



U.S. Department of  
Transportation

# BUDGET ESTIMATES

FISCAL YEAR 2014

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FEDERAL MOTOR  
CARRIER SAFETY  
ADMINISTRATION

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SUBMITTED FOR THE USE OF  
THE COMMITTEES ON APPROPRIATIONS



**FISCAL YEAR 2014 PERFORMANCE BUDGET  
SUBMISSION FOR THE USE OF THE COMMITTEES FOR APPROPRIATIONS**

**TABLE OF CONTENTS**

	<u>PAGE</u>
<b>SECTION 1: Overview</b>	
Statement of the Administrator .....	1
Federal Motor Carrier Safety Administration FY 2014 Budget Request Overview .....	7
Federal Motor Carrier Safety Administration Summary Statement .....	13
Exhibit 1-A: FMCSA FTE Organization Chart .....	15
Exhibit 1-B: FMCSA FTP Organization Chart .....	16
<b>SECTION 2: Budget Summary Tables</b>	
Exhibit II-1: FY 2014 Comparative Statement of New Budget Authority .....	17
Exhibit II-2: FY 2014 Total Budgetary Resources by Appropriation Account .....	18
Exhibit II-3: FY 2014 Budget Request by DOT Strategic and Organization Goals.....	19
Exhibit II-3-A: FY 2014 Budget Request by DOT Outcomes .....	20
Exhibit II-4: FY 2014 Budget Authority .....	21
Exhibit II-5: FY 2014 Outlays .....	22
Exhibit II-6-A: Summary of Requested Funding Changes from Base Motor Carrier Safety Operations and Programs .....	23
Exhibit II-6-B: Summary of Requested Funding Changes from Base Motor Carrier Safety Grants .....	24
Exhibit II-7: Working Capital Fund.....	25
Exhibit II-8: Personnel Resource Summary – Total Full Time Equivalents .....	26
Exhibit II-9: Personnel Resource Summary – Full-Time Permanent Positions .....	27

**FISCAL YEAR 2014 PERFORMANCE BUDGET  
SUBMISSION FOR THE USE OF THE COMMITTEES FOR APPROPRIATIONS**

**TABLE OF CONTENTS**

	<u>PAGE</u>
<b>SECTION 3: Budget Request by Appropriation Account</b>	
<b>SECTION 3A: Motor Carrier Safety Operations and Programs</b>	
Legislative Proposal, Liquidation of Contract Authorization, Limitation on Obligations, Highway Trust Fund.....	29
Motor Carrier Safety Operations and Programs - Program and Financing .....	31
Motor Carrier Safety Operations and Programs - Program and Performance Statement .....	33
Motor Carrier Safety Operations and Programs Object Classification.....	35
Personnel Resource Summary – Full Time Equivalent (FTE) .....	37
Personnel Resource Summary – Full Time Position (FTP).....	38
Motor Carrier Safety Operations and Programs Liquidation of Contract Authority .....	39
Exhibit III-1-A Appropriations Summary by Program Activities .....	41
Exhibit III-1-A-1 Summary of Changes from FY 2013 Annualized CR to FY 2014 Request Appropriations, Obligations, Limitations, and Exempt Obligations .....	42
Introduction to the Research and Technology and Information Development and Sustainment Detail Justification .....	43
IT Development and Sustainment.....	44
Research .....	51
Enforcement and Intervention.....	57
Safety Mission Support.....	77

**FISCAL YEAR 2014 PERFORMANCE BUDGET  
SUBMISSION FOR THE USE OF THE COMMITTEES FOR APPROPRIATIONS**

**TABLE OF CONTENTS**

	<u>PAGE</u>
<b>SECTION 3B: Motor Carrier Safety Grants</b>	
Legislative Proposal, Liquidation of Contract Authorization, Limitation on Obligations, Highway Trust Fund.....	113
Motor Carrier Safety Grants Program and Financing.....	115
Motor Carrier Safety Grants Program and Performance Statement .....	117
Motor Carrier Safety Grants Object Classification.....	119
Motor Carrier Safety Grants Liquidation of Contract Authority .....	121
Exhibit III-1-B Appropriation Summary by Program Activities.....	123
Exhibit III-1-B-1 Summary of Changes from FY 2013 Annualized CR to FY 2014 Request Appropriations, Obligations, Limitations, and Exempt Obligations .....	124
FY 2014 Motor Carrier Safety Grants .....	125
<b>SECTION 3C: Motor Carrier Safety</b>	
Motor Carrier Safety Program and Financing .....	131
Motor Carrier Safety Program and Performance Statement.....	132
Motor Carrier Safety Liquidation of Contract Authority.....	133
Motor Carrier Safety Limitation on Obligations .....	134
<b>SECTION 3D: National Motor Carrier Safety Program</b>	
National Motor Carrier Safety Program - Program and Financing.....	135
National Motor Carrier Safety Program - Program and Performance Statement .....	136
National Motor Carrier Safety Program Liquidation of Contract Authority .....	137
National Motor Carrier Safety Program Limitation on Obligations.....	138

**FISCAL YEAR 2014 PERFORMANCE BUDGET  
SUBMISSION FOR THE USE OF THE COMMITTEES FOR APPROPRIATIONS**

**TABLE OF CONTENTS**

	<u>PAGE</u>
<b>SECTION 3E: Administrative Provision</b>	
Motor Carrier Safety and Operations General Provisions .....	139
Motor Carrier Safety Grants General Provisions.....	140
Motor Carrier Safety Program General Provisions.....	141
National Motor Carrier Safety Program General Provisions.....	142
<b>SECTION 3F: Annual Performance Results and Targets</b>	
Exhibit III-2: Federal Motor Carrier Safety Administration Annual Performance Results and Targets .....	143
<b>SECTION 4: Research, Development and Technology Exhibits</b>	
Research, Development and Technology: Budget Authority .....	147

## Statement of the Administrator



Anne S. Ferro, FMCSA Administrator

I am proud to present the Federal Motor Carrier Safety Administration's (FMCSA or Agency) 2014 Budget Request of \$572M. This budget request supports the new Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) Authorization and aligns with the Agency's new 2012-2016 Strategic Plan and the United States Department of Transportation's (DOT) Strategic Framework and Roadway Safety Plan (RSP). Within that framework, FMCSA's safety programs comprise 97% or \$552M of the overall budget request. Our mission is clear. We are committed to saving lives by reducing crashes, injuries, and fatalities involving commercial motor vehicle (CMV) transportation. I, along with all of FMCSA's employees, seek to achieve that mission and the purposes set forth in our authorizing legislation.

Since the inception of FMCSA in 2000, we have witnessed a drop in the fatality rate from 0.205 fatalities in large truck and bus crashes per 100 million vehicle miles traveled by all motor vehicles to 0.133 in 2010. Fatalities in large truck and bus crashes dropped from 5,620 in 2000 to 3,944 in 2010, a reduction of 1,676. The successes we have realized in reducing crashes, injuries, and fatalities are great, but there is more to be done. Every life is precious, and even one fatality is one too many.

Safety has always been and will continue to be our highest priority; therefore, we are increasing our focus and determination through a new strategic framework. That framework shapes our efforts into four Strategic Focus Areas: CMV "Safety 1st" Culture, Exponential Safety Power (Safety<sup>X</sup> Power), Comprehensive Data Utilization and Leveraging Technology, and One FMCSA. It employs three core principles: raise the bar to enter the motor carrier industry; maintain high safety standards to remain in the industry; and remove high-risk carriers, drivers, and service providers from operation. This budget requests additional resources needed to support our strategic framework and maximize the effectiveness and efficiency of our safety programs.

We will continue to strengthen our partnerships with Federal, State, local, tribal, and foreign governments; reach out to all stakeholders—our citizens, the industry and related associations, drivers, victims and advocacy groups; and collaborate effectively with other DOT safety agencies. Further, FMCSA is partnering with the Federal Highway Administration (FHWA) and the National Highway Traffic Safety Administration (NHTSA) to leverage and pool our resources to enhance roadway safety based on the premise that the loss of even one life on our roadways is unacceptable. Working together, we hope to eliminate crashes, injuries, and fatalities involving CMVs. Together we will "Raise the safety bar!"

### Enforcement and Compliance

Our largest program is Enforcement and Compliance Intervention, which oversees the operation of over 500,000 companies and seven million drivers. This program includes our Compliance, Safety, Accountability (CSA) program. The CSA program has improved operational efficiencies

resulting in more industry contacts to address regulatory compliance and safety performance deficiencies. The Agency exceeded its fiscal year 2012 intervention goal with more than 12,107 compliance reviews, and it continued the CSA process improvements that have brought safety to the forefront of industry's actions. Overall violation rates are down 8%, driver violations are down 10%, and safety awareness in the industry is up exponentially. Additionally, the Agency's Safety Measurement System (SMS) provides the industry with near real time access to their safety and compliance performance and provides the public with the same information so they can make informed consumer decisions.

Through the New Entrant Safety Assurance Program (NESAP), FMCSA completed more than 1,600 safety audits (SAs) and developed new streamlined procedures, using contract resources to dramatically reduce our backlog of overdue carriers. This complemented the more than 30,000 SA's completed by our state partners. In addition, we soon will be piloting a new approach for SAs that more closely ties our NESAP work to our CSA program.

FMCSA, together with the Federal Railroad Administration (FRA) also led efforts to address the transportation impacts associated with vastly increased oil and gas drilling. The North Dakota Division formed a strong partnership with the Federal Railroad Administration (FRA) to look at crashes between trucks and trains due to growing oilfield activity in western North Dakota. The Colorado Division completed a special project to investigate claims that existing regulatory exceptions and guidance related to the oil and gas industry were not being uniformly applied in various parts of the country.

Another priority we have is to ensure that only carriers with a demonstrated commitment to safety are permitted to operate on our nation's roadways. They must clearly meet our safety requirements for "fitness" to continue operating. FMCSA is taking steps to identify applicants for operating authority that may be "reincarnated" or "chameleon", motor carriers that attempt to operate under a new name, USDOT number, and operating authority to evade enforcement actions. This initiative will be an integral part of ongoing FMCSA efforts to establish the Unified Registration System (URS) which replaces the current registration information system with a single, online Federal system.

FMCSA published the Final Rule for a National Registry of Certified Medical Examiners on April 20, 2012. Based on estimates of roughly 400,000 drivers who undergo medical exams each month and the 900,000 healthcare providers who are eligible to be medical examiners, FMCSA anticipates a need for 40,000 certified medical examiners to be on the National Registry by mid-2014 when the requirement goes into effect. Also in 2014, we will develop the functionality and requirements for medical examiners to transmit data from the medical examiner's certificate to the State Driver Licensing Agency for commercial driver licensing holders. After the compliance date of May 21, 2014, FMCSA will require all CMV drivers to have their physical examinations performed only by certified medical examiners listed on the National Registry.

#### Information Development and Sustainment

Our Information Technology (IT) systems are critical to our data-driven enforcement and compliance program and provide real-time access to data for the enforcement community, industry, stakeholders, and the public. The IT sustainment program will focus on the operations



and maintenance of our core systems, meet all Federal Information Security Management Act (FISMA) requirements, implement the Motor Carrier Safety Enhanced and Expanded Vetting Initiative, operate FMCSA call centers, operate and maintain the National Registry (Phase I), and replace aging network and server infrastructure to meet IPv6 requirements.

We are leveraging technologies by conducting transformative research that focuses on risk factors and safety technologies to inform and enhance enforcement and compliance. We are identifying, testing, and deploying smart roadside technologies in partnership with Federal, State, and local safety agencies while accelerating the deployment of onboard safety systems by promoting the benefits to fleets and insurance carriers.

### Roadway Safety

Although our roadways are getting safer, FMCSA's focus on operator safety has never been sharper. FMCSA is dedicated to working with our state partners to aggressively pursue safety initiatives in areas like fatigue management, texting and hand-held cell phone use, and seat belt use to decrease the number of crashes and fatalities involving large trucks and buses on our nation's roadways. Taken together, our safety programs and oversight activities will refine and strengthen this mission.

It has now been five years since the Department, (FMCSA, FHWA, NHTSA, Research and Innovative Technology Administration (RITA), Federal Transit Administration (FTA), and the Office of the Secretary) produced its first Motorcoach Safety Action Plan which we recently updated. Drivers, company owners, safety managers, tour group organizers, safety advocates, and educators helped shape the 2012 Update by identifying actions necessary to increase motorcoach safety awareness, enforcement, and education. FMCSA continues to expand its efforts for motorcoach safety and find ways to ensure that passenger carrier travel is safe. FMCSA is also committed to ensuring accessible services, as required under the Americans with Disabilities Act (ADA), are adhered to and implemented.

FMCSA oversees the safety of trucks and buses entering the U.S. from Mexico and Canada including Federal safety enforcement activities at the U.S./Mexico border to ensure the Mexican carriers entering the U.S. are in compliance with Federal Motor Carrier Safety Regulations (FMCSRs). As important as this effort is, a lack of facilities and poor infrastructure makes the job dangerous. Therefore, we are requesting vitally needed resources to improve our border infrastructure so that inspectors have safe facilities to accomplish their safety critical job.

### Safety Mission Support (*Improvements and Efficiencies*)

As part of our continuous improvement effort, the FMCSA values its employees as its number one resource. To ensure continuity in our mission related activities, and minimize Agency costs, the Agency is emphasizing recruitment and retention programs to help maintain an experienced workforce. The Agency's primary recruitment and retention program is the Training Academy for new field investigators, auditors and inspectors. In FY 2013, the Academy Training program was revamped leading to accreditation in FY 2014.

The Agency has a more robust summer intern program, a mentoring and coaching program geared towards our investigators and border inspectors and an enhanced manager and supervisor-training program to include 360 degree<sup>1</sup> assessments and coaching. Additionally, FMCSA has a comprehensive program of Professional and Leadership Development for employees to ensure the staff has the most current skill set to perform the job function and to provide a supply of future leaders for the Agency through succession planning.

FMCSA fully supports the Department's Environmental Sustainability goal through compliance with Executive Order 13514 to include working to increase energy efficiency, reduce greenhouse gas (GHG) emissions, eliminate waste, and prevent pollution. FMCSA is replacing its vehicle fleet with environmentally-friendly vehicles, including hybrids and those using alternative fuels. Further, the Agency continues to encourage the use of telework and alternative work schedules to reduce congestion and pollution.

Finally, we are committed to a results-oriented transparent business model that measures performance through managing for results and reporting outcomes. FMCSA will strive to build a high-performance business process capable of addressing the challenges of the 21<sup>st</sup> century. The American people deserve a government that works, where the public interest is the highest priority, the impact of government spending is transparent and held to high, objective standards, and where measurable results and good management matter.

With the resources in this 2014 Budget Request, we can more effectively and efficiently meet our vision for a future with zero CMV crashes, fatalities, and injuries by striving towards a crash-free and fully accountable CMV transportation life cycle.

In support of the Administration's Accountable Government Initiative, the Agency has identified current and on-going cost saving initiatives that support the Campaign to Cut Waste. All savings generated from this initiative will be used to fulfill mission FMCSA's mission critical priorities.

Currently, FMCSA is investigating Agency policy that would reduce printing activities in the areas of personal desktop printers, color printing, and curtailing late print jobs that carry a rush job fee. Once the policy is finalized, FMCSA will vigorously monitor usage. With the attrition of existing personal desktop printers, FMCSA will no longer purchase nor replace new individual office/cubicle printers other than to comply with ADA rules. Savings anticipated to the Agency at \$20,000, includes ink cartridge purchases.

FMCSA National Training Center (NTC) has a new approach to offer instructor course refreshers by use of webinars. The NTC conducted refresher-training webinars of North American Standards Parts A & B in the first quarter FY 2012 for 10 Federal instructors and 225 State instructors, saving approximately \$20,000 in Federal travel costs and \$338,000 in State travel costs. Additionally, another \$63,000 in Federal travel savings was produced when

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<sup>1</sup> In an effort to better develop our leaders and executives, FMCSA has institutionalized a robust effort to assess the current capabilities of our leadership team and provide them with the coaching and access to training as well as other performance improvement tools. The 360 assessment is a statistically reliable and comprehensive feedback tool providing each participant with a full 360 degree view of themselves and their performance.

NTC leveraged the re-certification training of 60 FMCSA Hazardous Materials (HazMat) instructors to coincide with the existing Commercial Vehicle Safety Alliance's Cooperative Hazardous Materials Enforcement Division (COHMED) conference.

The Agency's annual contract review process identified a savings of \$300,000 in travel for FY 13 Grant management support; and a streamlining review of the Finance/Acquisitions Undelivered Orders (UDO) and the Close-out UDO contract produced a \$200,000 administrative cost savings.

Currently, the IT-mobile support contract cost is \$789,000. The estimated cost savings realized from limiting IT devices is approximately \$300,000 from FY 2010 to date.

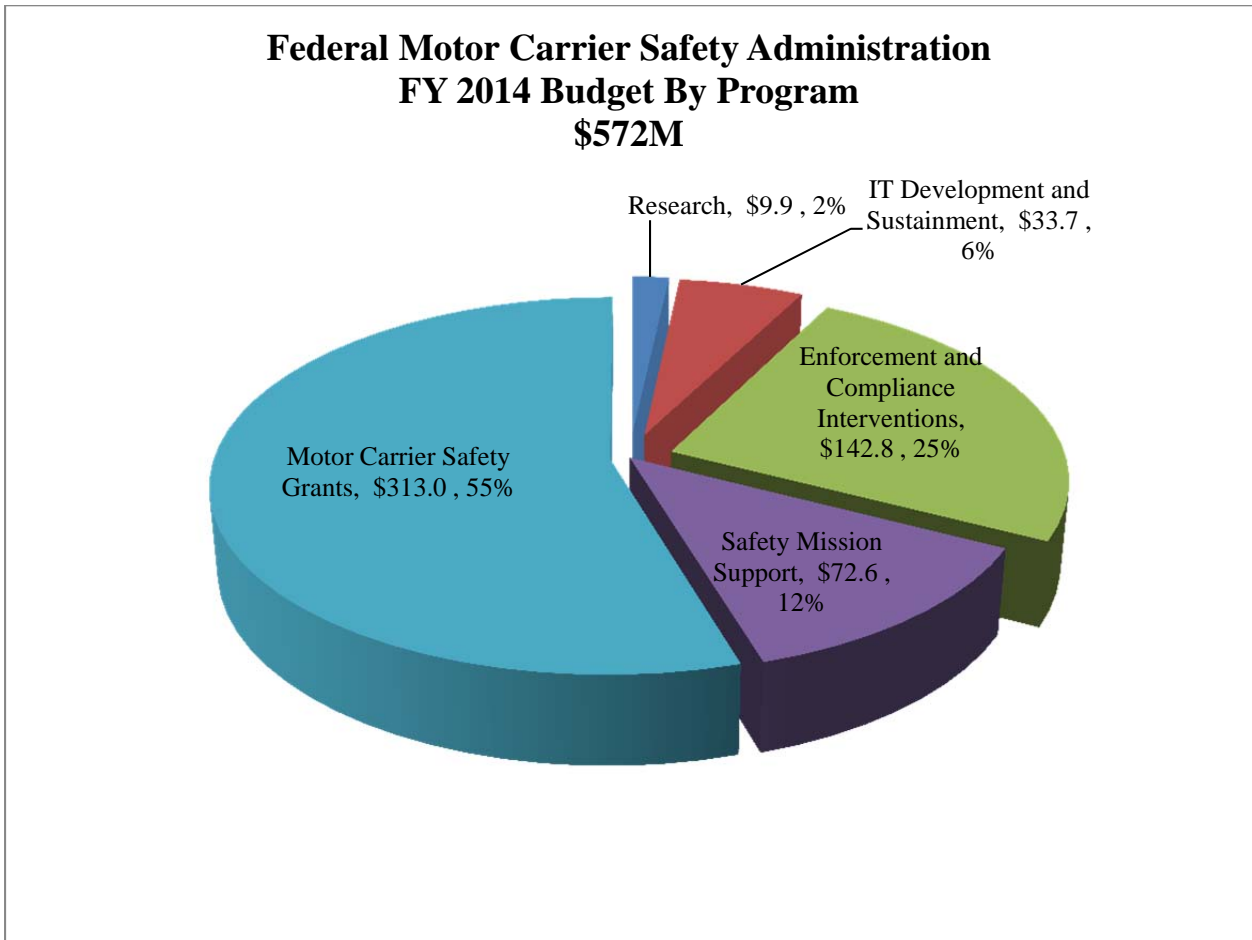
FMCSA is pursuing, to the maximum extent practical, the effort to reduce the cost of rented space by reviewing the space requirements in field offices as more and more employees' telework. There are 13 expiring rental agreements in FY 2013 for open review and potential space downsizing. Estimated savings are unknown at this point, and some offices will likely need additional space.

FMCSA has rigorously examined attendance at conferences and the resources that go into organizing and hosting conferences. We are reviewing annually recurring conferences and making recommendations for alternative venues. The current FY 2014 travel budget for conferences has a substantial reduction in travel events saving approximately \$50,000. Additionally, hosting conference events in federal facilities reduced costs by 75%, producing a savings of more than \$180,000 from FY 2012 to FY 2014.

FMCSA continues to support the Executive Order 13589, Promoting Efficient Spending.



**Federal Motor Carrier Safety Administration  
FY 2014 Budget Request  
Overview**



The Federal Motor Carrier Safety Administration (FMCSA) supports the Department’s safety strategic goal by delivering comprehensive safety programs and promoting operating standards focused on fostering safety as the highest priority within the commercial motor vehicle (CMV) transportation industry, including all entities that control or influence the operation of CMVs in the transportation life-cycle.

Over the next five years, the Agency will direct its resources to achieving the greatest objective of the plan and its mission: saving lives. This Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) budget aligns resources needed to support our strategic framework and maximize the effectiveness and efficiency of our safety programs. This budget also aligns to the Agency’s 2012-2016 Strategic Plan which is comprised of four strategic focus areas.

**Safety 1<sup>st</sup> Culture**

Through our Enforcement and Compliance Intervention programs, FMCSA educates, enforces, and engages with the motor carrier and driver industry. More than 500,000 companies are under the

jurisdiction of FMCSA and more than 7 million drivers hold commercial driver's licenses (CDL). The Enforcement and Compliance Intervention programs focus on raising the bar to enter the motor carrier industry, maintaining high safety standards to remain in the industry, and removing high-risk carriers, drivers, and service providers from operation.

Funding and FTE levels in this area support the overall safety-mission of the Agency and its associated programs. Through our Enforcement and Compliance Intervention programs we will:

- increase the amount of interventions, enforcement and engagement with the industry;
- continue to remove unsafe carriers and drivers from our roadways through all available tools;
- improve identification of chameleon carriers and job hoppers;
- improve the safety of motorcoach carriers and operators; and
- ensure the safety of Canadian and Mexican carriers and drivers; and increase public awareness about the transportation of household goods in interstate commerce to enable consumers to avoid becoming victims of moving fraud.

FMCSA is confident that this MAP-21 funding and staffing will allow the Agency to make a significant reduction in the numbers of truck and bus crashes, injuries, and fatalities and continue to improve safety on our Nation's roadways.

Reincarnated Carriers – MAP-21 authorizes the Agency to withhold, suspend, amend, or revoke a motor carrier's registration if the carrier fails to disclose its adverse safety history or other material facts on its application, or if the Agency finds that the applicant is a successor or closely related to another company with a poor compliance history. Funding will assist the Agency in combating this growing practice.

Entry-Level Driver Training – Funding will be used for the development of Entry-Level Driver Training following the standards set by rulemaking. MAP-21 directs the Agency to complete its proposed rule to require behind-the-wheel and classroom training for persons who must hold a CDL to operate CMVs in interstate commerce.

Electronic Logging Devices – In support of the Agency's rule for Electronic Logging Devices (ELD), funding will be used to support the requirement within MAP-21, which includes a provision mandating the use of ELDs for any driver regulated by the hours of service (HOS) rules. The rule would establish: (1) minimum performance standards for ELDs; (2) mandatory requirements for use of the devices by drivers required to prepare handwritten records of duty status (RODS); (3) requirements concerning HOS supporting documents; and (4) measures to ensure that the mandatory use of ELDs will not result in harassment of drivers by motor carriers and enforcement officials. This effort enables the automatic compliance assessment by FMCSA field staff and state enforcement agency partners. This new capability will reduce costs for industry, save time for enforcement staff, and improve safety through more robust requirements for tamper-resistance ELD equipment, data integrity, and data security.

Research – FMCSA's Research and Technology Program expands the knowledge and portfolio of deployable technologies and innovations to help reduce crashes, injuries, and fatalities. Research and Technology supports Agency rulemaking and contributes to a safe and secure commercial transportation system. The program works to ensure that FMCSA's State Agency partners and industry stakeholders are fully aware of research findings and technology evaluation results. The Agency has established effective partnerships with universities and the National Laboratories. FMCSA conducts collaborative

driver safety research and technology transfer activities with the Virginia Polytechnic Transportation Institute and motor carrier fleets that directly benefit the motor carrier industry in the areas of driver fatigue, driver safety management best practices, and onboard safety systems. The Agency also conducts enforcement technology research and technology transfer with the Oak Ridge National Laboratory in partnership with the Tennessee Department of Transportation, the Tennessee Highway Patrol, and interested motor carriers including H.T. Hackney Company, Tennessee Express, McKee Foods, and Greene Coach Tours.

### **Exponential Safety Power**

FMCSA has a staff of approximately 1,100 employees. However, through our grant programs, we are able to access State and local law enforcement and increase our reach to 12,000 individuals focused on motor carrier safety. We would not be able to improve safety without these vital partnerships and our grant funding. This FY 2014 Budget request reflects the continuation of the Agency's grant programs:

- Motor Carrier Safety Assistance Program (MCSAP)
  - Basic and Incentive Grants
  - High Priority Grants
  - New Entrant Grants
- Border Enforcement Grants
- Commercial Driver's License Implementation Program
- Performance and Registration Information Systems Management (PRISM)
- Commercial Vehicle Information Systems and Networks (CVISN)
- Safety Data Improvement Program
- Commercial Motor Vehicle Operator Training Grants

Motorcoach Safety – FMCSA oversees the safe operation of more than 4,000 motorcoach companies responsible for over 700 million passenger trips annually. FMCSA is committed to shifting the paradigm for motorcoach enforcement by creating *one safety standard for all passenger carrier travel*. FMCSA is conducting a top-to-bottom analysis of its current passenger carrier oversight system to strengthen its authority and practices. FMCSA has developed a 3-phase plan with both immediate and long-term actions. This approach employs three main components—enforcement, stakeholder engagement, and consumer outreach. As part of the enforcement effort, FMCSA inspectors, investigators, and auditors are undergoing specialized training aimed at investigating key areas of operations for motorcoach companies that present a safety risk. These operations are unique to the motorcoach industry, such as operating schedules, equipment storage, and driver qualifications (including evaluating the impact of part-time drivers who may work for more than one bus operator), among other safety concerns. These actions underline the importance of motorcoach safety in the Agency's agenda. While motorcoach travel is among the safest forms of roadway transportation, FMCSA knows it can and must be safer. FMCSA will engage all types of stakeholders involved in the motorcoach industry to achieve this outcome. In FY 2014, FMCSA plans to roll out formal training to all agency staff and make permanent the techniques and approaches being piloted in the FY 2013 operation.

Public Outreach and Consumer Education – Through public outreach, education, and program targeted campaigns, FMCSA spreads its safety-first mission to the American people and promotes awareness of its safety programs, activities and objectives through integrated marketing campaigns, online media,

educational materials, exhibits, videos, websites, and publications. For the Agency to successfully develop, promote, and administer educational, outreach, and digital strategies and tactics to the general public, motor carriers and CMV drivers, it requests the FY14 funding and FTE levels.

### **Comprehensive Data Utilization and Leveraging Technology**

FMCSA and our law enforcement partners are dependent on current and accurate data when assessing the safety of a motor carrier, driver, or vehicle. It is critical that when on the roadside, an officer knows the driver's previous violations and the carrier's safety history. At weigh stations and our borders, limited resources make it critical that the unsafe carriers be reviewed over those with strong safety histories.

Consistent with the FY 2014 MAP-21 provisions, the Agency will expand the use of performance data and will utilize technology to make this data/information available to the appropriate user populations, whether that is drivers, law enforcement, the public or the Agency.

National Registry of Certified Medical Examiners – MAP-21 or (SAFETEA-LU, as modified by MAP-21) mandated FMCSA to create regulations and develop a National Registry that is substantially complete. Medical examiners may now gain certification through the FMCSA Portal. Aligned with MAP-21, in FY 2014, the Agency will develop an electronic registry for medical examiners to transmit data from the medical examiner's certificate to the State Driver Licensing Agency for commercial driver licensing holders. Development of the National Registry Phase II systems capability will allow FMCSA to fulfill this congressional mandate.

Drug and Alcohol Clearinghouse – In 2005, The Office of the Secretary (OST) requested that FMCSA implement a rule to report the results of controlled substances and alcohol testing and MAP-21 provides explicit authority to create an electronic repository for positive records on alcohol and controlled substances results. FMCSA's FY 2014 budget includes the continued development of a clearinghouse system to provide employers and enforcement personnel with the information about drivers who test positive for illegal drug or alcohol use. This knowledge will prevent these high risk driver from operating commercial motor vehicles unless they complete the require return to duty process. The Agency is currently completing a notice of proposed rulemaking on this issue.

Research and Technology Program – The Agency's robust Research and Technology Program follows a systematic, data-driven approach that positions the Agency to develop future regulations and tools to better advance CMV safety improvements. The MAP-21 funding will continue to support research into driver fatigue, driver health, and development of driving skills in CMVs. In FY 2014, research will also address the increasing deployment of electronic devices in CMVs; collecting naturalistic driving and electronic onboard device data to support driver fatigue research and measure driver distraction. The program will continue to identify, test, evaluate, and deploy potential life-saving technologies such as large truck stability controls, new mobile CMV safety applications for roadside inspectors as well as motor coach passengers, and wireless roadside inspections.

The Information Development Program in the Budget submission follows a more detailed development model that supports the Agency's key safety process areas of Registration, Inspection, Compliance, and Enforcement (RICE).



- Registration – With MAP-21 in FY 2014, development will continue and include, but not be limited to, incorporating the vetting capability (ability to screen out reincarnated carriers) into the Unified Registration System and migrating the remaining operating authority functionality of the Licensing & Insurance system.
- Inspections – FMCSA’s Inspection process supports the inspection of vehicles and drivers and collects safety compliance data at the roadside and weigh stations.
- Compliance – The Agency’s Compliance process evaluates regulated entities for compliance with all safety regulations and allows FMCSA’s auditors and investigators to perform investigations and interventions.
- Enforcement – The Agency’s Enforcement process brings legal action against companies not in compliance with safety policies.

Data Management – The Data Management Program will help target improvements for FMCSA decision making tools. FMCSA will improve upon data quality and develop a data warehouse to enhance capabilities in disaster recovery, storage, testing, training, and staging.

### **One FMCSA**

The Agency’s “One FMCSA” focus area is part of our continued effort to develop an organization where every employee knows the Agency’s goals and how we are working toward them. This includes not only the Agency’s field staff that has a hands-on role in implementing safety programs or the Agency’s rulemaking and policy work that develops safety programs, but also mission support functions that support all of the Agency’s programs.

Through the One FMCSA vision, the Agency will have the critical leadership, management and services needed by its employees to ensure the success of the Agency’s core mission. By setting Agency direction and providing a safe and productive work environment for employees, proper training, and a robust recruitment and retention program, the Agency will maintain the highest level of organizational excellence and productivity toward the safety mission. Centralized oversight and internal controls and financial and budget reporting are crucial in the delivery of the Agency’s safety mission and in maintaining the integrity of the Agency and its safety programs.

The mission support functions include legal services and are essential to maintaining and improving the delivery of FMCSA’s important programs and operations. Leadership direction has contributed to reduced fatalities; human resources has provided the resources needed to develop competent safety staff; acquisitions, training and management services provide the tools needed to deliver the Agency’s programs, and the needed direction has been provided to the Agency’s grant programs. Robust employee retention and recruitment strategies, leadership development programs and opportunities, safety, health and wellness programs, and proper support and equipment are identified as key factors government wide for maintaining a high performance workforce. The functions within this budget group have been proven to support the Agency in its Safety mission and contribute to our success in lowering the total highway fatalities.

## **Conclusion**

FMCSA's MAP-21 FY 2014 Budget requests \$10 million funding and 26 FTE above the FY 2013 Annualized CR. With these additional resources, FMCSA can more effectively and efficiently deliver a future that moves towards zero CMV crashes, fatalities, and injuries by striving towards a crash-free and fully accountable CMV transportation life-cycle.

## FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

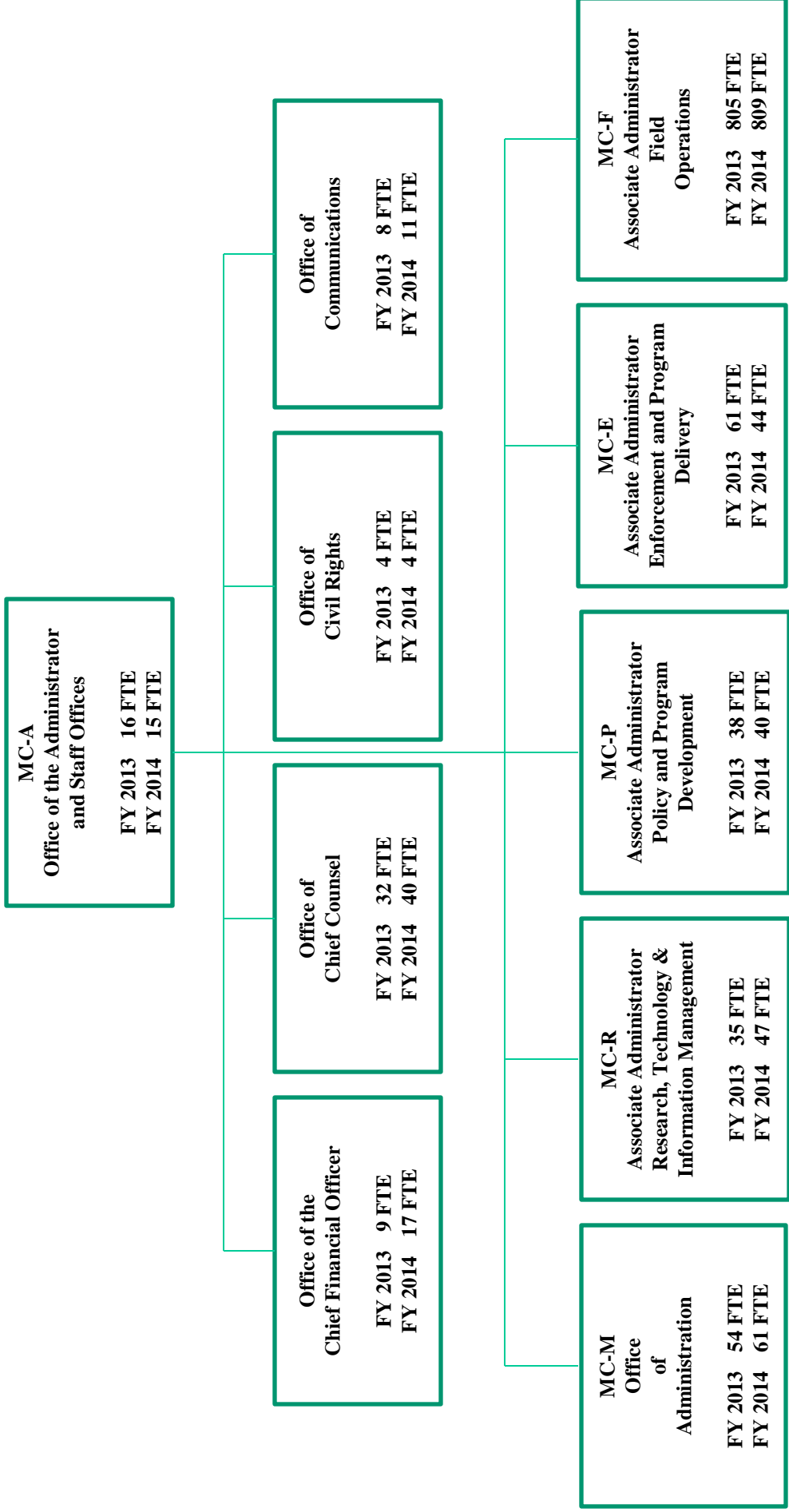
The Federal Motor Carrier Safety Administration (FMCSA) was established within the Department of Transportation by the Motor Carrier Safety Improvement Act of 1999 (P.L. 106-159). Prior to this legislation, motor carrier safety responsibilities were under the jurisdiction of the Federal Highway Administration.

FMCSA's mission is to promote safe commercial motor vehicle operation and reduce truck and bus crashes. The agency also is charged with reducing fatalities associated with commercial motor vehicles through education, regulation, enforcement, and research and innovative technology, thereby achieving a safer and more secure transportation environment. Additionally, FMCSA is responsible for enforcing Federal motor carrier safety and hazardous materials regulations for all commercial vehicles entering the United States along its southern and northern borders.



Federal Motor Carrier Safety Administration

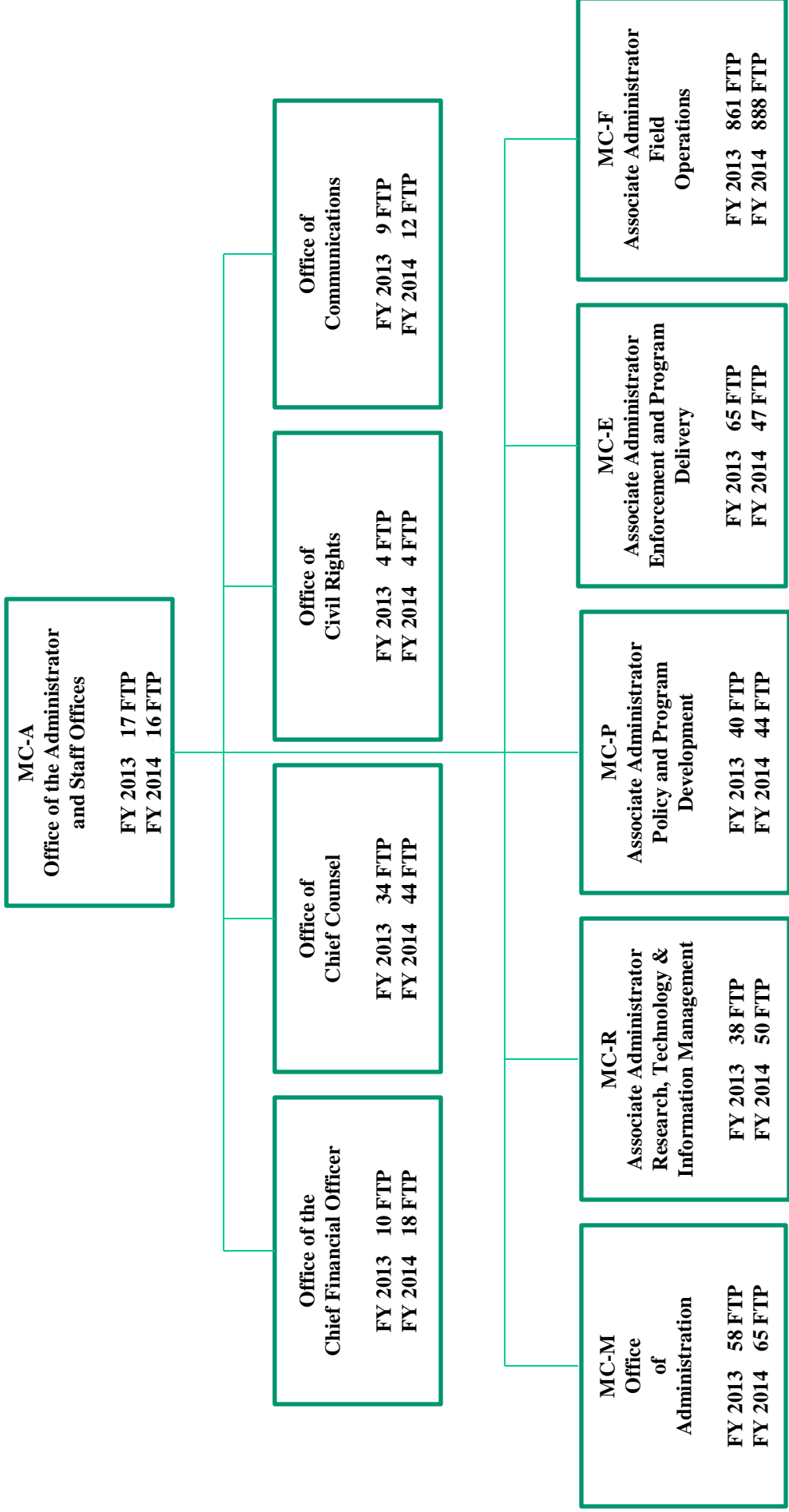
FTE Organization Chart



Total FY 2013 Request: 1,062 FTE  
Total FY 2014 Request: 1,088 FTE

Federal Motor Carrier Safety Administration

Organization Chart



Total FY 2013 Request: 1,136 FTP  
Total FY 2014 Request: 1,188 FTP

**EXHIBIT II-I**

**FY 2014 COMPARATIVE STATEMENT OF NEW BUDGET AUTHORITY  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**

**(\$000)**

<b>ACCOUNT NAME</b>	<b>FY 2012 ACTUAL</b>	<b>FY 2013 CR ANNUALIZED</b>	<b>FY 2014 REQUEST</b>
Motor Carrier Safety Operations & Programs (Transportation Trust Fund Highway Account)			
Liquidation of Contract Authorization	(247,724)	(251,000)	(259,000)
Limitation on Obligations	(247,724)	(249,240)	(259,000)
Motor Carrier Safety Grants (Transportation Trust Fund Highway Account)			
Liquidation of Contract Authorization	(307,000)	(310,000)	(313,000)
Limitation on Obligations	(307,000)	(308,879)	(313,000)
CVISN Contract Authority, Section 131			
Rescission of Contract Authority	(1,000)	(1,000)	0
<b>TOTAL LIQUIDATION OF CONTRACT AUTHORITY</b>	<b>(554,724)</b>	<b>(561,000)</b>	<b>(572,000)</b>
<b>TOTAL LIMITATION ON OBLIGATIONS</b>	<b>(554,724)</b>	<b>(558,119)</b>	<b>(572,000)</b>

EXHIBIT II-2

FY 2014 TOTAL BUDGETARY RESOURCES BY APPROPRIATION ACCOUNT  
 FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
 Appropriations, Obligation Limitations, and Exempt Obligations  
 (\$000)

ACCOUNTS	FY 2012 ENACTED	FY 2013 CR ANNUALIZED	FY 2014 REQUEST
<b>Motor Carrier Safety Operations &amp; Programs:</b>			
Operating Expenses	191,919	193,093	206,458
Research and Technology	8,543	8,595	9,000
Information Management	34,618	34,830	29,542
Regulatory Development	8,755	8,809	9,000
Outreach and Education	2,889	2,907	4,000
Commercial Motor Vehicle Operating Grants	1,000	1,006	1,000
<b>Total Motor Carrier Safety Operations &amp; Programs</b>	<b>247,724</b>	<b>249,240</b>	<b>259,000</b>
<b>Motor Carrier Safety Grants:</b>			
<b>Motor Carrier Safety Assistance Program</b>	<b>212,000</b>	<b>213,297</b>	<b>218,000</b>
MSCAP Basic	165,350	166,362	168,275
MSCAP New Entrant	29,000	29,177	32,000
MSCAP High Priority	15,000	15,092	15,000
MSCAP Administrative Takedown	2,650	2,666	2,725
<b>Border Enforcement Grants (BEG)</b>	<b>32,000</b>	<b>32,196</b>	<b>32,000</b>
<b>Safety Data Improvement (SaDIP)</b>	<b>3,000</b>	<b>3,018</b>	<b>3,000</b>
<b>Commercial Vehicle Informaiton Systems and Networks (CVISN)</b>	<b>25,000</b>	<b>25,153</b>	<b>25,000</b>
<b>Perforamnce and Registration Information Systems Management (PRISM)</b>	<b>5,000</b>	<b>5,031</b>	<b>5,000</b>
<b>Commercial Drivers License Program Improvement (CDL)</b>	<b>30,000</b>	<b>30,184</b>	<b>30,000</b>
<b>Total Motor Carrier Safety Grants</b>	<b>307,000</b>	<b>308,879</b>	<b>313,000</b>
<b>Grand Total</b>	<b>554,724</b>	<b>558,119</b>	<b>572,000</b>



**EXHIBIT II-3**

**FY 2014 BUDGET REQUEST BY DOT STRATEGIC AND ORGANIZATION GOALS  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
(\$000)**

	Safety	Environmental Sustainability	State of Good Repair/ Infrastructure	Livable Communities	Economic Competitiveness	Organizational Excellence	
<b>MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS</b>	<b>238,708</b>	<b>0,000</b>	<b>0,000</b>	<b>0,000</b>	<b>3,217</b>	<b>17,075</b>	<b>259,000</b>
<b>SAFETY</b>	<b>238,708</b>						<b>238,708</b>
Enforcement and Intervention (Programs)	139,562						139,562
IT Development and Sustainment	33,686						33,686
Research	9,907						9,907
Safety Mission Support	55,553						55,553
<b>ENVIRONMENTAL SUSTAINABILITY</b>		<b>0,000</b>					<b>0</b>
<b>STATE OF GOOD REPAIR/ INFRASTRUCTURE</b>			<b>0,000</b>				<b>0</b>
<b>LIVABLE COMMUNITIES</b>				<b>0,000</b>			<b>0</b>
<b>ECONOMIC COMPETITIVENESS</b>					<b>3,217</b>		<b>3,217</b>
Enforcement and Intervention (Programs)					3,217		3,217
<b>ORGANIZATIONAL EXCELLENCE</b>						<b>17,075</b>	<b>17,075</b>
Safety Mission Support						17,075	17,075
<b>MOTOR CARRIER SAFETY GRANTS</b>	<b>313,000</b>	<b>0,000</b>	<b>0,000</b>	<b>0,000</b>	<b>0</b>	<b>0</b>	<b>313,000</b>
<b>SAFETY</b>	<b>313,000</b>	<b>0,000</b>	<b>0,000</b>	<b>0,000</b>	<b>0</b>	<b>0</b>	<b>313,000</b>
Enforcement and Intervention (Grants)	313,000	0,000	0,000	0,000	0	0	313,000
<b>TOTAL FY 2014 REQUEST</b>	<b>551,708</b>	<b>0,000</b>	<b>0,000</b>	<b>0,000</b>	<b>3,217</b>	<b>17,075</b>	<b>572,000</b>

FTE (direct funded only) 1,058 16 14 1,088

**EXHIBIT II-3-A**

**FY 2014 BUDGET REQUEST BY DOT OUTCOMES  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
(\$000)**

<u>DOT OUTCOME</u>	<u>PROGRAM</u>	<b>FY 2014 REQUEST</b>
<b>SAFETY</b>		<b>551,708</b>
Reduction in Injuries and Fatalities	Enforcement and Intervention (PRIMARY)	452,562
Reduction in Injuries and Fatalities	IT Development and Sustainment	33,686
Reduction in Injuries and Fatalities	Research	9,907
Other	Safety Mission Support (People,	55,553
<b>ENVIRONMENTAL SUSTAINABILITY</b>		<b>0</b>
<b>STATE OF GOOD REPAIR/ INFRASTRUCTURE</b>		<b>0</b>
<b>LIVABLE COMMUNITIES</b>		<b>0</b>
<b>ECONOMIC COMPETITIVENESS</b>		<b>3,217</b>
Maximize economic returns	Enforcement and Intervention (Programs	3,217
<b>ORGANIZATIONAL EXCELLENCE</b>		<b>17,075</b>
	Safety Mission Support	17,075
<b>TOTAL FY 2014 REQUEST</b>		<b>572,000</b>

EXHIBIT II-4

FY 2014 BUDGET AUTHORITY  
 FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
 (\$000)

ACCOUNTS	FY 2012 ACTUAL	FY 2013 CR ANNUALIZED	FY 2014 REQUEST
<b>Motor Carrier Safety Operations &amp; Programs:</b>			
Operating Expenses	191,916	193,093	206,458
Research and Technology	9,665	8,595	9,000
Information Management	34,618	34,830	29,542
Regulatory Development	8,755	8,809	9,000
Outreach and Education	2,889	2,907	4,000
Commercial Motor Vehicle Operating Grants	1,000	1,006	1,000
<b>Total Motor Carrier Safety Operations &amp; Programs</b>	<b>248,843</b>	<b>249,240</b>	<b>259,000</b>
<b>Motor Carrier Safety Grants:</b>			
<b>Motor Carrier Safety Assistance Program</b>	<b>211,974</b>	<b>213,297</b>	<b>218,000</b>
MSCAP Basic	165,350	166,362	168,275
MSCAP New Entrant	29,000	29,177	32,000
MSCAP High Priority	15,000	15,092	15,000
MSCAP Administrative Takedown	2,624	2,666	2,725
<b>Border Enforcement Grants (BEG)</b>	<b>32,000</b>	<b>32,196</b>	<b>32,000</b>
<b>Safety Data Improvement (SaDIP)</b>	<b>3,000</b>	<b>3,018</b>	<b>3,000</b>
<b>Commercial Vehicle Information Systems and Networks (CVISN)</b>	<b>16,872</b>	<b>25,153</b>	<b>25,000</b>
<b>Performance and Registration Information Systems Management (PRISM)</b>	<b>4,505</b>	<b>5,031</b>	<b>5,000</b>
<b>Commercial Drivers License Program Improvement (CDL)</b>	<b>29,125</b>	<b>30,184</b>	<b>30,000</b>
<b>Total Motor Carrier Safety Grants</b>	<b>297,476</b>	<b>308,879</b>	<b>313,000</b>
<b>Grand Total</b>	<b>546,319</b>	<b>558,119</b>	<b>572,000</b>

**EXHIBIT II-5**

**FY 2014 OUTLAYS  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
(\$000)**

<b>ACCOUNT NAME</b>	<b>FY 2012 ACTUAL</b>	<b>FY 2013 CR ANNUALIZED</b>	<b>FY 2014 REQUEST</b>
Motor Carrier Safety	0	5,173	0
National Motor Carrier Safety Program	1,000	3,600	0
Motor Carrier Safety Operations & Programs	242,693	242,546	235,717
Motor Carrier Safety Grants	274,098	282,969	310,828
<b>TOTAL</b>	<b>517,791</b>	<b>534,288</b>	<b>546,545</b>
<b>[Mandatory]</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>[Discretionary]</b>	<b>517,791</b>	<b>534,288</b>	<b>546,545</b>

EXHIBIT II-6

SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE  
 FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
 Appropriations, Obligation Limitations, and Exempt Obligations  
 (\$000)

BASELINE CHANGES

Motor Carrier Safety Operations and Programs  
69-X-8159

	FY 2012 CR ENACTED	2013 FTE ANNUALIZATION	2013 PAY ADJ	2014 PAY RAISES	ONE ADDITIONAL COMPENSABLE DAY	GSA RENT	WCF INCREASE/ DECREASE	INFLATION/ DEFLATION	FY 2014 BASELINE ESTIMATE	PROGRAM INCREASES/ DECREASES	FY 2014 REQUEST
<b>PERSONNEL RESOURCES (FTE)</b>	1,062								1,062	26	1,088
Direct FTE	1,062								1,062	26	1,088
<b>FINANCIAL RESOURCES</b>											
<b>ADMINISTRATIVE EXPENSES</b>				\$1,138					\$114,721	\$2,838	\$117,559
Salaries and Benefits	\$113,018	\$0							\$565		\$11,940
Travel	\$11,363								\$57	\$520	\$13,500
GSA Rent	\$11,721								\$59	\$1,720	\$9,847
Administrative Costs (Training, Supplies, Equipment)	\$8,407								\$42	\$8,449	\$28,793
Contracts	\$29,031								\$145	(\$383)	\$9,500
WCF	\$8,765								\$44	\$8,809	\$5,657
Program Cost (Fleet, Border Facilities, Academy, Uniforms)	\$9,614								\$48	\$9,662	\$15,319
<b>Administrative Subtotal</b>	<b>\$191,919</b>	<b>\$0</b>		<b>\$1,138</b>				<b>\$960</b>	<b>\$194,017</b>	<b>\$12,441</b>	<b>\$206,458</b>
<b>PROGRAMS</b>											
Research and Technology	\$8,543								\$43	\$414	\$9,000
Information Management	\$34,618								\$173	(\$5,249)	\$29,542
Regulatory Development	\$8,755								\$44	\$8,799	\$9,000
Outreach and Education	\$2,889								\$14	\$2,903	\$4,000
<b>Programs Subtotal</b>	<b>\$54,805</b>	<b>\$0</b>		<b>\$0</b>				<b>\$274</b>	<b>\$55,079</b>	<b>(\$3,537)</b>	<b>\$51,542</b>
<b>GRANTS</b>											
Commercial Motor Vehicle Grant	\$1,000								\$0	\$1,000	\$1,000
<b>Total Grants</b>	<b>\$1,000</b>	<b>\$0</b>		<b>\$0</b>				<b>\$0</b>	<b>\$1,000</b>	<b>\$0</b>	<b>\$1,000</b>
<b>TOTAL</b>	<b>\$247,724</b>	<b>\$0</b>	<b>\$0</b>	<b>\$1,138</b>				<b>\$1,234</b>	<b>\$250,096</b>	<b>\$8,904</b>	<b>\$259,000</b>

EXHIBIT II-6

SUMMARY OF REQUESTED FUNDING CHANGES FROM BASE  
 FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
 Appropriations, Obligation Limitations, and Exempt Obligations  
 (\$000)

	BASELINE CHANGES										FY 2014 REQUEST	
	FY 2012 CR ENACTED	ANNUALIZATION 2013 FTE	2013 PAY ADJ	2014 PAY RAISES	COMPENSABLE DAY	GSA RENT	INCREASE /DECREAS	WCF INFLATION /DEFLATIO	FY 2014 BASELINE ESTIMATE	PROGRAM INCREASES/ DECREASES		
<b>Motor Carrier Safety Grants</b>												
<b>69-X-8158</b>	213,398											218,000
Motor Carrier Safety Assistance Program (MCSAP)												
MCSAP BASIC	165,350							1,067	213,060	2,098	4,940	168,275
MCSAP New Entrant	29,000							145	29,145	2,855		32,000
MCSAP High Priority	15,000							75	15,075	(75)		15,000
MCSAP Administrative Take-down	2,650							13	2,663	62		2,725
Border Enforcement Grants (BEG)	32,000							160	32,160	(160)		32,000
Safety Data Improvement (SaDIP)	3,000							15	3,015	(15)		3,000
Commercial Vehicle Information Systems and Networks (CVISN)	25,000							125	25,125	(125)		25,000
Performance and Registration Information Systems Management (PRISM)	5,000							25	5,025	(25)		5,000
Commercial Drivers License Program Improvement (CDL)	30,000							149	30,149	(149)		30,000
<b>GRAND TOTAL MOTOR CARRIER SAFETY GRANTS</b>	<b>307,000</b>							<b>1,534</b>	<b>308,534</b>	<b>4,466</b>		<b>313,000</b>

**EXHIBIT II-7**

**WORKING CAPITAL FUND  
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
(\$000)**

	<b>FY 2012 ENACTED</b>	<b>FY 2014 REQUEST</b>	<b>CHANGE FROM FY 2012 ENACTED</b>
<b>DIRECT</b>			
<b>Motor Carrier Safety Operations &amp; Programs</b>	8,765	9,500	735
<b>TOTAL</b>	<b>8,765</b>	<b>9,500</b>	<b>735</b>

**EXHIBIT II-8**

**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
PERSONNEL RESOURCE SUMMARY  
TOTAL FULL-TIME EQUIVALENTS**

	<b>FY 2012 ACTUAL</b>	<b>FY 2013 CR ANNUALIZED</b>	<b>FY 2014 REQUEST</b>
<b>DIRECT FUNDED BY APPROPRIATION</b>			
Motor Carrier Safety Operations & Programs	1,049	1,062	1,088
<b>SUBTOTAL, DIRECT FUNDED</b>	<b>1,049</b>	<b>1,062</b>	<b>1,088</b>
<b>REIMBURSEMENTS/ALLOCATIONS/OTHER</b>			
Motor Carrier Safety Operations & Programs	43	61	61
<b>SUBTOTAL, REIMBURSE./ALLOC./OTH.</b>	<b>43</b>	<b>61</b>	<b>61</b>
<b>TOTAL FTEs</b>	<b>1,092</b>	<b>1,123</b>	<b>1,149</b>



**EXHIBIT II-9**

**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
PERSONNEL RESOURCE SUMMARY  
TOTAL FULL-TIME PERMANENT POSITIONS**

	<b>FY 2012 ACTUAL</b>	<b>FY 2013 CR ANNULAIZED</b>	<b>FY 2014 REQUEST</b>
<b>DIRECT FUNDED BY APPROPRIATION</b>			
Motor Carrier Safety Operations & Programs	1,136	1,136	1,188
<b>SUBTOTAL, DIRECT FUNDED</b>	<b>1,136</b>	<b>1,136</b>	<b>1,188</b>
<b>REIMBURSEMENTS/ALLOCATIONS/OTHER</b>			
Motor Carrier Safety Operations & Programs	61	61	61
<b>SUBTOTAL, REIMBURSE./ALLOC./OTH.</b>	<b>61</b>	<b>61</b>	<b>61</b>
<b>TOTAL POSITIONS</b>	<b>1,197</b>	<b>1,197</b>	<b>1,249</b>



**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**  
**MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS**  
**(LIQUIDATION OF CONTRACT AUTHORIZATION)**  
**(LIMITATION ON OBLIGATIONS)**  
**(TRANSPORTATION TRUST FUND)**

*For payment of obligations incurred in the implementation, execution and administration of motor carrier safety operations and programs pursuant to section 31104(i) of title 49, United States Code, and sections 4127 and 4134 of Public Law 109-59, as amended by Public Law 112-141, \$259,000,000, to remain available until expended and to be derived from the Transportation Trust Fund (Highway Account) together with advances and reimbursements received by the Federal Motor Carrier Safety Administration, and to remain available until expended: Provided, That funds available for implementation, execution, or administration of motor carrier safety operations and programs authorized under title 49, United States Code, shall not exceed total obligations of \$259,000,000 for "Motor Carrier Safety Operations and Programs" for fiscal year 2014, of which \$9,000,000, to remain available for obligation until September 30, 2016, is for the Research and Technology program, and of which \$1,000,000 shall be available for commercial motor vehicle operator's grants to carry out section 4134 of Public Law 109-59: Provided further, That notwithstanding section 4127(e) of Public Law 109-59, none of the funds under this heading for outreach and education shall be available for transfer. (Department of Transportation Appropriations Act, 2013.) Note. — A full-year 2013 appropriation for this account was not enacted at the time the budget was prepared; therefore, this account is operating under a continuing resolution (P.L. 112-175). The amounts included for 2013 reflect the annualized level provided by the continuing resolution.*



**Department of Transportation  
Federal Motor Carrier Safety Administration  
Motor Carrier Safety Operations and Programs  
PROGRAM AND FINANCING**

(In thousands of dollars)

<b>Identification code 69-17-8159</b>		<b>FY 2012</b>	<b>FY 2013 CR</b>	<b>FY 2014</b>
		<b><u>Actual</u></b>	<b><u>Annualized</u></b>	<b><u>Pres. Bud.</u></b>
<b>Obligations by program activity:</b>				
0001	Operating Expenses	191,915	193,093	206,458
0002	Research and Technology	9,665	8,595	9,000
0004	Information Management	34,618	34,830	29,542
0006	Regulatory Development	8,755	8,809	9,000
0008	Outreach and Education	2,889	2,907	4,000
0009	Commercial Motor Vehicle Operating Grants	1,000	1,006	1,000
0100	Subtotal, direct program	<u>248,843</u>	<u>249,240</u>	<u>259,000</u>
0799	Total, direct obligations	248,843	249,240	259,000
0801	Reimbursable program	<u>15,976</u>	<u>15,000</u>	<u>15,000</u>
0900	Total new obligations	264,819	264,240	274,000
<b>Budgetary Resources:</b>				
<b>Unobligated balance:</b>				
1000	Unobligated balance brought forward, Oct 1	17,594	16,761	18,520
1001	<i>Discretionary unobligated balance brought forward, Oct 1 (non-add)</i>	4,414	4,740	
1020	Adjustment of unobligated bal brought forward, Oct 1	-1,146	0	0
1021	Recoveries of prior year unpaid obligations	4,824	0	0
1050	Unobligated balance (total)	<u>21,272</u>	<u>16,761</u>	<u>18,520</u>
<b>Budget authority:</b>				
<b>Appropriations, discretionary:</b>				
1101	Appropriation, (trust fund)	247,724	249,240	259,000
1137	Appropriations applied to liquidate contract authority	-247,724	-249,240	-259,000
1160	Appropriation, discretionary (total)	<u>0</u>	<u>0</u>	<u>0</u>
<b>Contract authority, discretionary:</b>				
1521	Unobligated balance of contract authority permanently reduced	0	0	0
1540	Contract authority, discretionary (total)	<u>0</u>	<u>0</u>	<u>0</u>
<b>Contract authority, mandatory:</b>				
1600	Contract authority	244,144	251,000	259,000
1621	Unobligated balance of contract authority permanently reduced	0	0	0
1640	Contract authority, mandatory (total)	<u>244,144</u>	<u>251,000</u>	<u>259,000</u>
Spending authority from offsetting collections, discretionary:				
1700	Collected	16,501	15,000	15,000
1701	Change in uncollected customer payments from federal sources	-337	0	0
1750	Spending auth from offsetting collections, disc (total)	<u>16,164</u>	<u>15,000</u>	<u>15,000</u>
1900	Budget authority (total)	260,308	266,000	274,000
1930	Total budgetary resources available	281,579	282,761	292,520
<b>Memorandum (non-add) entries:</b>				
1941	Unexpired unobligated balance ,end of year	16,761	18,520	18,520

**Department of Transportation  
Federal Motor Carrier Safety Administration  
Motor Carrier Safety Operations and Programs  
PROGRAM AND FINANCING**

(In thousands of dollars)

<b>Identification code 69-17-8159</b>		<b>FY 2012</b>	<b>FY 2013 CR</b>	<b>FY 2014</b>
		<b><u>Actual</u></b>	<b><u>Annualized</u></b>	<b><u>Pres. Bud.</u></b>
<b>Obligations by program activity:</b>				
<b>Change in obligated balance:</b>				
<b>Unpaid obligations:</b>				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	85,434	87,381	94,075
3001	Adjustments to unpaid obligations, brought forward, Oct 1	1,146	0	0
3010	Obligations incurred, unexpired accounts	264,819	264,240	274,000
3020	Outlays (gross)	-259,194	-257,546	-250,717
Change in uncollected customer payments from Federal sources:				
3040	Recoveries of prior year unpaid obligations, unexpired	-4,824	0	0
3050	Unpaid obligations, end of year	87,381	94,075	117,358
Memorandum (non-add) entries:				
3100	<i>Obligated balance, start of year</i>	86,580	94,075	117,358
3200	<i>Obligated balance, end of year</i>	87,718	94,075	117,358
<b>Budget authority and outlays, net:</b>				
<b>Discretionary:</b>				
4000	Budget authority, gross	16,164	15,000	15,000
Outlays, gross:				
4010	Outlays from new discretionary authority	199,030	186,930	194,250
4011	Outlays from discretionary balances	60,164	70,616	56,467
4020	Total outlays, gross (disc)	259,194	257,546	250,717
Offsetting collections from:				
4030	Federal sources (disc)	-124	0	0
4034	Offsetting government collections (from non-Federal sources)	-16,377	-15,000	-15,000
4040	Offsetting against gross budget authority and outlays (disc)(total)	-16,501	-15,000	-15,000
Additional offsets against gross budget authority only (disc):				
4050	Change in uncollected cust pymnts from federal sources (unexpired)(disc)	337	0	0
4060	Additional offsets against budget authority only (disc)(total)	337	0	0
4070	Budget authority, net (discretionary)			
4080	Outlays net (discretionary)	242,693	242,546	235,717
<b>Mandatory:</b>				
4090	Budget authority, gross	244,144	251,000	259,000
4160	Budget authority, net (mandatory)	244,144	251,000	259,000
4180	Budget authority, net (total)	244,144	251,000	259,000
4190	Outlays net (total)	242,693	242,546	235,717

## **MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS PROGRAM AND PERFORMANCE STATEMENT**

The Operations and Programs account provides the necessary resources to support program and administrative activities for motor carrier safety. Under the Administration's surface transportation authorization, Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) (P.L. 112-141), the Federal Motor Carrier Safety Administration (FMCSA) will continue to improve safety and reduce severe and fatal commercial motor vehicles crashes by raising the bar to entry into the commercial motor vehicle industry, by requiring operators to maintain standards to remain in the industry, and by removing high-risk carriers, vehicles, drivers and service providers from operation.

Funding supports nationwide motor carrier safety and consumer enforcement efforts, including the continuation of the Compliance, Safety and Accountability Program; Household goods regulation and enforcement, and Federal safety enforcement activities at the borders to ensure that foreign-domiciled carriers entering the U.S. are in compliance with FMSCA Regulations. Resources are also provided to fund regulatory development and implementation, information management, research and technology, grants to State and local partners, safety outreach and education , and the safety and consumer telephone hotline.





**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**  
**MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS**  
**OBJECT CLASSIFICATION**  
(\$ 000)

	<b>FY 2012 ACTUAL</b>	<b>FY 2013 CR ANNUALIZED</b>	<b>FY 2014 REQUEST</b>
<b>Direct Obligations:</b>			
Personnel compensation			
11.1 Full-time permanent	89,502	88,288	91,000
12.1 Civilian personnel benefits	28,230	25,730	27,000
<b>Total Personnel Compensation &amp; Benefits</b>	<b>117,732</b>	<b>114,018</b>	<b>118,000</b>
21.0 Travel and transportation of persons	9,123	9,163	9,000
23.1 Rental payments to GSA	11,951	13,130	14,000
24.0 Printing	229	700	700
25.0 Other Services	108,635	106,196	113,000
26.0 Supplies and materials	739	3,933	1,100
31.0 Equipment	190	1,100	2,200
41.0 Grants, subsidies, and contributions	1,000	1,000	1,000
99.0 Subtotal, Direct Obligations	249,599	249,240	259,000
<b>Reimbursable Obligations:</b>			
Personnel Compensation			
11.1 Full-time permanent	6,010	6,000	6,000
Total personnel compensation	6,010	6,000	6,000
12.1 Civilian personnel benefits	1,505	2,100	2,100
25.0 Other services	8,111	6,900	6,900
99.0 Subtotal, Reimbursable Obligations	15,626	15,000	15,000
99.9 <b>Total Obligations:</b>	<b>265,225</b>	<b>264,240</b>	<b>274,000</b>



**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
PERSONNEL RESOURCE SUMMARY  
TOTAL FULL-TIME EQUIVALENTS**

	<b>FY 2012 ACTUAL</b>	<b>FY 2013 CR ANNUALIZED</b>	<b>FY 2014 REQUEST</b>
<b>DIRECT FUNDED BY APPROPRIATION</b>			
Motor Carrier Safety Operations & Programs	1,049	1,062	1,088
<b>SUBTOTAL, DIRECT FUNDED</b>	<b>1,049</b>	<b>1,062</b>	<b>1,088</b>
<b>REIMBURSEMENTS/ALLOCATIONS/OTHER</b>			
Motor Carrier Safety Operations & Programs	43	61	61
<b>SUBTOTAL, REIMBURSE./ALLOC./OTH.</b>	<b>43</b>	<b>61</b>	<b>61</b>
<b>TOTAL FTEs</b>	<b>1,092</b>	<b>1,123</b>	<b>1,149</b>

**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
PERSONNEL RESOURCE SUMMARY  
TOTAL FULL-TIME PERMANENT POSITIONS**

	<b>FY 2012 ACTUAL</b>	<b>FY 2013 CR ANNUALIZED</b>	<b>FY 2014 REQUEST</b>
<b>DIRECT FUNDED BY APPROPRIATION</b>			
Motor Carrier Safety Operations & Programs	1,136	1,136	1,188
<b>SUBTOTAL, DIRECT FUNDED</b>	<b>1,136</b>	<b>1,136</b>	<b>1,188</b>
<b>REIMBURSEMENTS/ALLOCATIONS/OTHER</b>			
Motor Carrier Safety Operations & Programs	61	61	61
<b>SUBTOTAL, REIMBURSE./ALLOC./OTH.</b>	<b>61</b>	<b>61</b>	<b>61</b>
<b>TOTAL POSITIONS</b>	<b>1,197</b>	<b>1,197</b>	<b>1,249</b>

**MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS  
LIQUIDATION OF CONTRACT AUTHORITY (HIGHWAY TRUST FUND)**

CONTRACT AUTHORITY ESTIMATES	CONTRACT AUTHORITY
2006.....213,000,000	2006..... 213,000,000
	2006 Rescission of Contract Authority..... (2,130,000) <sup>1</sup>
2007.....223,000,000	2007..... 74,000,000
2008.....228,000,000	2008..... 228,000,000
	2008 Rescission of Contract Authority..... (1,815,553) <sup>2</sup>
2009.....234,000,000	2009..... 234,000,000
	2009 Rescission of Contract Authority..... (4,839,259) <sup>3</sup>
2010.....239,828,000	2010..... 239,828,000
2011.....244,144,000	2011..... 244,144,000
2012.....276,000,000	2012..... 244,144,000
2013.....250,000,000	2013..... 251,000,000
2014.....259,000,000	

**MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS  
LIMITATION ON OBLIGATIONS (HIGHWAY TRUST FUND)**

APPROPRIATION ESTIMATES	APPROPRIATION
2005.....213,000,000	
2006.....223,000,000	2006..... 213,000,000
	2006 Rescission of Liquidating Cash ..... (2,130,000) <sup>4</sup>
2007.....228,000,000	2007..... 210,870,000
2008.....234,000,000	2008..... 229,654,000 <sup>5</sup>
2009.....239,828,000	2009..... 234,000,000
	2009 Rescission of Liquidating Cash ..... (4,839,259) <sup>6</sup>
2010.....259,878,000	2010..... 239,828,000
2011.....276,000,000	2011..... 239,828,000
2012.....250,000,000	2012..... 247,724,000
2013.....250,000,000	2013..... 249,240,071 <sup>7</sup>
2014.....259,000,000	

<sup>1</sup> Applied 1.0% rescission pursuant to FY 2006 Enacted, P.L. 109-148

<sup>2</sup> Rescission of prior year carryover

<sup>3</sup> Enacted rescission of prior year carryover P.L. 111-8

<sup>4</sup> Enacted rescission pursuant to P.L. 109-148

<sup>5</sup> Enacted increase in Obligation Limitation to use prior year carryover contract authority

<sup>6</sup> Enacted 0.65% and \$200K rescission pursuant to P.L. 108-7

<sup>7</sup> Continuing Resolution Annualized P.L. 112-175



**EXHIBIT III-1-A**  
**MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS**  
**69-X-8159**  
**Appropriations Summary by Program Activites**  
**(\$000)**

<b>ACCOUNTS</b>	<b>FY 2012 ACTUAL</b>	<b>FY 2013 CR ANNUALIZED</b>	<b>FY 2014 REQUEST</b>
<b>Motor Carrier Safety Operations and Programs:</b>			
Operating Expenses	191,916	193,093	211,458
Research and Technology	9,665	8,595	9,000
Information Management	34,618	34,830	29,542
Regulatory Development	8,755	8,809	4,000
Outreach and Education	2,889	2,907	4,000
Commercial Motor Vehicle Grant	1,000	1,006	1,000
<b>Total Motor Carrier Safety Operations and Programs</b>	<b>248,843</b>	<b>249,240</b>	<b>259,000</b>
<b>FTE Direct Funded</b>	<b>1,049</b>	<b>1,062</b>	<b>1,088</b>
<b>FTE Reimbursable</b>	<b>43</b>	<b>61</b>	<b>61</b>

**EXHIBIT III-1-A-1**  
**MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS**  
**Summary Analysis of Changes from FY 2012 Enacted to FY 2014 Request**  
**Appropriations, Obligations, Limitations, and Exempt Obligations**  
**(\$000)**

	<b>Changes from FY 2012 Enacted to FY 2014 Request (\$000)</b>	<b>Changes from FY 2012 Enacted to FY 2014 Request (FTE)</b>
<b>FY 2012 Enacted</b>	<b>247,724</b>	<b>1,062</b>
<b>ADJUSTMENTS TO BASE</b>		
<b>2014 Pay Raises</b>	<b>1,138</b>	
<b>Inflation</b>		
PC&B	<b>565</b>	
Travel	<b>57</b>	
GSA Rent	<b>59</b>	
Administrative Costs (Training, Supplies, Equipment)	<b>42</b>	
Working Capital Fund	<b>44</b>	
Contracts	<b>419</b>	
Program Cost (Fleet, Border Facilities, Academy, Printing)	<b>48</b>	
<b>SUBTOTAL ADJUSTMENT TO BASE</b>	<b>2,372</b>	
<b>NEW OR EXPANDED PROGRAMS</b>		
Additional FTE	2,838	<b>26</b>
Travel	520	
GSA Rent	1,720	
Administrative Costs (Training, Equipment, Supplies)	1,398	
Working Capital Fund	691	
Contracts	<b>(3,920)</b>	
Program Cost (Fleet, Border Facilities, Academy,	5,657	
<b>SUBTOTAL NEW OR EXPANDED PROGRAMS</b>	<b>8,904</b>	<b>26</b>
<b>TOTAL ADJUSTMENT TO BASE</b>	<b>11,276</b>	<b>26</b>
<b>FY 2014 BUDGET REQUEST</b>	<b>259,000</b>	<b>1,088</b>



## Research and Technology Program and the Information Development and Sustainment Program

### What Do I Need To Know Before Reading This Justification?

FMCSA’s **Office of Research and Information Technology** has five functional components: Research and Technology; Information Development and Sustainment; Statistics and Analysis; Registration and Safety Information; and the Integrated Highway Safety Program Office. Each of these four components is described separately in the *FY 2014 Budget Estimates* submitted to the Office of Management and Budget.

MC-R Activity	FY 2014 Budget Request (\$000)	Detailed Justification Program Area	Page Number
Information Development and Sustainment	\$33,686	Information Development and Sustainment	45
Research and Technology	\$9,907	Research	53
Statistics and Analysis	\$3,940	Safety Mission Support	106
Registration and Safety Information <sup>1</sup>	\$10,523	Safety Mission Support	109
Integrated Highway Safety Program Office	\$5,000	Safety Mission Support	111

### **What is the Program?**

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FMCSA carries out its safety mandate through four key safety process Areas-Registration, Inspection, Compliance, and Enforcement (“R-I-C-E”). These four safety processes, and stakeholders involved, require both operational access to information to support the day-to-day business needs of FMCSA, states, insurers, and carriers, and analytical interfaces that fulfill research and reporting needs.

Historically, FMCSA data and information was organized based on a paper form structure. Systems were developed or selected for the particular end or case at hand without consideration of wider implications resulting in users accessing multiple systems to complete everyday tasks with the RICE safety process areas. For example, there are two systems used throughout registration process. Inspectors may access up to nine different systems for inspections, and safety investigators may access up to eight systems for compliance reviews. Depending on the complexity of a case, between five and ten applications are used in case enforcement. Thus, the IT program is about transforming this “accidental architecture” with very silo’d systems into a modern Service-Oriented-Architecture (SOA) environment under the Application & Information System Modernization (AISM) program initiative. A service-oriented information environment allows the timely exchange of data among business systems in an efficient and effective manner.

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<sup>1</sup> This Activity is funded by Licensing and Insurance Reimbursable funds and is a non-add item in the FMCSA FY 2014 budget request.

It also enables authoritative data sources distributed throughout the enterprise to be leveraged, and reduces unnecessary replication of data repositories.

FMCSA is undertaking an effort to re-plan its information technology (IT) modernization activities, AISM program. Specifically, the re-planning effort will address:

- An analysis of the current plan, including a root cause analysis to identify contributing problems in the management of the FMCSA IT modernization projects, externalities that make the current modernization plan infeasible, and a review of the Analysis of Alternatives to determine if the selected alternative remains valid.
- Identification of remediation actions to prevent contributing problems from re-occurring (including changes to IT investment governance), recommendations for changes to scope and/or capabilities that would be delivered in modernization efforts, proposals for new alternatives to analyze and updates to the selected alternative's cost baseline (if it remains valid).
- Proposal of a new baseline that fully describes the business need, performance measures (including baseline and target performance), and a product-oriented work breakdown structure and cost estimate that delivers customer-facing functionality every 90 days. The Program and Project Planning Manual (IPPM).

The final report, due by the end of April 2013, will include remediation of findings from a root cause analysis in addition to a proposed new baseline for the modernization program. The FY 2014 Budget Submission may be subject to changes to reflect any re-plan recommendations.

### **Detailed Justification for the Information Development and Sustainment Program**

#### **What Is The Request And What Will We Get For The Funds?**

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The FY 2014 funding request of **\$33.686M** for Information Technology Development and Sustainment Program is **\$5.589M** decrease over FY 2012 Enacted. This program consists of the following accounts:

- **Information Technology Development (\$18.156M includes 17.000M in IT Development Programs, Projects and Activities)** – all new development and system integration work, associated with this request. Data Analysis which focuses on ensuring data quality and accountability, and analyzing data to determine program effectiveness now appears in the Safety and Mission Support Program Activity.
- **IT Sustainment (\$12.542M)** – all operations and maintenance and related support, including Field IT Infrastructure. IT Sustainment will be funded out of FMCSA Operating Expenses Program Activity.
- **Integrated Highway Safety Program Office** – purpose is to maximize the overall quality of safety data and analysis based on state traffic records at DOT. The joint effort between National Highway Traffic Safety Administration (NHTSA) and FMCSA will establish a standard approach to collect report and analyze highway safety and

consolidate data. (The full description will be found under the Safety Mission Support Program with a request for \$5.0M).

Described below is the **IT Development** work to be conducted in FY14 within the RICE framework and other services:

**\*The FY 14 Budget Submission may be subject to change to reflect any re-plan recommendations.**

(\$000)				
Program Activity	FY 2012 Enacted	FY 2013 CR Annualized	FY 2014 Request	Difference from FY 2013 CR Annualized
<b><u>Operating Expenses</u></b>				
Personnel Compensation & Benefits	3,725	3,748	3,782	34
Administrative Costs <sup>1</sup>	494	497	362	-135
<b><u>Information Management</u></b>				
IT Development	21,478	21,210	17,000	-4,210
IT Sustainment	13,140	13,220	12,542	-1,278
<b>Total</b>	<b>38,837</b>	<b>34,430</b>	<b>33,686</b>	<b>-5,589</b>
<b><u>Staffing</u></b>				
Direct Positions	38	38	38	0
Reimbursable FTP	14	14	0	-14
Direct FTE	35	35	35	0
Reimbursable FTE	14	14	0	-14

**Registration (\$6.198M)** – In order to meet MAP-21 requirements, development work on building the Unified Registration System (URS) began. This work consisted of migrating the Licensing and Insurance (L&I) registration functionality to the Portal and developing the “turbo-tax” like user interface. In FY 2014, FMCSA will migrate carrier census data and development will continue and include, but not be limited to, incorporating the vetting capability into the Unified Registration System and migrating the remaining operating authority functionality of the Licensing & Insurance system.

**Inspections (\$1.613M)** – FMCSA’s Inspection process supports the inspection of vehicles and drivers and collects safety compliance data at the roadside and weigh stations. Five (5) systems are currently being utilized by inspectors; FMCSA will begin to replace functionality in those

<sup>1</sup> Administrative Costs may include: Travel, Training, Supplies, and Equipment

five “siloed” systems with business services within FMCSA’s Service Oriented Architecture (SOA) in FY 2014. Milestones will include deploying a new Windows and Tablet field application and deploying web services to select, review and approve inspections in the Portal. This will improve timeliness and quality of data and provide a more efficient and flexible inspection process.

**Compliance (\$2.149-M)** – The Compliance process evaluates regulated entities for compliance with all safety regulations and allows FMCSA’s auditors and investigators to perform investigations and interventions. FMCSA will enhance the safety compliance process by implementing the remaining CSA functionality in the SOA and implement the New Entrant interventions. In addition, FMCSA will migrate functionality currently provided by Compliance, Analysis, Performance, Review Information System (CAPRI) and Profile Viewer (ProVu) to the SOA. This will streamline the investigation process for the investigator. Several other compliance initiatives are included in this funding request (\$3.690M).

- **National Registry of Certified Medical Examiners (\$940,000)** – In FY 2013 FMCSA implemented the capability for medical examiners to register their certification through the FMCSA Portal at [www.nrcme.fmcsa.dot.gov](http://www.nrcme.fmcsa.dot.gov). In FY 2014 FMCSA will develop the functionality for medical examiners to transmit data from the medical examiner’s certificate to the State Driver Licensing Agency for commercial driver licensing holders. Development of the National Registry Phase II systems capability will allow FMCSA to meet this congressional mandate.
- **Drug and Alcohol Clearinghouse (\$2.750M)** – MAP-21 requires FMCSA to implement a rule to report the results of controlled substances and alcohol testing. FMCSA’s FY 2014 budget will start development work on a clearinghouse system to meet this mandate. Development of the fully compliant clearinghouse will be completed in FY 2014, for release in October 2014 concurrent with the rule before it becomes final.

**Enforcement (\$0K)** – The Enforcement process brings legal action against companies not in compliance with safety policies. FMCSA has delayed efforts for migrating functionality provided by enforcement tools such as Enforcement Management Information System (EMIS), CaseRite, and Uniform Fine Assessment (UFA) to the SOA until after FY 2014.

**Information Technology Services (\$3.350M)** – Information Technology Services supports development, implementation, and maintenance of IT functional services including enterprise architecture, enterprise data management, information sharing, IT strategic policy and planning, performance measurement, capital planning and investment control (CPIC), and portfolio management. It also covers the following activities:

- **Identity, Credentialing and Access Management (\$850,000)** – Provide development and services for implementation of the Personal Identity Verification (PIV) program. This effort will enhance authentication capabilities from a username/password-based system to a more secure Personal Identity Verification (PIV)-enabled authentication environment for FMCSA employees, industry and our state partners.

- **Enterprise Data Management (\$500,000)** – The Enterprise Data Management program will establish the guidance and oversight to FMCSA for data policy, data management, and data stewardship. The program supports the development of the agency-wide roadmap for trusted and reliable data to improve mission effectiveness and efficiency, eliminate existing stovepipe data systems, increase interoperability, and information sharing. Data architecture is the key governance tool to assure mission needs drive technology investments.
- **Investment Management, Planning, and Enterprise Architecture (\$2.000M)** – Provides the architecture and governance support for FMCSA IT investments. Enterprise Architecture (EA) supports a “blueprint” for systematically and completely defining FMCSA’s baseline environment, target environment, and transition plan to a common IT environment. The program establishes an agency-wide roadmap to improve mission effectiveness and efficiency, eliminate existing stovepipe systems, and increase interoperability and information sharing.

The **IT Sustainment** Program identified here will be funded from the Operating Expenses Program Activity. In FY 2014 IT Sustainment will focus on the operations and maintenance (O&M) of FMCSA’s core program, such as:

**Application Services and Management (\$600,000)** – This activity funds operations and maintenance of the web-based portal environment in support of the “RICE” safety process areas. It makes FMCSA more responsive to changing business demands, and more flexible to changing business processes. Key activities are ensuring the operational health of the portal environment by setting and maintaining appropriate service levels with business sponsors, detecting and handling exceptional conditions, and addressing any new security requirements.

**Communications and Education (\$1.500M)** – This activity funds maintenance and enhancements of both the internal and external websites. The internal websites enable employees to share ideas, access employee information and collaborate together to support FMCSA safety mission. The external websites inform regulated entities, state partners and the general public on issues involving motor carriers and motor carrier-related regulations.

**Legacy Application Services and Management (\$2.500M)** – This activity funds the maintenance and operations of current legacy systems that have not been modernized to support the modern SOA requirements. FMCSA needs to maintain these legacy systems to ensure the safe transition between legacy and future SOA environments. The funds will be used also to retire outdated and legacy systems that do not comply with current mandates, are no longer supported by their software vendors or have transitioned to the SOA environment. In addition, the re-planning effort will propose recommendations for near, mid and far time frames for the transition of the remaining FMCSA’s legacy systems.

**Electronic Document Management System (\$500,000)** – This activity funds the maintenance of the agency’s online document management system. This system provides the platform for enterprise content management and enterprise search capabilities for locating, accessing, storing,

retrieving, managing, and archiving agency documents. The electronic document management system improves our regulatory compliance activities, improves customer service and satisfaction with industry and reduces overall document storage costs.

**Enterprise Infrastructure (\$4.892M)** – This activity funds operations and maintenance of the central safety system infrastructure to support FMCSA’s mission. FMCSA operates a help desk for enforcement users, provides IT security support to reduce vulnerability and improve security and provides IT communication services for the stakeholder community. As cyber threats continually change and evolve, continuous active monitoring and analysis of the FMCSA infrastructure is essential. Activities will include: monitoring threats in order to mitigate risks and prevent unauthorized intrusions; reacting to incidents/attacks in order to minimize and remediate any damage that may have been done; and, identifying countermeasures to prevent future exploits. The funding will allow FMCSA to ensure that safety systems meet the strict requirements of FISMA and reduce the dangers of a successful cyber-attack on them.

**Field IT Infrastructure (\$2.550M)** – This activity funds the operations and maintenance of the agency’s field IT network of regional and state service centers. FMCSA’s IT support is managed from Washington, D.C. with field service personnel strategically positioned throughout the continental United States. These personnel support a highly mobile workforce with approximately 850 end-user devices (663 laptops and 187 desktops) and 70 servers and network. This infrastructure is critical to the success of the FMCSA mission.

### **Why Is This Particular Program Necessary?**

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With improved safety information systems in place and available, FMCSA will be better positioned to identify high-risk carriers and drivers and to correct high-risk behavior sooner, thus increasing safety on the Nation’s roadways. It will reduce the time required for uploading inspection reports which currently takes an average of nine days. Increased transparency will result from more timely access to key safety information at any time and from any location where enforcement action is required. The FMCSA stakeholders will also see significantly increased access to safety information and will find the data to be more reliable for timely and important decision-making.

The primary goal of the Registration System initiative is to implement a more automated, accurate and timely registration process that encompasses the identification of carriers that try to re-enter the industry as new entities, thereby enabling the Agency to take appropriate enforcement actions and prevent unsafe carriers from operating. This initiative is envisioned as being an integral part of ongoing FMCSA efforts to establish the Unified Registration System (URS) required by the Interstate Commerce Commission (ICC) Termination Act of 1995 (ICCTA), which includes replacing the current registration information system with a single, online Federal system.

## **How Do You Know The Program Works?**

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There are many performance management metrics that help the FMCSA measure how well these Programs work (please see Table 1 for a listing of a listing of selected accomplishments).

**Registration** – While the current registration system continues to fulfill its mission of processing and reviewing applications for operating authority the process is ripe for modernization and further efficiencies, particularly regarding vetting carriers that may be reincarnated or “chameleon” carriers. Previous FMCSA initiatives to improve the registration process, and to identify and act upon special types of unsafe carriers reincarnating, have met with some success. The implementation of the URS will produce cost savings estimated to be \$23.0 million for the industry and \$42.6 million for FMCSA. This results in total net societal benefits of \$19.6 million.

**Inspections** – The current goal is to have the data collected in roadside inspections uploaded and available for action within seven days. Current upload times (which vary by state/locality, due to local data quality processes) are generally between nine (9) and twenty-one (21) days. By modernizing the Inspections processes and integrating them into the SOA, FMCSA expects to significantly decrease the cycle time for these critical data uploads to allow for timelier carrier evaluation.

**Compliance** – FMCSA will implement additional Compliance, Safety, Accountability (CSA) interventions, leveraging the more robust safety metrics prescribed by the CSA program. Enhancements to the CSA prioritization algorithms will more effectively target carriers for interventions, resulting in a higher percentage of enforcement actions per intervention. In FY 2008, federal and state enforcement personnel conducted nearly 15,000 compliance reviews (CR). The 11, 000 carriers still active for at least one year after their CR had, on average lowered their crash rate per power unit. Additionally, the CRs resulted in an estimated 2,886 crashes avoided during the twelve (12) month period following the carriers’ CR, 101 lives saved, and 1,853 injuries avoided.

**Enforcement** – Modernization of the Enforcement systems will be in the early analysis and design phase in FY 2014.

**IT Infrastructure** – The Program continues to maintain system availability levels above 99.5% to ensure that the FMCSA and its safety partners have access to safety data and tools whenever they are needed. This level of service has been maintained even as the number of users of the FMCSA Portal has grown. The number of industry users of the FMCSA Portal increased from around 6,000 to more than 17,500 since the release of Phase 1 and II of CSA program.

Information Technology Development and Sustainment Table 1: Key Contributions of the Program.

<b>Initiative</b>	<b>Planned Accomplishments</b>
Registration	Migrate census data; carriers will have the capability of updating their census data; the registration system will be compatible with existing field systems (safety compliance/field offices); incorporate the vetting capability into the Unified Registration System in accordance with section 31134 of MAP-21, "Request for Registration and DOT Number".
Inspections	Deploy a new Windows and Tablet field application; deploy web services to select, review and approve inspections in the Portal
Compliance	Implement the remaining CSA functionality in the SOA; implement the New Entrant interventions; migrate functionality currently provided by CAPRI and ProVu to the SOA
Communications and Education	Improve data quality and develop a data warehouse to enhance capabilities in disaster recovery, storage, testing, training and staging
National Registry of Certified Medical Examiners	Medical examiners can transmit data from the medical examiner's certificate to the State Driver Licensing Agency for commercial driver licensing holders in accordance with section 32302 of MAP-21, "Driver Medical Qualification".
Drug and Alcohol Clearinghouse	Deploy national clearinghouse for controlled substance and alcohol test results in accordance with section 31306(a) of MAP-21.
Investment Management, Planning, and Enterprise Architecture	Implement the budget and business case for the re-planned IT modernization program; implement improved performance management, IT governance and enterprise architecture practices
Identity, Credentialing and Access Management	Implement the Personal Identity Verification (PIV) program



## FY 2014 – Research and Technology – Budget Request

### What do I need to know before reading this justification?



The FMCSA Research and Technology Program expands the knowledge and portfolio of deployable technologies and innovations to help reduce crashes, injuries, and fatalities. Research and Technology supports Agency rulemaking and contributes to a safe and secure commercial transportation system. The Program directly supports the Agency’s core priorities with 49 percent of FY2014 funds directed to Maintaining Safety Standards, 34 percent to Removing High-Risk Carriers, Drivers, and Service Providers from Operating, and 5 percent to Raising the Bar to enter the Motor Carrier Industry. The remaining 12 percent of the requested funds will support program management, administration, and outreach activities to ensure research and technology activities migrate to field operations and regulatory applications. The program works to ensure FMCSA State Agency partners and industry stakeholders are fully aware of research findings and technology evaluation results.

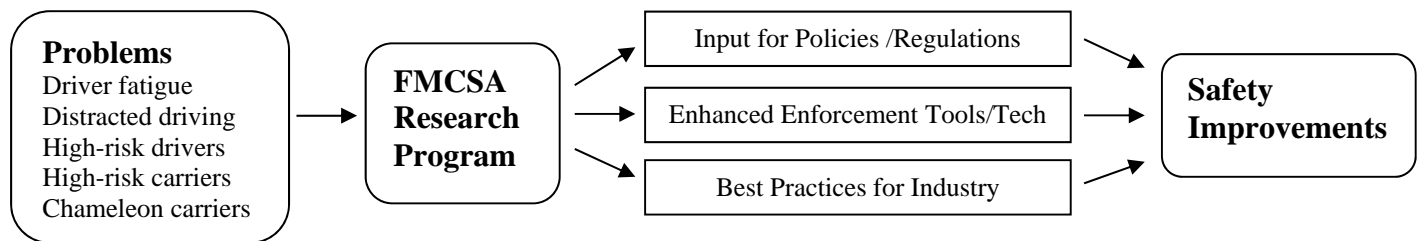
### What is the request and what do I get for the funds?

FMCSA requests **\$9.907M** for the Research and Technology Program which is \$493K over FY 2012 Enacted. The Research and Technology Program is a multi-year execution program consisting of the Research and Technology (R and T) Program, Project and Activities (PPA) funding; additionally the R and T program is supported with operations and programs funds for administrative purposes. The Program follows a systematic, data-driven approach that supports the Agency’s rulemaking plan and develops tools to advance commercial motor vehicle (CMV) safety improvements (see Figure 1).

(\$000)

<b>Program Activity</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 CR Annualized</b>	<b>FY 2014 Request</b>	<b>Difference from FY 2012 Enacted</b>
<b><u>Operating Expenses</u></b>				
Personnel Compensation & Benefits	745	750	756	11
Administrative Costs <sup>1</sup>	126	127	151	25
<b><u>Research</u></b>				
Research and Technology	8,543	8,595	9,000	457
<b>Total</b>	<b>9,414</b>	<b>9,472</b>	<b>9,907</b>	<b>493</b>
<b><u>Staffing</u></b>				
Direct Positions	7	7	7	0
Remimbursable FTP	6	6	6	0
Direct FTE	7	7	7	0
Remimbursable FTE	6	6	6	0

The FY 2014 Research and Technology Program increases emphasis on driver issues, the predominant cause of truck and bus crashes. The FY 2014 request includes continued funding for a multi-year Large Truck Crash Study (LTCS) to provide valuable insights into the role new technologies can have on crash causation and fatalities, and distracted driving. FMCSA is planning in FY 2014 to conduct a more robust driver fatigue research program to support hours of service (HOS) requirements. The Agency briefed its proposed program to OMB in March 2012. The center of this program is a study of *Crash risks by CMV driver schedules*. This study will identify crash risk ratios for various aspects of HOS provisions. The Agency will collect 6 to 10 billion miles of Electronic Logging Device (ELD) data regarding HOS and match those data to the crash records of carriers to identify crashes by hour of driving. Funding will also be used to implement, as appropriate, the findings and recommendations from the National Academy of Science’s Committee on National Statistics (CNSTAT) panel study on methods and data needed to better understand driver fatigue.



**Figure 1. R&T Development and Outcomes**

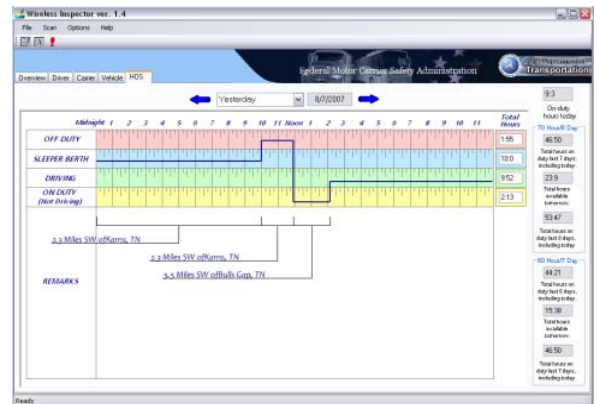
<sup>1</sup> Administrative Costs may include: Travel, Training, Supplies, and Equipment

FY 2014 funding will enable the FMCSA to continue to adopt, develop, test, and deploy advanced integrated information technology solutions and innovative on-board commercial vehicle, driver, and roadside technologies. These activities aim to improve safety and security, save lives, and prevent serious injury by reducing the number and severity of truck and bus crashes. Program resources will complement activities under the United States Department of Transportation (USDOT) Intelligent Transportation Systems (ITS) program.



FMCSA's primary ITS program is the Commercial Vehicle Information Systems and Networks (CVISN) Deployment Program which partners with other USDOT modes and State CMV enforcement and permitting agencies to collaborate on intelligent transportation solutions for trucks and buses. FMCSA participates in the Department's Connected Vehicle program, which is testing a transformational safety system that has the potential to address a significant number of all highway crashes in the coming years.

The proposed funding supports research to ensure proposed rules and policies accurately and appropriately address safety issues. Without research, the Agency risks implementing procedures that may not have the intended safety outcome. A continuous research program allows the Agency to be prepared for, and adapt to, the constantly changing motor carrier safety environment. By delivering an appropriately focused research agenda, the Research and Technology Program helps to maintain the FMCSA leadership in truck and motor coach safety, innovation, and performance and will spearhead safer, simpler, and smarter transportation solutions. Research has revealed that driver factors are the most important factor in crashes and increased research in this area, including fatigue and distraction, are keys to improving safety.



The FY 2014 budget request will permit FMCSA to support the following initiatives in 2014:

- The multi-year large truck crash study was initiated in 2013. The study results will be used in drafting rules, planning enforcement programs, and designing field-based outreach efforts. The prior study was conducted over the 2001-2003 period as new technologies were just beginning to appear in the production of new CMV's.
- A comprehensive study of individual driver factors that can make commercial motor vehicle drivers vulnerable to fatigue. This research is designed to determine the feasibility of identifying individuals who may be vulnerable to fatigue and provide a set of best practices for motor carriers aimed at reducing driver fatigue by matching driver fatigue vulnerability to work schedules.

- Driver fatigue study using the 40 million miles of Naturalistic Driving data collected in the OBMS Field Operations Test, will determine the presence of the visual signs of driver fatigue and whether they increase with driving time. This study will also determine the Relative Risk by driving hour and the impact of driving breaks, recovery periods and operating times has on safety.
- A study to assess the impacts that driver compensation and waiting time may have on commercial vehicle safety.
- A comprehensive analysis of the relative crash risk by driving hour and the impact of the changes in the HOS provisions. The Agency will match data collected from driver logs with crash information to determine the level of crash risk by hours of driving.
- Periodic driver surveys to longitudinally track how the changes in the HOS provisions, such as the two-night restart, have impacted sleep patterns and aspects of driver fatigue and performance.
- Continuation of the multi-state field operational test and related evaluation for wireless roadside inspections.
- Completion of the international border crossing electronic screening field operational test.
- Technology transfer activities related to on-board safety systems and innovative roadside enforcement tools.

### **How Do You Know The Program Works?**

The FMCSA Research and Technology Program develops the data, information, and knowledge necessary to develop data-driven regulations. The work is necessary to identify factors that impact safety and to support innovative solutions and processes to improve safety. Each research project has the potential to greatly improve CMV safety. Accomplishments in FY 2013 include:

- previous research on on-board monitoring and performance feedback systems has shown that these systems can greatly improve driver performance. The onboard safety monitoring field operational test will quantify the improvement in driver performance and allow the Agency to conduct a cost-benefit analysis of implementing on-board monitoring programs.
- preliminary results suggest that on-board monitoring systems can reduce driver errors by 50 percent. Such information allows the Agency to determine required changes or establish new safety regulations, methods, models, tools, policies, and procedures.

These initiatives improve safety.

The Research and Technology Program has identified technologies to enable roadside inspectors to target high risk operators. Examples of current and future roadside innovations include updating technical requirements for inclusion in the Electronic On-board Recorder (EOBR) supplemental notice coming out in 2013, which may enable wireless downloads of driver logs and automated checks at roadside by inspectors, thereby increasing the productivity of thousands of staff hours currently used in manual examination processes. Building on these innovations, the research program plans to field test the wireless inspection concept in FY 2014 where electronic log files, driver qualifications, and vehicle brake and tire safety status data are checked in real-time by inspectors while the truck or bus travels past a fixed, portable, or mobile inspection site.



One of the most noteworthy examples of the FMCSA Research and Technology Program’s successes was the mobile safety app. The SaferBus is USDOT’s first publicly available safety app. It provides a new way to deliver passenger carrier safety data conveniently to the hands of bus passengers enabling them to “Look before you book.” This free app, launched in March 2012, was an immediate hit with local and national news coverage, generated thousands of downloads, was listed as one of *USAToday’s* *Fox News* “Top 5 Travel Apps that Could Save Your Life.”

Another mobile safety app is the Query Central Mobile app that provides FMCSA’s summarized safety data on motor carriers to roadside safety inspectors in a quick and easy to use format. Officers enter the vehicle’s USDOT number to receive safety data. Possible alerts are instantly returned to the officer to target their resources on high-risk operators.



and  
and

### **What If The Program Is Not Funded?**

Research and Technology is a critical component in the agency’s rule development and implementation. Without this program, the Agency risks implementing procedures that may fall short of the intended safety outcome. Research allows the Agency to better predict the outcome and potential effectiveness of its programs – thereby better serving the industry, CMV drivers, and the motoring public. A continuous research program allows the Agency to: 1) address emerging issues quickly; 2) establish long-term projects to ensure effectiveness; 3) instill needed flexibility to address changes in driver behavior and motor carrier technologies and the environment that influences them; and 4) strengthen rulemaking and policy decisions.

It is estimated that the implementation of wireless roadside technology will create annual societal benefits of \$135M in safety improvements over a ten-year period. Also, a more automated process to identify and inspect large trucks crossing into the U.S. will expedite commercial traffic at the border and allow safety inspectors to more effectively identify high risk carriers for inspection.



## **Detailed Justification for the – Enforcement and Compliance Intervention Program**

### **What Do I Need To Know Before Reading This Justification**

The Enforcement and Compliance Intervention Program is comprised of blended operations from three organizations within FMCSA, Offices of Policy, Enforcement, and Field Operations. Funding and positions from each of these organizations are combined to comprehensively implement the program. The FMCSA regulations crafted under the Office of Policy are incorporated into policies and procedures by the Office of Enforcement and executed through the Office of Field Operations.

### **What Is The Request and What Will We Get For The Funds?**

Through the Enforcement and Compliance Intervention programs, FMCSA regulates approximately 500,000 interstate trucking and motorcoach companies and more than seven (7) million interstate drivers with about half of them required to hold a CDL. The Enforcement and Compliance Intervention programs focus on raising the bar to enter the industry; ensure that high standards are maintained; and remove unsafe carriers, drivers and vehicles from the roads.

Through this work, the Agency will increase the amount of contacts made with the industry; improve identification of chameleon carriers and job hoppers; improve the safety of motorcoaches and the transportation of hazardous materials; improve consumer protections; ensure the safety of Canadian and Mexican carriers and drivers; remove unsafe carriers and drivers from the roadways, and establish other needed safety enforcement and compliance programs. This additional funding and staffing will allow the Agency to make another significant reduction in the numbers of truck and bus crashes, fatalities and injuries, keeping the Nation's roadways safe.

(\$000)

<b>Program Activity</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 CR Annualized</b>	<b>FY 2014 Request</b>	<b>Difference from FY 2012 Enacted</b>
<b><u>Operating Expenses</u></b>				
Personnel Compensation & Benefits <sup>1</sup>	96,523	97,185	100,595	4,072
Contracts	9,425	9,482	10,151	726
Administrative Costs <sup>2</sup>	18,603	18,717	19,636	1,033
Program Costs <sup>3</sup>	8,894	8,886	8,398	-488
<b><u>Regulatory Development</u></b>				
Rulemaking	8,755	8,809	4,000	-4,755
<b>Total</b>	<b>142,200</b>	<b>143,079</b>	<b>142,780</b>	<b>580</b>

**Staffing**

Direct Positions <sup>1</sup>	971	971	1,019	48
Reimbursable FTP	27	27	14	-13
Direct FTE <sup>1</sup>	907	907	931	24
Reimbursable FTE	27	27	14	-13

The FMCSA Enforcement and Compliance Intervention Program are largely funded with operations and programs administrative funds.

**FY 2014 – Office of Policy and Regulatory Development Program**

The Office of Policy and Regulatory Development supports several activities listed below.

<b>MC-P Activity</b>	<b>FY 2014 Budget Request (\$000)</b>	<b>Detailed Justification Program Area</b>	<b>Page Number</b>
Policy and Regulatory Development	\$8,029	Enforcement and Compliance	58
Strategic Planning and Program Evaluation	\$4,051	Safety Mission Support	106

<sup>1</sup> These numbers include personnel from Chief Counsel (32 FTE), IT Development (14 FTE), and IT Sustainment (3 FTE) that support Enforcement and Compliance programs and activities.

<sup>2</sup> Administrative Costs may include: Travel, Training, Supplies, and Equipment

<sup>3</sup> Program Costs may include: Fleet Management, Academy, Border Leases, Border Facilities, and Printing



## What is The Request And What Will We Get For The Funds?

(\$000)

FY 2012 Enacted	FY 2013 CR Annualized	FY 2014 Request	Difference from FY 2012 Enacted
12,729	12,808	8,029	-4,700

For FY 2014, FMCSA requests **\$8.029M** for its Policy and Regulatory Development Program which is a decrease of **\$4.779M** over FY 2102 Enacted. This program covers the following activities:

- Regulatory Development** –This program serves as a focal point for development of rulemaking documents for the Agency that are clear, simple, timely, fair, reasonable, and necessary. The program coordinates the review, revision, approval, and issuance of such documents within the Agency. This work includes a review of crash data (fatalities, injuries, and property damage) and the estimated costs and safety benefits associated with regulatory options to reduce the incidence of crashes. The Agency is required by statute and Executive Order to consider the costs and benefits of its regulatory actions with the expectation that the regulations it issues would provide cost-effective solutions to safety challenges. **(The full description will be found under the Safety Mission Support Program)**
- Strategic Planning and Program Evaluation** – This program involves the development of the Agency's strategic and performance plans, monitoring activities, and the evaluation of Agency programs against the stated goals and objectives. – The functions also include the development, implementation, and periodic updating of FMCSA's Strategic Plan to include development and implementation of elements related to the Roadway Safety Plan (RSP). In addition, the program facilitates the evaluation of high-priority performance measures, and the preparation of the Agency's Organizational Assessment at the end of each fiscal year for formal submission to the Office of the Secretary (OST) and the Office of Management and Budget (OMB). **(The full description will be found under the Safety Mission Support Program)**
- Medical Programs** – The FMCSA has jurisdiction over the medical qualifications of approximately seven (7) million CMV drivers operating in interstate commerce. The number of CMV drivers and the prevalence of medical conditions related to an aging population, such as cardiovascular disease and musculoskeletal injury, will have a detrimental effect on the safety and health of commercial drivers and highway safety overall. The FMCSA developed a strategy for creating a much-improved, comprehensive medical oversight program, including evaluation of the current medical certification process and successful implementation of key initiatives such as the National Registry of Certified Medical Examiners (National Registry) and Driver Wellness Programs.
- Driver and Carrier Operations** – These functions involve subject matter experts responsible for driver qualifications standards (other than medical qualifications) including entry-level driver training, and drivers' hours of service. This program also provides subject matter

expertise in reviewing requests for waivers, applications for exemptions from certain Federal Motor Carrier Safety Regulations (FMCSRs), and requests for pilot programs.

- **Vehicle and Roadside Operations** – This program provides subject matter expertise in developing policy and regulatory options concerning vehicle safety equipment and inspection, repair and maintenance standards for heavy trucks and buses. This work includes the review of petitions for rulemaking, requests for waivers, and applications for exemptions from the safety regulations.

## **What Does Policy and Regulatory Development Contribute?**

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- Regulatory Development Support and Regulatory Impact Analyses  
The regulatory development program provides the Federal rules that require the regulated entities (interstate truck and motorcoach operators) to take action to implement new safety processes and procedures, or install new safety equipment, or to take action to discontinue certain unsafe activities or practices known to increase the risks of crashes. In the absence of regulations, the Agency cannot hold motor carriers and drivers responsible for failure to take the necessary actions to improve safety. Often, the regulatory actions are required by statute. A key part of the process includes the preparation of regulatory impact analyses which focus on a review of crash data (fatalities, injuries, and property damage) and the estimated costs and safety benefits associated with regulatory options to reduce the incidence of crashes. The Agency is required by statute and Executive Order to consider the costs and benefits of its regulatory actions with the expectation that the regulations it issues would provide cost-effective solutions to safety challenges.
- Federal Advisory Committees  
The Medical Review Board (MRB) and the Motor Carrier Safety Advisory Committee (MCSAC) are the two advisory committees operating in accordance with the provisions of the Federal Advisory Committee Act (FACA), as amended, 5 U.S.C. App. Both committees provide important advice to the Agency on salient issues relating to motor carrier safety and medical fitness to operate in the motor carrier industry.
  - Medical Review Board (MRB)  
The MRB advises the Agency on developing evidence based rulemaking and guidance development through evidence reports. The advice provided by the MRB enables the Agency to establish sound rules and guidance for physical qualifications for driving commercial motor vehicles. The current funding request supports the FMCSA's mandate for the MRB to continue providing advice on medical issues, such as physical and mental qualifications, standards, and guidelines.
  - Motor Carrier Safety Advisory Committee (MCSAC)  
In Section 32912 of The Moving Ahead for Progress in the 21st Century (MAP-21), The Motor Carrier Safety Advisory Committee (MCSAC) is authorized through September 30, 2013. MCSAC operates under the Federal Advisory Committee Act (FACA), as amended, 5 U.S.C. App 2. The FMCSA's only representative stakeholder body, the MCSAC is comprised of 20 members representing the motor carrier industry, labor, safety advocates, and safety enforcement officials. The members are experts in their respective fields and are

committed to motor carrier safety. They provide advice and recommendations about needs, objectives, plans, approaches, content, and accomplishments of the motor carrier safety programs carried out by the FMCSA and are charged with providing advice and recommendations on motor carrier safety regulations.

The MCSAC fulfills the requirements for MAP-21 as an advisory committee that will provide the Federal Motor Carrier Safety Administration (FMCSA) with a broad set of viewpoints on motor carrier safety. The MCSAC advises the FMCSA Administrator on important tasks like fatigue management, distracted driving, electronic on-board recorders (EOBRs), safety technologies, and the Safety Fitness Determination Rulemaking. Since its inception, the MCSAC's more than 20 reports have assisted the Agency in making informed decisions on issues of concern to motor carrier safety. The current funding request supports the FMCSA's need for the MCSAC to continue providing advice and recommendations on the needs, objectives, plans, approaches, content, safety regulations, and accomplishments of the motor carrier safety programs carried out by the FMCSA.

The Medical Programs cover each of the following:

- Exemption Programs - The FMCSA Medical Program promotes the safety of America's roadways through the promulgation and implementation of medical regulations, guidelines, and policies that ensure CMV drivers engaged in interstate commerce are physically qualified to do so. There are an estimated 40,000 medical practitioners who perform the medical certification examination for CMV drivers, every two years. There are an estimated 400,000 drivers who undergo the medical fitness for duty examination each month. The National Transportation Safety Board (NTSB) investigations have identified medical conditions as a factor in several significant CMV crashes resulting in multiple injuries and fatalities. And, the Government Accountability Office (GAO) investigations have highlighted the need for improved oversight of the medical certification process.

### **New Initiatives for the Office of Policy**

The Office of Policy has several key initiatives or projects planned for FY 2014 that are required by MAP-21. Those projects include:

#### **National Registry of Certified Medical Examiners**

- Section 32302 requires State licensing agencies to establish and maintain the capability to receive electronic copies of medical certificates issued by examiners on the National Registry, for CDL holders.
- FMCSA plans to enhance the Registry System it has in place to require medical examiners to transmit the CDL-holder's medical certificate directly to the driver's state of record, thus closing the loop on providing road-side enforcement and employers' on-line access to a driver's DOT qualification status and completing the National Registry process.
- Information Technology (IT) related expenditures for the development of the National Registry Phase II systems capability are identified in the IT Development and Sustainment program. The execution and implementation aspects of the National Registry program are included within the Medical Program's budget with most of the developmental work for the National

Registry being performed by the Department's John A Volpe National Transportation Systems Center.

- National Registry Medical Examiners Handbook, Test Updates – In addition to the IT component of the National Registry program, the Agency anticipates additional work to complete the development of a medical examiners' handbook to assist healthcare professionals in understanding the Federal driver qualifications rules and to serve as a reference manual for examiners to review topics they may not encounter on a frequent basis. The Agency also anticipates significant efforts to continue to update the standardized test questions used for the National Registry examination.

#### **Drug and Alcohol Clearinghouse**

- Section 31306(a) requires FMCSA to establish a national clearinghouse for controlled substance and alcohol test results.
- In FY 2014, FMCSA will complete the rulemaking to implement the statutory requirement and begin developing and implementing policies related to the database of drug and alcohol positive testing information.

#### **Electronic Logging Device (formerly Electronic On-Board Recorders)**

- Section 32301(b) requires FMCSA to promulgate a regulation requiring electronic logging devices (ELDs) for any driver that currently requires a logbook.
- In FY 2014 FMCSA will complete the rulemaking that will address (1) technical specifications for ELDs, (2) the population of drivers who are required to use ELDs, (3) measures FMCSA will take to ensure ELDs are not used to harass drivers, (4) measures FMCSA will take to ensure ELDs are not used to coerce drivers to violate safety regulations, and (5) implement certain statutory requirements concerning hours-of- service supporting documents.

#### **Entry-Level Driver Training (ELDT)**

- Section 32304 of MAP-21 requires "...that the training regulations address knowledge and skills for motor vehicle operation, specific requirements for hazmat and passenger endorsements, create a certificate system for meeting requirements, and require training providers to demonstrate that their training meets uniform federal standards." Additionally, MAP-21 required the Agency to complete a report to Congress on the feasibility, benefits, and costs of establishing a system of certification of [motorcoach] training programs.
- In FY 2014, FMCSA will issue a proposed rule seeking public comment on its regulatory approach for implementing the MAP-21 requirements. The proposed rule would take into account the recommendations of the Agency's MCSAC, and the feedback received during the Agency's January and March 2013 public listening sessions.
- Medical Evidence Reports – Expert Panels – In support of the Medical Review Board, FMCSA funds the preparation of "evidence" reports. These evidence reports document the review of published research reports on specific medical topics and through a meta-analysis, identifies those studies the Agency should consider to have sufficient merit, based on the research methodology and sample size, etc., to support policy or regulatory decisions. The evidence reports are then reviewed by expert panels, a group of physicians specializing in the medical topic being considered who then provide a report with recommendations to the MRB. The MRB then considers the evidence and expert panel reports and, after deliberation in a public meeting, offers recommendations to the Agency.

## **Why Is This Particular Program Necessary?**

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Policy and regulatory development provide the foundation for FMCSA's compliance and enforcement operations. The three functions related to this program are regulatory development, driver programs (including driver training, qualifications, and medical certification), and program evaluation activities. These functions serve as key elements for achieving increased safety by establishing safety standards, improving operator fitness, and strengthening Agency programs through the analysis of program effectiveness.

Through regulations, FMCSA promotes improved safety and raises the safety bar for operating in the trucking and passenger carrier industries. The Agency will provide a clear path for compliance and enforcement efforts, and establish the keystone of enhanced safety performance and outreach efforts. Regulations are the basis for FMCSA safety and commercial enforcement activities. FMCSA implements non-regulatory policy approaches such as regulatory guidance, waivers and exemptions, and educational materials to address unique commercial vehicle safety challenges. The Agency responds to a large volume of public and governmental inquiries (by phone, e-mail, and controlled correspondence). The overall goal of these activities is to establish well-written, concise, and effective safety standards and regulatory guidance for the trucking and motorcoach industries. The Agency supports this performance element with policy economic and legal analyses to ensure that regulations are focused on the most cost-effective solution to identified safety challenges and rulemaking documents are legally sufficient.

## **How Do You Know The Program Works?**

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Funding for the Office of Policy and its portfolio of programs supports contract services and other expenses related to the development of regulatory proposals and final rules, the evaluation of the effectiveness of Agency programs and regulations, the processing of exemption applications concerning the Agency's vision, diabetes, seizure, and hearing standards, the establishment of a National Registry of Certified Medical Examiners, and operations of the Medical Review Board and the Motor Carrier Safety Advisory Committee.

The Agency determines the effectiveness of its programs within this portfolio by reviewing the volume and quality of substantive regulatory notices, most of which include estimates of the associated safety benefits in terms of crashes avoided, injuries prevented and lives saved. Generally, the Agency considers regulatory effectiveness studies several years after a rule is published to determine the extent to which the rule achieves the desired outcomes, and to identify any adjustments that should be made to the rule to enhance the effectiveness of the requirements. The Agency is therefore capable of assessing the effectiveness of individual regulatory projects and the cumulative benefits of its regulatory program by reviewing overall crash data.

With regard to other projects, the Agency determines the effectiveness of its program reviews by tracking the implementation of recommendations included in the reviews. The reports for the reviews identify key findings of the review team and recommendations that would likely improve the subject program, thereby increasing the effectiveness of the subject program. For FMCSA safety programs,

increases in effectiveness translate into additional crash and injury prevention, and lives saved. For other programs, increases in effectiveness may provide cost savings for the Agency.

The FMCSA's Medical Programs Division is responsible for administering the Agency's Vision and Diabetes Exemption Programs. During FY 2012 and FY 2013, FMCSA completed the following notable accomplishments under its Medical Oversight Program:

- Exemptions for CMV drivers who have had a seizure and are taking seizure medication but have been seizure free for four (4) years while on the same type and dosage of medication.
- Exemptions, on a case by case basis, for deaf drivers.
- A comprehensive, interactive National Registry program including testing, training, sample training documents, and information manuals for testing and training organizations, candidate handbooks.
- Extensive outreach programs to ensure geographically distributed certified medical examiners meet driver medical needs particularly in rural and underserved areas of the country.

The funds also cover the operation of the Agency's *GUARD*, a web-based regulatory information and guidance program to enable Federal and State enforcement officials to quickly access regulatory guidance and recent regulatory changes.

The current funding request will support FMCSA's ability to enhance its oversight of medical examiner activity, the drivers medical qualifications for driving, develop the medical certificate data transfer to the state driver's licensing agencies, minimizing fraud and ensuring that only physically qualified drivers are operating CMVs in interstate commerce. In FY 2014, FMCSA plans to accomplish the following with the requested funding level:

- Increase awareness and education on the need for physically qualified drivers, medical conditions and the potential impact on safe driving;
- Increase outreach and education to the driver and employer communities regarding new medical Federal requirements;
- Enhance the data transfer processes of medical examination results to State driver licensing agencies that will prevent fraud and assure medical compliance for commercial drivers;
- Continue the process of updating the driver physical qualification rules through sound evidence-based rulemaking utilizing evidence reports, Medical Expert Panels and Medical Review Board meetings;
- Enhance and maintain the National Registry of Certified Medical Examiners to ensure that only those medical professionals who are trained and tested can perform medical examinations on CMV drivers in interstate commerce. The FMCSA now has control, for the first time, over the medical examinations and is monitoring the medical examiners' performance to ensure it conforms to the Agency's regulations and guidance; and
- Strengthen the driver wellness initiatives to assist commercial drivers in developing and maintaining health and thus their ability to maintain employment as a CMV driver.

## FY 2014 – Office of Enforcement Program

### What is The Request And What Will We Get For The Funds?

(\$000)

FY 2012 Enacted	FY 2013 CR Annualized	FY 2014 Request	Difference from FY 2012 Enacted
14,527	14,615	15,494	967

### What Does The Office of Enforcement Contribute?

In FY 2014, FMCSA requests **\$15.494M** for the Office of Enforcement which is an increase of **\$967,000** over FY 2012 Enacted. This division is the central body for developing and promulgating enforcement and compliance policies governing CDL holders, truck and bus companies and how our investigators and state partners enforce safety standards.

#### Driver Management and Oversight Program

The Driver Management and Oversight Program focuses on projects and programs which raise the safety bar for obtaining and maintaining a commercial driver's license (CDL) to operate a CMV, including trucks and buses, in interstate commerce. The FMCSA develops policies, standards, procedures, and guidelines to implement, administer, and evaluate the CDL program and related activities. This includes establishing standards for testing and licensing commercial motor vehicle (CMV) drivers to ensure uniform and consistent implementation of the CDL program in the States.

The driver program also includes support of the President's initiatives to improve work opportunities for returning veterans. In addition, it includes the requirement from MAP-21 to establish a clearinghouse of drug and alcohol testing results and refusals that motor carriers would be required to check before hiring a driver.

#### Grants Program Management

The Office of Enforcement is responsible for establishing the funding priorities and evaluation criteria for the Agency's grant programs. In addition, it is responsible for evaluating the technical aspects of the applications; and recommending awards for seven of the Agency's grant programs. For grants that are to non-State entities, the Office of Enforcement is also responsible for monitoring deliverables for timely completion; reviewing the grants for compliance with program requirements; meeting performance measures; requiring corrective action plans when deficiencies are identified; and establishing and monitoring internal controls to identify, promote and ensure best practices.

#### Enforcement and Compliance Interventions Program

The FMCSA's enforcement and compliance programs are the primary tools used to deliver the Agency's Safety Mission. These programs fund FMCSA's nation-wide presence and fund the personnel responsible for conducting investigations, interventions, strike forces, reviews, and other safety-related oversight of carriers, drivers, and vehicles. Funding and personnel will provide safety oversight of the motor carrier industry to ensure compliance with the Federal Motor Carrier Safety Regulations, and the Hazardous Materials Regulations. Focus areas include passenger safety and

hazardous materials carriers. Increased enforcement and compliance is proven to increase safety, and reduce commercial truck and bus crashes, injuries, and fatalities.

#### Commercial Enforcement Program

This program satisfies the Agency's consumer protection responsibilities by applying the Federal Commercial Regulations, compiling and analyzing complaint information, conducting enforcement, and supporting the Agency's National Consumer Compliant Database (NCCDB) and insurance and process agent filings. Each year, thousands of shippers have household goods stolen, damaged, or held hostage. Through this program, the Agency returns their belongings to them and ensures they are compensated per the regulations.

The Office of Enforcement is responsible for engaging consumers, shippers, and carriers through partnerships, education, and enforcement and compliance operations to ensure that HHG are delivered as agreed upon between carriers and consumers. To this end, the Office of Enforcement provides significant support to individuals whose shipments are being held hostage by the motor carrier. The Office of Enforcement strives to negotiate an agreement on the terms of the shipment and return the goods to the owner. The Office of Enforcement is also involved in numerous customer service issues and provides direction and guidance on the moving companies and the shipper's responsibilities.

#### **Enacted**

##### Border Programs Management and Oversight Program

This program is needed to maintain relationships with Canada and Mexico on CMV issues, including the development of uniform and consistent motor carrier, driver and CMV regulations, inspection procedures, and safety programs throughout North America. This program also is responsible for implementing the revised Commercial Driver's License (CDL) Memoranda with Mexico and Canada during this fiscal year.

##### US-Mexico Long Haul Cross Border Trucking Pilot Program Development and Oversight

The program is a critical component of the United States' compliance with the North American Free Trade Agreement (NAFTA) and the Agency's development and implementation of strategies to determine the safety of Mexico-domiciled trucks. The FMCSA's ability to fully complete the program and conduct analysis of the safety of the participating carriers is predicated on the continued operation of the Agency's border program.

#### **Why Is This Particular Program Necessary?**

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##### Driver Management and Oversight Program

In FY 2014, the Office of Enforcement will conduct State CDL program reviews to ensure uniformity and compliance with the Federal Motor Carrier Safety Regulations (FMCSR). These reviews will also help to detect and prevent CDL fraud, and will assist in the oversight, monitoring, and improvement of the effectiveness of each State's testing and licensing procedures. This work requires the Office of Enforcement to work closely with the States as they merge the medical certification requirements into the CDL driver record. On May 9, 2011, FMCSA published a final rule titled, "Commercial Driver's License Testing and Commercial Learner's Permit Standards." Many of the requirements of the rule must be implemented within 3 years of publication. As a result, much of this work will come to fruition in FY 2014 which will require significant oversight by the Office of Enforcement.



More than 14 million CDLs were issued since 1989 by 52 U.S. jurisdictions. Every month, an additional 40,000 CDLs are issued by the States. This program is needed to ensure that the testing and issuance standards across the States are uniform and in compliance with the standards established to ensure that only safe, qualified drivers receive a CDL. In addition to the establishment of regulations that require the States to comply with standards, FMCSA conducts program reviews of the States' programs to ensure that the States remain in compliance with the requirements.

The current funding request will support the FMCSA's ability to enhance its oversight of State driver licensing agencies' level of compliance with the Federal CDL regulations. Enhancement of the FMCSA's oversight capability will improve safety by helping the Agency and its State partners identify unsafe drivers and remove their CDL privileges. In FY 2014, FMCSA plans to accomplish the following with the requested funding level;

- Continue CDL program reviews, assuring State driver licensing agencies are in compliance with all relevant Federal regulations and taking action on States that are not in substantial compliance with requirements;
- Oversee the implementation of the "Commercial Driver's License Testing and Commercial Learner's Permit Standards" final rule;
- Continue outreach and education to the court systems and State driver licensing agencies to improve accurate and timely conviction data transfer;
- Increase awareness within the court system regarding federal regulations that differentiate commercial driver regulations from non-commercial;
- Continue the process to facilitate the transfer of medical examination results to State driver licensing agencies that will prevent fraud and assure medical compliance for commercial drivers; and
- Develop standards and processes for veterans and active duty military to acquire a CDL as easily as possible while focusing on highway safety.

#### Enforcement and Compliance Interventions Program

The FMCSA has conducted research and validated the effectiveness of the compliance review and investigations processes in improving regulatory compliance and reducing CMV related crashes and fatalities. The use of the suite of interventions has been shown to improve the efficiency of Agency field staff by allowing contact with a higher number of motor carriers per FTE, resulting in improved compliance and safety.

An analysis of the Safety Measurement System (SMS) has shown the following results. The SMS is the FMCSA's system to prioritize carriers for intervention. Results show:

- Violation rates are down 9% on average.
- Of the nation's 523,000 active carriers, SMS has enough data to assess 201,000 of them. These 201,000 motor carriers operate 80% of the CMVs and are involved in 91% of all CMV involved crashes.

The funding requested this year is for continued analysis of the more efficient interventions program, and monitoring of the projected safety benefits through reduced crashes. The Office of Enforcement anticipates building upon the full implementation of the CSA program and normalizing operations to ensure uniform application and continuous improvement based on lessons learned and new and

improved data. The Agency will continuously review the program for opportunities to improve enforcement procedures and maximize existing tools and authorities to remove unsafe carriers. In addition, the tools will be used to target select segments of the industry, including passenger carriers and hazardous materials shippers and motor carriers. The Office of Enforcement will be dependent on the Office of Research and IT for continued improvement of systems to identify reincarnated carriers and implement the new safety fitness determination rule. In addition, the completion of the Safety Fitness Determination rulemaking will require an update to a significant number of Agency's enforcement directives and guidance materials. Outreach and educational materials on the new rule will be required.

Fiscal year 2014 resources support the Agency's new entrant program. Through grants to the States, each new entrant motor carrier must successfully complete a safety audit within the first 12 months of operations for property carrier, and within 120 days for passenger carriers, per MAP-21. When a new entrant carrier fails the safety audit it must submit a corrective action plan that must be evaluated and monitored by the FMCSA. Currently, there are approximately 40,000 new carriers each year and the failure rate has historically been between 25 and 38 percent. As a result, there is a significant workload to ensure that these new carriers are operating safely or are removed from the industry.

#### Commercial Enforcement Program

The Commercial Enforcement Program is necessary to ensure that for-hire motor carriers obtain and maintain the proper level of insurance to protect shippers in the event of damage or loss. In addition, this program is necessary to combat the increasing number of rogue HHG movers and brokers that intentionally provide low estimates to get a moving contract but then refuse to deliver the goods unless more money is paid ("hostage loads"). The Agency has determined that 16 percent of the HHG carriers with high levels of complaints are also unsafe according to FMCSA standards. As a result, identifying and taking action on these carriers has a proven safety nexus as well. FMCSA is committed to investigating every hostage load complaint. In addition, the Agency uses complaint and enforcement data to target movers for enforcement. This program has resulted in significant enforcement activities for the field offices.

Funding at the requested level provides the resources needed to sustain the program and expand the enforcement efforts related to hostage loads. In FY 2014, FMCSA plans to accomplish the following with the requested funding level.

- Increase the level of expertise in the enforcement community by establishing additional MOUs with States to coordinate on cases related to commercial enforcement. This will include enhancing the expertise of existing staff, and identifying additional resources, including the development of partnerships with State enforcement agencies.
- Oversee and monitor the impacts of the Household Goods Plan which included enhanced enforcement tools, outreach and education.
- Improve the National Consumer Complaint Database to enhance capabilities to monitor and address HHG and passenger complaints.
- Expand educational and outreach materials to educate consumers.

### Border Management and Oversight Program

This request is to support the Agency's Border Programs that develop and implement strategies to oversee the safety of motor carriers, drivers, and trucks entering the United States from Mexico and Canada. The request includes funding for improving and maintaining border operations; maintaining the Commercial Driver License (CDL) Federal Convictions and Withdrawal Database; supporting integration with the U.S. Customs and Border Protection's (CBP) Automated Commercial Environment/International Trade Data System (ACE/ITDS) system; and implementing changes based on updated Memorandums of Understanding (MOU) with Canada and Mexico regarding commercial driver license reciprocity.

The program is a critical component of the Agency's development and implementation of strategies to oversee the safety of trucks entering the United States from Mexico and Canada including federal safety enforcement activities at the U.S./Mexico border to ensure that Mexican carriers entering the United States are in compliance with the Federal Motor Carrier Safety Regulations (FMCSRs). In addition, the Office of Enforcement manages the Agency's coordination of safety activities with the governments of Canada and Mexico including facilitating safety data exchange and harmonization of safety regulations and enforcement programs. The Office of Enforcement facilitates cooperative working relationships with the United States, Mexico, and Canada to develop and implement more uniform and consistent CMV regulations, inspection procedures, and safety programs throughout North America.

The requested funding will:

- Improve FMCSA and State partner's access to motor carrier safety data and driver's license information.
- Implement the Agency's new CDL MOUs with Canada and Mexico to ensure CDL reciprocity.
- Ensure that data is properly transmitted on driving violations of foreign drivers.
- Promote motor carrier rating reciprocity with Canada.
- Improve the transmission of data about carriers to CBP to be used when screening incoming trucks and buses.

### US-Mexico Long Haul Cross Border Trucking Pilot Program Implementation

The Long Haul Cross Border Trucking pilot project ensures that the United States fulfills compliance obligations under NAFTA. In addition, the program is needed to determine the safety of Mexican CMVs, and provide information for the development of uniform and consistent CMV regulations, inspection procedures, and safety programs throughout North America. Failure to successfully complete the pilot program may result in the removal of current tariffs suspension by the Mexican government.

The Office of Enforcement is using databases and websites developed and maintained by the Office of Research and IT to manage information regarding the program so that law enforcement may confirm participating carriers' compliance and continued eligibility. The public may also access safety data about the participants.

In FY 2014, the pilot program will be nearly complete and analysis of the safety of the carriers will be required to assess whether or not the borders should be opened to long haul trucking. The Office of

Enforcement will work with the Office of Research and IT to complete analysis and develop recommendations for the Agency.

Lastly, the Office of Enforcement will support an oversight committee to evaluate the pilot program and provide recommendations to the Administrator. The Office of Enforcement will be responsible for travel and meeting costs associated with this committee.

The requested funding will allow the Office of Enforcement to:

- Host meetings of the oversight committees monitoring the pilot program and provide resources needed for the committees to complete their reviews and recommendations.
- Initiate analysis of the safety of participating carriers, drivers, and vehicles.

## FY 2014 – Office of Field Operations Program

### What is The Request And What Will We Get For The Funds?

(\$000)

FY 2012 Enacted	FY 2013 CR Annualized	FY 2014 Request	Difference from FY 2012 Enacted
<b>109,304</b>	<b>109,982</b>	<b>113,318</b>	<b>4,014</b>

In FY 2014, FMCSA requests **\$113.318M** for the Field Operations Program, which is an increase of **\$4.014M** over FY 2102 Enacted.

### What Does the Office of Field Operations Program Contribute?

The Agency’s Office of Field Operations is where FMCSA’s investigators, auditors and inspectors reside. These teams provide the “boots on the ground” enforcement role for FMCSA, charged with removing unsafe motor carriers, drivers, and vehicles from the Nation’s highways. Data driven targeted enforcement is FMCSA’s primary strategy for meeting its safety goals. Through the Office of Field Operations, FMCSA targets high-risk carriers with various interventions including on-site comprehensive investigations, on-site focused reviews, off-site reviews, safety audits, hazardous materials carrier and shipper reviews, and roadside inspections.

The Agency has a successful partnership with the States to implement these programs through its Grants Program. Utilizing the force multiplier of State and local law enforcement agencies, FMCSA also initiates strike forces as a key enforcement strategy in a comprehensive approach to ensure motor carriers are operating safely and in compliance with the regulations on our nation’s highways. The frequency of truck crashes, fatalities, and injuries have declined over the years, as a result of following efforts:

- Conducting 4-5 National strike forces per year.
- Completing over 20,000 on-site investigations per year.
- Initiating over 10,000 enforcement actions per year.
- Issuing more than 2,500 operations out-of-service orders per year.

## **FY 2014 Requested Funds for Field Operations**

### **Office of Field Operations**

In addition to funds required to sustain CMV safety oversight operations, the Agency will need additional resources in the field to conduct investigations of motor carriers with a proposed unfit safety fitness determination, and to initiate enforcement cases against carriers that receive a final unfit rating based on the Agency's new safety fitness determination process. As a result, the Agency requests 24 additional FTE and \$2.59M for this purpose. The FTE will support the following programs: Interventions Programs (19 FTE and \$2.05M); Border Crossing (3 FTE and \$0.32M); and MAP-21 New Authorities (2 FTE and \$0.22M).

The Agency will also continue to execute its programs and make improvements to other enforcement and compliance policies and procedures, including those dealing with reincarnated carriers. With the corresponding improvements in Information Technology Development and Sustainment, the Office of Field Operations will:

- Increase awareness and education on the need to increase enforcement of serious traffic violations by drivers;
- Improve the quality, quantity and timeliness of data relating to commercial driver activity in order to better track poor driving performance;
- Upgrade the quality and timeliness of delivery of driver history from the drivers' record to roadside enforcement; and
- Implement enforcement policies related to the drug and alcohol clearinghouse database.

A large focus in FY 2014 will be on carriers that are still operating after their USDOT number and/or operating authority are revoked. Egregious violators continue to operate after their authority to do so has been suspended or revoked. The Agency must engage with State partners to make sure these carriers do not operate on the Nation's roadways. The Office of Field Operations resources will also be utilized to conduct investigations and initiate enforcement actions against chameleon carriers that reincarnate to avoid fines, penalties, and non-compliance history.

Additionally, resources will continue to be needed to oversee motor carriers in the New Entrant Safety Assurance Program. Motor carriers that fail a safety audit must demonstrate corrective action or have their authority to operate revoked. These corrective action plans are reviewed to ensure the motor carrier will be able to sustain safe operations if allowed to remain in business. Funding at this level will allow the Agency to support the new entrant program to make the program more efficient and effective.

### **Border Programs Implementation**

The FY 2014 funding for facilities improvements will allow the Office of Field Operations to continue its urgently needed facility and equipment improvements to replace aging mobile trailers and provide for a safe, adequate, and conducive work environment (e.g., canopies to protect against harsh weather conditions, including temperatures well over 100 degrees, inspection pits, air cooling/misting systems.) Improved working conditions for border inspectors allow them to conduct high quality and effective safety inspections of Mexico-domiciled commercial drivers and vehicles crossing into the United States and will cover costs included in the facility modernization funds requested for FY 12 through the Federal Highway Administration (FHWA). The funding will give the Agency the ability to

coordinate with the General Services Administration and CBP to acquire space and install facilities along the border.

Additional funds will help to strengthen the safety presence of FMCSA at the US-Mexican border, thus continuing to make U.S. roads safer. The facility improvements are critical to allowing the Agency to accomplish its on-going safety mission to ensure the safety of trucks entering the U.S. from Mexico.

### **US-Mexico Long Haul Cross Border Trucking Pilot Program Execution**

This pilot program was initiated to fulfill the Administration's commitment to comply with the United States' obligations under the NAFTA, and implement a program that satisfies the safety concerns expressed by Congress and other stakeholders. The pilot was instrumental in the United States government's ability to craft an agreement with the Mexican government to suspend \$2.4 billion of retaliatory tariffs imposed by the Mexican government, resulting from the failure to comply with the NAFTA obligations.

### **Border Programs Implementation**

- The Office of Field Operations will continue to improve both temporary and permanent inspection facilities to provide a safe and efficient work environment at the nearly 30 ports of entry along the US-Mexico border. During FY 2011, FMCSA conducted over 125,000 inspections of Mexican commercial vehicles and drivers crossing the border.
- The Office of Field Operations will continue to decrease the out-of-service rates of Mexico-domiciled motor carriers by maintaining a robust inspection and oversight program. *In FY 2001, the vehicle out-of-service rate for Mexico-domiciled carriers in the commercial zones was 33.55%, in FY 2011 the vehicle out-of-service rate for these carriers dropped to 16.03%.*

In FY 2014, the Office of Field Operations plans to accomplish the following with the requested funding level:

- Perform Driver/Vehicle Inspections to ensure Mexican motor carriers are operating safe commercial vehicles with qualified drivers.
- Monitor Hours-of-Service (HOS) of all Pilot Program Mexican drivers using electronic monitoring devices.
- Conduct compliance reviews of carriers participating in the pilot program.

### **How Do You Know The Enforcement and compliance Intervention Program Works?**

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#### **Testimonials from Our Stakeholders**

A success story of the Enforcement and Compliance Interventions Program:

- **Cargo Tank Inspection Seminars Decrease Public Risks**

For the last several years, the National Tank Truck Carriers (NTTC) has been working with FMCSA field investigators and the Hazardous Materials Division to host four nationwide Cargo Tank Inspection Seminars per year.

These seminars are attended by hundreds of key industry personnel involved in inspecting, manufacturing, repairing and maintaining cargo tanks that transport hazardous materials. Thanks to these classes and the experienced FMCSA field staff teaching them, affiliated industry personnel have the opportunity to learn more about the complex regulations governing cargo tanks. Our partnership with FMCSA allows us to continue to keep costs at a minimum while maximizing our efforts through valuable one-on-one time with the experts. I am sure that cargo tank test and inspections are performed better because of these classes.

-Mr. John Conley, President of National Tank Truck Carriers (NTTC)

The following success stories are attributable to the Commercial Enforcement Program:

- **Partnerships = Prosecution = Safer Roadways**

In 2010, FMCSA's North Carolina (NC) Division initiated an unannounced compliance review in Eden, NC, that resulted in four violations of FMCSA regulations. The primary violation involved false records of duty status. This carrier had been the focus of two prior enforcement actions, and its safety consultant denied the NC Division access to documents during the 2010 investigation.

After exhausting all administrative remedies, the NC Division requested that the DOT Office of Inspector General (OIG) in Atlanta investigate the carrier under the criminal provisions of the U.S. Code. For two years, the NC Division worked with the OIG and the U.S. Attorney's Office for the Middle District of NC to secure a successful prosecution against the carrier, the president of the company, and the company's safety consultant.

In June 2012, the case was closed with three guilty pleas. The U.S. Attorney's Office also allowed the NC Division to place probationary conditions on the carrier, such as requiring them to install electronic on-board recorders (EOBRs) on all vehicles, give FMCSA full access to the EOBR system, and permit access to the corporate offices at any time.

Joint efforts such as this make NC roadways safer for all motor vehicle operators and passengers.

- **Teamwork Stops Dangerous Operators**

FMCSA recently notified the Alabama Revenue Department of a trucking company that was served with an Imminent Hazard Out-of-Service (IH OOS) order. IH OOS orders are issued when an imminent hazard exists that poses the risk of death, serious illness, severe personal injury, or danger to health, property, or the environment.

One day after being served the IH OOS order, the company owner and his wife applied for and obtained a new USDOT number and then applied for operating authority under a new company name. Noticing this red flag, the Alabama Department of Revenue advised FMCSA of the wife's attempt to change the registration on their vehicles to the new company. Since the vehicles were listed in the IH OOS order, authorities were able to inactivate the DOT number and reject the application for operating authority.



Thanks to a partnership between FMCSA and the Alabama Department of Revenue, authorities were able to act quickly to prevent these unsafe business owners from endangering the public again by operating illegally under a new carrier name.

- **Teamwork in Arizona Assists Moving Fraud Victim**

An Arizona resident hired a moving company to move her elderly mother from Detroit, Michigan to Surprise, Arizona. The binding quote was for 2,757 pounds for \$1557.68 for a one bedroom apartment. However, per SAFERsys (FMCSA's Safety and Fitness Electronic Records System) the company had no authority to handle this move.

On the evening of the move, the carrier arrived late to pick up the possessions. As we often see, the movers delayed their arrival until after an agreed upon time. Due to the delayed arrival time, the resident and her mother were forced to leave a friend in charge of meeting the movers on-site in Detroit. The movers ignored specific instructions as to which items were to be transported and which items were to remain. Upon completion of loading, the movers picking up the shipment, failed to leave any documentation, and advised the friend that the price was going to be **much** higher since there were so many items.

The resident searched for assistance and was directed to contact our Arizona Weights & Measures office. There appeared to be a misrepresentation of the price of the service and accordingly, under Arizona statutes, we planned to assist the family and weigh/measure the shipment to determine the true weight.

An FMCSA agent and our office coordinated prior to the delivery date to be on scene to meet the movers and review all the docs. We also coordinated with the Surprise police department to be on scene to review the same and inspect the truck and driver for compliance of all laws.

After the documentation review, we weighed the truck before and after unloading to determine the load weight. Upon completion, it turned out that the resident had only 2,680 pounds of shipment weight, less than the original binding estimate for 2,757 pounds. We held that no additional payments were due from the family to the moving company. Our coordinated efforts allowed us to intervene in another situation of moving fraud.



## **Detail Justification for the – FMCSA Safety Mission Support Program**

### **What Do I Need To Know Before Reading This Justification?**

The Mission Support functions have been essential to maintaining and improving delivery of FMCSA's important programs and operations. Leadership direction has contributed to reduced fatalities; Human Resources has provided the personnel needed to develop competent safety experts; Acquisitions, Training and Management Services provide the tools needed to deliver the Agency's programs, and the needed direction has been provided to the Agency's grant program, and Chief Counsel has provided essential legal interpretation, regulatory legal and ethics guidance, and prosecutorial representation to the agency.

Robust employee retention and recruitment strategies, leadership development programs and opportunities, safety, health and wellness programs, and proper support and equipment are identified as key factors government wide for maintaining a high performance workforce. Centralized oversight and internal controls and financial and budget reporting are crucial in the delivery of the Agency's safety mission and in maintaining the integrity of the Agency and its safety programs.

The functions within the following budget groups are critical to supporting the Agency in its Safety mission and contribute to the success in lowering total highway fatalities:

- The Office of the Administrator
  - Executive Leadership (Administrator, Deputy Administrator, and Chief Safety Officer)
  - Chief Counsel
  - Governmental Affairs
  - Public Affairs
  - Civil Rights
- The Office of the Chief Financial Officer
  - Budget
  - Financial Operations
  - Grants Management Office
- The Office of Administration
  - Management Services
  - Human Resources
  - National Training Center
  - Acquisitions Management
  - Working Capital Fund
- Mission Critical Planning and Analysis
  - Strategic Planning, Program Evaluation, and Statistics and Analysis Program
  - Registration and Information Systems
- National Highway Safety Office
- Commercial Motor Vehicle Operator Grants

**What Is The Request And What Will We Get With The Funds?**

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**FY 2014 – FMCSA Mission Support Program – Budget Request**

(\$000)

<b>Program Activity</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 CR Annualized</b>	<b>FY 2014 Request</b>	<b>Difference from FY 2012 Enacted</b>
<b><u>Funding levels</u></b>				
Personnel Compensation & Benefits	12,026	12,098	12,426	400
Contracts	17,741	18,241	23,642	5,901
Administrative Costs <sup>1</sup>	1,587	1,597	1,638	51
Program Costs <sup>2</sup>	22,030	22,165	24,921	2,891
<b><u>Outreach and Communication</u></b>				
Outreach and Communication	2,889	2,907	4,000	1,111
<b><u>Commercial Motor Vehicle (CMV) Operating Grants</u></b>				
CMV Operating Grants	1,000	1,006	1,000	0
<b><u>Regulatory Development</u></b>				
Strategic Planning and Data Analysis	0	0	2,700	2,700
Driver Management and Oversight	0	0	2,300	2,300
<b>Total</b>	<b>57,273</b>	<b>58,014</b>	<b>72,627</b>	<b>15,354</b>
<b><u>Staffing</u></b>				
Direct Positions	120	120	124	4
Reimbursable FTP	14	14	41	27
Direct FTE	113	113	115	2
Reimbursable FTE	14	14	41	27

<sup>1</sup> Administrative Costs may include: Travel, Training, Supplies, and Equipment

<sup>2</sup> Program Costs may include: Fleet Management, Academy, Border Leases, Border Facilities, and Printing

**Office of the Administrator**

(\$000)

<b>FY 2012 Enacted</b>	<b>FY 2013 CR Annualized</b>	<b>FY 2014 Request</b>	<b>Difference from FY 2012 Enacted</b>
<b>1,527</b>	<b>1,540</b>	<b>1,461</b>	<b>-66</b>

**Office of the Administrator – FY-2014 Funding Profile**

**Overview:** For FY 2014, FMCSA requests **\$1.461M** for the Office of the Administrator, which is a decrease of **\$66,000** from FY 2012 Enacted. The Office of the Administrator is the key leadership positions within FMCSA which includes the Administrator, Deputy Administrator, Chief Safety Officer, and support staff. The Administrator’s Office provides overall Agency direction and oversight. They represent FMCSA and promote the Agency’s safety-first mission within the Department and, work with other Federal agencies, the legislative branch, all stakeholders, and our State and industry partners.

FY 2013 Annualized CR Base: The **\$1.540M** in operating expenses for the Office of the Administrator funds salaries, benefits, supplies, equipment and contractual services. It includes General Operating Expenses (GOE) for travel, training, equipment (computers, monitors, etc.) for the Offices under the Administrator.

**FY 2013 Base Year Accomplishments:**

- The Administrator, Deputy Administrator, and Chief Safety Officer are spreading the message of the FMCSA’s safety-focused strategic plan, program developments, and issues by speaking at more than 30 national and state organization events across the country.
- The Administrator launched a new paradigm for motorcoach safety investigations and enforcement with implementation of the Motorcoach Quick Strike Task Force and follow-on initiatives to educate non-traditional stakeholders (tour groups, NCAA, PTAs, etc.) and evaluation of results.
- The Deputy Administrator is leading a restructuring of FMCSA’s communication and outreach work to maximize the effect of strong messaging complementing strong enforcement to change behaviors.
- The Chief Safety Officer is strengthening the Agency’s use of crash data and company census data to identify areas for enforcement and policy focus within the Agency’s strategic plan.

**FY 2014 Anticipated Accomplishments:**

- The Administrator will lead the Agency’s adherence to its long-term strategies to reduce severe and fatal crashes involving trucks and buses, with targeted work on using performance data to highest risk companies for intervention.

- The Deputy Administrator will lead the Agency's Human Capital Steering Committee in their work to implement organizational improvements in response to the 2012 and 2013 Employee Viewpoint Survey results.
- The Administrator will lead the Agency to fulfill its MAP-21 rulemaking, program development and reporting requirements within the Agency's available resources.
- The Deputy Administrator will advance the Agency's communication and outreach activities in support of the Agency's strong enforcement and intervention work.
- The Chief Safety Officer will oversee strong coordination between the Agency's research, rule development, program evaluation, data collection/analysis and information technology development work to ensure that these activities align in support of the Agency's strategic plan of action.

**FY 2014 Request: \$1.893M**

**FY 2013 to FY 2014 Changes: -\$81,000**

**Justification:** The requested decrease in the Office of the Administrator's budget supports the necessary expectations to carry out the requirements set forth in MAP-21.

**Impact If Not Funded:** Failure to fully provide the level of funding requested in FY 2014 will adversely impact FMCSA's ability for leadership to respond effectively to Congressional mandates and carry-out the Agency's safety-first mission. The public outreach to our stakeholders and the public are necessary to educate, engage, and discuss commercial motor vehicle safety.

## Office of the Chief Counsel

(\$000)

FY 2012 Enacted	FY 2013 CR Annualized	FY 2014 Request	Difference from FY 2012 Enacted
710	714	713	3

**Overview:** FMCSA requests **\$713,000** for the Office of the Chief Counsel (MC-CC), which is an increase of **\$3,000** from FY 2012 Enacted. The Office of Chief Counsel renders legal services and provides legal policy and direction to all FMCSA headquarters and field offices concerning all aspects of the programs, functions, or activities for which FMCSA is responsible. MC-CC provides assistance in the interpretation, administration, and enforcement of the motor carrier safety and hazardous materials regulations including the prosecution and adjudication on violators. MC-CC also handles matters involving Agency contracting activities, personnel and employment, civil rights, public access, and ethics issues. In addition, MC-CC performs all legal services associated with the drafting of legislation, comments on pending bills and presentation of agency officials' testimony. Furthermore, MC-CC provides legal services in connection with the development, coordination, and interpretation of all FMCSA regulations, guidance, and rulemaking documents.

- **Enforcement and Litigation Division (MC-CCE):** MC-CCE provides legal services on all motor carrier enforcement program issues and serves as the point-of-contact for enforcement and rulemaking litigation support involving the Agency or its officials. MC-CCE provides legal support on issues including passenger carrier safety, transportation of hazardous materials, drug and alcohol testing, NAFTA and border crossing issues, international transportation, and the transportation of household goods. MC-CCE coordinates legal representation and other legal services in connection with pending litigation or other proceedings involving FMCSA or its officials. MC-CCE also coordinates all requests for appearances and subpoenas issued to FMCSA personnel including representation of all Agency employees and officials at such events when deemed appropriate after consultation with the Chief Counsel.
- **General Law Division (MC-CCG):** MC-CCG provides all legal services related to internal Agency business, and serves as the point-of-contact for the general law litigation involving the Agency or its officials. MC-CCG provides litigation support and other legal assistance regarding budget, fiscal, and financial management matters, including availability of appropriation and eligibility for Federal funding under the Motor Carrier Safety Assistance Program and other Federal motor carrier-related grant programs. MC-CCG provides legal services related to contracts, grants, cooperative agreements, memoranda of understanding, intellectual property matters, and technology issues, and represents the Agency before the Government Accountability Office and the General Services Administration Board of Contract Appeals. MC-CCG also provides legal assistance in all matters related to personnel and employment, and civil rights, and represents the Agency before the Equal Employment Opportunity Commission, the Merit Systems Protection Board, and the Office of Special Counsel. Additionally, MC-CCG

provides legal advice in connection with public access to government information, including the Freedom of Information Act (FOIA), and the Privacy Act, as well as ethics and conflicts of interest issues.

- **Regulatory Affairs Division (MC-CCR)**: MC-CCR provides legal services on all motor carrier regulatory program issues, including the preparation, interpretation, and administration of regulations governing motor carrier safety, the transportation of hazardous materials, commercial drivers' licenses, minimum financial responsibility, and the Motor Carrier Safety Assistance Program. MC-CCR coordinates with the FMCSA Regulatory Ombudsman, Office of General Counsel, the Office of Management and Budget, and the Office of the Federal Register on regulatory, reporting and compliance matters. MC-CCR provides legal advice and oversight in connection with the development of FMCSA regulations, guidance and interpretations, reviews directives and rulemaking actions for legal sufficiency and compliance with applicable Federal laws, Executive Orders, and regulations. MC-CCR coordinates Agency comments to proposed regulations issued by other agencies and DOT modes affecting FMCSA.
- **Adjudications Division (MC-CCA)**: MC-CCA provides legal services to the Assistant Administrator/Chief Safety Officer in civil penalty enforcement cases, safety rating appeals, and hazardous materials safety permit appeals. MC-CCA drafts final orders, orders on reconsideration, orders on binding arbitration, orders appointing and administrative law judges, and decisions on appeal from Administrative Law Judge recommended decisions in civil penalty enforcement cases concerning the Federal Motor Carrier Safety Regulations, Hazardous Materials Regulations, and Federal Motor Carrier Commercial Regulations. MC-CCA also draft decisions for the Assistant Administrator/Chief Safety Officer's signature concerning appeals of "Conditional" or "Unsatisfactory" motor carrier safety ratings and denials, suspensions, revocations, or proposed suspensions or revocations of hazardous materials safety permits.

#### **Office of the Chief Counsel – FY-2014 Funding Profile:**

**FY 2013 Base:** The \$714,000 in operating expenses for the OCC funded salaries, benefits, supplies, equipment and contractual services.

#### **FY 2013 Base Year MC-CC Accomplishments:**

- Playing a key role in shaping and developing 17 new rulemakings
- Providing support and development of legal theories for the issuance of imminent hazard orders
- Ensuring legal assistance regarding budget, fiscal, and financial management matters

#### **FY 2014 Anticipated MC-CC Accomplishments:**

- Reduce the backlog of adjudication cases waiting for a decision from the Assistant Administrator by 40%
- Provide legal support for stepped up enforcement and the use of new legal authorities in this effort



- Offer legal support, using the limited resources available in MC-CCG, to the new Grants Management Office and the revised Commercial Driver’s License Program

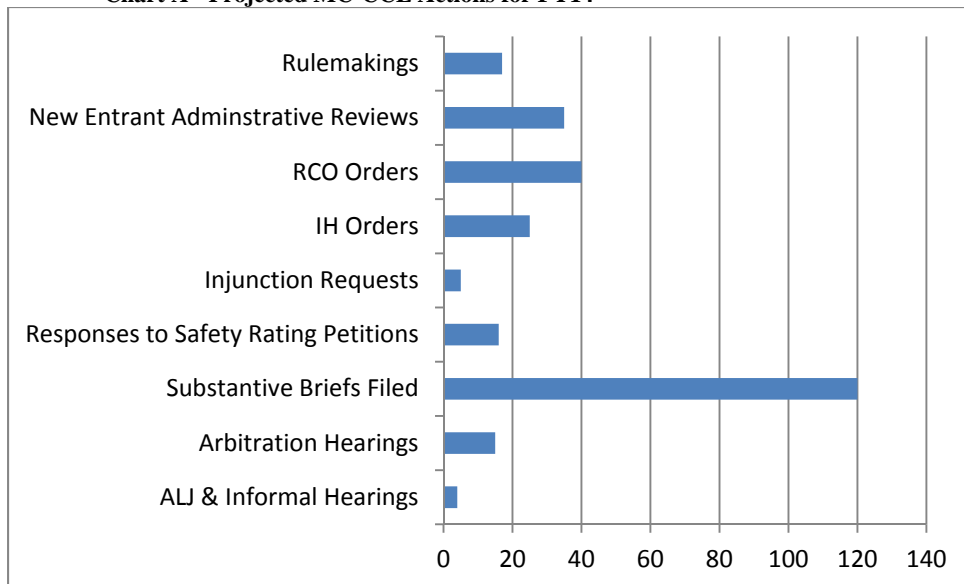
**FY 2014 Request: \$713,000**

**FY 2013 to FY 2014 Changes: -\$1,000**

**Justification:** The requested decrease in MC-CC includes the additional two FTEs (one field attorney for MC-CCE and one attorney for MC-CCA), inflation adjustments for operating expenses, and funding for required pay raises.

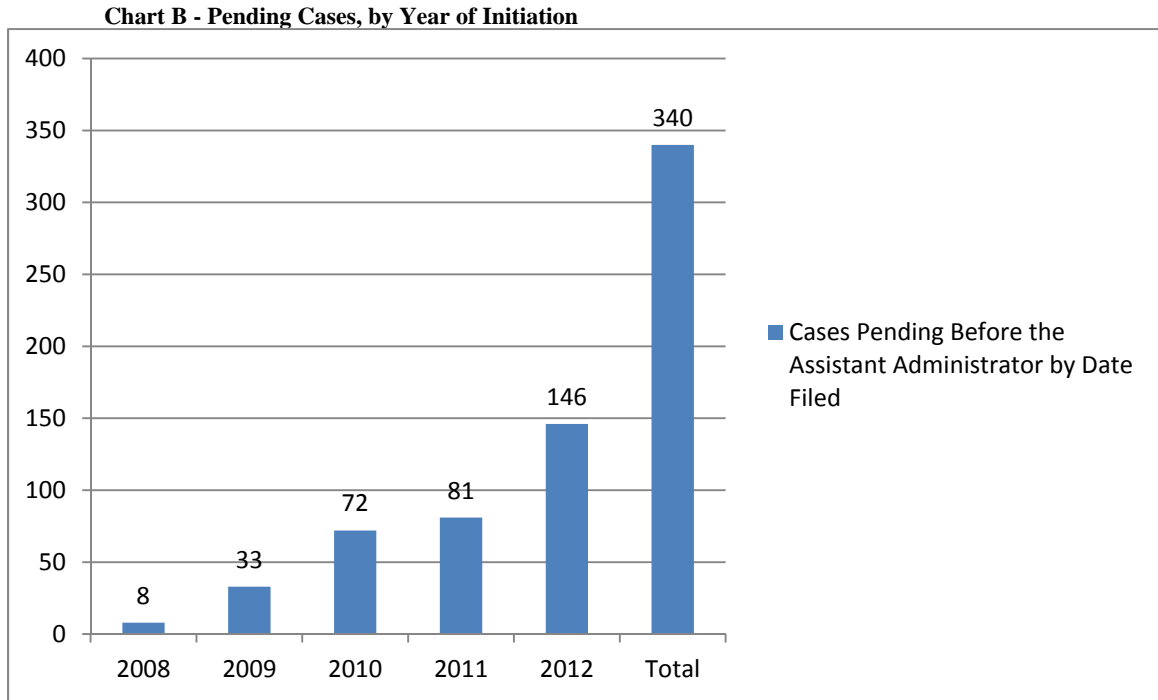
- *One FTE (field attorney) for MC-CCE:* The volume of civil penalty cases and enforcement actions has continued to rise since 2009, and it will expand even further with implementation of new rules and targeted enforcement actions. For example, the Safety Fitness Determination rule, in particular, will propose an expanded role for the Field Administrator, during administrative reviews of safety fitness determinations, with a new right of filing and new opportunities for petitions for reconsideration. Likewise, the new Part 386 procedures for bringing cases against reincarnated and affiliate motor carriers will increase the caseload significantly. Field attorneys have begun issuing imminent hazard (IH) orders at a pace not seen in the Agency’s history, with more such orders issued in 2011 and 2012 than in the previous 10 years combined. In this fiscal year, the field attorneys are on track to issue at least 25 IH orders. **See Chart A below.** The additional MC-CCE attorney will help with the imposition of the civil penalties and enforcement actions intended to induce compliance and ensure motor carrier safety.

**Chart A - Projected MC-CCE Actions for FY14**



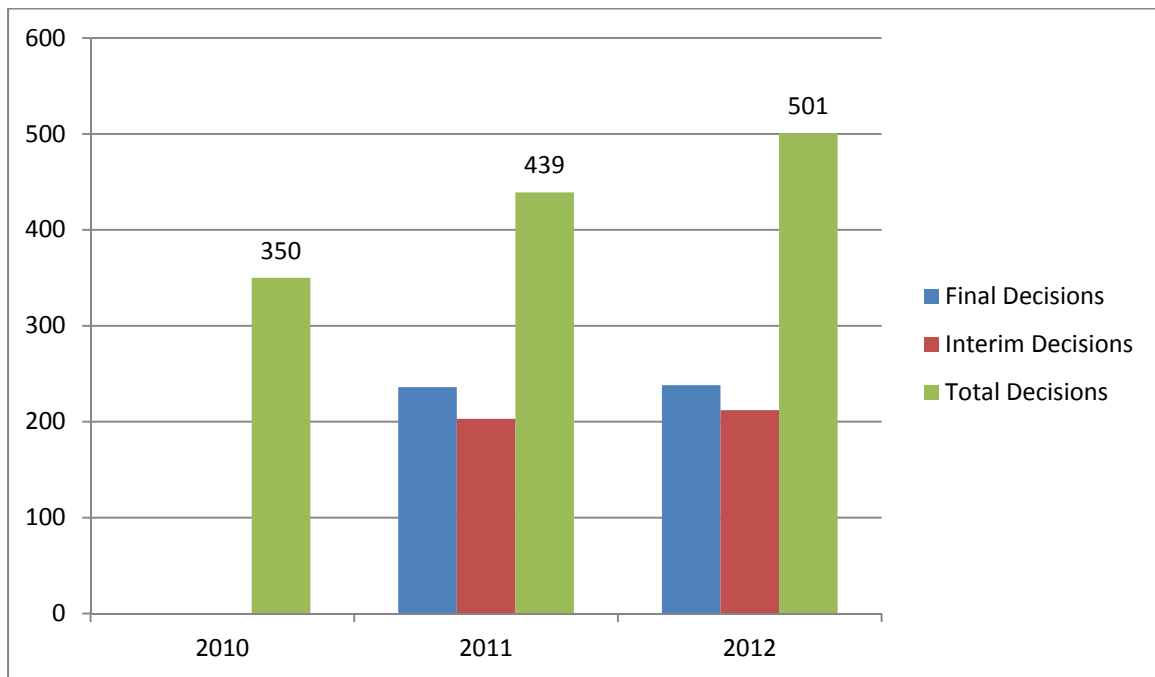
- *One FTE (attorney) for MC-CCA:* There are 340 pending cases requiring action by MC-CCA. **See Chart B below.** Of the 340 pending cases, 113 were filed before 2011. The overarching goal of MC-CCA is to process cases “timely”, according to either regulatory

imposed deadlines or administratively developed guidelines, to ensure the Agency's enforcement program has a meaningful deterrent effect.



At the beginning of 2011, MC-CCA increased from two to three attorneys and was able to increase productivity by approximately 100 decisions per year. **See Chart C below.** By adding one additional attorney to MC-CCA, the Team will be able to address the backlog immediately. As important, it would provide more flexibility in assigning adjudication attorneys to handle urgent matters and still have adjudication attorneys available to handle non-urgent matters, thus implementing a de-facto differentiated case management system. With only three adjudication attorneys, it has been necessary for for MC-CCA attorneys to interrupt their work to handle urgent matters that are deadline sensitive. Having an additional attorney will also be crucial to ensure that the Team is prepared for the influx of a potential larger number of cases because of the new safety fitness rating methodology, which has the possibility to increase the number of safety rating appeals by a multiple that is unknown at this time (although current estimates range from 3x to 6x).

**Chart C - Decisions Issued by Adjudications Team**



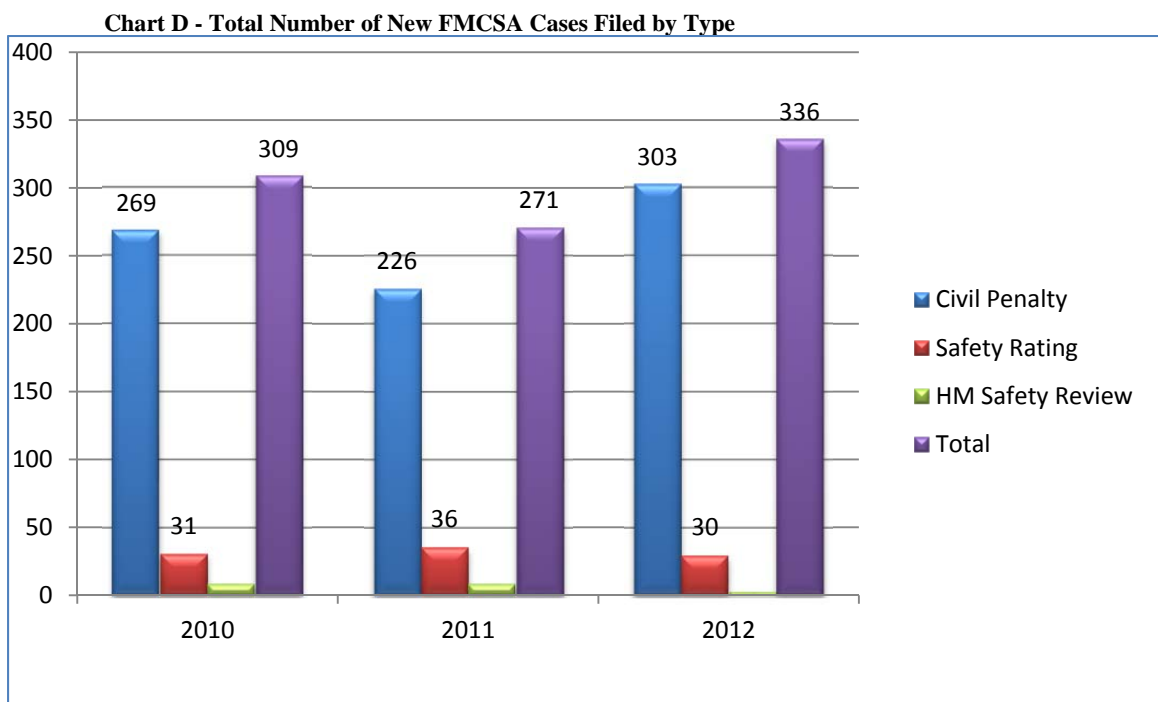
**Impact If Not Funded:**

- *Failure to fund the one additional FTE (field attorney) for MC-CCE will affect stepped up enforcement and the use of new legal authorities in this effort.* MC-CCE Field Attorneys marshal evidence in support of Notices of Claim (NOC) and enforcement actions. In addition, they prepare legal briefs in response to motor carriers who challenge proposed civil penalties. Without additional attorney help in the field, the Agency runs the risk that motor carrier counsel and consultations will overwhelm the Agency’s legal staff, enabling unsafe motor carriers to escape imposition of civil penalties and enforcement actions intended to induce compliance and ensure motor carrier safety.
- *Failure to fund one additional FTE (attorney) for MC-CCA will affect the Adjudication Team’s ability to reduce the backlog of cases before the Assistant Administrator.* Since 2008, the total number of new civil cases filed requiring action by MC-CCA has increased. **See Chart D below.** Although the number of decisions issued by MC-CCA has increased each year, the backlog of cases pending before the Assistant Administrator has not been eliminated.

The increased workload created by new rulemakings has imposed stringent time constraints for action by MC-CCA. For example, on May 29, 2012, the Agency adopted a rule authorizing it to issue orders consolidating the records of motor carriers and/or to place them out of service. In doing so, it required a decision by the Assistant Administrator (AA) within 30 days. See 49 CFR 386.73(g). The records consolidation cases are complex and fact intensive. Since the rule’s inception, 11 petitions for review have already been filed. While necessary to ensure public safety from so-called “reincarnated” motor carriers, the deadlines have significantly increased

the workload burden on MC-CCA and have shifted the resources away from other cases that do not require a decision by regulatory deadline.

Moreover, there has also recently been an increase in safety rating and imminent hazard/out-of-service appeals that require a decision within a specific period imposed by the regulations. Between 2011 and 2012 MC-CCA handled 23 petitions for review of unsatisfactory safety ratings. These petitions required a decision within either 30 or 45 days. These petitions also involved complex legal and factual issues. Without the additional attorney, MC-CCA will not be able to handle the influx of a potential larger number of complex legal and factual issues. Furthermore, the new safety fitness rating methodology will increase the number of safety rating appeals by a multiple that is unknown at this time (although current estimates range from 3x to 6x).



**Office of Governmental Affairs**

(\$000)

<b>FY 2012 Enacted</b>	<b>FY 2013 CR Annualized</b>	<b>FY 2014 Request</b>	<b>Difference from FY 2012 Enacted</b>
<b>648</b>	<b>648</b>	<b>756</b>	<b>108</b>

**Overview:** FMCSA requests **\$756,000** for the Office of Governmental Affairs, which is a decrease of **\$108,000** from FY 2012 Enacted. The Office of Governmental Affairs provides an important service by communicating the Agency’s initiatives and programs to our stakeholders. The Office serves as the official liaison on Agency programs and policies to Congress, the Office of Management and Budget, State and local governments, commercial motor vehicle and safety stakeholders, and other interested parties. It is the focal point within the FMCSA for communicating the Agency’s legislative and programmatic priorities, policies, rulemakings, or other initiatives to external stakeholders.

The Office responds to requests for technical assistance from Congress, coordinates congressional hearings, transmits witness testimony on motor carrier related issues, and provides project status reports through meetings, conference calls, or official correspondence on a daily basis. Through these mechanisms and increased public engagement, the Office of Governmental Affairs continues to promote FMCSA programs in support of its safety-first mission to reduce crashes, injuries, and fatalities involving large trucks and buses.

**Office of Governmental Affairs – FY-2014 Funding Profile**

**FY 2013 Base:** The **\$648,000** in operating expenses for the Governmental Affairs Office will fund salaries, benefits, and bonuses. General Operating Expenses (GOE) for travel, training, equipment (computers, monitors, etc.) will be funded through the Office of the Administrator’s budget.

**FY 2013 Base Year Governmental Affairs Accomplishments:**

- Work closely with program staff on implementation of MAP-21 legislation. The Governmental Affairs Office developed a legislative implementation plan to track the various provisions of the legislation and ensure that the Agency is meeting the Congressional mandates.
- The Executive Secretariat processes approximately 1,000 letters in response to requests from Congress, industry, associations, safety groups, State and local officials and the general public in a timely manner.
- Move the Agency toward the implementation of an electronic correspondence system in consultation with the Secretary’s office to be more efficient and responsive to our customers.
- Establish strategies, priorities, goals and objectives for the development of the next reauthorization proposal (post MAP-21). This includes collaborating with senior

FMCSA officials to establish and manage an Agency workgroup that will complete the framework for the Agency's next reauthorization proposal.

- In response to Congress, the Governmental Affairs Office successfully transmits all mandated reports effectively and timely.
- Provide technical assistance to Congressional staff and meet as necessary to offer clarifications and ensure that the needs of the Agency are conveyed to our authorizing and appropriating Committees.
- Developed and launched a public MAP-21 page which is updated as needed.
- To help facilitate relief efforts after the devastation caused by Hurricane Sandy, a Governmental Affairs staff person went to the New Jersey area and provided direct support as a representative for the Department.
- Coordinated public engagement and stakeholder meetings to facilitate more collaborative approaches to commercial motor vehicle safety.
- Formalize the Agency's stakeholder program to build upon and strengthen relationships with our external stakeholders.

**FY 2014 Anticipated Governmental Affairs Accomplishments:**

- Further strengthen relationships with Congress and external stakeholders.
- Work with FMCSA, DOT, modal officials, industry, associations, safety groups, and Congress to develop and submit a comprehensive reauthorization plan.
- In response to Congressional mandates, the Governmental Affairs Office will provide more responsive and timely reports to Congress.
- Provide technical assistance to Congressional staff and meet with the staff as necessary to provide clarifications and ensure that the needs of the Agency are conveyed to staff of our authorizing and appropriating Committees.
- Continue to coordinate public engagement and stakeholder meetings to facilitate more collaborative approaches to commercial motor vehicle safety.

**FY 2014 Request: \$756,000**

**FY 2013 to FY 2014 Changes: \$108,000**

**Justification:** To improve the effectiveness of the Agency's relationships with Congress, industry, safety organizations, State and local governments, associations, and other stakeholders, the Office of Governmental Affairs was restructured to combine the functions of the Legislation Division and the Executive Secretariat as a consolidated stand-alone office.

**Impact If Not Funded:** Failure to fully provide the level of funding requested in FY 2014 will adversely impact FMCSA's ability to respond effectively to Congress, stakeholders, and public inquiries. Opportunities to meet and engage with these stakeholders to discuss commercial motor vehicle safety would be minimized and would adversely affect the implementation of significant rulemakings, support for enforcement operations, future reauthorization of the Agency, and other FMCSA programs.

## Office of Public Affairs

(\$000)

FY 2012 Enacted	FY 2013 CR Annualized	FY 2014 Request	Difference from FY 2012 Enacted
3,834	3,858	4,944	1,110

**Overview:** FMCSA requests **\$4.944M** for the Office of Public Affairs, which is an increase of **\$1.110M** from FY 2012 Enacted. The requested amount includes the \$4 million designated in MAP-21 for outreach and education. The Office of Public Affairs works to ensure that FMCSA's safety-first mission is spread to the American people. The Office serves as the Agency's official spokesperson, for media relations, public affairs and reaching interested parties through a variety of communication materials. It coordinates media events, radio and television appearances, and one-on-one interviews with the Administrator's Office to promote awareness of FMCSA safety programs, activities, and objectives to the public. The Office promotes awareness of FMCSA's safety programs, activities and objectives and communicates the Agency's safety-first culture through integrated marketing campaigns, online media, educational materials, exhibits, videos, websites, and publications. For the office to successfully develop, promote, and administer educational, outreach, and digital strategies and tactics to the general public, motor carriers and commercial motor vehicle (CMV) drivers in order to increase compliance with safety regulations and to prevent CMV crashes within the United States, it requests the following budget.

### **Office of Public Affairs – FY-2014 Funding Profile**

FY 2013 Annualized CR Base: The **\$3.858M** in operating expenses for Outreach and Education will fund salaries, benefits, supplies, equipment and contractual services.

#### **FY 2013 Base Accomplishments:**

The Office of Public Affairs effectively communicated its safety mission the press releases, news digests and the launch of a social media campaign. The Office coordinated joint media events with safety stakeholders and actively pursued initiatives during FY 2013 to promote the safe operation of CMVs and to prevent crashes, injuries and fatalities involving large trucks and buses. In addition, FMCSA provided educational and outreach material (published and electronic) to increase public awareness about Compliance, Safety, Accountability program, motorcoach safety - what to look for before you book a trip, and the transportation of household goods in interstate commerce enabling consumers to avoid becoming victims of moving fraud.

Outreach activities were primarily accomplished through the following: (1) CMV Safety Belt Usage Improvement Program, (2) Passenger Carrier Safety Outreach Program, (3) Household Goods Consumer Information Program, (4) Distracted Driving Program, and (5) other outreach support activities involving rulemaking support, strategic planning, and FMCSA's strong long term commitment to safety.

- The CMV Safety Belt Usage Improvement Program promotes CMV safety belt usage through FMCSA’s “Be Ready. Be Buckled” outreach campaign, the CMV Safety Belt Partnership and its national children’s art contest.
- Expanded marketing research efforts for passenger carrier and household goods customer satisfaction; and the National Occupant Protection Use Survey (NOPUS) to measure the effect of FMCSA safety belt outreach and education initiatives with regard to safety belt use by CMV drivers.
- Developed consumer and industry focused marketing campaigns to foster and support FMCSA’s leadership role in promoting “think safety first” and “look before you book” through its Passenger Carrier Safety Outreach Program to increase awareness of existing safety initiatives designed to improve Motorcoach safety.
- Implemented consumer moving fraud prevention outreach campaign and PSA around FMCSA’s increased enforcement efforts to protect the public from illegal activities and deceitful business practices by dishonest moving companies and brokers.
- Completed website content analysis and created a comprehensive 22 page Drug and Alcohol Testing Program website to serve as a centralized informational and educational resource and to support current rulemaking.
- Developed Cargo Tank Rollover Prevention Marketing and Communication Plan, conducted content analysis to stand up new Hazardous Materials/Dangerous Goods micro-website.
- Contributed to the planning and execution of FMCSA public website redesign effort.
- Created new FMCSA recruitment materials and redesigned web content to launch new “*Pathways*” Federal employee recruitment initiative.

**FY 2014 Anticipated Accomplishments:**

The Office of Public Affairs will work on strengthening its effective communication with the public and commercial motor vehicle safety stakeholders.

- Expand the Agency’s radio, social media, and event campaigns to reach our targeted audiences – new and current.
- Continue CMV Safety Belt Usage Improvement Program through expanded Partnership efforts, the “Be Ready. Be Buckled” national outreach campaign and deploy strategies and tactics around enforcement activities.
- Develop an outreach materials distribution strategy/partnership to ensure the delivery of FMCSA information at truck-stops nationwide.
- Roll-out National Occupant Protection Use Survey (NOPUS) findings concerning safety belt use among CMV drivers.
- Contribute to FMCSA public website redesign and content management initiative.
- Expand motorcoach safety education and outreach program to consumers and the industry.
- Conduct consumer moving fraud prevention outreach campaign around FMCSA’s enforcement efforts to protect the public from illegal activities and deceitful business practices by dishonest moving companies and brokers.



**FY 2014 Request: \$4.944M**

**FY 2013 to FY 2014 Changes: \$1.086M**

**Justification:** The requested increase in Public Affairs funding supports intensified efforts to deliver passenger carrier safety (motorcoach) educational information and household goods consumer protection information in order to accomplish the Agency's safety mission—preventing crashes, injuries, and fatalities on our highways. Funds will also be used to increase FMCSA's social media presence and to refresh and update important Agency public websites.

**Impact If Not Funded:** Failure to fully provide the level of funding requested in FY 2014 will adversely impact FMCSA's ability to reach the general public with lifesaving safety messages, and adversely affect support for enforcement operations, the implementation of significant rulemakings and other Agency programs.

## Office of Civil Rights

(\$000)

FY 2012 Enacted	FY 2013 CR Annualized	FY 2014 Request	Difference from FY 2012 Enacted
622	626	610	-12

**Overview:** FMCSA requests \$610,000 for the Office of Civil Rights (OCR), which is a decrease of \$12,000 from FY 2012 Enacted. The core activities for OCR are ensuring: that recipients of funds from the Federal Motor Carrier Safety Administration (FMCSA) conduct their Federal assisted programs and activities in a non-discriminatory manner; that FMCSA does not discriminate against its employees or applicants for employment; and that FMCSA conducts all of its programs and activities free of discrimination. Major statutes which FMCSA enforces include: Titles VI and VII of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Title II of the Americans with Disabilities Act of 1990; the Equal Pay Act of 1963; and, the Age Discrimination in Employment Act of 1967.

**OCR:** In accordance with the President’s Executive Order 13583 on *Establishing a Coordinated Government-Wide Initiative to Promote Diversity and Inclusion in the Federal Workforce*, FMCSA is committed to equal opportunity, diversity, and inclusion in order to accomplish the agency’s safety-first mission to reduce crashes, injuries, and fatalities involving large trucks and buses. FMCSA is also committed to providing a discrimination-free workplace and affording its employees and applicants equal opportunity and treatment as it strives to become a model EEO program, a “best place” and a more diverse and inclusive place to work.

It is essential that OCR partners with FMCSA’s Office of Human Resources and the Departmental Office of Civil Rights (DOCR) in order to develop a highly skilled and motivated workforce; conducts outreach activities to educational and professional institutions which contain a large pool of applicants from groups which have low participation rates at the FMCSA; and works with Agency leadership to reduce the number of complaints filed against the Agency. The OCR implements all statutory requirements and provides proactive training and education approaches to ensure a discrimination free workplace.

In accordance with the Attorney General’s February 17, 2011 memorandum to all Federal agencies, directing them to renew their commitment to language access obligations under Executive Order 13166, OCR, in conjunction with DOCR, is working to issue guidance to recipients of Federal financial assistance on their legal obligations to take reasonable steps to ensure meaningful access for Limited English Proficient (LEP) persons under the national origin nondiscrimination provisions of Title VI of the Civil Rights Act of 1964 and implementing regulations. The mission support budget includes the resources necessary to implement these statutory requirements and those the FMCSA proposes to implement in addition to these requirements.

## **Office of Civil Rights – FY-2014 Funding Profile**

**FY 2013 Annualized CR Base:** The \$626,000 in operating expenses for Civil Rights will fund salaries, benefits, supplies, equipment and contractual services.

### **FY 2013 Base Accomplishments:**

- Complete diversity training for all FMCSA employees and managers
- Conduct (2) Title VI compliance reviews
- Establish partnerships with Minority Institutes of Higher Education

### **FY 2014 Anticipated Accomplishments:**

- Increase civil rights staff by one EEO Specialist
- Conduct (4) Title VI compliance reviews
- Conduct targeted recruitment activities to employee groups with low participation rates at FMCSA
- Conduct a Title VI investigation

**FY 2014 Request: \$610,224**

**FY 2013 to FY 2014 Changes: \$-16,000**

**Justification:** The requested funding for Civil Rights will fund salaries, benefits, supplies, equipment and a provision for contractual services necessary to complete a Title VI investigation.

**Impact If Not Funded:** If OCR is not funded at the FY 14 level, then we will be unable to complete any Title VI investigations which are pending in our inventory as well as the four Title VI compliance reviews we have planned. In addition, we have received feedback from the Department of Justice (DOJ) informing us that we need to improve our civil rights oversight over grant programs. Accordingly, this increase will enable us to comply with DOJ's directive.

**Office of the Chief Financial Officer**

(\$000)

<b>FY 2012 Enacted</b>	<b>FY 2013 CR Annualized</b>	<b>FY 2014 Request</b>	<b>Difference from FY 2012 Enacted</b>
<b>9,558</b>	<b>10,000</b>	<b>11,378</b>	<b>1,820</b>

**Overview:** FMCSA requests **\$11.478M** for the Office of the Chief Financial Officer (OCFO), which is an increase of **\$1.820M** over FY 2012 Enacted. The OCFO encompasses budget, finance and grant oversight functions. The core activities for the OCFO are developing and maintaining proper internal controls related to budget, financial and grants reporting. This office ensures that sufficient internal controls are in place for proper stewardship of all financial resources. Under the Office of the Chief Financial Officer, the newly formed Grants Management Office is being requested to assist the agency in preventing fraud, waste and abuse of Agency resources.

- Budget Office:** This Office is the Agency's authority on appropriation and authorization policies, processes, programs and transactions with the support from the Administrator, CFO and Chief Counsel. The Budget Office prepares budget submissions, provides responses for Congressional and Departmental budget data requests, processes apportionments, provides funding to program offices, analyzes agency budget execution, evaluates and approves proper use of appropriated funding, non-appropriated funding and manages payroll activity. The Budget Office also provides standard operating procedures, guidance, and advanced budget tracking tools and methodology to the program offices to maximize Agency resources and maintain real-time tracking of fund execution.
- Finance Office:** The Finance Office performs a host of financial management related activities, including internal controls, financial statement audit liaison, oversight of the Agency's travel card, management of the Agency's travel program and eTravel system, and providing funds availability certification for commitment and obligation transactions. The Finance Office is also responsible for recording financial transactions, reconciling financial transactions (coordinated with the program offices) and reporting the financial status of the Agency on a monthly, quarterly, and annual basis. Responsibility for the agency annual year-end closeout and adherence to the OMB Circular A-123 and the Federal Managers Financial Integrity Act (FMFIA) falls under the purview of this office.
- Grants Management Office:** This program provides the administrative and financial management of the Agency's grants programs, as specified in MAP-21. In managing the grant and cooperative agreement programs, the agency is requesting two (2) FTE's in FY 2014 to provide financial oversight and training development. The staff included in this request will be responsible for developing and implementing the FMCSA grant programs; soliciting applications; evaluating the technical aspects of the applications; recommending awards; executing awards; obligating and de-obligating funding;

monitoring deliverables for timely completion; reviewing the grants for compliance with program requirements; meeting performance measures; requiring corrective action plans when deficiencies are identified; and establishing and monitoring internal controls to ensure, identify and promote best practices. Proper voucher tracking, funds reconciliation, and file management are also parts of the comprehensive grants management program. The requested funding will allow better development of oversight that will lead to the implementation of efficient and effective grant program maintenance and the highest level of integrity in the grant management process.

### **Office of the Chief Financial Officer – FY-2014 Funding Profile**

**FY 2013 Base:** The \$9.982M in operating expenses for the OCFO will fund salaries, benefits, supplies, equipment and contractual services.

#### **FY 2013 Base Year CFO Accomplishments:**

- Standing up Grants Management Office
- Uphold financial integrity within FMCSA with the “We Check and Verify” Financial Campaign
- Transition Federal Internal Control Auditor to lead personal services contracted internal control operations

#### **FY 2014 Anticipated CFO Accomplishments:**

- Full complement of OCFO on-board staff in Budget, Finance and Grants Management Offices leading to commensurate reduction in personal services contracts
- Achieve Unqualified Statement of Assurance
- All Green Performance Metrics

**FY 2014 Request: \$11.378M**

**FY 2013 to FY 2014 Changes: \$1.396M**

**Justification:** The requested increase in the Office of the Chief Financial Officer includes two FTE’s and funding along with current services changes for required pay raises and inflation adjustments to program /operating expenses.

The two (2) FTE’s (\$0.22 M) (\$110 K/FTE) will fund the Grant Management Specialist Positions for the new Grants management Office.

**Impact If Not Funded:** Failure to fund the two FTE’s for the Grants Management Office will require Grant Program Managers from the State Programs Division with limited capacity and time to focus on programmatic issues that determine the direction and effectiveness of the Grant Program. Also the GMO will need to continue to rely heavily on the support it receives from the (approximate) six contractors (6) (FTE equivalent). For the foreseeable future, contractors are, and will continue to be responsible for the following functions, assist with policy development and guidance; grants management training, Grant Management Manual updates;

user support on GrantSolutions; manage Help Desk operation; and providing guidance and training on financial aspects, such as direct and indirect costs, and cost analysis. However, it is in the best interest of the organization to develop the internal capacity and subject-matter expertise normally found in a professional grants management staff. This can be accomplished by phasing out or reducing the level of contract support and assuming those responsibilities with Federal employees.

## Office of Management Services

(\$000)

FY 2012 Enacted	FY 2013 CR Annualized	FY 2014 Request	Difference from FY 2012 Enacted
15,214	15,307	17,175	1,961

**Overview:** FMCSA requests **\$17.175M** for the Office of Management Services (OMS), which is an increase of **\$1.961M** over FY 2012 Enacted. This Office of Management Services develops Agency-wide management support services, policies, and activities. These services include space management, facilities and equipment management, metered and express mail services, property management, fleet management, printing, transit benefits, and other administrative services.

OMS supports the government-wide environmental initiatives to reduce greenhouse gas emissions in buildings and complies with the President's Executive Order 13514 ensuring the agency's motor vehicle fleet use alternative fuels by 2015. The FMCSA executes the Freedom of Information Act (FOIA), Paperwork Reduction Act, and Privacy Act activities and maintains administrative directives for all Agency activities. These essential functions are supported centrally to leverage economies of scale, to monitor and control costs, and assure adherence to regulations and Agency policy and procedures. Further, Management Services implement many government-wide initiatives to improve transparency, sustainability, and ensure effective use of Federal resources to include:

- Occupational Safety and Health within the OMS provides agency-wide administration and management of the employee occupational safety and health program.
- Border Space Management program includes rental payments for all border truck and bus inspection locations, as well as feasibility studies, land acquisition, construction of new buildings and office spaces, bus passenger waiting areas renovations, inspection pits, canopies, furniture and all associated IT information technology (IT) and security enhancements.
- OMS responds to approximately 1,900 valid FOIA requests, which are processed in consultation with the Office of Chief Counsel and Office of Communications. FMCSA receives the third highest number of requests, following the Federal Highway Administration (FHWA) and Federal Aviation Administration.
- Fleet Management program within OMS provides Agency-wide management of GSA leased vehicles. These vehicles facilitate the agency's mission of motor carrier safety by providing vehicles for use by Special Investigators throughout the 50 states and territories.

### **Management Services – FY-2014 Funding Profile**

**FY 2013 Base:** The **\$15.307M** in operating expenses for Management Services will fund salaries, benefits, supplies, equipment and contractual services. It includes General Operating Expenses (GOE) for travel, training and equipment for the Office of Management Services.

**FY 2013 Base Year Management Services Accomplishments: (see individual areas)**

**FY 2014 Anticipated Management Services Accomplishments: (see individual areas)**

**FY 2014 Request: \$17.175M**

**FY 2013 to FY 2014 Changes: \$1.868M**

**Justification:** The requested increase in Management Services includes two FTE's and funding along with current services changes for required pay raises and inflation adjustments to program operating expenses.

**Impact If Not Funded:** Failure to fund Management Services would impact ability to support departmental mission.



**Office of Human Resources**

(\$000)

<b>FY 2012 Enacted</b>	<b>FY 2013 CR Annualized</b>	<b>FY 2014 Request</b>	<b>Difference from FY 2012 Enacted</b>
<b>3,887</b>	<b>3,911</b>	<b>3,958</b>	<b>71</b>

**Overview:** FMCSA requests **\$3.958M** for the Office of Human Resources, which is a decrease of **\$71,000** over FY 2012 Enacted. The Office of Human Resources provides a full range of services to the FMCSA employees, including employee and labor relations, staffing and classification, executive resources, oversight of various human resources information technology systems, employee benefits, and strategic human capital planning. FMCSA values its employees as its number one resource, and to ensure continuity in the mission related activities and minimize Agency costs, FMCSA is requesting funding for employee recruitment and retention initiatives. Maintaining an experienced workforce enables the Agency to effectively support its safety mission. FMCSA’s goal is to hire high quality employees, develop future leaders, and maintain a high performing workforce that is effective in accomplishing FMCSA’s safety mission.

**Office of Human Resources – FY-2014 Funding Profile**

**FY 2013 Base:** The **\$3.911M** in operating expenses for HR will fund salaries, benefits, supplies, equipment and contractual services.

**FY 2013 Base Year HR Accomplishments:**

- Support succession planning efforts targeted to developing high potential employees, assuring their preparation for positions at the executive level.
- Automate the exit clearance process and develop an agency wide orientation program for new employees to Government from the executive level down.

**FY 2014 Anticipated HR Accomplishments:**

- Automate the position classification process to include developing standardized position descriptions (PD) as well as a PD library.
- Obtain off-the-shelf software aimed at analyzing accession trends that forecast skills gaps among our employees and our diversity metrics.
- Improve metrics on the pay related processing of personnel actions that will require automatic verifications of HRIT systems.

**FY 2014 Request: \$3.958M**

**FY 2013 to FY 2014 Changes: \$47,000**

**Justification:** The requested increase in the Office of Human Resources includes two FTE and funding along with current services changes for required pay raises and inflation adjustments to program /operating expenses.

**Impact If Not Funded:** FMCSA's human capital functions would not be able to adequately support the Agency's growing mission and its core principles of raising the bar to enter the motor carrier industry, requiring carriers to maintain high safety standards and removing high risk carriers and drivers from our nation's roads.

## National Training Center

(\$000)

FY 2012 Enacted	FY 2013 CR Annualized	FY 2014 Request	Difference from FY 2012 Enacted
5,296	5,328	5,168	-128

**Overview:** FMCSA requests **\$5.168M** for the National Training Center, which is a decrease of **\$128,000** from FY 2012 Enacted. The FMCSA National Training Center (NTC) is a full service training organization, providing a wide range of development and delivery options to its customers, utilizing state of the art technologies, design methodologies and delivery options. The NTC is a unique organization in that over 90% of the 16,000 students trained annually, are not FMCSA employees

The NTC training development and delivery, includes travel, course maintenance and updates, new training aids developments, and instructor development and travel.

### National Training Center – FY-2014 Funding Profile

**FY 2013 Base:** The **\$5.328M** in operating expenses for NTC will fund salaries, benefits, supplies, equipment and contractual services.

#### **FY 2013 Base Year NTC Accomplishments:**

- CSA Training.
- Roll-out of revised Roadside training curriculum – updated with latest regulations and improved instruction methods (NAS A, NAS B, and PVI).
- Household Goods Basic Enforcement Training updated.
- CMV Criminal Interdiction Training – revised course with scenario-based testing.
- Updated curriculum for Instructor Development.
- Implement Learning Management System to manage logistics for external training customers.
- New Entrant web-based training published on FMCSA public web site.
- Develop new training course to support the Uniform Fine Assessment system and policy.
- Completion of NAS instructor re-certification for over 135 total instructors, additional material provided on EMMT, hours of service, and MAP21. These instructors will take the training back to their states to be delivered.
- Completion of the Skills Performance Evaluation training redevelopment which includes shooting video of the on-road and off-road portions of the evaluation.
- Delivery of several Professional Development courses to support FMCSA employee development.
- Projected total students trained = 17369.

### **FY 2014 Anticipated NTC Accomplishments:**

- Update curriculum for Safety Academy, including pre-Academy and post-Academy on-the-job training
- FLETA Re-accreditation for CMV Criminal Interdiction Training.
- CSA Training.
- Grants Management Training.
- Expanded training to support Hours of Service rule and electronic on-board recorders.
- Roll-out of new Leadership curriculum to support FMCSA employee development.
- Competency Modeling completion.
- Revision of the hazardous materials program to mirror the NAS programs with re - certification of all HM instructors.
- Roll out of the new Learning Management System giving all instructors and state POC access to better communication and class management.
- Addition of courses to meet the needs of several prerequisites and electives needed for the new Professional Development and Leadership Program (PDLP) designed for FMCSA employee enrichment.
- Projected total students trained = 18239.

**FY 2014 Request: \$5.268M**

**FY 2013 to FY 2014 Changes: -\$160,000**

**Impact If Not Funded:** Failure to fund the National Training Center will result in many agency priority tasks being minimized. This delay will have persistent and long term negative impacts on internal capability and sustainability of critical training to all stakeholders (internal and external). Without this funding, all current efforts across NTC will be stalled and our planned process and program improvements will be delayed.

Further, the agency will not have met a pressing need to train both Field and Headquarters personnel in such areas of commercial enforcement as brokering, freight forwarding, insurance, and licensing (operating authority).

Lack of funding will lead to our current and future leaders being at a technical disadvantage with their peers and our agency will have negative impacts on performance as a result.

**Office of Acquisitions Management**

(\$000)

<b>FY 2012 Enacted</b>	<b>FY 2013 CR Annualized</b>	<b>FY 2014 Request</b>	<b>Difference from FY 2012 Enacted</b>
<b>2,921</b>	<b>2,938</b>	<b>2,973</b>	<b>52</b>

**Overview:** FMCSA requests **\$2.973M** for the Office of Acquisitions Management (OAM), which is an increase of **\$52,000** over FY 2012 Enacted. The OAM provides the Agency with support for contracting and procurement actions. Without this support, the FMCSA would not be able to procure the goods and services the program offices need to meet the Agency’s mission. Acquisitions management includes pre-award and post-award support, contract management and administration, records retention of contract files, and contract closeout. This support includes management and oversight of contracting officer’s professional development, warrants, certification and training, contracting officer’s technical representatives, and management of the Purchase Card program. Acquisition support includes guidance to program offices on market research, independent government cost estimates, contract type, Statement of Work (SOW) development, and technical evaluations. OAM is also responsible for Inter and Intra Agency Agreements within DOT and with other Federal agencies. OAM develops standard operating procedures for internal control over all types of acquisitions. OAM develops FMCSA policies and procedures related to all acquisition subjects and for purposes of internal control.

**Office of Acquisitions – FY-2014 Funding Profile**

**FY 2013 Base:** The **\$2.938M** in operating expenses for the OAM will fund salaries, benefits, supplies, equipment and contractual services.

**FY 2013 Base Year OAM Accomplishments:**

- Contract support for the re-competition of \$100 million information technology support services contract.
- Award of approximately \$25 million in new contracts.
- Contract administration of \$100 million in existing contracts and interagency agreements.
- Respond to new initiatives of program offices.
- Complete FAC C Certification training of four staff and provide mandatory refresher training for remaining staff.

**FY 2014 Anticipated OAM Accomplishments:**

- Competition of information technology systems contract valued in excess of \$100 million.
- Consolidation of information technology legacy systems into a single contractor operated system.
- Maintain existing contracts and provide for mandatory refresher training

**FY 2014 Request: \$2.973M**

**FY 2013 to FY 2014 Changes: \$35,000**

**Justification:** The requested increase in the Office of Acquisitions represents adjustments to program /operating expenses.

**Impact If Not Funded:** Failure to fund the OAM would prevent the agency from contracting for goods and services and would eliminate the administration of all existing agency contracts. The impact on agency mission critical operations would be severe.

## Working Capital Fund

(\$000)

FY 2012 Enacted	FY 2013 CR Annualized	FY 2014 Request	Difference from FY 2012 Enacted
8,765	8,836	9,500	735

**Overview:** FMCSA requests **\$9.500M** for the Working Capital Fund, which is an increase of **\$700,000** over FY 2012 Enacted. The Working Capital Fund (WCF) is a pass-thru to the Office of the Secretary of Transportation (OST) for administrative services for the entire department. Management Services continuously strives to achieve efficiencies in the Working Capital Funds (WCF) categories. For example, by switching the daily printing requirement of documents to electronic submission, the Agency reduced monthly printing cost by \$4,000.

### **Working Capital Fund – FY-2014 Funding Profile**

**FY 2013 Base:** The **\$8.854M** in operating expenses for WCF will fund services provided by OST.

#### **FY 2013 Base Year WCF Accomplishments:**

- Reduced printing costs by eliminating certain hard copy documents

#### **FY 2014 Anticipated WCF Accomplishments:**

- Further printing reductions
- Anticipated postage cost reductions

**FY 2014 Request: \$9.500M**

**FY 2013 to FY 2014 Changes: \$646,000**

**Justification:** The requested increase in WCF includes normal inflationary rates as well as new line item services added by OST.

**Impact If Not Funded:** Failure to fund the WCF would eliminate all administrative services at the headquarters level.

## Program Evaluation

(\$000)

	FY 2012 Enacted	FY 2013 CR Annualized	FY 2014 Request	Difference from FY 2012 Enacted
Strategic Planning and Program Evaluation	622	626	4,051	3,429
Statistic and Analysis	2,669	2,676	3,940	1,271
<b>TOTAL Program Evaluation</b>	<b>3,291</b>	<b>3,302</b>	<b>7,991</b>	<b>4,700</b>

For FY 2014, FMCSA requests **\$7.991M** for its Strategic Planning, Program Evaluation, and Statistics and Analysis program, which is an increase of **\$4.689M** over FY 2012 Enacted. Strategic Planning, Program Evaluation, and Statistics and Analysis program consists of the following:

- **Strategic Planning and Program Evaluation (\$4.051M)** - These functions involve the development of the Agency's strategic and performance plans, monitoring activities, and the evaluation of Agency programs against the stated goals and objectives.
- **Statistics and Analysis (\$3.940M)** – This function collects and analyzes data on roadway crashes, commercial drivers, and the operations and safety performance of motor carriers. The program serves as an agency-wide resource providing USDOT policy makers, Congress, industry, and the research community with timely and relevant statistical information.

### Overview:

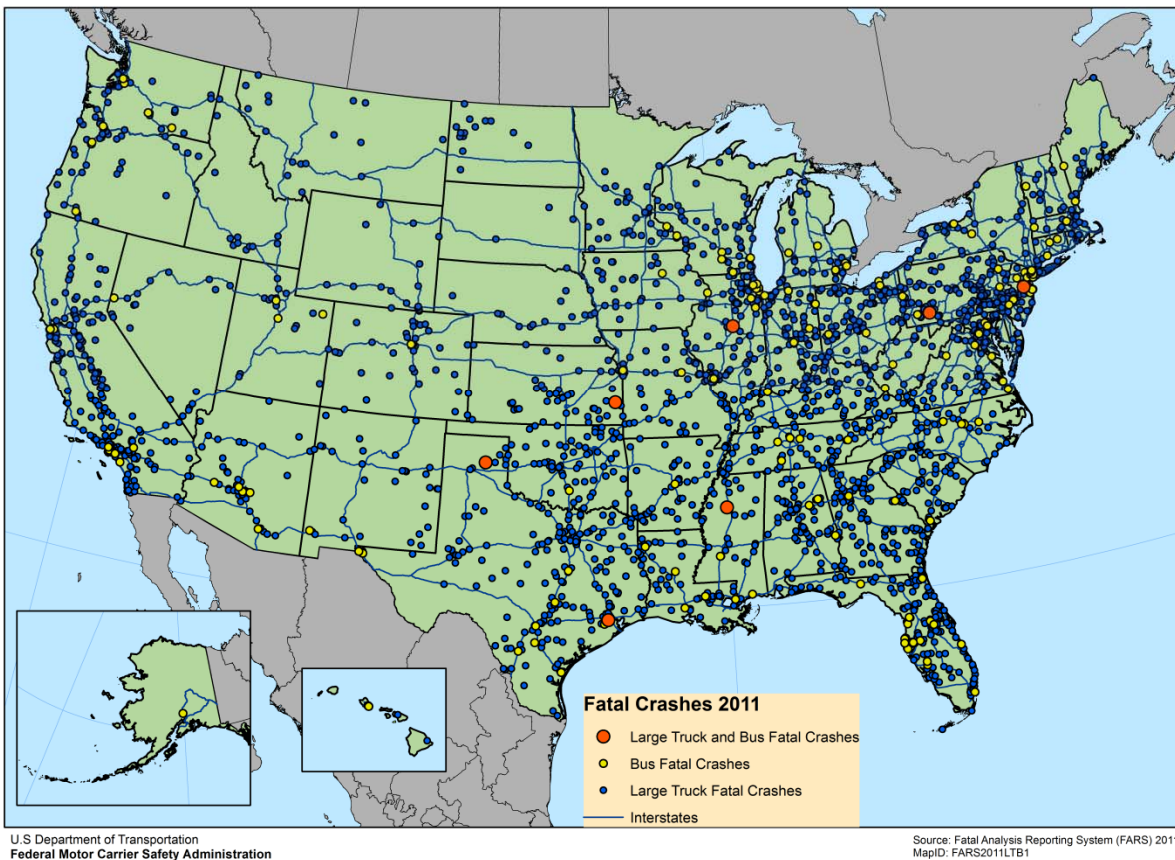
Strategic Planning and Program Evaluation activities include the development, implementation, and periodic updating of the Strategic Plan of FMCSA to include development and implementation of elements related to the Roadway Safety Plan (RSP). In addition, the program facilitates the development and evaluation of performance measures, and the preparation of the Agency's Organizational Assessment at the end of each fiscal year for formal submission to the Office of the Secretary (OST) and the Office of Management and Budget (OMB). This function also includes the audit liaison, which is a wide ranging area for which the Office of Policy acts as the Agency's liaison with external oversight organizations (i.e., the DOT Office of the Inspector General, GAO, and the National Transportation Safety Board), and maintains an Audit Liaison Action Planning and Tracking System,

The FMCSA Statistics and Analysis Program provide critical information and analytical and statistical services to all the FMCSA program areas and to the overall traffic safety community. Additionally, this program disseminates Commercial Motor Vehicle (CMV) safety data to the public through a broad spectrum of media. The program's published reports are used by government agencies (Federal, state and local), research institutions, motor carrier industry operators, shippers and insurers, safety groups, and the general public to improve highway



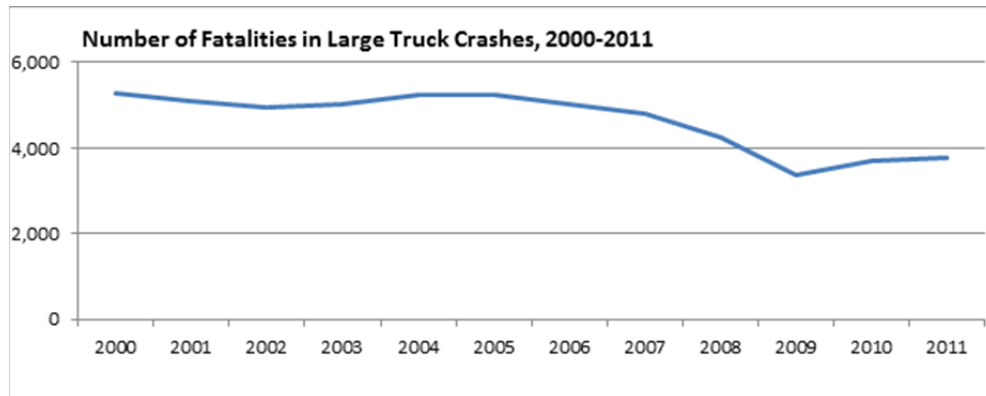
safety. The program provides data and analysis in the development of the DOT's and the FMCSA's strategic plans, economic and environmental analysis in support of Agency rulemaking, and promotes data-driven approaches to resolving CMV safety issues. Data and analytical support are also provided to the states in tracking their highway safety performance targets and the quality of inspection and crash data reported to the FMCSA.

## Large Truck and Bus Fatal Crashes, 2011



### FY 2013 Base Year Accomplishments:

- Maintain the State Safety Data Quality evaluation process, conduct data quality assessments of states not performing at the “good” (green) performance level, and provide technical assistance to those states in need of improving the quality of crash and inspection data submitted to the FMCSA.
- Develop an evaluation process and performance measures to assess the quality of the registration data submitted to the FMCSA by motor carriers.
- Continue to respond to requests for data, statistics and analyses from the FMCSA offices, the state partners, and other governmental agencies.



Source: Fatality Analysis Reporting System, NHTSA

### **FY 2014 Anticipated Accomplishments:**

- Maintain the State Safety Data Quality evaluation process, conduct data quality assessments of states not performing at the “good” (green) performance level, and provide technical assistance to those states in need of improving the quality of crash and inspection data submitted to the FMCSA.
- Conduct data quality assessments of the registration data submitted to the FMCSA by motor carriers, identify critical deficiencies, and communicate needed changes to the appropriate carriers.
- Expand the availability of data analysis displays and manipulation tools using business intelligence technologies to make data more accessible and of greater utility to the public.

### **FY 2014 Request: \$3.940M**

**Justification:** The FMCSA relies on data to develop, execute, improve, and measure the performance of the agency’s CMV safety programs. The Strategic Planning, Program Evaluation, and Statistics and Analysis Program provides analytical support in the Agency for strategic planning, rulemaking, performance measurement and program evaluation efforts. The program provides data to the public by making it available, accessible, and transparent in support of the administration’s open government initiative through the FMCSA’s website and [www.data.gov](http://www.data.gov).

**Impact If Not Funded:** Without the Strategic Planning, Program Evaluation and Statistics and Analysis program, FMCSA, DOT, states and the larger CMV safety community would not be able to effectively carry out their current programs or modify their programs based on data analysis. The support from the Strategic Planning, Program Evaluation, and Statistics and Analysis Program promotes advances in highway safety to continue to see declines in fatalities, injuries and the economic toll from large truck- and bus-involved crashes.

## **Registration and Safety Information Program (Carrier Licensing and Insurance)**

### **Program and Performance**

FMCSA carrier licensing, insurance, and related customer service responsibilities were consolidated in FY 2012 (on July 16, 2012) into a new FMCSA program office --the Office of Registration and Safety Information (a component of the FMCSA Office Research and Information Technology). The reorganization and program consolidation was needed to meet rapidly increasing challenges and demands for better coordination of carrier licensing practices, improved vetting of applications submitted by motor carriers requesting operating authority, ensuring evidence of carriers' financial status meet statutory requirements, improved customer service and increased responsiveness to stakeholders. This organizational change strengthened FMCSA's commitment to: raise the bar to enter the motor carrier industry; maintain high safety standards to remain in the industry; and remove high-risk carriers, drivers, and service providers from operation.

The Registration and Safety Information Program uses registration, insurance and safety data to implement regulations and programs that support improved safety in motor carrier operations. This includes all entities engaged in the industry including motor carriers, drivers, vehicles, brokers, service providers. The program collects safety information and maintains safety information systems to direct and support targeted actions on higher risk carriers. The information collected is used in enforcing the safety regulations; promulgating educational messages to carriers, commercial drivers, other regulated entities, stakeholders and the public. Through the program, FMCSA partners with stakeholders including Federal, State, and local enforcement agencies, the motor carrier industry, safety groups, and organized labor on efforts to improve driver, vehicle and motor carrier safety to reduce bus and truck-related crashes. The data collected is used to conduct research and analyses needed to support its programs and policies; and supply driver safety data to prospective employers.

The Registration and Safety Information Program is funded through statutory customer-based licensing and insurance fee revenues. Licensing and insurance fees include: application fees for operating authority; applications fees for mergers, transfers or leases of operating rights of motor passenger and property carriers, property brokers and household goods freight forwarders; special property transportation authorities (e.g., transporting explosives); self-insurer fees; and operating authority reinstatement fees.

### **What is the request and what will we get for the funds?**

Request is for annual expenditure of license and insurance fees authorized by statute. Revenue supports FMCSA statutory and regulatory registration and safety functions performed by the Registration and Safety Information Program, including granting carrier operating authorities and verification of compliance with insurance requirements.

### **What is the program?**

The licensing, insurance and customer service program functions are administered by the FMCSA Office of Registration and Safety Information, which includes Federal personnel and contractor support. Approximately 50,000 motor carrier applications are processed annually. Program operations require extensive data collection, maintenance, and enforcement and customer use requirements, as well as extensive customer services (e.g., fielding approximately a half million customer calls annually) and mailings (disseminating almost a million letters annually, including nearly 200,000 insurance letters).

### **Why is this particular program necessary?**

The program is necessary to fulfill basic registration, licensing and insurance requirements, and fulfill safety and customer service needs.

### **How do you know the program works?**

Historically, regulatory licensing and insurance functions for the motor carrier industry have been Federal responsibilities for many decades. The U.S. Department of Transportation assumed responsibility for the program from the Interstate Commerce Commission in 1996.

### **Why do we want /need the program at the requested level?**

The U.S. Congress has set registration fees by statute and recently authorizing the agency to adjust registration fees in accordance with program costs and requirements.

**Integrated Highway Safety Program Office**

(\$000)

<b>FY 2012 Enacted</b>	<b>FY 2013 CR Annualized</b>	<b>FY 2014 Request</b>	<b>Difference from FY 2012 Enacted</b>
<b>0</b>	<b>0</b>	<b>5,000</b>	<b>5,000</b>

**Integrated Highway Safety Program Office (\$5.0M)** – The National Highway Traffic Safety Administration (NHTSA) also requests \$5M as part of the joint office. The total \$10M in funding will be used to continue the Office’s operations that include providing technical assistance, Geographic Information Systems (GIS) capability, and report production and dissemination. The Office will serve the highway safety data needs from across USDOT.

In FY 2013, the Department initiated the Integrated Highway Safety Program Office to maximize the overall quality of safety data and analysis based on state traffic records. The Office included support from the NHTSA and the FMCSA National Highway Traffic Safety Administration and the Federal Motor Carrier Safety Administration. The primary purpose of this Office is to standardize the collection, reporting, and analysis of highway safety data generated at the state level. The combining of these cross-modal related activities from across the Department supports the President’s *Accountable Government Initiative* designed to improve program results.

State-generate traffic crash data are critical to understanding the impact and effectiveness of national roadway safety efforts. The Integrated Highway Safety Program Office is necessary to ensure that the vast amounts of traffic data collected from the states can be managed, interpreted, and disseminated in a standard, accessible format. The Office activities directly support the Department’s *Roadway Safety Plan (RSP)*. For example, the Office can explore options for collecting and analyzing safety data more efficiently. Each agency collects fatal and injury crash data, primarily relying on police accident reports, which can potentially be consolidated and streamlined. This information can be analyzed to develop safety programs to address common safety issues found among passenger vehicles and heavy trucks. The Office will work closely with the Department’s multi-modal Safety Council and the Traffic Records Coordinating Committee.

## Commercial Motor Vehicle Operator Grant Program

(\$000)

<b>FY 2012 Enacted</b>	<b>FY 2013 CR Annualized</b>	<b>FY 2014 Request</b>	<b>Difference from FY 2012 Enacted</b>
<b>1,000</b>	<b>1,006</b>	<b>1,000</b>	<b>0</b>

**Overview:** FMCSA requests **\$1.000M** for the Commercial Motor Vehicle Operators Grant. This grant is a discretionary program for State, local, and Federally recognized Native American Tribal governments, accredited post-secondary educational institutions (public or private) and truck driver training schools that are accredited and recognized by the U.S. Department of Education. The purpose of the grant is to expand the number of Commercial Driver's License holders possessing enhanced operator safety training in order to reduce the severity and number of crashes on U.S. roads involving Commercial Motor Vehicles (CMVs); and assist economically distressed regions of the U.S. by providing workforce training opportunities for qualified individuals to become CMV operators.

**MOTOR CARRIER SAFETY GRANTS**  
**(LIQUIDATION OF CONTRACT AUTHORIZATION)**  
**(LIMITATION ON OBLIGATIONS)**  
**(TRANSPORTATION TRUST FUND)**

*For payment of obligations incurred in carrying out sections 31102, 31104(a), 31106, 31107, 31109, 31309, 31313 of title 49, United States Code, and sections 4126 and 4128 of Public Law 109-59, as amended by Public Law 112-141, \$313,000,000, to be derived from the Transportation Trust Fund (Highway Account) and to remain available until expended): Provided, That funds available for the implementation or execution of motor carrier safety programs shall not exceed total obligations of \$313,000,000 in fiscal year 2014 for "Motor Carrier Safety Grants"; of which \$218,000,000 shall be available for the motor carrier safety assistance program, \$30,000,000 shall be available for the commercial driver's license improvements program, \$32,000,000 shall be available for border enforcement grants, \$5,000,000 shall be available for the performance and registration information system management program, \$25,000,000 shall be available for the commercial vehicle information systems and networks deployment program, and \$3,000,000 shall be available for the safety data improvement program: Provided further, That, of the funds made available herein for the motor carrier assistance program, \$32,000,000 shall be available for audits of new entrant motor carriers. (Department of Transportation Appropriations Act, 2013.) Note. — A full-year 2013 appropriation for this account was not enacted at the time the budget was prepared; therefore, this account is operating under a continuing resolution (P.L. 112-175). The amounts included for 2013 reflect the annualized level provided by the continuing resolution.*





**Department of Transportation  
Federal Motor Carrier Safety Administration  
Motor Carrier Safety Grants  
PROGRAM AND FINANCING**

(In thousands of dollars)

<b>Identification code 69-17-8158</b>		<b>FY 2012</b>	<b>FY 2013 CR</b>	<b>FY 2014</b>
		<u>Actual</u>	<u>Annualized</u>	<u>Pres. Bud.</u>
<b>Obligations by program activity:</b>				
0001	Motor Carrier Safety Assistance Program	211,974	213,297	218,000
0002	Border Enforcement Grants	32,000	32,196	32,000
0003	Safety Data Improvement Grants	3,000	3,018	3,000
0004	Commercial Driver's License (CDL) Program Improvement Grants	29,125	30,184	30,000
0005	Commercial Vehicle Information Systems	16,872	25,153	25,000
0006	Performance and Registration Information System	4,505	5,031	5,000
0100	Subtotal, direct program	<u>297,476</u>	<u>308,879</u>	<u>313,000</u>
0799	Total, direct obligations	297,476	308,879	313,000
0801	Reimbursable program	<u>0</u>	<u>0</u>	<u>0</u>
0900	Total new obligations	297,476	308,879	313,000
 <b>Budgetary Resources:</b>				
<b>Unobligated balance:</b>				
1000	Unobligated balance brought forward, Oct 1	53,082	71,994	72,115
1021	Recoveries of prior year unpaid obligations	10,388	0	0
1050	Unobligated balance (total)	<u>63,469</u>	<u>71,994</u>	<u>72,115</u>
 <b>Budget authority:</b>				
<b>Appropriations, discretionary:</b>				
1101	Appropriation, (trust fund)	307,000	308,879	313,000
1137	Appropriations applied to liquidate contract authority	-307,000	-308,879	-313,000
1160	Appropriation, discretionary (total)	<u>0</u>	<u>0</u>	<u>0</u>
 <b>Contract authority, mandatory:</b>				
1600	Contract authority	307,000	310,000	313,000
1620	Contract authority and or unobligated balance of contract authority permanently reduced	-1,000	-1,000	0
1640	Contract authority, mandatory (total)	<u>306,000</u>	<u>309,000</u>	<u>313,000</u>
1900	Budget authority (total)	306,000	309,000	313,000
1930	Total budgetary resources available	369,469	380,994	385,115
<b>Memorandum (non-add) entries:</b>				
1941	Unexpired unobligated balance, end of year	71,994	72,115	72,115

**Department of Transportation  
Federal Motor Carrier Safety Administration  
Motor Carrier Safety Grants  
PROGRAM AND FINANCING**

(In thousands of dollars)

Identification code 69-17-8158		<b>FY 2012</b>	<b>FY 2013 CR</b>	<b>FY 2014</b>
		<u>Actual</u>	<u>Annualized</u>	<u>Pres. Bud.</u>
<b>Change in obligated balance:</b>				
<b>Obligated balance , start of year (net):</b>				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	399,095	412,085	437,995
3010	Obligations incurred, unexpired accounts	297,476	308,879	313,000
3020	Outlays (gross)	-274,098	-282,969	-310,828
3040	Recoveries of prior year unpaid obligations, unexpired	-10,388	0	0
3050	Unpaid obligations, end of year (gross)	<u>412,085</u>	<u>437,995</u>	<u>440,167</u>
<b>Memorandum (non-add) entries</b>				
3100	Obligated balance, start of year	399,095	412,084	437,995
3200	Obligated balance, end of year	412,084	437,995	440,167
<b>Budget authority and outlays, net:</b>				
<b>Discretionary:</b>				
Outlays, gross:				
4010	Outlays from new discretionary authority	61,960	86,486	87,640
4011	Outlays from discretionary balances	212,138	196,483	223,188
4020	Outlays, gross (total)	<u>274,098</u>	<u>282,969</u>	<u>310,828</u>
4080	Outlays net (discretionary)	274,098	282,969	310,828
<b>Mandatory:</b>				
4090	Budget authority, gross	<u>306,000</u>	<u>309,000</u>	<u>313,000</u>
4160	Budget authority, net (mandatory)	306,000	309,000	313,000
4180	Budget authority, net (total)	306,000	309,000	313,000
4190	Outlays net (total)	274,098	282,969	310,828

## **MOTOR CARRIER SAFETY GRANTS PROGRAM AND PERFORMANCE STATEMENT**

Motor Carrier Safety Grants support States to conduct compliance reviews, identify and apprehend traffic violators, conduct roadside inspections, and support safety audits on new entrant carriers. State safety enforcement efforts at the southern and northern borders ensure that all points of entry into the U.S. are fortified with comprehensive safety measures. In addition, the Federal Motor Carrier Safety Administration (FMCSA) oversees State commercial driver's license (CDL) oversight activities to prevent unqualified drivers from being issued CDLs. The Performance and Registration Information Systems and Management program links State motor vehicle registration systems with carrier safety data in order to identify unsafe commercial motor carriers. FMCSA is also deploying Commercial Vehicle Information Systems and Networks to improve safety and productivity of commercial vehicles and drivers.

Under the Administration's surface transportation authorization, Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) (P.L. 112-141), maintains the Agency's individual grants under the Compliance, Safety and Accountability Program.



**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION  
MOTOR CARRIER SAFETY GRANTS  
OBJECT CLASSIFICATION  
(\$ 000)**

	<b>FY 2012 ACTUAL</b>	<b>FY 2013 CR ANNUALIZED</b>	<b>FY 2014 REQUEST</b>
<b>Direct Obligations:</b>			
21.0 Travel and Transportation of persons	882	1,000	1,000
25.2 Other services	3,854	23,986	24,000
41.0 Grants, subsidies and contributions	292,740	283,893	288,000
<b>99.9 Total Obligations</b>	<b>297,476</b>	<b>308,879</b>	<b>313,000</b>



**MOTOR CARRIER SAFETY GRANTS  
LIQUIDATION OF CONTRACT AUTHORITY (HIGHWAY TRUST FUND)**

CONTRACT AUTHORITY ESTIMATES	CONTRACT AUTHORITY
2006.....282,000,000	2006..... 282,000,000
	2006 Rescission of Contract Authority..... (2,820,000) <sup>1</sup>
2007.....297,411,000	2007.....297,411,000 <sup>2</sup>
2008.....300,000,000	2008..... 300,000,000
	2008 Rescission of Contract Authority
	P.L. 110-161..... (11,260,214) <sup>3</sup>
2009.....307,000,000	2009..... 307,000,000
	2009 Rescission of Contract Authority
	P.L. 111-8 ..... (6,502,558) <sup>4</sup>
2010.....310,070,000	2010..... 307,000,000
	2010 Rescission of Contract Authority
	P.L. 111-8 .....(1,610,661)
2011.....310,070,000	2011..... 307,000,000
2012.....330,000,000	2012..... 307,000,000
	2012 Rescission of Contract Authority
	P.L. 112-30 .....(1,000,000)
2013.....330,000,000	2013..... 310,000,000
	2013 Rescission of Contract Authority
	P.L. 112-30 .....(1,000,000)
2014.....313,000,000	

<sup>1</sup> Applied 1.0% rescission pursuant to FY 2006 Enacted P.L. 109-148

<sup>2</sup> Includes \$3,411,000 RABA adjustment

<sup>3</sup> Rescission of prior year carryover

<sup>4</sup> Rescission of prior year carryover

**MOTOR CARRIER SAFETY GRANTS  
LIMITATION ON OBLIGATIONS (HIGHWAY TRUST FUND)**

APPROPRIATION ESTIMATES	APPROPRIATION
2006.....282,000,000	2006..... 282,000,000
	2006 Rescission of Liquidating Cash ..... (2,820,000) <sup>1</sup>
2007.....297,508,000	2007.....297,411,000 <sup>2</sup>
2008.....300,000,000	2008..... 300,000,000
	2008 Rescission of Liquidation Cash ..... (11,260,214) <sup>3</sup>
2009.....307,000,000	2009..... 307,000,000
	2009 Rescission of Liquidating Cash..... (6,502,558) <sup>4</sup>
2010.....310,070,000	2010..... 310,070,000
2011.....310,070,000	2011..... 310,070,000
2012.....330,000,000	2012..... 307,000,000
2013.....330,000,000	2013.....308,878,840 <sup>5</sup>
2014.....313,000,000	

<sup>1</sup> Rescission of prior year carryover P.L. 109-148

<sup>2</sup> Includes \$3,411,000 RABA adjustment

<sup>3</sup> Rescission of prior year carryover P.L. 110-161

<sup>4</sup> Rescission of prior year carryover P. L. 111-8

<sup>5</sup> Continuing Resolution Annualized P.L. 112-175



**EXHIBIT III-1-B**  
**MOTOR CARRIER SAFETY GRANTS**  
**69-X-8158**  
**Appropriations Summary by Program Activities**  
**(\$000)**

<b>ACCOUNTS</b>	<b>FY 2012 ACTUAL</b>	<b>FY 2013 CR ANNUALIZED</b>	<b>FY 2013 MAP-21</b>	<b>FY 2014 REQUEST</b>
<b>Motor Carrier Safety Assistance Program</b>				
<b>MSCAP Grants</b>	<b>210,974</b>	<b>213,297</b>	<b>215,000</b>	<b>218,000</b>
MSCAP Basic	164,324	166,362	165,312	168,275
MCSAP High Priority	15,000	15,092	32,000	15,000
MCSAP New Entrant	29,000	29,177	15,000	32,000
MCSAP Administrative Takedown	2,650	2,666	2,688	2,725
<b>Border Enforcement Grants (BEG)</b>	<b>32,000</b>	<b>32,196</b>	<b>32,000</b>	<b>32,000</b>
<b>Safety Data Improvement (SaDIP)</b>	<b>3,000</b>	<b>3,018</b>	<b>3,000</b>	<b>3,000</b>
<b>Commercial Vehicle Information Systems and Networks (CVISN)</b>	<b>16,872</b>	<b>25,153</b>	<b>25,000</b>	<b>25,000</b>
<b>Performance and Registration Information System Management (PRISM)</b>	<b>4,505</b>	<b>5,031</b>	<b>5,000</b>	<b>5,000</b>
<b>Commercial Drivers License Program Improvement (CDL)</b>	<b>29,125</b>	<b>30,184</b>	<b>30,000</b>	<b>30,000</b>
<b>TOTAL GRANTS</b>	<b>296,476</b>	<b>308,879</b>	<b>310,000</b>	<b>313,000</b>

**EXHIBIT III-1-B-1**  
**MOTOR CARRIER SAFETY GRANTS**  
**Summary Analysis of Changes from FY 2012 Enacted to FY 2014 Request**  
**(\$000)**

	Changes from FY 2012 Enacted to FY 2014 Request (\$000)	Changes from FY 2012 Enacted to FY 2014 Request (FTE)
<b>FY 2012 Enacted</b>	<b>307,000</b>	<b>0</b>
<b>Adjustment to Base</b>		
<b>Inflation</b>		
Motor Carrier Safety Assistance Program (MCSAP)	<b>1,060</b>	
MCSAP Basic	827	
MCSAP New Entrant	145	
MCSAP High Priority	75	
MCSAP Administrative Takedown	13	
Border Enforcement Grants (BEG)	<b>160</b>	
Safety Data Improvement (SaDIP)	<b>15</b>	
Commercial Vehicle Information Systems and Networks (CVISN)	<b>125</b>	
Performance and Registration Information Systems Management (PRISM)	<b>25</b>	
Commercial Drivers License Program Improvement (CDL)	<b>149</b>	
<b>Subtotal Adjustment to Base</b>	<b>1,534</b>	<b>0</b>
<b>New or Expanded Programs</b>		
Motor Carrier Safety Assistance Program (MCSAP)		
MCSAP Basic	2,098	
MCSAP New Entrant	2,855	
MCSAP High Priority	(75)	
MCSAP Administrative Takedown	62	
Border Enforcement Grants (BEG)	(160)	
Safety Data Improvement (SaDIP)	(15)	
Commercial Vehicle Information Systems and Networks (CVISN)	(125)	
Performance and Registration Information Systems Management (PRISM)	(25)	
Commercial Drivers License Program Improvement (CDL)	(149)	
<b>SUBTOTAL NEW OR EXPANDED BASE</b>	<b>4,466</b>	<b>0</b>
<b>TOTAL INCREASES/DECREASE</b>	<b>6,000</b>	<b>0</b>
<b>FY 2014 BUDGET REQUEST</b>	<b>313,000</b>	<b>0</b>

## Detailed Justification for the Grants in the Compliance, Safety and Accountability Program

### What Do I Need To Know Before Reading This Justification

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The Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) maintained the Agency's individual grant programs under the Compliance, Safety and Accountability Program. This section describes FMCSA's grant programs. There is an additional grant program, Commercial Motor Vehicle Operator Safety Training (CMVOST), which is not included here because it is funded from Motor Carrier Safety Operations and Programs rather than Motor Carrier Safety Grants. It can be found in the Safety Mission Support section.

### What Is The Request And What Will We Get For The Funds?

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	(\$000)			
	FY 2013 Enacted	FY 2013 CR Annualized	FY 2014 Request	Difference from FY 2013 CR Annualized
<b><u>Mandatory</u></b>				
Motor Carrier Safety Assistance Program (MCSAP)	165,350	166,362	168,275	1,913
<b><u>Discretionary</u></b>				
MCSAP New Entrant	29,000	29,177	32,000	2,823
MCSAP High Priority	15,000	15,092	15,000	-92
MCSAP Administrative Takedown	2,650	2,666	2,725	59
<b>Total MCSAP Grants</b>	<b>212,000</b>	<b>213,297</b>	<b>218,000</b>	<b>4,703</b>
Border Enforcement Grants (BEG)	32,000	32,196	32,000	-196
Safety Data Improvement (SaDIP)	3,000	3,018	3,000	-18
Commercial Vehicle Information Systems and Networks (CVISN)	25,000	25,153	25,000	-153
Performance and Registration Information Systems Management (PRISM)	5,000	5,031	5,000	-31
Commercial Drivers License Program Improvement (CDL)	30,000	30,184	30,000	-184
<b>Grand Total</b>	<b>307,000</b>	<b>308,879</b>	<b>313,000</b>	<b>4,121</b>

The FY 2014 funding request of **\$313.0M** for FMCSA's grants programs consists of the following accounts:

- Motor Carrier Safety Assistance Program (MCSAP) (\$218.0M) – This includes the MCSAP basic formula grant, the New Entrant discretionary grant, the High Priority discretionary grant, and administrative takedown funding to support the above grants.
- Other motor carrier safety grants (\$95.0M) – FMCSA provides grants to states and organizations for Border Enforcement; Safety Data Improvement Program (SaDIP); Commercial Vehicle Information Systems and Networks (CVISN); Performance Registration Information Systems Management (PRISM); and Commercial Driver's License Program Improvement (CDLPI).

## **What Is The Program?**

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### **Motor Carrier Safety Assistance Program (MCSAP) - \$218.0M**

The FMCSA relies on its partnerships with State and local law enforcement agencies to increase its enforcement and safety capacity to cover the motor carrier population nationwide.

Compliance and Safety grants provide formula and discretionary funding to the States, local law enforcement agencies and other organizations and associations that effect commercial motor vehicle safety on the Nation's roadways. As a result, these entities become a force multiplier in delivery of motor carrier, driver and vehicle safety programs.

- **MCSAP Formula** (\$168.3M) - This request will provide both formula funding to support programs that improve motor carrier compliance and safety through State and local law enforcement programs including roadside inspections, interventions, compliance reviews, and targeted enforcement. The FMCSA provides formula grants to the States to complete their Commercial Vehicle Safety Plan (CVSP) through the MCSAP Basic and Incentive programs. The MCSAP program requires a 20 percent match from the States and continues the MCSAP Incentive program which rewards States demonstrating reductions in large truck crashes with additional funds for targeted initiatives. These funds are distributed pursuant to a formula based on the States' crash rates and timely uploading of crash and inspection reports.
- **MCSAP New Entrant** (\$32.0M) - The MCSAP grants program provides discretionary funding for the completion of new entrant safety audits by each State. New Entrant grant funds will be distributed based on the expected number of new carriers in each State. This program will provide 100 percent Federal funding. If the States do not participate in this program, FMCSA is responsible for completing the audits.
- **MCSAP High Priority** (\$15.0M) - MCSAP will also provide discretionary funding for the Agency's High Priority program. Through MCSAP High Priority, grant funds will be made available for targeting unsafe driving of commercial motor vehicles and non-commercial motor vehicles in areas identified as high risk crash corridors. One

of the long-standing programs funded through this program is the Agency's successful Ticketing Aggressive Cars and Trucks (TACT) program.

- **MCSAP Administrative Takedown** (\$2.725M) - The Administrative Takedown from MCSAP will continue to be used to support training of law enforcement on commercial motor vehicle, carrier and driver safety regulations through the FMCSA National Training Center. In addition, these funds are used to support nationwide initiatives such as data analysis and program reviews. Any funds that are not needed will be returned to the MCSAP for award as a grant.

**Border Enforcement Grants (BEG)** (\$32.0M) – These grants provide funding for States with a boundary with Canada or Mexico. This funding is used to conduct inspections on foreign vehicles. The goal is a fifty percent (50%) inspection rate. Through this grant program, other initiatives to improve the oversight of foreign vehicles may also be considered.

**Safety Data Improvement Program (SaDIP)** (\$3.0M)

This program maintains emphasis on the accurate and timely transmission of safety data (e.g. crash, inspection, investigation reports) to FMCSA. Through this grant program, the Agency is able to provide assistance to States so that data is checked before submission and so that submissions are automated.

**Performance Registration Information Systems Management (PRISM)** (\$5.0M) -

The PRISM grant program links Federal Motor Carrier Safety Information Systems with State commercial motor vehicle (CMV) registration and licensing systems to enable a State to determine the safety fitness of a motor carrier or registrant when licensing or registering the company's vehicles and suspend or withhold vehicle registration where Federal action warrants.

**Commercial Vehicle Information Systems and Networks (CVISN)** (\$25.0M) -

This grant program provides funding for the Commercial Vehicle Information Systems and Networks (CVISN) Program, including commercial vehicle, commercial driver, and carrier-specific information systems and networks. Currently, 28 States are CVISN Core Compliant. Through an independent evaluation by FMCSA completed in 2009 ("Evaluation of the National CVISN Deployment Program") significant safety benefits and productivity and mobility benefits are projected with nationwide CVISN deployment.

**Commercial Driver's License Program Improvement (CDLPI)** (\$30.0M) -

The Commercial Driver's License (CDL) Program Improvement Grant, provides financial assistance to States to achieve compliance with the requirements of commercial driver's license issuance under 49 CFR Parts 383 and 384. Additionally, the CDLPI grant program provides financial assistance for other entities capable of executing national projects that aid States in their compliance efforts and that will improve the national CDL program. The CDLPI grant program encourages State Driver Licensing Agencies, the CDLIS administrator, educational institutions and other organizations to maintain and provide timely information about unsafe drivers through CDLIS. It also promotes training before entering the industry to improve the safety of new drivers.

## **Why Is This Particular Program Necessary?**

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FMCSA's front line enforcement staff is less than 600 interstate investigators, auditors, and inspectors. In order to tap the existing network of State and local police departments, FMCSA provides financial assistance to complete safety audits, roadside inspections, interventions, targeted on-site reviews, comprehensive on-site reviews and off-site reviews.

MCSAP grant programs provide resources to these entities for special initiatives targeting certain sectors of the industry including new entrants, household goods carriers, or foreign carriers. This grant funding also encourages applicants to focus on certain high crash corridors, rural areas and work zones to improve the level of safety and reduce the number of large truck and bus crashes, injuries and fatalities.

The BEG program provides funding to assist the States and entities in carrying out their responsibilities of ensuring foreign and international motor carriers and drivers, who operate within their jurisdiction, are in compliance with all federal and state commercial motor vehicle requirements.

FMCSA's safety systems are dependent on the data received from the States to assess the safety of motor carriers and drivers. The Safety Data Improvement Program (SaDIP) focuses States on needed data improvements to improve the identification of unsafe entities.

The CVISN deployment program integrates State, federal, and carrier systems to improve safety and productivity. This activity solves institutional and architectural issues, as well as technical problems related to providing electronic access to timely and accurate motor carrier safety and other credentials information. As a result, roadside inspectors can make decisions on which carriers to inspect and law enforcement has key information about the carrier when conducting an inspection.

The PRISM program has proven to be effective in removing unsafe carriers from the roadways. The PRISM program is effective when motor carriers defy a federal out of service order and attempt to continue to operate, often reincarnating into new companies ("chameleon carriers"). Connectivity to federal systems through the PRISM program enables States to impose vehicle registration sanctions including suspension and revocation. By tying vehicle information to carriers, States can more easily identify unsafe recreated or chameleon carriers that have had their authority revoked or suspended, and deny them license plates for the vehicles. While egregious violators may operate without permission from DOT, they are quickly identified by law enforcement when their vehicle registration is suspended or when they do not have license plates. As a result, this program is very effective in removing unsafe carriers from the roadways.

The Commercial Driver's License Program Improvement (CDLPI) grant provides financial assistance to States to achieve compliance with the requirements of 49 CFR Parts 383 and 384. Additionally, the CDLPI grant program provides financial assistance for other entities capable of

executing national projects that aid States in their compliance efforts and that will improve the national Commercial Driver's License (CDL) program. The goal of the national CDL program is to reduce the number and severity of commercial motor vehicle crashes in the United States by ensuring that only qualified drivers are eligible to receive and retain a CDL.

### **How Do You Know The Program Works?**

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With the Compliance and Safety grants funding provided, States conducted inspections on over 3.5 million vehicles and reviews of more than 7,000 companies in FY 2010. In addition, the fatalities resulting from crashes involving large trucks and buses declined from FY 2005 to FY 2010.

Through these grants, the Agency has conducted safety audits on between 35,000 - 40,000 new entrant carriers each year. The failure rate for these carriers has ranged between 30 and 40 percent. Therefore, identifying unsafe carriers earlier in their existence is making a safety difference by requiring corrective action or revocation of their authority.

High Priority projects increase commercial motor vehicle education and enforcement. Projects tested through the High Priority program can be assessed for implementation at a national level; thus improving safety.

The Agency's 2006 Large Truck Crash Causation Study determined that drivers of trucks or other vehicles are the cause of 87% of all crashes involving CMVs. It is critical that CDL holders be trained, tested and monitored to ensure continued safety. By supporting training of commercial motor vehicle operators, especially in economically distressed areas, not only produces safer drivers but also increase employment opportunities.

Further, it is critical that a CDL applicant be properly tested to ensure knowledge and skills. The requirements for testing must be consistent to ensure that drivers are not qualified in a weaker, unsafe State.

In addition, it is statutorily required that each driver hold only one license and that the license record include medical certificate information and violation history. It is critical for State CDL issuance systems to transmit each State's information to the driver's State of record be fully operational and that each State transmits information uniformly so that it can be correctly interpreted by the State of record and proper actions (i.e. suspension or revocation) can be initiated.

Through the border enforcement grants, a record number of inspections have been conducted and the out of service rates of foreign carriers remains below the U.S. averages.

Through the PRISM and CVISN programs, license plates have been denied to unsafe out-of-service carriers; unsafe carriers have been appropriately targeted for roadside inspections and data about unsafe carriers' inspections, crashes and compliance reviews have been added to FMCSA's databases to allow the Agency to identify and further target unsafe carriers for

enforcement. FMCSA depends on accurate and timely safety data that is improved as a result of these grant programs.

Please see the Enforcement and Compliance program section for examples of success stories for our grant programs.

### **Why Do We Want/Need To Fund The Program At The Requested Level?**

Funding at the requested level represents a \$1.972M increase in funding for the MCSAP Basic program, including MCSAP Administrative Takedown. This request provides adequate funding to ensure the compliance of approximately 35,000 - 40,000 new carriers that join the industry each year.

Ensuring safe drivers is a key component of highway safety. The CDL grants are key funding resources for States to maintain and improve implementation of their commercial driver's licenses programs; provide research, development and demonstration projects; train commercial vehicle operators; conduct overt and covert test monitoring; integrate the medical certificate with the CDL, and provide for CDL program coordinators who champion the State's CDL programs.

Funding at the requested is needed to ensure that these key components of FMCSA's safety mission by providing State partners with the necessary resources to provide systems to improve commercial motor vehicle safety nationwide. Currently, PRISM is not fully implemented in all States and not all States have deployed all three CVISN core capabilities of safety information exchange, electronic credentialing, and electronic screening.



**Department of Transportation  
Federal Motor Carrier Safety Administration  
Motor Carrier Safety  
PROGRAM AND FINANCING**

(In thousands of dollars)

<b>Identification code 69-17-8055</b>		<b>FY 2012</b>	<b>FY 2013 CR</b>	<b>FY 2014</b>
		<u><b>Actual</b></u>	<u><b>Annualized</b></u>	<u><b>Pres. Bud.</b></u>
<b>Obligations by program activity:</b>				
0900	Total new obligations	0	0	0
<b>Budgetary Resources:</b>				
<b>Unobligated balance:</b>				
1000	Unobligated balance brought forward, Oct 1	18,248	1	1
1020	Adjustment of unobligated bal brought forward, Oct 1	-18,248	0	0
1021	Recoveries of prior year unpaid obligations	1	0	0
1050	Unobligated balance (total)	<u>1</u>	<u>1</u>	<u>1</u>
<b>Budget authority:</b>				
<b>Appropriations, discretionary:</b>				
1160	Appropriation, discretionary (total)	0	0	0
<b>Contract authority, discretionary:</b>				
1521	Unobligated balance of contract authority permanently reduced	0	0	0
1540	Contract authority, discretionary (total)	<u>0</u>	<u>0</u>	<u>0</u>
<b>Contract authority, mandatory:</b>				
1621	Unobligated balance of contract authority permanently reduced	0	0	0
1640	Contract authority, mandatory (total)	<u>0</u>	<u>0</u>	<u>0</u>
Spending authority from offsetting collections, discretionary:				
1700	Collected	0	0	0
1701	Change in uncollected customer payments from federal sources	0	0	0
1750	Spending auth from offsetting collections, disc (total)	<u>0</u>	<u>0</u>	<u>0</u>
1900	Budget authority (total)	0	0	0
1930	Total budgetary resources available	1	1	1
<b>Memorandum (non-add) entries:</b>				
1941	Unexpired unobligated balance ,end of year	1	1	1
<b>Change in obligated balance:</b>				
<b>Unpaid obligations:</b>				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	-10,022	5,173	0
3001	Adjustments to unpaid obligations, brought forward, Oct 1	16,475	0	0
3020	Outlays (gross)	-423	-5,173	0
3040	Recoveries of prior year unpaid obligations, unexpired	-858	0	0
3050	Unpaid obligations, end of year (gross)	<u>5,173</u>	<u>0</u>	<u>0</u>
3060	Uncollected pymts, Fed sources, end of year	-2,077	0	0
3061	Adjustments to uncollected paymnets, Fed sources brought forward	1,773	0	0
3070	Change, uncoll cust payments, Fed srcs, unexp	410	0	0
3090	EOY: Uncoll cust. Payments from Fed. Srcs	<u>5,279</u>	<u>0</u>	<u>0</u>
Memorandum (non-add entries)				
3100	Obligated balance, start of year:	6,150	5,173	0
3200	Obligated balance , end of year:	5,279	0	0
Budget authority and outlays, net:				
4101	Outlays from mandatory balances	0	5,173	0
4170	Outlays, net (mandatory)	0	0	0
4180	Budget authority, net (total)	0	0	0
4190	Outlays net (total)	<u>0</u>	<u>5,173</u>	<u>0</u>

**NATIONAL MOTOR CARRIER SAFETY PROGRAM  
PROGRAM AND PERFORMANCE STATEMENT**

No funding is requested for this account in 2014.

**MOTOR CARRIER SAFETY  
LIQUIDATION OF CONTRACT AUTHORITY (HIGHWAY TRUST FUND)**

**CONTRACT AUTHORITY ESTIMATES**

1995.....	73,000,000
1996.....	68,000,000
1997.....	74,000,000
1998.....	
1999.....	
2000.....	
2001.....	
2002.....	
2003.....	
2004.....	
2005.....	
2006.....	
2007.....	
2008.....	
2009.....	
2010.....	

**CONTRACT AUTHORITY**

1995.....	73,000,000
1996.....	68,000,000
1996 Rescission of Contract Authority ...	(33,000,000) <sup>1</sup>
1997.....	74,000,000
1997 Rescission of Contract Authority ...	(12,300,000) <sup>2</sup>
1998.....	85,000,000
1999.....	100,000,000
2000.....	105,000,000
2001.....	
2002.....	
2003.....	
2004.....	
2005.....	
2006.....	
2007.....	
2008 Rescission of Contract Authority.....	(32,187,720) <sup>3</sup>
2009 Rescission of Contract Authority .....	(2,231,259) <sup>4</sup>
2010 Rescission of Contract Authority .....	(6,415,501)

<sup>1</sup> Enacted rescission pursuant to P.L. 104-134

<sup>2</sup> Enacted rescission pursuant to P.L. 104-208

<sup>3</sup> Enacted rescission of prior year carryover P.L. 110-161

<sup>4</sup> Enacted rescission of prior year carryover P.L. 111-8

**MOTOR CARRIER SAFETY  
LIMITATION ON OBLIGATIONS (HIGHWAY TRUST FUND)**

APPROPRIATION ESTIMATES	APPROPRIATION
2000.....	2000.....76,058,400 <sup>5</sup>
2001..... 92,194,000	2001..... 92,194,000
2002.....139,007,000	2001 Rescission of Liquidating Cash ..... (202,827) <sup>6</sup>
2002.....117,464,000	2002..... 110,000,000
2004.....	2002 Rescission of Liquidating Cash ..... (158,000) <sup>7</sup>
2005.....	2002 Rescission of Liquidating Cash ..... (107,000) <sup>8</sup>
	2003..... 117,464,000
	2003 Rescission of Liquidating Cash ..... (763,516) <sup>9</sup>
	2003 Rescission of Liquidating Cash ..... (200,000) <sup>9</sup>
	2004..... 176,070,000
	2004 Rescission of Liquidating Cash ..... (1,532,675) <sup>10</sup>
	2005..... 257,547,000
	2005 Rescission of Liquidating Cash ..... (2,698,376) <sup>11</sup>
	2006.....
	2007.....
	2008 Rescission of Liquidating Cash ..... (32,187,720) <sup>12</sup>
	2009 Rescission of Liquidating Cash ..... (2,231,259) <sup>13</sup>
	2010 Rescission of Liquidating Cash ..... (6,415,501)

<sup>5</sup> Transferred to the newly established FMCSA from Federal-Aid Highways. (With the enactment of P.L. 106-159, the account again includes funding for Motor Carrier Research)

<sup>6</sup> Enacted 0.22% rescission pursuant to Public Law 106-554

<sup>7</sup> Enacted TASC rescission pursuant to Public Law 107-87, as amended by P.L. 107-117

<sup>8</sup> Enacted rescission pursuant to P.L. 107-206

<sup>9</sup> Enacted 0.65% and \$200K rescission pursuant to P.L. 108-7

<sup>10</sup> Applied 0.59% and \$494K rescission pursuant to FY 2004 enacted, P.L. 108-199

<sup>11</sup> Applied 0.8% and \$638K rescission pursuant to FY 2005 enacted, P.L. 108-447

<sup>12</sup> Rescission of prior year carryover P.L. 110-161

<sup>13</sup> Rescission of prior year carryover P.L. 111-8

**Department of Transportation  
Federal Motor Carrier Safety Administration  
National Motor Carrier Safety Program  
PROGRAM AND FINANCING**

(In thousands of dollars)

Identification code 69-17-8048		FY 2012 <u>Actual</u>	FY 2013 CR <u>Annualized</u>	FY 2014 <u>Pres. Bud.</u>
<b>Obligations by program activity:</b>				
0900	Total new obligations	0	0	0
<b>Budgetary Resources:</b>				
<b>Unobligated balance:</b>				
1000	Unobligated balance brought forward, Oct 1	16,379	19,797	19,797
1020	Adjustment of unobligated bal brought forward, Oct 1	0	0	0
1021	Recoveries of prior year unpaid obligations	3,418	0	0
1050	Unobligated balance (total)	<u>19,797</u>	<u>19,797</u>	<u>19,797</u>
<b>Budget authority:</b>				
<b>Appropriations, discretionary:</b>				
1160	Appropriation, discretionary (total)	0	0	0
<b>Contract authority, discretionary:</b>				
1521	Unobligated balance of contract authority permanently reduced	0	0	0
1540	Contract authority, discretionary (total)	<u>0</u>	<u>0</u>	<u>0</u>
<b>Contract authority, mandatory:</b>				
1621	Unobligated balance of contract authority permanently reduced	0	0	0
1640	Contract authority, mandatory (total)	<u>0</u>	<u>0</u>	<u>0</u>
Spending authority from offsetting collections, discretionary:				
1700	Collected	0	0	0
1701	Change in uncollected customer payments from federal sources	0	0	0
1750	Spending auth from offsetting collections, disc (total)	<u>0</u>	<u>0</u>	<u>0</u>
1900	Budget authority (total)	0	0	0
1930	Total budgetary resources available	19,797	19,797	19,797
<b>Memorandum (non-add) entries:</b>				
1941	Unexpired unobligated balance ,end of year	19,797	19,797	19,797
<b>Change in obligated balance:</b>				
<b>Obligated balance , start of year (net):</b>				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	7,861	3,600	0
3020	Outlays (gross)	-843	-3,600	0
3040	Recoveries of prior year unpaid obligations, unexpired	-3,418	0	0
3050	Unpaid obligations, end of year	3,600	0	0
Memorandum (non-add) entries				
3100	Obligated balance, start of year	7,861	3,600	0
3200	Obligated balance, end of year	3,600	0	0
<b>Budget authority and outlays, net:</b>				
<b>Discretionary:</b>				
4011	Outlays from discretionary balances	843	3,600	0
4020	Total outlays, gross (disc)	<u>843</u>	<u>3,600</u>	<u>0</u>
4080	Outlays net (discretionary)	843	3,600	0
4180	Budget authority, net (total)			
4190	Outlays net (total)	843	3,600	0

**MOTOR CARRIER SAFETY  
PROGRAM AND PERFORMANCE STATEMENT**

No funding is requested for this account in 2014.

**NATIONAL MOTOR CARRIER SAFETY PROGRAM  
LIQUIDATION OF CONTRACT AUTHORITY (HIGHWAY TRUST FUND)**

**CONTRACT AUTHORITY ESTIMATES**

1998.....	90,000,000
1999.....	100,000,000
2000.....	155,000,000 <sup>1</sup>
2001.....	187,000,000 <sup>2</sup>
2002.....	204,837,000 <sup>3</sup>
2003.....	190,000,000
2004.....	
2005.....	
2006.....	
2007.....	
2008.....	
2009.....	
2010.....	

**CONTRACT AUTHORITY**

1998.....	
1999.....	
2000.....	(105,000,000) <sup>4</sup>
2001.....	177,000,000
2002.....	205,896,000 <sup>5</sup>
2003.....	190,000,000
2003 Rescission of Contract Authority.....	(1,235,000) <sup>6</sup>
2004.....	190,000,000
2004 Rescission of Contract Authority.....	(1,121,000) <sup>7</sup>
2005.....	190,000,000
2005 Rescission of Contract Authority.....	(1,520,000) <sup>8</sup>
2006.....	
2007.....	
2008 Rescission of Contract Authority.....	(5,212,858) <sup>9</sup>
2009 Rescission of Contract Authority....	(19,571,910) <sup>10</sup>
2010 Rescission of Contract Authority.....	(3,232,639)

<sup>1</sup> Includes \$50 million in revenue aligned budget authority

<sup>2</sup> Includes \$10 million in revenue aligned budget authority

<sup>3</sup> Includes \$22.837 million in revenue aligned budget authority as authorized in 23 U.S.C. 110, as amended by P.L. 106-159

<sup>4</sup> Transferred to the newly established FMCSA from the FHWA Motor Carrier Safety Grants account

<sup>5</sup> Includes \$23.896 million in revenue aligned budget authority as authorized in 23 U.S.C. 110, as amended by P.L. 107-87

<sup>6</sup> Enacted 0.65% rescission pursuant to P.L. 108-7

<sup>7</sup> Applied 0.59% rescission pursuant to FY 2004 enacted P.L. 108-199

<sup>8</sup> Applied 0.80% rescission pursuant to FY 2005 enacted P.L. 108-447

<sup>9</sup> Enacted rescission of prior year carryover P.L. 110-161

<sup>10</sup> Enacted rescission of prior year carryover P.L. 111-8

**NATIONAL MOTOR CARRIER SAFETY PROGRAM  
LIMITATION ON OBLIGATIONS (HIGHWAY TRUST FUND)**

APPROPRIATION ESTIMATES	APPROPRIATION
1998.....100,000,000	1998.....
1999.....100,000,000	1999.....
2000.....155,000,000 <sup>11</sup>	2000.....(105,000,000) <sup>14</sup>
2001.....187,000,000 <sup>12</sup>	2001.....177,000,000
	2001 Rescission of Liquidating Cash .....(389,400) <sup>15</sup>
2002.....204,837,000 <sup>13</sup>	2002.....205,896,000 <sup>16</sup>
2003.....190,000,000	2003.....190,000,000
	2003 Rescission of Liquidating Cash .....(1,235,000) <sup>17</sup>
2004.....	2004.....190,000,000
	2004 Rescission of Liquidating Cash .....(1,121,000) <sup>18</sup>
2005.....	2005.....190,000,000
	2005 Rescission of Liquidating Cash .....(1,520,000) <sup>19</sup>
2006.....	2006.....
2007.....	2007.....
2008.....	2008 Rescission of Liquidating Cash .....(5,212,858) <sup>20</sup>
2009.....	2009 Rescission of Liquidating Cash .....(19,571,910) <sup>21</sup>
2010.....	2010 Rescission of Liquidating Cash .....(3,232,639)

<sup>11</sup> Includes \$50 million in revenue aligned budget authority

<sup>12</sup> Includes \$10 million in revenue aligned budget authority

<sup>13</sup> Includes \$22.837 million in revenue aligned budget authority as authorized in 23 U.S.C. 110, as amended by P.L. 106-159

<sup>14</sup> Transferred to the newly established FMCSA from the FHWA Motor Carrier Safety Grants account

<sup>15</sup> Enacted .22% rescission pursuant to P. L. 106-554

<sup>16</sup> Includes \$23.896 million in revenue aligned budget authority as authorized in 23 U.S.C. 110, as amended by P.L. 106-159, pursuant to P.L. 107-87

<sup>17</sup> Enacted 0.65% rescission pursuant to P.L. 108-7

<sup>18</sup> Applied 0.59% rescission pursuant to FY 2004 enacted, P.L. 108-199

<sup>19</sup> Applied 0.8% rescission pursuant to FY 2005 enacted, P.L. 108-447

<sup>20</sup> Rescission of prior year carryover P.L. 110-161

<sup>21</sup> Rescission of prior year carryover P.L. 111-8



GENERAL PROVISIONS  
MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS  
69-17-8159

The Operations and Programs account provides the necessary resources to support program and administrative activities for motor carrier safety. Under the Administration's surface transportation authorization, Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) (P.L. 112-141), the Federal Motor Carrier Safety Administration (FMCSA) will continue to improve safety and reduce severe and fatal commercial motor vehicles crashes by raising the bar to entry into the commercial motor vehicle industry, by requiring operators to maintain standards to remain in the industry, and by removing high-risk carriers, vehicles, drivers and service providers from operation.

Funding supports nationwide motor carrier safety and consumer enforcement efforts, including the continuation of the Compliance, Safety and Accountability Program; Household goods regulation and enforcement, and Federal safety enforcement activities at the borders to ensure that foreign-domiciled carriers entering the U.S. are in compliance with FMSCA Regulations. Resources are also provided to fund regulatory development and implementation, information management, research and technology, grants to State and local partners, safety outreach and education , and the safety and consumer telephone hotline.

GENERAL PROVISIONS  
MOTOR CARRIER SAFETY GRANTS  
69-17-8158

Motor Carrier Safety Grants support States to conduct compliance reviews, identify and apprehend traffic violators, conduct roadside inspections, and support safety audits on new entrant carriers. State safety enforcement efforts at the southern and northern borders ensure that all points of entry into the U.S. are fortified with comprehensive safety measures. In addition, the Federal Motor Carrier Safety Administration (FMCSA) oversees State commercial driver's license (CDL) oversight activities to prevent unqualified drivers from being issued CDLs. The Performance and Registration Information Systems and Management program links State motor vehicle registration systems with carrier safety data in order to identify unsafe commercial motor carriers. FMCSA is also deploying Commercial Vehicle Information Systems and Networks to improve safety and productivity of commercial vehicles and drivers.

Under the Administration's surface transportation authorization, Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) (P.L. 112-141), maintains the Agency's individual grants under the Compliance, Safety and Accountability Program.

GENERAL PROVISIONS  
MOTOR CARRIER SAFETY  
69-17-8055

No funding is requested for this account in 2014.

GENERAL PROVISIONS  
NATIONAL MOTOR CARRIER SAFETY PROGRAM  
69-17-8048

No funding is requested for this account in 2014.

**EXHIBIT III-2**  
**ANNUAL PERFORMANCE RESULTS AND TARGETS**  
**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**

The Federal Motor Carrier Safety Administration (FMCSA) integrates performance results into its Fiscal Year (FY) 2014 budget request to demonstrate alignment with the Department's Strategic and Roadway Safety Plans, along with the agency's 2012-2016 Strategic Plan. FMCSA tracks the following department level performance measures to demonstrate program results.

**Strategic Goal: Safety**

The FMCSA supports the DOT Agency Performance Goal (APG) of reducing roadway fatalities by delivering safety programs which influence the reduction of large truck and bus crashes, fatalities, and injuries. FMCSA contributes to the DOT safety goal by delivering safety focused rulemaking, outreach and education, enforcement, and research and development activities. Within DOT, two other operating administrations contribute directly to the achievement of the APG and other road user measures - the National Highway Traffic Safety Administration (NHTSA) and the Federal Highway Administration (FHWA).

**DOT Agency Priority Goal, Road User Measures, and Target Analysis**

Early fatality and vehicle mileage estimates indicate DOT is on track to reduce the fatality rate by about 25 percent when compared to Calendar Year (CY) 2005 performance of 1.46 fatalities.

<b>Reduce the Rate of Roadway Fatalities per 100 Million Vehicle Miles Traveled (VMT).</b> <i>(CY) Shared Measure with NHTSA and FHWA</i>					
	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
<b>Target</b>	1.30	1.10	1.05	1.03	1.02
<b>Actual</b>	1.11	1.10	TBD	-	-

**Target Analysis:** Reduce Passenger Vehicle Occupant Fatalities per 100 million Passenger Vehicle Miles Traveled (PVMT)

<b>Reduce Passenger Vehicle Occupant Fatalities per 100 million PVMT. (CY)</b> <i>Shared Measure with NHTSA and FHWA</i>					
	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
<b>Target</b>	0.99	0.85	0.85	0.82	0.82
<b>Actual</b>	0.84	0.83-0.89*	0.83-0.89*	-	-

*\*Projection based on preliminary results*

**Target Analysis:** Reduce Motorcycle Rider Fatalities per 100,000 Motorcycle Registrations.

<b>Reduce Motorcycle Rider Fatalities per 100,000 Motorcycle Registrations. (CY)</b> <i>Shared Measure with NHTSA and FHWA</i>					
	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
<b>Target</b>	78	63	63	63	62
<b>Actual</b>	54.82	56-58*	56-58*	-	-

*\*Projection based on preliminary results* **Target Analysis:** Reduce Non-occupant (pedestrian/bicycle) Fatalities per 100 million VMT.

<b>Reduce Non-occupant (pedestrian and bicycle) Fatalities per 100 million VMT. (CY)</b> <i>Shared Measure with NHTSA and FHWA</i>					
	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
<b>Target</b>	0.19	0.16	0.16	0.16	0.15
<b>Actual</b>	0.17	0.16-0.17*	0.16-0.17*	-	-

*\*Projection based on preliminary results*

**Target Analysis:** Reduce Roadway fatalities Involving Large Trucks and Buses per 100 million VMT\* (Calendar year).

<b>Reduce Roadway Fatalities Involving Large Trucks and Buses per 100 million VMT*</b> <i>(CY) Shared Measure with NHTSA and FHWA</i>					
	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
<b>Target</b>	0.164	0.121	0.117	0.114	0.110*
<b>Actual</b>	0.133	0.136**	0.110- 0.127***	-	-

*\*FMCSA is currently reassessing the targets for the Large Truck and Bus Fatality Rates for CY14 and beyond given the anomaly experienced in 2009. Revised targets will be included in the 2015 Budget..*

*\*\*Actual estimate*

*\*\*\*Projection based on preliminary results*

In addition to being a Departmental roadway user measure in support of the APG, the Large Truck and Bus Fatalities per 100 million VMT performance measure also serves as FMCSA's primary outcome measure supporting the Agency's mission of reducing crashes, injuries, and fatalities involving CMV transportation. This safety goal is driven by the implementation and maturation of aggressive safety programs, either implemented or augmented through the 2005 SAFETEA-LU authorization and continues with the 2013-2014 MAP-21 authorization. Like SAFETEA-LU, MAP-21 also funds increases in safety activities like outreach, education, partner support, enforcement, roadside inspections, innovative interventions, and aggressive safety-oriented rules and regulations. However, FMCSA rebaselined its targets in 2011 when 2009 actual performance exceeded the goal for 2015. FMCSA is currently reassessing the targets for the Large Truck and Bus Fatality Rates for CY14 and beyond given the anomaly experienced in 2009. Revised targets will be included in the 2015 Budget. However, the current actual estimate for 2011 is still far below the original 2011 target of 0.160 and still exceeds the original 2015 target of 0.148.

**FMCSA Performance Goals and Target Analysis: Target Analysis: Reduce Injury Crashes Involving Large Trucks and Buses per 100 million VMT:**

This performance measure tracks the Agency’s progress on reducing injury crashes linked to large trucks and bus crashes. FMCSA updated its targets in 2011 when 2009 actual performance exceeded the goal previously established for 2012. However, since 2009, the injury crash rate has increased, but the 2011 number is still significantly lower than our original target of 2.67 and exceeds our original 2015 target of 2.51.

<b>Reduce Injury Crashes Involving Large Trucks and Buses per 100 million VMT* (CY)</b>					
	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
<b>Target</b>	2.71	2.00	1.95	1.90	1.85*
<b>Actual</b>	2.25	2.07**	TBD	-	-

*\*FMCSA is currently reassessing the targets for the Large Truck and Bus Injury Crashes for CY14 and beyond given the anomaly experienced in 2009. Revised targets will be included in the 2015 Budget..*

*\*\*Projection based on preliminary results*

**Target Analysis: States Satisfying "Green" Data Quality Criteria As Reflected on the State Safety Data Quality (SSDQ) Map.**

Improved data quality enables FMCSA to effectively target “high risk” motor carriers and operators. The Agency evaluates the completeness, timeliness, accuracy, and consistency of the state reported commercial motor vehicle crash and inspection records in the Motor Carrier Management Information System (MCMIS). The states receive ratings of “Good” (*Green*), “Fair” (*Yellow*) or “Poor” (*Red*) for seven SSDQ measures as well as an overall rating which considers all seven SSDQ measures.

<b>States Satisfying "Green" Data Quality Criteria As Reflected on the State Safety Data Quality (SSDQ) Map. (Fiscal Year)</b>					
	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
<b>Target</b>	32	36	38	40	42
<b>Actual</b>	36*	44	47**	-	-

*\*The FY 2010 criteria added two new measures of data quality, creating a more stringent standard for a “green” rating. Additional measures to further improve data quality are currently not planned due to lack of resources.*

*\*\*Data as of January 2013*

**Target Analysis:** Reduce the Number of Roadway HAZMAT Incidents Involving Death or Major Injury.

The FMCSA contributes to the roadway portion of the PHSMA’s performance target of reducing the number of HAZMAT transportation (air, roadway and sea) incidents that result in death or major injury to no more than 30 per year by FY 2012. Preliminary data indicates that the number of HAZMAT incidents resulting in death or major injury declined by over 14 percent over FY 2011. The Agency influenced this improvement by completing enforcement interventions such as HAZMAT shipper reviews, special permitting, cargo tank facility reviews, HAZMAT package inspections (over 5,000 Federal and 600 State), HAZMAT vehicle inspections (208,000), and outreach and educational activities.

<b>Reduce the Number of Roadway HAZMAT Incidents Involving Death or Major Injury.</b> (Fiscal Year)					
	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
<b>Target</b>	30	30	29	29	29
<b>Actual</b>	19	27	23	-	-

**Target Analysis:** Increase Safety Belt Use by Drivers of Large Trucks.

The performance measure demonstrates the percentage of CMV operators who wear safety belts based on NHTSA’s National Occupant Protection Use Survey (NOPUS) results. The Agency based its targets on the actual performance reported in the NOPUS report, while considering the trends associated with the number of States governed by primary safety belt use and secondary use laws.

<b>Increase Safety Belt Use by Drivers of Large Trucks. (CY)</b>					
	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>
<b>Target</b>	71%	74%	75%	76%	77%
<b>Actual</b>	78%	*	*	-	-

*\*Seatbelt usage reached an all time high of 78% in 2010, the most recent year for which data is currently available. The next planned NOPUS for safety belt use for drivers of large trucks is planned to begin in 2013, with results in 2014.*

There was no funding for a NOPUS survey in 2011 and 2012 for occupants of large trucks. However, the Fatality Analysis Reporting System (FARS) data for 2011 shows that nearly 80 percent of large truck occupants involved in fatal crashes were wearing their safety belts and had a much higher survival rate than those that did not wear their safety belt. The Agency is planning to fund a survey in 2013 with results available in 2014 and continue its outreach efforts to get all drivers of large trucks to buckle up.



**EXHIBIT V-1**  
**RESEARCH, DEVELOPMENT & TECHNOLOGY**  
**DEPARTMENT OF TRANSPORTATION**  
**BUDGET AUTHORITY**  
(in thousands of dollars)

<b>FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION</b>	<b>FY 2012 Enacted</b>	<b>FY 2013 CR Annualized</b>	<b>FY 2014 Request</b>	<b>FY 2014 Applied</b>	<b>FY 2014 Development</b>
<b>A. Produce Safe Drivers</b>	4,195	3,785	4,900	3,250	250
1. Produce Safe Drivers	2,445	2,435	3,500	3,250	250
2. Produce Safe Drivers (T)	1,750	1,350	1,400	NA	NA
<b>B. Improve Safety of Commercial Vehicles</b>	1,636	2,300	1,050	0	0
1. Improve Safety of Commercial Vehicles	200	1,250	0	0	0
2. Improve Safety of Commercial Vehicles (T)	1,436	1,050	1,050	NA	NA
<b>C. Produce Safer Carriers</b>	930	885	1,000	800	0
1. Produce Safer Carriers	930	250	800	800	0
2. Produce Safer Carriers (T)	0	635	200	NA	NA
<b>D. Advanced Safety Through Info-Based Initiatives</b>	450	1,050	1,575	275	0
1. Advanced Safety Through Info-Based Initiatives	0	350	275	275	0
2. Advanced Safety Through Info-Based Initiatives (T)	450	700	1,300	NA	NA
<b>E. Enable and Motivate Internal Excellence</b>	1,332	575	475	475	0
1. Enable and Motivate Internal Excellence	700	575	475	475	0
2. Enable and Motivate Internal Excellence (T)	632	0	0	NA	NA
<b>F. Administrative Expenses</b>	<b>2,382</b>	<b>2,382</b>	2,482	2,359	123
<b>Subtotal, Research &amp; Development</b>	6,657	7,242	7,532	7,159	373
<b>Subtotal, Technology Investment (T)</b>	4,268	3,735	3,950	-	-
<b>Subtotal, Facilities (F)</b>	0	0	0	0	0
<b>Total FMCSA</b>	<b>10,925</b>	<b>10,977</b>	<b>11,482</b>	<b>7,159</b>	<b>373</b>
R&T Funding	8,543	8,595	9,000		