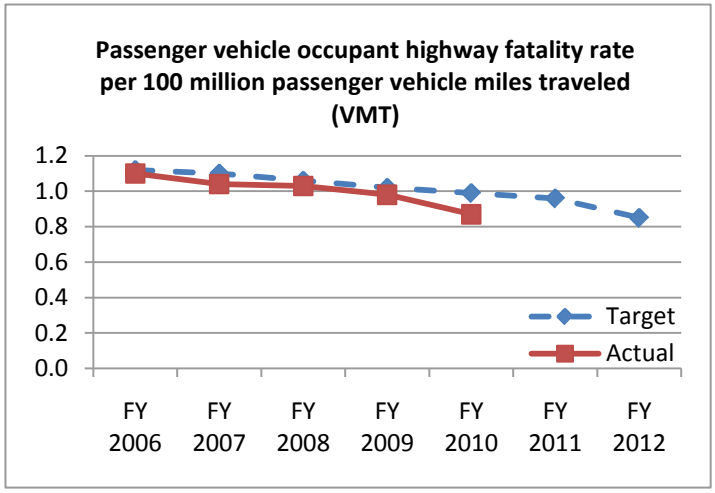
Description of Results: In 2009, the latest year for which complete data is available, traffic fatalities in the U.S. fell to a historic 60-year low. The record-breaking decline occurred even while estimated VMT increased by 0.2 percent over 2008 levels. The latest data show the number of people who died on the nation's roads fell 3,615, or 9.7%, from 2008 to 33,808 in 2009. This is the lowest total since 1950.

The following four performance measures are components of the Department's overarching high-priority roadway fatality rate performance goal:

Measure #1: Rate of passenger vehicle occupant traffic fatalities per 100 million passenger VMT (a sub-unit of the Roadway Fatalities goal)

2010 Results: *Target Projected to be Met* ✔
Target: 0.99 passenger vehicle occupant fatalities per 100 million passenger VMT
Actual: 0.87 passenger vehicle occupant fatalities per 100 million passenger VMT

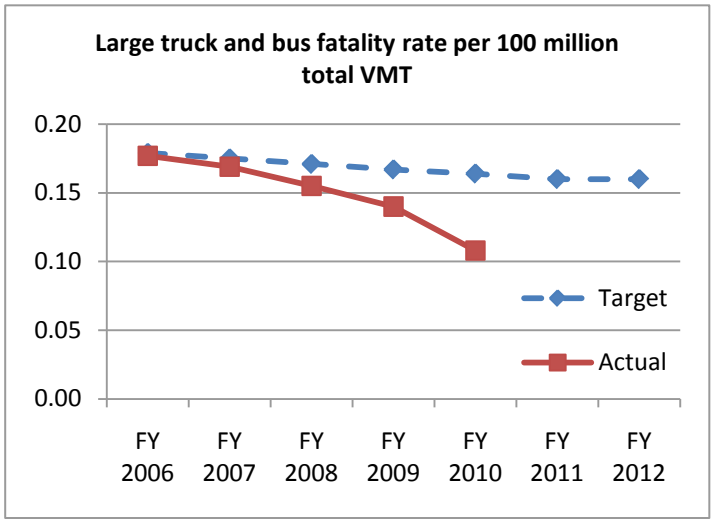
Description of Results: Passenger vehicles include passenger cars and light trucks. Overall, the number of passenger vehicle occupant fatalities decreased 8.2 percent, to 23,382 in 2009 (latest year for complete data). Passenger car occupant fatalities substantially declined to 13,095 in 2009, an 11 percent drop, reaching the lowest level since DOT began keeping records in 1975. Light truck occupant fatalities fell for the fourth straight year, to 10,287 in 2009, a 4.9 percent drop.



Measure #2: Rate of large truck and bus fatalities per 100 million total VMT

2010 Results: *Target Projected to be Exceeded*
Target: 0.164 large truck and bus fatalities per 100 million VMT
Actual: 0.108 – 0.119 large truck and bus fatalities per 100 million VMT

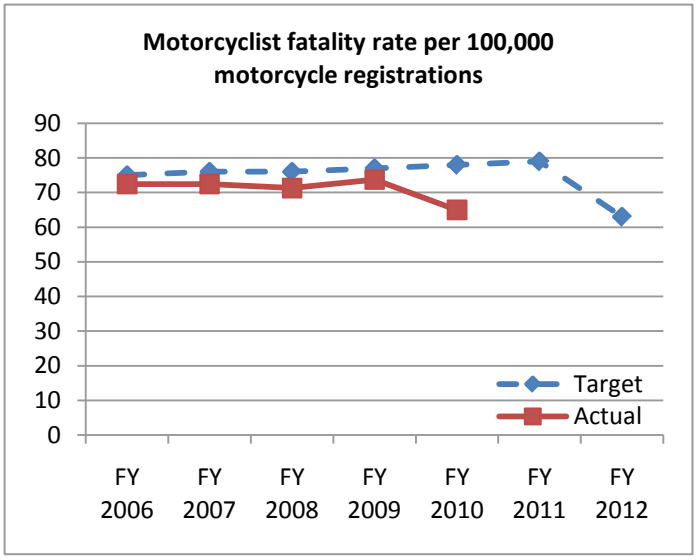
Description of Results: In CY 2009, fatalities involving large trucks and buses fell to a new low rate of 0.121 fatalities per 100 million VMT. This represents a 41% percent improvement over CY 2000's rate of 0.205 fatalities per 100 million VMT. The total number of crashes involving a large truck or bus, resulting in one or more fatalities, fell to a new historic low of 3,197 in CY 2009.



Measure #3: Reduce the rate of motorcyclist roadway fatalities per 100,000 motorcycle registrations

2010 Results: *Target Projected to be Exceeded*
Target: 78 motorcyclist roadway fatalities per 100,000 motorcycle registrations
Actual: 65 motorcyclist roadway fatalities per 100,000 motorcycle registrations

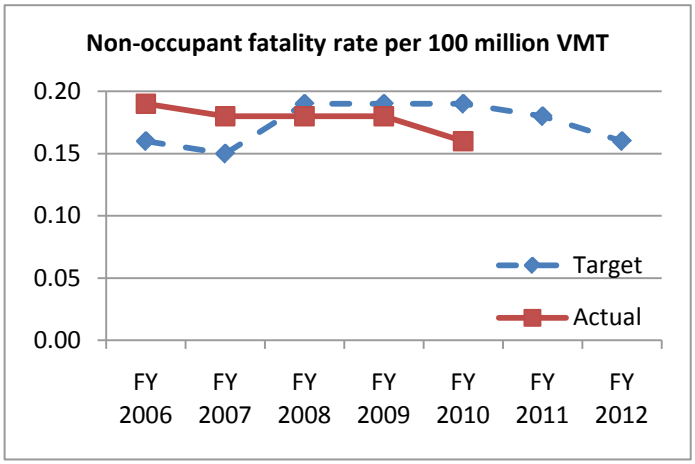
Description of Results: Motorcyclist fatalities now account for 13 percent of total fatalities on the nation's roadways, and increased every year between 1998 and 2008. In 2009, however, that trend was broken due to a large decline of 850 fatalities. In 2009, the number of motorcycle riders involved in fatal crashes with 0.08+ blood alcohol concentration levels dropped 16 percent to 1,314.



MEASURE #4: RATE OF NON-OCCUPANT FATALITIES PER 100 MILLION VMT

2010 Results: *Target Projected to be Met*
Target: 0.19 non-occupant fatalities per 100 million VMT
Actual: 0.16 non-occupant fatalities per 100 million VMT

Description of Results: The number of non-occupants (such as pedestrians and pedalcyclists) killed in motor vehicle crashes decreased from 5,320 in 2008 to 4,972 in 2009. The number of pedestrian fatalities decreased to 4,092 in 2009, a 7.3 percent decrease. The number of pedalcyclists killed decreased by 12 percent to 630, and the number of other non-occupant fatalities decreased by 38 in 2009.



Looking Forward: FHWA is leading efforts to establish a performance-base framework for roadway safety planning in the States. These efforts include helping States develop and implement statewide Strategic Highway Safety Plans, establishing a single set of safety performance measures and targets in each State, and establishing a link between strategic plans and project-level safety investments.

FMCSA expects large truck and bus fatalities to continue to fall as it fully adopts and implements its Compliance Safety Accountability (CSA) program, which will modernize and increase Agency efficiency and effectiveness of enforcement activities through early contact

with a greater number of motor carriers. During the 30-month field test, approximately 50 percent of the motor carriers receiving the new warning letter logged onto the Agency's website to view their data. Safety investigators were able to achieve up to a 30 percent increase in the number of investigations they could perform, allowing FMCSA to contact more carriers. Additionally, nearly 50 percent of the test group investigations included a follow on action with the carrier to address safety issues as compared to 31 percent in the non-test group. FMCSA will continue to monitor, nationwide, the efficiencies and effectiveness of its new enforcement model to ensure that it is implemented consistently for optimal performance. Additionally, the Agency will monitor overall carrier improvements, paying special attention to those behavioral areas most closely linked to crashes.

NHTSA plans to complete research to understand the benefits and performance capabilities of automatic braking systems for heavy vehicles and to develop objective performance test criteria. In addition, NHTSA will complete critical vehicle crashworthiness and crash avoidance compliance testing, including testing for compliance with, and/or developing test procedures for, several new or substantially revised standards including light vehicle tires, electronic stability contr, roof crush, side impact, and ejection mitigation.

External Factors: The combined effects of fluctuating gas prices, the economic downturn, and the change in both the mix of vehicles − towards increased use of smaller cars and motorcycles − and the means of transportation − towards walking and bicycling, as well as mass transit − indicate fundamental changes in our transportation system. Roadway fatality rates are affected by the number of people using occupant and personal protection (i.e. seat belts, child safety seats, motorcycle helmets, air bags, etc.), the number of impaired drivers on the road, speeding, and driver distraction.

Partners: NHTSA partners with States, communities, law enforcement agencies, and other safety organizations to develop and implement programs designed to promote safe driving behaviors, eliminate distracted driving, and encourage consumers to purchase safer vehicles. FHWA works with the States, Metropolitan Planning Organizations, and local governments to reduce the severity of crashes through roadway infrastructure and operational improvements. The FMCSA works to reduce the occurrence of crashes involving large trucks and buses, through education and outreach to truck drivers, bus drivers and motor carrier companies. States develop and implement public information and activities. National safety organizations promote safer driver and passenger behavior. Automobile manufacturers and suppliers promote safer vehicles and best vehicle safety practices.

Aviation Safety

Limit the rate of fatalities per 100 million persons on board commercial air carriers to no more than 4.4 by 2025

This remains one of the safest periods in aviation history for both commercial and general aviation. Over the last five years, nearly three billion airline passengers reached their destination safely. As the stewards of aviation safety in the U.S., FAA and its industry partners have built a system that operates nearly 32,000 scheduled commercial flights daily and has reduced the risks of flying to all-time lows. In FY 2010, FAA received $4.6 billion in appropriations to focus on commercial aviation safety.

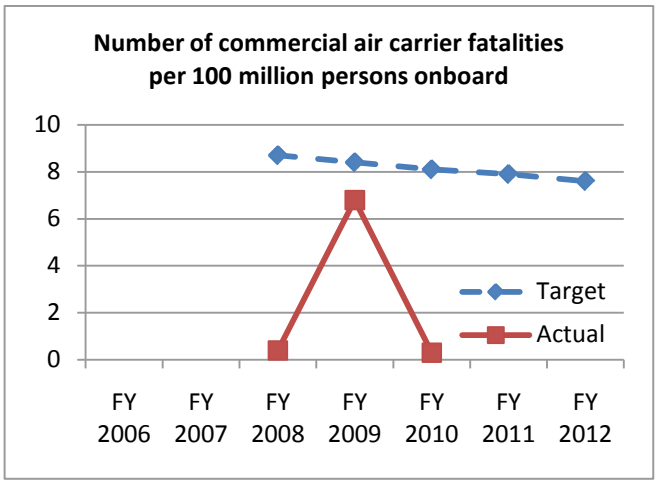
Public Benefit

As fatal air carrier accidents have declined in terms of average fatalities per accident, this measure will sharpen FAA's focus on helping air travel become even safer.

What are we measuring? FAA chose this measure because it communicates the individual risk to the flying public in an understandable way. The measure also helps FAA focus on identified risks, mitigating predictable risk factors that result in accidents or incidents.

2010 Results: *Target Exceeded* ✔
Target: 8.1 fatalities per 100 million people on board
Actual: 0.3 fatalities per 100 million people on board

Description of Results: In FY 2010, there was one commercial fatal accident with 2 fatalities. Despite this tragedy, however, FAA was able to meet its commercial aviation safety target. During the year, FAA implemented many critical safety initiatives that helped to keep this rate below its target, including:



- Implementation of a roadmap for Performance-Based Navigation procedures.
- Continued implementation of Commercial Aviation Safety Team initiatives.
- Maintenance of ISO: 9001 registration to certify that FAA's Aviation Safety Organization meets the same standards expected of those it regulates.

Looking Forward: FAA's safety challenge now is to identify remaining risks and eliminate, minimize, or manage them. FAA is working with aviation industry stakeholders to establish safety management systems within their operations. With these systems in place, FAA and the aviation industry will work together to address risks. Here are some of the activities FAA will pursue in the near future:

- Issue final rule on pilot fatigue and draft regulations addressing pilot qualification, training, professional development and mentoring.
- Continue to deliver Automatic Dependent Surveillance-Broadcast across the NAS.
- Continue to develop standards, policies, and guidance materials for Unmanned Aircraft Systems.
- Continue to deliver Automatic Dependent Surveillance across the NAS. Consider additional system coverage in areas not within the baseline in order to extend surveillance to areas not served by radar or other surveillance means.

External Factors: Approximately 80% of fatal accidents are directly related to some form or combination of human factors. To address some of these risks, FAA will continue to work with aviation industry stakeholders to establish a Safety Management System in their own organizations to identify potential risk areas.

Partners: Bureau of Transportation Statistics, Congress, National Transportation Safety Board, manufacturers, air carriers, unions, associations, International Civil Aviation Organization, Civil Airworthiness Authority.

Aviation Safety

Limit the general aviation fatal accident rate to no more than 1.10 fatal accidents per 100,000 flight hours

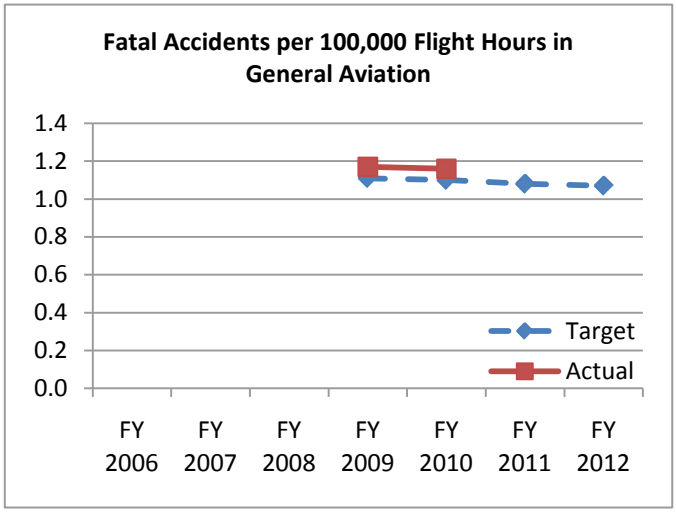
Although most people are familiar with FAA's role in commercial aviation, they may not be aware that it also oversees the safety of approximately 300,000 general aviation (GA) aircraft in the United States. These aircraft include amateur-built aircraft, rotorcraft, balloons, and highly sophisticated turbojets. General Aviation activities include student training, crop dusting, fire fighting, law enforcement, news coverage, sightseeing, industrial work, on-demand air taxi service, corporate transportation, business use, and personal use. In FY 2010, FAA dedicated $2.3 billion toward general aviation safety.

Public Benefit

By tracking the rate of fatal accidents per flight hours, FAA can more accurately pinpoint safety concerns or trends indicating potential safety concerns.

What are we measuring? The FAA shifted to a rate-based measure in FY 2009 because it tracks the fleet activity levels and their relationship to the number of fatal accidents. This performance measure is a true rate-based metric and tracks changes in the fatal accident rate for a fixed volume of flight hours (per 100,000).

2010 Results: *Target Not Met* ✗
Target: 1.10 fatal accidents
Preliminary Actual: 1.14 fatal accidents



Description of Results: While FAA did not meet the target, it put in place several initiatives to focus on its shortfalls. The FAA is focusing on identifying the hazards associated with general aviation and mitigating such risk. The FAA's Flight Standards Service has established a five-year strategy that encompasses all aspects of general aviation, to include amateur built aircraft safety initiatives, improved flight training and instruction programs, improved data collection and analysis, and concentrated outreach efforts to high risk populations through a collaborative industry outreach and engagement program. Amateur-built aircraft accounted for approximately 24% of GA fatal accidents in FY 2010 while only contributing 3.5% of GA hours. In addition, approximately 80 percent of general aviation fatal accidents are directly related to some form or combination of human factors. Human factor elements are incorporated throughout the FAA's five-year strategy to help provide pilots with a heightened sense of risk awareness. Flying conditions in Alaska are among the most challenging most pilots will ever see. FAA has a strong commitment to initiatives that will continue to help mitigate the risks of General Aviation in Alaska. FAA continues to use training

simulators for flight reviews, endorsements to fly tail-wheel airplanes, and training. Using simulators allows pilots to undergo an enhanced training experience while minimizing the exposure to risk associated with training in the aircraft. The FAA also uses training simulators to conduct pilot reexaminations and evaluations to ensure the pilot can perform to the minimum prescribed certification standards. Additionally, an ongoing off-airport accident reduction program through the Alaskan region will remain in place. This includes aviation hunting season seminars, development and distribution of the "Alaskan Off-Airport Operations Guide," and over 400 face-to-face contacts with pilots. To aid in the reduction of accidents by amateur-built aircraft, FAA has established a Flight Standardization Board for Experimental Amateur-Built Aircraft. This has led to the development of an FAA Advisory Circular that will provide guidance and risk mitigation strategies associated with operations in amateur built aircraft.

Looking Forward: FAA will continue to investigate, develop and implement new strategic initiatives to address the challenges of creating a safe environment for on-demand and general aviation flights. Additionally, the agency will work to identify human factors that may contribute to accidents. This information will be used to develop and implement strategies, methods, and technologies that reduce safety risks. FAA is also developing a new amateur-built aircraft sub-team under the General Aviation Joint Steering Committee. This sub-team will focus on the development of additional measures to help reduce fatal accidents in amateur-built aircraft.

External Factors: Approximately 80% of general aviation fatal accidents are directly related to some form or combination of human factors. These human factor influences are occurring in a broad spectrum of general aviation activities from more highly regulated on-demand air taxi service in sophisticated aircraft, to more loosely regulated recreational flying in homebuilt aircraft.

Partners: National Transportation Safety Board and General Aviation Joint Steering Committee, Congress, manufacturers, training schools, associations, Civil Airworthiness Authority.

Rail Safety

Rail-related accidents and incidents per million train-miles

In the past 10 years, the Federal Railroad Administration (FRA) has successfully reduced the total number of rail-related accidents nationwide and the rate of accidents per million train-miles. From FY 2001 through FY 2010, total accidents (e.g., train, grade crossing, trespasser, and employee) have declined by 34 percent, while the rate of total accidents per million train-miles has dropped by almost 32 percent. Significantly, this occurred while rail traffic rose more than 11 percent through FY 2007. In FY 2010, FRA's budget included $165 million for rail safety.

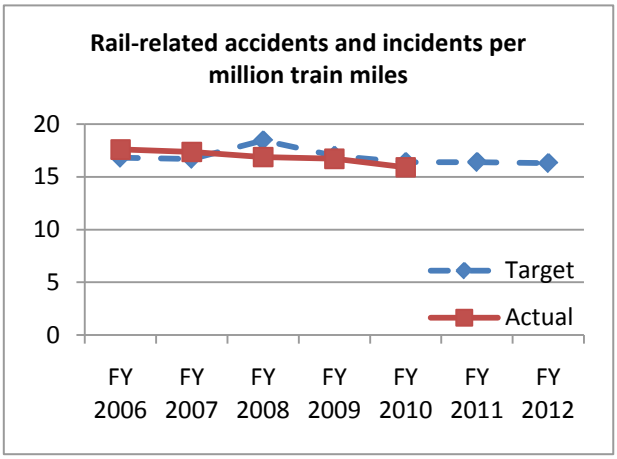
Public Benefit

This performance measure was established to target the most frequent, highest-risk causes of train accidents, to focus FRA oversight and inspection resources more precisely, and to accelerate research efforts that had the potential to lessen the largest risks. An increased awareness of train safety at grade crossings or through operator behavior provides public benefits through fewer deaths and injuries, fewer hazmat releases into the environment, the lowering of hospital and insurance expenses, and fewer reportable damaged goods.

What are we measuring? This measure provides an over-arching gauge of FRA's six internal safety performance measures, and reflects the vastness of America's rail environment (e.g. train accidents; employee accidents/incidents; grade crossing incidents; trespasser incidents).

2010 Results: *Target Exceeded* ✔
Target: 16.4
Actual: 16.1

Description of Results: Although the data are preliminary for the completed FY 2010, the total number of accidents and incidents fell by 3.6 percent. The overall accident/incident rate of 16.07 will be lower and better than last year's final rate. The reduction in accidents should help to reduce fatalities and injuries, hazmat spills, environmental damage, and insurance costs.



Looking Forward: FRA is confident that it can meet its goal in FY 2012. The economy will play a deciding role, however. If train-miles increase over the next two years from an improved economy (particularly in the construction, housing, and auto industries), we may see a rise in rail-related accidents, along with increased casualties and damage expenses. To address this concern, FRA is strengthening its inspector force, initiating a risk reduction program and making considerable upgrades to its data management system. In the next two years, FRA will:

- Fulfill several mandates, such as hours-of-service recordkeeping regulations; final rules on bridge safety standards; and State-specific action plans to improve grade-crossing safety under the Railroad Safety Improvement Act of 2008.

- Make progress on mandated rulemakings, such as telephonic reporting of grade-crossing problems; conductor certification; concrete crossties; technology for non-signaled (dark) territory; emergency escape breathing apparatus; and pedestrian crossing safety near passenger stations.

External Factors: For FY 2010, 262 people were killed in almost 1,970 grade-crossing incidents nationwide. Many of these deaths were caused by drivers illegally avoiding protective devices at crossings. Additionally, 460 people died while trespassing on rail rights-of-way. These two categories account for almost 95 percent of all rail-related deaths. Because many involve behavioral factors, they are difficult to address effectively.

Partners: Private rail operators; State and local governments; domestic and international associations and organizations as members of the Rail Safety Advisory Committee; and Operation Lifesaver.

TRANSIT SAFETY

TRANSIT FATALITIES PER 100 MILLION PASSENGER-MILES TRAVELED

Transit is one of the safest modes of travel per passenger-mile traveled. However, the DOT believes we must take serious, cost-effective steps now to make it even safer and ensure that it remains safe as systems age and ridership grows. DOT-proposed rail transit safety legislation would correct the current patchwork safety system of 27 State agencies with inconsistent rail safety standards, inadequate power, and insufficient staffing.

Public Benefit

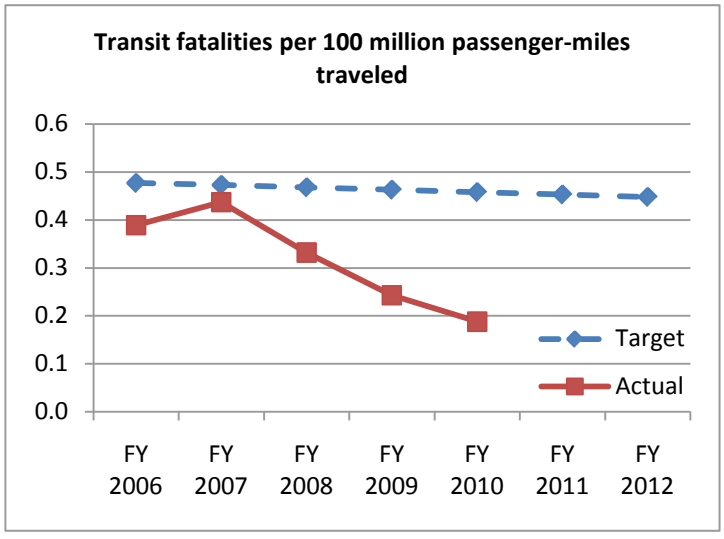
The public benefits of riding transit are a cleaner environment, reduced dependence on foreign oil, mobility and accessibility for underserved populations and a positive contribution to reducing travel costs and travel time through less congested roads.

According to the National Safety Council, passengers on the Nation's bus, rail, or commuter rail systems are 40 times less likely to be involved in a fatal accident, and 10 times less likely to be involved in an accident resulting in injury. The challenge is to further reduce the rate of fatalities and injuries even as the total number of people using transit increases. In FY 2010, FTA received $163 million to address transit safety.

What are we measuring? This measure demonstrates the effectiveness of FTA safety initiatives. A fatality is reported for any death occurring within 30 days of a transit incident as a result of that incident. Although suicides are reported as transit incidents, they are not included in the data on transit fatalities. Fatalities may occur while traveling on transit or while boarding, alighting, or waiting for transit vehicles to arrive. An injury or fatality may also occur while not using transit, such as in the cases of being struck by a transit vehicle.

***2010 Results**: Target Exceeded* ✔
Target: 0.458
Actual: 0.188

Description of Results: Transit is one of the safest modes of travel per passenger miles traveled. Each day our Nation's bus, rail, ferryboat and paratransit systems provide over 33 million passenger trips. FTA uses a multi-faceted approach to maintain its safety record. Investments in replacing and maintaining transit infrastructure improve its safety. Oversight, technical assistance, safety related data collection and analyses, and training help the transit industry understand and implement innovative safety and security



strategies. Research is conducted on new technologies and safety practices to reduce the risks of accidents and fatalities. Five years of audits conducted by FTA have shown that the drug and alcohol programs of grantee, sub-recipients, and their contractors are usually in compliance with testing rules.

Looking Forward: FTA will continue to support passage of rail transit safety legislation. FTA will also continue to strengthen its safety training, data collection, and research programs within existing legislative authority. Programs that improve safety indirectly, such as infrastructure preservation, are being leveraged to do as much as possible within the existing authority.

External Factors: The age and condition of the transportation infrastructure has an impact on the safety of the system. FTA does not currently have the statutory authority to address specific safety issues such as hours of service, vehicle and track safety standards, or providing additional enforcement authority and resources for safety oversight programs. In addition, the state of asset management at local transit agencies is inconsistent.

Partners: State and local transit agencies and decision makers.

PIPELINE SAFETY

NUMBER OF NATURAL GAS AND HAZARDOUS LIQUID PIPELINE INCIDENTS INVOLVING DEATH OR MAJOR INJURY

While pipelines are by many measures the safest mode for transporting hazardous liquid and natural gas, the nature of their cargo is inherently dangerous. To address this hazard, the Pipeline and Hazardous Materials Safety Administration (PHMSA) has designed and implemented a strong, risk-based, systems approach to protect the safety, security, and reliability of our Nation's pipeline infrastructure. This approach also helps provide secure and reliable transportation of our Nation's energy resources.

Public Benefit

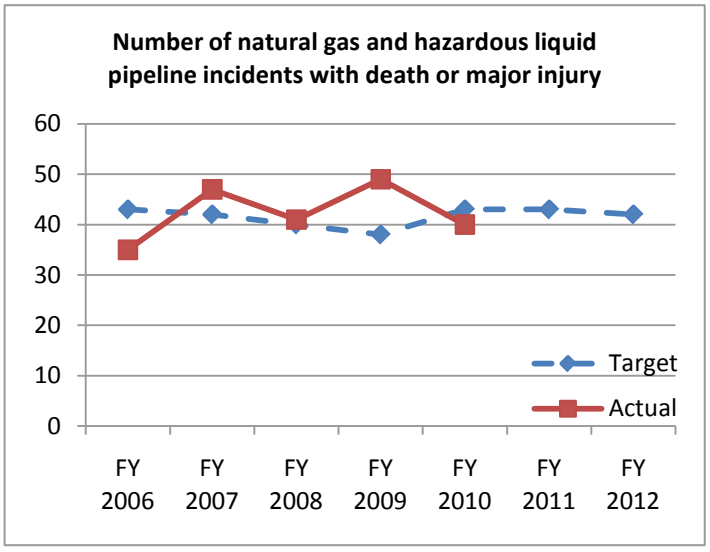
Reducing incidents involving death or major injury directly impacts public and occupational safety, and contribute directly to achieving the DOT strategic goal for safety.

PHMSA recognizes the importance of a strong continued focus on excavation or construction-related damage—the leading cause of serious pipeline incidents involving death or injury, especially in natural gas distribution systems where people work and live in closest proximity to pipelines. In FY 2010, PHMSA's budget included nearly $71 million to address pipeline safety.

What are we measuring? Deaths and injuries reflect the most important safety outcomes in transportation, and the number of incidents with death or major injury reflects the risk of these outcomes.

***2010 Results**: Target Projected to be Met* 
Target: 30-43
Actual: 40

Description of Results: The number of pipeline incidents with death or major injury declined from 54 last year to 40 this year. This is the third lowest total in the past 22 years, and within the normal range around the long-term trend, averaging a 3.3% decline per year.



Looking Forward: PHMSA expects the historical decline in risk for death and injury to continue, since the agency is still implementing many new programs. PHMSA will:

- Work with State partners to implement final rules issued in early 2010 covering integrity management for gas distribution pipelines, and needed improvements in control room management, including fatigue mitigation for controllers.
- Work with States to improve their damage prevention programs, including enforcement of State laws, through DOT guidance and existing grant authority. PHMSA will continue to partner with States and all other stakeholders to promote the "Call 811 Before You Dig" public awareness campaign.
- Finalize regulations to implement new Federal authority to enforce against third party excavators who damage energy pipelines when a State fails to do so.

External Factors: Excavation damage, damage from natural forces (e.g., storms and flooding), and other outside force damage are all significant causes of pipeline failure.

Partners: State pipeline safety agencies, who inspect approximately 80% of all pipelines.

HAZARDOUS MATERIALS SAFETY

NUMBER OF HAZARDOUS MATERIALS TRANSPORTATION INCIDENTS INVOLVING DEATH OR MAJOR INJURY

Public Benefit

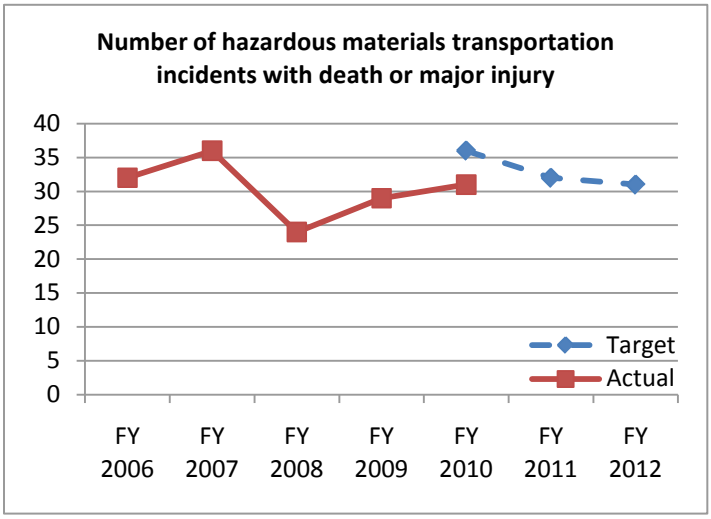
Reducing incidents involving death or major injury directly impacts public and occupational safety, and contribute directly to achieving the DOT strategic goal for safety.

Energy products and hazardous materials underpin the American economy and our way of life. They also introduce some inherent risk to the public, the environment, and property. PHMSA is focused on protecting people and the environment from the risks inherent in transportation of hazardous materials. The agency leads the national program to identify and evaluate safety risks, develop and enforce standards for transporting hazardous materials, educate shippers and carriers, investigate hazardous materials incidents, conduct research, and provide grants to improve emergency response to incidents. In FY 2010, DOT received nearly $170 million to address hazardous materials safety.

What are we measuring? Deaths and injuries reflect the most important safety outcomes in transportation, and the number of incidents with death or major injury reflects the risk of these outcomes.

2010 Results: *Target Met*
Target: 22-36
Actual: 31

Description of Results: The number of hazardous materials incidents involving death or major injury increased slightly from 2009, but was still within the normal range around the long-term trend – averaging a 1.3% decline per year.



Looking Forward: PHMSA expects to achieve the target range in the future. As economic conditions improve, we anticipate an increase in shipments and exposure. It will be important to continue implementation of new programs to address these risks. PHMSA will:

- Complete new rules to strengthen the regulation of lithium batteries, cargo tank wet lines, and bulk loading and unloading operations.
- Demonstrate methods to transfer hazmat shipping information electronically to increase efficiencies.
- Study rollovers and methods to reduce or prevent these types of crashes.

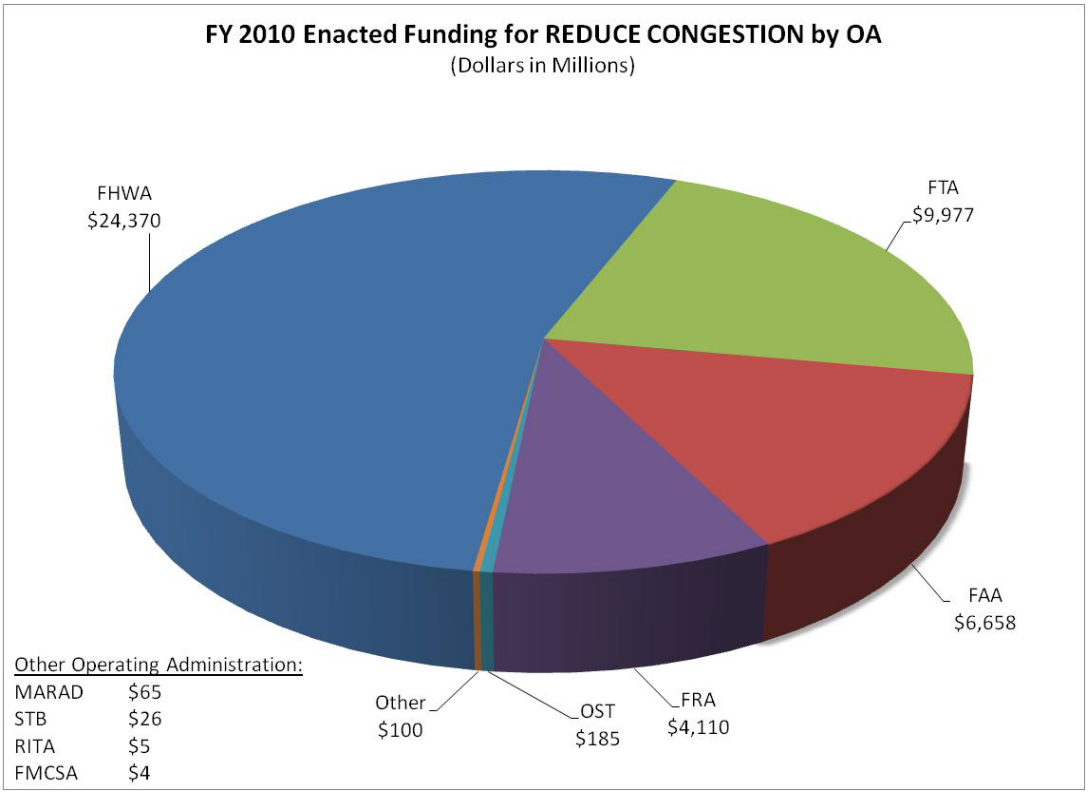
External Factors: Since this measure is not normalized for changes in risk exposure, there are several factors that could affect the outcomes, including the volume shipped, total vehicle miles of travel, or changes in the mix of HAZMAT shipped. These external factors are driven largely by economic conditions.

Partners: FMCSA, FAA, FRA, and the U.S. Coast Guard all contribute to achieving this goal through prevention programs focused on their modes of transportation. State and local emergency responders play an important role in mitigating the consequences of incidents that do occur.

Reduced Congestion

DOT

Most Americans may not know that congestion is costing America an estimated $200 billion a year collectively. What individual citizens do know, however, is that their time is being wasted sitting on our nation's roadways or in our airports – time that should be spent with family, friends, and in our communities. DOT has three broad strategies for reducing congestion across the country: maintain infrastructure in all modes in a state of good repair, increase capacity where possible, and provide citizens with travel options. The U.S. Department of Transportation dedicated $45 billion to reducing congestion and other impediments to mobility in the transportation system.



TOTAL FY 2010 FUNDING: $45,400 MILLION

Highway Congestion

Percent of total annual urban area travel time occurring in congested conditions

Traffic congestion on our Nation's highways now affects more trips, involves more hours of the day, and includes more of the transportation system than ever before. Congestion varies significantly day to day because demand and capacity are constantly changing at any given location. In 2007, 63 percent of the peak-period travel nationwide was congested, compared to 29 percent in 1982. Traffic congestion caused urban Americans to travel 4.2 billion hours more and to purchase an extra 2.8 billion gallons of fuel – an increase of more than 50 percent over the previous decade. In FY 2010, FHWA managed approximately $9 billion in funding to address highway congestion.

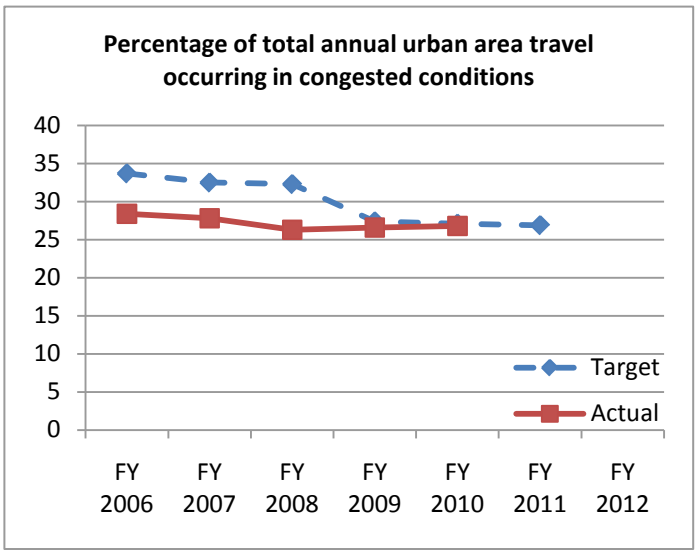
Public Benefit

Reducing congestion saves time, money, wasted fuel and reduces green house emissions. Tracking how much time is spent in congested conditions can aid in determining the impact of public investments and transportation related policies.

What are we measuring? This measure provides a picture of the state of congestion on the Nation's roads, specifically in urban areas. This measure is the closest to a nationwide congestion measure that can be developed using existing Highway Performance Monitoring System data sets and mature performance measurement methodology.

2010 Results: *Target Projected to be Met* ✔
Target: 27.1
Actual: 26.8

Description of Results:
Traffic congestion based on nationwide travel data increased to a projected 26.6 percent in FY 2009, up from 26.3 percent in 2008. Based on current forecasts for travel, congestion is expected to increase to a projected 26.8 percent in FY 2010. While these projections are for an increase, the results are still below the target set for this year due to a slowdown in the rate at which travel increased annually prior to the recent recession.



Looking Forward: As the economy improves, FHWA expects to see an increase in travel nationwide, which may create a further increase in traffic congestion levels nationwide – albeit at a slower rate of increase than previously forecast. FHWA will continue to focus on operating the

highway transportation system more efficiently (i.e., pricing travel demand management), adding capacity in critical locations, and providing options to travelers to keep congestion from increasing.

Completion of the following actions will affect future performance under this measure:

- Implementing operations-based congestion reduction strategies in the 40 largest metropolitan areas, such as traffic incident management, traffic signal management, work zone management, and congestion pricing.
- Increasing the use of real-time traveler information and roadway status or condition systems.
- Using Adaptive Signal Control Technology tools to guide programming and / or implementation of adaptive signal control strategies and systems.
- Continuing to research and test promising active traffic management strategies, such as integrated corridor management, dynamic shoulder use, and speed harmonization.

Federal funds are obligated to the States to accelerate projects that will expand capacity and alleviate congestion in selected Interstate locations. For example, Recovery Act funding is helping advance the Dallas Fort Worth Connector, which will double the existing highway capacity on a State Highway corridor where traffic volume is projected to grow rapidly over the next 20 years. Federal funds are being used to advance several projects to build congestion-priced High Occupancy Toll (HOT) lanes on Interstates in California (I-5 and I-10 in Los Angeles and I-15 in San Diego), as well as adding to the capacity of existing roadways in Florida (I-75), Indiana (I-465), Nevada (I-15), Texas (I-10 and I-35), and Wisconsin (I-94).

External Factors: There are a number of external factors such as the level of unemployment, freight shipments and the price of fuel that can affect the volume of travel and, consequently, the level of congestion.

Partners: State and local Departments of Transportation and Metropolitan Planning Organizations are FHWA's direct partners in trying to reduce congestion. Industry associations, the private sector, and academic researchers are partners in developing this performance measurement methodology.

Transit Ridership

Average percent change in transit boardings per transit market (150 largest transit agencies)

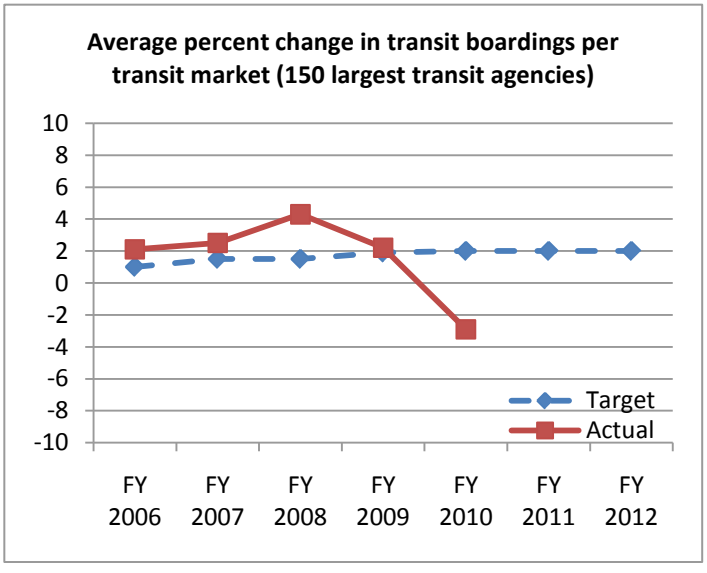
According to a recent Texas Transportation Institute analysis, Americans wasted 4.2 billion hours and 2.8 billion gallons of fuel sitting in traffic jams. Traffic congestion now costs motorists in our Nation's top urban areas about $78 billion a year in wasted time and fuel. Mass transit, however, saved $10.2 billion in wasted fuel and time. In FY 2010, FTA managed approximately $9.5 billion to support local transit service.

Public Benefit

An increase in transit ridership is an indication that the public is choosing transit over more energy intensive and congested modes of travel. The public benefits includes a cleaner environment, reduced dependence on foreign oil, mobility and accessibility for underserved populations, and a positive contribution toward reducing travel costs and travel time through less congested roads.

What are we measuring? FTA tracks transit ridership in order to assess the impact of its programs. By tracking the average change in ridership across the urbanized areas which have the largest 150 transit agencies (by number of boardings per year) FTA develops a broad indicator of the health of the U.S. transit industry. Increases in this indicator, beyond population and travel growth, show that transit is capturing a larger share of the transportation market.

***2010 Results**: Target Not Met* ✗
Target: 2.0
Actual: -4.2



Description of Results:
FTA continued to invest in the Nation's transit infrastructure to ensure transit is safe, efficient, reliable, accessible, and as cost effective as possible to help attract new riders. FTA also continued its United We Ride program and the DOT Intelligent Transportation System technologies program, which use technology to create a single point of customer access to transportation services no matter what the trip, who provides the ride or who funds the services. However, even continuing successful ridership strategies could not outweigh factors that caused a decline in transit ridership -- a decline in the economy, relatively high unemployment, and lower State and local government funding for transit due to lower sales, income and property taxes.

Looking Forward: The short-term outlook is for stable ridership as the economy improves and transit agencies begin to restore services and routes cut during the decline in the economy. The long-term outlook is to resume ridership growth of 2% per year as urban populations continue to grow, more rural areas establish transit service, and municipal planners embrace the principles of livable communities and transit-oriented development.

External Factors: Transit ridership is affected by several factors, including:

- Gasoline Prices - Higher retail gasoline prices increase the cost of driving and lead to more consumers choosing transit, which boosts transit ridership.
- Economic Growth - Approximately 50% of transit trips are taken to or from work, thus transit ridership is positively correlated with employment.
- State and Local Funding - Federal funding only accounts for about 18% of total funding for public transportation and only about 8% of operating expenditures. State and Local Government sources account for over half of transit operating expenses, so cutbacks in State and Local Government support for transit will reduce overall transit service.

Partners: Transit agency grant recipients; State Departments of Transportation, local governments, metropolitan planning organizations.

Improved Infrastructure

Improving the condition and performance of pavement and bridges is critical to the structural integrity and cost effectiveness of the transportation system. The condition of the National Highway System (NHS) also affects traffic congestion, wear-and-tear on vehicles, comfort of travelers, and fuel consumption. In FY 2010, FHWA received $11.7 billion for improving infrastructure.

What are we measuring? Preserving the health of pavement and bridges, particularly on the approximately 160,000 miles and 116,000 bridges of the National Highway System (NHS) that includes the Interstate system, is critical to the structural integrity, functionality, and cost effectiveness of the nation's transportation system. This performance measure is used to assess the overall condition of pavements to determine if the highway infrastructure on the NHS is able to support system mobility needs, and determine if investments made to maintain and improve infrastructure conditions are effective.

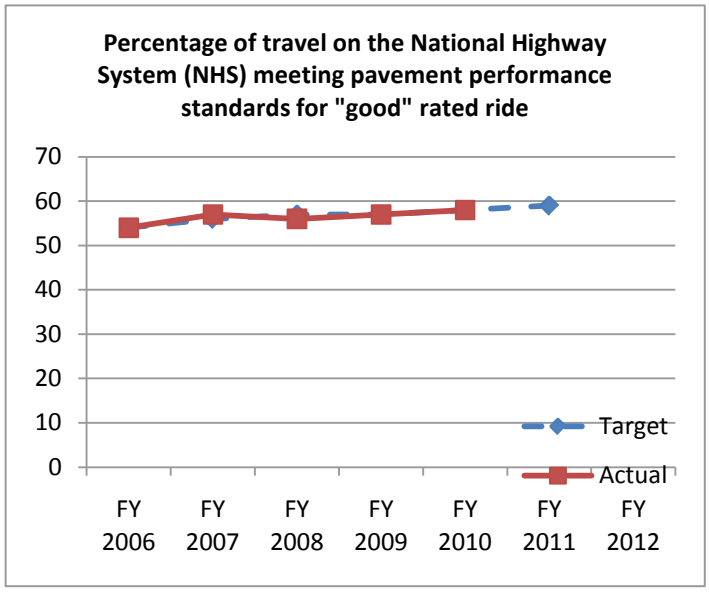
Public Benefit

Achieving targets set for this performance measure will provide for a smoother riding surface on the NHS minimizing undue wear-and-tear on vehicles used for personal, commuter, and freight movements. Maintaining a sizeable percentage of pavements in good condition means that states will need to spend fewer dollars on pavement preservation and replacement.

Bridges will meet the safety and traffic capacity demands of the traveling public.

Performance Measure #1: Percent of travel on the National Highway System (NHS) meeting pavement performance standards for good ride

2010 Results: *Target Projected to be Met*
Target: 58%
Actual: 58%

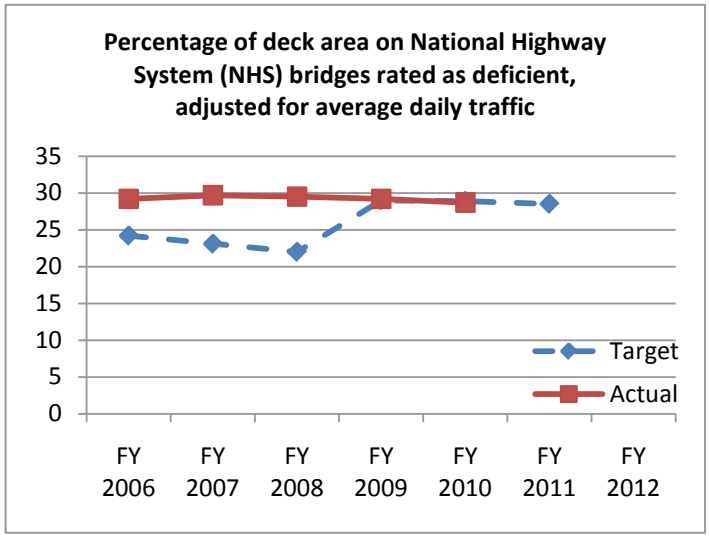


Description of Results: FHWA is placing a greater focus on the evaluation of the performance of NHS pavements, developing new reports to identify areas of the country where conditions are changing. These reports have helped FHWA engage in a discussion with highway agencies to better understand how NHS pavement performance can be managed more effectively. FHWA is working with the American Association of State Highway and Transportations Officials (AASHTO) to develop a consistent and reliable method to assess

and report on pavement performance at a national level, which could be used to support a performance-based Federal-aid program. The 2010 actual results for this measure are based on 61% of the total VMT in 2009, as reported by 36 States.

Performance Measure #2: Percent of deck area on National Highway System bridges rated deficient

2010 Results: *Target Met*
Target: 28.9%
Actual: 28.7%



Description of Results: From the early 2000s through 2008, bridge construction unit costs showed a steady increase. Thus, less bridge work (i.e., rehabilitation or replacement) may have been accomplished during this period than for the same investment level in prior years. National Bridge Inventory (NBI) data examined in 2010 may reflect the work done on bridges during this past decade. Thus the pace of condition improvement could be somewhat less than was originally anticipated.

As part of its 2009 audit of the National Bridge Inspection Program, the Office of Inspector General (OIG) concluded that the FHWA cannot effectively track bridge expenditures and measure performance. As a result, FHWA initiated a process to include more detailed project information within bridge projects in the Financial Management Information System. In addition, FHWA drafted detailed criteria that include more than 20 specific metrics linked to the National Bridge Inspection Standards regulatory provisions, such as inspection frequency and inspector qualifications, with defined risk tolerance levels for compliance, substantial compliance, and non-compliance determinations. In FY 2010, FHWA concluded a pilot evaluation of these criteria and procedures in 12 division offices.

Looking Forward: Going forward, States will begin reporting additional pavement condition data to FHWA. The agency will complete development of a consistent and reliable method to assess and report on pavement performance at a national level, while seeking agreement from all States on the proposed method. FHWA will also implement a new National Bridge Inspection Standards compliance process in all 52 States and territories, and implement Fiscal Management Information System enhancements to include additional bridge project data.

External Factors: There are several factors that affect FHWA's ability to improve pavement quality and bridge conditions:

- Pavement quality – The transportation funding levels and available revenue from federal, State, and local sources needed to support these levels. State and local highway agencies, not FHWA, select projects, which may or may not address pavement quality. Other factors are the costs of materials and construction services to deliver highway projects, which are highly dependent on worldwide demand, and the quality of the design and construction of highway projects.
- Bridge condition – States select bridge projects for programming and have considerable flexibility in prioritizing how the funds are used (e.g., type of work performed.) Other factors are the increased costs of materials and construction services to delivery bridge projects, the availability of human and material resources, and the quality of the project design and construction.

Partners: State and local transportation departments, universities, the Transportation Research Board, and the American Association of State Highway and Transportation Officials.

Aviation Delay

Percent of all flights arriving within 15 minutes of schedule at the 35 Operational Evolution Plan airports due to National Air Space related delays

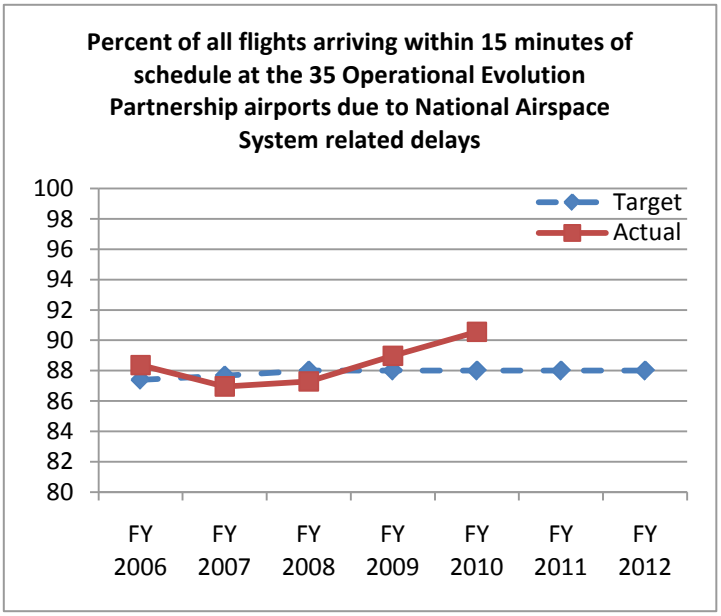
Reducing delays is one of the biggest challenges facing the FAA. Commercial airline passenger delays in the U.S. amount to approximately $10 billion in delay costs each year. The problem is exacerbated by increased traffic and congestion concentrated at several major airports, particularly in the New York metropolitan area. Along with increased congestion, adverse weather conditions are a major contributing factor to airport delays. Approximately 70 percent of flight delays are caused by weather. In FY 2010, FAA leveraged $1.759 billion to address aviation delays.

Public Benefit

This goal helps FAA focus on areas for improvement within their control, thereby increasing the probability that the flying public will reach their destinations on time.

What are we measuring? This metric measures on-time performance against the carriers' filed flight plan, rather than published schedules. This metric allows FAA to measure delivery of service while taking into account causation of flight delay.

2010 Results*: Target Projected to be Met* ✔
Target: 88.0%
Actual: 90.55%



Description of Results:
The National Air Space on-time performance level is the highest it has been since the inception of this metric in 2005. In support of this measure, the FAA's Average Daily Airport Capacity contributed significantly to the success of the NAS on-time target. Both measures met and exceeded expectations.

Looking Forward: Completion of the following actions will affect future performance under this measure:

- Implement multi-center Q-routes to create efficient routing structures where needed.
- Finalize the Q-route program plan.
- Continue to support the commissioning of nine new runway/taxiway projects, thereby increasing annual service volume of the nation's busiest airports.

- Continue implementing the New York Area Program Integration Office delay reduction plan milestones.
- Continue implementation of the roadmap for performance-based navigation.

External Factors: Weather, airline scheduling practices, runway construction/maintenance, ramp/airport congestion.

Partners: National Business Aircraft Association and airlines.

Transportation Accessibility

According to the U.S. Census Bureau's report *Americans with Disabilities: 2005*, there are 54.4 million persons with disabilities in the United States, and this number is expected to increase as the population ages. The Americans with Disabilities Act (ADA) requires that public transportation be accessible to and usable by persons with disabilities; it is vital to maintaining independence and mobility for people with disabilities and linking them to employment, health care and their community. In FY 2010, FTA managed approximately $526 million in funding to improve transportation accessibility.

Public Benefit

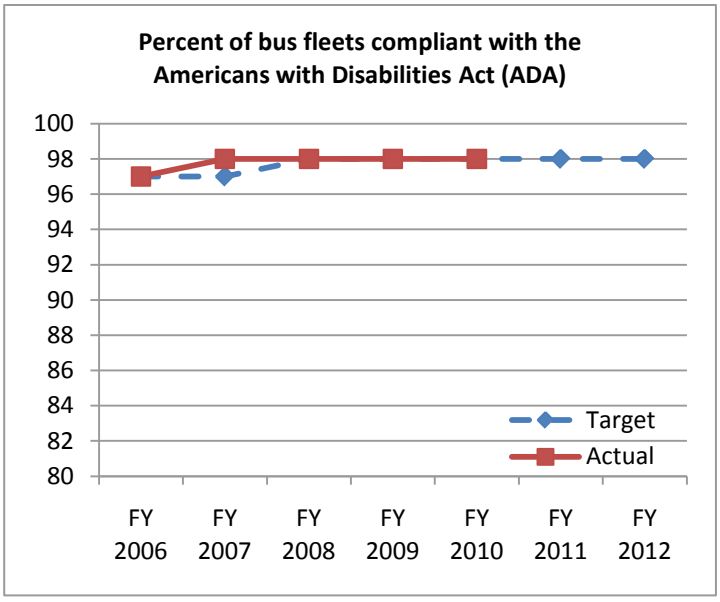
Accessible public transportation is vital to maintaining independence and mobility for individuals with disabilities, linking them to employment, health care and their community.

What are we measuring? FTA measures the percentage of transit buses that are lift- or ramp-equipped to accommodate wheelchairs to indicate how accessible the transit bus fleet is for individuals with disabilities. FTA also measures the percentage of key transit rail stations that are accessible to individuals with disabilities. A key station is designated by public entities that operate existing commuter, light or rapid rail systems. Each public entity determines which stations on its system are designated key stations through its planning and public participation process using criteria established by DOT regulations.

Performance Measure #1: Percent of transit bus fleets compliant with the Americans with Disabilities Act (ADA)

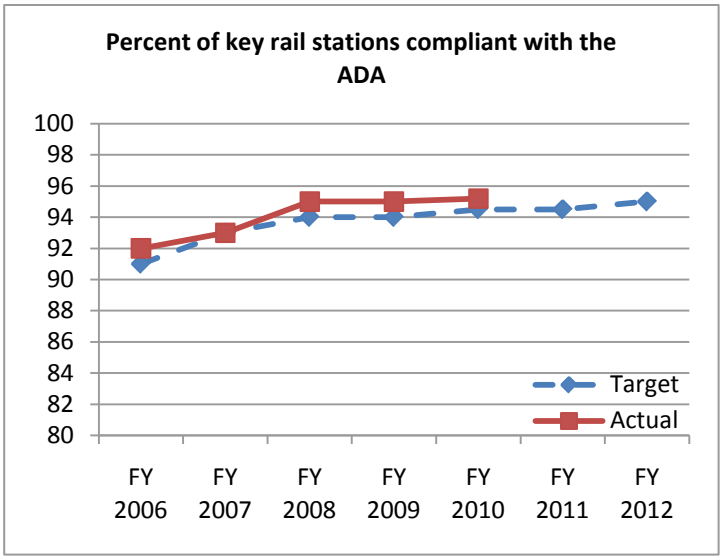
***2010 Results**: Target Met*
Target: 98%
Actual: 98%

Description of Results:
Bus fleets continue to become more accessible for individuals with disabilities as older vehicles are replaced with new vehicles that are lift- or ramp-equipped to accommodate wheelchairs. The overall rate of increase in bus accessibility has slowed since many buses on the street today meet the requirements.



Performance Measure #2: Percent of key transit rail stations that are compliant with the Americans with Disabilities Act (ADA)

2010 Results: *Target Exceeded*
Target: 94.5%
Actual: 95.2%



Description of Results:
In FY 2010, 95.2 percent of key rail stations were ADA compliant, exceeding our goal of 94.5 percent. There are 680 key rail stations nationwide designated by commuter rail, light rail, or rapid rail operators in cooperation with local disability communities. Only 4.8 percent of the key rail stations remain inaccessible to individuals with disabilities. Less than half of these are under FTA-approved time extensions allowed by Federal regulations up to the year 2020 because extraordinarily expensive structural changes or replacement of existing facilities are needed. Over three quarters of the remaining key stations that are not ADA compliant are located in Cleveland, Boston, and New York City. By focusing on these three cities, FTA will make substantial progress bringing these stations into compliance with ADA requirements.

Looking Forward: FTA will continue monitoring fleet accessibility to make sure it doesn't begin to decrease. The U.S. Access Board is developing revised standards for buses, vans, and systems; once a Final Rule has been issued and DOT has adopted these revisions into its own ADA regulations, FTA will begin to monitor fleet compliance with the new standards. FTA will also continue to monitor any regulatory changes that may need to be implemented.

External Factors: While the ADA requires that all new buses acquired by public operators of fixed-route systems be accessible, total fleet accessibility may never reach 100 percent due to provisions that permit the acquisition of inaccessible buses by public entities operating demand-responsive services, provided that equivalent service is available to persons with and without disabilities.

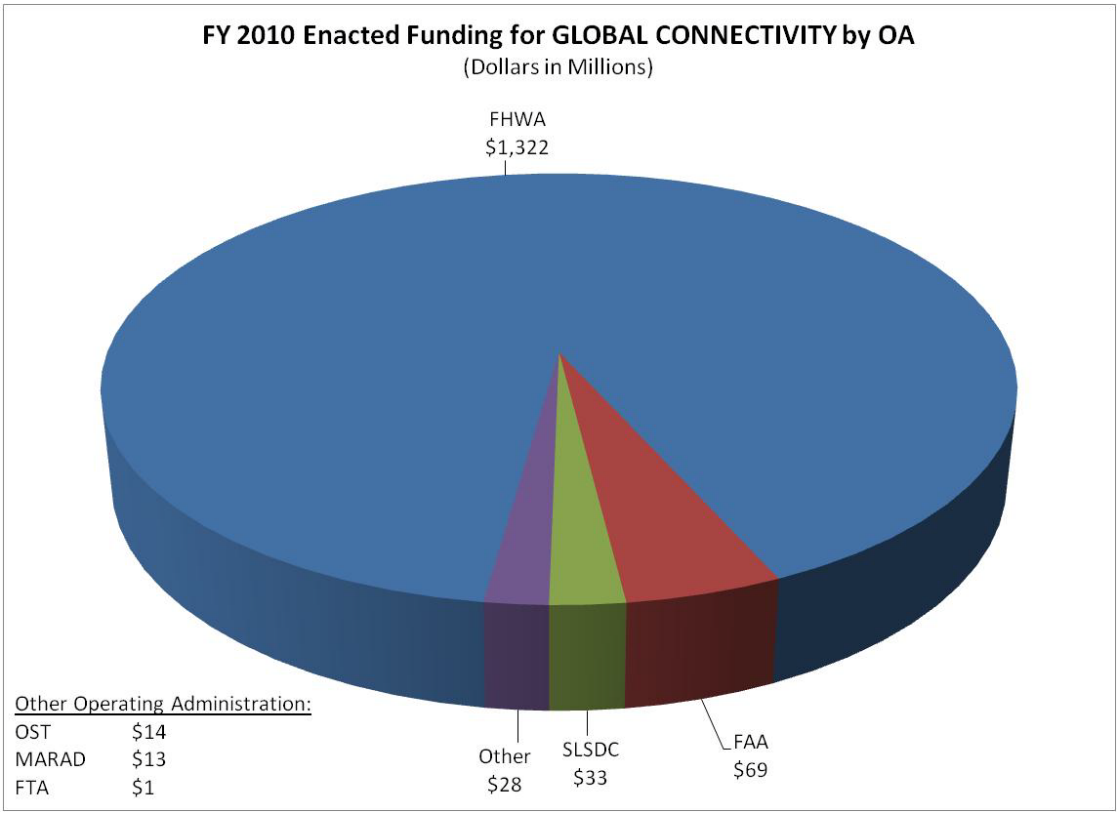
Only six of 33 rail systems affected by the ADA compliance requirements have key rail stations that are not accessible to individuals with disabilities. These stations need expensive structural changes or replacement of existing facilities.

Partners: State and local governments, transit agencies, metropolitan planning organizations, transit industry trade organizations, members of the disability community, local decision makers, and the U.S. Architectural and Transportation Barriers Compliance Board (ATBCB or "Access Board").

Global Connectivity

DOT

The transportation sector accounts for more than 10 percent of the U.S. Gross Domestic Product, behind only housing, food and health care. The transportation sector moves goods and people, employs millions of workers, generates revenue, and consumes materials and services produced by other sectors of the economy. The U.S. Department of Transportation promotes economic growth and development domestically but also works to ensure that the U.S. interests are competitive in the international market. The Department dedicated approximately $1.5 billion to promote competition and economic development within the U.S. and internationally.



TOTAL FY 2010 FUNDING: $1,452 MILLION

More Efficient Movement of Cargo

Performance Measure #1: Percent of days in the shipping season that the U.S. portion of the St. Lawrence Seaway is available

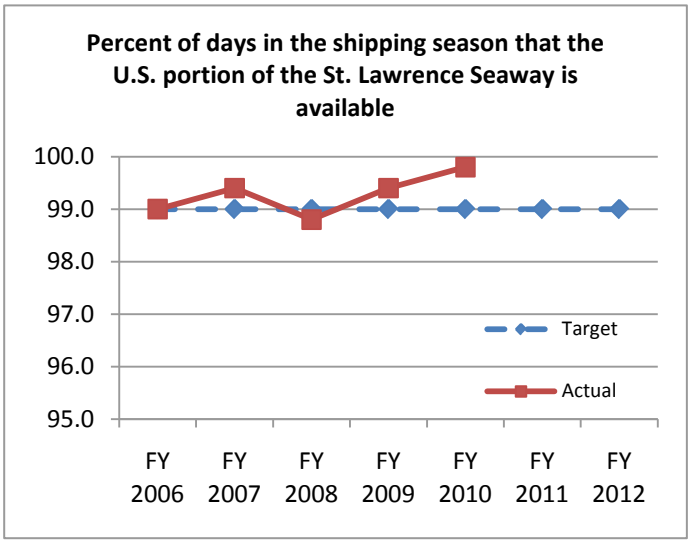
The binational St. Lawrence Seaway is the international shipping gateway to the Great Lakes, connecting the heartland of North America with the world. Commercial transportation on the Great Lakes St. Lawrence Seaway System serves as competition to other maritime trade routes as well as other transportation modes, which benefits the nation in lower consumer prices of finished goods and raw materials, and helps to reduce roadway and railway congestion – each Seaway-size vessel carries roughly 25,000 metric tons, the equivalent of 870 tractor trailers. In FY 2010, the Saint Lawrence Seaway Development Corporation (SLSDC) managed nearly $33 million to keep the U.S. portion of the Seaway open and operating efficiently.

Public Benefit

The availability of the St. Lawrence Seaway is critical to the movement of commercial goods to and from the Great Lakes region of North America. Commercial trade on the Seaway System impacts 150,000 U.S. jobs, $12 million per day in wages, $9 million per day in business revenues by firms engaged in trade, and provides approximately $3.6 billion in annual transportation cost savings compared to competing rail and highway routes.

What are we measuring? Each year, the SLSDC works to attain a system availability rate of 99.0 percent or better, thereby providing an efficient and reliable commercial waterborne transportation route for global users to move goods to and from the Great Lakes region of North America.

2010 Results: *Target Met* ✔
Target: 99%
Actual: 99.8%



Description of Results: Since opening in 1959, the SLSDC has consistently maintained a 99 percent reliability rate for its locks and the U.S. sector of the waterway. This high mark of success is due primarily to the SLSDC's efficient management and operations of the locks and control of vessel traffic. Global customers return each year to use the Seaway because of its strong safety record, efficient operations, and near-perfect reliability rate. The program's business practices are certified annually by the internationally recognized International Standards Organization (ISO) for quality and customer focus.

In FY 2010, the SLSDC successfully met this goal with a system availability rate of 99.8 percent. Included in measurable delays are weather, vessel incidents, and lock equipment malfunction. Of the delay factors that cause system non-availability, the SLSDC has the most control over the proper functioning of its lock equipment. In FY 2010, there were 3 hours, 49 minutes of delays related to lock equipment malfunctioning incidents.

Looking Forward: The SLSDC continues to refine and improve its operations and maintenance programs to ensure continued success in providing near-perfect system availability to its global commercial users. To that end, the SLSDC began a 10-year Asset Renewal Program (ARP) in FY 2009 to address the St. Lawrence Seaway's long-term asset renewal needs, which include the two U.S. Seaway locks (Eisenhower and Snell), connecting channels, operational systems, and other infrastructure assets. These improvements are expected to help reduce the delay hours associated with lock equipment malfunctions. For the foreseeable future, the SLSDC plans to address more than 50 ARP capital projects. The SLSDC will continue the policies and practices that have produced the current results.

External Factors: Weather conditions and vessel incidents have historically been the two most common recorded causes of system unavailability on the St. Lawrence Seaway, both of which are external to SLSDC operations. Weather delays are caused by poor visibility, high winds, fog, and other winter weather conditions that are significant enough to deem waterborne transportation unsafe. Vessel incidents involve ship operations, and are usually caused by human error on the part of a vessel's crew. Incidents also include vessel breakdowns, which are caused by mechanical problems with a vessel.

Partners: The SLSDC operates the St. Lawrence Seaway with its Canadian counterpart, The St. Lawrence Seaway Management Corporation. In addition, the SLSDC coordinates closely with the U.S. Coast Guard on safety, security, and environmental programs.

Performance Measure #2: Number of freight corridors with an average buffer index rating greater than the national average

A doubling of international trade over the last decade placed a strain on many of the Nation's intermodal ports and gateways and contributed to an increase in traffic congestion. A further increase in freight activity on the Nation's highways is anticipated in this decade due to continued growth in international trade. Traffic congestion hinders freight movement and undermines business productivity and international trade. DOT dedicated approximately $661 million to address freight corridor congestion.

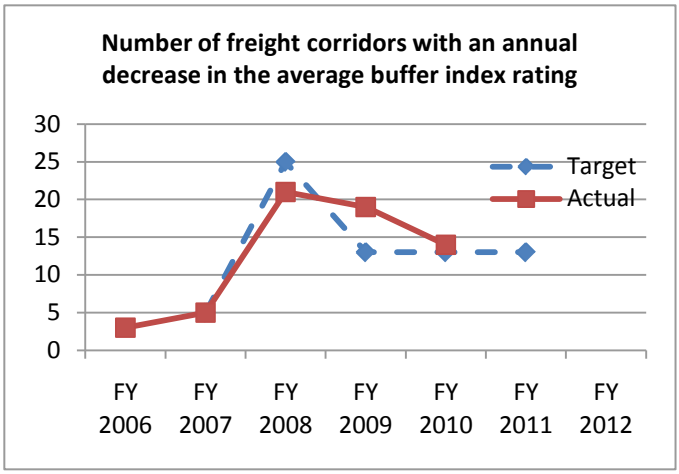
Public Benefit

Facilitating the efficient movement of freight on key corridors is vital to the nation's economic prosperity and quality of life. Congestion and insufficient investment on major freight corridors and other key infrastructure will create a weakness in the transportation system that for decades has been a major strength.

What are we measuring? The buffer index is a measure of travel time reliability, which represents the extra time freight carriers should add to their average travel time in order to ensure on-time

arrival, at least 95 percent of the time, for an end-to-end trip along a corridor. The extra time is added to account for any unexpected delay. The buffer index, which is expressed as a percentage, decreases as trip reliability improves.

2010 Results: *Target Met*
Target: 13
Actual: 14



Description of Results: While the FY 2010 target of 13 corridors was met, there were significantly fewer corridors with improved travel time than the 19 corridors with improvements in FY 2009.

While FHWA observed a decline in travel time reliability in 11 corridors, the decline was insignificant in most cases; nine declined by less than one percent. Travel time reliability declined most significantly on Interstates 24, which runs northwest-southeast through southern Illinois, Kentucky and Tennessee, and Interstate 40, which starts in California and spans eight States before ending in North Carolina.

The most significant improvement in travel time reliability occurred on Interstates 81, 77, 75, and 45. Interstate 81 follows the spine of the Appalachian Mountains, providing a link between cities in the northeast and points in the mid-southern States. The improvement in travel time increased this corridor's appeal as a major trucking route. In the mid-west, Interstates 75 and 77, which connect the Great Lakes region with States in the southeast, also saw an improvement. In East Texas, Interstate 45, which runs between Galveston and Dallas, also saw increases in travel time reliability.

Looking Forward: The DOT will continue to develop and disseminate tools and resources needed to improve the analytic capability and professional capacity of Federal, State, local and private sector partners. This includes data analysis tools, network performance metrics, improved freight modeling capability and professional capacity building. These freight focused initiatives coupled with other congestion management initiatives will likely produce further improvement in the reliability of freight movement. DOT will:

- Implement freight programs selected as part of the Transportation Investment Generating Economic Recovery (TIGER) discretionary grant program.
- Encourage multi-jurisdictional planning, decision-making and investments for freight improvements.

External Factors: When the economy grows, freight volumes increase and place a strain on the available capacity. Private industry carriers determine which transport

modes and facilities to use for moving freight, taking into account the cost and performance. While FHWA provides funds for constructing highway facilities and promotes improved strategies for operating highways, States and Metropolitan Planning Organizations decide how funds are used for State and local highway improvements as well as operational improvements.

Partners: U.S. Environmental Protection Agency, U.S. Department of Commerce, and U.S. DOT modal administrations including the Research & Innovative Technology Administration, the Maritime Administration, the Federal Motor Carrier Safety Administration, and the Federal Railroad Administration. Non-federal partners include State Transportation Agencies, Metropolitan Planning Organizations, urban jurisdictions, retail and trade associations, and shipper and carrier associations.

Performance Measure #3: Number of National Highway System border crossings with a decrease in unexpected delay

In 2009, trade using surface transportation between the United States and its North American Free Trade Agreement (NAFTA) partners Canada and Mexico declined by 23.3 percent, when compared with 2008, to $637 billion. Despite this unprecedented decline, border delays and border crossing time reliability remain important concerns for public agencies, commercial carriers, travelers and others involved with or affected by international travel and trade.

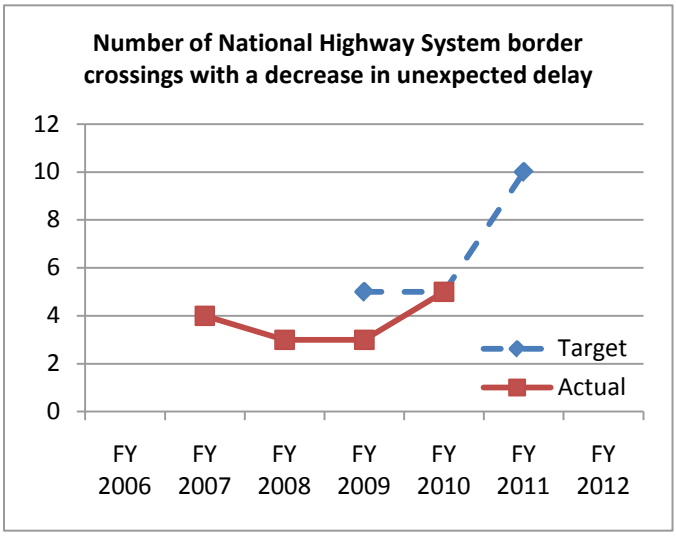
Public Benefit

Trade based on surface transportation between the United States and its North American Free Trade Agreement (NAFTA) partners, Canada and Mexico, declined by 23.3 percent in 2009 compared to 2008 and represented the largest annual decline since 1994. Despite the overall decline in trade, improving travel time and travel time reliability across NHS land border crossings remains critical since the efficient movement of goods in border regions with Canada and Mexico contributes to the profitability and growth of U.S. industries.

FHWA currently collects travel time data for five U.S.-Canada land border crossings across Washington, North Dakota, Michigan and New York. More than 50 percent of all U.S. inbound truck traffic crossed at these five land crossings in 2007. FHWA managed approximately $661 million to address border crossing delay in FY 2010.

What are we measuring? Border crossing time and its variability are key indicators of transportation system performance. Low variability in crossing time allows goods to get to market with little *unexpected delay*. High variability in travel times generally causes unplanned delays, which adds costs and creates inefficiency in the movement of goods. Border delay and crossing time information, along with information such as freight and passenger volumes, can be used to target transportation funding where the greatest needs exist.

2010 Results: *Target Met*
Target: 5
Actual: 5



Description of Results: FHWA saw double digit declines in unexpected delay in each of the five National Highway System land border crossings it monitors (Ambassador Bridge- Detroit, MI, Pembina, ND, Peace Bridge-Buffalo, NY, Champlain, NY, Pacific Highway- Blaine, WA). A decrease in North American trade and the resulting reduction in commercial vehicle traffic likely contributed to improved border crossing times. It is also likely that infrastructure investments in border regions by FHWA and partner agencies had a positive impact.

Looking Forward: The decrease in North American trade volume witnessed in 2009 is likely to be short term. FHWA will continue to work with partners to improve processes (e.g. expedited clearance), develop new programs and initiatives and fund and improve infrastructure at land border crossings to reduce delays and increase security. Examples include:

- Work with Canada and Mexico on North American freight transportation and promote corridor/border projects and new programs of mutual interest.
- Work with partners to promote program initiatives that focus on reducing congestion and delays in cross-border traffic.
- Promote the use of Intelligent Transportation Systems and technology to reduce border delays and congestion.

External Factors: At the U.S. border, the DOT is responsible for public safety, congestion management, coordination and facilitation, and stewardship and oversight of transportation related projects. Other agencies that operate and manage the border, such as U.S. Customs and Border Protection, implement policy, staffing, and capacity changes that may affect or influence border crossing times.

Partners: The DOT and FHWA coordinate with the Departments of State, Homeland Security, Commerce and the General Services Administration.

Expanded Opportunities

Expanded opportunities for small businesses, especially women-owned and disadvantaged businesses, serve the economic interests of the United States, both nationally and globally. Small businesses routinely develop, manufacture and distribute quality products to the private sector, but continue to face significant hurdles participating in procurement opportunities with the Federal Government. To give these entrepreneurs a fair opportunity to compete, Congress and the Administration have established procurement goals for the Federal Government. In turn, each DOT Operating Administration (OA) develops targets consistent with legislative mandates and anticipated contracting and subcontracting opportunities. In FY 2010 DOT received $5.4 million for this effort.

Public Benefit

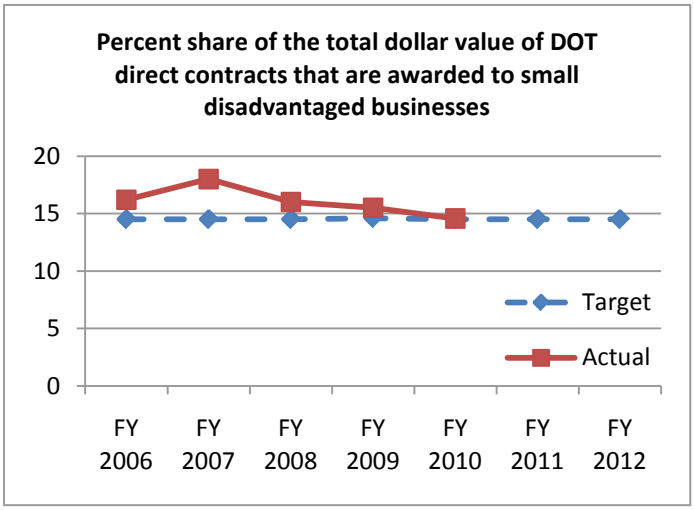
Expanded opportunities for small disadvantaged businesses serve the economic interests of the United States, both nationally and globally. In general, a Small Disadvantaged Business, as defined in current government regulations, is at least 51% owned and controlled by one or more socially and economically disadvantaged individuals. Socially disadvantaged individuals include African Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, and other minorities or individuals found to be disadvantaged by the Small Business Administration pursuant to Section 8(a) of the Small Business Act and SBA regulations.

What are we measuring? DOT tracks the total value of contracts that small disadvantaged and women-owned businesses receive through its OAs. The Office of Small Disadvantaged Business Utilization works closely with the OAs to develop annual goals and maximize their outreach to the various segments of the small disadvantaged business community.

Performance Measure #1: Percent share of total dollar value of DOT-procurement dollars (direct contracts) that are awarded to small disadvantaged businesses

2010 Preliminary Results: *Target Projected to be Met*
Target: 14.5%
Actual: 14.57%

Description of Results: The DOT OAs continue to seek new opportunities to engage the small disadvantaged business community. In August 2010, DOT was recognized by the Small Business Administration (SBA) for not only meeting its small disadvantaged businesses goal, but also exceeding government-wide performance targets. DOT received an "A" for its overall performance and the second highest numerical rating among all federal agencies. The Office of Small Disadvantage Business Utilization (OSDBU) provided assistance to the OAs with their acquisition strategies, professional development, and access to



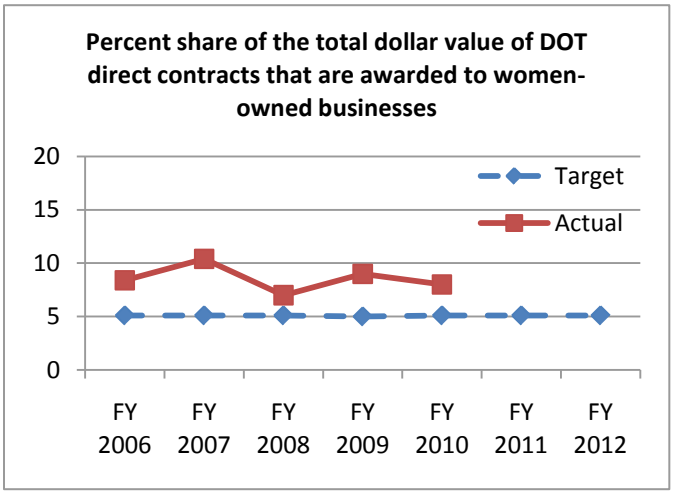
qualified small businesses. OSDBU also increased its outreach, technical and financial assistance to small disadvantaged businesses.

By the end of Fiscal Year 2010, small disadvantaged businesses have received $290 million in contracts or 14.57 percent of DOT's procurement dollars. These expenditures help expand competiveness, create employment opportunities, and stimulate the national economy.

PERFORMANCE MEASURE #2: PERCENT SHARE OF TOTAL DOLLAR VALUE OF DOT-PROCUREMENT DOLLARS (DIRECT CONTRACTS) THAT ARE AWARDED TO WOMEN-OWNED BUSINESSES

2010 Preliminary Results: *Target Projected to be Met*
Target: 5.1%
Actual: 8.0%

Description of Results: All of the Operating Administrations continue to seek new opportunities to engage the women-owned business community. In FY 2010, the SBA recognized DOT for not only meeting its women-owned business goal, but also exceeding the government-wide performance targets. DOT is one of the few Federal agencies surpassing the government-wide statutory goal of awarding no less than 5% of contracts and subcontracting dollars to women-owned businesses. OSDBU continued to work closely with all OAs to ensure that women-owned small businesses are afforded maximum practicable opportunities to participate in DOT procurement actions. OSDBU provided assistance to the OAs with their acquisition strategies, professional development and access to qualified small businesses. OSDBU also increased technical assistance and participation in outreach events.



Looking Forward: OSDBU expects DOT to exceed the 14.5% target of procurement dollars that are awarded to small disadvantaged businesses. While contracting dollars are expected to decrease due to new in-sourcing initiatives and competing set-aside programs, subcontracting opportunities will help DOT enhance its overall performance. We will ensure that small disadvantaged businesses fully participate in DOT contracting and subcontracting opportunities by working internally with the OAs in setting goals, providing assistance and monitoring performance. Additionally, we will reach out and engage the small disadvantaged business community by providing counseling services, networking opportunities, technical and financial assistance.

DOT is also expected to exceed the 5.1% target of procurement dollars that are awarded to women-owned businesses. The Small Business Jobs Act of 2010, signed into law on September

27, 2010, will improve access to women-owned businesses in federal procurement. The new legislation is expected to help DOT increase its performance outlook.

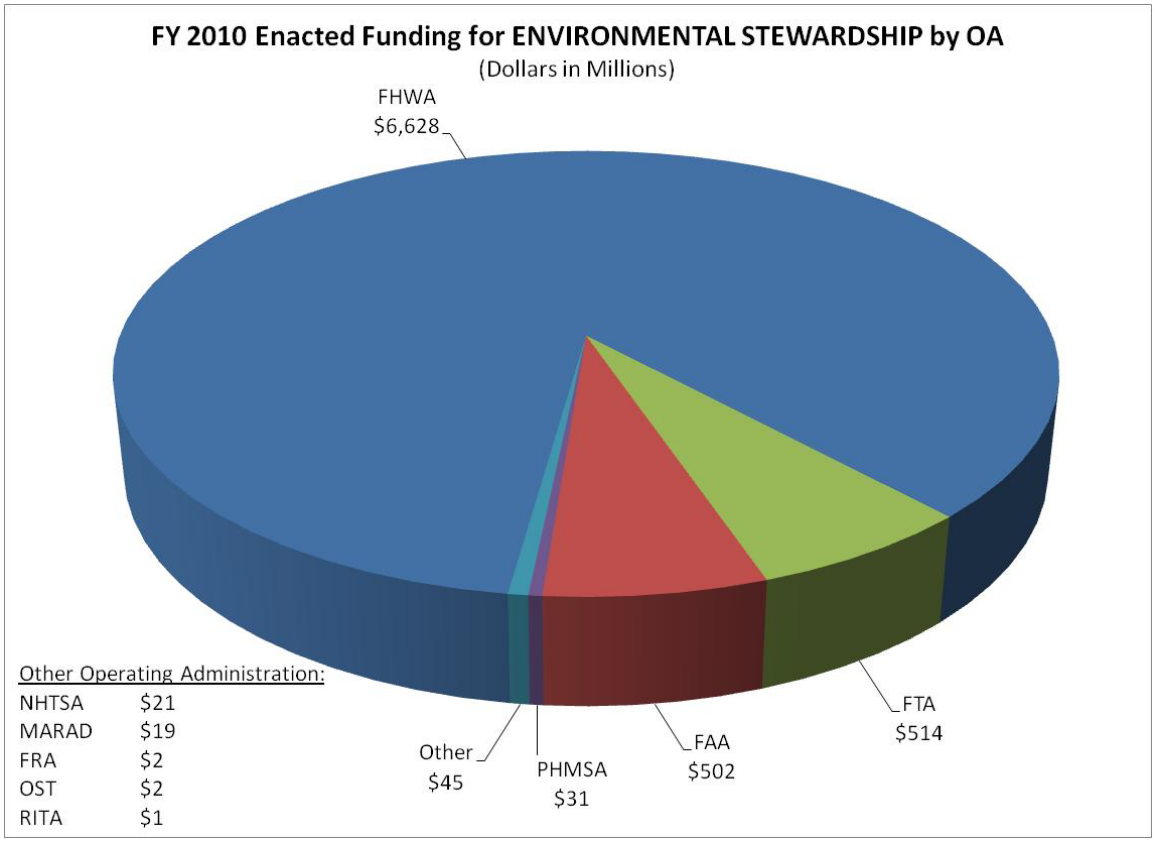
External Factors: The effectiveness of this effort is also dependent on the state of the economy as a whole and the availability of transportation projects. Until 2010, the Department did not have set-aside authority for women-owned small businesses to augment the outreach efforts, internal training, and communication with the public to help such businesses compete for upcoming contracts. Attention from women's business organizations, and their interaction with State, Federal, and other government officials on the Federal level all contributed to DOT's success in attaining the goal.

Partners: DOT works with the Small Business Administration on a number of programs at small disadvantaged business centers located across the country.

Environmental Stewardship

DOT

The transportation system has a significant impact on the environment. At the current rate of growth, transportation's share of the human-produced greenhouse gas emissions in the U.S. is projected to increase from 28 percent to 36 percent by 2020. DOT is working to achieve a balance between environmental challenges and the need for a safe and efficient transportation network. The U.S. Department of Transportation dedicated $7.7 billion to protect communities and their natural and built assets.



TOTAL FY 2010 FUNDING: $7,720 MILLION

Reduction in Pollution

Performance Measure #1: Number of Areas in Conformity Lapse

The National Ambient Air Quality Standards (NAAQS) target six major pollutants as among the most serious airborne threats to human health. Transportation is a major contributor to some of the pollutants - particularly ozone, carbon monoxide and particulate matter. Over the past 20 years, contributions of emissions from on-road mobile sources to all emissions rapidly declined. The downward trend in on-road mobile source emissions is expected to continue as a result of the introduction of cleaner engines and fuels. In FY 2010, DOT dedicated $4.3 billion to reducing mobile source emissions.

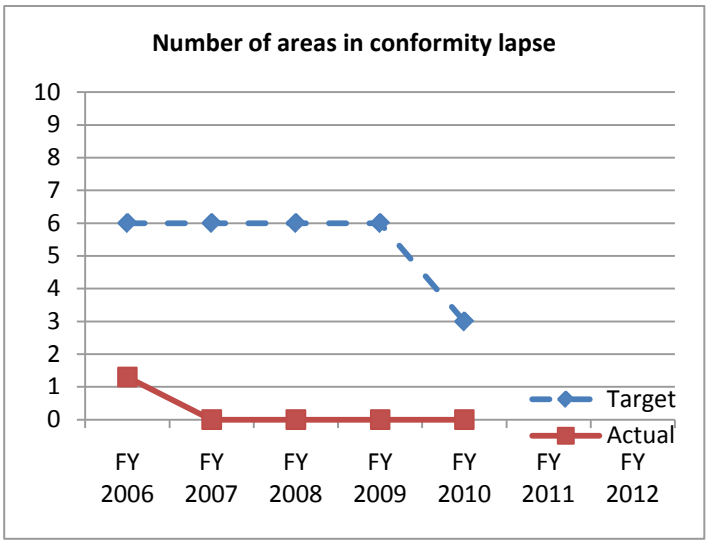
Public Benefit

Over the past 30 years, contributions of emissions from cars, buses, and trucks to all emissions have been rapidly declining. For example, emissions from these sources decreased 52, 33, 31, and 50 percent, respectively, for volatile organic compounds, nitrogen oxides, particulate matter, and carbon monoxide between 1980 and 2006. The downward trend in emissions is expected to continue through 2010.

What are we measuring? Number of areas in conformity lapse measures the areas that exceed, or have previously exceeded, certain air quality standards - designated as air quality non-attainment or maintenance areas, respectively - requirements in the *Clean Air Act*. Failure to meet the conformity requirements places an area in a conformity lapse, which means only limited types of Federally-funded highway and transit projects can proceed.

***2010 Results**: Target Met* ✔
Target: 3
Actual: 0

Description of Results: The number of areas in a conformity lapse in FY 2010 was zero. This result exceeded the performance target. Over the years, FHWA has worked closely with States, Metropolitan Planning Organizations, the Federal Transit Administration (FTA), and the Environmental Protection Agency to reduce on-road mobile source emissions. The transportation conformity process continues to play a significant role in facilitating transportation decisions that help reduce emissions from an area's transportation system.



Looking Forward: There have been no conformity lapses in the last four years, so FHWA will replace this measure in FY 2011 with a new, more challenging measure of its environmental stewardship. We anticipate that major metropolitan areas will continue to meet *Clean Air Act* conformity requirements.

External Factors: The NAAQS for fine particulates and ozone were revised in 2006 and 2008, respectively. The new requirements create challenges for newly designated non-attainment areas.

Partners: State Departments of Transportation, Metropolitan Planning Organizations, the Environmental Protection Agency, and the Federal Transit Administration

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Performance Measure #2: Number of Hazardous Liquid Pipeline Spills with Environmental Consequences

The Pipeline and Hazardous Materials Safety Administration (PHMSA) establishes safe land use standards for existing pipelines and new pipeline construction in proximity to populated areas using an enterprise approach working with local governments, real estate and development interests, insurers, pipeline operators, other Federal and State agencies, the Pipeline and Informed Planning Alliance (PIPA), and others. PIPA helps communities understand where pipelines are located, who owns and operates them, and what other information is available for community planning. As pipelines expand into communities it is vital to locate them where they pose the least potential hazard to people and the environment while also protecting pipelines from potential excavation damage, a leading cause of pipeline failures. In FY 2010, PHMSA's budget included $31.5 million to address this issue.

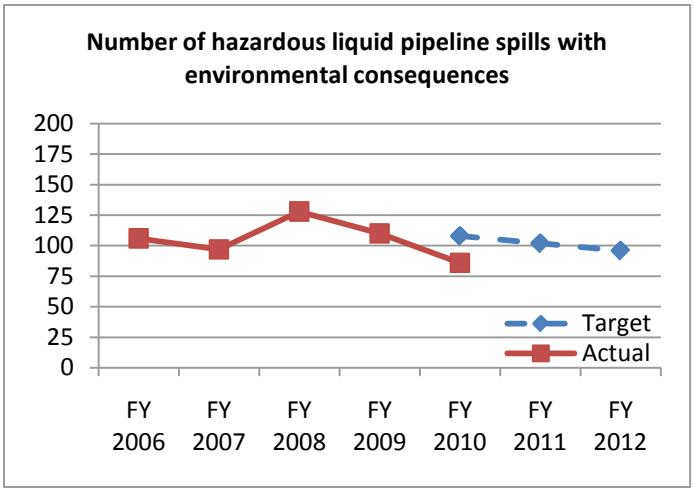
Public Benefit

Reducing spills with environmental consequences helps to protect the natural environment directly.

What are we measuring? DOT measures the risk pipelines pose to the environment by tracking hazardous liquid spills with reported impacts on water, soil, fish, birds, or other wildlife.

2010 Results: *Target Projected to be Met* ✔
Target: 89-108
Actual: 86

Description of Results:
The number of hazardous liquid pipeline incidents with environmental consequences declined from 121 last year to 86 (projected) this year—the lowest number since reporting began in 2002.



Looking Forward: We expect the number of incidents to continue falling in the next several years as our new programs mature. Completion of the following actions will affect future performance under this measure:

- Finalize rules that for the first time bring under regulation low stress hazardous liquid pipelines.
- Implement new rules to improve pipeline control room management – including fatigue mitigation for controllers.
- Work with States, local governments, and communities to implement consensus best practices for managing land use near existing pipelines developed under PHMSA's auspices.

External Factors: Excavation damage, damage from natural forces (e.g., storms and flooding), and other outside force damage are all significant causes of pipeline failure. Operating error by individuals is another significant cause of failure.

Partners: Some State pipeline safety agencies act as interstate agents for PHMSA, inspecting hazardous liquid pipelines on its behalf.

Streamlined Environmental Review

Median Time in Months to Complete Environmental Impact Statement (EIS) for DOT-funded Infrastructure Projects

Public Benefit

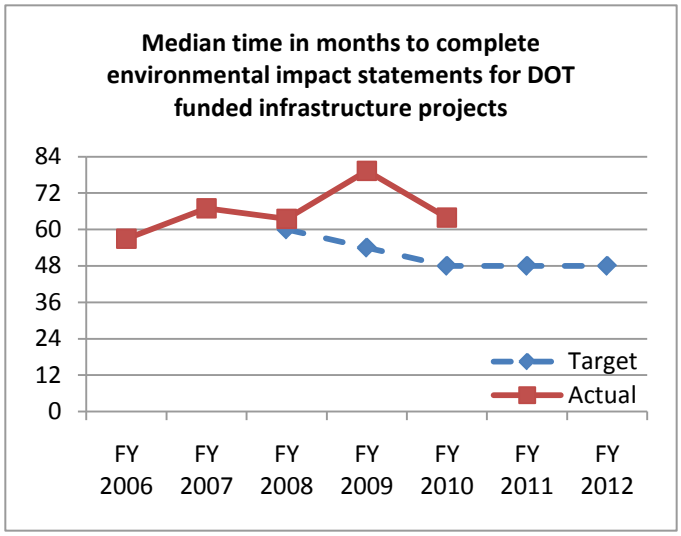
The public benefits by their ability to provide input into the NEPA process, including the identification of resources, community impacts, alternative development, and the opportunity to review and comment on environmental documents. Streamlining the NEPA process leads to timely project-related decisions and project delivery.

The environmental review process not only ensures that infrastructure projects comply with *National Environmental Policy Act (NEPA)* guidelines, but it also allows citizens and local organizations an opportunity to voice their concerns and propose alternatives. DOT encourages public input on alternative ways to accomplish what it is proposing and offers an opportunity for comments on its analysis of the environmental effects of the proposed action. In FY 2010, the Federal Highway Administration, the Federal Transit Administration, and the Federal Aviation Administration budgets contained a combined total of $149 million for environmental review.

What are we measuring? DOT establishes and pursues rigorous timeframes for all projects requiring an Environmental Impact Statement (EIS). By tracking timeframes, DOT has developed a better understanding of the key impediments to the process, enabling us to address the concerns of Congress, the States, and others. The DOT has established 48 months as the FY 2010 target for the median timeframe for completing an EIS. DOT facilitates the achievement of the objective by promoting environmental stewardship practices and integrated planning efforts, and encouraging linkages between planning and NEPA requirements.

***2010 Results**: Target Not Met* ✗
Target: 48 months
Actual: 61 months

Description of Results: The median time for completion of environmental impact statements for DOT infrastructure projects was 61 months in 2010. In FY 2010, however, FHWA leadership launched *an Every Day Counts* initiative with its partner agencies that is designed to reduce project delivery time by 50 percent. FTA has taken several steps to streamline its environmental review process, including a major expansion of the FTA staff dedicated to managing the



process, the separation of the environmental process from the New Starts evaluation process, which is also undergoing streamlining but often increases project development time substantially, and increased recognition of the environmental benefits of transit when viewed not in conjunction with highway investments but as a separate endeavor.

Looking Forward: The FHWA will increase outreach efforts through the *Every Day Counts* initiative in order to emphasize the use of beneficial tools that aid in timely project delivery. If successful, the effort should also improve timeliness for an EIS. With the requirements in SAFETEA-LU for an enhanced planning process and environmental review process, both requiring early agency involvement as well as the ability for States to issue Statute of Limitations notices, DOT expects to see a continued reduction in the EIS median timeframe.

DOT expects a gradual reduction over the next few years as older projects are cancelled or move out of the system, and more projects implement the actions described above. Some of the activities DOT will pursue in the next two years are:

- Work with States to establish schedules for completion of all EISs and advance them on schedule.
- Remove projects with no action from the list of projects with an active EIS through the established Federal Register process for advertising a rescission.
- Use time-sensitive and cost-effective techniques to redesign, integrate, and balance environmental and transportation decision-making.

External Factors: State and local impediments such as lack of funding and staff, political considerations, differing resource agency missions, and community controversy can lead to delay. In addition, the complexity of the project as well as the number and significance of protected resources can delay projects.

Partners: State Departments of Transportation, State and Federal resource agencies, interested parties and the public.

Other Environmental Activities

Number of Exemplary Human Environment Initiatives (EHEI)

The FHWA promotes environmental stewardship practices by recognizing Exemplary Human Environment Initiatives (EHEI) in transportation projects and activities that were particularly effective and innovative in how they enhanced the human environment and improve public benefit. The EHEI measure is based on the number of projects or activities chosen for national recognition in six categories:

Public Benefit

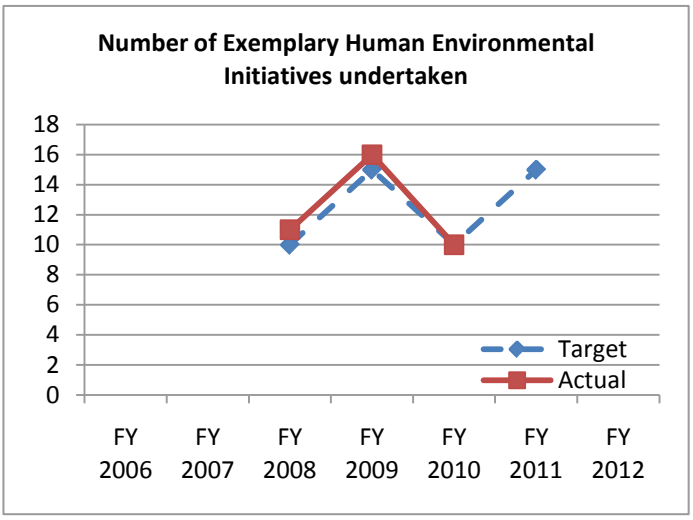
The EHEI promotes environmental stewardship by giving recognition to transportation projects and activities that are particularly effective and innovative in how they adapt and enhance the human environment. It provides incentives to transportation sponsors to pursue new ways to adapt transportation projects to the human environment, thereby better meeting the needs of the communities they serve.

- Encouraging non-motorized transportation activities such as greater use of bicycling, walking (including access for persons with disabilities), and other non-motorized modes of travel.
- Enhancing the environment for human activities through infrastructure changes (e.g., historical preservation activities) that benefit human transportation and increase livability and quality of life.
- Process and procedural changes (e.g., collaborative decision making) that allow for more efficient service delivery.
- Educational and training programs that inform people about issues or changes that should be made to improve the human environment.
- Product development including Geographic Information System or travel modeling related activities that result in the creation or improvement of a tangible product or technology that improves everyday processes.
- Other projects and activities including, but not limited to, border planning or economic development that do not fit in the other five categories.

What are we measuring? An EHEI project is recognized for innovation, improving the state of the practice for development of transportation projects and activities, offering the potential of transferability, demonstrating partnering and collaboration, providing specific benefits to human activity, and representing the mainstreaming of ecosystem and conservation initiatives.

2010 Results: *Target Met* ✔
Target: 10
Actual: 10

Description of Results:
The ten projects that were selected demonstrate how transportation projects can improve the human environment. Projects are selected in one of six categories: education and training, enhancing the environment for human activities, encouraging non-motorized transportation, process improvements, product development and other related activities. An example of an EHEI project selected in 2010 is the *Way to Go!* Commuter Challenge project in Vermont, an innovative marketing and outreach campaign that promotes transportation alternatives.



Looking Forward: DOT would like to increase the number of annual submittals for the EHEI in future years. FHWA will undertake additional outreach through planning newsletters, meetings and training activities to continue to raise awareness of the call for submittals, and the importance of this type of project as a contributor to community livability.

The types of projects exemplified by the EHEIs are important contributors to community livability. FHWA will continue to solicit EHEI projects in subsequent years in an effort to mainstream them as a component of a community's overall transportation strategy.

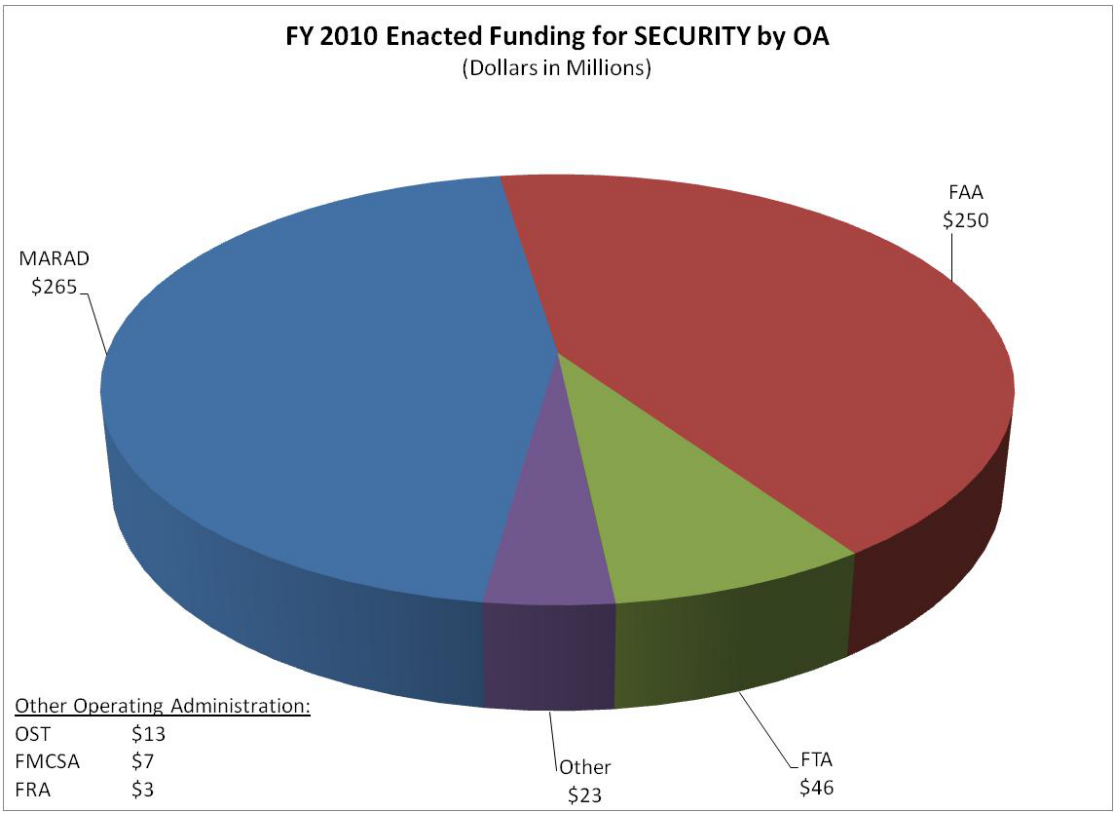
External Factors: This performance measure is not affected by external factors.

Partners: State Departments of Transportation and Federal Land Management agencies.

Security, Preparedness and Response

DOT

Transportation systems are an element of the nation's critical infrastructure for response and recovery, yet they are vulnerable to damage from human-caused incidents or the result of natural disasters. Making our transportations systems more resilient, facilitating response when disasters do occur, and being able to quickly recover from any type of incident are among the key functions of the U.S. Department of Transportation (DOT). DOT, the U.S. Department of Homeland Security (DHS), and the U.S. Department of Defense, as well as other Federal, State, tribal, and local transportation entities, are partners in security, preparedness and response. DOT dedicated $584 million to ensure preparedness for response to emergencies that impact the transportation system.



TOTAL FY 2010 FUNDING: $584 MILLION

Intelligence, Preparedness and Response

DOT continues to ensure readiness to undertake its role as defined in the National Response Framework, issued in 2008. In this capacity, DOT provides support to the DHS by assisting Federal, State, tribal, and local government entities, voluntary organizations, nongovernmental organizations, and the private sector in the management of transportation systems and infrastructure during domestic threats or in response to incidents. DOT also participates in prevention, preparedness, response, recovery, and mitigation activities, and carries out its statutory responsibilities – including regulation of transportation, management of the Nation's airspace, and ensuring the safety and security of the national transportation system. In FY 2010, the Office of the Secretary committed $13 million to address readiness issues.

Public Benefit

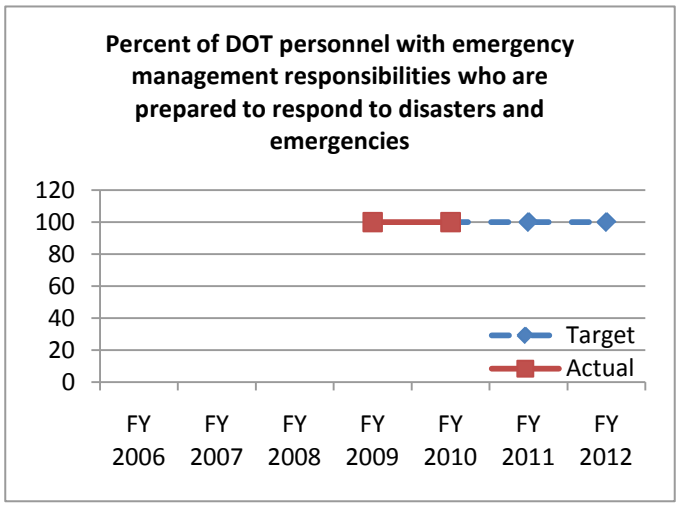
DOT tracks this activity to ensure that its staff is able to make effective transportation decisions at all levels to sustain transportation services, mitigate adverse economic impacts and meet national needs following a disaster.

What are we measuring? DOT is in its second year reporting on these performance measures. The first performance measure tracks staff participation in training courses and exercises that simulate disasters, in order to prepare them to conduct the Department's activities during an emergency. Those required to take the training or participate in the exercises are the Secretary's Emergency Response Team, emergency coordinators in the Operating Administrations, and others who have been identified as having emergency management responsibilities during a disaster. The second performance measure gauges the ability of the Department to effectively respond to emergencies affecting the transportation sector.

Performance Measure #1: Percent of DOT personnel with emergency management responsibilities who are prepared to respond to disasters or emergencies

2010 Results: *Target Met*
Target: 100%
Actual: 100%

Description of Results: To ensure readiness for disasters, DOT tracks participation in exercises conducted under the National Exercise Program as well as completion of training required under the National Security Professional Development Program. The DOT Management Team is acutely aware of the value of this preparation and their support ensures participation in National, regional, and local emergency preparedness and response exercises. In FY 2010,

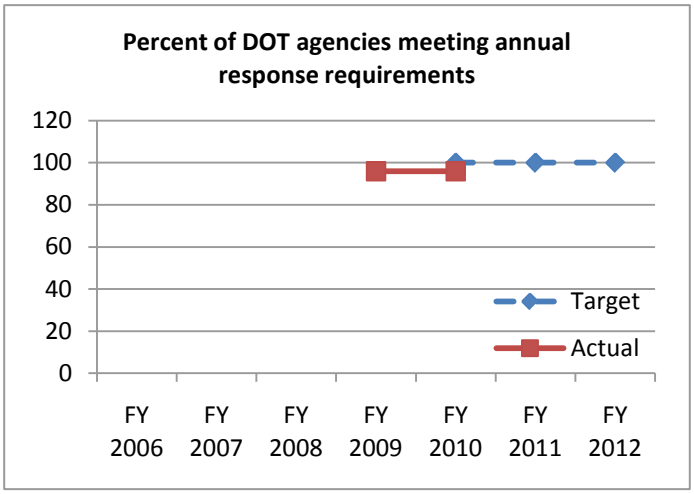


all DOT Operating Administrations and national security professionals throughout the Department met their training requirements and participated in the scheduled exercises. The Office of National Continuity Programs, working under the direction of the White House National Security Staff, gave DOT a 'green' rating during the evaluation of the 2010 National Continuity Exercise.

PERFORMANCE MEASURE #2: PERCENT OF DOT AGENCIES MEETING ANNUAL RESPONSE REQUIREMENTS

2010 Results: *Target Not Met* ✗
Target: 100%
Actual: 96%

Description of Results: To determine readiness for response to disasters, DOT evaluates a variety of measures and whether each Operating Administration has met the criteria. These measures include whether agencies' Continuity of Operation plans meet Department of Homeland Security requirements, the percent of mandatory communications tests each agency passed, and whether Operating Administrations provided required resources for the 24 hour DOT Crisis Management Center and the Regional Emergency Transportation Coordination Program.



Looking Forward: OST anticipates continued participation in required training and exercises. DOT will continue the policies and practices that have created the current results. OST is also finalizing a revised DOT Emergency Operations Plan, and anticipates that this will help reach 100 percent support for the preparedness programs. The DOT Emergency Operations Plan should be approved by June 30, 2011.

External Factors: The Department of Homeland Security operates and schedules the National Exercise Program. It is possible that not all senior DOT staff would be able to participate in preparedness exercises because of scheduling conflicts.

Partners: All DOT Agencies.

Defense Mobilization

Public Benefit

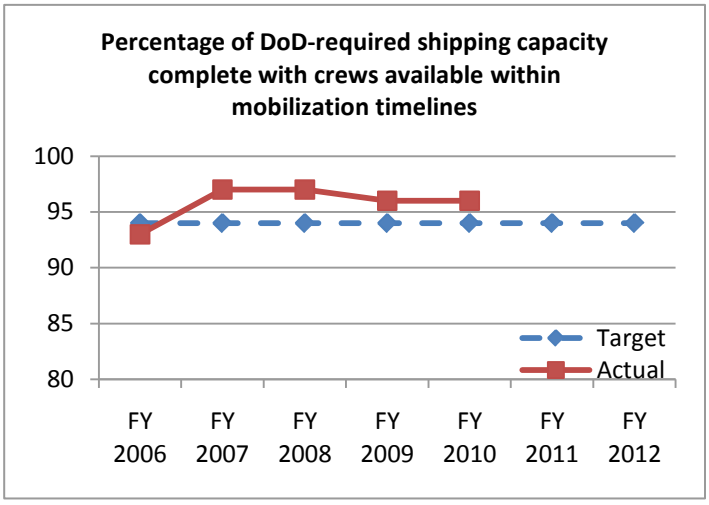
The Ready Reserve Force, the Maritime Security Program, and the Voluntary Intermodal Sealift Agreement program provide support to U.S. military operations worldwide.

The Department of Defense (DoD) relies on the U.S. commercial transportation industry as well as government-owned ships to deliver equipment and supplies throughout the world in order to maximize defense logistics capabilities and minimize cost. The DOT-owned Ready Reserve Force (RRF) is a very important component of the Department's ability to provide sealift capacity in times of emergency to DoD. These ships serve as an important asset supporting the Department's emergency preparedness and disaster response activities. The RRF is comprised of 49 ships with special capabilities that can carry or offload heavy and oversized military cargoes which regular U.S.-flag commercial cargo ships cannot carry. RRF ships meet approximately half of the U.S. Transportation Command's surge (or initial) sealift requirement during a mobilization. In FY 2010, MARAD received approximately $265 million for these activities.

Performance Measure #1: Percentage of DoD-Required Shipping Capacity (both commercial and government-owned), complete with crews and available within mobilization timelines

What are we measuring? MARAD tracks the number of cargo ships with full crews that are available to meet military requirements on short notice. This level of readiness ensures there is sufficient shipping capacity available to transport cargo in support of U.S. military actions around the world.

***2010 Results**: Target Met* ✓
Target: 94%
Actual 96%



Description of Results:
MARAD exceeded the target by maintaining full enrollment in the Maritime Security Program, stable enrollment in the Voluntary Intermodal Sealift Agreements (VISA) Program, and a constant level of preparedness in the RRF.

Each of the commercial vessels enrolled in the Maritime Security Program and/or Voluntary Intermodal Sealift Agreement programs is registered under the U.S. flag and is crewed with U.S.-citizen merchant marines.

Looking Forward: MARAD will continue the policies and practices that have led to the current results.

External Factors: DoD requirements help determine the size of both the government-owned and commercial fleets.

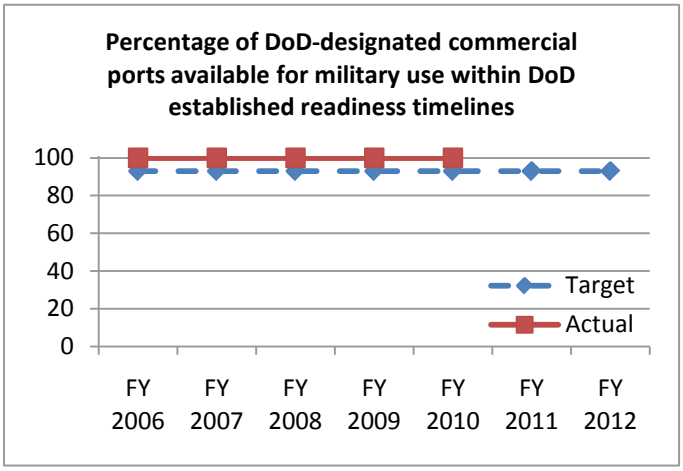
Partners: Department of Defense, U.S. Transportation Command, U.S. flag ship operators, Ready Reserve Force Ship Managers, and Maritime Labor Organizations (e.g., Marine Engineers' Beneficial Association, American Maritime Officers, and Seafarers International Union).

Performance Measure #2: Percentage of DoD Commercial Ports Available for Military Use Within DoD-Established Readiness Timelines

What are we measuring? This measure helps MARAD assess the readiness of the commercial ports that will be used to transport military equipment and supplies.

2010 Results: *Target Met*
Target: 93%
Actual: 100%

Description of Results: MARAD has met this measure with 100% availability of commercial ports for military use. MARAD was able to exceed the target because it coordinated closely with the military and strategic ports.



Looking Forward: While port congestion is currently not an issue because of the worldwide economic downturn, MARAD is examining ways to increase the flow of military cargo through ports once the economy recovers. At the height of the economic cycle many strategic ports were not able to provide facilities for military mobilization. The Agile Port concept and the PAR Technology Logistics Management System (LMS) together will reduce the staging area footprint and assist in just in time cargo delivery.

External Factors: The size and timeline of the deployment, available commercial port and intermodal capacity, readiness of the port, and weather conditions all affect this performance measure. Port readiness is dependent on training, exercises, deployment coordination and monthly and semi-annual readiness assessments.

Partners: Commercial strategic ports and the National Port Readiness Network, which is comprised of the U.S. Transportation Command, Military Surface

Deployment and Distribution Command, U.S. Coast Guard, Transportation Security Administration, U.S. Army Corps of Engineers, U.S. Northern Command, U.S. Army Forces Command, U.S. Army Installation Management Command, Military Sealift Command, and the Maritime Administration.

SECURITY AND READINESS

Security in the Air

In FY 2010, FAA continued to enhance its ability to respond to crises rapidly and effectively, including security-related threats and natural disasters, by building and improving emergency plans and preparedness tools that will enable us to sustain essential services and provide for employee well-being during crisis events. Operational coordination, communication, and command and control capabilities needed to prepare for, respond to, and recover from crises were strengthened and the use and functionality of operational and corporate crises response structures, such as specialized hurricane coordination cells and continuity of operations programs, were improved.

The FAA established a review process of the Domestic Events Network (DEN) Standard Operating Procedures and User Customer Guide to facilitate the coordination of airspace security issues and events. Additionally, protective security measures for all National Special Security Events were implemented through the use of temporary flight restrictions. In cooperation with Department of Defense, Department of Homeland Security and other Federal partners, the FAA provided classified air traffic related support to Federal partners for national defense and homeland security missions.

Security on Our Highways

FHWA continued to balance the need to protect critical transportation infrastructure with the safety, mobility and economic needs of the nation. During FY 2010, FHWA enabled State Departments of Transportation to implement critical security enhancement activities such as response to disasters, freight and border security operations, critical infrastructure vulnerability assessments, and counter measure deployment. A major ongoing program is maintaining national defense mobility using the Strategic Highway Network (STRAHNET). The STRAHNET is a 62,791-mile system of roads deemed necessary for emergency mobilization and peacetime movement of military equipment, personnel, and supplies, and other commodities to support U.S. military operations.

FMCSA implemented a security program for motor carriers that transport hazardous materials that checks driver identification, conducts on-site security assessments, encourages carrier security sensitivity, and communicates information about hazardous materials security threats, alerts and vulnerabilities. As the agency with primary responsibility for regulating the trucking industry, FMCSA has incorporated security sensitive visits and security contact reviews into its normal operations.

Security in Public Transit

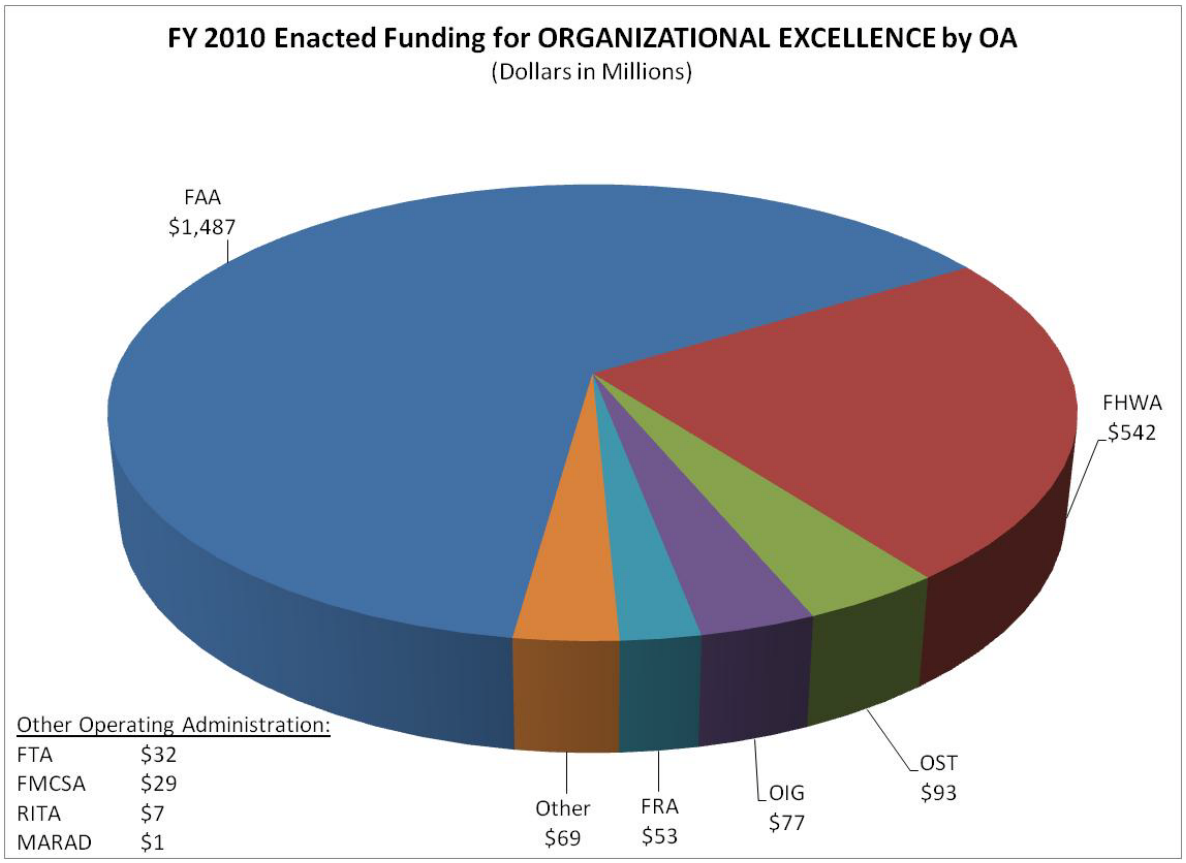
Transit is a critical, high-risk and high consequence national asset. Every day 14 million passengers ride transit systems that range from very small bus-only systems in rural communities to heavy and light rail systems that serve the largest urban economic and financial centers in the

Nation. FTA provided employee training, emergency preparedness, and public awareness through oversight, technical assistance, and research programs, as well as guidance and information to State and local agencies on transit preparedness in the case of an emergency. FTA also formalized a partnership with the Transportation Security Administration through execution of the DOT/DHS Memorandum of Understanding's Public Transit Annex, enabling FTA to leverage its expertise and resources to maximize effective transit security coordination.

Organizational Excellence

DOT

We cannot achieve our strategic goals without leadership and continuous improvement in all the supporting functions of the Department. We actively pursue externally- and internally-driven initiatives that improve the operations of the entire Department through each and every DOT agency. The U.S. Department of Transportation leveraged $2.3 billion to provide leadership in human resources, commercial services, financial management, performance improvement, and eGov.



TOTAL FY 2010 FUNDING: $2,321 MILLION

2010 Federal Employee Viewpoint Survey

Since 2002, the U.S. Office of Personnel Management (OPM) has conducted a survey of Federal employees to assist agencies in determining the overall direction and needed changes for future human resources management policy. The survey is a tool that attempts to gauge employees' perceptions of whether, and to what extent, conditions that characterize successful organizations are present within DOT.

From 2006 to 2008, DOT-wide survey results remained relatively static, and on most survey items DOT-wide scores trended significantly below Government-wide scores. The Secretary of Transportation called for the development and implementation of a two-year action plan designed to increase employee engagement in the work of the Department by refocusing energy and attention on key management practices that address leadership and the organization's performance culture, all while holding management accountable for results.

Specifically, the Departmental action plan:

1. Developed and included annual Employee Engagement/Satisfaction performance standards in career and non-career Senior Executive Service (SES) performance plans to achieve targeted increases in scores in leadership and performance culture by the 2011 survey administration.
2. Dedicated resources for and implemented a training program for supervisors on positive approaches to leadership and engaging employees.
3. Directed DOT Operating Administrations to develop sub-agency-specific action plans designed to increase employees' perceptions in leadership and performance culture within their respective operating environments.
4. Researched, developed, and implemented the IdeaHub online community that allows employees across the entire Department to introduce ideas and engage in discussions about how to improve DOT.

Recent results on the 2010 Federal Employee Viewpoint Survey show that DOT is making progress toward increasing employee engagement outcomes. DOT achieved the greatest improvement among large Federal agencies in the Partnership for Public Service's '*Best Places to Work in the Federal Government'* rankings, with a 15.8 percent increase over 2008. Compared to prior survey results, in 2010 DOT improved in all of OPM's Human Capital Assessment and Accountability Framework indices covered in the survey, including: Leadership & Knowledge Management, Results Oriented Performance Culture, Talent Management, and Job Satisfaction.

Moving forward, DOT will continue implementing the Departmental action plan and place special emphasis on: encouraging creativity and innovation among employees through engagement with the IdeaHub online tool; increasing employees' opportunities to participate in

work/life programs; and benchmarking, developing, and implementing best practices in Performance Culture.

Department of Transportation Open Government Plan

The President's Open Government initiative represents a significant shift in the way Federal agencies conduct business and engage the public. The DOT recognizes that the Open Government initiative is about more than adopting new tools and emerging technologies—it is about affecting real policy and internal culture change to ensure that our Department truly becomes even more transparent, participatory, and collaborative both internally and externally. Toward that end, our DOT Open Government Initiative addresses culture, policy and technology issues to enhance the DOT's openness.

The DOT has proposed several Open Government goals and objectives that will enable the Department to become more open in the coming years, which are:

- **Increase Agency Transparency and Accountability by:**
  - Presenting in a clear manner DOT information about programs and objectives; and,
  - Continuing to release DOT data in a timely manner by proactively making it available online in consistent, open formats, while assuring accuracy and protecting privacy, security, and confidentiality.
- **Apply Citizen Knowledge Through Participation to Government Service by:**
  - Maintaining commitment to collecting and responding to public input on DOT policies and programs in innovative ways.
- **Encourage Collaboration and Innovation by:**
  - Enhancing collaboration with other Federal agencies, the private sector, and other non-government organizations in providing mission-related services.
- **Institutionalize an Open DOT Culture by:**
  - Encouraging commitment to Open Government principles at all levels; and,
  - Encouraging a cross-modal, interdisciplinary, collaborative, and engaged workforce through enhanced communication, governance, and guidance regarding Open Government tools and programs.

DOT has made significant progress on its Open Government efforts since the publication of the Open Government Plan on April 7, 2010 on www.dot.gov/open, including the implementation of several priority initiatives:

- **Public Participation.** DOT has taken several actions to increase public participation in its policy and planning processes, including releasing the draft DOT Strategic Plan, for the first time, for transparent public comment and discussion through the IdeaScale Tool. Traditionally the DOT Strategic Plan has been released for public comment by Federal Register Notice and through dockets.
- **Transparency**. DOT has made great strides in furthering transparency in a number of ways, including inventorying all of its data, determining an appropriate release strategy, moving towards releasing our data in open formats on Data.gov, and building the VisualDOT

platform. Built in partnership with ESRI, VisualDOT will allow the Department to visualize data in ways that further DOT's mission. VisualDOT and will be launched publicly early next year.

- **Prizes and Competitions**. DOT is working to further collaboration and innovative problem solving with the public by experimenting with prizes and competitions. One example of this is the National 2-second turnoff video challenge. This challenge was conducted in partnership with Seventeen Magazine and the American Automobile Association (AAA). Through this challenge on Distraction.gov, DOT solicited PSAs to discourage distracted driving among teens. The winner was selected and awarded $2000.
- **Internal Innovation**. DOT recently launched the IdeaHub program to further internal innovation and culture change. IdeaHub is an online community for all DOT employees, across all Operating Administrations (OAs), all geographical areas, and all job levels to submit their ideas, comment on others' ideas, and rate ideas about how to improve the way DOT does business. IdeaHub will help contribute to an environment where all DOT employees are satisfied in their work, feel valued by their colleagues, and are empowered to improve DOT.

Regulation Room

DOT's flagship Open Government Initiative is the Regulation Room (Section 4.1 of the DOT Open Government Plan). Regulation Room is a pilot project in partnership with the Cornell e-Rulemaking Initiative (CeRI) to discover the best ways of using Web 2.0 and social networking technologies to further rulemaking efforts. This project is the first of its kind in Federal rulemaking, and DOT hopes that it will help identify ways to make it easier for all citizens to comment on regulatory topics that impact their lives, such as distracted driving or being bumped from an oversold airline flight. The goal is to increase public understanding of proposed rules and the rulemaking process and encourage more effective public input and collaboration. This initiative seeks to:

- Present information about DOT programs and objectives in a clear manner.
- Maintain a commitment to collecting and responding to public input on DOT policies and programs in innovative ways.
- Enhance collaboration with other Federal agencies, the private sector, and other non-government organizations in providing mission-related services.

During 2010, DOT piloted the Regulation Room with two rules which attracted a majority first-time commenters – a transformational impact on public engagement in the rulemaking process.

- The Federal Motor Carrier Safety Administration (FMCSA) piloted a rule on distracted driving (Limiting the Use of Wireless Communication Devices). During the 34 days the rule was open, a total of 3,665 unique visitors came to Regulation Room. On average, they viewed 3.8 pages per visit and spent 4.24 minutes on the site. Fifty-four people registered during the time the rule was open. Based on answers to a survey at registration, 94% of those who registered (51 of 54) had never submitted a comment in a federal rulemaking. Of those who registered, 18 people submitted a total of 32 comments.

- The Office of the Secretary (OST) piloted a rule on consumer protections (Enhancing Airline Passenger Protections). During the 110 days the rule was open on Regulation Room, a total of 19,320 unique visitors came to the site. There were 24,441 total visits, with people spending an average of 3.17 minutes on the site. Of the issue posts, the average time on the page was longest for Peanut Allergies (4.14 minutes) and shortest for Cost & Benefits (1.55 minutes). The Notice of Proposed Rulemaking was viewed 891 times; the proposed rule text was viewed 212 times and 1189 people registered during the time the rule was open. Based on answers to a survey at registration, only 6% of those who registered and answered the question (70 of 1094) said that they had previously submitted a comment in a federal rulemaking.

Data.gov

A Data.gov working group plans and implements the DOT's Data.gov program. This working group also coordinates closely with other working groups on information declassification, data privacy and confidentiality, and information security to identify and propose solutions to hurdles to Open Government and data transparency in their respective areas. DOT has developed a central registry for all of its data sets, and this serves as a central point for recording information about the data set, the IT investment associated with that data, the business owner, all the requirements to register the data set on Data.gov, field-level information, and data required to populate a transportation segment in the National Information Exchange Model (NIEM). The tool allows DOT to assess privacy, confidentiality, and other traditional security concerns at the field level in the data set. DOT has made this tool available to other government agencies.

DOT's inventory is posted at http://www.dot.gov/open/data, and the public is able to provide feedback on the data sets they would like to see released. DOT currently has 13 data sets published on Data.gov and has identified 150 additional candidates for publication.

Commercial Services Management

Lifecycle acquisition management is built around a logical sequence of phases and decision points to determine and prioritize needs, make sound investment decisions, implement solutions efficiently, and manage services and assets over their lifecycle. The overarching goal is continuous improvement in the delivery of safe, secure, and efficient services over time to ensure that taxpayer dollars spent through DOT's acquisition programs achieve performance outcomes required by tracking cost and schedule milestones.

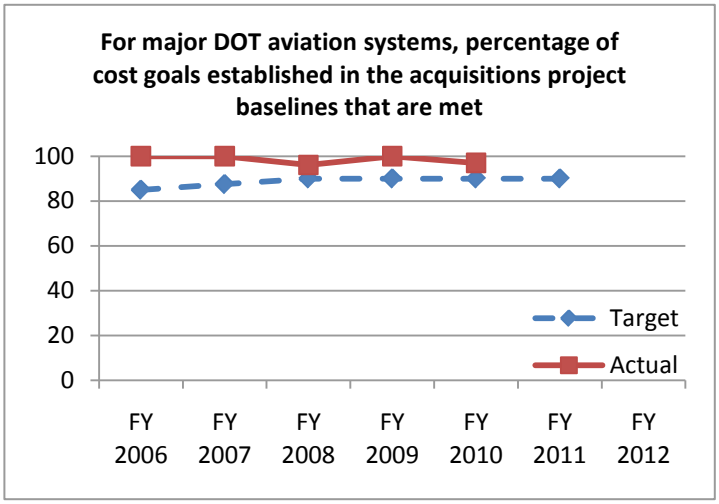
Public Benefit

FAA's ability to keep acquisitions within budget will allow for a timely transition to NextGen programs. The transition to NextGen involves acquiring numerous systems to support improved safety and capacity for the flying public.

What are we measuring? Maintaining the 90 percent target reached in Fiscal Year 2009 ensures that FAA demonstrates its commitment to meet cost and schedule goals and benchmarks using a 90 percent target parameter that is well established across government agencies.

Performance Measure #1: For major DOT aviation systems, the percentage of cost goals established in the acquisition project baselines that are met

2010 Results: *Target Met* ✔
Target: 90%
Actual: 97%

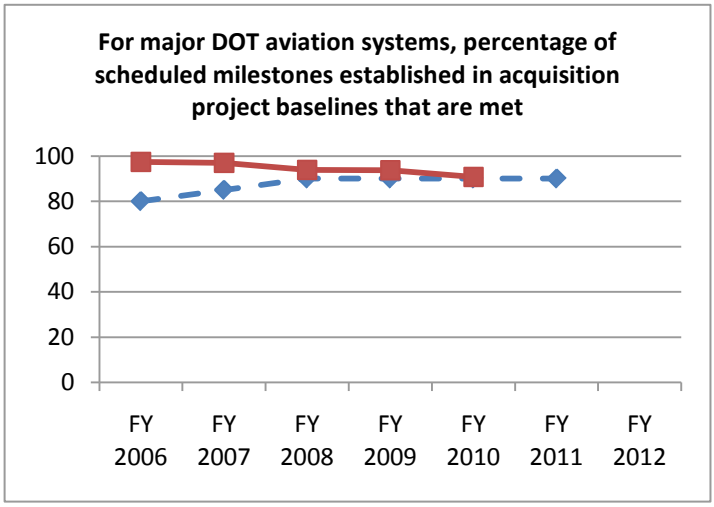


Description of Results:
Although FAA met its target, the En Route Modernization Effort, a key NextGen enabling program, is approximately 4 years behind schedule and an estimated $330 million over budget. FAA has developed a corrective action plan to improve the program and recent deployment in two critical en route centers has been successful. The Office of Acquisition and Business Service has undertaken an initiative to establish a core, standard set of skills for the acquisition disciplines. The newly published certification policy establishes professional development and training requirements for the acquisition workforce. The policy reinforces the commitment to building a high performing acquisition workforce capable of successfully supporting NextGen and the transformation of our National Airspace System.

FAA ended Fiscal Year 2010 with 36 of 37 (97.29%) programs remaining within their cost goals.

Performance Measure #2: For major DOT aviation systems, the percentage of scheduled milestones established in the acquisition project baselines that are met

***2010 Results**: Target Met*
Target: 90%
Actual: 90.7%



Description of Results:
Although FAA met its target, the En Route Modernization Effort, a key NextGen enabling program, is approximately 4 years behind schedule and an estimated $330 million over budget. FAA has developed a corrective action plan to improve the program and recent deployment in two critical en route centers has been successful. The Office of Acquisition and Business Service has undertaken an initiative to establish a core, standard set of skills for the acquisition disciplines.

A total of 49 of 54 (90.74%) total milestones were met on or ahead of their planned completion date.

Looking Forward: The following disciplines now require formal certification: program management, contracting, systems engineering, business management, finance and cost estimation, research, and logistics. As more employees achieve professional certifications, FAA expects to consistently stay within budget for its major system acquisitions.

The FAA will continue to ensure a staffing and skill mix to successfully manage NextGen and other major acquisitions by implementing and annually updating FAA's Acquisition Workforce Plan, and training, developing and certifying personnel in key acquisition workforce disciplines. FAA will ensure its program managers and acquisition specialists have the skills and certifications they need to oversee the purchase and deployment of major aviation systems.

FAA categorizes its acquisition programs by cost, scope, complexity, and other relevant factors. The level of review for FAA investment programs is determined by acquisition category to ensure the appropriate level of oversight and tailoring is applied to each. By the end of FY 2011, at least 95% of Acquisition Category 1 and 2 programs, those with total facilities and equipment funding of at least $300 million and medium to high ratings for factors such as political sensitivity, risk and complexity, will be managed by level 3 certified program managers. These managers will possess extensive experience and training on federal and FAA acquisition programs. Along with their demonstrated proficiency in program management, they must acquire

industry certification. By the end of FY 2011, 80% of the entry level contracting specialists will achieve level 1 certification within 15 months of hire.

External Factors: None.

Partners: FAA's Air Traffic Organization

Financial Performance

Infrastructure projects are not static; at any point conditions may change in ways that impact the cost of the project or the delivery date. Monitoring cost, schedule, and performance of infrastructure projects is critical in order to identify problems and initiate actions to mitigate risk. Three DOT operating administrations oversee major infrastructure projects included in the following infrastructure project performance measures: FAA, FHWA and FTA. In FY 2010, these operating administrations managed $95 million for oversight of major infrastructure projects.

Public Benefit

Focus on reaching established project milestones improves federal stewardship of funding and reduces delays.

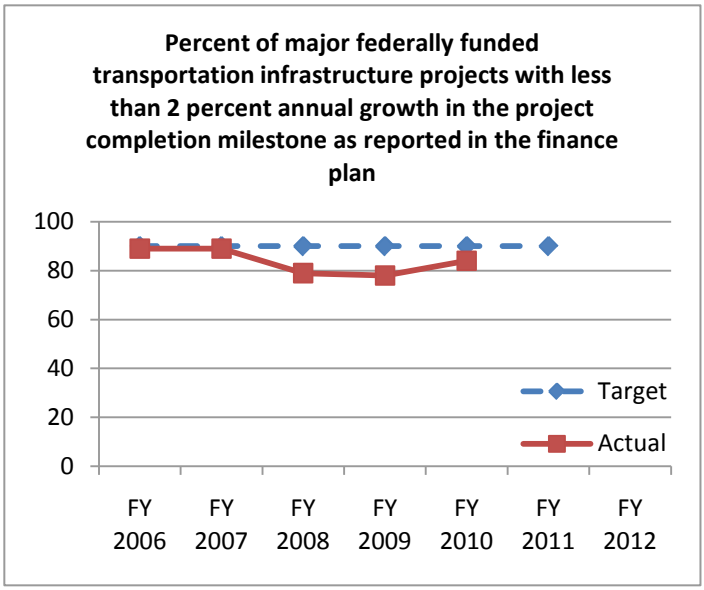
What are we measuring? These measures help to determine DOT's effectiveness as a steward of Federal resources by tracking how closely projects adhere to original cost estimates and major milestones. Unexpected delays in major projects diminish public trust and hinder effective resource planning.

Performance Measure #1: Percent of major Federally-funded transportation infrastructure projects with less than 2 percent annual growth in the project completion milestone as reported in the finance plan

2010 Results: *Target Not Met* ✖
Target: 90%
Actual: 84%

Description of Results:
The two most common reasons for unanticipated delays are overly ambitious scheduling and inadequate project management. As the DOT strengthens and consolidates its major project oversight experience, more influence is being exerted over both aspects of project delays.

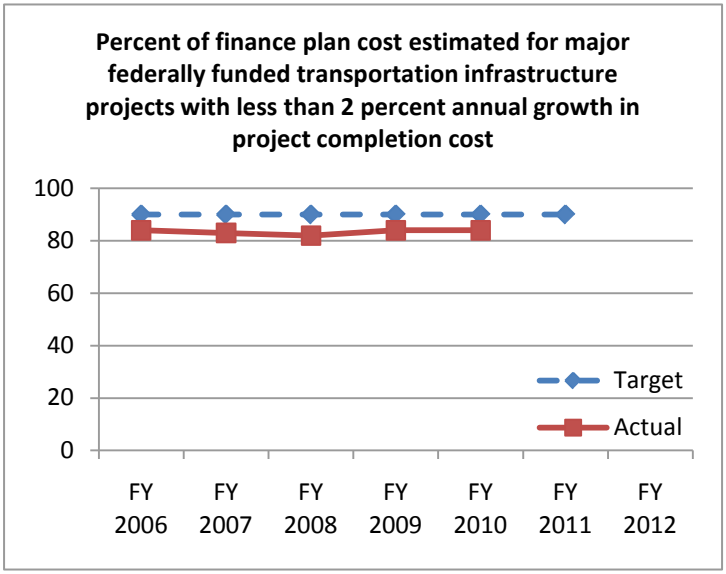
The 2010 result was an improvement over the two prior years. Even though the overall target was not met, the milestones are being met in an overwhelming majority of the major projects.



Performance Measure #2: Percent of finance plan cost estimates for major Federally-funded transportation infrastructure projects with less than 2% annual growth

2010 Results: *Target Not Met* ✗
Target: 90%
Actual: 84%

Description of Results:
Cost overruns are often caused by schedule delays. As the DOT strengthens and consolidates its major project oversight experience, it will see fewer cost overruns and schedule delays. Cost increases were reported on four projects, but costs declined on 10 projects due to the favorable bidding climate.



Looking Forward: The downward pressure on construction and development costs observed in 2009 continued through FY 2010. It remains critically important that DOT and project sponsors maintain their awareness of ever-changing construction cost factors, so that future expectations can adapt to new circumstances.

By conducting a review of major project finance plans, DOT seeks to improve the quality of the project schedules developed by its State and local partners. This task requires that DOT develop its own cadre of staff skilled in major project review. Training opportunities for these staff members continue to be offered and the level of expertise throughout the Department is increasing.

The number of major projects (i.e., larger than $500 million) under the DOT's purview continues to increase. Improving the cumulative percentage requires above-average performance by new projects entering the measurement cohort. A gradual year-by-year improvement would indicate better results from newly undertaken projects.

- In upcoming years, FHWA will continue to provide project management training to its major project oversight managers.
- FHWA will continue to review the finance plans, project management plans, and cost estimates that are required for each major project.
- FTA will offer up to 40 project management and construction management training courses in upcoming years for project sponsors.
- FTA will host an annual New Starts Engineering workshop for project sponsors to share best practices.

External Factors: The Federal Government provides funding for airports, highways, and transit projects. In all three instances the Government is only one of several sources of funding and its control over an entire project is limited.

Partners: State Departments of Transportation, local governments, State and local transit agencies, airport owners, airlines, cargo carriers, and other aviation users.

PERFORMANCE DATA COMPLETENESS AND RELIABILITY

Performance measurement is dependent on the availability of useful data that will indicate level of performance and help progress toward achieving organizational goals. Because all data are imperfect in some fashion, pursuing perfect data may consume public resources without creating appreciable value. For this reason, there must be an approach that provides sufficient accuracy and timeliness but at a reasonable cost. This section of the report provides information on how DOT uses performance data, assesses limitations of the data, and plans to improve DOT's data.

IN GENERAL

In an attempt to bring consistency and quality to its performance reporting, DOT has implemented some general rules regarding the data it uses and how it is evaluated.

Annual Data—Whenever available, the data in this document are reported on a Federal Government fiscal year basis. However, there are instances where fiscal year data are not available, so calendar year data are used instead. This often occurs when data are collected and reported to DOT by external sources and a calendar year reporting requirement is specified in the implementing regulation.

Completeness of Data for Annual Results—If available, the results for the most recent year in the report are listed as Actual in the shaded box for each performance measure. When an actual value is not available for the current year, either an estimate or a projection is provided instead. In general, estimates are based on partial-year data that are extrapolated to cover a full 12-month period. Historical trend information, supplemented by program expertise, is then applied to estimate the remaining months of performance for which actual data is unavailable. The result is identified as a preliminary estimate in the report. If partial-year data are not available, then past trend information is analyzed and supplemented by program knowledge to develop a projected value for the annual performance measure. The result is identified as a projection in the report. As data are finalized, the projections and preliminary estimates are replaced by actual results, with resulting changes denoted by an (r). Results are also amended as errors and omissions are identified in the data verification process, as updated information is provided by the reporting sources, or because of legal or other action that changes a previously-reported value.

Reliability of Measurement Data—DOT performance data are generally reliable (useful to program managers and policy makers). But because performance results in a given year are influenced by multiple factors, some of which are beyond DOT's control, and some of which are due to random chance, there may be considerable variation from year to year. A better "picture" of performance may be gained by looking at results over time to determine if there is a trend. We have compiled Source and Accuracy Statements for each of the DOT data programs used in this report, which can be found at: **http://www.bts.gov/programs/statistical_policy_and_research/source_and_accuracy_compendium/index.html**. The Source and Accuracy Statements give more detail on the methods used to collect the data, sources of variation and bias in the data, and methods used to verify and validate the data.

Assessing and, where possible, eliminating sources of error in DOT data collection programs has always been an important task for data program managers. As part of their ongoing work, managers of departmental data programs use quality control techniques to identify where errors can be introduced into the data collection system. Program managers also use computerized edit checks and range checks to minimize errors that may be introduced into the data of their respective programs. In addition, quality measurement techniques are employed to measure the effects of unanticipated errors. These include verification of data collection and coding, as well as coverage, response and non-response error studies to measure the extent of human error affecting the data. As sources of error are identified, data collection is improved.

The data used in measuring performance come from a wide variety of sources. Much of it originates from sources outside of the Department and, therefore, outside of the direct control of the Department. The data often come from administrative records or from sample surveys. While DOT may not have a strong voice in improving the quality of outside data, the Department takes all available information about the limitations and known biases in outside data into account when using the data. To help the Operating Administrations (OAs) address these issues, the Bureau of Transportation Statistics (BTS) is developing a statistical policy framework where the OAs will work together to identify and implement the current statistical best practices in all aspects of their data collection programs. This project is consistent with the data capacity discussions found in the DOT Strategic Plan.

DATA LIMITATIONS

DOT Data Source Limitations—Timeliness is the most significant limitation for DOT performance measurement data. Some DOT data are not collected annually; for example, the National Household Travel Survey and the Commodity Flow Survey each collect data every five years. Data that are collected each year (or more frequently) require time to analyze, confirm and report results; for example, Highway Performance Monitoring System vehicle-miles traveled (VMT) data require several months of post-collection processing, making final results unavailable for this performance report. Other performance measurement data limitations are identified in the previously mentioned Source and Accuracy Statements for DOT data programs. These statements contain descriptions of data collection program design, estimates of sampling errors (if applicable), and discussions of non-sampling errors. Non-sampling errors include under coverage, item and unit non-response, interviewer and respondent response errors, processing errors, and errors made in data analysis.

Estimating and Projection Techniques Used—As discussed under completeness, most of the FY 2010 measures must be projected from either partial-year data or historical trends. The projections based on partial-year data from FY 2010 are more likely to reflect changes effected by current DOT policies and programs. The measures projected from FY 2009 and prior historical data reflect continuing trends from ongoing programs, but do not reflect the effects of changes implemented in FY 2010.

External Data Source Limitations—Data that originate from external or third-party sources are not directly controlled by DOT. These data often come from administrative records or from sample surveys. Timeliness is also a significant limitation. For example, many DOT internal data

programs rely on data provided by State DOTs. DOT partners closely with the States, but does not have direct control over these programs.

Other Accompanying Information

OFFICE OF INSPECTOR GENERAL TOP MANAGEMENT CHALLENGES

The Office of Inspector General (OIG) issues its annual report on the Department of Transportation's top management challenges to provide a forward-looking assessment for the coming fiscal year. The purpose of the report is to aid Department of Transportation (DOT) agencies in focusing attention on and mapping work strategies for the most significant management and performance issues facing the Department.

In selecting the challenges for each year's list, the OIG continually focuses on the Department's key strategic goals to improve transportation safety, capacity, and efficiency. In addition to the OIG's vigilant oversight of DOT programs, budgetary issues, and progress milestones, it also draws from several dynamic factors to identify key challenges. These include new initiatives, cooperative goals with other Federal departments, recent changes in the Nation's transportation environment and industry, as well as global issues that could have implications for the United States' traveling public. As such, the challenges included on the OIG's list vary each year to reflect the most relevant issues and provide the most useful and effective oversight to DOT agencies.

As required by OMB Circular A-136, the OIG's report briefly assesses DOT's progress in addressing the challenges identified. To track management challenges identified from year to year, the OIG provides an exhibit to the report that compares the current list of management challenges with the list published the previous fiscal year. In addition, the OIG may refine the scope of the management challenge from year to year based on program developments, external factors, or other information that becomes available.

The Management Challenges for FY 2010, along with the DOT responses, can be found at:
http://www.dot.gov/about.html#perfbudgplan

AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009

The American Recovery and Reinvestment Act of 2009 (Recovery Act) is an extraordinary response to a crisis unlike any since the Great Depression. This landmark legislation is the most sweeping and ambitious domestic aid package the Federal Government has implemented in generations. It reflects an unprecedented effort to jumpstart our economy, create or save millions of jobs, and put a down payment on addressing long-neglected challenges so our country can thrive in the 21st century. Since the President signed this hallmark legislation on February 17, 2009, the Department of Transportation has been working hard to ensure that the Recovery Act is being implemented quickly, wisely, and with unprecedented transparency and accountability to finance transportation projects throughout America.

Status at the Close of Fiscal Year 2010

Since the enactment of the Recovery Act, the Department of Transportation has:

- Obligated $39.6 billion (82%) of the $48.1 billion in funds provided
- Disbursed over $20.4 billion from the U.S. Treasury to pay bills associated with Recovery Act activities
- Supported nearly 14,000 projects.

TRANSIT - $8.8 billion

The Federal Transit Administration (FTA) obligated 100% of its $8.4 billion in Recovery Act funds before September 30, 2010. In doing so, the FTA awarded 983 ARRA grants to over 600 recipients for capital projects to improve the condition of the nation's transit assets. In addition, the FTA obligated $443 million in FHWA Recovery Act funds (covering 89 projects) where States and localities chose to "flex" highway resources to transit investments. The table below contains an example of the kind of projects funded by FTA.

CURRENT FTA PROJECT LIST

Project Name	Funding	Location	Description
Atlantic Avenue Viaduct	$77.2 million	Brooklyn, NY	This project will restore a much-traveled and critical stretch of railroad infrastructure to a state of good repair.
Orange Line	$61.2 million	Dallas, TX	This project partially funds construction of the 14-mile Orange Line, which will connect Dallas, the Las Colinas Urban Center and the Dallas Fort Worth International Airport.

Project Name	Funding	Location	Description
Union Station	$28 million	Denver, CO	Funding for this project helps transform Union Station into a transportation hub, providing access to Amtrak, light rail, bus transit, parking and bicycle/pedestrian routes.
Staten Island Ferry Terminal	$175 million	Staten Island, NY	This project provides funding to rehabilitate vehicular and pedestrian bridges at a transportation hub that provides direct connection for 60,000 transit riders on a daily basis to and from Manhattan.
Eads Bridge	$25 million	St. Louis, MO	Recovery Act funds will support the rehabilitation of a combined roadway and light rail bridge which serves as the backbone of the St. Louis Metrolink Light Rail System.
Stephanie Tubbs Jones Transit Center	$4.4 million	Cleveland, OH	Recovery Act funds were used to develop a staging area and 16 bus bays in the Euclid corridor to serve more than 500 buses daily, providing transportation access to jobs in downtown Cleveland for residents of the Euclid neighborhood.

More information is provided at: http://www.fta.dot.gov/index_9440.html.

HIGHWAYS - $26.6 billion

A major portion of DOT's Recovery Act resources are at work improving our highways and bridges. Of the $27.5 billion appropriated specifically to the FHWA, the States obligated $26.6 billion or 100% of their funding to support work on more than 12,900 projects as of September 30, 2010. $443 million of FHWA Recovery Act funding was 'flexed' to FTA for transit projects in some States while $500 million was obligated to the Department of the Interior for use on Federal lands.

Two notable examples of the projects funded with Recovery Act funds are the Caldecott Tunnel project in Oakland, CA and the DFW Connector in Dallas, TX.

The Caldecott tunnel project is adding a fourth tunnel to the existing three tunnels on the heavily traveled State Route 24 (SR 24) near Oakland, CA. SR 24's existing three tunnels, which gave

drivers a total of six lanes, are inadequate for the heavy volume of Bay Area traffic each day. The route serves an estimated 160,000 drivers daily. The new tunnel is funded, in part, by the American Recovery and Reinvestment Act and will make room for two additional lanes. The $420 million project utilizes $176 million from the Recovery Act, making it the nation's third-largest investment of Recovery Act highway funds.

The new Dallas Fort Worth Connector is the largest investment of Recovery Act dollars in a highway project to date. The $1.02 billion project, of which $261 million is funded by ARRA, will significantly reduce congestion for drivers in Tarrant County, and began ahead of schedule thanks to Recovery Act dollars. It runs 8.4 miles on the State Highway 114/121 corridor through the communities of Grapevine and Southlake, part of the Dallas/Fort Worth metro area. Improvements include 12 to 14 new main lanes and four toll-managed lanes which will double existing highway capacity. Traffic volume along State Highway 114 is expected to grow from today's 189,000 vehicles to 359,000 by 2030. The Connector will build the capacity needed to handle this projected growth.

More information is provided at: http://www.fhwa.dot.gov/economicrecovery/index.htm

RAIL - $9.3 billion

High-Speed Rail - $8 billion

The Recovery Act provided $8 billion to the Federal Railroad Administration (FRA) to develop and expand high speed rail capability in the United States. At the end of the Fiscal Year 2010, FRA obligated $870 million in High Speed Rail initiatives. Most of the investment of the High Speed Rail program was in seven large-scale service development programs. The remaining funds were to smaller corridor programs and individual construction projects that provided independent utility.

AMTRAK – $1.3 billion

The Recovery Act provided $1.3 billion for AMTRAK to improve and expand its fleet, track, bridges, tunnels, and signals, as well as improve the safety and security of its facilities. In FY 2009, FRA obligated 100% of the $450 million that was specifically designated for capital security grants to AMTRAK. As of September 30, 2010, FRA has obligated 100% of the remaining funds to AMTRAK.

More information is provided at: http://www.fra.dot.gov/us/content/2153

AVIATION - $1.3 billion

Airport Grants – $1.1 billion

The Federal Aviation Administration (FAA) provided $1.1 billion in funding for upgrades and improvements on runways and airport facilities in Fiscal Year 2009. These projects enhanced safety, capacity, and security at airports. They included construction or rehabilitation of new airports, runways, runway safety areas, taxiways, aprons, terminal buildings, and Aircraft Rescue

and Fire Fighting buildings. Because many projects came in under budget, FAA was able to fund 372 projects, 72 more than originally anticipated.

Airport Facilities and Equipment Upgrades - $200 million

FAA's Facilities and Equipment Upgrades program finances major capital investments related to modernizing and improving air traffic control and airway facilities, equipment, and systems. Of the $200 million provided for Facilities and Equipment Upgrades, $198.3 million was obligated at the end of FY 2010, supporting 398 infrastructure projects. A total of 332 (83 percent) of facilities and equipment projects that were under way have been physically completed nationwide and outlays totaled $74.7 million at the end of FY 2010.

More information is provided at: http://www.faa.gov/recovery

MARITIME - $100 million

The Recovery Act provided the Maritime Administration (MARAD) with $98 million in grant funding to make capital and infrastructure improvements at small shipyards. The grants provided to the shipyards will facilitate the efficiency, cost-effectiveness, and quality of domestic ship construction, conversion, or repair for commercial and government use. MARAD has obligated 100% of the $100 million in Small Shipyard ARRA funding ($98 million in grant funding and $2 million in administrative funding) for 70 projects, of which all but two (97%) are under way or already completed. Twenty-one Small Shipyards grant projects are completed (30% of total projects), and 32 projects are expected to be completed by December 2010 (46%). Completed projects include:

- Upgrades to drydocks in Connecticut, Virginia and Pennsylvania.
- Modifications to slipways and railways in Washington and Indiana.
- Purchase of a 400-Ton Travelift in Alabama and Massachusetts.
- Purchase of several crawler cranes and rough terrain cranes.
- Purchase of several plasma cutters, press brakes, welding equipment, forklifts and shop equipment.

For more information, go to:
http://www.marad.dot.gov/about_us_landing_page/marad_recovery_act/recovery.htm

GRANTS FOR NATIONAL SURFACE TRANSPORTATION SYSTEMS - $1.52 billion

Supplemental Discretionary Grants for National Surface Transportation System - $1.5 billion

The Recovery Act provided the Office of the Secretary of Transportation $1.5 billion in grant funding for capital investments in surface transportation infrastructure projects that will have a significant impact on the Nation, a metropolitan area, or a region (including highway, bridge, public transportation, passenger rail, freight rail, and port infrastructure projects). On Feb 17th 2010, 51 awards were announced. In FY 2010 19 TIGER project grant agreements were executed, 10 TIGER project grant agreements were pending final negotiation, and 9 TIGER

projects were under way across the country. All 51 projects are expected to be obligated before the September 30, 2011, obligation deadline.

Disadvantaged Business Enterprise Bonding Assistance - $20 million

The Disadvantaged Business Enterprise (DBE) Bonding Assistance Program was to assist DBEs to obtain bid, payment, and performance bonds in a timely and efficient manner. These funds enabled DBEs to compete for and perform transportation-related projects receiving Recovery Act funding for DOT. In FY 2010 more than 150 bonding assistance grants were made to disadvantaged business enterprises.

For more information go to: http://www.dot.gov/recovery/ost/

Jobs & Projects

One of the primary goals of the Recovery Act was to preserve and create jobs. The money appropriated to DOT by the Recovery Act is doing exactly what Congress intended it to do: it is creating jobs and reinvigorating our economy. On average, DOT created or saved more than 45,000 FTE per quarter throughout the past 4 reporting periods and had more than 67,500 FTE in the last reporting period alone (July – September 2010). In total, DOT obligated 15,061 projects nationwide in FY 2010, and nearly 14,000 were under way or completed by the end of FY 2010.

Accountability

The Recovery Act has been implemented with an unprecedented level of transparency and accountability. A variety of reports on Recovery Act programs can be found at http://www.dot.gov/recovery.

GAO HIGH RISK ISSUE

Since 1990, the Government Accountability Office (GAO) has provided to Congress a report on government programs and operations that in some cases are high risk due to their greater vulnerability to fraud, waste, abuse, and mismanagement. In recent years, GAO also has identified high-risk areas to focus on the need for broad-based transformations to address major economy, efficiency, or effectiveness challenges.

In January 2009, GAO presented a new high risk list to Congress, which included concerns about the Highway Trust Fund (HTF). According to GAO, the HTF channels about $33 billion in highway user excise taxes annually to States for highway and related spending. Estimated outlays have exceeded estimated receipts throughout the authorization period for SAFETEA-LU – fiscal years 2005 through 2009. Furthermore, actual account receipts were lower than had been estimated and the account balance dropped more rapidly than anticipated, approaching zero in August 2008. Congress subsequently approved legislation in September 2008 to appropriate $8 billion from the General Fund of the Treasury to replenish the account. Agency officials previously anticipated the account would reach a critical stage again before the end of fiscal year 2009, and estimated that additional resources would be needed to ensure account solvency through the end of fiscal year 2010.

GAO recommended a surface transportation policy based on the following principles: (1) ensuring goals are well-defined and focused on the federal interest, (2) ensuring the federal roles in achieving each goal is clearly defined, (3) ensuring accountability for results by entities receiving federal funds, (4) using the best tools and approaches to emphasize return on targeted federal investment, and (5) ensuring fiscal sustainability.

DOT's Plan for Ensuring Highway Trust Fund Solvency

The financing methods that fund the highway and aviation trust funds are established by statute. It has become increasingly clear that the existing statutory approaches to financing the trust funds are not sustainable and will need to be addressed during the reauthorization processes.

In FY 2010, DOT conducted outreach events throughout the nation to gather input from stakeholders to develop proposals for the next reauthorization legislation. The Department is on track to release a reauthorization proposal.

Throughout FY 2010, DOT released weekly cash balance tables for both the Highway Account and the Mass Transit Account. Both accounts maintained cash balances that were sufficient for prudent financial management. In addition, DOT maintained outlay projection models for both the Highways and Transit programs to determine how current spending compares to projections.

DATA DETAILS

Performance Data Completeness and Reliability Details

The Annual Performance Report includes performance measures to monitor DOT's progress towards achieving its strategic goals. Some information about the performance measures are provided within the Performance Report Section of this document; however, the Performance Data Completeness and Reliability Details is provided online at: www.dot.gov.

The Performance Data Completeness and Reliability Details include a description of a performance measure and associated data provided by the agencies in charge of the measure. The Scope statement gives an overview of the data collection strategy for the underlying data behind the performance measure. The Source statement identifies the data system(s) from which the data for each measure were taken. The Statistical Issues statement has comments, provided by the Bureau of Transportation Statistics (BTS) and the agency in charge of the measure, which discuss variability of the measure and other points. The Completeness statement indicates limitations due to missing data or availability of current measures, while methods used to develop projections are also provided, as appropriate. The Reliability statement gives the reader a feel for how the performance data are used in program management decision making inside DOT.

For further information about the source and accuracy (S&A) of these data, and DOT's data quality guidelines in accordance with Section 515 of the Treasury and General Government Appropriations Act for Fiscal Year 2001 (P.L. 106-554), please refer to the BTS S&A compendium available at **http://www.bts.gov/programs/statistical_policy_and_research/source_and_accuracy_compendium/index.html**

Program Evaluations

Performance measures show if intended outcomes are occurring and assess any trends. Program evaluation uses analytic techniques to assess the extent to which programs contribute to those outcomes and trends. As required by the Government Performance and Results Act of 1993, the Department's *FY 2006 - 2011 Strategic Plan* includes a schedule of program evaluations by fiscal year.

Introduction

Types of Program Evaluations

Program evaluation is an assessment, through objective measurement and systematic analysis, of the manner and extent to which programs achieve intended outcomes. Evaluations are of the following types:

- *Impact Evaluations* use empirical data to compare measurable program outcomes with what would have happened in the absence of the program. These represent the highest standard of program evaluations and are often the most difficult and expensive to construct and interpret.
- *Outcome Evaluations* assess the extent to which programs achieve outcome-oriented objectives. These use quantitative methods to assess program effectiveness, but fall short of the rigorous causal analysis of impact evaluations.
- *Process Evaluations* assess the extent to which a program operates as intended. While a true process evaluation will use objective measurement and analysis, it falls short of assessing the causal links between intervention and outcome.
- *Cost-Benefit and Cost-Effectiveness Analyses* compare a program's outputs or outcomes with the costs to produce them. These analyses conform to program evaluation when applied systematically to existing programs and when measurable outputs and outcomes are monetized.

Program Evaluation Management

The programs selected for scheduled evaluations are vetted through the Department's strategic planning process. Each modal administration nominates programs that are then reviewed by a strategic planning executive committee to ensure: 1) adequate breadth of program evaluations across modal administrations; and 2) alignment to the strategic objectives. The Office of Inspector General and the General Accountability Office pursue program evaluations independent of this schedule.

Safety

FRA Research and Development Program

Purpose: The purpose of FRA's Research, Development and Demonstration (R&D) programs review is for the Transportation Research Board (TRB) committee to conduct an annual assessment covering such topics as program management structure and approach, allocation of resources among program areas, and project selection criteria.

Contribution to Goal Performance: The TRB review is intended to ensure the major research directions and content of the R&D program are applicable to the needs of R&D's customers and stakeholders both within and external to the FRA.

Methodology: The research review was conducted over the course of two days. The first day, FRA R&D staff combined the committee meeting with an outreach session for stakeholders. The research review was attended by approximately 70 invited guests, the committee members, and FRA R&D staff and Volpe Center researchers who work on FRA research projects. On the second day of the meeting, the committee discussed its reactions to the research review with the FRA R&D leadership and discussed the future directions for the R&D program. The meeting on the second day concluded with the TRB committee's executive session to formulate the findings and recommendations that were written into a letter report (see link below).

Status: Complete 

Partners: Transportation Research Board/National Academies of Science

Listed in DOT Plan: Yes

Type: Process

Source: External, TRB / National Academies of Science

Findings:

- Many of the objectives of the last five-year strategic plan have been accomplished.
- Major market shifts within freight rail are under way.
- FRA's previous research agenda needs to be replaced by a new strategic R&D plan that aligns project priorities with the new realities facing the railroad industry.

Recommendations: FRA must proceed with its mandated review of the high-speed development proposals put forth by States and their partners in response to the $8 billion provided by ARRA for improvement in intercity rail passenger services and development of high-speed rail.

In the R&D agenda, FRA should emphasize the technologies required to support joint passenger and freight operation over the same right-of-way.

In developing a research agenda for the new Rail Cooperative Research Program, the committee recommends that FRA consider the following topics:

- Sustainable business models
- Evaluation of electrification options
- Strategies to meet safety standards for mixed traffic
- Whether and how to jump-start the domestic passenger rail manufacturing industry
- Fostering strategic partnerships between U.S. and international manufacturers
- Management of mixed traffic
- Building professional workforce capacity

Links: Via FRA R&D website, entitled, "TRB Committee for Review of the FRA R&D Program: February 2010": http://www.fra.dot.gov/Pages/32.shtml

Direct Link: http://www.trb.org/Main/Blurbs/Review_of_the_Federal_Railroad_Administration_Rese_163030.aspx

Looking Forward: The FRA R&D program will develop a new strategic plan that will include components of the recommendations and findings from the committee. The TRB committee and FRA staff will hold an interim meeting and cover in detail topics including (a) the critical need for professional workforce capacity building and increased support for academic research; (b) implications of and priorities for increased R&D appropriated funding; (c) responses to findings and recommendations in this report, and (d) FRA's preliminary plans for the next research review and subsequent committee meeting which will be taking place in February 2011.

Safety

Strategic Highway Research Program II

Purpose: SAFETEA-LU established the second Strategic Highway Research Program (SHRP 2), which is managed by the National Research Council Transportation Research Board (TRB). SAFETEA-LU called for the TRB to complete a report to Congress on the strategies and administrative structure to be used for implementation of the results of SHRP 2.

Contribution to Goal Performance: SHRP 2 is focused on the areas of safety, renewal, reliability, and capacity; the results are expected to advance the state-of-practice in these areas. The report sets the framework for the FHWA and its partners to establish processes that will effectively implement the results of SHRP 2.

Methodology: TRB established a committee of leaders from the highway community, called the Committee for the SHRP 2: Implementation, to recommend approaches to implementing the results of SHRP 2 research. Committee members were chosen for their demonstrated knowledge of the program, their expertise in research management and implementation, and their ability to represent major potential user groups. Liaisons from FHWA, American Association of State Highway and Transportation Officials (AASHTO) and National Highway Traffic Safety Administration (NHTSA) coordinated the committee's work with their organizations and facilitated outreach to their colleagues throughout the study. The study was carried out through a series of meetings in 2007 and 2008, in close cooperation with the SHRP 2 Oversight Committee and the four Technical Coordinating Committees that oversee the research conducted in the four SHRP 2 focus areas. The draft report was reviewed by an independent review board, in accordance with procedures approved by the National Research Council Report Review Committee.

Status: Complete with Actions Initiated 

Partners: State Departments of Transportation as participants in the Transportation Research Board Committee for the Strategic Highway Research Program 2: Implementation

Listed in DOT Plan: Yes

Type: Process

Source: Transportation Research Board

Findings:

- The four SHRP 2 focus areas - safety, renewal, reliability, and capacity - were developed through nearly 3 years of study and consultation with a broad array of stakeholders to ensure that the most critical highway user needs would be addressed.

- Increasing safety, reducing congestion, minimizing disruption to users when roads are being rehabilitated, and providing new capacity that enhances neighborhoods and avoids environmental harm are meaningful to highway users.
- SHRP 2 will produce methods and guidance, as well as technologies, designed to help agencies make the changes necessary to better serve their customers while managing the risk involved with institutional change.
- The products of SHRP 2 research, if widely implemented, could significantly enhance taxpayers' investments in transportation and improve the daily experience of roadway users.

Recommendations:

- A SHRP 2 implementation program should be established.
- The FHWA should serve as the principal implementation agent for SHRP 2, in partnership with the AASHTO, NHTSA, and the TRB. NHTSA should exercise a leadership role in the long-term stewardship of the safety database.
- Total funding for the first 6 years of the implementation program is estimated at $400 million. Implementation planning and budgeting should take into account the need of several SHRP 2 products, especially the safety database, for support that extends beyond the initial 6-year period.
- A formal stakeholder advisory structure should be established to provide strategic guidance on program goals, priorities, budget allocations, and technical advice.
- Detailed implementation plans should be developed as soon as feasible to guide the implementation efforts.

Links: http://www.trb.org/Publications/Blurbs/Implementing_the_Results_of_the_Second_Strategic_H_160621.aspx

http://onlinepubs.trb.org/Onlinepubs/sr/sr296summary.pdf

Looking Forward: FHWA presently has an oversight role in the SHRP 2 cooperative agreement with TRB - specifically the conduct of research, dissemination of results, and early implementation activities. Many FHWA staff members serve as technical specialists on various SHRP 2 Technical Coordinating Committees (TCCs) and Expert Task Groups that manage the research procurement process. In October 2009, FHWA's Office of Research, Development and Technology hired an SHRP 2 Implementation Team Director. The team director assessed the basic awareness of SHRP 2 within FHWA, determined functions that need to be performed, and built a coordinated FHWA effort on SHRP 2 implementation planning. The FHWA SHRP 2 Pre-Implementation Working Group, consisting of Coordinators, TCC Liaisons, and staff from the Office of Technical Services, began meeting monthly in late 2009 to share information on SHRP 2 and to coordinate agency efforts.

Safety

Strategic Highway Research Program II

Purpose: SAFETEA-LU not only established the SHRP 2 program; it also required GAO to review the program no later than 3 years after the first research contracts were awarded. This report provides information about the process for selecting projects for funding, the projects' status, and what, if any, research was eliminated due to funding and time constraints.

Contribution to Goal Performance: This programmatic review was required by legislation.

Methodology: The GAO conducted this performance audit from June 2009 through February 2010, in accordance with generally accepted government auditing standards. The GAO reviewed the legislative requirements, goals, and objectives for SHRP 2, including the Transportation Equity Act for the 21st Century; SAFETEA-LU; and the SAFETEA-LU Technical Corrections Act of 2008. It also reviewed the Department of Transportation's strategic plan for fiscal years 2006 - 2011, and FHWA's October 2008 Strategic Plan and its Corporate Master Plan for Research and Deployment of Technology and Innovation. In addition, it reviewed and analyzed literature, studies, and reports related to the research program. The GAO interviewed agency officials from DOT, FHWA, and NHTSA, and representatives from the National Research Council, TRB, SHRP 2 staff, and AASHTO. A complete description of the methodology is outlined in "Appendix I: Scope and Methodology" on page 29 of the Programmatic Review report.

Status: Complete without Recommendations 

Partners: Transportation Research Board (TRB), National Highway Traffic Safety Administration (NHTSA), and the American Association of State Highway and Transportation Officials (AASHTO)

Listed in DOT Plan: Yes

Type: Process

Source: General Accountability Office (GAO)

Findings:

- The GAO programmatic review found that the SHRP 2 addresses the four required areas, but some anticipated research was not funded.

Recommendations: None

Links: http://www.gao.gov/products/GAO-10-248

Looking Forward: Even though the GAO had no recommendations in this programmatic review, the agency is taking a proactive approach in planning to be the lead implementation agent for SHRP 2 research results.

Safety

HAZMAT Safety Operations

Purpose: To identify programmatic challenges related to the hazardous materials (HAZMAT) industry with the intent of reducing the number of serious HAZMAT transportation incidents and the overall level of HAZMAT related risk.

Contribution to Goal Performance: The HAZMAT program enhances highway safety by ensuring motor carriers entrusted with transporting the most hazardous commodities comply with stringent safety and security criteria established principally by PHMSA.

Methodology: FMCSA assessed the effectiveness of the hazardous materials safety permit (HMSP) program by analyzing business processes, developing the "as-is" baseline state, compiling interview findings, analyzing process gaps, and identifying opportunities to improve.

Status: Complete but pending approval prior to release 

Partners: Pipeline and Hazardous Material Safety Administration (PHMSA)

Listed in DOT Plan: No. The DOT Strategic Plan lists two FMCSA program evaluations for 2010. The first was a process evaluation of the agency's enforcement activities. The agency completed this study last year and reported the results in the 2009 DOT Performance and Accountability Report. The second review was an outcome evaluation of motor coach operations. The agency decided not to perform its own internal assessment because the Office of Inspector General was in the process of performing an in-depth evaluation/audit of FMCSA's motor coach safety program (project number 09M3001M000) at the time. As an alternative, the Associate Administrator for Enforcement made a special request to study the effectiveness of the hazardous materials permitting program.

Type: Process Evaluation

Source: External evaluation performed by Booz Allen Hamilton

Findings:

- The HMSP application language is unclear (i.e., it does not differentiate between materials and quantities that do and do not require an HMSP), which results in a high volume of incomplete or inaccurate forms submitted by carriers.
- The HAZMAT Intelligence Portal's (HIP's) inability to provide the PHMSA registration matches in the Motor Carrier Management Information System (MCMIS) has resulted in hundreds of automated non-compliance letters being sent to carriers in the past year related to carriers not having a PHMSA registration, although their registrations were current.

- Often there is a time delay between when a compliance review is conducted and when it is uploaded into MCMIS. As a result, enforcement personnel do not always have the latest information necessary for issuing, revoking, or suspending permits.
- The lack of guidelines surrounding data clean-up has resulted in outdated and often inaccurate carrier information in MCMIS, making it difficult for roadside inspectors to verify carrier status in the database and to perform data analysis. Additionally, FMCSA needs to improve how it monitors the effectiveness of the HMSP program.

Recommendations:

- Clarify the language in the application.
- Update the FMCSA HM Registration website to provide additional guidance on the MCS-150B form and further information on the administrative appeals process.
- Modify the FMCSA HM Permits and Forms website so carriers can locate online forms more easily.
- Use the "US DOT Number" field as a unique identifier between the MCMIS and the HIP databases to more accurately match the shared data and reduce unnecessary non-compliance letters.
- Provide the HAZMAT Division with the authority to upload valid inspection data for special time-sensitive cases like administrative appeal or a request for HMSP status change.
- Provide guidelines for data clean-up and improve monitoring of HMSP program.

- **Links:** None

Looking Forward: The agency has already implemented or initiated many of the recommendations and intends to complete the majority of the higher-level recommendations over the next twelve months. Some recommendations await the implementation of new rules like the Unified Registration System rule, which will improve the accuracy of carrier information. The agency will also act upon eleven additional medium to low level recommendations as time permits over the next two years.

The recommendations proposed in the hazmat permitting evaluation are expected to improve motor carrier safety, stakeholder satisfactions, records management, and program awareness. These recommendations will increase the motor carriers' understanding of how to complete the hazmat permit applications process and reduce the administrative burden on the HM Division staff.

Reduced Congestion

Overall Assessment of Current and Projected (C&P) Conditions and Performance of Highways, Bridges and Transit

Purpose: The C&P report satisfies requirements in 23 USC 502(h) and 49 USC 308(e) for reports to Congress on the condition, performance, and future capital needs of the Nation's highway and transit systems. The document provides decision makers with an objective appraisal of the physical conditions, operational performance, and financing mechanisms of highways, bridges, and transit systems based both on the current state of these systems and on the projected future state of these systems under a set of alternative future investment scenarios.

Contribution to Goal Performance: The report focuses on measures of physical conditions and operational performance similar to those in the Reduced Congestion goal. The report is intended to support the setting of program targets and the evaluation of strategies for achieving them.

Methodology: The C&P report consolidates conditions, performance and financial data provided by States, local governments and mass transit operators to provide a national level summary; the 2008 report was based primarily on 2006 data. The future investment scenarios are based on analyses conducted using three analytical models, the Highway Economic Requirements System, the National Bridge Investment Analysis System, and the Transit Economic Requirements Model. These models each apply benefit-cost analysis to potential capital investments, quantifying the user, agency, and societal costs for various types and combinations of improvements. Assuming that investments are selected in order, based on their benefit-cost ratios, the models project the impact that alternative levels of future investment might have on selected measures of conditions and performance over a 20-year period.

Status: Completed. The 2008 edition was completed in January 2010. (The 2010 edition will be transmitted to Congress during FY 2011.)

Partners: FHWA has the lead on the production of the overall report, and is responsible for writing the portions of the report dealing with highways and bridges; FTA has the lead on writing the transit portions of the report.

Listed in DOT Plan: Yes.

Type: Cost-Benefit/Cost-Effectiveness

Source: Internal

Findings:

- Simply sustaining combined highway and bridge investment by all levels of government at the 2006 level of $78.7 billion in constant dollar terms would not be adequate to maintain the conditions and performance of the overall system over the next 20 years.
- Maintaining the system at its baseline 2006 level of conditions and performance would require an annual spending increase of 2.72 percent above the rate of inflation.

- A constant dollar spending increase of 7.1 percent per year over 20 years would eliminate the existing backlog of highway and bridge deficiencies and address new deficiencies through the year 2026, when it is cost beneficial to do so, and translate into an average annual investment level of $174.6 billion over 20 years.
- The average annual investment level needed to maintain transit conditions and performance over 20 years at the base year 2006 level was estimated to be $15.1 billion.
- The average annual investment level for improving both the physical conditions of transit assets and operational performance to targeted levels by 2026 was estimated to be $21.1 billion, stated in constant 2006 dollars.

Recommendations:

- While a series of 20-year capital investment scenarios projecting the potential impact of alternative levels of public and private investment on system performance are presented in the C&P Report, the DOT does not endorse any of these scenarios or make any specific recommendations regarding future funding levels.

- **Links:** http://www.fhwa.dot.gov/policy/2008cpr/index.htm

Looking Forward: There are no specific recommendations in the report for the agency to act upon. The findings of this report are taken into account in the development and evaluation of legislative, program, and budget options.

Reduced Congestion

Federal Lands Highway, Indian Reservation Roads Program
Bureau of Indian Affairs Program Review

Purpose: 25 CFR 170 requires periodic Indian Reservation Roads (IRR) Program reviews of business processes and controls in each Bureau of Indian Affairs (BIA) regional office. Program management and oversight, financial management, transportation planning, design, construction, maintenance, contracting, and administrative processes are reviewed on a 4-year cycle for the current state of practice and recommendations are provided to improve the processes for more efficient and effective delivery of the IRR Program.

Contribution to Goal Performance: The evaluation contributes to the DOT Organizational Excellence goal and the FHWA program delivery goal of ensuring that Federal Highway Programs are effectively and consistently delivered through successful partnerships, value-added stewardship, and risk-based oversight. The Federal Lands Highway Office and the BIA jointly conduct the IRR program reviews, which continually improve the ability of both agencies to efficiently manage the program through process sharing, innovation, and streamlining of project delivery.

Methodology: Each of the processes for delivery of the IRR Program (i.e., planning, design, construction, maintenance, and contracting) along with their program management and financial management activities are reviewed in each regional office. Staffing (i.e., usage, duties, responsibilities), documented procedures, project listings and status, funding distributions per tribe, and payroll records are discussed and reviewed. A sample of the awarded contracts within each region is taken, such that a more in-depth review of the contracting files may take place. Individuals from each of the core program delivery areas are interviewed and asked to explain aspects within their delivery areas that are working well, along with potential areas of improvement. Prior to the week of the review, tribes within the regional area are asked to complete a questionnaire that invites their comments on what is working well, and what can be improved upon with the IRR Program.

Status: Complete 

Partners: FHWA, Department of the Interior, and BIA. Approximately two-thirds of the annual IRR program funding is provided to the BIA to administer the funds for tribal planning, design, and construction projects through various contracting methods. In FY 2010, the total funding for the IRR Program was $450 million.

Listed in DOT Plan: No. This is an additional evaluation submitted by the Federal Lands Highway office to help enhance the stewardship and oversight of the IRR Program funding.

Type: Process

Source: Internal

Findings and Recommendations:

- Regional business plans were either outdated, incomplete, or non-existent. The plans, which describe the key business processes and procedures, provide regional staff with a consistent set of guidelines and standards when delivering the IRR program. The plans should be completed or updated, including revisions to reflect changes to the current authorizing legislation (SAFETEA-LU) and the Negotiated Rulemaking (25 CFR 170).
- IRR funding is normally received late during the fiscal year. The annual IRR inventory, which feeds the funding distribution formula, should be completed earlier in order to compute the tribal shares to ensure funding to the BIA regions on a timelier basis
- Bridge replacement and rehabilitation projects or plans need to be a key input into long-range transportation plans, and alternative funding sources should be leveraged, in order to have a longer term strategy in which to reduce structurally deficient and functionally obsolete bridges.
- Consideration should be made for hiring additional staff or centralizing the contracting function among the regional offices in order to provide the backup capacity needed.
- Contract files should include price analyses justifying the budget or cost of projects, along with technical evaluation reports indicating that new awards and modifications are appropriate to go forward.
- Additional resources including the Tribal Technical Assistance Program (TTAP) centers, distance learning facilities, and staff from other BIA regions and FHWA offices should be leveraged to promote tribal education in the areas of planning, design, safety, construction, contracting, and maintenance.

- **Links:** None

Looking Forward: Each BIA regional office was required to provide a corrective action plan by December 31, 2010, for each key finding and recommendation noted in the report. After FHWA and BIA approve the corrective action plans, the BIA will implement the plan and report annually, or biennially, on the implementation progress and accomplishments.

Status of Other Evaluations Scheduled for FY 2010

Mode	Evaluation Name	Status	Reason
MARAD	Cargo Preference – Food Aid Cargoes	Deferred	Evaluation of the Cargo Preference – Food Aid Cargoes program has been deferred. Program evaluation plans will be developed in line with priorities in DOT's developing Strategic Plan for FY 2011 – 2016.
FMCSA	Compliance Review Effectiveness	Cancelled	The Compliance Review Effectiveness is not a standard evaluation and does not make recommendations for improvement nor identify problems relative to the way FMCSA performs compliance reviews.
FMCSA	Roadside Inspection and Traffic Enforcement Effectiveness	Cancelled	The Roadside Inspection and Traffic Enforcement Effectiveness review is not a standard evaluation and does not make recommendations for improvement nor identify problems relative to the way FMCSA performs roadside inspections.
FMCSA	Motor Coach Operations Assurance Review	Cancelled	OIG conducted a review on motor coach operations during the same timeframe. Conducting this research would have been a duplication of efforts.
FAA	Streamlined Environmental Impact Statement Process	On Time	This evaluation was completed on schedule, but not in time for inclusion in this annual report. A final report on the findings and recommendations resulting from this evaluation will be available in FY 2011.
RITA	Bureau of Transportation Statistics - Airline Program Web Filing	On Time	This evaluation was completed on schedule, but not in time for inclusion in this annual report. A final report on the findings and recommendations resulting from this evaluation will be available in FY 2011.