

THE CREATING OPPORTUNITIES, METHODS, AND PRACTICES TO SECURE SAFETY PROGRAM FUNDING REPORT TO CONGRESS

Pursuant to the Explanatory Statement accompanying the
Transportation, Housing and Urban Development, and
Related Agencies Appropriations Act, 2009 (P.L. 111-8)
May 2009

The Explanatory Statement accompanying the Transportation, Housing and Urban Development, and Related Agencies Appropriations Act, 2009 (P.L. 111-8, division I), requested the Federal Motor Carrier Safety Administration (FMCSA) to submit a report that describes how the Creating Opportunities, Methods, and Practices to Secure Safety (COMPASS) program funding will be utilized in fiscal year (FY) 2009 and what functions this funding will provide to FMCSA and its users.

The COMPASS will result in improvements to a broad range of business services for FMCSA through the use of modern and flexible Information Technology (IT) solutions. The scope of COMPASS covers the processes and systems that support the core mission of FMCSA – reducing truck- and bus-related fatalities and injuries on America’s highways. Expected benefits include more efficient, customer-focused services able to adapt over time in response to changing agency and government requirements. The COMPASS is led by the Agency’s Office of Information Technology.

The COMPASS was initiated by FMCSA to transform the way it does business by integrating the Agency's information technologies with its business practices. The COMPASS is a comprehensive overhaul of the way FMCSA and its partners collect, manage, and convey safety information. Through COMPASS, FMCSA expects to improve data quality, create a single source for safety data, provide actionable information, quickly respond to evolving business requirements, significantly expand IT delivery capabilities, and reduce IT operation and maintenance costs. The COMPASS plays an integral part in the implementation of the Agency’s Comprehensive Safety Analysis (CSA) 2010 program.

Ultimately, FMCSA expects a substantial performance improvement for its field staff and State enforcement partners. They will be able to conduct roadside and border safety inspections, safety audits, and compliance reviews more efficiently due to the integration of the applications and improved data quality. New capabilities will allow enforcement staff to automatically monitor commercial vehicle activities to determine if action is required and then trigger processes for suspending or revoking registration or operating authority, when necessary. The FMCSA’s customers will also see a significant improvement in their ability to access information and use data.

The COMPASS program accomplishments and progress for FY 2009 leveraged planning and design activities as well as funding from previous fiscal years resulting in a significant release of functionality in February 2009, as described in the section “Single Sign-On Release,” below.

Additional functionality will be delivered throughout FY 2009 and into FY 2010 and beyond as described below. The funding of \$12,849,000 for FY 2009 is being expended toward meeting these deliveries.

Single Sign-On Release

The Single Sign-On Release is being delivered in phases between February and July 2009. It will reduce the time users spend signing on to various systems to get data thereby providing the users with more time to spend on safety-related activities. It also provides carriers with more timely information that could allow them to take action to improve their safety performance.

For enforcement users, expansion of the single sign-on capability in COMPASS includes all the FMCSA's safety systems. A key benefit is that users are able to access the secure functionality of these systems (as needed) with a single set of user credentials (identification and password) and with a regular Internet connection. Feedback from the field indicates that this functionality has already proven to have a significant positive impact on field staff productivity.

Company users have expanded single sign-on capability to additional systems with appropriate credentials. Company users of the FMCSA Portal have commented on how this easy access to real-time information has improved the ability to monitor their own safety performance and to quickly take actions to resolve safety problems.

The addition of the Public Links portlet to the home page allows FMCSA Portal Enforcement and Company Users to configure and import Uniform Resource Locators (URLs) to other Web sites they access into the FMCSA Portal. This revision makes it more convenient for users to access all sites in which they are interested from one single home page.

Later in FY 2009, the company search capability will be expanded to include U.S. Department of Transportation (DOT) number, Company Name, Location, and Motor Carrier number. This will further improve productivity and access to safety information. Also, the addition of the Sun Identity Manager application will greatly reduce technical support costs in managing user accounts.

The last functionality in this release, delivered in July 2009, will improve how the information will be displayed and sorted. In addition, a tool to monitor and improve system performance will be added. Again, these additions will increase user productivity allowing more time to focus on safety issues.

In summary, the benefits of the single sign-on release are improved access to safety information, improved business processes for safety enforcement activities, elimination of multiple identifications and passwords, and a consolidated single source for access to FMCSA safety information. Additionally, there will be a decrease in the number of technical support calls reducing operational and maintenance costs, expected to be up to 50 percent.

The Single Sign-On Release was funded by both FY 2008 and FY 2009 dollars. The FY 2009 funding is \$3,212,250.

Additional FY 2009 Releases

Implementation of the New Entrant (NE) Safety Assurance Rule and CSA 2010 are driving the calendar year 2009 IT development priorities. The NE Rule applies to regulated entities that are registering with FMCSA and mandates that these carriers submit corrective action upon audit failure or upon being cited for particular violations during an inspection. The rule establishes a separate new entrant application procedure and safety oversight program for non-North America (NNA)-domiciled motor carriers. The following releases will support the NE Rule implementation and CSA 2010.

a) Registration (New Entrant Focus)

New functionality in COMPASS will simplify the registration and licensing process for carriers, improve detection of “chameleon” carriers (carriers who provide false or misleading information or conceal material information in connection with the registration process in order to evade enforcement action or out-of-service orders issued against it by the Agency), and enhance data quality. The FY 2009 activities will focus on functionality required to support the NE Rule. These activities will include functionality for applicants to access robust online content and provide a Customer Service Portal view to meet new entrant needs. Additionally, the system will be enhanced to automatically send new entrant customer correspondence and notification updates and to include workflow and rules engines that can be used to identify and send alerts for chameleon carriers.

This release will enable better identification of chameleon carriers with alerts to appropriate FMCSA personnel to examine a carrier further. It will also provide the ability for NNA entities to register for a DOT number online, improve data quality by increasing the percentage of carriers who are submitting the correct forms and inputting correct information during the application process, and will reduce the number of customer service calls to the FMCSA offices.

In summary, this release will improve safety through better monitoring of the industry, provide business process rules that are more flexible and easier to change, improve communication regarding carrier activity, allow for quicker implementation of new rules, improve quality of safety data, and provide an improved and intuitive registration process for the industry.

The FY 2009 funds allocated to the Registration module are \$3,469,230 and will deliver the registration module for the NE Rule. They will also lead to the delivery of additional functions by the end of 2010. The Licensing and Insurance Uniface application will be retired by the end of 2010.

b) New Entrant Rule and Compliance Monitoring

The FMCSA expects substantial safety benefits from stricter enforcement of Federal Motor Carrier Safety Regulations (FMCSRs) during new entrant safety audits. The COMPASS will support improved monitoring of new entrant carriers as mandated by

the NE Rule that will help enforcement personnel more effectively monitor and track compliance. Specifically, new rules and workflow engines will be added to provide the functionality that can monitor a carrier's safety with automatic alerts and notifications. These engines also are highly configurable applications that provide an easy and efficient way to make changes to the existing software. The rules engine will define when a notification should be triggered, whom it should be sent to, and what subsequent workflow is generated. Finally, a communication service will send out notifications.

The FY 2009 funds allocated to the New Entrant and Compliance Monitoring module are \$2,569,800. The module will be delivered by the end of 2010.

c) Prioritization in Support of CSA 2010 and New Entrant

The COMPASS will support one of the key functionalities required by CSA 2010, a new way to prioritize enforcement actions. The FY 2009 COMPASS release will initially be limited to a specific group of carriers, but will later be expanded to all carriers by the end of 2010.

The COMPASS' functionality will provide visibility into carriers' safety scores as defined by CSA 2010's Behavioral Analysis and Safety Improvement Categories algorithm, and assignment of CSA-defined interventions will enhance targeting of unsafe carriers resulting in improved safety. The components of this release also include the new entrant audit prioritization business logic, a regulated entity contact management module to be used by enforcement and FMCSA customer service staff to record and view past interactions with a carrier, and a Safety Investigator/Safety Auditor Portlet to enable the users to prepare for enforcement activities and to track interactions with a carrier.

The functionality in this release will provide field enforcement users the tools to monitor, audit history, and prioritize the carriers that require the interventions. Focusing on the worst carriers will improve safety.

The FY 2009 funds allocated to the Prioritization module are \$1,027,920 and will deliver functionality for making and prioritizing assignments based on the CSA 2010 model to a limited group of carriers. The assignment and prioritization modules of the Motor Carrier Management Information System will be retired.

d) Mobile Client Application Pilot

A single software package will combine the roadside inspection, investigative, and enforcement functions into one improved user interface, providing simpler, easier access to carrier and driver information currently residing in numerous applications.

This release will provide the ability for Federal and State enforcement staff to create, edit, and store audit or inspection data on their computer; to download data associated with an

inspection or audit, including driver, company, crash history, etc.; to upload local data to existing systems, such as the Enterprise Database, and other safety systems; and to provide reports for review, edit, print, and export.

The Mobile Client will not only improve the efficiency of the Federal and State enforcement staff, but also significantly improve the quality and timeliness of the information available at the roadside and investigation sites. It will also allow for seamless updates of software to ensure all roadside users have the most up-to-date versions of the software.

The FY 2009 funds allocated to the Mobile Client are \$1,156,410 and will deliver a prototype that includes the inspection module. Eventually, this module will replace ASPEN.

e) Enterprise Database

In FY 2009, the Enterprise Database will initially support the new entrant population, ensuring that data concerning new entrant carriers is of the highest quality. Later, the Enterprise Database will be expanded to include all FMCSA information. Creation of a central, authoritative data source will improve data quality, strengthen security, reduce costs, and provide enforcement personnel with more timely, accurate information.

Design and implementation of the new database, based on the new entrant needs of the priority projects, will include registration data; compliance review and monitoring data including violations, notifications, etc.; new entrant safety audit data; prioritization and assignments data; Mobile Client inspection data; and a history of all interactions with regulated entities.

The benefits include improved data quality, strengthened security, reduced costs, and timely, accurate safety information.

The FY 2009 funds allocated to the Enterprise Database are \$1,413,390 and will deliver an initial enterprise database that will support the new entrant release.

Summary

The COMPASS has effectively leveraged the foundation of prior development and infrastructure to allow for a significant addition of capability in FY 2009 and beyond. This capability has been focused on improving enforcement user productivity and easy access to all available FMCSA information through the Single Sign-On Release. The remainder of the effort in FY 2009 and FY 2010 will focus on implementing registration, prioritization, and compliance monitoring for the NE Rule and CSA 2010. The addition of new tools such as the identity manager, rules and workflow engines, communication services, mobile client, and enterprise database will provide the foundation for easy expansion of COMPASS capability.