

U.S. Department of Transportation (DOT) FY 2007 E-Government Act Report

Section 1. Implementation of Electronic Government Initiatives

- A. Describe how the initiative is transforming agency operations;
- B. Explain how your agency maintains an ongoing dialogue with interested parties to find innovative ways to use information technology for the initiative;
- C. Identify external partners (e.g., Federal, State or local agencies, industry) who collaborate with your agency on the initiative;
- D. Identify improved performance (e.g., outcome measures) by tracking performance measures supporting agency objectives and strategic goals;
- E. Quantify the cost savings and cost avoidance achieved through implementing the initiative (e.g., by reducing or eliminating other investments in information technology); and
- F. Explain how this initiative ensures the availability of Government information and services for those without access to the Internet and for those with disabilities; and
- G. Explain how the project applies effective capital planning and investment control procedures.

Intermodal Hazardous Materials Database

There are over 1 million estimated daily shipments of hazardous materials (HAZMAT) transported across our transportation networks. In addition, there are over 300,000 hazmat companies that ship and/or transport hazardous materials. However, there are only 663 Federal/State hazmat inspectors who can only complete a little over 26,000 inspections a year. Therefore, to best utilize compliance and enforcement resources, DOT is leveraging a unified risk-based data-driven approach to drive essential business decisions that will enable DOT to identify and target high risk/consequence companies. This approach will allow DOT to increase safety performance through risk-based enforcement; maximize limited resources by prioritizing inspection activities; strengthen cross modal, state, and local collaboration; and increase the effectiveness of outreach, training and emergency preparedness.

Using an enterprise approach, DOT is developing the Intermodal Hazmat Intelligence Portal which will be implemented in October 2008 to serve as a federal intelligence fusion center for HAZMAT inspection and enforcement data collected by DOT agencies: Pipeline Hazardous Materials Administration (PHMSA), Federal Railroad Administration (FRA), Federal Aviation Administration (FAA), and Federal Motor Carrier Administration (FMCSA), and its partners, e.g., United States Coast Guard (USCG), Transportation Security Administration (TSA), and state/local governments.

The concept for this initiative was developed through a collaborative effort between the federal agencies mentioned above and private industry to ensure an innovative solution was developed that utilized the best technology to achieve the desired results. By employing risk reduction strategies, DOT can strengthen safety performance by leveraging data to drive business decisions that will provide for the safe, secure, and reliable transport of HAZMAT. Through data sharing and business intelligence (BI) tools, DOT will make strategic and operational decisions benefiting from

capabilities that were not possible in the past, e.g. pattern matching to identify trends, leading indicators to potentially identify and prevent incidents from occurring. Through partnerships, the investment will produce a DOT-wide risk rating for each regulated company and complete inspection histories by using data from Federal, State and commercial sources. It will reduce time required to plan inspections through automated scorecards and itinerary planning. Collaboration tools will limit duplicate inspections and coordinate outreach to industry and the public.

The USCG, TSA, and Customs and Border Protection of the Department of Homeland Security partnered with DOT to expand the portal to also meet their safety and compliance requirements. The result will be an effortless data exchange (web-services), BI analysis, and collaboration to support first response, safety, and security activities. Although this is not a public facing initiative, it is a cross-cutting, e-Business initiative that is 508 compliant and supports the PMA and other e-Gov initiatives, such as, the Information Sharing Environment.

To ensure the success of this investment, the Intermodal Integrated Project Team and Executive Steering Committee utilize proper capital planning and investment control (CPIC) procedures, while the Investment Review Board ensures compliance with CPIC procedures and alignment with the DOT enterprise architecture. The project manager effectively communicates with the participating agencies and state and local partners to ensure the investment meets their needs. This is accomplished through the Executive Steering Committee, which includes representatives from each participating agency, hazmat conferences and other forums. Performance measures for this investment have been developed and include: decreasing the number of serious incidents involving hazardous materials, increasing the percentage of inspections on companies who are considered high risk, and reducing the number of visits to out of business companies. The benefit of these measures and others defined in the cost benefit analysis for this investment result in a net present value of over \$17M, a return on investment of 248%, and a payback period of 2.3 years (cost/benefit analysis calculated over an 8 year period). These measures also aid in achieving DOT safety and organization excellence strategic goals.

Section 2. Agency Information Management Activities

Please provide the link(s) to your agency's website where the following information is located:

- A. Your agency's Information Resources Management Plan (IRM) Strategic Plan: The link is: <http://cio.ost.dot.gov/portal/site/cio/menuitem.be95c9b502fb33364ed7fe1031008a0c/>.
- B. Final determinations, priorities, and schedules. Also include your agency's information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to your agency's information by the public: A link to DOT's priorities and schedules is at: <http://www.dot.gov/webpublishing.htm>.

Describe your process for determining which information will be made available on your agency's public website and the Internet as required in Section 207(f)(2) of the Act. Your description must: DOT is a diverse organization comprised of twelve Operating Administrations, each with varying processes for prioritization and posting agency information. DOT Operating Administrations (OAs) include:

Federal Aviation Administration (FAA)
Federal Highway Administration (FHWA)
Federal Motor Carrier Safety Administration (FMCSA)
Federal Railroad Administration (FRA)
Federal Transit Administration (FTA)
Office of the Secretary (OST)
Office of the Inspector General (OIG)
Pipeline and Hazardous Materials Safety Administration (PHMSA)
Research and Innovative Technology Administration (RITA)
Saint Lawrence Seaway Development Corporation (SLSDC)
Surface Transportation Board (STB)
Maritime Administration (MARAD)
National Highway Traffic Safety Administration (NHTSA)

While specific processes for determining what information is posted to the internet and when will vary by each OA, DOT has a policy that sets a guideline for the Department as a whole. This policy requires each OA to make all accurate, final version non-classified information that supports the mission of the organization, available to the public via the Internet, provided that information is not prohibited by any laws or regulations from being posted.

Processes for determining what information to make available to the public vary depending on the size and structure of each DOT organization. Requests to make new or modified information available to the public stem from a variety of sources, such as the content owner or a request or question received from a web site visitor. In addition, members of DOT organizations meet regularly to discuss changes and updates to their web sites, including updating and adding content as it becomes available. Each organization individually determines what approval is necessary to allow posting information to public web sites to make sure that classified information or information prohibited by law is not mistakenly posted to their website. These include weekly meetings to discuss and approve information or formal written requests requiring signature validation.

Organizations also utilize a variety of tools and input to determine what information to make available on their sites, such as usability studies, surveys, web site feedback and other methods. DOT has found that including the opinions expressed by the public in determining what information to post on DOT web sites is the most effective way of providing web site users with the information they are looking for.

DOT has also conducted customer satisfaction surveys and a full usability study to better structure the Departmental Web site and provide documents requested by the public. DOT strives to post information in a timely manner after it has been developed or released and many DOT organizations post alerts or have banners on their web sites to notify visitors that new information is available for viewing.

Explain how and when such final determinations, priorities, and schedules were available for public notice and comment: Priorities and schedules were made available for public notice and comments by links posted on the homepage of each OA's main web site. This was completed in

September 2005. DOT regularly reviews emails and questions submitted through the web sites to determine if there is additional information that would be helpful to users visiting the site and how to best publish this information.

Provide the link where final determinations, priorities, and schedules can be found on your principal Federal agency public website: DOT's priorities and schedules can be located at the following link: <http://www.dot.gov/webpublishing.htm>. This web page also contains links to the priorities and schedules for each of OA's main web site.

Identify progress to date for permitting searching of all files intended for public use on the website, displaying search results in order of relevancy to search criteria, and providing response times appropriately equivalent to industry best practices: DOT has made the Google Search Engine available to all OAs to facilitate greater file search capabilities. This engine delivers documents using a ranking algorithm that supplies the documents in order of relevancy to the search term, with response time equivalent to industry best practices. DOT's policy is that all DOT public web sites must contain a search function that is equivalent or better to the Google Search Engine. All OAs have implemented the Google Search Engine except for one and they plan to implement in FY 2008.

A majority of the organizations have opted to make the function available in their page templates, meaning the search engine is available on all pages of their web site. In addition, several of the larger DOT organizations have undertaken an effort to determine what information is most important to the visitors that frequent their web sites through usability studies, surveys, web site feedback and other methods. The result of these analyses has been the restructuring of web sites to facilitate the timely location of documents and modification of the search function to prioritize search results according to the most frequently requested types of documents.

- C. Your agency's FOIA handbook, the link of your agency's primary FOIA website, and the website link where frequent requests for records are made available to the public: DOT FOIA links are as follows:

Main Page: <http://www.dot.gov/foia/>

FOIA Handbook: <http://www.dot.gov/foia/foiareferenceguide.htm>

Frequently requested records by DOT Operating Administration:

OST: <http://www.dot.gov/foia/ostefoiaweb.html>

OIG: <http://www.oig.dot.gov/FOIA>

FAA: <http://www.faa.gov/foia/>

FHWA: <http://www.fhwa.dot.gov/foia/index.htm>

FMCSA: <http://www.fmcsa.dot.gov/Foia/Index.htm>

FTA: http://www.fta.dot.gov/about/about_FTA_186.html

FRA: <http://www.fra.dot.gov/us/foia>

NHTSA: <http://www.nhtsa.dot.gov/portal/site/nhtsa/menuitem.711d99d923a77be4ce83662ae0208a0c/>

PHMSA: <http://www.phmsa.dot.gov/about/foia.html>

MARAD: <http://www.marad.dot.gov/Business/foia.html>

RITA: http://www.rita.dot.gov/laws_and_regulations/freedom_of_information_act/

SLSDC: <http://www.seaway.dot.gov/foia.html>

D. A list of your agency's public websites disseminating research and development (R&D) information to the public, describing for each whether the website provides the public information about federally funded R&D activities and/or provides the results of Federal research: Links to DOT's R&D information by mode is at the following website addresses:

OA	R&D Program	Links for websites where R&D information is posted	Type of information posted <i>(Refer to codes below- including research results)</i>
FAA	AST Research and Development Activities	http://www.faa.gov/about/office_org/headquarters_offices/ast/about/research_development/	F-AST R&D Plan
FAA	Reusable Launch Vehicle Operations and Maintenance	http://www.faa.gov/about/office_org/headquarters_offices/ast/media/SubsystemVolume1-Final.pdf	F-AST Research Report
FAA	Reusable Launch Vehicle Safety Validation and Verification Plan Guide to RLV Safety Validation and Validation Planning Version 1.0 (PDF)	http://www.faa.gov/about/office_org/headquarters_offices/ast/licenses_permits/launch_reentry/reusable/preapp_consult/	F-AST Research Report
FAA	Flight Safety Systems	http://www.faa.gov/about/office_org/headquarters_offices/ast/licenses_permits/media/DO3_Report_final.pdf	F-AST Research Report
FAA	FAA Research Program	http://research.faa.gov	F- R&D WEBSITE LINKS
FHWA	FHWA Research, Development, and Technology Program	http://www.tfsrc.gov/	B, F- RD&T's FY 2006/2007 Performance Plan
FHWA	Research Project Status Summary	http://www.tfsrc.gov/about/06084/index.htm	A, B
FHWA	Corporate Master Plan for Research and Deployment of Technology & Innovation	http://www.fhwa.dot.gov/legisregs/directives/policy/cmp/03077.htm	F- guiding principles, commitments, and key actions for FHWA research
FHWA	Research Categories	http://www.tfsrc.gov/research.htm	B
FHWA	R&D Facilities and Test Equipment	http://www.tfsrc.gov/about/labs.htm	B
FHWA	Transportation Pooled Fund Program	http://www.tfsrc.gov/site/active.htm	B
FHWA	FHWA Research, Development, and Technology Program	http://www.tfsrc.gov/	B, F- RD&T's FY 2006/2007 Performance Plan
FMCSA	FMCSA Research Program	http://www.fmcsa.dot.gov/facts-research/facts-research.htm	A, B, C, E, F - R&T Strategic Plan, reports, briefs, events calendar
FMCSA	CVISN	http://cvisn.fmcsa.dot.gov	B, C, F – reports, summaries, events calendar

OA	R&D Program	Links for websites where R&D information is posted	Type of information posted (<i>Refer to codes below- including research results</i>)
FTA	FTA National Research and Technology Program	http://www.fta.dot.gov/documents/StrategicResearchPlan.doc	F-Strategic R&D Plan
FTA	FTA National Research and Technology Program	http://www.fta.dot.gov/research.html	F – General information
FTA	FTA National Research and Technology Program	http://rip.trb.org/	A, B, C, D, E
FTA	FTA Transit Cooperative Research Program	http://rip.trb.org/	A, B, C, D, E
PHMSA	Hazardous Materials Cooperative Research Program	http://hazmat.dot.gov (Content has been developed and is awaiting approval. It is expected to be posted in the near future, at which time a more specific website address can be provided. Parallel TRB coverage was initiated on September 7, 2006 at http://www4.trb.org/trb/crp.nsf/reference/appendices/HMCRP+Overview)	A, B, C, D, E
PHMSA	Pipeline Safety Research & Development Program	http://primis.phmsa.dot.gov/matrix/	A, B, C, D, E
RITA	University Transportation Centers Program	http://utc.dot.gov/	A, B, C, D F - Program history, research results, university themes, brochure
RITA	Hydrogen Portal	http://www.rita.dot.gov/agencies_and_offices/research/hydrogen_portal/	B F- Hydrogen Roadmap
RITA	Volpe National Transportation Systems Center	http://www.volpe.dot.gov/	A, B, C, F- research reports, strategic plans, SBIR awards, general information
NHTSA	Enhanced Stability Control	http://www-nrd.nhtsa.dot.gov/vrtc/ca/esc.htm	B
NHTSA	Biomechanics	http://www-nrd.nhtsa.dot.gov/vrtc/bio/vrtc_bio.htm	B, C
NHTSA	Human Crash Simulation	http://www-nrd.nhtsa.dot.gov/departments/nrd-50/HumanCenteredResearch.html	B
NHTSA	CIREN	http://www-nrd.nhtsa.dot.gov/departments/nrd-50/ciren/CIREN.html	B

Type of information posted

Code A - the dates upon which the task or award is expected to start and end;

Code B - a brief summary describing the objective and the scientific and technical focus of the task or award;

Code C - the entity or institution performing the task or award and its contact information;

Code D - the total amount of Federal funds expected to be provided to the task or award over its lifetime and the amount of funds expected to be provided in each fiscal year in which the work of the task or award is ongoing;

Code E - any restrictions attached to the task or award that would prevent the sharing with the general public of any or all of the information required by this subsection, and the reasons for such restrictions; and

Code F – other information, please specify

In addition to the information listed above, the Department's Budget Office annually provides information to Radius and Science.gov.

E. An inventory describing formal agency agreements (e.g., contracts, memorandum of understanding) with external entities (e.g. partnerships with State and local governments, public libraries, industry and commercial search engines) complementing your agency's information dissemination program, briefly explaining how each agreement improves the access to and dissemination of government information to the public: DOT formal agreements with external entities and the related web links are as follows:

DOT has Memorandum of Agreements (MOA) with the Small Business Administration for OA links to Business Gateway for small business compliance information at <http://business.gov> and the Department of Labor for the Office of Small and Disadvantage Business Utilization to link to Gov Benefits for benefit and assistance programs at <http://www.GovBenefits.gov> .

DOT has a service level agreement with Google (search engine), GovDelivery (news by e-mail) and Vignette (content management system and web portal).

FHWA has a signed Memorandum of Understanding (MOU) with the Department of Interior for FHWA's Byways Program that links to Recreation One Stop at <http://www.recreation.gov>.

MARAD has an MOA with USCG to receive information related to merchant mariners and uses it to publish high-level statistics and perform work force planning. The link is: http://www.marad.dot.gov/MARAD_statistics/index.html.

RITA has an MOU with the Transportation Research Board that enables the National Transportation Library (NTL) to host the Transportation Research Information System (*TRIS*) *Online* and make the database available free to the public. The link to this database is: <http://ntlsearch.bts.gov/tris/index.do>.

RITA has an Interagency Agreement (IA) with the Library of Congress that allows the NTL sponsor, Transportation Libraries Catalog (TLCat) a union catalog of over 35 transportation libraries. NTL sponsors membership in TLCat for all DOT libraries and information centers, including FHWA's Technical Reference Center, MARAD's Merchant Marine Academy, the Volpe Library, etc. This agreement allows NTL to offer free access to TLCat for the public at: <http://newfirstsearch.oclc.org/WebZ/FSPrefs?entityjsdetect=:javascript=true:screenize=large:ssionid=fsapp7-33918-f6rvzqrg-hlobrq:enttypagenum=1:0>.

RITA has an IA with the National Technical Information Service (NTIS) which allows NTL to acquire digitized documents to be added to the *NTL Digital Repository* and allows NTL to have documents digitized by NTIS for the collection. The link to NTL's Digital Repository is at: <http://www.ntis.gov>.

SLSDC has an MOU with the Canadian St. Lawrence Seaway Management Corporation that allows for bi-national support of the Great Lakes St. Lawrence Seaway System bi-national web site (www.greatlakes-seaway.com) that is linked to www.seaway.dot.gov. This site provides the general public with Seaway shipping news, port and terminal information, vessel tracking, cargo statistics and other useful resources. Since its launch in 2001, the site has experienced more than 10.6 million page hits from viewers in more than 150 countries.

- F. An inventory that describes your agency's NARA-approved records schedule(s) or the link to the publicly-posted records schedules, and a brief explanation of your agency's progress to implement NARA Bulletin 2006-02. For the brief explanation please report the number of systems for which a record schedule was submitted to NARA in FY 2007 and the number of systems still requiring records schedules:

Copies of DOT's inventory of NARA approved records schedules to date are provided as attachments to this report. DOT has been actively working to implement the requirements of NARA Bulletin 2006-02 and section 207(e), E-Government Act. The Department appointed a Records Administrator on March 7, 2007, a position that had been vacant for over a year. While the Department does not have a centralized records management program, DOT has initiated and developed a plan with each of the appointed OA Records Officers to meet the Congressionally mandated 2009 deadline.

A memorandum was issued from the Chief Information Officer's Office to the OAs on April 18, 2007, requiring each OA to develop disposition schedules for the information contained within each of their IT systems to ensure that the information is properly scheduled and maintained according to the NARA guidelines. The first action was for each OA to provide a listing of all their IT systems to the DOT Records Administrator by August 15, 2007 then a consolidated listing of all DOT IT systems would be provided to NARA by September 30, 2007. These timelines were coordinated and approved by NARA in order for DOT to ensure that all IT systems requiring a disposition schedule were identified. While the Department is still in the process of evaluating the OA responses, an initial review has indicated that 56 of the approximate 683 IT systems have been scheduled with NARA. The second action of scheduling the information with NARA will be completed incrementally in FY 2008 and 2009.

In addition to the actions above is a pilot project that has been initiated by FAA and NARA to develop a "best practice" for using the Federal Enterprise Architecture to assist in developing appraisals for electronic systems. This pilot project constituted developing a task group of personnel from NARA and records managers representing the FAA lines of business and staff offices with support from FAA's Chief Information Officer Council. The task group meets on an ongoing basis, as needed.