

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

Survey Questions for Federal Departments and Agencies U. S. Department of Transportation (DOT)

Introduction. DOT is the Federal steward of the Nation's transportation system and speaks for transportation in the Federal government. Created in 1967, DOT brought under one umbrella a myriad of transportation missions and programs, some of which have been in existence since the 1700s. The Department employs about 100,000 civilian and military people deployed across the country and the world. It includes the Office of Secretary of Transportation (OST) as well as the following modal administrations:

- Bureau of Transportation Statistics (BTS)
- National Highway Traffic Safety Administration (NHTSA)
- Federal Aviation Administration (FAA)
- Research/Special Programs Administration (RSPA)
- Federal Highway Administration (FHWA)
- Maritime Administration (MARAD)
- St. Lawrence Seaway Development Corporation
- Federal Railroad Administration (FRA)
- Transportation Administrative Service Center (TASC)
- Federal Transit Administration (FTA)
- United States Coast Guard (USCG)
- Federal Motor Carrier Safety Administration (FMCSA)

These organizations operate under a Departmental mission and a commitment to achieve the key goals of: improved safety, better mobility, growth in the economy and in trade, protection of our communities and the environment, and strong national security. Secretary Rodney E. Slater has stretched our minds to ensure that we all believe transportation to be more than concrete, asphalt and steel. He reminds us that transportation is about providing opportunity for people, giving them mobility and choices. To this end, DOT's activities include a broad spectrum of relationships with the nonprofit sector. The following information summarizes those relationships.

- A. Define your relationship to non-profits – in what ways does your agency interact with non-profit organizations?**

Through the **Office of the Secretary (OST)** and the modal administrations, DOT maintains a partnership agreement with the Alpha Kappa Alpha Sorority (AKA), Incorporated. This agreement promotes equal opportunity in transportation-related careers, to improve job access, to provide job and transportation-related educational opportunities for those in economically disadvantaged communities, and to advance transportation safety awareness programs.

DOT is a partner with the **National Center for Missing and Exploited Children**. This partnership identifies and implements initiatives to maximize the transportation sector's involvement in the effort to relocate mission children. Transportation facilities are generally public places and present the same dangers that any public place has for unaccompanied children. Transportation providers can help parents to be more aware and should be ever diligent and make certain that they take precautions to ensure their child's safety while traveling.

Through **RSPA**, DOT collaborates with a number of non-profit organizations, including Council on Competitiveness, Civil Engineering Research Foundation, Council of University Transportation Centers, International Association of Fire Fighters (IAFF) and Congressional Research Service. The non-profits have provided a wide array of services to this office, such as providing technical and administrative support and serving as a conduit in identifying innovative solutions to national transportation problems.

FAA has on-going partnership, information sharing, collaborative, lead and dependency relationships with non-profit organizations to include foundations, trade associations, labor unions, universities, non-profit research organizations (some of which are specifically chartered to serve the FAA), professional organizations, and other federal or state governmental agencies.

✓ As part of the commitment to saving lives, **FRA** (along with FHWA, FTA, NHTSA) interacts with the *Association of American Railroads, Operation Lifesaver, Incorporated (OLI)*, to incorporate the "A Highways or Dieways" and "Always Expect A Train" public education campaigns as significant components of DOT "A Moving Kids Safely@" and "A Safe Communities@" programs. The campaign focuses on raising awareness about the deadly consequences of trying to beat a train to a crossing and trespassing on railroad property. The campaigns have reached citizens in all 50 states via more than 270 television and cable markets, 673 radio markets and 200 publications. The "Always Expect A Train" campaign continues to air in Spanish and English every day throughout the nation.

FRA also maintains relationships with the International Association of Chiefs of Police, and the American Trucking Associations.

FHWA maintains relationships that are primarily through directed or discretionary grants or cooperative agreements. The general purposes of these agreements are often linked to supporting

a specific program objective.

FMCSA's interaction with non-profit organizations involves organizational liaison and execution of contract support relative to commercial carrier safety matters. Its Motor Carrier Safety Assistance Program (MCSAP) requires a close working relationship with many organizations within law enforcement, industry and other groups from the public and private sectors. FMCSA, provides leadership and direction for MCSAP and other related programs involving the Agency's State partners through the Commercial Vehicle Safety Alliance (CVSA). CVSA is a non-profit organization bringing Federal, State and provincial government agencies together with representatives from private industry in the United States, Canada and Mexico who are dedicated to improving commercial motor vehicle safety. We consult and work with CVSA on issues concerning commercial motor vehicle safety and the administration of MCSAP.

TASC participates in a number of volunteer-based activities in which the Department is involved, such as the Garrett Morgan Program mentoring /tutoring activities associated with Groundhog Job Shadow Day and the D.C. Reads This Summer Program. Over the last two years, approximately 75 TASC employees volunteered for these activities. TASC is also represented on the DOT Volunteer Committee, and in that capacity coordinates efforts for the following programs:

- Hands On D.C. -- A clean-up/fix-up program for the Department's adopted schools, Hine Junior High and Trans Tech.
- Tutoring and mentoring programs for the Department's adopted schools.
- Annual March of Dimes Walk.
- "Christmas in April" Program which identifies houses in the community that need repairs and recruits volunteers to do the work for needy members of the community.

Millennium Trails is a public-private partnership led by the White House Millennium Council, US Department of Transportation, Rails-to-Trails Conservancy and other organizations and agencies.

The **US Coast Guard (USCG)** maintains relationships with a variety of non-profits to help the Coast Guard realize the Vision Statement as *valued maritime professionals leading the world to meet the marine transportation challenges of the 21st century*. Non-profits are engaged in two primary areas:

- *Through the Commandant's Direction: Teamwork - Partnering for a Stronger America*, USCG aims to engage the human element in the elimination of accidents and incidents using the Prevention Through People (PTP) initiative. Currently eight PTP partnerships are active and one is being planned.
 - ◆ American Waterways Operators

Department of Transportation

Survey - WH Interagency Task Force for Philanthropy

- ◆ Passenger Vessel Association
- ◆ Chamber of Shipping of America
- ◆ International Council of Cruise Lines
- ◆ Spill Control Association of America & Association of Petroleum Industry Cooperative Managers
- ◆ INTERTANKO
- ◆ Baltic and International Maritime Council
- ◆ American Pilots Association
- ◆ Vessel Traffic Services/Vessel Traffic Information Services (Pending)

USCG uses formal and informal relationships with several non-profits to develop, correlate, and maintain National and International Standards applicable to the marine transportation industry. These relationships include:

- ◆ The American Bureau of Shipping
- ◆ The Society of Naval Architects and Marine Engineers
- ◆ The American Society of Mechanical Engineers
- ◆ The American Society on Testing and Materials
- ◆ The American Society of Naval Engineers

Relationships with not for profit organizations include:

- ◆ Underwriters Laboratories
- ◆ Factory Mutual Laboratories

✓ Another CG partnership exists between the program manager for the Coast Guard Auxiliary and its associated non-profit corporation, Coast Guard Auxiliary National Board, Inc., (NBI). NBI is incorporated as a non-profit organization as authorized by 14 USC 821(c). NBI conducts revenue-generating activities that allow it to support the missions of the Coast Guard in accordance with 14 USC 822.

Technical Assistance/Training

A. What types of technical assistance/training do you provide non-profit organizations (e.g., management support)?

Millennium Trails maintains a website for designated trails, and in March 2000, will be hosting a National Millennium Trails Forum in Annapolis, Maryland.

Through the project with the **AKA Sorority**, DOT provides exhibits, provides speakers and presenters, and co-sponsor regional and national conferences for the purposes of promoting greater understanding of the Garrett A. Morgan Technology and Transportation Futures Program and the Buckle-Up America Campaign; provides Sorority chapters with marketing opportunities, financial and technical assistance information, and other materials that will be helpful to minority-owned and women-owned businesses. DOT Works with the Sorority to accomplish the goals of the partnership and to seek opportunities to cooperate in other areas of mutual interest.

RSPA's Office of Hazardous Materials Safety provides technical assistance and training on compliance with the Hazardous Materials Regulations as well as emergency response.

FAA supports aviation safety seminars through state sponsored programs around the country. A prominent example is the annual Experimental Aircraft Association's (EAA) fly-in and exposition at Oshkosh, WI, where thousands of aviation visitors have the opportunity to attend over fifty safety seminars.

FRA provides compliance assistance to tourist/historic/museum railroads. It provides technical outreach/compliance assistance to communities, and councils-of-government on equivalent safety systems, which will permit local communities to ban train horns to help achieve quiet communities and improve resident's quality of life. Through periodic meetings of Technical Resolution Committees, at which non-profit organizations are invited, FRA resolves inconsistent application of safety enforcement across a diverse nation.

FRA is an active participant in ONE DOT efforts, partnering with NHTSA, FHWA and FTA, and non-profit organizations in promoting crossing safety and trespass prevention efforts through Safe Community, Buckle-Up America, Moving Kids Safely, Garret A. Morgan and other DOT forums, outreach programs, and opportunities.

FRA has participated in outreaches to school bus drivers, both OLI's and NHTSA's, as well as issuing a School Bus Driver Alert message which was widely circulated in the trade press and

directly to drivers and driver trainers. Similarly, FRA is working with the American Trucking Associations to develop and issue a Truck Driver Alert. These activities heighten awareness to the dangers at highway-rail grade crossings.

In response to FMCSA's emphasis on the reduction of commercial motor vehicle related fatalities, roadside inspection activities is one of the primary functions and a core program element of the MCSAP. CVSA has developed education and training materials used to promote systematic inspection procedures and guidance. The inspectors follow inspection procedures established by CVSA, thereby insuring uniformity and reciprocity. In addition to roadside inspections, the state inspectors perform compliance reviews, traffic enforcement and other similar activities to measure and assess national and State trends in safety performance.

FMCSA's technology branch identifies requirements for technology related programs and provides guidance to non-profit organizations to influence, educate or otherwise work with commercial carriers to improve safety.

✓ The Program Manager for the **Coast Guard Auxiliary** provides senior-level management guidance to the officers and board of NBI.

B. Who provides the assistance? Provide some examples of technical assistance providers who your agency views as models for successful TA design and delivery. What are some of the characteristics that make these providers successful? What are the limits of these providers?

Millennium Trails' project team members provide technical assistance, including public, private and non-profit partner. The success of this model is the ability for projects to learn from each other, as well as to provide information on programs and project across organizational boundaries.

The **DOT/AKA** partnership include employees of the department:

For the *Garrett A. Morgan Technology and Transportation Futures Program* -- Lorraine Day of the FHWA, liaison to the DOT RSPA which is responsible for the Program.

For the *Buckle-Up America Campaign*: Shirley Barton of NHTSA (also a member of the Sorority)

Serving as a DOT principal contact, participant, and speaker and planning DOT involvement in national, regional and local conferences: Phyllis E. Young of FMCSA (also a member of the Sorority)

✓ For the **Coast Guard's Office of Auxiliary Response**, the assistance is provided by the Chief Director of Auxiliary (G-OCX). Assistance consists of program management advice to help keep NBI's goals and operations consistent with laws and Coast Guard policies and program

goals.

RSPA's Office of Hazardous Materials Safety provides assistance through speeches, presentations and participation on committees and work groups. Educational materials, video presentations and technical handouts are made available at no cost to non-profit organizations. These materials are designed to improve hazardous materials transportation safety through regulatory compliance, employee training, emergency responder guidance and training, and technical advice to assist compliance efforts.

FRA is an active participant in OLI activities at national, state and local levels. FRA field and headquarters staff have assisted at all levels, from making presentations to schools and community groups, to encouraging, planning and conducting regional campaigns and blitzes, to assisting with the setting of national priorities and funding of OLI activities.

FRA promotes the involvement of law enforcement officials and agencies in crossing safety and trespass prevention programs. FRA participates in and displays at national meetings of the International Association of Chiefs of Police and the National Sheriffs' Association. An active duty police officer is detailed to FRA's Office of Safety Analysis to assist with this outreach and liaison effort. FRA staff, and the on-staff police officer, have been instrumental in refining and promoting a Grade Crossing Collision Investigation course to officers throughout the nation. In addition to stressing the unique aspects of a collision investigation involving a train, this course stresses the officer's personal safety in and around trains and when transiting crossings and in dealing with hazardous materials. More importantly, it also stresses the need for active law enforcement efforts regarding highway traffic at crossings and trespass prevention.

C. What types of technical assistance or training are not currently being provided but should be? N/A

FRA has many more requests for community assistance in highway-rail grade crossing and quiet community issues than it has human resources to provide help. Every missed opportunity is a lost opportunity to save lives, prevent injuries and reduce property damage.

Millennium Trails project currently is in need of developing large scale private sector fund-raising. The trails movement has gained significantly from Millennium Trails, and a major next step is in connecting trail networks with philanthropic giving.

✓ **Coast Guard Auxiliary** provides non-profit organizational development and management training or consulting

D. If applicable, list other ways your agency improves the efficacy of the non-profit organizations it works with.

Millennium Trails has created a new level of visibility, credibility and confidence in the trails community through national recognition and the direct involvement of national leadership.

RSPA's Office of Innovation, Research and Education has broadened the scope of many of the non-profits' agendas by incorporating transportation into them. This enhances the expertise and efficacy of the non-profits.

Through partnerships, **FRA** helps leverage funds and raises awareness of joint community projects and concerns.

Relationship with Non-profits

A. What types of services do non-profits that you partner with provide (health, human services)?

Alpha Kappa Alpha Sorority, Incorporated:

- Develops and implements strategies for participation in the Garrett A. Morgan Technology and Transportation Futures program at the local level through its IVY AKAdemy
- Chapters participate in the Buckle-Up America campaign during the month of November annually as outline in the Department's campaign kits.
- Participate in the Garrett A. Morgan Roundtable and in the Department's efforts to save lives through seatbelt awareness programs. This will include the dissemination of the Department's seat belt use policy and youth publications about safety precautions and programs, support child passenger safety training among its members, and working with various Departmental entities to promote transportation safety education.
- Support the Department's Job Access and Reverse Commute programs. Members will be encouraged to actively participate in initiatives to improve job access and job opportunities in economically disadvantaged communities.
- Commit to working with the Department for the accomplishment of the goals of this partnership and to seek opportunities to cooperate in other areas of mutual interest.

The International Association for Fire Fighters (IAFF) provides hazardous materials instructor training to local fire departments.

RSPA's Office of Innovation, Research and Education receives support from non-profits in the area of research and education and conducting workshops, seminars, and policy forums to define transportation strategies and research agendas.

The non-profit organizations, with which **FRA** partners, provide safety, health, research and

technical engineering services.

Services provided by non-profits are predominately technical in support of **commercial vehicle safety** information, related technologies and program requirements.

Millennium Trails' non-profit partners have the lead for fund-raising, program technical support, website development and communication.

The **Coast Guard Auxiliary** partners with safety education, accident prevention, voluntary compliance, and emergency response for the recreational boating community.

B. Are there any model relationships that are particularly effective in achieving the critical goals of your department/agency?

Through **Millennium Trails**, a "green ribbon" panel of national leaders meet each month to provide input to the program. Public-private working group reports to our lead non-profit partner and creates a good working model for advancing similar programs.

The primary points of contact for the AKA partnership are the international president of the organization and the international program chair. With nearly 900 chapters internationally, their communication with the Department is well coordinated for either of the three principal areas of cooperation.

The relationship between the **Coast Guard** and NBI enables the CG Auxiliary to contribute over two million hours of volunteer support to the CG each year.

RSPA's Office of Hazardous Materials Safety conducted a negotiated rule-making, working with industry, industry non-profits and other related parties in improving compliance with emergency discharge control requirements for cargo tank motor vehicles used to transport liquefied compressed gases. The final rule under HM-225A, "Hazardous Materials: Revision to Regulations Governing Transportation and Unloading of Liquefied Compressed Gases," was published in the Federal Register on May 24, 1999.

FAA. The most prominent example of relationships with non-profit is the Mitre Center for Advanced Aviation System Development (CAAS). CAAS supports FAA's advanced research, technology integration, and evaluation for the development of the future air traffic control environment. Mitre has been involved in supporting FAA missions for over 35 years. CAASD carries out essential engineering and operational analysis, system development, and system specification activities for the FAA. Some of the principal focus areas are life cycle system engineering, traffic flow management, decision support tools, global communication, navigation,

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

and surveillance services, airport capacity improvement, and modeling, simulation and development for validating emerging operational concepts for Free Flight, the Global Positioning System, Wide Area Augmentation System, etc.

FAA also works closely with the Radio Technical Committee of America (RTCA) to develop industry consensus on the National Airspace System (NAS) architecture. RTCA has been focusing on NAS modernization plan since its original conception.

FAA has a cooperative agreement with the National Association of State Aviation Officials to promote aviation safety training among states that choose to participate, (which includes about half the states in the country). Sample activities include safety fly-in's, development of safety videos, and sponsoring and participation in safety seminars.

The participation of non-profit organizations in **FRA's** Railroad Safety Advisory Committee (RSAC), Safety Assurance and Compliance Program (SACP) safety audits, and other partnership-based activities play a critically important role in achieving the agency's goals. One of the most important FRA safety partnerships is with law enforcement. Partnering with the International Association of Chiefs of Police, FRA created a ticket jacket for use by local officers when ticketing trespass offenders. The ticket holder has valuable life saving information that raises awareness about the dangers of trespassing. More than 2,000 ticket jackets, updated annually, are distributed to local police throughout the nation and during separate conventions sponsored by the Fraternal Order of Police and the National Sheriffs' Association.

In the aftermath of the tragic collision between a school bus and a commuter train at a crossing in Fox River Grove, Illinois in October 1995, DOT partnered with OLI to develop a school bus driver training program, *The Responsibility is Ours*, to raise awareness about crossing safety. The program was distributed during 1997 to all state departments of education and transportation.

One of the most successful on-going programs for FRA is the *Highway-Rail Crossing and Consolidation Program*. FRA and FHWA work with state and community officials to raise awareness that the safest and most efficient way to reduce crossing collisions is by eliminating and consolidating highway-rail crossings. In 1991, FRA established a goal to close 25 percent of the Nation's crossings by 2004.

FHWA maintains a cooperative agreement with the Rails to Trails Conservancy to operate and maintain the National Transportation Enhancements Clearinghouse. In addition, FHWA has entered into a cooperative agreement with the National Governors Association to promote State transportation strategies in support of the Clean Air Act.

FMCSA and CVSA promote effective motor carrier, driver, vehicle and cargo safety standards,

compliance, education and enforcement. Joint conferences and workshops increase the resources for our program delivery and help better identify safety deficiencies and opportunities for improvement. Input from these sources is used to shape the overall FMCSA direction and assist with policy and procedure decision making.

Particularly effective technical support relationships have matured with Commercial Vehicle Safety Administration (CVSA), John Hopkins University Applied Physics Laboratory (APL) and Oak Ridge National Laboratory (ORNL). Work with these three organizations exceeded \$5.5 Million over the past year.

C. Can you identify any significant obstacles that hinder more effective relationships between federal agencies and non-profits?

For the **Coast Guard**, lack of sufficient program funding to provide necessary training and support results in a loss in volunteer membership.

RSPA's Office of Innovation, Research and Education believes administrative burdens (e.g., procurement process) and earmarks in legislation to be obstacles which hinder their relationships with non-profits.

For the **FMCSA** technology division, while no significant obstacles hinder relationships, support relationships are built on performance. Performance is acquired at various levels of experience, for specific performance periods, limited by available funding

Millennium Trails' biggest obstacle (and opportunity) has to do with inherent differences between large, bureaucratic organizations and small non-profits. We have different resources, different ways of doing business, etc. Recognizing these differences is the key to creating common strength.

Public Policy

A. Do you have a working relationship with non-profits when it comes to developing public policy (e.g., regulatory and budgetary matters)?

The **CG Auxiliary** actively participates in recreational boating safety policy development.

Millennium Trails, private and non-profit partners do not have a policy role in agency issues.

RSPA - Yes. Office of Hazardous Materials Safety has cooperated with non-profit organizations to facilitate national standards, i.e. National Fire Protection Association, Commercial Vehicle Safety Alliance, etc. In addition, they have cooperated to obtain expertise and gain access to knowledge bases not directly available to DOT, RSPA has contracted with non-profit organizations, i.e. National Governors' Association, Commercial Vehicle Safety Alliance, etc.

Beginning in 1996, **FRA** created the Railroad Safety Advisory Committee (RSAC) to develop recommendations for the agency's more complex or contentious rulemakings by seeking consensus among the parties affected by the rulemakings. Non-profit organizations represent the majority of the 48 voting member seats at the RSAC.. The non-profit organizations represent labor, railroad management and rail-related interest groups. They provide FRA with advice and recommendations on a range of regulatory issues. The magnitude of resources dedicated to this effort is reflective of the participants' commitment to the success of this process. Since RSAC was chartered, nearly eight hundred members and alternate members of the full Committee, and participants in working groups and task forces have joined forces to address critical safety issues

on more than fifteen tasks that were referred to, and accepted by RSAC. This process has leveraged the limited resources that FRA can provide, allowing the Agency to address many more rule-making activities than would be possible under a traditional rule-making approach. Throughout this process, FRA provides technical expertise by senior inspectors and accident investigators, accident database information, and when necessary, contractor support to this effort.

FMCSA maintains a regular dialogue on program and policy issues. Working relationships with non-profits leads to development and refinement of public policy in the areas of technology deployment, standards development and safety, relative to Commercial Vehicle Information System Network (CVISN) implementation and the Intelligent Transportation System/Commercial Vehicle Operator (ITS/CVO) Program.

B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

The **CG Auxiliary's** boating expertise contributes to the Coast Guard's policies on safety issues, such as boating safety education and wearing of personal flotation devices.

RSPA's

Examples of collaborative activities that worked well for RSPA's Office of Innovation, Research and Education include working with the Council on Competitiveness to reduce barriers to transportation innovation. They partnered with the Council to build on an existing Council initiative to reduce barriers to innovation in the private sector by applying these techniques to the public transportation sector.

In **FAA** the strategic planning process has an annual Challenger Session which invites both private parties such as airlines and aerospace manufactures as well as professional, association, labor union, other governmental agencies to offer input and grade the agency on its past performance. FAA has established an Research, Engineering, and Development (R,E&D) Advisory Committee whose members include representatives from trade associations, consumer groups, university and research centers, government agencies, as well as corporations. The RE&D Advisory Committee advises the agency on its research priorities which supports its programs in developing advanced technologies and procedures for air traffic management and regulatory areas such as methods for evaluating environmental impacts such as aircraft noise.

The regulatory functions of the FAA are advised by a dozen Aviation Rule-making Advisory Committee (ARAC) committees. Members of these ARAC committees include trade associations covering the entire spectrum of aviation interests, consumer and public interest groups, and non-US governmental representatives. The purpose of these ARAC committees is to provide advice and guidance to the Associate Administrator for Regulation and Certification with

respect to aviation related issues. ARAC permits the expediting of the regulatory process without circumventing the public rule-making process and procedures.

Though less than four years old, FRA has accomplished much through the RSAC collaborative rule-making process. Included are: revised track safety standards, radio communications rules, locomotive engineer certification procedures and steam locomotive safety standards. Furthermore, passenger equipment standards, passenger train emergency preparedness, and roadway worker protection rules were all developed through heavy reliance on the collaborative process. This past September, RSAC approved a landmark report, Implementation of Positive Train Control (PTC) Systems, which points the way toward advances in collision avoidance, speed control and more secure protection of roadway workers. There are many important rule-makings still pending before RSAC.

RSAC works because members have built bridges that are spanning the safety culture and other historic gaps between labor, management, industry and government. The RSAC process has created forums for dialogue. The process is successful because each of the participants has shown a willingness to listen. Compliance with rules made under this process is proving to be better than with rules made under the traditional rule-making process because of direct participation in making the rules by those most affected by the rules.

FMCSA, in the area of electronic credentialing, largely accepted guiding principles include:

- Use of electronic information as a replacement for paper.
- Use of open standards for development of automated exchange of credentialing and tax-related information.
- Information will be available to those officials who need it.
- Jurisdictions will be the authoritative source of information on credentials they issue.

C. If not, what are the barriers to developing a working relationship with non-profits on public policy matters?

For the **Millennium Trails**, it is critical that a non-profit act as the lead for partnership developmetn, since public agencies cannot accept donations which would benefit projects and programs - this creates the need for partnerships, but there is limited experience in creating thee kinds of team approaches.

D. What do you think can be done to hurdle the barriers or strengthen the relationships with non-profits when developing public policy?

For the **Millennium Trails**, leadership with government has a great opportunity to call

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

philanthropy to action, and help make the connection between private giving and the public good.

Foundations

A. Do you have a working relationship with foundations or other private donors?

RSPA -Yes.

Millennium Trails received more than \$1 million in private/foundation contributions.

B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

The **Millennium Trails'** lead corporate partner became interested because of the national visibility created by government leadership; their foundation then coordinated the financial contribution with our lead non-profit partner.

RSPA - An outstanding example of RSPA's Office of Hazardous Materials Safety/foundation cooperation, collaboration and coordination is partnering with state and local government agencies and employees and industry through the Cooperative Hazardous Materials Enforcement Development (COHMED) Educational Foundation. Through COHMED, RSPA reaches directly

to hazardous materials expertise in enforcement, regulatory oversight and response, which provides broad-based support of hazardous materials safety programs and advice and hands on experience relating to implementation of hazardous materials safety activities.

RSPA's Office of Innovation, Research and Education and the Civil Engineering Research Foundation have an effective working relationship and have been able accomplish mutual goals with relatively minimal administrative burden.

FAA has worked with the Flight Safety Foundation (FSF) and is a member supporting its independent international initiatives. The foundation pioneered the collection and distribution of mechanical malfunction reports, a task now performed by the FAA. FSF has also examined FAA's role in accident investigations, recommending improvements in the quality and uniformity of FAA investigations.

C. If not, what are the barriers to developing a working relationship with foundations and other donors? N/A

D. What do you think can be done to hurdle these barriers or strengthen relationships with foundations and other donors?

In the case of **Millennium Trails**, there appears to be a gap between available philanthropy (Wall Street, Silicon Valley, etc.) and the need for funding. Communicating this need can help connect contributors with important projects.

Resources

A. What resources do you provide to the non-profit community (e.g., grants, in-kind services - if possible give amounts)?

The **Coast Guard** awards grants to NBI via the Aquatic Resources (Walop-Breaux) Trust Fund for boating safety education and accident prevention programs.

Grant from **NHTSA** related to the Buckle Up Campaign

US DOT Provides an initial \$5 million "catalyst" fund to initiate **Millennium Trails**; \$1 million of this was dedicated to program management, with the majority of it assigned to non-profit partners.

RSPA's Office of Hazardous Materials Safety supports the IAFF with a grant of \$250,000 annually. RSPA also provides assistance through speeches, presentations and participation on committees and work groups. Educational materials, video presentations and technical handouts

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

are made available at no cost to non-profit organizations. These materials are designed to improve hazardous materials transportation safety through regulatory compliance, employee training, emergency responder guidance and training, and technical advice to assist compliance efforts.

RSPA's Office of Innovation, Research and Education provides funds through grants, and directly using memorandums of understanding and other contracting mechanisms.

FAA's resources devoted to non-profit organizations are largely subject to legislative mandates. FAA has a line item in its budget to support Mitre CAASD's technical and research work. FAA provides support to the annual Experimental Aircraft Association (EAA) exposition at Oshkosh, WI, through the dedicated activities at the FAA's pavilion, conduct of safety seminars, provision of flight services, air traffic control, and navaid services. This event was attended by 850,000 people in 1999. FAA has cooperative agreements on research activities with other non-profit organizations including the Airworthiness Center for Excellence (AACE) hosted by Iowa State and Ohio State University. FAA is sponsoring research with the Cranfield Impact Centre for the development of simulation software for the investigation of aircraft accidents under its Aircraft and Airport Research and Development Program. FAA funded a four year program of research with the Southwest Research Institute to jointly develop a tool with aircraft engine manufacturers for design and inspection of turbine rotors. FAA has also provided grants to Batelle Memorial Institute, EAA Foundation, National Academy of Sciences and other institutions. FAA has just completed the third year of its National Center of Excellence for Aviation Operations Research program (NEXTOR). NEXTOR is a consortium of universities with support from both the FAA and industrial partners. NEXTOR researchers conduct studies in air traffic control, systems performance, simulation, safety, software certification and reliability, and other areas. An annual symposium is held to brief FAA and other interested parties and information is also available on its linked institutional web sites.

FRA - Funding is provided through grants and contracts and through technical assistance from FRA staff. Expenditures in FY 1999 included the following:

OLI	\$600K
Upper Great Plains Transportation Institute (UGPTI)	\$ 70K

Non-profit technical support services are acquired through government administered contracts.

Current non-profit relationships are supported at the following funding levels:

FMCSA has awarded:

Oak Ridge National Laboratory (ORNL)	\$350,000	FY 2000
Commercial Vehicle Safety Alliance (CVSA)	\$56,000	Multi year

B. How can non-profits find out about the resources that you make available to them?

Typically non-profits can locate information on available resources through points of contact or through the Department's internet home page or other public media.

Coast Guard grants are managed by the Office of Boating Safety (G-OPB).

RSPA has a website which provides extensive information on the Hazardous Materials Safety program including resources available to the public. Other resources are publications such as the *Commerce Business Daily (CBD)*.

FRA - Through CBD and Broad Agency Announcements.

Millennium Trails, through the Green Ribbon Panel, a broad range of non-profits are involved, and they in turn communicate through their own networks and publications.

C. Do you provide any support services to help non-profits comply with cost principles and administrative requirements (e.g., Circular A-122, Circular A-133)? If so, what are these?

D. What steps is the department/agency taking to comply with the new Federal Financial Assistance Management Improvement Act, particularly in regard to streamlining grant applications and reporting requirements? N/A

The Department has an Interagency Electronic Grants Committee that is reviewing DOT's grant process.

Communication

A. How do you reach non-profits to inform them of departmental/agency information? Do you have any form of regular communication? If so, what form does it take?

A **Coast Guard** representative attends regular meetings of the NBI, as well as maintain daily liaison between the Chief Director and the President of NBI.

In writing, through their and our web sites, e-mail and regular mail.

Non-Profits can learn about **FMCSA** Technology Division activity through visits to the "Technology Truck," conference attendance, videos, compact disks, brochures, Web visits,

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

briefings, personal and telephonic inquiries.

Web site information is not specifically for non-profits. An APL Web site posts current CVISN information for use by the public in general. An ORNL Web site posts current schedule and project information on the technology truck. An ITS/CVO program Web site posts information on the entire program.

RSPA attends industry non-profit meetings, provides educational services and receives their comments on proposed policy changes on an ongoing basis. Internet, publications and written and oral communications are other forms of regular communication.

FAA has contributed to the non-profit gateway web site as a U.S. DOT agency. Information available is not current at this time. FAA has been continuously expanding on improving its own organizational web sites, which can be reached from its home page: <http://www.faa.gov>.

RSAC is a communications-based partnership involving FRA and non-profit organizations having an interest in promoting railroad safety through the rule-making process.

FRA has an interactive web page on the Internet which provides public and non-profit organization access to agency databases and public announcements

Notices of significant agency activities appear in the Federal Register.

Non-profit organizations participating in FRA rule-makings receive written notice of all agency actions affecting the rule-making.

FRA's Crossing Safety and Trespass Prevention Regional Managers are in contact with the various States's Governor's Highway Safety Representatives to promote crossing safety. The crossing managers communicate with Headquarters staff routinely, and at least two meetings are held each year with the managers and division staff to coordinate activities.

DOT has established an Intermodal Highway-Rail Crossing Team to coordinate activities by the various modes. FRA, FHWA, FTA, NHTSA and the Joint Programs Office on Intelligent Transportation Systems (ITS) meet on a regular basis. Other groups dealing with crossing safety, including non-profit organizations, have representatives from the intermodal team or brief the team on their efforts. On a regional basis, the various surface modes have established regional intermodal safety teams to address a variety of cross-cutting safety issues which include crossing safety. These regional intermodal teams coordinate safety initiatives on a regional level and provide status reports to non-profit organizations.

Millennium Trails issues a free monthly electronic newsletter, and provides continuous updates via its web site which received 70,000 hits in the past month. A toll-free number is also provided

for general information.

- B. Does your web site provide information specifically for non-profits to use? If so, what are some examples of how your web site responds to non-profit needs? Does your department/agency participate in the Non-profit Gateway <<http://www.non-profit.gov>>? If so, what types of resources does it take to keep information current?**

The Department of Transportation participates in the Non-profit Gateway. No specific information for non-profits is maintained on our web site.

FRA's Internet Web Site does not provide information specifically for non-profit organization use. FRA does not participate in the non-profit gateway. FRA will respond to a data inquiry request from any Internet user, including non-profit organizations, under the "Contact Us" option on FRA's Internet Web Site.

The Millennium Trails' web site was developed by non-profits under contract. It provided information and hotlinks for our partner organizations and projects, as well as application materials, media releases and program highlights. A full time staff person is responsible for updating the web site weekly.

- C. What changes would you suggest to improve communications with non-profits?**

Provide instructions with the Partnership agreement language to guide the communication process.

Set up mail and internet mail handling procedures that will quickly identify these partners.

Development of software tools and training to operate across different platforms and computer systems. Communications are often limited by partners' diverse voice-mail/e-mail/calendar systems – there needs to be a way to link across systems.

Competition

- A. To what extent does the department/agency require non-profit participation in the delivery of services.**

RSPA does not require non-profit participation in the delivery of services.

FAA has dedicated line items in its budget for specified non-profits such as Mitre CAASD. Mitre's role is to evaluate and develop concepts and technologies. When a technology is mature

Department of Transportation
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it is turned over to the implementation contractor, which is generally a for-profit organization.

FHWA - does not require non-profit participation as a part of its competitive acquisition program. In fact, there is no statutory authority for limiting competition, or providing competitive advantage to non-profit organizations. The vast majority of FHWA's relationships with the non-profit community are derived through congressional earmarks or competitive procedures.

The **USCG** does not require the non-profit to deliver services; they do so voluntarily. However, without their services, we would suffer gaps in service delivery, particularly during major marine events and disasters.²¹

B. Please provide examples of contracts/grants/services that your agency formerly provided through non-profit contractors/grantees but that are now provided by for-profit grantees/contractors. Why did this change occur?

NA

**US DEPARTMENT OF
TRANSPORTATION**
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facsimile transmittal

To: MaryEllen McGuire

Fax: 456-
6244

From: Pat Jackson

Date: 2/29/2000

Re: Philanthropy Survey

Pages: 20 (to include cover sheet)

CC:

☐ Urgent

☒ For Review

☐ Please Comment

☒ Please Reply

☐ Please Recycle

Notes: Please let me know if I can assist further.

Patricia Tate-Jackson, Special Assistant,

Office of the Secretary

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Survey Questions for Federal Departments and Agencies U. S. Department of Transportation (DOT)

Introduction. DOT is the Federal steward of the Nation's transportation system and speaks for transportation in the Federal government. Created in 1967, DOT brought under one umbrella a myriad of transportation missions and programs, some of which have been in existence since the 1700s. The Department employs about 100,000 civilian and military people deployed across the country and the world. It includes the Office of Secretary of Transportation (OST) as well as the following modal administrations:

- Bureau of Transportation Statistics (BTS)
- National Highway Traffic Safety Administration (NHTSA)
- Federal Aviation Administration (FAA)
- Research/Special Programs Administration (RSPA)
- Federal Highway Administration (FHWA)
- Maritime Administration (MARAD)
- St. Lawrence Seaway Development Corporation
- Federal Railroad Administration (FRA)
- Transportation Administrative Service Center (TASC)
- Federal Transit Administration (FTA)
- United States Coast Guard (USCG)
- Federal Motor Carrier Safety Administration (FMCSA)

These organizations operate under a Departmental mission and a commitment to achieve the key goals of: improved safety, better mobility, growth in the economy and in trade, protection of our communities and the environment, and strong national security. Secretary Rodney E. Slater has stretched our minds to ensure that we all believe transportation to be more than concrete, asphalt and steel. He reminds us that transportation is about providing opportunity for people, giving them mobility and choices. To this end, DOT's activities include a broad spectrum of relationships with the nonprofit sector. The following information summarizes those relationships.

Department of Transportation
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A. Define your relationship to non-profits – in what ways does your agency interact with non-profit organizations?

Through the **Office of the Secretary (OST)** and the modal administrations, DOT maintains a partnership agreement with the Alpha Kappa Alpha Sorority (AKA), Incorporated. This agreement promotes equal opportunity in transportation-related careers, to improve job access, to provide job and transportation-related educational opportunities for those in economically disadvantaged communities, and to advance transportation safety awareness programs.

DOT is a partner with the **National Center for Missing and Exploited Children**. This partnership identifies and implements initiatives to maximize the transportation sector's involvement in the effort to relocate mission children. Transportation facilities are generally public places and present the same dangers that any public place has for unaccompanied children. Transportation providers can help parents to be more aware and should be ever diligent and make certain that they take precautions to ensure their child's safety while traveling.

Through **RSPA**, DOT collaborates with a number of non-profit organizations, including Council on Competitiveness, Civil Engineering Research Foundation, Council of University Transportation Centers, International Association of Fire Fighters (IAFF) and Congressional Research Service. The non-profits have provided a wide array of services to this office, such as providing technical and administrative support and serving as a conduit in identifying innovative solutions to national transportation problems.

FAA has on-going partnership, information sharing, collaborative, lead and dependency relationships with non-profit organizations to include foundations, trade associations, labor unions, universities, non-profit research organizations (some of which are specifically chartered to serve the FAA), professional organizations, and other federal or state governmental agencies.

As part of the commitment to saving lives, **FRA** (along with FHWA, FTA, NHTSA) interacts with the *Association of American Railroads, Operation Lifesaver, Incorporated (OLI)*, to incorporate the "A Highways or Dieways" and "Always Expect A Train" public education campaigns as significant components of DOT "A Moving Kids Safely@" and "A Safe Communities@" programs. The campaign focuses on raising awareness about the deadly consequences of trying to beat a train to a crossing and trespassing on railroad property. The campaigns have reached citizens in all 50 states via more than 270 television and cable markets, 673 radio markets and 200 publications. The "Always Expect A Train" campaign continues to air in Spanish and English every day throughout the nation.

FRA also maintains relationships with the International Association of Chiefs of Police, and the American Trucking Associations.

FHWA maintains relationships that are primarily through directed or discretionary grants or

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

cooperative agreements. The general purposes of these agreements are often linked to supporting a specific program objective.

FMCSA's interaction with non-profit organizations involves organizational liaison and execution of contract support relative to commercial carrier safety matters. Its Motor Carrier Safety Assistance Program (MCSAP) requires a close working relationship with many organizations within law enforcement, industry and other groups from the public and private sectors. FMCSA, provides leadership and direction for MCSAP and other related programs involving the Agency's State partners through the Commercial Vehicle Safety Alliance (CVSA). CVSA is a non-profit organization bringing Federal, State and provincial government agencies together with representatives from private industry in the United States, Canada and Mexico who are dedicated to improving commercial motor vehicle safety. We consult and work with CVSA on issues concerning commercial motor vehicle safety and the administration of MCSAP.

TASC participates in a number of volunteer-based activities in which the Department is involved, such as the Garrett Morgan Program mentoring/tutoring activities associated with Groundhog Job Shadow Day and the D.C. Reads This Summer Program. Over the last two years, approximately 75 TASC employees volunteered for these activities. TASC is also represented on the DOT Volunteer Committee, and in that capacity coordinates efforts for the following programs:

- Hands On D.C. -- A clean-up/fix-up program for the Department's adopted schools, Hine Junior High and Trans Tech.
- Tutoring and mentoring programs for the Department's adopted schools.
- Annual March of Dimes Walk.
- "Christmas in April" Program which identifies houses in the community that need repairs and recruits volunteers to do the work for needy members of the community.

Millennium Trails is a public-private partnership led by the White House Millennium Council, US Department of Transportation, Rails-to-Trails Conservancy and other organizations and agencies.

The **US Coast Guard (USCG)** maintains relationships with a variety of non-profits to help the Coast Guard realize the Vision Statement as *valued maritime professionals leading the world to meet the marine transportation challenges of the 21st century*. Non-profits are engaged in two primary areas:

- *Through the Commandant's Direction: Teamwork - Partnering for a Stronger America*, USCG aims to engage the human element in the elimination of accidents and incidents using the Prevention Through People (PTP) initiative. Currently eight PTP partnerships are active and one is being planned.
 - American Waterways Operators
 - Passenger Vessel Association
 - Chamber of Shipping of America

Department of Transportation

Survey - WH Interagency Task Force for Philanthropy

- International Council of Cruise Lines
 - Spill Control Association of America & Association of Petroleum Industry Cooperative Managers
 - INTERTANKO
 - Baltic and International Maritime Council
 - American Pilots Association
 - Vessel Traffic Services/Vessel Traffic Information Services (Pending)
- USCG uses formal and informal relationships with several non-profits to develop, correlate, and maintain National and International Standards applicable to the marine transportation industry. These relationships include:
 - The American Bureau of Shipping
 - The Society of Naval Architects and Marine Engineers
 - The American Society of Mechanical Engineers
 - The American Society on Testing and Materials
 - The American Society of Naval Engineers

Relationships with not for profit organizations include:

- Underwriters Laboratories
- Factory Mutual Laboratories

Another CG partnership exists between the program manager for the Coast Guard Auxiliary and its associated non-profit corporation, Coast Guard Auxiliary National Board, Inc., (NBI). NBI is incorporated as a non-profit organization as authorized by 14 USC 821(c). NBI conducts revenue-generating activities that allow it to support the missions of the Coast Guard in accordance with 14 USC 822.

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

Technical Assistance/Training

A. What types of technical assistance/training do you provide non-profit organizations (e.g., management support)?

Millennium Trails maintains a website for designated trails, and in March 2000, will be hosting a National Millennium Trails Forum in Annapolis, Maryland.

Through the project with the **AKA Sorority**, DOT provides exhibits, provides speakers and presenters, and co-sponsor regional and national conferences for the purposes of promoting greater understanding of the Garrett A. Morgan Technology and Transportation Futures Program and the Buckle-Up America Campaign; provides Sorority chapters with marketing opportunities, financial and technical assistance information, and other materials that will be helpful to minority-owned and women-owned businesses. DOT Works with the Sorority to accomplish the goals of the partnership and to seek opportunities to cooperate in other areas of mutual interest.

RSPA's Office of Hazardous Materials Safety provides technical assistance and training on compliance with the Hazardous Materials Regulations as well as emergency response.

FAA supports aviation safety seminars through state sponsored programs around the country. A prominent example is the annual Experimental Aircraft Association's (EAA) fly-in and exposition at Oshkosh, WI, where thousands of aviation visitors have the opportunity to attend over fifty safety seminars.

FRA provides compliance assistance to tourist/historic/museum railroads. It provides technical outreach/compliance assistance to communities, and councils-of-government on equivalent safety systems, which will permit local communities to ban train horns to help achieve quiet communities and improve resident's quality of life. Through periodic meetings of Technical Resolution Committees, at which non-profit organizations are invited, FRA resolves inconsistent application of safety enforcement across a diverse nation.

FRA is an active participant in ONE DOT efforts, partnering with NHTSA, FHWA and FTA, and non-profit organizations in promoting crossing safety and trespass prevention efforts through Safe Community, Buckle-Up America, Moving Kids Safely, Garret A. Morgan and other DOT forums, outreach programs, and opportunities.

FRA has participated in outreaches to school bus drivers, both OLI's and NHTSA's, as well as issuing a School Bus Driver Alert message which was widely circulated in the trade press and directly to drivers and driver trainers. Similarly, FRA is working with the American Trucking Associations to develop and issue a Truck Driver Alert. These activities heighten awareness to the dangers at highway-rail grade crossings.

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

In response to **FMCSA's** emphasis on the reduction of commercial motor vehicle related fatalities, roadside inspection activities is one of the primary functions and a core program element of the MCSAP. CVSA has developed education and training materials used to promote systematic inspection procedures and guidance. The inspectors follow inspection procedures established by CVSA, thereby insuring uniformity and reciprocity. In addition to roadside inspections, the state inspectors perform compliance reviews, traffic enforcement and other similar activities to measure and assess national and State trends in safety performance.

FMCSA's technology branch identifies requirements for technology related programs and provides guidance to non-profit organizations to influence, educate or otherwise work with commercial carriers to improve safety.

The Program Manager for the **Coast Guard Auxiliary** provides senior-level management guidance to the officers and board of NBI.

B. Who provides the assistance? Provide some examples of technical assistance providers who your agency views as models for successful TA design and delivery. What are some of the characteristics that make these providers successful? What are the limits of these providers?

Millennium Trails' project team members provide technical assistance, including public, private and non-profit partner. The success of this model is the ability for projects to learn from each other, as well as to provide information on programs and project across organizational boundaries.

The **DOT/AKA** partnership include employees of the department:

For the *Garrett A. Morgan Technology and Transportation Futures Program* -- Lorraine Day of the FHWA, liaison to the DOT RSPA which is responsible for the Program.

For the *Buckle-Up America Campaign*: Shirley Barton of NHTSA (also a member of the Sorority)

Serving as a DOT principal contact, participant, and speaker and planning DOT involvement in national, regional and local conferences: Phyllis E. Young of FMCSA (also a member of the Sorority)

For the **Coast Guard's Office of Auxiliary Response**, the assistance is provided by the Chief Director of Auxiliary (G-OCX). Assistance consists of program management advice to help keep NBI's goals and operations consistent with laws and Coast Guard policies and program goals.

RSPA's Office of Hazardous Materials Safety provides assistance through speeches, presentations and participation on committees and work groups. Educational materials, video presentations and technical handouts are made available at no cost to non-profit organizations. These materials are designed to improve hazardous materials transportation safety through regulatory compliance, employee training, emergency responder guidance and training, and technical advice to assist compliance efforts.

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

FRA is an active participant in OLI activities at national, state and local levels. FRA field and headquarters staff have assisted at all levels, from making presentations to schools and community groups, to encouraging, planning and conducting regional campaigns and blitzes, to assisting with the setting of national priorities and funding of OLI activities.

FRA promotes the involvement of law enforcement officials and agencies in crossing safety and trespass prevention programs. FRA participates in and displays at national meetings of the International Association of Chiefs of Police and the National Sheriffs' Association. An active duty police officer is detailed to FRA's Office of Safety Analysis to assist with this outreach and liaison effort. FRA staff, and the on-staff police officer, have been instrumental in refining and promoting a Grade Crossing Collision Investigation course to officers throughout the nation. In addition to stressing the unique aspects of a collision investigation involving a train, this course stresses the officer's personal safety in and around trains and when transiting crossings and in dealing with hazardous materials. More importantly, it also stresses the need for active law enforcement efforts regarding highway traffic at crossings and trespass prevention.

C. What types of technical assistance or training are not currently being provided but should be? N/A

FRA has many more requests for community assistance in highway-rail grade crossing and quiet community issues than it has human resources to provide help. Every missed opportunity is a lost opportunity to save lives, prevent injuries and reduce property damage.

Millennium Trails project currently is in need of developing large scale private sector fund-raising. The trails movement has gained significantly from Millennium Trails, and a major next step is in connecting trail networks with philanthropic giving.

Coast Guard Auxiliary provides non-profit organizational development and management training or consulting

D. If applicable, list other ways your agency improves the efficacy of the non-profit organizations it works with.

Millennium Trails has created a new level of visibility, credibility and confidence in the trails community through national recognition and the direct involvement of national leadership.

RSPA's Office of Innovation, Research and Education has broadened the scope of many of the non-profits' agendas by incorporating transportation into them. This enhances the expertise and efficacy of the non-profits.

Through partnerships, **FRA** helps leverage funds and raises awareness of joint community projects and concerns.

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

Relationship with Non-profits

A. What types of services do non-profits that you partner with provide (health, human services)?

Alpha Kappa Alpha Sorority, Incorporated:

- Develops and implements strategies for participation in the Garrett A. Morgan Technology and Transportation Futures program at the local level through its IVY AKAdemy
- Chapters participate in the Buckle-Up America campaign during the month of November annually as outline in the Department's campaign kits.
- Participate in the Garrett A. Morgan Roundtable and in the Department's efforts to save lives through seatbelt awareness programs. This will include the dissemination of the Department's seat belt use policy and youth publications about safety precautions and programs, support child passenger safety training among its members, and working with various Departmental entities to promote transportation safety education.
- Support the Department's Job Access and Reverse Commute programs. Members will be encouraged to actively participate in initiatives to improve job access and job opportunities in economically disadvantaged communities.
- Commit to working with the Department for the accomplishment of the goals of this partnership and to seek opportunities to cooperate in other areas of mutual interest.

The International Association for Fire Fighters (IAFF) provides hazardous materials instructor training to local fire departments.

RSPA's Office of Innovation, Research and Education receives support from non-profits in the area of research and education and conducting workshops, seminars, and policy forums to define transportation strategies and research agendas.

The non-profit organizations, with which FRA partners, provide safety, health, research and technical engineering services.

Services provided by non-profits are predominately technical in support of **commercial vehicle safety** information, related technologies and program requirements.

Millennium Trails' non-profit partners have the lead for fund-raising, program technical support, website development and communication.

The **Coast Guard Auxiliary** partners with safety education, accident prevention, voluntary compliance, and emergency response for the recreational boating community.

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

B. Are there any model relationships that are particularly effective in achieving the critical goals of your department/agency?

Through **Millennium Trails**, a "green ribbon" panel of national leaders meet each month to provide input to the program. Public-private working group reports to our lead non-profit partner and creates a good working model for advancing similar programs.

The primary points of contact for the AKA partnership are the international president of the organization and the international program chair. With nearly 900 chapters internationally, their communication with the Department is well coordinated for either of the three principal areas of cooperation.

The relationship between the **Coast Guard** and NBI enables the CG Auxiliary to contribute over two million hours of volunteer support to the CG each year.

RSPA's Office of Hazardous Materials Safety conducted a negotiated rule-making, working with industry, industry non-profits and other related parties in improving compliance with emergency discharge control requirements for cargo tank motor vehicles used to transport liquefied compressed gases. The final rule under HM-225A, "Hazardous Materials: Revision to Regulations Governing Transportation and Unloading of Liquefied Compressed Gases," was published in the Federal Register on May 24, 1999.

FAA. The most prominent example of relationships with non-profit is the Mitre Center for Advanced Aviation System Development (CAAS). CAAS supports FAA's advanced research, technology integration, and evaluation for the development of the future air traffic control environment. Mitre has been involved in supporting FAA missions for over 35 years. CAASD carries out essential engineering and operational analysis, system development, and system specification activities for the FAA. Some of the principal focus areas are life cycle system engineering, traffic flow management, decision support tools, global communication, navigation, and surveillance services, airport capacity improvement, and modeling, simulation and development for validating emerging operational concepts for Free Flight, the Global Positioning System, Wide Area Augmentation System, etc.

FAA also works closely with the Radio Technical Committee of America (RTCA) to develop industry consensus on the National Airspace System (NAS) architecture. RTCA has been focusing on NAS modernization plan since its original conception.

FAA has a cooperative agreement with the National Association of State Aviation Officials to promote aviation safety training among states that choose to participate, (which includes about half the states in the country). Sample activities include safety fly-in's, development of safety videos, and sponsoring and participation in safety seminars.

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

The participation of non-profit organizations in FRA's Railroad Safety Advisory Committee (RSAC), Safety Assurance and Compliance Program (SACP) safety audits, and other partnership-based activities play a critically important role in achieving the agency's goals. One of the most important FRA safety partnerships is with law enforcement. Partnering with the International Association of Chiefs of Police, FRA created a ticket jacket for use by local officers when ticketing trespass offenders. The ticket holder has valuable life saving information that raises awareness about the dangers of trespassing. More than 2,000 ticket jackets, updated annually, are distributed to local police throughout the nation and during separate conventions sponsored by the Fraternal Order of Police and the National Sheriffs' Association.

In the aftermath of the tragic collision between a school bus and a commuter train at a crossing in Fox River Grove, Illinois in October 1995, DOT partnered with OLI to develop a school bus driver training program, The Responsibility is Ours, to raise awareness about crossing safety. The program was distributed during 1997 to all state departments of education and transportation.

One of the most successful on-going programs for FRA is the *Highway-Rail Crossing and Consolidation Program*. FRA and FHWA work with state and community officials to raise awareness that the safest and most efficient way to reduce crossing collisions is by eliminating and consolidating highway-rail crossings. In 1991, FRA established a goal to close 25 percent of the Nation's crossings by 2004.

FHWA maintains a cooperative agreement with the Rails to Trails Conservancy to operate and maintain the National Transportation Enhancements Clearinghouse. In addition, FHWA has entered into a cooperative agreement with the National Governors Association to promote State transportation strategies in support of the Clean Air Act.

FMCSA and CVSA promote effective motor carrier, driver, vehicle and cargo safety standards, compliance, education and enforcement. Joint conferences and workshops increase the resources for our program delivery and help better identify safety deficiencies and opportunities for improvement. Input from these sources is used to shape the overall FMCSA direction and assist with policy and procedure decision making.

Particularly effective technical support relationships have matured with Commercial Vehicle Safety Administration (CVSA), John Hopkins University Applied Physics Laboratory (APL) and Oak Ridge National Laboratory (ORNL). Work with these three organizations exceeded \$5.5 Million over the past year.

C. Can you identify any significant obstacles that hinder more effective relationships between federal agencies and non-profits?

For the Coast Guard, lack of sufficient program funding to provide necessary training and support results in a loss in volunteer membership.

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

RSPA's Office of Innovation, Research and Education believes administrative burdens (e.g., procurement process) and earmarks in legislation to be obstacles which hinder their relationships with non-profits.

For the **FMCSA** technology division, while no significant obstacles hinder relationships, support relationships are built on performance. Performance is acquired at various levels of experience, for specific performance periods, limited by available funding

Millennium Trails' biggest obstacle (and opportunity) has to do with inherent differences between large, bureaucratic organizations and small non-profits. We have different resources, different ways of doing business, etc. Recognizing these differences is the key to creating common strength.

Department of Transportation
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Public Policy

A. Do you have a working relationship with non-profits when it comes to developing public policy (e.g., regulatory and budgetary matters)?

The **CG Auxiliary** actively participates in recreational boating safety policy development.

Millennium Trails, private and non-profit partners do not have a policy role in agency issues.

RSPA - Yes. Office of Hazardous Materials Safety has cooperated with non-profit organizations to facilitate national standards, i.e. National Fire Protection Association, Commercial Vehicle Safety Alliance, etc. In addition, they have cooperated to obtain expertise and gain access to knowledge bases not directly available to DOT, RSPA has contracted with non-profit organizations, i.e. National Governors' Association, Commercial Vehicle Safety Alliance, etc.

Beginning in 1996, **FRA** created the Railroad Safety Advisory Committee (RSAC) to develop recommendations for the agency's more complex or contentious rulemakings by seeking consensus among the parties affected by the rulemakings. Non-profit organizations represent the majority of the 48 voting member seats at the RSAC.. The non-profit organizations represent labor, railroad management and rail-related interest groups. They provide FRA with advice and recommendations on a range of regulatory issues. The magnitude of resources dedicated to this effort is reflective of the participants' commitment to the success of this process. Since RSAC was chartered, nearly eight hundred members and alternate members of the full Committee, and participants in working groups and task forces have joined forces to address critical safety issues on more than fifteen tasks that were referred to, and accepted by RSAC. This process has leveraged the limited resources that FRA can provide, allowing the Agency to address many more rule-making activities than would be possible under a traditional rule-making approach. Throughout this process, FRA provides technical expertise by senior inspectors and accident investigators, accident database information, and when necessary, contractor support to this effort.

FMCSA maintains a regular dialogue on program and policy issues. Working relationships with non-profits leads to development and refinement of public policy in the areas of technology deployment, standards development and safety, relative to Commercial Vehicle Information System Network (CVISN) implementation and the Intelligent Transportation System/Commercial Vehicle Operator (ITS/CVO) Program.

B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

The **CG Auxiliary's** boating expertise contributes to the Coast Guard's policies on safety issues, such as boating safety education and wearing of personal flotation devices.

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

RSPA's

Examples of collaborative activities that worked well for RSPA's Office of Innovation, Research and Education include working with the Council on Competitiveness to reduce barriers to transportation innovation. They partnered with the Council to build on an existing Council initiative to reduce barriers to innovation in the private sector by applying these techniques to the public transportation sector.

In FAA the strategic planning process has an annual Challenger Session which invites both private parties such as airlines and aerospace manufactures as well as professional, association, labor union, other governmental agencies to offer input and grade the agency on its past performance. FAA has established an Research, Engineering, and Development (R,E&D) Advisory Committee whose members include representatives from trade associations, consumer groups, university and research centers, government agencies, as well as corporations. The RE&D Advisory Committee advises the agency on its research priorities which supports its programs in developing advanced technologies and procedures for air traffic management and regulatory areas such as methods for evaluating environmental impacts such as aircraft noise.

The regulatory functions of the FAA are advised by a dozen Aviation Rule-making Advisory Committee (ARAC) committees. Members of these ARAC committees include trade associations covering the entire spectrum of aviation interests, consumer and public interest groups, and non-US governmental representatives. The purpose of these ARAC committees is to provide advice and guidance to the Associate Administrator for Regulation and Certification with respect to aviation related issues. ARAC permits the expediting of the regulatory process without circumventing the public rule-making process and procedures.

Though less than four years old, FRA has accomplished much through the RSAC collaborative rule-making process. Included are: revised track safety standards, radio communications rules, locomotive engineer certification procedures and steam locomotive safety standards. Furthermore, passenger equipment standards, passenger train emergency preparedness, and roadway worker protection rules were all developed through heavy reliance on the collaborative process. This past September, RSAC approved a landmark report, Implementation of Positive Train Control (PTC) Systems, which points the way toward advances in collision avoidance, speed control and more secure protection of roadway workers. There are many important rule-makings still pending before RSAC.

RSAC works because members have built bridges that are spanning the safety culture and other historic gaps between labor, management, industry and government. The RSAC process has created forums for dialogue. The process is successful because each of the participants has shown a willingness to listen. Compliance with rules made under this process is proving to be better than with rules made under the traditional rule-making process because of direct participation in making the rules by those most affected by the rules.

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

FMCSA, in the area of electronic credentialing, largely accepted guiding principles include:

- Use of electronic information as a replacement for paper.
- Use of open standards for development of automated exchange of credentialing and tax-related information.
- Information will be available to those officials who need it.
- Jurisdictions will be the authoritative source of information on credentials they issue.

C. If not, what are the barriers to developing a working relationship with non-profits on public policy matters?

For the **Millennium Trails**, it is critical that a non-profit act as the lead for partnership development, since public agencies cannot accept donations which would benefit projects and programs - this creates the need for partnerships, but there is limited experience in creating these kinds of team approaches.

D. What do you think can be done to hurdle the barriers or strengthen the relationships with non-profits when developing public policy?

For the **Millennium Trails**, leadership with government has a great opportunity to call philanthropy to action, and help make the connection between private giving and the public good.

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

Foundations

A. Do you have a working relationship with foundations or other private donors?

RSPA - *Yes.*

Millennium Trails received more than \$1 million in private/foundation contributions.

B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

The **Millennium Trails'** lead corporate partner became interested because of the national visibility created by government leadership; their foundation then coordinated the financial contribution with our lead non-profit partner.

RSPA - An outstanding example of RSPA's Office of Hazardous Materials Safety/foundation cooperation, collaboration and coordination is partnering with state and local government agencies and employees and industry through the Cooperative Hazardous Materials Enforcement Development (COHMED) Educational Foundation. Through COHMED, RSPA reaches directly to hazardous materials expertise in enforcement, regulatory oversight and response, which provides broad-based support of hazardous materials safety programs and advice and hands on experience relating to implementation of hazardous materials safety activities.

RSPA's Office of Innovation, Research and Education and the Civil Engineering Research Foundation have an effective working relationship and have been able accomplish mutual goals with relatively minimal administrative burden.

FAA has worked with the Flight Safety Foundation (FSF) and is a member supporting its independent international initiatives. The foundation pioneered the collection and distribution of mechanical malfunction reports, a task now performed by the FAA. FSF has also examined FAA's role in accident investigations, recommending improvements in the quality and uniformity of FAA investigations.

C. If not, what are the barriers to developing a working relationship with foundations and other donors? N/A

D. What do you think can be done to hurdle these barriers or strengthen relationships with foundations and other donors?

In the case of **Millennium Trails**, there appears to be a gap between available philanthropy (Wall Street, Silicon Valley, etc.) and the need for funding. Communicating this need can help connect contributors with important projects.

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

Resources

A. What resources do you provide to the non-profit community (e.g., grants, in-kind services - if possible give amounts)?

The **Coast Guard** awards grants to NBI via the Aquatic Resources (Walop-Breaux) Trust Fund for boating safety education and accident prevention programs.

Grant from **NHTSA** related to the Buckle Up Campaign

US DOT Provides an initial \$5 million "catalyst" fund to initiate **Millennium Trails**; \$1 million of this was dedicated to program management, with the majority of it assigned to non-profit partners.

RSPA's Office of Hazardous Materials Safety supports the IAFF with a grant of \$250,000 annually. RSPA also provides assistance through speeches, presentations and participation on committees and work groups. Educational materials, video presentations and technical handouts are made available at no cost to non-profit organizations. These materials are designed to improve hazardous materials transportation safety through regulatory compliance, employee training, emergency responder guidance and training, and technical advice to assist compliance efforts.

RSPA's Office of Innovation, Research and Education provides funds through grants, and directly using memorandums of understanding and other contracting mechanisms.

FAA's resources devoted to non-profit organizations are largely subject to legislative mandates. FAA has a line item in its budget to support Mitre CAASD's technical and research work. FAA provides support to the annual Experimental Aircraft Association (EAA) exposition at Oshkosh, WI, through the dedicated activities at the FAA's pavilion, conduct of safety seminars, provision of flight services, air traffic control, and navaid services. This event was attended by 850,000 people in 1999. FAA has cooperative agreements on research activities with other non-profit organizations including the Airworthiness Center for Excellence (ACE) hosted by Iowa State and Ohio State University. FAA is sponsoring research with the Cranfield Impact Centre for the development of simulation software for the investigation of aircraft accidents under its Aircraft and Airport Research and Development Program. FAA funded a four year program of research with the Southwest Research Institute to jointly develop a tool with aircraft engine manufacturers for design and inspection of turbine rotors. FAA has also provided grants to Batelle Memorial Institute, EAA Foundation, National Academy of Sciences and other institutions. FAA has just completed the third year of its National Center of Excellence for Aviation Operations Research program (NEXTOR). NEXTOR is a consortium of universities with support from both the FAA and industrial partners. NEXTOR researchers conduct studies in air traffic control, systems performance, simulation, safety, software certification and reliability, and other areas. An annual symposium is held to brief FAA and other interested parties and information is also available on its linked institutional web sites.

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

FRA - Funding is provided through grants and contracts and through technical assistance from FRA staff. Expenditures in FY 1999 included the following:

OLI	\$600K
Upper Great Plains Transportation Institute (UGPTI)	\$ 70K

Non-profit technical support services are acquired through government administered contracts.

Current non-profit relationships are supported at the following funding levels:

FMCSA has awarded:

Oak Ridge National Laboratory (ORNL)	\$350,000	FY 2000
Commercial Vehicle Safety Alliance (CVSA)	\$56,000	Multi year

B. How can non-profits find out about the resources that you make available to them?

Typically non-profits can locate information on available resources through points of contact or through the Department's internet home page or other public media.

Coast Guard grants are managed by the Office of Boating Safety (G-OPB).

RSPA has a website which provides extensive information on the Hazardous Materials Safety program including resources available to the public. Other resources are publications such as the *Commerce Business Daily (CBD)*.

FRA - Through CBD and Broad Agency Announcements.

Millennium Trails, through the Green Ribbon Panel, a broad range of non-profits are involved, and they in turn communicate through their own networks and publications.

C. Do you provide any support services to help non-profits comply with cost principles and administrative requirements (e.g., Circular A-122, Circular A-133)? If so, what are these?

D. What steps is the department/agency taking to comply with the new Federal Financial Assistance Management Improvement Act, particularly in regard to streamlining grant applications and reporting requirements? N/A

The Department has an Interagency Electronic Grants Committee that is reviewing DOT's grant process.

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

Communication

**A. How do you reach non-profits to inform them of departmental/agency information?
Do you have any form of regular communication? If so, what form does it take?**

A Coast Guard representative attends regular meetings of the NBI, as well as maintain daily liaison between the Chief Director and the President of NBI.

In writing, through their and our web sites, e-mail and regular mail.

Non-Profits can learn about FMCSA Technology Division activity through visits to the "Technology Truck," conference attendance, videos, compact disks, brochures, Web visits, briefings, personal and telephonic inquiries.

Web site information is not specifically for non-profits. An APL Web site posts current CVISN information for use by the public in general. An ORNL Web site posts current schedule and project information on the technology truck. An ITS/CVO program Web site posts information on the entire program.

RSPA attends industry non-profit meetings, provides educational services and receives their comments on proposed policy changes on an ongoing basis. Internet, publications and written and oral communications are other forms of regular communication.

FAA has contributed to the non-profit gateway web site as a U.S. DOT agency. Information available is not current at this time. FAA has been continuously expanding on improving its own organizational web sites, which can be reached from its home page: <http://www.faa.gov>.

RSAC is a communications-based partnership involving FRA and non-profit organizations having an interest in promoting railroad safety through the rule-making process.

FRA has an interactive web page on the Internet which provides public and non-profit organization access to agency databases and public announcements

Notices of significant agency activities appear in the Federal Register.

Non-profit organizations participating in FRA rule-makings receive written notice of all agency actions affecting the rule-making.

FRA's Crossing Safety and Trespass Prevention Regional Managers are in contact with the various States's Governor's Highway Safety Representatives to promote crossing safety. The crossing managers communicate with Headquarters staff routinely, and at least two meetings are held each year with the managers and division staff to coordinate activities.

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

DOT has established an Intermodal Highway-Rail Crossing Team to coordinate activities by the various modes. FRA, FHWA, FTA, NHTSA and the Joint Programs Office on Intelligent Transportation Systems (ITS) meet on a regular basis. Other groups dealing with crossing safety, including non-profit organizations, have representatives from the intermodal team or brief the team on their efforts. On a regional basis, the various surface modes have established regional intermodal safety teams to address a variety of cross-cutting safety issues which include crossing safety. These regional intermodal teams coordinate safety initiatives on a regional level and provide status reports to non-profit organizations.

Millennium Trails issues a free monthly electronic newsletter, and provides continuous updates via its web site which received 70,000 hits in the past month. A toll-free number is also provided for general information.

- B. Does your web site provide information specifically for non-profits to use? If so, what are some examples of how your web site responds to non-profit needs? Does your department/agency participate in the Non-profit Gateway <<http://www.non-profit.gov>>? If so, what types of resources does it take to keep information current?**

The Department of Transportation participates in the Non-profit Gateway. No specific information for non-profits is maintained on our web site.

FRA's Internet Web Site does not provide information specifically for non-profit organization use. FRA does not participate in the non-profit gateway. FRA will respond to a data inquiry request from any Internet user, including non-profit organizations, under the "Contact Us" option on FRA's Internet Web Site.

The Millennium Trails' web site was developed by non-profits under contract. It provided information and hotlinks for our partner organizations and projects, as well as application materials, media releases and program highlights. A full time staff person is responsible for updating the web site weekly.

- C. What changes would you suggest to improve communications with non-profits?**

Provide instructions with the Partnership agreement language to guide the communication process.

Set up mail and internet mail handling procedures that will quickly identify these partners.

Development of software tools and training to operate across different platforms and computer systems. Communications are often limited by partners' diverse voice-mail/e-mail/calendar systems - there needs to be a way to link across systems.

Department of Transportation
Survey - WH Interagency Task Force for Philanthropy

Competition

- A. To what extent does the department/agency require non-profit participation in the delivery of services.**

RSPA does not require non-profit participation in the delivery of services.

FAA has dedicated line items in its budget for specified non-profits such as Mitre CAASD. Mitre's role is to evaluate and develop concepts and technologies. When a technology is mature it is turned over to the implementation contractor, which is generally a for-profit organization.

FHWA - does not require non-profit participation as a part of its competitive acquisition program. In fact, there is no statutory authority for limiting competition, or providing competitive advantage to non-profit organizations. The vast majority of FHWA's relationships with the non-profit community are derived through congressional earmarks or competitive procedures.

The **USCG** does not require the non-profit to deliver services; they do so voluntarily. However, without their services, we would suffer gaps in service delivery, particularly during major marine events and disasters.15

- B. Please provide examples of contracts/grants/services that your agency formerly provided through non-profit contractors/grantees but that are now provided by for-profit grantees/contractors. Why did this change occur?**

NA



Patricia Jackson <pattate_j@hotmail.com>

06/21/2000 11:56:26 AM

Record Type: Record

To: MaryEllen C. McGuire/WHO/EOP

cc: pat.jackson@ost.dot.gov

Subject: DOT submission for Nominations for Best Practices

Hi Mary Ellen,

I am working from home so please acknowledge receipt.

Thanks for your patience.

Get Your Private, Free E-mail from MSN Hotmail at <http://www.hotmail.com>



- CG Nomination2.htm - will not print



- nasaomou1.doc ✓



- CG Nomination.doc ✓



- Partnerships Promoting Rail Safety.doc ✓

Nominations for "Best Practices" for Non-profit Partnerships

Federal Aviation Administration and the National Association of State Aviation Officials – Information Sharing

The Federal Aviation Administration (FAA) of the U. S. Department of Transportation has developed a memorandum of understanding (MOU) with the National Association of State Aviation Officials (NASAO). Each year since 1996 a few initiatives are chosen to focus on. Eighteen initiatives have been undertaken since the inception of this MOU.

The foci of these initiatives has been wide ranging and inclusive of the following areas of interest:

- GPS navigation implementation
- Obstruction evaluation
- Cooperative aviation safety education programs including the sharing of solutions and strategies for the runway incursion safety program
- Opening access to FAA training courses to state personnel
- Cooperative partnerships to resolve airport noise problems and ensure compatible land use development near airports
- Coordinated data collection and report formats for airport development funding, pavement management, and basic airport facility information (FAA Form 5010)
- Coordination and collaboration of aviation education by federal, state, and private agencies
- Review and comment on FAA plans for aviation weather information planning, facilities and equipment navaid project proposals, inclusion of state and local review authority for obstruction evaluations on FAA Form 7460-1
- Acceptance or use by the FAA of state information, standards, services, or procedures for GPS surveys, pavement standards, air transportation
- Sharing or use of advanced electronic software technology for information on obstructions and airport facilities

This MOU had fostered the sharing of data, procedures, training, solutions; the coordination and inclusion of comments and prioritization of customer needs by state aviation officials, the joint sponsorships of events, the use of advanced technology to

disseminate information. In short the web of connections between the states and the federal government in the service of the aviation community has been multiplied and strengthened. The FAA contact person is Robert Samis, 202-267-9449.

Founded in 1931, the National Association of State Aviation Officials (NASAO) is one of the most senior aviation organizations in the United States, predating even the Federal Aviation Administration's predecessor, the Civil Aeronautics Authority. The states first established NASAO to ensure uniformity of safety measures, to standardize airport regulations and develop a truly national air transportation system responsive to local, state, and regional needs. Since 1931, NASAO has been unique among aviation advocates. Unlike special interest groups, which speak for a single type of aeronautical activity or a narrow band of the rich spectrum of the American aviation community, NASAO represents the men and women, in state government aviation agencies, who serve the public interest in all 50 states, Guam and Puerto Rico. These highly skilled professionals are full partners with the federal government in the development and maintenance of the safest and most efficient aviation system in the world.

Contact information: NATIONAL ASSOCIATION OF STATE AVIATION OFFICIALS
8401 Colesville Road - Suite 505
Silver Spring, MD 20910
(301) 588-0587
Fax: (301) 585-1803

Nomination for "Best Practice" for Non-profit Partnerships (Continued)

Criteria: Provide better services/develop research partnerships/leverage resources/share information/improve government operations and improve effectiveness of non-profits.

Prevention through People Programs (8 Partnerships) - Teamwork - Partnering for a Stronger America, United States Coast Guard aims to engage the human element in the elimination of accidents and incidents using the Prevention Through People (PTP) initiative. Currently eight PTP partnerships are active and one is being planned. American Waterways Operators, Passenger Vessel Association, Chamber of Shipping of America, International Council of Cruise Lines, Spill Control Association of America & Association of Petroleum Industry Cooperative Managers (INTERTANKO), Baltic and International Maritime Council, and American Pilots Association.

Through the Safe Decks program (in partnership with the American Waterways Operators), fatalities within the tug and barge industry have been reduced. The Coast Guard is conducting research using crew and vessels coordinated through the Chamber of Shipping of America and the American Waterways Operators. The research focuses on increasing mariner alertness and reducing fatigue.

Under the Alternative Compliance effort under the Prevention through People Program (PTP) is an innovative approach to ensuring regulatory compliance. The US Coast Guard delegates to authorized classification societies its authority to conduct reviews and inspections of tank, passenger, cargo, miscellaneous vessels and mobile offshore drilling units. The program is a non-regulatory option for owners.

The PTP program established a near-miss reporting system with Chamber of Shipping of America, INTERTANKO, and Baltic and International Maritime Council. Since its

inception, outcome achieved through partnership arrangements with non-profits have included a voluntary towing vessel boarding program; a Streamlined Inspection Program for passenger vessels; a passenger vessel risk management guide; and improved spill response effectiveness.

These partnerships furthered sound risk management and communication between private and government organizations that made them more effective in helping to ensure safe operations.

Contact name/number: CDR Timothy Close, 202-267-0177

Criteria: Provide better service/Develop Research Partnerships/Share Information

Partnerships Promoting Rail Safety

As part of the Federal Railroad Administration's commitment to saving lives, the agency interacts with the Association of American Railroads, Operation Lifesaver, Incorporated (OLI), the Federal Highway Administration (FHWA), the Federal Transit Administration (FTA) and the National Highway Traffic Safety Administration (NHTSA) to incorporate the "*A Highways or Dieways*" and "*Always Expect A Train*" public education campaigns as significant components of the Department of Transportation's (DOT) *AMoving Kids Safely@* and *ASafe Communities@* programs. The campaign focuses on raising awareness about the deadly consequences of trying to beat a train to a crossing and trespassing on railroad property. The campaigns have reached citizens in all 50 states via more than 270 television and cable markets, 673 radio markets and 200 publications. The "*Always Expect A Train*" campaign continues to air in Spanish and English every day throughout the nation.

In the aftermath of the tragic collision between a school bus and a commuter train at a crossing in Fox River Grove, Illinois in October 1995, DOT partnered with OLI to develop a school bus driver training program, *The Responsibility is Ours*, to raise awareness about crossing safety. The program was distributed during 1997 to all state departments of education and transportation.

The Association of American Railroads represents North America's major freight railroads and Amtrak. AAR strives to helpmake the rail industry increasingly safe, efficient and productive by: Conducting and coordinating research, development and

other support programs; facilitating the seamless exchange of electronic information among railroads, their customers and suppliers; and advocating the interests of railroads in the public policy arena. AAR is headquartered at 50 F Street, NW, Washington, D.C. 20001-1564. The main phone number is (202) 639-2100.

Operation Lifesaver is an nonprofit, nationwide public education program designed to eliminate collisions, deaths, and injuries at highway-rail intersections and on railroad rights-of-way. To meet its lifesaving goals, Operation Lifesaver strives to increase public awareness about the danger at places where the roadway crosses the train tracks and on railroad rights-of-way. The program seeks to improve driver and pedestrian behavior at highway-rail intersections by encouraging compliance with traffic laws relating to crossing signs and signals. In conjunction with its education program, Operation Lifesaver emphasizes the enforcement of existing traffic and trespassing laws, consolidation and closure of redundant highway-rail crossings, and engineering improvements, including installation and upgrading of crossing warning devices and signs. Operation Lifesaver Inc. is located at 1420 King Street, Suite 401, Alexandria, Virginia 22314. The telephone number is (703) 739-0308; (800) 537-6224; Fax: (703) 519-8267; Email: general@oli.org

U. S. Department of Transportation
Nominations for "Best Practices" for Non-profit Partnerships

Nomination #1: U. S. Coast Guard Auxiliary

Criteria: Leveraging resources and Improving Government Operations

The U.S. Coast Guard Auxiliary is the civilian volunteer arm of the United States Coast Guard, which is comprised of 35,000 men and women who donate their time and expertise to support the Coast Guard and improve boating safety. The Auxiliary marked its sixty-first anniversary of its founding on June 23, 2000.

Safety is President Clinton and Vice President Gore's highest transportation priority and the Coast Guard Auxiliary assists in promoting boating safety awareness. The volunteers spend thousands of hours educating the public about possible waterway dangers and threats to life. The Auxiliary vessel examiners have performed vessel safety checks on millions of boats, ensuring that the vessels are in compliance with Federal safety regulations. Auxiliary members have also offered their boats for use on Coast Guard missions, logging thousands of patrol hours to assist disabled boaters. Over the course of 61 years of service, the Auxiliary members have saved thousands of lives. With the passage of the Coast Guard Authorization Act of 1996, the Auxiliary's role in non-traditional missions, such as marine environmental protection, recruiting, and public affairs, has grown substantially.

Auxiliary membership, activity, and contribution toward meeting Coast Guard performance goals are on the rise. The Auxiliary has set a goal to conduct 200,000 vessel safety checks during year 2000, and presently has reached 12% of this goal after examining 21,000 recreational vessels, 14,000 personal watercraft, 500 commercial fishing vessels, and 100 uninspected passenger vessels. Not only is the Auxiliary activity increasing at the boat ramps, but also more Auxiliaries are serving aboard Coast Guard cutters as crew and interpreters and are qualifying as observers aboard Coast Guard C-130 aircraft.

VOLUNTARY SAFETY EXAMS OF COMMERCIAL FISHING VESSELS. The inordinately high accident and fatality rate in the commercial fishing industry is a serious concern for the Department of Transportation. The Coast Guard's program of voluntary dockside safety examinations of commercial fishing vessels has helped to reduce fatalities. Coast Guard Auxiliary volunteers comprise 23% of the examiners. Over 5,500 voluntary safety exams are done each year, with the Auxiliary performing 20% of the exams.

RECREATIONAL BOATING SAFETY. The Coast Guard's total intervention in recreational boating safety takes place in three distinct efforts:

The Coast Guard responds to about 40,000 search and rescue incidents each year.

The Coast Guard enforces boating safety laws by boarding about 50,000 boats each year.

The largest intervention comes through the efforts of Auxiliary volunteers, who give about 80,000 hours of classroom instruction and conduct about 150,000 voluntary safety checks of recreational boats annually.

VESSEL SAFETY CHECK PROGRAM. This partnership is expected to significantly expand the "reach" of the traditional Auxiliary safety program. This year the Coast Guard Auxiliary is implementing the Vessel Safety Check program, supported in part by a grant from the Aquatic Resources (Wallop-Breaux) Trust fund. This grant "re-engineered" the 50- year-old Courtesy Marine Examination program to bring in external partners in a total effort at voluntary public outreach in the interest of recreational boating safety. In cooperation with the National Association of State Boating Law Administrators, the Army Corps of Engineers, and the United States Power Squadrons (a private, no-profit boating organization), members of these organizations are trained by the Auxiliary to perform voluntary vessel safety checks.

STUDY RESULTS. A recent study, "The Value of the United States Coast Guard Auxiliary," showed that the Auxiliary provides a 4:1 return on investment. Each dollar invested in the volunteer, non-profit Auxiliary returns about four dollars in prevention and response service. In addition to the economic value, the 35,000 members of the Auxiliary help bridge the gap between government and its clients, making people feel a sense of purpose and pride in "self-regulating" the recreational boating community.

Contact: CDR Robert Thomson, 202-267-1012

Survey from White House Interagency Task Force on Non-Profits and Government Philanthropy
Office of Boating Safety (G-OPB)
POC: Mr. Marmo

Introduction

- ✓ A. The U.S. Coast Guard's Office of Boating Safety administers a grant program for national boating safety activities of national non-profit public service organizations. The Coast Guard assists and coordinates with these organizations regarding programs to enhance boating safety.

Technical Assistance/Training

A. The Coast Guard works with the National Association of State Boating Law Administrators (NASBLA) to develop boating safety training and accident investigator training for state officers. Boating safety training is provided at the Coast Guard Reserve Training Center. Accident investigation seminars are funded by non-profit grants to NASBLA. Underwriters Laboratories supports the training effort.

The Coast Guard works closely with the National Safe Boating Council (NSBC) and the National Water Safety Congress (NWSC) to develop outreach and education materials, courses and training opportunities for recreational boaters. The Coast Guard assists both of these groups with development and implementation of national campaigns, long range planning, financial planning and fiduciary responsibility, as well as overall strategic planning. In addition, Coast Guard provides subject matter and technical assistance in their conference planning and in all of their activities pertaining to education, outreach, partnering and program enhancement.

The Coast Guard provides assistance to the above mentioned non-profits in creating appropriate measures of program effectiveness; project and program planning; and program implementation and evaluation.

B. See above.

C. N/A

D. Financial support is provided for selected projects through the grant program and technical support is provided upon request as available.

Relationship with Non-Profits

A. Services provided include boating safety public education, information and outreach activities, training, coordination of state programs, voluntary boating safety standards development, research and data analysis. Additionally certain non-profit organizations provide scholarships to individuals and groups to attend and/or participate in national

meetings and conferences; and grants (at grass roots level) to initiate new innovative boating safety programs as well as additional funding to enhance existing programs to reach more people.

B. The relationship with the National Association of State Boating Law Administrators has been very effective in coordinating cooperative Federal/State efforts in carrying out the National Recreational Boating Safety Program.

The relationship with the National Safe Boating Council has been very effective in coordinating and disseminating the National Safe Boating Campaign. Through this campaign, millions of recreational boaters and marine industry leaders are exposed to jointly agreed upon messages that support and reinforce the critical messages for safe and enjoyable recreational boating -- BOAT SAFE, WEAR A LIFEJACKET, MAINTAIN A PROPER LOOKOUT, and NEVER BOAT WHILE UNDER THE INFLUENCE OF ALCOHOL OR DRUGS.

C. No.

Public Policy

A. Yes, several grant project efforts provide information useful in considering the need for or form of regulations.

B.

- Grants to NASBLA have enabled development of National Operator proficiency Standards for creation and development of standardized national boating safety education curriculum/courses.
- Grants to Underwriters Laboratories have provided information regarding the feasibility of development of Federal regulations addressing specific safety issues.
- Grants to the National Association of State Boating Law Administrators and JSI Research and Training Institute have provided estimates of personal flotation device wear which is useful in determination of the need for PFD wear requirements.
- Grants to the American Boat and Yacht Council have ensured public participation in voluntary boat and equipment safety standards development.
- A grant to National Recreation and Park Association for development of "Best Practices Manual and Program for Personal Watercraft Liveries & Rental Groups". This will help establish national criteria for these rental operators of PWC to adhere to national standards and guidelines for renting, operating, insuring and overseeing safe and effective recreational rental operations.

C. No barriers.

D. N/A

Foundations

- A. We work closely with the BoatU.S. Foundation for Boating Safety.
- B. Several grants have been awarded to the BoatU.S. Foundation over the years. A grant was awarded to develop a rental program for Emergency Position Indicating Radio Beacons. This program has been continued and expanded. A successful boating and alcohol brochure was developed and distributed under a grant. A new grant provides for development of angler and hunter boating safety interventions.
- C. N/A
- D. N/A

Resources

- A. For fiscal year 2000 \$2,950,000 is available for awarding grants to national non-profit public service organizations. The funds are derived from federal marine fuel taxes deposited in the Aquatic Resources (Wallop-Breaux) Trust Fund.
- B. A notice of availability of grant funds and solicitation of grant project proposal is published in the Federal Register in October of each year. This Notice is also posted on the Office of Boating Safety Web page. Additionally, a grant application package is mailed to all previous grant recipients.
- C. A complete Grant Application Package contains necessary administrative information. Also, a grant program administrator is available to answer specific questions.
- D. We are reviewing our non-profit grant program administrative requirements. We have solicited input from grantees. We are also working with the Department regarding electronic grant program initiatives.

Communication

- A. Telephone, fax, e-mail communications, as well as a Web page.
- B. The non-profit grant solicitation is posted on our Web page. The recreational boating safety non-profit grant program doesn't currently participate in the Non-Profit Gateway.
- B. We are exploring expanded electronic communications.

Competition

A. N/A

B. N/A

Survey from White House Interagency Task Force on Non-Profits and Government Philanthropy
Office of Shore Activities (G-OCS)
POC: CAPT Goward

Introduction

Provides support to youth groups (sea scouts, BSA/GSA, Naval Sea Cadets, CG Aux) at station/Group level.

Technical Assistance/Training

N/A

Relationship with Non-Profits

Youth activities, historic preservation
✓ CG Auxiliary – Boating Safety
Power Squadron – Boating Safety

Public Policy

N/A

Foundations

Association for Rescue at Sea

Resources

Support to youth groups (sea scouts, BSA/GSA, Naval Sea Cadets, CG Aux) at station/Group level.

Communication

N/A

Competition

N/A

Survey from White House Interagency Task Force on Non-Profits and Government Philanthropy
Office of Aids to Navigation (G-OPN)
POC: LT Miller

Introduction

- A. Through the course of everyday business, G-OPN allows the use of assets to assist non-profit organizations on a case by case basis as allowed by law as long as it does not interfere with operational commitments. G-OPN also operates many historical assets (lighthouses) that are frequently turned over or leased to non-profit historical groups.

Technical Assistance/Training

- A. G-OPN does not provide any technical assistance for non-profit organizations.
- B. N/A.
- C. N/A
- D. N/A

Relationship with Non-Profits

- A. Maintenance/support for historical assets.
- B. There is no "one"-model relationship for G-OPN to point to. The Coast Guard enters into leasing agreements for each individual asset being considered (e.g. lighthouse, etc.) with non-profit historical organizations interested in that local area.
- C. None.

Public Policy

- A. G-OPN does not engage non-profit organizations when developing public policy.
- B. N/A
- C. There are no barriers and no requirements for G-OPN to develop a working relationship with non-profit organizations.
- D. N/A. We have experienced a relative lack of interest from non-profit organizations where aids to navigation, except lighthouses, are concerned.

Foundations

- A. G-OPN does not have a working relationship with foundations or other private donors.
- B. N/A
- C. There are no barriers for G-OPN to develop a working relationship with foundations and other donors.
- D. N/A. We have experienced a relative lack of interest from foundations and private donors where aids to navigation, except lighthouses, are concerned.

Resources

- A. Through the course of everyday business, G-OPN allows the use of assets as allowed by law to assist non-profit organizations on a case by case basis as long as it does not interfere with operational commitments.
- B. By contacting any Coast Guard unit.
- C. No
- D. N/A.

Communication

- A. With regards to historic assets, the Coast Guard works with State Historic Preservation Officer's to make sure all interested non-profit organizations are aware of any leasing/maintenance/support opportunities.
- B. G-OPN does not maintain a web page.
- C. None.

Competition

- A. G-OPN does not require any non-profit participation.
- B. N/A

Survey from White House Interagency Task Force on Non-Profits and Government Philanthropy
Office of Aviation Management (G-OCA)
POC: CDR Mehling

Introduction

- A. Coast Guard aviation support is occasionally provided, on an as not to interfere basis, to non-profit organization. This support is most frequently provided to those agencies that are engaged in efforts to provide humanitarian assistance (Red Cross, etc.).

Technical Assistance/Training

- A. N/A
- B. N/A
- C. N/A
- D. N/A

Relationship with Non-Profits

- A. Emergency and Disaster Relief. Health and human services.
- B. N/A
- C. No significant obstacles.

Public Policy

- A. None in the aviation arena.
- B. N/A
- C. N/A
- D. N/A

Foundations

- A. No.
- B. N/A
- C. N/A
- D. N/A

Resources

- A. In-kind services of aviation resources.
- B. They can contact their local Coast Guard unit.
- C. No.
- D. N/A

Communication

- A. N/A
- B. No.
- C. None

Competition

- A. None
- B. N/A

**White House Interagency Task Force for Philanthropy
Response to
Survey Questions for Federal Departments and Agencies**

Introduction

A. The Assistant Commandant for Marine Safety & Environmental Protection (G-M) maintains relationships with a variety of nonprofits to help the Coast Guard realize the Vision Statement as *Valued maritime professionals leading the world to meet the marine transportation challenges of the 21st century*.

Nonprofits are engaged in two primary areas.

Through the Commandant's Direction: Teamwork - Partnering for a Stronger America, G-M aims to engage the human element in the elimination of accidents and incidents using the Prevention Through People (PTP) initiative. Currently eight PTP partnerships are active and one is being planned.

- ◆ American Waterways Operators
- ◆ Passenger Vessel Association
- ◆ Chamber of Shipping of America
- ◆ International Council of Cruise Lines
- ◆ Spill Control Association of America & Association of Petroleum Industry Cooperative Managers
- ◆ INTERTANKO
- ◆ Baltic and International Maritime Council
- ◆ American Pilots Association
- ◆ Vessel Traffic Services/Vessel Traffic Information Services (Pending)

G-M uses formal and informal relationships with several nonprofits to develop, correlate, and maintain National and International Standards applicable to the marine transportation industry. These relationships include:

- ◆ The American Bureau of Shipping
- ◆ The Society of Naval Architects and Marine Engineers
- ◆ The American Society of Mechanical Engineers
- ◆ The American Society on Testing and Materials
- ◆ The American Society of Naval Engineers

Relationships with not for profit organizations include:

- ◆ Underwriters Laboratories
- ◆ Factory Mutual Laboratories

Technical Assistance/Training

A – D Not applicable

Relationship With Nonprofits

A. G-M's nonprofit relationships allow for access to a rich variety of talents and expertise across the maritime industry not normally available for regulatory and non-regulatory effort. Access to resources and relationships are of great benefit. Of most benefit is the effective communication to the entire maritime industry through the nonprofits.

- B. 1. As examples, the American Bureau of Shipping (ABS) gains good interface through two venues with G-M.
The Ship Structure Committee, administered by G-M, is comprised of government agencies such as

Defence Research Establishment Atlantic (Canada), Maritime Administration (Department of Transportation), Military Sealift Command and Naval Sea Systems Command (Department of Defense), Transport Canada (Canada) as well as the United States Coast Guard. ABS is the only non government organization with membership on the committee. The Vision of the Committee is *To Eliminate Marine Structural Failures* . During the forty-four years of its existence, the Ship Structure committee has accomplished many projects including:

- ◆ Chemical and physical metallurgy
- ◆ Geometry of structural members
- ◆ New designs, new structural concerns
- ◆ Catamarans
- ◆ Dynamically supported vessels
- ◆ Cryogenic product
- ◆ Oil pollution prevention
- ◆ Reliability based ship design, and
- ◆ Inspection techniques

The Alternative Compliance Program (ACP), a PTP initiative, is a nonregulatory option for owners of tank vessels, passenger vessels, cargo vessels, miscellaneous vessels, and mobile offshore drilling units. It can best be described as an alternative to the traditional process of regulatory compliance. The Coast Guard is able to delegate statutory function to authorized classification societies. Simply put, the marine company does not comply directly with the Coast Guard. Instead, an equal level of safety is met by relying on an authorized classification society to conduct - in one session – all applicable reviews and inspections. To date, only ABS is authorized to participate in ACP. Of importance are the observable results:

- ◆ Communication between ABS and Coast Guard is strengthened, and
- ◆ International shipping standards are more easily conveyed by the Coast Guard through classification society rules.

2. The PTP partnerships, since their recent inception, have accomplished much in the engagement of the human element in accident and incident prevention. These activities include:

- ◆ Reduction of the towing vessel fatalities through the “Safe Decks” program
- ◆ Reducing tank barge oil spills
- ◆ Development of a voluntary towing vessel boarding program
- ◆ Implementation of the Streamlined Inspection Program (SIP) for passenger vessels
- ◆ Development of a passenger vessel risk management guide
- ◆ Coordination of emergency planning and preparedness including major SAR exercises
- ◆ Provision of training related to vessel inspection and incident command system use.
- ◆ Improve effectiveness of spill response
- ◆ Further sound risk management between private and government organizations, and
- ◆ Establishing a working near miss reporting system

C. Not applicable.

Public Policy

G-M enjoys very strong relationships with the Classification Societies such as ABS and Det Norske Veritas, and the Standards Societies such as ASTM and UL. These organizations and others are mentioned and referred to throughout 46 CFR.

Foundations

Not applicable

Resources

Not applicable

Communication

A Coast Guard Liaison is maintained at ABS. Point of contacts are established for each of the partnerships.

Competition

Not applicable

Public Policy

A. Do you have a working relationship with non-profits when it comes to developing public policy (e.g. regulatory and budgetary matters)?

Yes, there is a system in place where input is solicited from all members of the public regarding public policy. The Coast Guard has a website where questions can be directed and are expediently answered on many matters of interest to the public. In addition to the website, there is the Marine Safety Newsletter, which is published monthly. Another corridor for interaction with public non-profit organizations is the Public Meetings associated with rulemakings. The Coast Guard may conduct a public meeting before and during the time we are proposing a new regulation. At times we publish a notice of proposed rulemaking without scheduling a public meeting. However, if there are request from the public (including organizations) for a public meeting the Coast Guard will hold a meeting for the sole purpose of soliciting comment on proposed regulation.

B. If so, please provide some examples of collaborative activities and describe what worked well and why you think it worked well.

Regarding the Internet website for Small Business Request for Assistance, it has been our experience that non-profit organizations as well as small businesses frequently utilize this avenue. The success can be linked to the ease and familiarity the public has with the system, turnaround is immediate (same day minimum). The public wants easy access and immediate answers the website meets this need for all policy issues

As far as the Marine Safety Newsletter, the newsletter is mailed to the public and although the mailing list is maintained by the National Maritime Center (NMC) the list grows every time the newsletter is published. The Marine Safety Newsletter is a popular method of informing non-profit organizations of Coast Guard business and proposals.

In terms of policy matters, we also actively attempt to interface with the public on a personal level through Public Meetings associated with rulemakings. The approach we have to these meetings is to actively seek the opinion of the constituency or stakeholders from all members (including non-profit). This approach is successful because it allows the public to put a face to the issue and a human voice to answer their questions.

C. If not, what are the barriers to developing a working relationship with non-profits on public policy matters?

D. What do you think can be done to hurdle the barriers or strengthen the relationships with nonprofits when developing policy?

Continuing to open dialog and interaction with the interested parties to get responses on issues and identifying new issues of concern. One of the biggest hurdles is to convince the public their voice matters and to actually submit their comments. We need to actively seek public comment to the official docket from non-profit groups.

Survey from White House Interagency Task Force on Non-Profits and Government Philanthropy
Office of Auxiliary (G-OCX)
POC: CDR Thomson

Introduction



A. We are the program manager for the Coast Guard Auxiliary and its associated non-profit corporation, Coast Guard Auxiliary National Board, Inc. (NBI). NBI is incorporated as a non-profit organization as authorized by 14 USC 821(c). NBI conducts revenue-generating activities that allow it to support the missions of the Coast Guard in accordance with 14 USC 822.

Technical Assistance/Training

- A. We provide senior-level management guidance to the officers and board of NBI.
- B. The assistance is provided by the Chief Director of Auxiliary (G-OCX). Assistance consists of program management advice to help keep NBI's goals and operations consistent with laws and Coast Guard policies and program goals.
- C. Non-profit organizational development and management training or consulting.
- D. N/A

Relationship with Non-Profits

- A. Safety education, accident prevention, voluntary compliance, and emergency response for the recreational boating community.
- B. The relationship between the Coast Guard and NBI, which enables the Coast Guard Auxiliary to contribute over two million hours of volunteer support to the Coast Guard each year.
- C. Lack of sufficient program funding to provide necessary training and support, resulting in loss of volunteer membership.

Public Policy

- A. The Auxiliary actively participates in recreational boating safety policy development.
- B. The Auxiliary's vast pool of boating expertise contributes to the Coast Guard's policies on safety issues, such as boating safety education and wearing of personal flotation devices.
- C. N/A
- D. N/A

Foundations

- A. N/A
- B. N/A
- C. N/A
- D. N/A

Resources

- A. NBI receives grants, via the Coast Guard, from the Aquatic Resources (Wallop-Breaux) Trust Fund for boating safety education and accident prevention programs.
- B. Grants are managed by the Office of Boating Safety (G-OPB).
- C. No.
- D. N/A for this office; refer to response from (G-OPB), which administer the grants.

Communication

- A. We attend regular meetings of the board of NBI; as well as maintain daily liaison between the Chief Director and the President of NBI.
- B. N/A
- C. N/A

Competition

- A. To a large extent, we do not require the non-profit to deliver services; they do so voluntarily. However, without their services, we would suffer gaps in service delivery, particularly during major marine events and disasters.
- B. N/A

Survey from White House Interagency Task Force on Non-Profits and Government Philanthropy
Headquarters Command Center (G-OPF)
POC: CAPT Egan

Introduction

ICCL – Represents international consortium of large cruise line agencies: Agency-industry partnership; agency meets regularly to gather industry feedback and coordinate most efficient means of regulatory execution and coordinates voluntary initiatives to improve public safety. Co-hosts cruise-line disaster exercises and response symposiums with the Coast Guard in order to promote maritime and passenger safety.

National Response Center – USCG Command Center hosts a Congressionally mandated, non-profit consortium called the National Response Center (NRC) which provides first-alert, crisis networking, and data base support for those agencies that form the National Response System. This NRC operates on a fee-for-service basis and provides services for federal, state and local response organizations in the government sector. It provides the Chemical-Biological hotline for the Defense Department and first alert notification services for several DOT modes. Coast Guard, EPA and RSPA provide billets and bodies as well as overhead expense reimbursement. DOD provides funds to hire contractor staff for a 7x24 hour operation. Other agencies such as the Interior Dept pay fees for each report and database query.

National Center for Supercomputer Applications – ACCESS – hosts an informal consortium of response technology experts. NRC officials participate in ACCESS hosted events and collaborates in peer review of proposals.

The Arlington Institute – A strategic planning group for national security; provides internet-based colloquia on such matters as Y2K and high technology impacts on organizational training requirements. NRC officials participate in events hosted by the Arlington Institute.

Amateur Radio Relay League – Partnered with the NRC and the Coast Guard to provide a high frequency radio backbone for making rapid alerts of hazardous material releases during anticipated communications' disruptions of conventional communication infrastructure. ARRL assigned radio amateur volunteers to each sector of our nation during Y2K transition periods. Some CG Auxiliarists cooperated with the ARRL nets or actually served in a dual capacity.

ChemTrek – Industry supported non-profit that provides the container industry with a technical call center and repository for chemical hazard information. NRC and ChemTrek frequently share information in coordinating technical information for threat assessment by our FOSCs and first responders confronted by chemical spills.

ProMed – Collaborates directly with ChemTrek and the NRC to provide first responders with primary care medical procedures and precautions.

Federal Geographic Data Consortium (FDGC) – Non-profit consortium promoting coordination

of federal, state and local applications of Geographic Information Systems (GIS). NRC leadership participates in Consortium activities.

Technical Assistance/Training

- A. Of NRC employees is substantive in scope.
- B. Coast Guard officers running the CG Command Center are double-hatted to perform NRC management and training responsibilities.
- C. No comment.
- D. Other associations with non-profits listed are mainly matters of participation and collaboration during events and activities.

Relations with Non-profits

- A. NCSA provides substantial technical assistance as part of the ACCESS program to transfer supercomputing technology to the response community. Assistance is provided by academic employees and federal scientific community detailees.
- B. See PRO-MED, ICCL, and NRC below.
- C. More substantial assistance will be available in a more formal and properly resourced response technology testbed arrangement.
- B. PRO-MED provides first responders with critical care procedures for specific chemical hazards. NRC/USCG effectively gets this information to the field where it can be accessed by first responders and FOCSS.
- B. Model relationships can be epitomized by the close coordination between the Coast Guard and ICCL in coordinating cruise line safety and training standards among the industry.
- B. The symbiotic relationship between the Coast Guard Command Center and the NRC, which is a non-profit federal government enterprise model, is particularly effective in achieving the critical goals of marine environmental protection and safety of our ports and critical infrastructure.
- C. More effective relationships between federal agencies and non-profits are hindered in the emergency response arena due to federal privacy act restrictions, which prohibit revealing the identity of the people who make initial reports. A different issue; the NRC receives many reports that may lead to criminal prosecution due to potential environmental criminal activities. This information is rapidly sequestered by the FBI and Justice Department; non-profits are denied access to such information. Follow-up and closure of cases are impossible. The data compiled by the NRC is currently marketed only to the intergovernmental sector. There appears to be a commercial market for this information. The procedures to develop the commercial side of the NRC is yet to be exploited but will involve legal obstacles yet to be clearly defined.

Public Policy

No significant material to report.

Foundations

- A./B. Some positive impact from these groups in collaborative/sponsored activities at ACCESS and FDGC.
- C. To be developed, criteria for private donors to participate in a response technology supercomputing grid testbed. (Some interest already indicated by ESRI.)
- D. Networking and opening access to the private sector through Guidance Boards or Steering Committees plus collaboration in preparation of grant proposals or evaluating grant proposals seems to be having a positive impact.

Resources

- A. Coast Guard resources provided to the NRC are substantial in the form of overhead, billets, and financial accounting services estimated at about \$1 million per year. Other agencies' fees and contributions amount to an additional \$1.2 million.
- B. Participation and networking in response technology working groups and informal consortia plus participation in various internet response technology bulletin boards seems to be effective means to share information and point non-profits in the direction of resources.
- C. No comment.
- D. No comment.

Communication

- A. Regular communication effected during participatory events and coordination meetings.
- B. Our Coast Guard web site for lessons learned (CGSAILS) is shared by ICCL and public service agencies like the Red Cross participating in cruise-ex and industry hosted NPREP. The Coast Guard expended almost half million dollars over two fiscal years developing a user friendly site that could meet the needs of government, industry, and the non-profit public service sector.
- C. No comment.

Competition

No comment.

Survey from White House Interagency Task Force on Non-Profits and Government Philanthropy
Office of Search and Rescue (G-OPR)
POC: LCDR Nelson

Introduction

Participate in National Association for Search and Rescue Conferences exchanging information. As a matter of policy, we use all available resources to conduct Search and Rescue, including non-profit organizations.

Technical Assistance/Training

N/A

Relationship with Non-Profits

Do not actively partner with other than exchange information. Most non-profit SAR organizations tend to be for Inland SAR.

Public Policy

General sessions of the National Search and Rescue Committee (where national SAR policy is formulated) are open to the public and some non-profits participate.

Foundations

N/A

Resources

N/A

Communication

N/A

Competition

N/A

Survey from White House Interagency Task Force on Non-Profits and Government Philanthropy
Office of Law Enforcement (G-OPL)
POC: LT Pasquina

Introduction

- A. G-OPL has two separate relationships with non-profits:
- 1) Direct contact through the commissioning of non-profits for surveys and studies. G-OPL has contracted the services of several non-profit agencies to conduct studies that have looked at a variety of different aspects that impact Coast Guard efforts.
 - 2) Indirect contact through the CG participation in conferences and academic studies. G-OPL members often are called upon to take part in a number of conferences and studies that relate to non-profit activity.

Technical Assistance/Training

- A. G-OPL provides very little technical assistance, however we often answer questions on Coast Guard policy and operations.
- B. Subject matter experts provide the assistance.
- C. N/A
- D. N/A

Relationships with Non-Profits

- A. The majority of services are in the way of academic studies. G-OPL uses non-profits to provide an unbiased view of CG impact on certain subjects.
- B. All relationships have been effective.
- C. N/A

Public Policy

- A. The G-OPL uses information derived from studies conducted by non-profit agencies to help determine and justify policy decision.
- B. G-OPL has used information from
- C. N/A
- D. N/A

Foundations

- A. G-OPL has had indirect contact with an occasional foundation while participating in conferences or with providing information for studies.
- B. N/A
- C. N/A
- D. N/A

Resources

- A. The only resources we directly provide non-profits are payment for services rendered. G-OPL has contracted studies to be conducted by non-profits to assess Coast Guard efforts.
- B. Through contacting us via our website.
- C. N/A
- D. N/A

Communication

- A. Most of the contact G-OPL has with non-profits is indirectly through other federal agencies. Often agencies such as State, NMFS, INS, etc, will be working with a non-profit, and they will be referred to us.
- B. Our website is for general public use. There is no designated area for non-profits. G-OPL does not participate in the Non-Profit Gateway.
- C. N/A

Competition

- A. We do not require any non-profit participation in our services, however we encourage any their participation..
- B. N/A

(3) Within the recreational boating mission, the Auxiliary conducts accident prevention/safety education, voluntary compliance inspections, and emergency response for the Coast Guard.

(4) The USCG Command Center hosts a Congressionally mandated, non-profit consortium called the National Response Center which provides first-alert, crisis networking and data base support for participating government response agencies.

c. Nonprofits as Provider of Support to Agency:

(1) The Coast Guard Foundation provides enrichment programs (education, social, and wellness) for Academy students and Coast Guard military members and their families.

(2) The Coast Guard Academy Alumni Association provides Academy cadets with extra advantage in education, athletic and professional training programs.

(3) Coast Guard Mutual Assistance provides loans and grants to qualifying active duty, reserve and retired military members; civilian employees; and Auxiliary.

(4) Of a somewhat less direct impact, professional associations benefit employee development (e.g., the Cooper Institute and National Wellness Association provide education courses).

4. My staff will provide this information to you electronically.

MICHAEL J. HALL

Encl: (1) Survey Responses Type A
(2) Survey Responses Type B

Copy: G-M, G-O, G-S, G-W, G-I

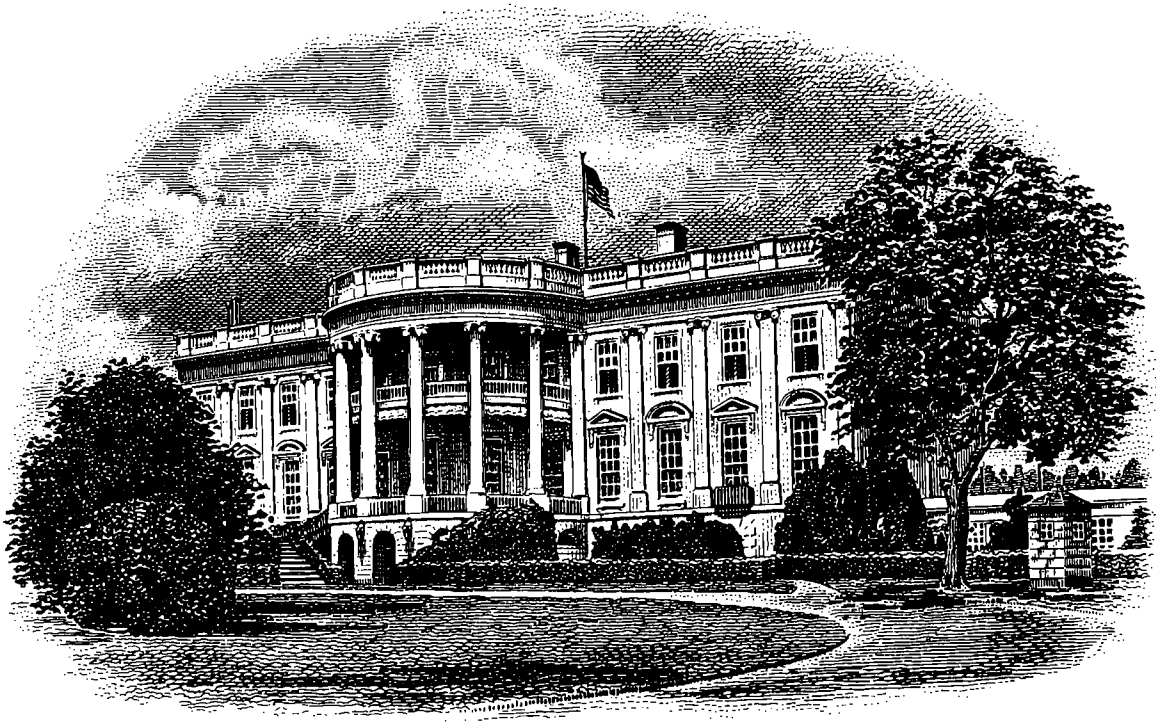
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The White House Conference on Philanthropy



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