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GOVERNMENT PERFORMANCE AND RESULTS ACT OF 1993
PILOT PROJECT

THE NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

FY 1996 PERFORMANCE PLAN

Prepared by

the National Highway Traffic Safety Administration
Office of Strategic Planning and Evaluation

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INTRODUCTION

The National Highway Traffic Safety Administration (NHTSA) is a pilot agency under the Government Performance and Results Act of 1993 (GPRA). This document is NHTSA's Performance Plan for FY 1996, the third and final year of the pilot program. The agency released its Strategic Plan, which fulfills a GPRA requirement, in December 1994.

As in our FY 1995 Performance Plan, the agency program output measures are presented within a performance-based structure. This structure cuts across NHTSA budget line items, however, references correlate this plan with the agency's budget. The program output measures in this plan are essentially the same as were presented in the FY 1995 plan and in the agency's FY 1996 Congressional budget submission.

Trend data on highway safety are presented as part of this plan. Many factors that are outside the control of NHTSA influence the number and severity of highway crashes and their consequent fatalities, injuries, and property loss. However, there is ample evidence that Federal traffic and motor vehicle safety programs; in conjunction with the state, local, and private programs engendered by the Federal initiatives; have been highly effective in reducing road fatalities and injuries.

I. BACKGROUND

The motor vehicle and highway crash losses are a large and costly problem in the United States. Currently, 6.3 million police-reported motor vehicle crashes occur each year, resulting in 40,000 fatalities and 3.1 million non-fatal injuries. There are over 5 million non-fatal injuries when unreported crashes are included. The cost to society in health care costs, lost productivity, and other costs is at least $138 billion annually. Two major risk factors have been reduced: the percent of fatalities in crashes where alcohol was involved decreased from 57 percent in 1982 to 42 percent in 1994, and safety belt use rose from 14 percent in 1983 to 67 percent in 1994. Nevertheless, driving and riding in motor vehicles and walking and cycling on or near public roads continues to be risky.

Following a continuous downward trend between 1988 and 1992 there was an increase of 865 fatalities in calendar year (CY) 1993. Based on preliminary data, 285 more people died in traffic crashes in 1994 than in 1993. However, the fatality rate per 100 million vehicle miles of travel has remained at 1.7 since 1992, even with a significant upturn in the economy. Between 1966 and 1992, there was a continuous downward trend in this rate from 5.5 to 1.7. Since 1966, there was some year to year fluctuation in the rate of traffic fatalities per 100,000 resident population, with an overall decline from 26 to 15.5. While this rate increased between 1992 and 1993, from 15.4 to 15.6, it declined again in 1994, to 15.5. The rates of non-fatal injuries per 100 million VMT and per 100,000 population both declined in 1994. We are making progress even with increases in vehicle miles of travel and population.

II. The NHTSA Strategic Plan

NHTSA Strategic Plan was released in October 1994. A copy of the plan is attached. The key elements of the plan are:

NHTSA's Mission:

The National Highway Traffic Safety Administration's mission is to save lives, prevent injuries and reduce traffic-related health care and other economic costs. The Agency develops, promotes and implements effective educational, engineering, and enforcement programs toward ending preventable tragedies and reducing economic costs associated with vehicle use and highway travel.

NHTSA's Vision:

NHTSA will lead the nation in creating the highest level of road safety in the world.

The following Critical Elements and Strategic Goals are contained in the NHTSA Strategic Plan. Most are related directly to the agency's outcome goals (OG) and intermediate outcome goals to reduce the occurrence of crashes (RO), to reduce the consequences of crashes (RC), and provide quality service to our customers (SC). Others provide program output support (POS) to achieve our outcome goals.

Critical Elements and Strategic Goals

Provide Leadership and Set an Agenda

Goal 1 Lead the effort to make traffic and motor vehicle safety a priority of the nation's health care agenda. (OG)

Goal 2 Lead a national initiative to address the most significant traffic and motor vehicle safety issues. (OG)

Goal 3 Deliver the highest quality technical and program assistance to States and communities, and promote international cooperation. (RO,RC,SC)

Goal 4 Improve data collection and analysis to better identify and understand problems and to support and evaluate programs: expedite the availability of information to customers and partners. (SC)

Support Research and Apply the Results to Educ ation, Engineering, and Enforcement to Reduce Road Casualties and Costs

Goal 5 Reduce the number and severity of road collisions. (RO,RC)

Goal 6 Mitigate the consequences of motor vehicle crashes. (RC)

Goal 7 Advance the non-safety mandates of the Agency. (SC)

Transform NHTSA Through Continuous Improvement

Goal 8 Improve NHTSA's internal processes, management, and structure to create a more effective and efficient Agency that is better able to pursue its mission. (POS)

Goal 9 Listen to, involve, and serve customers and partners in the planning, programs, and activities of the Agency. (SC)

Goal 10 Build and maintain a professional, productive, innovative, diverse work force. (POS)

Goal 11 Effectively manage and use information resources. (POS)

The NHTSA program responds to DOT Strategic Plan Goal 3: Create a New Alliance Between the Nation's Transportation and Technology Industries; Goal 4: Promote Safe and Secure Transportation; and Goal 7: Transform DOT by Empowering Employees.

FY 1996 marks the beginning of the assimilation of the Strategic Plan into the GPRA Performance Plan. The Strategic Plan describes 11 goals and supporting objectives that the agency will pursue over the next seven to ten years. The strategies to achieve these goals and objectives will be described in the Strategic Execution Plan (SEP), which is now under development. The SEP will identify the performance measures for each goal and objective, then describes the priorities and actions over a five-year period (FY 1995 to 1999). Following completion of the SEP, the agency will begin developing Business Implementation Plans (BIP) for each major program area. FY 1996 and 1997 are transition years for development of the BIPs and their interface with budget development. Following this transition period, each BIP will provide the foundation for the FY budget submittal and performance plan.

III. AGENCY MEASURES

A. Structure

NHTSA's Performance Plan stratifies performance measures according to the following performance-based structure.

B. AGENCY OUTCOME MEASURES AND TARGETS

FATALITIES, INJURIES, AND CRASHES PER 100 MILLION VEHICLE MILES OF TRAVEL (VMT)

Fatalities per 100 million VMT

TRENDS: Following decades of higher rates, there was a continuous decline in the fatality rate per 100 million VMT from 5.5 in 1966 to 1.7 in 1992. Between 1993 and 1994 there was a slight decline, however, rounded to tenths it remained at 1.7.

1995 Target: 1% decrease to 1.70
1996 Target: 1% decrease to 1.69

Injured Persons per 100 million VMT

TRENDS: The injured persons rate per 100 million VMT has declined 21.3 percent since 1988. 1993-1994: 2.9 percent decrease to 133.

1995 Target: 1% decrease to 132
1996 Target: 2% decrease to 129

Crashes per 100 million VMT

TRENDS: Total crashes per 100 million VMT declined 21 percent from 1988 to 1994. 1993-1994: .6 percent increase to 267.

1995 Target: 1% decrease to 264
1996 Target: 1% decrease to 261

FATALITIES AND INJURIES PER 100,000 POPULATION

Fatalities per 100,000 Population

TRENDS: The fatality rate per 100,000 population decreased 25.0 percent since 1975. 1993-1994: .2 percent decrease to 15.5.

1995 Target: 1% decrease to 15.3
1996 Target: 1% decrease to 15.1

Injured Persons per 100,000 Population

TRENDS: The injured persons rate per 100,000 population declined by 13.5 percent from 1988 to 1994. 1993-1994: .7 percent decrease to 1,202.

1995 Target: 1% decrease to 1,190
1996 Target: 1% decrease to 1,178

C. INTERMEDIATE OUTCOME MEASURES AND TARGETS

Reduce the Occurrence of Crashes

Drivers Involved in Crashes per 100,000 Licensed Drivers

TRENDS: Drivers involved in crashes per 100,000 licensed drivers 1988-1994: Decrease of 12.8 percent. 1993-1994: 2.4 percent increase to 6,316.

1995 Target: No increase
(revised target)

1996 Target: 1% decrease to 6,253

Crashes per 100,000 Registered Vehicles

TRENDS: Crashes per 100 thousand registered vehicles
1988-94: Decrease of 15.8 percent.
1993-1994: 1.4 percent increase to 3,128.

1995 Target: No increase (revised target)
1996 Target: 1% decrease to 3,097

Alcohol-Related Traffic Fatalities

TRENDS: The involvement of alcohol in fatal crashes has been declining. From 1987 to 1993 the percent of fatal crashes in which the driver, pedestrian, or bicyclist had positive alcohol decreased from 51.9 to 43.6, 2.7 percent per year. Preliminary data for 1994 indicates that while the total number of fatalities increases, the alcohol related portion continued to decline. This resulted in a further decrease in the percent alcohol involvement, to 42 percent. In fact, the decline in alcohol involved fatalities has led the decline in total fatalities throughout the period 1984 to 1992, a period that encompassed periods of both economic expansion and recession. Between 1987 and 1993 the alcohol-related motor vehicle death rate per 100,000 population declined from 9.7 to 6.8, and the rate for 15 through 24 year olds decreased from 21.7 to 13.8 (30 and 36 percent decline respectively).

The involvement of alcohol in injury crashes between 1988 and 1993 decreased, increased, then continued to decline for a compound annual decrease of 3.2 percent. Between 1992 to 1993 it decreased by 5.2 percent. However the involvement of alcohol in property damage only crashes was the same in 1993 as it was in 1988. There is no preliminary 1994 data for alcohol involvement in injury and property damage only (PDO) crashes at this time.

The Secretary of Transportation has set a new goal for the year 2005:
Reduce the number of alcohol-related fatalities to 11,000

1995 Target: In the FY 1995 GPRA Plan: 1% decrease in the rate of involvement

New target based on the new goal: reduce the number from 16,970 in 1994 to 16,310 in 1995
1996 Target: Reduce the number of alcohol-related fatalities to 15,680.

Reduce the Consequences of Crashes

Safety Belt Use

TRENDS: In 1980 no States had safety belt use laws. By September 30, 1994, 48 States plus the District of Columbia, Puerto Rico, and the U.S. Territories had such laws. In 1992 safety belt use for front seat passenger vehicle occupants stood at 62 percent. With increased emphasis on and funding for enforcement of safety belt laws, this grew to 67 percent by the end of calendar year 1994. The 1994 Target was 68 percent usage.

1995 Target: 70 percent usage
1996 Target: 75 percent usage

Occupant Fatality and Injury Rates Per 100,000 Population

TRENDS: Occupant fatality and injury rates have been declining. Occupant fatality rates decreased from 16.7 per 100,000 population in 1975 to 13.1 in 1994, a 1.1 percent decrease per year (1993-94: no change).

1995 Target: 1% decrease to 13.0
1996 Target: 1% decrease to 12.9

Occupant injury rates declined from 1,312 in 1988 to 1,142 in 1994 (1993-94: no change).

1995 Target: 1% decrease to 1,131
1996 Target: 1% decrease to 1,120

D. EXTERNAL FACTORS

There are a variety of external factors that affect the number of crashes, fatalities, and injuries on the road each year. The most significant external factors are: the economy; the population; exposure factors such as miles driven, licensed drivers, and registered vehicles; and lifestyle factors such as levels of alcohol consumption. Between 1966 and 1994, the following increases affected crash exposure: the resident population (33 percent); licensed drivers (73 percent); registered vehicles (108 percent); and vehicle miles of travel (154 percent).

Historically, there has been some correspondence between increases in fatalities and economic expansions. Exposure factors that increase in an expanding economy include driving for entertainment purposes which increases miles driven during high risk, nighttime hours; higher levels of employment that increase the number of miles driven; and greater disposable income that increases driving exposure.

The economy in 1994 dramatically improved compared to the beginning of the recovery in 1992. The combination of rapid employment growth and low inflation resulted in one of the best economic performances on record. In calendar year 1994 the real gross domestic product (GDP) increased 4 percent and real disposable income increased 4.3 percent. (The unadjusted increase in the GDP was 6.2 percent.) At the same time, the consumer price index rose only 2.7 percent, which was the same rate of increase as for each of the previous three years. The unemployment rate declined 1.3 percentage points and civilian employment grew by 3.7 million jobs (3 percent) compared to increases of 700,000 in 1992 and 1.7 million in 1993.

Total resident population increased 1 percent in 1994. Increases in the high risk 16 through 19 year old age group were .9 percent between 1992 and 1993 and 1.7 percent between 1993 and 1994, following a continuous downward trend since 1978. Population in the 20 through 24 age group, also a high risk group for highway safety, continued it's downward trend that began in 1982. Overall, the driving age population (>= 16) increased each year by about 1 percent between 1990 and 1994.

The average annual increase in registered vehicles between 1986 and 1993 was 1.7 percent. The increase from 1993 to 1994 was 5.9 percent. The average annual increase in vehicle miles of travel over the same period (1986-1993) was 3.6 percent. The increase from 1993 to 1994 was 2.2 percent. This increase is based on preliminary estimates which are based on traffic volume trends. The final number for travel in 1994 may increase when complete data is reported by the states in October, 1995.

Prospects for 1996

According to the latest forecasts by DRI/McGraw Hill, the performance of the economy in 1996 will be poorer than in 1995. The forecast is consistent under both the trend and cyclical projections. The differences between 1995 and 1996 are as follows for average rates of change: real gross domestic product (GDP), 2.8 percent versus 1.7 percent (1994 actual: 4 percent); real disposable income, 3.4

versus 2.0 percent (1994 actual: 4.3 percent); and civilian employment, 2.6 versus 1.3 percent (1994 actual: 3 percent). Overall population will continue to increase at about a 1 percent rate per year but the mid-90's will see an increase in the resident population in the 15 through 19 age group for 1993 through 1999 of 1, 2.1, 2.6, 2.7, 2.3, 2.1 and 1.2 percent respectively. Vehicle miles of travel is expected to increase at about 2.5 percent per year to the end of the decade.

III. FY 1996 Congressional Budget Request

NHTSA Budget Categories

NHTSA pursues its goals through a regulatory program for motor vehicle and equipment safety; by providing grants and technical assistance to states and local communities; by distributing consumer information; and by conducting research and development in crashworthiness, crash avoidance, biomechanics of injury, human factors, and more. Our budget line item categories in the FY 1996 Congressional Budget Request are as follows:

Program By Activities:	FY 1996 Request: (Dollars in Thousands)
Operations and Research: (page 722) (69-0650-0-1-401)	
Safety Performance Standards Programs[1]	$ 14,787
Safety Assurance Programs[1]	19,737
Highway Safety Programs	50,681
Research and Analysis Programs	52,437
Office of the Administrator	3,820
General Administration	9,038
Total Operations and Research (gross)	150,500
Less: Grant Administration Reimbursements	(6,158)
Total Operations and Research (net)	144,342
Highway Traffic Safety Grants: (page 724) (69-8020-0-7-401)	
Section 402 Formula Grants	$168,600
Section 410 Alcohol-Impaired Driving Countermeasure Grants	25,000
National Driver Register	2,400
Highway Traffic Safety Grants	196,000
TOTAL PROGRAM	$340,342

[1]The titles for the Office of Rulemaking and the Office of Enforcement have changed to more accurately reflect NHTSA's goal-oriented description of its activities and are designed to encourage participative engagement rather than involuntary compliance which the former functional titles suggested.

APPENDIX I. FY 1996 Program, Measures, and Targets

To address the size and complexity of highway crash losses, NHTSA has developed a multi-faceted approach consisting of engineering, enforcement, and education programs. NHTSA is implementing these with a planned FY 1996 employment level of 664 full-time equivalent (FTE) staff years and a Presidential request of $340 million (FY 1995 appropriation: $277 million) The increase in the agency's request results from a substantial increase in the Section 402 grants for a new "Safe Communities" initiative to provide resources to empower communities to develop local highway safety coalitions with new partners, adding health care and business to our current loyal constituents in law enforcement and community activism, and to implement an integrated approach to injury control.

This performance plan groups NHTSA's program activities in three performance categories: Reduce the Occurrence of Crashes, Reduce the Consequences of Crashes, and Serve our Customers. We use this structure for our performance plan because we strive for improvements on these three fronts. While all three support the agency mission of reducing the number of fatalities, injuries, and economic costs, we list reduction of crashes first because it is better to save a life or avoid an injury through prevention than through damage containment and repair.

It should be noted that the performance-based structure used in this plan cuts across NHTSA's organizational structure. For example, NHTSA's Safety Performance Standards Program addresses both crash avoidance type standards and standards to reduce the severity of crashes. While the organizational sub-structure within the safety performance standards program does make this distinction, NHTSA's budget line items do not. NHTSA's Research and Development Office makes this distinction through its organizational structure, namely, the Office of Crash Avoidance Research and the Office of Crashworthiness Research. However, these distinctions also are not reflected in our budget line item for Research and Analysis. For this reason, we have provided a budget reference by indicating the Program by Activity identifier codes from the *FY 1996 Budget of the United States: Appendix*, with each program entry.

A. REDUCE THE OCCURRENCE OF CRASHES

NHTSA's program to reduce the occurrence of crashes includes actions directed at vehicle safety and personal behavior. Programs include alcohol prevention, crash avoidance research and development, crash avoidance regulatory actions, and enforcement actions targeted at reducing the number of crashes. Our CY 1996 Intermediate Outcome Goals are:

- *Drivers involved in crashes per 100,000 licensed drivers: reduce from 6,316 to 6,253 (1 percent decrease) [Note: the 1995 target has been revised from the FY 1995 Plan: no increase from the 1994 rate versus a 1% decrease]*
- *Crashes per 100 thousand registered vehicles: reduce from 3,128 to 3,097 (1 percent decrease) [Note: the 1995 target has been revised from the FY 1995 Plan: no increase from the 1994 rate versus a 1% decrease]*
- *Alcohol-related traffic fatalities: reduce overall <u>number</u> from 16,310 to 15,680 (3.86 percent decrease)*

<u>Highway Safety Programs</u>
FY 1996 Budget Appendix p. 722: 69-0650-0-1-401
FY 1996 Budget Appendix p. 724: 69-8020-0-7-401

Alcohol Program

<u>Program Objectives/FY 1996 Program</u> - The goal of NHTSA's alcohol initiatives is to reduce the number of alcohol-related traffic crashes, fatalities and injuries. In February, 1995 the Secretary of Transportation announced a new national impaired driving goal: reduce alcohol-related traffic fatalities to 11,000 by 2005. The Secretary also announced preliminary 1994 results. Alcohol-related traffic fatalities decreased for the 8th consecutive year, to about 16,900. Alcohol-related deaths dropped to 42 percent of total traffic fatalities, surpassing the Secretary's goal of 43 percent by 1997, two full years ahead of schedule. The new goal represents a 35 percent reduction from the number of alcohol-related fatalities in 1994.

A number of NHTSA programs are aimed at achievement of the reduction of alcohol as a factor in crash causation. Section 403 funds provide resources for demonstration projects at the local level, and alcohol is one of the priority program areas under Section 402 formula grants to the states. Appendix III includes a description of a Section 402 Assessment that is aimed at evaluating the effect on safety outputs and outcomes from the expenditure of these funds.

The Section 410 program provides incentive funding to states to implement innovative strategies to reduce drunk and drugged driving. Consistent with the Secretary's goal to reduce alcohol-involved crashes and fatalities this grant program was requested at the full authorized amount of $25 million for FY 1996. It is anticipated that there will be an increase of 3 (10 percent) in the number of Section 410 states (FY 1994 baseline: 27 States; FY 1995: 30 States). Increases in the number of states passing Administrative License Revocation (ALR) laws, .08 BAC laws, and .02 BAC laws are influenced to some extent by a desire to qualify for these incentive funds.

The Office of Alcohol and State Programs seeks to achieve reductions in alcohol involvement in crashes through information and education, technical assistance to states and advocate groups on legislative and other issues, development of national coalitions, and assessments of state progress in laws, enforcement, and sanctions.

FY 1996 Program Performance Measures/Targets:

- Decline of 3.86 percent in the number of alcohol-related fatalities = 16,310 in CY 1995 and 15,680 in CY 1996. [Note: this is also an agency Intermediate Outcome Goal]

Measurement Sources - Fatal Accident Reporting System.

Barriers to Meeting Targets - Limited resources for DWI law enforcement and DWI offender screening and treatment for alcohol problems; legislative resistance to effective DWI laws in some States.
Effect on Current Year from Past Activities - If alcohol were still involved at the 1982 level, there would have been 11,159 additional fatalities in 1992 and 12,895 fatalities in 1993. (1994 data not yet available).

Effect on Future Years from Current Activities - Upgrades of DWI laws to .08 percent for adults and zero tolerance (.02 or below) for youth under 21, will produce benefits in the years to come. Continued emphasis on enforcement will have a deterrent effect on repeat drinking driver offenders in the future.

National Driver Register

Program Objectives/FY 1996 Program - The goal of the National Driver Register (NDR) is to reduce the occurrence of crashes through implementation of the Problem Driver Pointer System (PDPS) that identifies drivers with a history of suspended or revoked licenses or other problems. This computerized system contains driver identifier information and, when queried, "points" one State to driver information in another State. PDPS implementation in all states should be completed in FY 1995. NHTSA's NDR program will produce a $1 million savings to the Federal Government in FY 1996. Funds for "help desk" and system expenses will decline substantially because states will have completed implementation of the PDPS. Regular NDR operations will continue, consisting of computer processing of state inquiries and updates, plus related technical and administrative support. Processing federal agency requests will continue.

FY 1996 Performance Measures/Targets

- Answer 95 percent of all electronic inquiries within 5 seconds (maintain 1995 level).

- System available for inquiries during at least 99 percent of the operating hours of 7 a.m. to midnight Eastern time Monday through Saturday (maintain 1995 level).

Measurement Sources: National Driver Register Program records.

Barriers to meeting targets: Computer hardware and software problems in individual States and at the NDR central site; lack of money at the State level for conversion to new system.

Safety Performance Standards[2]

FY 1996 Budget Appendix p. 722: 69-0650-0-1-401

Vehicle Safety Standards for Crash Avoidance

Program Objectives/FY 1996 Program - The objectives of the Vehicle Safety Standards Program are: to identify safety problem areas; to develop countermeasures; to collect and analyze information to support the development of and amendments to, Federal Motor Vehicle Safety Standards (FMVSS); and to respond to questions, assertions, and comments on vehicle safety from internal and external organizations. The FY 1996 program will seek public input on what safety information the public wants and how best to provide this information. This new initiative is consistent with the agency's goal to reduce the occurrence of crashes by alerting the public to safety problems.

Funds are used for quick reaction contracts for test and study results that provide key data for decisions in the rulemaking process. In FY 1996, a regulatory decision is expected to be made on the ISTEA mandate for ABS for light passenger vehicles. In addition, the Office of Safety Performance Standards will complete the information collection from consumers to evaluate the effectiveness and usefulness of safety information.

FY 1996 Performance Goals/Measures/Targets

Goals

- Complete rulemaking decision for ISTEA mandate on ABS for light passenger vehicles.

- Complete information collection to evaluate the effectiveness and usefulness of safety information provided to consumers. Note: Evaluation of this study will not be completed by the end of the performance cycle.

[2]The title of the Associate Administrator for Rulemaking has changed to the Associate Administrator for Safety Performance Standards to more accurately reflect NHTSA's goal-oriented description of its activities and to encourage participative engagement rather than involuntary compliance which the former functional title suggested.

Measures/Targets

- Reduce the average time taken to process rulemaking actions from 18.6 months, established in FY 1995, to 18 months in FY 1996. (Note: this measure is newly calculated on a fiscal year rather than a calendar year basis)

- Increase the percent of petitions granted or denied within 120 days to 70 percent (FY 1994 baseline: 57 percent, FY 1995 target: 65 percent).

Measurement Sources: NHTSA Office of Safety Performance Standards tracking system.

Barriers to meeting targets: Exceptionally high number of rulemaking petitions received; insufficient commitment to achieving the goals within the agency or within the Department.

Effect on Current Year of Past Activities - Rulemaking actions take several years to have an effect on the "bottomline" of safety. Before a regulation is issued, years of research and regulatory analysis are needed to ensure that projected benefits are real and outweigh its cost. Once effective it will take at least ten years for the required safety features to be incorporated into most vehicles on the road. While the GPRA forces measurement into a fiscal year time frame, the following discussion indicates the time required for one rule, aimed at crash avoidance to have the desired effect.

Center High Mounted Stop Lamps (CHMSL) (Federal Motor Vehicle Safety Standard 108) have been required equipment on passenger cars since September 1, 1985. The purpose of CHMSL is to safeguard a car from being struck in the rear by another vehicle. The CHMSL rule evolved through the full cycle of experimental research, test fleets, regulatory analysis, rulemaking and evaluation. Research conducted between 1974 and 1979, and test fleet experience between 1976 and 1979 with CHMSL equipped cars, demonstrated high levels of effectiveness in reducing rear-end crashes compared to conventional stop lamps. The Regulatory Impact Analysis, published in 1983, projected benefits of 50 percent reduction of CHMSL relevant crashes, injury reduction of 40,000 per year, damage reduction of $434 million per year; and costs per car of $4 to 7 (1982 dollars). Following the implementation of the standard in new vehicles, a NHTSA evaluation study found that CHMSL equipped cars were 17 percent less likely to be struck in the rear while braking than the cars without CHMSL; when all cars on the road have CHMSL, they will prevent 126,000 police reported accidents, 80,000 nonfatal injuries and $910 million in property damage per year; and that the CHMSL requirement added $10.48 (in 1987 dollars) to the lifetime cost of owning and operating a car. At the effectiveness levels observed in the 1987 data, the CHMSL was found to be a very cost effective safety device.

Effect on Future Years from Current Activities - If the program determines that requiring antilock brakes in light passenger vehicles would produce significant crash, fatality, and injury benefits, the provision of these systems would produce benefits into the 21st century. Information forthcoming from consumers on the usefulness of current safety information will provide the basis of programmatic changes to make safety information more useful in consumer purchasing and operating decisions to assure maximum safety performance.

Safety Assurance[3]

FY 1996 Budget Appendix p. 722: 69-0650-0-1-401

Defects Investigations for Crash Avoidance

Program Objectives/FY 1996 - The Defects Investigation Program contributes to crash worthiness and crash avoidance goals by collecting and acting on information related to safety defects that affect the occurrence of crashes. The agency will continue to conduct defect investigations leading to recalls in order to remove defective vehicles and items of motor vehicle equipment from the Nation's highways. In FY 1996, the program will obtain and analyze safety-related problems with motor vehicles and items of motor vehicle equipment as reported to the agency by the public through the Auto Safety Hotline and from other sources and will conduct rigorous investigations to determine whether such reported problems are creating an unreasonable safety risk. During of CY 1994 there were 104 active defect investigations underway involving crash avoidance related vehicle components and equipment.

FY 1996 Performance Goals/Measures/Targets

For several years, and in the FY 1994 and 1995 plans, the performance measure for the Office of Defects Investigation (ODI) was the average elapsed time to conduct a safety defect investigation. This was a monthly measure for all investigations of the average number of months investigations were open. For the FY 1996 Plan, this measure has been changed to the average time to complete a defect investigation. That is, for all those Defects Investigations closed during the fiscal year, this is the average of all completion times. We believe that this more accurately reflects the performance of this program. Because this is a new measure, a new baseline has been established (8 months).

Goal

- Identify unsafe vehicles and items of motor vehicle equipment from our Nation's highways and take corrective actions in a timely manner.

Measure/Target

- Maintain at 8 months the average time to complete a safety defect investigation (1994 new baseline measure: 8 months).

Measurement Sources - NHTSA Office of Defects Investigation computerized defect investigation tracking system.
Barriers to achieving target: - Inability of contractors to meet test schedules or other contractual

[3] The title of the Associate Administrator for Enforcement has changed to the Associate Administrator for Safety Assurance to more accurately reflect NHTSA's goal-oriented description of its activities and to encourage participative engagement rather than involuntary compliance which the former functional title suggested.

requirements and the lack of timeliness of manufacturers in responding to requests for information.

Effect on Future Years from Recent and Current Activities - Fifty eight (58) percent of the total 6 million vehicles recalled in CY 1994 for safety defects were influenced by NHTSA defect investigations. Of the 204 safety defect recall campaigns in CY 1994, 151 (74 percent) were related to crash avoidance characteristics of vehicles.

Federal Motor Vehicle Safety Standards Compliance Testing of Crash Avoidance Standards

Program Objectives/FY 1996 Program - The Office of Vehicle Safety Compliance conducts a yearly test program to determine whether certified motor vehicles and motor vehicle equipment items meet all requirements of applicable Federal Motor Vehicle Safety Standards (FMVSS). The FY 1996 Vehicle Safety Compliance Test Program will include tests for compliance verification on 30 of the 42 "testable" standards; 11 of these are for crash avoidance standards; these include FMVSS 105, "Hydraulic Brake Systems," FMVSS 106, "Brake Hoses," FMVSS 121, "Air Brake Systems," and FMVSS 131, "School Bus Pedestrian Safety Devices." The compliance test program will ensure that the safety benefits associated with the levels of performance established in the agency's crash avoidance safety standards are being realized.

FY 1996 Performance Goals/Measures/Targets

Goals

- Verify compliance of new production vehicles with the requirements of Federal Motor Vehicle Safety Standards

- Timely completion of all testing within the model year of production.

Measures/Targets

- Complete all brake system and other vehicle crash avoidance testing by July 15, 1996.

- Complete all other equipment crash avoidance testing by August 15, 1996.

Measurement Sources - NHTSA Office of Vehicle Safety Compliance test reports and dates completed.

Barriers to Meeting Targets - Inability of contractors to meet time schedules or other contractual requirements.

Safety Recall Program for Crash Avoidance

Program Objectives/FY 1996 - The Office of Defects Investigation conducts a safety recall program that closely monitors the performance and effectiveness of National safety recalls conducted by manufacturers or distributors of motor vehicles and items of motor vehicle equipment where a safety defect or noncompliance with a Federal motor vehicle safety standard has been determined. The agency continues to monitor safety recall campaigns in order to remove unsafe vehicles and items of equipment from the Nation's Highways. In FY 1996, the program will conduct recall audits; continue to closely monitor the performance of safety recalls; conduct investigations of safety recalls that appear to be ineffective or for which consumers have notified the agency of particular recall problems. The safety recall program will insure that unsafe vehicles and items of equipment are corrected and removed from the Nation's highways and to insure that the effectiveness of the safety recalls is maintained. Generally 70 to 75 percent of the safety recalls conducted in a year are related to crash avoidance matters. The average completion rate for crash avoidance safety recalls is 69 percent.

FY 1996 Performance Measures/Targets - The agency's performance measures for the safety recall program are the completion rate, the number of recall consumer complaints received, and the thoroughness of the public notification and remedy campaign.

Goal

- Achieve the most effective safety recalls by ensuring timely implementation of the recall, thorough notification, and an effective remedy without charge to the consumer. An effective Safety Recall Program for crash avoidance saves lives, prevents injuries, and reduces motor vehicle-related health care and associated costs by correcting problems that could lead to the occurrence of crashes.

Measures/Targets

- A recall completion rate of ongoing recalls of 10 percent of the recall population during each quarter.

- Equipment manufacturers to meet or exceed a 51 percent completion rate of the affected equipment population, and vehicle manufacturers to meet or exceed, a 68 percent completion rate of the affected vehicle population. (These completion goals are based on average past recall performance.)

Measurement Sources - NHTSA Office of Defects Investigation computerized recall tracking system.

Barriers to achieving target

The effectiveness of a recall is dependent on a number of factors, such as recall type (vehicle, equipment, or tire), category of motor vehicles or items of motor vehicle equipment recalled (passenger car versus heavy truck, tire placard label versus brake fluid, etc.), availability of current registered owner names and address, type of remedy (replace all, inspect and replace certain defective items, insert label, etc.), age of the recalled items, and the nature and severity of the hazard associated with the recall. Each of these factors can influence an assessment of the adequacy of a recall completion rate. Analysis of these factors indicates that the age of the recalled product is the most influential factor. Also, the greater the safety risk associated with the recalled system or component of a vehicle, the greater the likelihood that the owner will have the recall work performed.

There should not be rigid adequacy criteria for the completion rate of an individual safety recall. It is more practical to identify and address those recalls with a completion rate which are deemed inadequate. These include those recalls with obvious violations of the requirements of the Act or support regulations; those in which consumer complaints indicate the recall notification or the remedy has problems; those where the recall scope is not adequate; those with post remedy problems; and those in which recall completion rates are lower than other manufacturers in similar recalls. All of these factors are considered and reviewed by NHTSA.

Effect on Current Year from Past Activities - Average recall completion rates have not only increased every year, but have increased demonstratively each calendar quarter. The current focus on early notification and corrective action means that more recalled vehicles and items of equipment are removed from the highways earlier. The early notification and remedy can mean the difference between either contacting an owner or losing contact with the owner as owner records age. Since 1984, 1,288 recall campaigns were related to crash avoidance. Many of these vehicles would still be on the road today and, if they had not been recalled, would represent a safety risk.

Effect on Future Years from Recent and Current Activities - Average recall completion rates have been steadily increasing over the past five years based on the increased effectiveness of existing safety recall monitoring, investigation, and corrective recall action programs now conducted by NHTSA. In calendar year 1994, nearly 6 million vehicles were recalled for safety defects. Seventy-four percent of the recall campaigns in 1994 were related to crash avoidance defects.

Research and Development

FY 1996 Budget Appendix p. 722: 69-0650-0-1-401

Crash Avoidance Research

Program Objectives/FY 1996 Program - The Crash Avoidance research program is aimed at reducing the frequency of crashes that are potentially avoidable. The program is focused on providing the research results to ensure that products developed address high priority problems, assessing the effectiveness of developed products through in-service evaluations, and facilitating the development and early deployment of collision avoidance products by the private sector. The program will enhance the crash avoidance performance of the driver-vehicle system through the application of traditional and advanced technologies and will help ensure no loss of safety as mobility- and/or productivity-enhancing systems are incorporated into motor vehicles. In FY 1996, the National Advanced Driving Simulator (NADS) will be under construction, the Heavy Vehicle Research program will continue to seek improvements in the crash avoidance and crashworthiness/occupant protection features of heavy trucks, and the Intelligent Transportation System (ITS) program will continue to develop driver/vehicle performance data, develop performance guidelines for collision warning/avoidance systems, operationally test intelligent cruise control and automatic collision notification systems in the field, work in partnership with industry to accelerate the development of collision avoidance systems, and continue to work with FHWA to assess the safety of mobility- and/or productivity-enhancing systems.

FY 1996 Performance Goals/Measures/Targets

Goals

- Complete cooperative agreements with Eaton for feasibility assessment of automatic braking for heavy vehicles and with Rockwell for development of a cost-effective system for assessing road curvature and lane position.

- Complete detailed design of all NADS systems and commit to long lead-time hardware items.

- Finalize guidelines for the driver-vehicle interface associated with collision warning system to ensure that safety performance benefits are achieved.

- Complete development of braking stability performance test procedures for single-unit trucks in support of NHTSA safety performance standards.

- Complete development of voluntary consensus recommended test procedures for evaluation heavy truck occupant crash protection systems.

Measures/Targets

- Meet customer needs for timely dissemination of research results as measured by end of year assessment of contractor reports and staff technical papers published and staff technical presentations.

- On time response to short-term rulemaking needs.

- Yearly assessment of the extent to which the program has accelerated the development of crash avoidance products by the private sector as measured by the availability (or progress toward the availability) of collision warning and avoidance products to the public as optional or standard equipment on motor vehicles, or as aftermarket products.

Measurement Sources - NHTSA Office of Crash Avoidance Research; Research Program Plan.

Barriers to meeting targets - Changes in agency priorities; procurement delays; adjustments in program schedules to respond to unanticipated problems or research results; failure of non-DOT sources to meet the required cost-sharing provisions of the NADS program.

Effect on Current Year from Past Activities - The Crash Avoidance Research Program is long-term in nature. Outcome impacts in terms of the crash avoidance characteristics of vehicles on the road accrue over time, as a result of research, crash avoidance systems are incorporated into motor vehicles. The crash avoidance research program has supported the widespread availability of antilock braking systems in all classes of motor vehicles in 1996 production vehicles.

Effect on Future Years from Current Activities - The ITS, Driving Simulator, and Heavy Vehicle Research projects will facilitate the introduction over the next 5-10 years of collision avoidance systems which will yield safety benefits well into the next century.

B. REDUCE THE CONSEQUENCES OF CRASHES

NHTSA addresses the reduction of crash consequences on several fronts. Vehicle occupant crash protection and behavioral issues, e.g. safety belt use are addressed. FY 1996 Intermediate Outcome Goals are:

- *Safety belt use rates: percent of front seat occupants: 75 percent*

  1993 baseline: 66 percent
  1994 rate: 67 percent
  1995 target: 70 percent

- *Occupant Injury Rates per 100,000 population:*

  Fatality: 12.9 (1 percent decrease)
  Injury: 1,120 (1 percent decrease)

Highway Safety Programs
FY 1996 Budget Appendix p. 722: 69-0650-0-1-401
FY 1996 Budget Appendix p. 724: 69-8020-0-7-401

Occupant Protection

Program Objectives/FY 1996 Program - The objective of this program is to increase the use of occupant protection systems through greater compliance with State belt use and child safety seat laws. The Occupant Protection program consists of four major components: public information and education; belt law compliance; target population education; and evaluation and technology sharing. FY 1996 will provide the second year of support Quarterly Planners and other media materials used by state and local authorities as part of Campaign Safe & Sober. NHTSA will focus on safety belt and child passenger safety themes in conjunction with anti-drunk driving and speed compliance activities. NHTSA will also develop new materials for the national "Vince and Larry" public service campaign. FY 1996 materials will place additional focus on materials and themes to support state and local enforcement efforts. These materials will be similar to those used in recent agency-supported demonstration programs, supported by Section 403 funds, which have increased statewide usage by as much as 5 percentage points over the course of a year. Occupant protection is one of NHTSA's priority areas for Section 402 funds. These funds are a key component for state efforts to meet safety belt use goals. (See Appendix III)

The National Occupant Protection Program performance measure is based on national progress toward the Secretary's goal of 75 percent belt use by 1997. Our interim goal is to achieve 70 percent use by the end of FY 1995, and then reach 75 percent by the end of FY 1996. Determination as to whether the 75 percent goal is met will be made by a national average usage rate assessment in December 1996 based on individual state observational surveys. Section 402 formula grants to states are used for activities to increase belt use at the state level. Currently six states and four U.S.

territories have usage rates at 75 percent or above; another nine states have usage rates between 70 and 75 percent. The penalty provisions of Section 153, which requires transfer of highway construction funds to highway safety efforts by states if belt and helmet law goals are not met, have provided an additional incentive for this goal. In 1994 five (5) additional states passed safety belt use laws. Currently only two (2) states do not have safety belt usage laws.

FY 1996 Performance Measure/Target

- National safety belt use for front seat occupants at 75 percent; increase of 5 percentage points from 1995 target. (1993 baseline: 66 percent; 1994 target: 68 percent; 1994 rate: 67 percent; 1995 target: 70 percent). [Note: This is also an agency Intermediate Outcome Goal]

Measurement Sources: Population-weighted, state observational use surveys.

Barriers to meeting targets: Legislative resistance to effective primary enforcement laws; limited police resources for enforcement; competing agendas for education, public information and media time.

Effect on Current Year from Past Activities - Between 1984 and 1993, the use of safety belts saved almost 56,000 lives and prevented 1.3 million injuries, resulting in a cost savings of $105 billion. (1994 data on lives and injuries saved is not yet available)

Effect on Future Years from Current Activities - If the 75 percent usage rate is reached, 1,700 more lives and thousands more injuries would be saved each year than were saved in 1992 when usage was at 62 percent. If all front seat occupants wore safety belts, approximately 14,000 lives would be saved every year.

Emergency Medical Services Program

Program Objectives/FY 1996 Program - The objective of the Emergency Medical Services (EMS) program is to reduce death, disability and resulting health costs from highway crashes, by enhancing EMS systems, particularly in rural areas. EMS is an integral component of highway safety, linking prevention systems and rehabilitation systems. NHTSA's program will focus on: EMS system development; injury prevention; EMS National Standard Curricula development; public information, education, and relations; communication systems; and research and evaluation. NHTSA's leadership will continue to ensure a collaborative effort among Federal agencies. EMS is one of eight NHTSA priority areas for use of Section 402 funds at the state level. (See Appendix III)

NHTSA will facilitate a national effort to develop a vision for EMS in the future. NHTSA will target rural EMS system improvements through demonstration and evaluation of improvements to rural EMS systems as a result of the three rural preventable mortality studies. NHTSA will provide technical assistance to states on prehospital data systems in order to develop the capability to link with other traffic records, discharge information, and cost data, to evaluate EMS system

effectiveness. NHTSA will facilitate an effort with other Federal agencies to conduct a morbidity outcome study to measure the effectiveness of out-of-hospital emergency medical care.

FY 1996 Performance Goals/Measures/Targets

Goal

- Reduce death, disability, and resulting health costs from highway crashes by enhancing EMS systems, particularly in rural areas.

Measures/Targets

- Increase the number of states that develop (or update) a state EMS plan (1993 baseline: 18 states)

- Increase the number of states that develop (obtain or add to existing) enabling legislation (1993 baseline: 21 states)

Measurement Source: Office of Enforcement and Emergency Services.

Barriers to meeting targets: Legislative impediments, lack of funds at State level.

Effect on Current Year from Past Activities - The skills of emergency responders have been upgraded by the adoption of the standardized training curricula developed by NHTSA. The statewide assessments have resulted in many legislative changes at the State level to upgrade emergency medical services systems.

Effect on Future Years from Current Activities - The revised standardized curricula developed in this fiscal year will upgrade the skills of people who response to vehicle crashes. Completion of statewide EMS technical assessments will provide states with a plan for improving the EMS system within the state.

Safety Performance Standards[4]

FY 1996 Budget Appendix p. 722: 69-0650-0-1-401

Vehicle Safety Standards for Crashworthiness

Program Objectives/FY 1996 Program - The objectives of the Vehicle Safety Standards Program are: to identify safety problem areas; to develop countermeasures; to collect and analyze information to support the development of and amendments to, Federal motor vehicle safety standards; and to respond to questions, assertions, and comments on vehicle safety from internal and external organizations. FY 1996 activities for crashworthiness include research and testing for areas of high priority such as: upgrades to the standard on fuel system integrity, glass-plastic glazing and safety of pre-schoolers on school buses.

The results of quick reaction contracts are used as bases for decisions in the rulemaking process. In FY 1996, regulatory decisions are expected to be made on upgrades to the standards on dynamic side-impact testing for light trucks and vans and door latch requirements for rear doors.

FY 1996 Performance Goals/Measures/Targets

Goals

- Complete final rule on dynamic side-impact testing for light trucks and vans.
- Complete final rule on the door latch requirement for rear doors.

Measures/Targets

- Reduce the average time taken to process rulemaking actions from 18.6 months, established in FY 1995, to 18 months in FY 1996. (Note: this measure is newly calculated on a fiscal year rather than a calendar year basis)
- Increase the percent of petitions granted or denied within 120 days to 70 percent (FY 1994 baseline: 57 percent, FY 1995 target: 65 percent).

Measurement Sources - NHTSA Office of Safety Performance Standards tracking system.

[4] The title of the Associate Administrator for Rulemaking has changed to the Associate Administrator for Safety Performance Standards to more accurately reflect NHTSA's goal-oriented description of its activities and to encourage participative engagement rather than involuntary compliance which the former functional title suggested.

Effect on Current Year of Past Activities - Federal Motor Vehicle Safety Standard 208, as amended on July 17, 1984, combined a nationwide effort to increase belt use through State belt laws, enforcement and education, and a requirement that automatic occupant protection, such as air bags or automatic belts. The effectiveness of automatic occupant protection is measured by statistical analysis of fatal crashes involving model year 1985-93 passenger cars, based on FARS data from 1986 through mid-1993. Fatality risk of occupants in cars equipped with air bags plus manual belts (at 1993 use rates) were 23 percent lower than in "baseline" cars with manual belts at 1983 use rates. In similar comparisons, the fatality reductions for the four types of automatic belts ranged from 11 to 19 percent. In the 1993 model-year mix of cars with air bags or automatic belts, at 1993 belt use rates, the average fatality risk was 20 percent lower than for manual-belt cars at 1993 use rates.

Effect on Future Years from Recent and Current Activities - A new amendment to FMVSS 208 was issued in July 1994 which called for improved comfort and convenience of safety belts to improve effectiveness of belts in reducing injuries and to increase belt use. This rule becomes effective in September 1997. Annual benefits from better fitting belts are estimated at 16 fatalities and 346 moderate to severe injuries. However, if the improved design of belts increases the number of people using belts, who do not now use them for that reason, the benefits could be significant. A one percent increase in safety belt usage would result in a savings of 173 fatalities and 2,839 moderate to severe injuries.

The rule on dynamic side impact protection for light trucks is expected to be completed in FY 1996. The Preliminary Economic Impact Assessment indicated a range of annual fatality and injury benefits depending on alternative barrier weights. Fatality savings were in the range of 5 to 122 per year and moderate to severe injury reductions were in the range of 20 to 486.

Safety Assurance[5]

FY 1996 Budget Appendix p. 722: 69-0650-0-1-401

Defects Investigations for Crashworthiness Safety

Program Objectives/FY 1996 Program - The Defects Investigation Program for reducing the consequences of crashes will analyze motor vehicle defects that relate to the crashworthiness characteristics of vehicles and equipment. Determinations on defects are made using information obtained from the public through the Auto Safety Hotline (See Customer Service) and from other sources, and through rigorous investigations of potential unreasonable safety risk. During CY 1994 there were 35 defect investigations underway involving crashworthiness related vehicle components and equipment.

FY 1996 Performance Goals/Measures/Targets

[5] The title of the Associate Administrator for Enforcement has changed to the Associate Administrator for Safety Assurance to more accurately reflect NHTSA's goal-oriented description of its activities and to encourage participative engagement rather than involuntary compliance which the former functional title suggested.

Goal

- Identify unsafe vehicles and items of motor vehicle equipment from our Nation's highways and take corrective actions in a timely manner.

Measures/Targets

- Average time to complete a safety defect investigation: 8 months (maintain at 1995 level).

Measurement Sources - NHTSA Office of Defects Investigation computerized defect investigation tracking system.

Barriers to achieving target: - Inability of contractors to meet test schedules or other contractual requirements and the lack of timeliness of manufacturers in responding to requests for information.

Effect on Current Year from Past Activities - Defects investigations contributed to the 511 safety defect recall campaigns since 1984 related to the crashworthiness characteristics of vehicles and equipment.

Effect on Future Years from Recent and Current Activities - The defects investigations currently underway will help to remedy any crashworthiness safety defects that are identified. These vehicles will be in the fleet for many years and remedy of any problems with crashworthiness systems or components will produce benefits into the next century.

Federal Motor Vehicle Safety Standards Compliance Testing of Crashworthiness Standards

Program Objectives/FY 1996 Program - The Office of Vehicle Safety Compliance conducts a yearly test program to determine whether certified motor vehicles and motor vehicle equipment items meet all requirements of applicable Federal Motor Vehicle Safety Standards related to crashworthiness. The FY 1996 Vehicle Safety Compliance Test Program will include tests for compliance verification on 30 of the 42 "testable" standards; 19 of these are for crashworthiness standards; these include FMVSS 208, "Occupant Crash Protection," FMVSS 213, "Child Restraint Systems," FMVSS 214, "Side Impact Protection," FMVSS 222, "School Bus Passenger Seating," and FMVSS 301, "Fuel System Integrity." The compliance test program will insure that the safety benefits associated with the levels of performance established in the agency's crashworthiness safety standards are being realized.

FY 1996 Performance Goals/Measures/Targets

Goal

- Verify compliance of new production vehicles with the requirements of Federal Motor Vehicle Safety Standards

- Timely completion of all testing within the model year of production.

Measures/Targets

- Complete all vehicle occupant crash protection and other crashworthiness testing by July 15, 1996.

- Complete all child restraint system compliance testing by August 15, 1996.

Measurement Sources - NHTSA Office of Vehicle Safety Compliance test reports and dates completed.

Barriers to Meeting Targets - Inability of contractors to meet time schedules or other contractual requirements.

Safety Recall Program for Crashworthiness

Program Objectives/FY 1996 - The Office of Defects Investigation conducts a safety recall program that addressed crashworthiness as well as crash avoidance issues. The safety recall program will ensure that unsafe vehicles and items of equipment that relate to the survivability and injury severity of vehicle occupants in the event of a crash. Generally 30 to 35 percent of the safety recalls conducted in a year are related to crashworthiness matters. The average completion rate for crashworthiness safety recalls is 64 percent.

FY 1996 Performance Goals/Measures/Targets - The agency's performance measures for the safety recall program are the completion rate, the number of recall consumer complaints received, and the thoroughness of the public notification and remedy campaign.

Goal

- The goal of the safety recall program is to achieve the most effective safety recalls by insuring timely implementation of the recall, thorough notification, and an effective remedy without charge to the customer. An effective Safety Recall Program saves lives, prevents injuries, and reduces motor vehicle-related health care and associated costs by removing unsafe vehicles and items of motor vehicle equipment from our Nation's highways providing a corrective action.

Measures/Targets

- A recall completion rate of ongoing recalls of 10 percent of the recall population during each quarter.

- Equipment manufacturers to meet or exceed a 51 percent completion rate of the affected equipment population, and vehicle manufacturers to meet or exceed, a 68 percent completion rate of the affected vehicle population. (These completion goals are based on average past recall performance.)

Measurement Sources - NHTSA Office of Defects Investigation computerized recall tracking system.

Barriers to achieving target

The barriers for the Safety Recall Program are the same for crashworthiness as for crash avoidance recalls.

Effect on Current Year from Past Activities - Since 1984 there were 511 safety defect recall campaigns related to the crashworthiness characteristics of vehicles and equipment. Many of these vehicles would still be on the road today and, if they had not been recalled, would represent a safety risk. Average recall completion rates have not only increased every year, but have increased demonstratively each calendar quarter. The current focus on early notification and corrective action means that more recalled vehicles and items of equipment are removed from the highways earlier. The early notification and remedy can mean the difference between either contacting an owner or losing contact with the owner as owner records age. The Safety Recall Program is not specific to the crashworthiness issues, but increases in the completion rates of all recalls has a beneficial effect on crash avoidance.

Effective on Future Years from Recent and Current Activities - Average recall completion rates have been steadily increasing over the past five years based on the increased effectiveness of existing safety recall monitoring, investigation, and corrective recall action programs now conducted by NHTSA. In calendar year 1994, 53 (26 percent) of the total 204 defect recall campaigns were related to crashworthiness characteristics of vehicles. Two of these recall campaigns, involving 91,430 vehicles, were conducted to remedy safety-related defects in safety belt systems.

Research and Development

FY 1996 Budget Appendix p. 722: 69-0650-0-1-401

Crashworthiness Research Program

Program Objectives/FY 1996 Program - The objective of crashworthiness research is to undertake these activities so as to ensure and promote transportation safety, and to advance U.S. transportation technology and expertise by investing in the national laboratories. Research in FY 1996 will identify and mitigate the safety problems associated with frontal crashes beyond the implementation a Federal Motor Vehicle Safety Standard (FMVSS) No. 208. The focus will be on the development and evaluation of countermeasures required to mitigate the safety problems associated with injuries to the body regions not covered by the standard, including the neck, abdomen, pelvis, and lower extremities; injuries associated with occupant age and size; occupant compartment intrusion; and vehicle aggressiveness. The work for FY 1996 is expected to initiate substantial crash testing of modified vehicle designs. In addition, FY 1996 work will include research on reducing occupant ejection injuries through improvements as necessary in glazing, latches, and hinges; improved restraint concepts for children and the elderly. Research will continue to provide the scientific bases for the development of occupant protection devices beyond the scope of those currently used in passenger cars. The FY 1996 efforts will include hardware development of the promising technologies.

FY 1996 Measures

- Complete all planned project tasks in 75 percent of the 65 research projects approved and ongoing in FY 1996.
- On time responses to short-term rulemaking needs: no target specified because needs are unanticipated; will report at end of FY.
- Meet customer needs for timely dissemination of research results as measured by end of year assessment of contractor reports and staff technical papers published and staff technical presentations.
- The degree to which these projects increase agency crashworthiness rulemaking actions.

Measurement Sources - NHTSA Office of Crashworthiness Research

Barriers to meeting targets - Changes in agency priorities; procurement delays; adjustments in program schedules to respond to unanticipated problems or research results.

Effect on Current Year from Past Activities - The Crashworthiness Research Program has

contributed to the development of the agency's major safety benefit rulemaking actions. These include side impact protection for passenger cars and light trucks, FMVSS 208 for occupant crash protection, and the new proposed rule for interior head impact protection in light vehicles.

Effect on Future Years from Current Activities - Dummy development and crash injury analyses will provide the underpinnings for improvements in crash injury protection. Work in FY 1996 on neck, abdominal, pelvic, and lower extremity injuries will result in reductions in threat to life and lifetime disability. The age-related research to be conducted in FY 1996 will be vital to respond to the injury issues associated with the aging of the population.

In the frontal crash protection research program, the agency has estimated that 7,500 - 8,500 fatalities and 120,000 moderate to critical injuries will continue to occur each year even after full implementation of air bags into all passenger cars and light trucks and vans. The effect of the current activities is to provide the groundwork for mitigating a large part of this safety problem. Also, occupant ejection accounts for almost 10,000 fatalities each year in vehicle crashes. The rollover research program is investigating improved door latches and advanced window glazing. Progress in these areas will significantly reduce these fatalities.

C. SERVE OUR CUSTOMERS

NHTSA is in the process of planning and conducting a number of customer surveys. One of the three waiver requests submitted for our pilot by the Secretary of Transportation was for waiver of OMB clearance for a limited number of identified surveys. (See Appendix II.) In FY 1996 the agency will continue the process of collecting customer feedback information and developing a customer service index that can be used to track performance in the future.

The FY 1996 GPRA Performance Report will report on the customer service for the following programs:

Auto Safety Hotline
FY 1996 Budget Appendix p. 722: 69-0650-0-1-401

Program Objectives/FY 1996 Program

The Auto Safety Hotline provides a toll-free, automated mechanism for consumers to request motor vehicle and highway safety information. It also provides a means for consumers to report safety-related problems with motor vehicles and items of motor vehicle equipment. These reports supply important data used by the agency in its Defects Investigation Program. Hotline operations funded in FY 1996 will improve agency responsiveness to the public for information. The Hotline will be developed as the single point of contact for agency information and the Hotline will have expanded its capacity to handle 1 million telephone calls annually during FY 1996. Future measures of performance will include the effectiveness of the Hotline in satisfying customer needs.

FY 1996 Performance Goals/Measures/Targets

Goal

- Listen to, and serve customers and efficiently provide timely, high quality service.

Measures/Targets

- Expand promotional activities to increase the number of calls annually.
  (CY 1994 baseline: 533,801, FY 1996 target: 1,000,000)

- Provide timely responses. If a caller is put on hold by one of our representatives for any reason, he or she will be assisted within two minutes. If the request cannot be satisfied within that two minutes, our representatives will inform the caller that we will call him or her back within 24-hours with a response.

- Monitor customer feedback. If a caller experiences any problems (such as hang ups, incorrect or inadequate information) or difficulties in placing requests for information, instructions will be provided for the caller to leave his or her name, telephone number, requested information and a message describing any problems experienced.

Measurement Sources: Auto Safety Hotline computerized telecommunication system.

Barriers to achieving target: If the number of calls frequently exceeds the capacity of the system, the number of unserved customers rises. This can be due to media coverage of motor vehicle and highway safety issues. A decrease in staffing levels, no prior notification of events which publicize the Hotline telephone number, and major hardware failures will adversely affect the Hotline's ability to respond to our customers' needs.

Effect on Current Year from Past Activities:
Through listening to our customers and responding to their needs, the Hotline has increased the number of customers served. The Hotline received over 240,000 calls in CY 1984, more than 312,000 calls in CY 1989, and 534,000 calls in CY 1994, more than doubling the number of customers over a ten year period. During FY 1994 and FY 1995 the Hotline performance measure was to reduce the number of caller hang-ups. In FY 1995, the rate decreased by 47 percent for callers wishing to speak to a representative. The FY 1995 baseline of 7.1 percent is considered to be an ultimate goal and practically impossible to reduce.

Effect on Future Years from Current Activities:
During FY 1996, the Hotline's major focus will involve serving our customers. For FY 1996 program performance, the Hotline has introduced new measures and targets which reflect customer service standards. These measures will directly affect customers' experiences with the agency. Repeat customers and new customers generated through an aggressive promotional campaign will constitute the make-up of the 1 million callers the Hotline anticipates responding to by the end of FY 1996. These callers will be able to receive additional services as most agency information will be obtained from a single point of contact, the Hotline.

National Center for Statistics and Analysis
FY 1996 Budget Appendix p. 722: 69-0650-0-1-401

Program Objectives/FY 1996 Program - The National Center for Statistics and Analysis collects and analyzes crash data bases to support highway safety problem identification, program support for rulemaking, enforcement, research and behavioral modification programs, and program evaluation. These data also are the primary source of information on highway safety for other modes, especially the Federal Highway Administration, the auto and insurance industries, State and local governments, and consumers. The program involves a combination of internal staff and contractor resources, with the staff playing an active role in identifying data needs, developing coding and collection schemes, directing and participating in the creation of electronic data files, and responding to requests from internal and external customers.

FY 1996 Performance Goals/Measures/Targets

Goals

• Meet schedule for data systems:

1995 FARS data base created by July 1996.
1995 NASS GES data base created by August 1996.
1995 NASS CDS data base created by September 1996.

Measures

- Timely response to data requests from internal and external customers as measured by end of year report. (CY 1994 Performance: 221 statistical analyses: primarily for internal clients but many were incorporated into or published in rulemaking support papers, technical papers, and policy papers for consumption by external customers. An estimated 4,425 information retrievals: 3,900 for external customers, 525 for internal customers. Additional 1,400 external and 2,100 internal requests.)

Measurement Sources: NCSA tracking system.

Barriers to achieving targets: Limitation of staff resources; unforeseen analytical needs resulting from major initiatives.

New Car Assessment Program
FY 1996 Budget Appendix p. 722: 69-0650-0-1-401

Program Objectives/FY 1996 Program

The New Car Assessment Program was established in response to a requirement in the Motor Vehicle Information and Cost Savings Act of 1972 to provide consumers with a measure of the relative crashworthiness of passenger vehicles. The goals of NCAP are: (1) to provide consumers (our customers) with relative crashworthiness information on passenger vehicles to assist them in purchasing decisions and (2) to motivate vehicle manufacturers to provide higher levels of occupant protection by using market forces.

NCAP performance is measured by the successful and timely completion of the vehicle tests and the number of actions taken to reach consumers. The FY 1996 funding would allow for the completion of 43 frontal tests and 27 side impact tests. This level of testing would provide consumers with comparative frontal crashworthiness information on approximately 82 percent of the new passenger vehicles and would provide consumers with the first comparative side impact crashworthiness information on approximately 50 percent of the new passenger cars. About 50 percent of the severe injuries and fatalities occur in frontal crashes. About 25 percent occur in side impacts. The additional

funding for side impact testing would provide consumers with information on 75 percent of severe injury-causing crashes, up from 50 percent for frontal crashes only. The promotional funds would increase the number of brochures, news releases, and other promotional activities by 40 percent over the previous fiscal year in order to reach our customers with crashworthiness information.

FY 1996 Performance Goals/Measures/Targets

Goals

- To provide consumers (our customers) with relative crashworthiness information on passenger vehicles to assist them in purchasing decisions.

- To motivate vehicle manufacturers to provide higher levels of occupant protection by using market forces.

Output Measures/Targets

- Complete frontal impact tests on 43 new vehicles; (FY 1994 baseline: 38 vehicles tested).

- Complete side impact tests on 27 new vehicles.

- Complete model year 1996 tests by May 31, 1996.

Measurement Source: NHTSA Office of Market Incentives tracking system and number of Auto Safety Hotline inquiries and news articles.

Barriers to achieving targets: Time for Office of Contracts and Procurement to process procurement actions for promotional activities; weather conditions and scheduling conflicts at the test laboratories.

APPENDIX II. Managerial Accountability and Flexibility Waivers

The NHTSA GPRA pilot submitted an application for three waivers under Section 6, part 9704. Pilot projects for managerial accountability and flexibility of the Government Performance and Results Act of 1993. Each were related to the agency's performance measures.

Following a process of several months, OMB issued formal guidelines on October 20, 1994 with submission of the waiver requests in 30 days. The waiver requests were submitted by the Secretary of Transportation early in December. Following repeated initiatives to obtain a determination on our request, it became clear that if OMB ever intended to play a role in these waivers, they lacked the resources to do so. No formal notification was ever received from OMB on our waiver requests. However, in the final analysis, we learned informally that none of our requests were granted. The following is a description of these requests and their determinations.

Waiver from the Survey Clearance Requirements under the Paperwork Reduction Act:

In the NHTSA FY 1995 Performance Plan we identified eight customer surveys that we will use, along with input from other activities such as focus groups and periodic stakeholder meetings, for the measurement of a customer service baseline and development of a customer service index. Six of these surveys will require OMB clearance. The surveys and identification of program area are: (1) the general public to assess highway and vehicle safety needs (Traffic Safety Programs, Office of Program Development and Evaluation); (2) the print and broadcast media (Office of Public and Consumer Affairs); (3) national organizations who are our partners in highway safety (Traffic Safety Programs); (4) users of our Technical Reference Service (Office of Administrative Operations); (5) users of our Safety Information Resource Center which provides materials to the public (Office of Occupant Protection); and (6) State Highway Safety Offices (Regional Office Staff).

While expedited review is in place in conjunction with the Customer Service Executive Order, the requirement of clearance adds approximately two months to the process of being able to execute our surveys. The delay in any communication from OMB added further time to the process. Without this waiver, four of the six surveys will not be completed in time to develop a customer service baseline in FY 1995 and a fifth, a continuous mail-back survey for our Traffic Safety Information Resource Center, will produce only limited data by the end of the fiscal year.

If the waiver had been granted, enough time would have been saved so that we would have been able to complete our customer service baseline development by the end of FY 1995 and develop the customer service index by the end of FY 1996. We believe that development of the customer service index by the end of the pilot phase of GPRA would have been useful and applicable throughout the government for agencies that provide similar types of customer service to the public. This in turn could have been part of the measurable benefits of the GPRA pilot phase with respect to the OMB reporting requirements to Congress.
We cited the National Performance Review recommendation ICS05 "Streamline Ways to Collect Customer Satisfaction and Other Information from the Public" and recommendation SMC08 "Expand

the Use of Waivers to Encourage Innovation."

Performance Plan cited in waiver request:

Results of surveys by September 30, 1995
Development of customer service index by September 30, 1996.

Informal OMB response on this waiver request: OMB has never granted a waiver from th e survey clearance requirement.

Small Business Administration Processing of 8(a) Contracts

We requested a waiver for FY 1995 and 1996 from the Small Business Administration processing requirements identified in 15 U.S.C. 637(a). NHTSA already has felt the effects of downsizing in its procurement staff. In October 1993, the Office of Contracts and Procurement had 20.8 FTE's in the procurement classification series. As of October 1, 1994, OCP had 16.8 FTE's in the procurement classification series. In FY 1994, 14.8 procurement professionals awarded 1671 procurement actions, including small purchases, which obligated nearly $91 million.

There are two ways to accommodate staffing cuts. One alternative is to reduce the volume of actions. Plans for FY 1995 include reducing the number of procurement actions processed by the Office of Contracts and Procurement (OCP) by improving and coordinating acquisition planning and by expanding the use of credit cards. However, in order to achieve the performance identified in the NHTSA FY 1995 GPRA Performance Plan for our vehicle and highway safety programs greater efficiencies must be found. In the realm of highway safety, OCP provides support for studies and materials that provide assistance to states and localities for their programs and for legislative initiatives. In the realm of vehicle safety, OCP support enables vehicle testing and research on enhanced safety features, biomechanics, data collection, and analysis.

The second alternative is to streamline the procurement process. NHTSA has been working with the Office of the Secretary of Transportation to develop proposals to streamline the procurement process and to maintain performance despite cuts in headquarters personnel. One such proposal is to develop on-line access to a data base maintained by SBA on 8(a) eligible firms. Authority to negotiate could be requested and approved electronically; paper exchanges would be eliminated. SBA would authorize the agency to negotiate and contract directly with the 8(a) firm. A copy of the contract and subsequent modifications would be furnished to SBA so that business volumes and size status could be tracked.

While the full proposal (i.e. electronic capability) will need time to develop, we could immediately begin direct contract negotiations with 8(a) firms if an SBA waiver was granted. In FY 1993 NHTSA had 226 8(a) transactions. Two hours of a contract specialist's time could be saved. At $27.54 per hour, the 452 hours amount to $12,447. In addition, the increased speed of awarding the contracts would enable the Office of Research and Development and the Office of Safety Performance Standards to meet their performance goals (see highlighted in attached FY 1995 Performance Plan).

Informal OMB response on this waiver request: This is a statutory requirement; the SBA Administrator does not have the authority to waive the requirement.

[Note: SBA as a whole is a GPRA pilot; through their pilot we are hoping to work on some issues that would give us some process relief].

Government Printing Office Printing Requirements

Waiver from GPO printing requirements (Public Law 103-283, 108 Stat. 1423, 1440, Section 207) for **Campaign Safe and Sober** materials for FY 1995 and 1996 was requested. **Campaign Safe and Sober** is a major thrust toward our goals of increasing safety belt use to 75% nationwide and annual reductions in the number of alcohol related fatalities toward reduction of 35 percent by the year 2005. Achievement of these goals will hinge on the ability of the states and localities to promote the message and to enforce the laws, and our ability to provide them with information and technical assistance. NHTSA provides Quarterly Planners that communicate to state and local jurisdictions the successful strategies used by others. It is necessary to translate the end of year reports from the States and communities into the new materials in a very short period of time. In sustaining the programmatic impact of **Campaign Safe and Sober** the Quarterly Planners need to reach the practitioners well in advance of planned events, so that the states and participating organizations have time to incorporate the emphasis areas into enforcement and public information and education efforts.

The lead time needed by GPO to produce the materials creates a major impediment to NHTSA in meeting the performance goals for **Campaign Safe and Sober**. In addition, there would be a cost savings of 10 percent of the total print order cost if we could go direct to the printer for this campaign.

The GPO Administrator has the authority to waive the requirement. In our request, we cited the NPR initiative "Putting Customers First: Making Service Organizations Compete" (From Red Tape to Results; Creating a Government That Works Better and Costs Less, pp. 55-56).

Informal OMB response on this waiver request: There was an agreement between OMB and the Joint Committee on Printing of the U.S. Congress and OMB to deal with legislative changes in FY 1996 to address the problems cited in the National Performance Review with respect to the inefficiencies and cost implications of the requirement to use GPO for printing. As a result, OMB was reluctant to pursue any special exception at this time.

APPENDIX III. Data and Evaluation for Performance Measurement

NHTSA has several primary data reporting systems for measuring outcomes. The data on outcome measures in this report are based on 1994 preliminary estimates. We will submit a short addendum report on our outcome measures in the summer of 1995, when the data files are final. In addition, a major agency evaluation effort will be completed in FY 1996: a retrospective assessment of the performance of Section 402 highway grant expenditures over a 10 year period.

Fatalities, Fatal Crashes: The Fatal Accident Reporting System (FARS)

FARS, which became operational in 1975, contains data on a census of fatal traffic crashes within the 50 States, the District of Columbia, and Puerto Rico. To be included in FARS, a crash must involve a motor vehicle traveling on a trafficway customarily open to the public, and must result in the death of an occupant of a vehicle or a non-motorist within 30 days of the crash.

FARS data are obtained solely from the State's existing documents:

- Police Accident Reports
- State Vehicle Registration Files
- State Driver Licensing Files
- State Highway Department Data
- Vital Statistics
- Death Certificates
- Coroner/Medical Examiner Reports
- Hospital Medical Reports
- Emergency Medical Service Reports

From these documents, the analysts code more than 100 FARS data elements. The specific data elements may be modified slightly each year to conform to changing user needs, vehicle characteristics, and highway safety emphasis areas. The data collected within FARS do not include any personal identifying information, such as names, addresses, or social security numbers. Thus, any data kept in FARS files and made available to the public fully conform to the Privacy Act.

Police Reported Non-Fatal Injuries, Total Crashes: The General Estimates System (GES)

GES data are obtained from a nationally representative probability sample selected from all police-reported crashes. The system began operation in 1988. To be eligible for the GES sample, a police accident report (PAR) must be completed for the crash, and the crash must involve at least one motor vehicle traveling on a trafficway and result in property damage, injury, or death. Although various sources suggest that about half the motor vehicle crashes in the country are not reported to police, the majority of these unreported crashes involve only minor property damage and no significant personal injury. By restricting attention to police-reported crashes, the GES concentrates on those crashes of greatest concern to the highway safety community and the general public.

GES data collectors make weekly visits to approximately 400 police jurisdictions in 60 sites across the United States, where they randomly sample about 45,000 PARs per year. The collectors obtain copies of the PARs and send them to a central contractor for coding. No other data are collected

beyond the selected PARs--no driver license, vehicle registration, or medical information is obtained.

GES is an accurate count of police reported crashes and injuries, given the limitations of the source. There is no question that significant numbers of crashes and injuries are missed because they are not reported to the police. A 1990 NHTSA study of the costs of motor vehicle injuries estimated the total count of non-fatal injuries at over 5 million compared to the GES estimate for that year of 3.2 million. The National Center for Statistics and Analysis plans to conduct a study in FY 1995 to assess the unreported injury problem.

Crashworthiness Data System

Crashworthiness Data System (CDS) collects detailed information on approximately 7,000 crashes involving light passenger vehicles. CDS data support research into the crash safety of light passenger vehicles and the biomechanics of trauma; the development of test equipment, procedures, and criteria; and the development and support of motor vehicle safety standards for occupant protection, and consumer information programs.

The primary impetus behind the CDS was a need for more detailed information on how a vehicle responds in a crash, and how the interior components of the vehicle injure or protect occupants. Crashworthiness engineers and biomechanics experts need to be able to analyze the nature and severity of occupant crash injuries and relate them to:

- The characteristics of the collision including where and at what angle the vehicle is struck, the force of the impact, and the other vehicles or objects involved;
- The structure and weight of the vehicle; and
- The characteristics of the vehicle interior and its safety protection devices (including safety belts, head restraints, padding, steering systems, and safety glazing).

Safety Belt Usage

The reported safety belt use rates for front seat positions of passenger cars is based on state surveys. To calculate the national safety belt use rate from individual state use rates, each state's rate is weighted by its share of total U.S. population. Twenty-eight states conduct surveys in which the observation sights are probability-based; NHTSA has approved these as meeting established standards of accuracy. These states comprise 72 percent of the U.S. population. The remaining states conduct surveys at convenient sites which are not randomly selected; one state uses crash reports rather than roadside observations. Some states do not conduct surveys every year; thirty four states conducted surveys in 1994.

In addition, in FY 1994, a National Occupant Protection Use Survey (NOPUS) was conducted. This observational survey used a probability-based sample, using the same methodology nationwide, and thus, provided estimates of known accuracy. The NOPUS was able to estimate usage by Census region, but not by state. It covered passenger cars, light trucks, and vans, in front and back seats.

The NOPUS and the state survey estimates are not directly comparable, however, a rough comparison of front seat outboard (driver and passenger) rates indicated 67 percent for the state surveys and 62.8 percent for the NOPUS. In this comparison, the state based estimate falls within the 95% confidence interval of the NOPUS estimates. Plans for repeating the NOPUS survey will be made based on an assessment of need and resources available to perform this level of analysis. Annual estimates of belt use progress will continue to be made with state-based surveys.

NHTSA Office Tracking Systems

Several of the program performance measures rely on internal office tracking systems. These include: the National Driver Register Program records system (in operation since 1960); the Office of Vehicle Safety Standards tracking system in operation for over 10 years; the Office of Market Incentives tracking system in operation since 1982; the Office of Defects Investigation computerized defect investigation tracking system in operation since 1977; and the Auto Safety Hotline computerized tracking system in operation since 1981.

The Section 402 Highway Safety Grants Assessment

Section 402 grants to states represent a significant share of the total NHTSA budget. These funds are allocated on a formula basis and are intended for use by the states for highway safety priority areas. While NHTSA and Federal Highway Administration have approval authority over prospective annual Highway Safety Plans and Evaluation Reports are submitted at the end of each year by the states, comprehensive information has been lacking on how these funds have been spent and their effect on safety outcomes. As a result, a ten-year retrospective study was initiated in 1992 using a 10 state sample. The study involves field visits, interviews, and data collection. The eight NHTSA priority areas cover both crash avoidance and crashworthiness issues. The priority areas are alcohol, police traffic services, traffic records, speed control, occupant protection, motorcycles, pedestrian/bicycles, and emergency medical services. The assessment will be completed in FY 1996.

402 Program Output Performance Measures

- Data on the effects of funds spent in the 10 states will be reported on the basis of output (e.g. number of citations issued) and outcome (e.g. number of alcohol related crashes) measures (where data are available and estimates can be made).

Measurement Source: NHTSA Evaluation Office staff.