



NEW YORK

Commercial Vehicle Safety Plan

**Federal Motor Carrier Safety Administration's
Motor Carrier Safety Assistance Program**

Fiscal Years 2019 - 2021

Date of Approval: July 29, 2019

FINAL CVSP



**U.S. Department of Transportation
Federal Motor Carrier Safety Administration**

Part 1 - MCSAP Overview

Part 1 Section 1 - Introduction

The Motor Carrier Safety Assistance Program (MCSAP) is a Federal grant program that provides financial assistance to States to help reduce the number and severity of accidents and hazardous materials incidents involving commercial motor vehicles (CMV). The goal of the MCSAP is to reduce CMV-involved accidents, fatalities, and injuries through consistent, uniform, and effective CMV safety programs.

A State lead MCSAP agency, as designated by its Governor, is eligible to apply for grant funding by submitting a commercial vehicle safety plan (CVSP), in accordance with the provisions of [49 CFR 350.201](#) and [205](#). The lead agency must submit the State's CVSP to the FMCSA Division Administrator on or before August 1 of each year. For a State to receive funding, the CVSP needs to be complete and include all required documents. Currently, the State must submit a performance-based plan each year to receive MCSAP funds.

The FAST Act required the Federal Motor Carrier Safety Administration (FMCSA) to “prescribe procedures for a State to submit a multiple-year plan and annual updates thereto, under which the State agrees to assume responsibility for improving motor carrier safety by adopting and enforcing State regulations, standards, and orders that are compatible with the regulations, standards, and orders of the Federal Government on commercial motor vehicle safety and hazardous materials transportation safety.”

The online CVSP tool (eCVSP) outlines the State's CMV safety objectives, strategies, activities and performance measures and is organized into the following five parts:

- Part 1: MCSAP Overview
- Part 2: Crash Reduction and National Program Elements (FY 2019 - 2021)
- Part 3: National Emphasis Areas and State Specific Objectives (FY 2019 - 2021)
- Part 4: Financial Information (FY 2019)
- Part 5: Certifications and Documents

You will find that each of the five eCVSP parts listed above contains different subsections. Each subsection category will provide you with detailed explanation and instruction on what to do for completing the necessary tables and narratives.

The MCSAP program includes the eCVSP tool to assist States in developing and monitoring their grant applications. The eCVSP provides ease of use and promotes a uniform, consistent process for all States to complete and submit their plans. States and territories will use the eCVSP to complete the CVSP and to submit a 3-year plan or an Annual Update to a 3-year plan. As used within the eCVSP, the term ‘State’ means all the States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, and the Virgin Islands.

REMINDERS FOR FY 2019:

Multi-Year plans—For FY 2019, all States will be utilizing the multi-year CVSP format. This means that objectives, projected goals, and activities in the plan will cover a full three-year period. The financial information and certifications will be updated each fiscal year.

Annual Updates for Multi-Year plans—Those States in Year 2 or Year 3 of a multi-year plan will be providing an Annual Update only. States will be able to review the project plan submitted in the previous year and indicate whether anything needs to be updated for the upcoming fiscal year via a Yes/No question provided in each Section of Parts 1-3. **NOTE: Answer carefully as there is one opportunity to check Yes/No and then the input is locked.**

- If Yes is indicated, the information provided for previously will be editable and State users can make any necessary changes to their project plan. (Note: Trend information that supports your current activities is not editable.)
- If No is indicated, then no information in this section will be editable and the user can move forward to the next section.
- The financial information and certifications will be updated each fiscal year.

All multi-year and annual update plans have been pre-populated with data and information from their FY 2018 plans. States must carefully review and update this information to reflect FY 2019 activities prior to submission to FMCSA.

States are reminded to **not** include any personally identifiable information (PII) in the CVSP. The final CVSP approved by FMCSA is required to be posted to a public FMCSA website.

Personally Identifiable Information – PII is information which, on its own or matched with other data, would permit identification of that individual. Examples of PII include: name, home address, social security number, driver's license number or State-issued identification number, date and/or place of birth, mother's maiden name, financial, medical, or educational records, non-work telephone numbers, criminal or employment history, etc. PII, if disclosed to or altered by unauthorized individuals, could adversely affect the Agency's mission, personnel, or assets or expose an individual whose information is released to harm, such as identity theft.

Part 1 Section 2 - Mission/Goal Statement**Instructions:**

Briefly describe the mission or goal of the lead State commercial motor vehicle safety agency responsible for administering this Commercial Vehicle Safety Plan (CVSP) throughout the State.

NOTE: Please do not include information on any other FMCSA grant activities or expenses in the CVSP.

The mission of the New York State agencies that participate in the Motor Carrier Safety Assistance Program (MCSAP) is to reduce fatal and serious injury crashes involving large trucks and buses on New York's roadways. The NYS Department of Transportation (NYSDOT) is the lead agency for the administration of MCSAP, which is implemented in collaboration with the NYS Division of State Police.

In addition to the FMCSA New York Division, other key partners are the NYS Department of Motor Vehicles (NYSDMV), which is responsible for the licensing of CMV drivers and compliance with CDL regulations and also, oversees the crash data for the state, the Institute for Traffic Safety Management and Research (ITSMR), which provides data and analytical support for the development of the Commercial Vehicle Safety Plan (CVSP) and conducts ongoing monitoring and the annual assessment of the program's progress and achievements, the Governor's Traffic Safety Committee, which is responsible for the state's highway safety program, and the Trucking Association of New York (TANY), which represents and serves as a liason with the state's trucking industry. Representatives from each of these organizations meet on a quarterly basis to exchange information on the status of program activities, new federal and state regulations and other initiatives, and to discuss emerging issues affecting commercial vehicle safety in New York.

To support the mission of New York's CVSP, the following goal has been set:

Reduce the number of fatalities in crashes involving large trucks and buses in New York State from the 2015-2017 average of 123 to 115 in 2019, 112 in 2020, and 109 in 2021.

Data Sources: NYS Accident Information System (AIS) accessed through the online Traffic Safety Statistical Repository (TSSR), 6/15/2018 capture date and NYS SAFETYNET/NGA System, 6/15/2018 capture date. Data for 2017 are preliminary; final 2017 crash data will be available in late summer 2018.

Part 1 Section 3 - MCSAP Structure Explanation**Instructions:**

Briefly describe the State's commercial motor vehicle (CMV) enforcement program funded by the MCSAP grant.

NOTE: *Please do not include activities or expenses associated with any other FMCSA grant program.*

As the lead MCSAP agency, the NYS Department of Transportation collaborates with the NYS Division of State Police on the implementation of New York's commercial motor vehicle enforcement program. The primary component of the state's comprehensive commercial vehicle safety program is its roadside safety inspection program for commercial vehicles and drivers. The state's 62 counties are organized into six MCSAP regions: Region 1 - Albany, Region 3 - Syracuse, Region 5 - Buffalo, Region 8 - Poughkeepsie, Region 10 - Hauppauge, and Region 11 - New York City. Roadside safety inspections are conducted in each of the six regions at rest areas and other locations that accommodate inspection activities in a safe manner.

Inspections are conducted by teams that include the following NASTI trained personnel:

71 certified NYSDOT personnel consisting of Motor Carrier Investigators, Motor Vehicle Inspectors, Supervising Motor Carrier Investigators, Supervising Motor Vehicle Inspectors, and Intermodal Transportation Specialists

97 State Troopers assigned full-time to the Commercial Vehicle Enforcement Unit (CVEU), which is dedicated to CMV inspection and traffic enforcement, 94 State Troopers assigned to the Traffic Incident Management (TIM) detail, who conduct CMV inspections part-time, 120 State Troopers, whose primary assignment is Interstate Highway Patrol (IHP) and who conduct CMV inspections part-time, and 7 NYC Troopers, who perform level 3 inspections

The inspection teams ensure safe traffic operations, conduct safety inspections, and issue traffic summonses.

Part 1 Section 4 - MCSAP Structure**Instructions:**

Complete the following tables for the MCSAP lead agency, each subrecipient and non-funded agency conducting eligible CMV safety activities.

The tables below show the total number of personnel participating in MCSAP activities, including full time and part time personnel. This is the total number of non-duplicated individuals involved in all MCSAP activities within the CVSP. (The agency and subrecipient names entered in these tables will be used in the National Program Elements —Roadside Inspections area.)

The national program elements sub-categories represent the number of personnel involved in that specific area of enforcement. FMCSA recognizes that some staff may be involved in more than one area of activity.

Lead Agency Information	
Agency Name:	NYS DEPARTMENT OF TRANSPORTATION
Enter total number of personnel participating in MCSAP activities	77
National Program Elements	Enter # personnel below
Driver and Vehicle Inspections	71
Traffic Enforcement Activities	0
Investigations*	29
Public Education and Awareness	27
Data Collection and Reporting	9
* Formerly Compliance Reviews and Includes New Entrant Safety Audits	

Subrecipient Information	
Agency Name:	NYS DIVISION OF STATE POLICE
Enter total number of personnel participating in MCSAP activities	318
National Program Elements	Enter # personnel below
Driver and Vehicle Inspections	318
Traffic Enforcement Activities	318
Investigations*	0
Public Education and Awareness	25
Data Collection and Reporting	15
* Formerly Compliance Reviews and Includes New Entrant Safety Audits	

Subrecipient Information	
Agency Name:	NYS DEPARTMENT OF MOTOR VEHICLES
Enter total number of personnel participating in MCSAP activities	4
National Program Elements	Enter # personnel below
Driver and Vehicle Inspections	0
Traffic Enforcement Activities	0
Investigations*	0
Public Education and Awareness	0
Data Collection and Reporting	4
* Formerly Compliance Reviews and Includes New Entrant Safety Audits	

Non-funded Agency Information	
Total number of agencies:	37
Total # of MCSAP Participating Personnel:	95

Part 2 - Crash Reduction and National Program Elements

Part 2 Section 1 - Overview

Part 2 allows the State to provide past performance trend analysis and specific goals for FY 2019 - 2021 in the areas of crash reduction, roadside inspections, traffic enforcement, audits and investigations, safety technology and data quality, and public education and outreach.

Note: *For CVSP planning purposes, the State can access detailed counts of its core MCSAP performance measures. Such measures include roadside inspections, traffic enforcement activity, investigation/review activity, and data quality by quarter for the current and past two fiscal years using the Activity Dashboard and/or the CVSP Toolkit on the A&I Online website. The Activity Dashboard is also a resource designed to assist the State with preparing their MCSAP-related quarterly reports and is located at: <http://ai.fmcsa.dot.gov>. A user id and password are required to access this system.*

In addition, States can utilize other data sources available on the A&I Online website as well as internal State data sources. It is important to reference the data source used in developing problem statements, baselines and performance goals/ objectives.

Part 2 Section 2 - CMV Crash Reduction

The primary mission of the Federal Motor Carrier Safety Administration (FMCSA) is to reduce crashes, injuries and fatalities involving large trucks and buses. MCSAP partners also share the goal of reducing commercial motor vehicle (CMV) related crashes.

Trend Analysis for 2013 - 2017

Instructions for all tables in this section:

Complete the tables below to document the State's past performance trend analysis over the past five measurement periods. All columns in the table must be completed.

- Insert the beginning and ending dates of the five most recent State measurement periods used in the Measurement Period column. The measurement period can be calendar year, Federal fiscal year, State fiscal year, or any consistent 12-month period for available data.
- In the Fatalities column, enter the total number of fatalities resulting from crashes involving CMVs in the State during each measurement period.
- The Goal and Outcome columns allow the State to show its CVSP goal and the actual outcome for each measurement period. The goal and outcome must be expressed in the same format and measurement type (e.g., number, percentage, etc.).
 - In the Goal column, enter the goal from the corresponding CVSP for the measurement period.
 - In the Outcome column, enter the actual outcome for the measurement period based upon the goal that was set.
- Include the data source and capture date in the narrative box provided below the tables.
- If challenges were experienced while working toward the goals, provide a brief narrative including details of how the State adjusted the program and if the modifications were successful.

ALL CMV CRASHES

Select the State's method of measuring the crash reduction goal as expressed in the corresponding CVSP by using the drop-down box options: (e.g. large truck fatal crashes per 100M VMT, actual number of fatal crashes, actual number of fatalities, or other). Other can include injury only or property damage crashes.

Goal measurement as defined by your State: Other

If you select 'Other' as the goal measurement, explain the measurement used in the text box provided:

Number of Fatalities in Crashes Involving Large Trucks

Measurement Period (Include 5 Periods)		Fatalities	Goal	Outcome
Begin Date	End Date			
01/01/2017	12/31/2017	100	95	100
01/01/2016	12/31/2016	97	79	97
01/01/2015	12/31/2015	109	94	109
01/01/2014	12/31/2014	79	85	79
01/01/2013	12/31/2013	105	90	105

MOTORCOACH/PASSENGER CARRIER CRASHES

Select the State's method of measuring the crash reduction goal as expressed in the corresponding CVSP by using the drop-down box options: (e.g. large truck fatal crashes per 100M VMT, actual number of fatal crashes, actual number of fatalities, other, or N/A).

Goal measurement as defined by your State: Other

If you select 'Other' or 'N/A' as the goal measurement, explain the measurement used in the text box provided:

Number of Fatal & Personal Injury Crashes Involving Buses

Measurement Period (Include 5 Periods)		Fatalities	Goal	Outcome
Begin Date	End Date			
01/01/2017	12/31/2017	18	386	858
01/01/2016	12/31/2016	15	398	713
01/01/2015	12/31/2015	30	406	403
01/01/2014	12/31/2014	29	395	442
01/01/2013	12/31/2013	26	507	665

Hazardous Materials (HM) CRASH INVOLVING HM RELEASE/SPILL

Hazardous material is anything that is listed in the hazardous materials table or that meets the definition of any of the hazard classes as specified by Federal law. The Secretary of Transportation has determined that hazardous materials are those materials capable of posing an unreasonable risk to health, safety, and property when transported in commerce. The term hazardous material includes hazardous substances, hazardous wastes, marine pollutants, elevated temperature materials, and all other materials listed in the hazardous materials table.

For the purposes of the table below, HM crashes involve a release/spill of HM that is part of the manifested load. (This does not include fuel spilled from ruptured CMV fuel tanks as a result of the crash).

Select the State's method of measuring the crash reduction goal as expressed in the corresponding CVSP by using the drop-down box options: (e.g., large truck fatal crashes per 100M VMT, actual number of fatal crashes, actual number of fatalities, other, or N/A).

Goal measurement as defined by your State: Actual # Fatalities

If you select 'Other' or 'N/A' as the goal measurement, explain the measurement used in the text box provided:

Measurement Period (Include 5 Periods)		Fatalities	Goal	Outcome
Begin Date	End Date			
01/01/2017	12/31/2017	0	0	0
01/01/2016	12/31/2016	0	0	0
01/01/2015	12/31/2015	0	0	0
01/01/2014	12/31/2014	0	0	0
01/01/2013	12/31/2013	0	0	0

Enter the data sources and capture dates of the data listed in each of the tables above.

All CMV Crashes: NYS Accident Information System (AIS) accessed through the online Traffic Safety Statistical Repository (TSSR), capture date 6/15/2018. Data for 2017 are preliminary; final 2017 crash data will be available late summer 2018. Bus Crashes: NYS SAFETYNET NGA Data, capture date 6/15/2018; data for 2017 are preliminary. Fatalities in Crashes Involving an HM Release: NYS SAFETYNET NGA Data, capture date 6/15/2018; data for 2017 are preliminary.

Narrative: Describe any difficulties achieving the goal, problems encountered, obstacles overcome, lessons learned, etc.Large Truck Crashes

After decreasing to 97 in 2016, the number of fatalities in large truck crashes increased by 3% to 100 in 2017, missing the goal of 95 set for FY 2017.

NOTE: The source of the crash data used in New York's CVSP is the state's Accident Information System (AIS). In the AIS, the definition of a large truck is based on three criteria: 1) registered weight > 10,000 pounds; 2) truck/bus class type; and 3) vehicle body type.

Passenger Carrier Crashes

Since 2014, the performance measure used in New York to set its passenger carrier crash reduction goal has been fatal and personal injury crashes. Due to the implementation of a new system for the electronic transmission of crash reports for New York City, more timely data are now available. Because data for the CVSP are captured at the same time each year, the data for 2016 and 2017 are not comparable to earlier years. For example, the data for 2016 and the preliminary data for 2017 indicate a much higher number of personal injury crashes than the previous few years (699 in 2016 and 841 in 2017 vs. 442 in 2014 and 403 in 2015), while fatal crashes increased (from 14 in 2016 to 17 in 2017).

HM Crashes

For all five years, 2013-2017, there were no fatalities in crashes involving an HM release. Based on this record, New York does not set a performance goal in this area. New York will continue to conduct HM inspections and compliance investigations to ensure that this success is maintained.

Narrative Overview for FY 2019 - 2021**Instructions:**

The State must include a reasonable crash reduction goal for their State that supports FMCSA's mission to reduce the national number of crashes, injuries and fatalities involving commercial motor vehicles. The State has flexibility in setting its goal and it can be based on raw numbers (e.g., total number of fatalities or CMV crashes), based on a rate (e.g., fatalities per 100 million VMT), etc.

Problem Statement Narrative: Describe the identified problem, include baseline data and identify the measurement method.

Unsafe driver behaviors on the part of both CMV drivers and other drivers involved in large truck crashes are the most frequently reported contributing factors in large truck crashes. Analyses of preliminary 2017 crash data from New York's AIS database indicate that in crashes involving a large truck and another vehicle, the most frequently reported factors for truck drivers were driver inattention/distraction (13%) and actions related to aggressive driving, including passing/lane changing (11%) and following too closely (10%). The other drivers involved in crashes with large trucks were also assigned contributing factors related to aggressive driving, including passing/lane changing (16%), failure to yield the right-of-way (8%), and following too closely (8%), as well as driver inattention/distraction (12%). Unsafe speed was a factor for 4% of the truck drivers and 4% of the other drivers involved in large truck crashes.

Based on preliminary 2017 data from the AIS, the number of fatal crashes involving large trucks continued to fluctuate. Between 2015 and 2016, fatal crashes decreased from 97 to 90 and then increased to 92 in 2017. Further analyses by MCSAP Region showed that

between 2016 and 2017 increases in large truck crashes occurred in Region 8-Poughkeepsie (from 7 to 14), Region 1-Albany (from 15 to 19), and Region 11-New York City (from 24 to 25). Decreases in large truck fatal crashes occurred in Region 3-Syracuse (from 17 to 11) and Region 10-Hauppauge (from 12 to 8). Large truck fatal crashes remained constant in Region 5-Buffalo (15). The final 2017 AIS data will be available in late summer 2018.

Between 2016 and 2017, the largest decrease in large truck fatal crashes occurred on the Thruway and Berkshire Spur (from 13 to 7), while the largest increase occurred on state routes (from 46 to 51). The largest proportions of all large truck crashes occurred on local streets (42% in 2017) and state routes (39% in 2017).

Enter the data source and capture date:

NOTE: The source of the crash data used in New York's CVSP is the state's Accident Information System (AIS), which is accessed through the online Traffic Safety Statistical Repository (TSSR), capture date 6/15/2018. Data for 2017 are preliminary; final 2017 crash data will be available late summer 2018.

Projected Goal for FY 2019 - 2021:

In the table below, state the crash reduction goal for each of the three fiscal years. The method of measurement should be consistent from year to year. For example, if the overall crash reduction goal for the three year period is 12 percent, then each annual goal could be 4 percent.

Fiscal Year	Annual Crash Reduction Goals
2019	99
2020	97
2021	95

Reduce the number of fatalities in crashes involving large trucks in New York State from the 2015-2017 average of 102 to 99 in 2019, 97 in 2020, and 95 in 2021.

Program Activities for FY 2019 - 2021: States must indicate the activities, and the amount of effort (staff hours, inspections, traffic enforcement stops, etc.) that will be resourced directly for the program activities purpose.

Distracted and Aggressive Driving Enforcement Details

Over the three-year period, FFY 2019-FFY 2021, the New York State Police Commercial Vehicle Enforcement Unit (CVEU) will annually conduct 40 (10 per quarter) Distracted and Aggressive Driving Enforcement Details across the state. The 12-hour details are conducted in areas with a high volume of CMV traffic and crashes. CVEU Troopers conduct truck inspections at fixed road checks and focus on driver-related violations. Traffic Incident Management (TIM) Troopers conduct traffic enforcement near the inspection sites, focusing on CMV drivers and non-CMV drivers, who commit moving violations, especially aggressive driving and distracted driving-related violations, in the vicinity of large trucks. The CVEU and TIM Troopers will distribute educational brochures focusing on distracted and aggressive driving behaviors to the drivers stopped during the details.

850 of the 66,835 Level 1, 2, and 3 inspections projected for FFY 2019 will be dedicated to this activity (See Crash Reduction Section 3 - Roadside Inspections).

875 of the 66,835 Level 1, 2, and 3 inspections projected for FFY 2020 will be dedicated to this activity (See Crash Reduction Section 3 - Roadside Inspections).

900 of the 66,835 Level 1, 2, and 3 inspections projected for FFY 2021 will be dedicated to this activity (See Crash Reduction Section 3 - Roadside Inspections).

Troop Specific Safety Initiative Details

Each State Police Troop will conduct special details throughout the year to address CMV safety issues of particular concern in their jurisdictions, such as high crash areas, routes with high CMV traffic volumes, bypass routes known to be used by substandard carriers, citizen complaints, and requests for enforcement support from other law enforcement agencies or NYSDOT.

2,500 of the 66,835 Level 1, 2, and 3 inspections projected for FFY 2019 will be dedicated to this activity (See Crash Reduction Section 3 - Roadside Inspections).

2,550 of the 66,835 Level 1, 2, and 3 inspections projected for FFY 2020 will be dedicated to this activity (See Crash Reduction Section 3 - Roadside Inspections).

2,600 of the 66,835 Level 1, 2, and 3 inspections projected for FFY 2021 will be dedicated to this activity (See Crash Reduction Section 3 - Roadside Inspections).

Performance Measurements and Monitoring: The State will monitor the effectiveness of its CMV Crash Reduction Goal quarterly and annually by evaluating the performance measures and reporting results in the required Standard Form - Performance Progress Reports (SF-PPRs).

Describe how the State will conduct ongoing monitoring of progress in addition to quarterly reporting.

The Institute for Traffic Safety Management and Research (ITSMR) will access preliminary fatality data from New York's Accident Information System (AIS) through the online Traffic Safety Statistical Repository (TSSR) on a quarterly basis to track the measure throughout the year. These preliminary numbers will be reported in the MCSAP Quarterly Reports. Once the data for the calendar year are finalized, the progress made toward the goal will be evaluated and reported in the state's CVSP Annual Assessment Report prepared by ITSMR.

Part 2 Section 3 - Roadside Inspections

In this section, provide a trend analysis, an overview of the State's roadside inspection program, and projected goals for FY 2019 - 2021.

Note: *In completing this section, do NOT include border enforcement inspections. Border Enforcement activities will be captured in a separate section if applicable.*

Trend Analysis for 2013 - 2017

Inspection Types	2013	2014	2015	2016	2017
Level 1: Full	23582	19242	19386	21318	20643
Level 2: Walk-Around	44957	44293	46018	48745	45559
Level 3: Driver-Only	24578	23701	33844	37687	29004
Level 4: Special Inspections	845	496	629	126	115
Level 5: Vehicle-Only	436	475	477	626	873
Level 6: Radioactive Materials	16	21	26	37	67
Total	94414	88228	100380	108539	96261

Narrative Overview for FY 2019 - 2021

Overview:

Describe components of the State's general Roadside and Fixed-Facility Inspection Program. Include the day-to-day routine for inspections and explain resource allocation decisions (i.e., number of FTE, where inspectors are working and why).

Enter a narrative of the State's overall inspection program, including a description of how the State will monitor its program to ensure effectiveness and consistency.

In FFY 2017, a total of 96,261 inspections were conducted in New York State: 87% were inspections of non-HM large trucks, 6% were inspections of HM trucks, and 7% were inspections of passenger carriers. Level 1 inspections accounted for 21% of the total inspections in FFY 2017, while 30% were Level 3. As of the capture date of 7/6/2018, a total of 78,289 inspections (excluding border enforcement inspections) were conducted in FFY 2018. (Data Source: FMCSA A&I Online, CVSP Dashboard. Data for FFYs 2012-2014 not available on the current dashboard).

There are 318 Troopers certified to conduct roadside inspections within the NYS Division of State Police and 71 people certified within the NYS Department of Transportation. In conjunction with each inspection, staff routinely perform the following activities at roadside: electronic verification of the driver's license, alcohol and controlled substance detection, interdiction and enforcement activities as required by 49 CFR Part 350.109 and Part 350.20 (q)(1-3), and enforcement of operating authority and financial responsibility requirements under 49 CFR Part 350.20(t)(1)&(2). The program's written policy is to check every license through CDLIS. Carrier status is verified through Query Central. Carriers found to be suspended will be placed out of service, and copies of all documents associated with the load will be forwarded to the FMCSA New York Division.

While large truck inspections continue to be the core of the state's roadside inspection program, passenger carriers have become an important focus as a result of a number of serious motorcoach crashes. The special passenger carrier inspection details that will be implemented in FFY 2019 are described under Part 3 National Emphasis Areas/State Specific Objectives, Section 2 - Passenger Carrier Enforcement.

Because of the danger posed by commercial motor vehicles that transport hazardous materials, special inspection details targeting HM carriers, especially cargo tank vehicles and their drivers, are also an important component of the inspection program.

In addition to routine inspection activities, the following special inspection details are planned for FFY 2019-FFY 2021:

To address the role that driver behavior plays in crashes involving commercial motor vehicles of all types, Level 3 inspections focusing on enforcement of Hours-of-Service regulations and other driver qualifications will also continue to be emphasized.

Hours-of-Service and Driver Qualification Details:

The State Police CVEU will conduct ten 18-hour Hours of Service and Driver Qualification Details each quarter. The focus will be on Level

3 inspections where the driver's logbook, license, medical qualifications, and related paperwork will be inspected. All details will consist of two staggered 12-hour shifts and will be conducted on Friday nights; Troopers assigned to the details will remain on site until at least 11:59 p.m., based on reports from FMCSA that the rate of hours-of-service violations is higher among drivers at the end of the normal work week.

Traffic Incident Management (TIM) Troopers will conduct Level 3 inspections of commercial vehicles traveling on bypass routes. Troopers will be conducting inspections concentrated on the major commercial vehicle corridors of New York State, which include I-87, I-90, I-81, I-86/Route 17, I-88, I-390, and I-495.

Detail members will also perform inspections on hazardous materials transporters, focusing on areas such as load securement, material packaging integrity, improper compatibility, and improper or no hazard communication. Additionally, driver qualifications are scrutinized, including proper and valid class of license, endorsements, restrictions, and driver physical qualifications. All operators' licenses of vehicles transporting hazardous materials are file checked for warrants and validity.

Projected Goals for FY 2019 - 2021

Instructions for Projected Goals:

Complete the following tables in this section indicating the number of inspections that the State anticipates conducting during Fiscal Years 2019 - 2021. For FY 2019, there are separate tabs for the Lead Agency, Subrecipient Agencies, and Non-Funded Agencies—enter inspection goals by agency type. Enter the requested information on the first three tabs (as applicable). The Summary table totals are calculated by the eCVSP system.

To modify the names of the Lead or Subrecipient agencies, or the number of Subrecipient or Non-Funded Agencies, visit [Part 1. MCSAP Structure](#).

Note: Per the [MCSAP Comprehensive Policy](#), States are strongly encouraged to conduct at least 25 percent Level 1 inspections and 33 percent Level 3 inspections of the total inspections conducted. If the State opts to do less than these minimums, provide an explanation in space provided on the Summary tab.

MCSAP Lead Agency

Lead Agency is: NYS DEPARTMENT OF TRANSPORTATION

Enter the total number of certified personnel in the Lead agency: 71

Projected Goals for FY 2019 - Roadside Inspections					
Inspection Level	Non-Hazmat	Hazmat	Passenger	Total	Percentage by Level
Level 1: Full	9306	1500	802	11608	34.73%
Level 2: Walk-Around	12047	758	1524	14329	42.87%
Level 3: Driver-Only	4570	76	2281	6927	20.72%
Level 4: Special Inspections	38	0	0	38	0.11%
Level 5: Vehicle-Only	128	2	396	526	1.57%
Level 6: Radioactive Materials	0	0	0	0	0.00%
Sub-Total Lead Agency	26089	2336	5003	33428	

MCSAP subrecipient agency

Complete the following information for each MCSAP subrecipient agency. A separate table must be created for each subrecipient.

Subrecipient is: NYS DIVISION OF STATE POLICE

Enter the total number of certified personnel in this funded agency: 318

Projected Goals for FY 2019 - Subrecipients					
Inspection Level	Non-Hazmat	Hazmat	Passenger	Total	Percentage by Level
Level 1: Full	4776	666	108	5550	8.30%
Level 2: Walk-Around	37651	2955	119	40725	60.93%
Level 3: Driver-Only	19162	0	1170	20332	30.42%
Level 4: Special Inspections	106	2	0	108	0.16%
Level 5: Vehicle-Only	13	0	63	76	0.11%
Level 6: Radioactive Materials	0	44	0	44	0.07%
Sub-Total Funded Agencies	61708	3667	1460	66835	

NYS DEPARTMENT OF MOTOR

Subrecipient is: VEHICLES

Enter the total number of certified personnel in this funded agency: 0

Projected Goals for FY 2019 - Subrecipients					
Inspection Level	Non-Hazmat	Hazmat	Passenger	Total	Percentage by Level
Level 1: Full	0	0	0	0	%
Level 2: Walk-Around	0	0	0	0	%
Level 3: Driver-Only	0	0	0	0	%
Level 4: Special Inspections	0	0	0	0	%
Level 5: Vehicle-Only	0	0	0	0	%
Level 6: Radioactive Materials	0	0	0	0	%
Sub-Total Funded Agencies	0	0	0	0	

Non-Funded Agencies

Total number of agencies:	37
Enter the total number of non-funded certified officers:	68
Enter the total number of inspections projected for FY 2019:	9543

Summary

Projected Goals for FY 2019 - Roadside Inspections Summary

Projected Goals for FY 2019 Summary for All Agencies					
MCSAP Lead Agency: NYS DEPARTMENT OF TRANSPORTATION					
# certified personnel: 71					
Subrecipient Agencies: NYS DEPARTMENT OF MOTOR VEHICLES, NYS DIVISION OF STATE POLICE					
# certified personnel: 318					
Number of Non-Funded Agencies: 37					
# certified personnel: 68					
# projected inspections: 9543					
Inspection Level	Non-Hazmat	Hazmat	Passenger	Total	Percentage by Level
Level 1: Full	14082	2166	910	17158	17.11%
Level 2: Walk-Around	49698	3713	1643	55054	54.91%
Level 3: Driver-Only	23732	76	3451	27259	27.19%
Level 4: Special Inspections	144	2	0	146	0.15%
Level 5: Vehicle-Only	141	2	459	602	0.60%
Level 6: Radioactive Materials	0	44	0	44	0.04%
Total ALL Agencies	87797	6003	6463	100263	

Note: If the minimum numbers for Level 1 and Level 3 inspections are less than described in the [MCSAP Comprehensive Policy](#), briefly explain why the minimum(s) will not be met.

Level 1: NYSDOT is bringing on additional staff whose primary focus will be to conduct Level 1 inspections. Level 3: The proportion of Level 3 inspections New York projects for FY 2019 is lower than 33% primarily because of the decline in the number of State Police Patrol Troopers in New York City, who are trained to conduct Level 3 inspections. This decline is due to a number of factors: transfers to other Troops, competing priorities, and the lack of a Troop CVEU in NYC that they can team up with. Currently, there are no plans to train additional members of Troop NYC to conduct Level 3 inspections. The number of Level 3 inspections is also affected by what is found during the inspection. If a Level 3 inspection is started but a certain vehicle violation is discovered, Inspectors are instructed to then conduct a Level 1 or Level 2 inspection instead. Both Level 1 and Level 2 inspections encompass everything included in a Level 3 inspection, plus additional items.

Projected Goals for FY 2020 Roadside Inspections	Lead Agency	Subrecipients	Non-Funded	Total
Enter total number of projected inspections	33428	66835	9543	109806
Enter total number of certified personnel	0	0	68	68
Projected Goals for FY 2021 Roadside Inspections				
Enter total number of projected inspections	33428	66835	9543	109806
Enter total number of certified personnel	0	0	68	68

Part 2 Section 4 - Investigations

Describe the State's implementation of FMCSA's interventions model for interstate carriers. Also describe any remaining or transitioning compliance review program activities for intrastate motor carriers. Include the number of personnel assigned to this effort. Data provided in this section should reflect interstate and intrastate investigation activities for each year.



The State does not conduct investigations. If this box is checked, the tables and narrative are not required to be completed and won't be displayed.

Trend Analysis for 2013 - 2017

Investigative Types - Interstate	2013	2014	2015	2016	2017
Compliance Investigations	0	0	0	0	0
Cargo Tank Facility Reviews	0	0	0	0	0
Non-Rated Reviews (Excludes CSA & SCR)	28	2	2	2	1
CSA Off-Site	4	0	0	0	0
CSA On-Site Focused/Focused CR	2	19	13	7	3
CSA On-Site Comprehensive	0	2	3	1	6
Total Investigations	34	23	18	10	10
Total Security Contact Reviews	10	10	8	4	4
Total Terminal Investigations	1	1	0	0	0

Investigative Types - Intrastate	2013	2014	2015	2016	2017
Compliance Investigations	0	0	0	0	0
Cargo Tank Facility Reviews	0	0	0	0	0
Non-Rated Reviews (Excludes CSA & SCR)	1	2	2	6	3
CSA Off-Site	0	0	0	0	0
CSA On-Site Focused/Focused CR	1	12	12	9	8
CSA On-Site Comprehensive	0	0	0	0	3
Total Investigations	2	14	14	15	14
Total Security Contact Reviews	0	0	0	0	0
Total Terminal Investigations	0	0	0	0	0

Narrative Overview for FY 2019 - 2021**Instructions:**

Describe the State's implementation of FMCSA's interventions model to the maximum extent possible for interstate carriers and any remaining or transitioning compliance review program activities for intrastate motor carriers. Include the number of personnel assigned to this effort.

Projected Goals for FY 2019 - 2021

Complete the table below indicating the number of investigations that the State anticipates conducting during FY 2019 - 2021.

Projected Goals for FY 2019 - 2021 - Investigations						
Investigation Type	FY 2019		FY 2020		FY 2021	
	Interstate	Intrastate	Interstate	Intrastate	Interstate	Intrastate
Compliance Investigations	0	0	0	0	0	0
Cargo Tank Facility Reviews	0	0	0	0	0	0
Non-Rated Reviews (Excludes CSA & SCR)	0	0	0	0	0	0
CSA Off-Site	0	0	0	0	0	0
CSA On-Site Focused/Focused CR	6	0	6	0	6	0
CSA On-Site Comprehensive	6	0	6	0	6	0
Total Investigations	12	0	12	0	12	0
Total Security Contact Reviews	0	0	0	0	0	0
Total Terminal Investigations	0	0	0	0	0	0

Add additional information as necessary to describe the carrier investigation estimates.

Although goals are projected to conduct federal investigations based on investigative type, these are subject to change based on requests from FMCSA. NYSDOT uses the FMCSA's Risk-Based Prioritization Lists to identify intrastate carriers with alerts in two or more BASICS. Additionally, New York domiciled carriers (intrastate and interstate) with three or more unreturned Driver Vehicle Examination reports (DVERs) with OOS violations or that were cited for operating an OOS vehicle (396.9c2) during the previous quarter are also targeted for investigations. Lists of carriers that fall in the above categories are compiled on a quarterly basis and provided to field staff for investigations. Typically, the investigations are comprised of focused or comprehensive state compliance reviews (as appropriate). During the investigations, the breakdowns of the carriers' safety management processes are identified. The carriers are advised on how they can improve their safety. As a result of the investigations, warning letters or Notices of Violations may be issued with follow-up activities. These follow-up activities may involve a revisit of the carrier, development of a corrective action plan, or the carrier may be requested to provide additional documentation as proof of compliance for items that were found deficient.

Program Activities: Describe components of the State's carrier investigation activities. Include the number of personnel participating in this activity.

There are two Motor Carrier Investigators certified to conduct federal investigations.

Performance Measurements and Monitoring: Describe all measures the State will use to monitor progress toward the annual goals. Further, describe how the State measures qualitative components of its carrier investigation program, as well as outputs.

Investigations:

- Number of CSA On-site Focused/Focused CR investigations on interstate carriers
- Number of On-site Comprehensive investigations on interstate carriers

FMCSA's MCMIS and A&I Online will be used to monitor the number of investigations that are conducted on a quarterly basis. Progress toward achieving the performance objectives for investigations will be evaluated and reported in the CVSP Annual Assessment prepared by ITSMR.

State Compliance Reviews on Carriers with Unreturned DVERs

- Number of state compliance reviews conducted on carriers with unreturned DVERs

The reporting on this activity will lag by about a quarter. This is due to the amount of time it takes for the performed reviews to get approved and uploaded to the state review system.

Part 2 Section 5 - Traffic Enforcement

Traffic enforcement means documented enforcement activities of State or local officials. This includes the stopping of vehicles operating on highways, streets, or roads for moving violations of State or local motor vehicle or traffic laws (e.g., speeding, following too closely, reckless driving, and improper lane changes).

Trend Analysis for 2013 - 2017

Instructions:

Please refer to the [MCSAP Comprehensive Policy](#) for an explanation of FMCSA's traffic enforcement guidance. Complete the tables below to document the State's safety performance goals and outcomes over the past five measurement periods.

1. Insert the beginning and end dates of the measurement period being used, (e.g., calendar year, Federal fiscal year, State fiscal year or any consistent 12-month period for which data is available).
2. Insert the total number CMV traffic enforcement stops with an inspection, CMV traffic enforcement stops without an inspection, and non-CMV stops in the tables below.
3. Insert the total number of written warnings and citations issued during the measurement period. The number of warnings and citations are combined in the last column.

State/Territory Defined Measurement Period (Include 5 Periods)		Number of Documented CMV Traffic Enforcement Stops with an Inspection	Number of Citations and Warnings Issued
Begin Date	End Date		
10/01/2016	09/30/2017	11026	13168
10/01/2015	09/30/2016	14351	17249
10/01/2014	09/30/2015	14153	17114
10/01/2013	09/30/2014	12955	16132
10/01/2012	09/30/2013	14561	17917

☒ **The State does not conduct CMV traffic enforcement stops without an inspection. If this box is checked, the "CMV Traffic Enforcement Stops without an Inspection" table is not required to be completed and won't be displayed.**

☐ **The State does not conduct documented non-CMV traffic enforcement stops and was not reimbursed by the MCSAP grant (or used for State Share or MOE). If this box is checked, the "Non-CMV Traffic Enforcement Stops" table is not required to be completed and won't be displayed.**

State/Territory Defined Measurement Period (Include 5 Periods)		Number of Documented Non-CMV Traffic Enforcement Stops	Number of Citations and Warnings Issued
Begin Date	End Date		
10/01/2016	09/30/2017	689	689
10/01/2015	09/30/2016	1222	1222
10/01/2014	09/30/2015	1622	1622
10/01/2013	09/30/2014	994	994
10/01/2012	09/30/2013	1337	1337

Enter the source and capture date of the data listed in the tables above.

Sources: Table 1: FMCSA A&I Online, capture date 5/25/2018 Table 2: New York State Police, FFY 2017 MCSAP Quarterly Reports

Narrative Overview for FY 2019 - 2021**Instructions:**

Describe the State's proposed level of effort (number of personnel) to implement a statewide CMV (in conjunction with and without an inspection) and/or non-CMV traffic enforcement program. If the State conducts CMV and/or non-CMV traffic enforcement activities only in support of the overall crash reduction goal, describe how the State allocates traffic enforcement resources. Please include number of officers, times of day and days of the week, specific corridors or general activity zones, etc. Traffic enforcement activities should include officers who are not assigned to a dedicated commercial vehicle enforcement unit, but who conduct eligible commercial vehicle/driver enforcement activities. If the State conducts non-CMV traffic enforcement activities, the State must conduct these activities in accordance with the [MCSAP Comprehensive Policy](#).

On a routine basis, the New York State Police CVEU, comprised of 97 State Troopers dedicated full-time to CMV inspection and traffic enforcement, conducts enforcement of moving violations and investigates crashes involving commercial vehicles in the ten Troops statewide. An additional 94 TIM Troopers conduct CMV and non-CMV traffic enforcement on a part-time basis. TIM Troopers have been trained to conduct Level 3 inspections; an inspection is conducted in conjunction with every traffic enforcement stop of a CMV. NYSDOT and the State Police routinely conduct joint details that combine traffic enforcement with inspections. The aim is to conduct 15% of the traffic enforcement during off-peak hours and the remaining 85% during normal peak hours. Enforcement will be concentrated on the major commercial vehicle corridors of New York State, which include I-87, I-90, I-81, I-86/Route 17, I-88, I-390 and I-495. There are 318 positions for those certified to conduct roadside inspections.

Projected Goals for FY 2019 - 2021

Using the radio buttons in the table below, indicate the traffic enforcement activities the State intends to conduct in FY 2019 - 2021. The projected goals are based on the number of traffic stops, not tickets or warnings issued. These goals are NOT intended to set a quota.

			Enter Projected Goals (Number of Stops only)		
Yes	No	Traffic Enforcement Activities	FY 2019	FY 2020	FY 2021
☒	☐	CMV with Inspection	13000	13000	13000
☐	☒	CMV without Inspection	0	0	0
☒	☐	Non-CMV	1000	1000	1000
☒	☐	Comprehensive and high visibility in high risk locations and corridors (special enforcement details)	40	40	40

In order to be eligible to utilize Federal funding for Non-CMV traffic enforcement, the [FAST Act](#) requires that the State must maintain an average number of safety activities which include the number of roadside inspections, carrier investigations, and new entrant safety audits conducted in the State for Fiscal Years 2004 and 2005.

The table below displays the information you input into this plan from the roadside inspections, investigations, and new entrant safety audit sections. Your planned activities must at least equal the average of your 2004/2005 activities.

FY 2019 Planned Safety Activities				
Inspections	Investigations	New Entrant Safety Audits	Sum of FY 2019 Activities	Average 2004/05 Activities
109806	12	1250	111068	101499

Describe how the State will monitor its traffic enforcement efforts to ensure effectiveness, consistency, and correlation to FMCSA's national traffic enforcement priority.

The number of traffic enforcement stops with an inspection will be monitored using MCMIS data accessed through the FMCSA A&I Data Dashboard. The policy of the New York State Police is to conduct an inspection on every CMV that is stopped. The number of CMV traffic enforcement stops with an inspection and the number of citations that are issued will be reported in the MCSAP Quarterly Reports. Traffic enforcement is also conducted on the drivers of other vehicles operating in the vicinity of CMVs. A ticket is issued to every non-CMV driver that is stopped for a traffic violation during these details. Data on the number of details conducted, the number of non-CMV drivers stopped, and the number of tickets issued to these drivers are compiled by the State Police and included in the MCSAP Quarterly Reports. New York verified that traffic enforcement activity reported in FMCSA A&I Online includes traffic enforcement activity conducted by both MCSAP funded and non-MCSAP funded agencies and includes activity conducted under MCSAP and other grant programs. The goals set, are based on this methodology.

Part 2 Section 6 - Safety Technology

The FAST Act made Performance and Registration Information Systems Management (PRISM) a condition for MCSAP eligibility in [49 CFR 350.201 \(aa\)](#). States must achieve full participation by October 1, 2020. FMCSA defines “fully participating” in PRISM, for the purpose of determining eligibility for MCSAP funding, as when a State’s or Territory’s International Registration Plan (IRP) or CMV registration agency suspends or revokes and denies registration if the motor carrier responsible for safety of the vehicle is under any Federal OOS order and denies registration if the motor carrier possess an inactive or de-active USDOT number for motor carriers operating CMVs in commerce that have a Gross Vehicle Weight (GVW) of 26,001 pounds or more. Further information regarding full participation in PRISM can be found in the MCP Section 4.3.1.

Under certain conditions, the FAST Act allows MCSAP lead agencies to use MCSAP funds for Operations and Maintenance (O&M) costs associated with Innovative Technology Deployment (ITD) and the PRISM ([49 CFR 350.201\(aa\) \(cc\)](#)). For PRISM, O&M costs are eligible expenses subject to FMCSA approval. For ITD, if the State agrees to comply with ITD program requirements and has complied with all MCSAP requirements, including achievement of full participation in PRISM, O&M costs are eligible expenses. O&M expenses must be included and described in the Spending Plan section per the method these costs are handled in the State’s accounting system (e.g., contractual costs, other costs, etc.).

Safety Technology Compliance Status

Please verify the current level of compliance for your State in the table below using the drop-down menu. If the State plans to include O&M costs in this year’s CVSP, please indicate that in the table below. Additionally, details must be in this section and in your Spending Plan.

Technology Program	Current Compliance Level	Include O & M Costs?
ITD	Core CVISN Compliant	Yes
PRISM	Full Participation	No

Available data sources:

- [FMCSA website ITD information](#)
- [FMCSA website PRISM information](#)

Enter the agency name responsible for ITD in the State, if other than the Lead MCSAP Agency:

Enter the agency name responsible for PRISM in the State, if other than the Lead MCSAP Agency: NYS Department of Motor Vehicles

Narrative Overview for FY 2019 - 2021

Problem Statement Narrative and Projected Goal:

If the State’s PRISM compliance is less than full participation, describe activities your State plans to implement to achieve full participation in PRISM.

Program Activities for FY 2019 - 2021: Describe any actions that will be taken to implement full participation in PRISM.

Performance Measurements and Monitoring: Describe all performance measures that will be used and include how the State will conduct ongoing monitoring of progress in addition to quarterly SF-PPR reporting.

Part 2 Section 7 - Public Education and Outreach

A public education and outreach program is designed to provide information on a variety of traffic safety issues related to CMVs and non-CMV's that operate around large trucks and buses.

Trend Analysis for 2013 - 2017

In the table below, provide the number of public education and outreach activities conducted in the past 5 years.

Public Education and Outreach Activities	2013	2014	2015	2016	2017
Carrier Safety Talks	200	166	100	139	186
CMV Safety Belt Education and Outreach					
State Trucking Association Meetings				13	12
State-Sponsored Outreach Events	1	1	1	2	4
Local Educational Safety Events				8	1
Teen Safety Events				0	1

Narrative Overview for FY 2019 - 2021

Performance Objective: To increase the safety awareness of the motoring public, motor carriers and drivers through public education and outreach activities such as safety talks, safety demonstrations, etc.

Describe the type of activities the State plans to conduct, including but not limited to passenger transportation, hazardous materials transportation, and share the road safety initiatives. Include the number of personnel that will be participating in this effort.

Maintain and enhance outreach efforts with the motor carrier industry to provide education and training that will improve the safety and security of New York's roadways by conducting a minimum of 210 educational and outreach programs in FFY 2019, 210 in FFY 2020, and 210 in 2021. The approximate number of personnel charging to the grant for reimbursement is 52.

Plan and conduct the annual New York State Truck Safety and Education Symposium and Safety Exhibition. Participate in both the CVSA Brake Safety Week in September and the CVSA International Roadcheck Week in June. Provide educational presentations and other types of outreach to the CMV industry, law enforcement, court personnel, and the general public to raise awareness of issues related to CMV safety.

*Some outreach activities conducted may fall under more than one category.

Projected Goals for FY 2019 - 2021

In the table below, indicate if the State intends to conduct the listed program activities, and the estimated number, based on the descriptions in the narrative above.

			Performance Goals		
Yes	No	Activity Type	FY 2019	FY 2020	FY 2021
☒	☐	Carrier Safety Talks	195	195	195
☐	☒	CMV Safety Belt Education and Outreach	0	0	0
☒	☐	State Trucking Association Meetings	12	12	12
☒	☐	State-Sponsored Outreach Events	2	2	2
☒	☐	Local Educational Safety Events	1	1	1
☐	☒	Teen Safety Events	0	0	0

Performance Measurements and Monitoring: Describe all performance measures and how the State will conduct monitoring of progress. States must report the quantity, duration and number of attendees in their quarterly SF-PPR reports.

On a quarterly basis, NYSDOT and the State Police will report the number of outreach and education activities conducted, including educational speeches and presentations to industry groups and associations, court and law enforcement professionals, and the general public. The activities will be monitored on an ongoing basis and reported in the MCSAP Quarterly Reports. Progress toward achieving the performance objective for Public Education and Outreach will be evaluated and reported in the CVSP Annual Assessment prepared by ITSMR.

Performance Measure:

Number of conferences, training programs, and other educational outreach programs presented

*Some outreach activities conducted may fall under more than one category.

Part 2 Section 8 - State Safety Data Quality (SSDQ)
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The FAST Act allows MCSAP lead agencies to use MCSAP funds for Operations and Maintenance (O&M) costs associated with Safety Data Systems (SSDQ) if the State meets accuracy, completeness and timeliness measures regarding motor carrier safety data and participates in the national data correction system (DataQs).

SSDQ Compliance Status

Please verify the current level of compliance for your State in the table below using the drop-down menu. If the State plans to include O&M costs in this year's CVSP, select Yes. These expenses must be included in the Spending Plan section per the method these costs are handled in the State's accounting system (e.g., contractual costs, other costs, etc.).

Technology Program	Current Compliance Level	Include O & M Costs?
SSDQ	Good	No

Available data sources:

- [FMCSA website SSDQ information](#)

In the table below, use the drop-down menus to indicate the State's current rating within each of the State Safety Data Quality categories, and the State's goal for FY 2019 - 2021.

SSDQ Category	Current SSDQ Rating	Goal for FY 2019	Goal for FY 2020	Goal for FY 2021
Crash Record Completeness	Good	Good	Good	Good
Fatal Crash Completeness	Good	Good	Good	Good
Crash Timeliness	Good	Good	Good	Good
Crash Accuracy	Good	Good	Good	Good
Crash Consistency	No Flag	No Flag	No Flag	No Flag
Inspection Record Completeness	Good	Good	Good	Good
Inspection VIN Accuracy	Good	Good	Good	Good
Inspection Timeliness	Good	Good	Good	Good
Inspection Accuracy	Good	Good	Good	Good

Enter the date of the A & I Online data snapshot used for the "Current SSDQ Rating" column.

7/6/2018

Narrative Overview for FY 2019 - 2021

Problem Statement Narrative: Describe any issues encountered for any SSDQ category not rated as "Good" in the Current SSDQ Rating category column above (i.e., problems encountered, obstacles overcome, lessons learned, etc.). If the State is "Good" in all categories, no further narrative or explanation is necessary.

Program Activities for FY 2019 - 2021: Describe any actions that will be taken to achieve a "Good" rating in any category not currently rated as "Good," including measurable milestones.

Performance Measurements and Monitoring: Describe all performance measures that will be used and include how the State will conduct ongoing monitoring of progress in addition to quarterly SF-PPR reporting.

Part 2 Section 9 - New Entrant Safety Audits

The FAST Act states that conducting interstate New Entrant safety audits is now a requirement to participate in the MCSAP ([49 CFR 350.201](#).) The Act allows a State to conduct intrastate New Entrant safety audits at the State's discretion. States that choose to conduct intrastate safety audits must not negatively impact their interstate new entrant program.

Note: The FAST Act also says that a State or a third party may conduct New Entrant safety audits. If a State authorizes a third party to conduct safety audits on its behalf, the State must verify the quality of the work conducted and remains solely responsible for the management and oversight of the New Entrant activities.

Yes	No	Question
☐	☐	Does your State conduct Offsite safety audits in the New Entrant Web System (NEWS)? NEWS is the online system that carriers selected for an Offsite Safety Audit use to submit requested documents to FMCSA. Safety Auditors use this same system to review documents and communicate with the carrier about the Offsite Safety Audit.
☐	☐	Does your State conduct Group safety audits at non principal place of business locations?
☐	☐	Does your State intend to conduct intrastate safety audits and claim the expenses for reimbursement, state match, and/or Maintenance of Effort on the MCSAP Grant?

Trend Analysis for 2013 - 2017

In the table below, provide the number of New Entrant safety audits conducted in the past 5 years.

New Entrant Safety Audits	2013	2014	2015	2016	2017
Interstate	1201	1341	1339	1252	1305
Intrastate	0	0	0	0	0
Total Audits	1201	1341	1339	1252	1305

Note: Intrastate safety audits will not be reflected in any FMCSA data systems—totals must be derived from State data sources.

Narrative Overview for FY 2019 - 2021

Enter the agency name conducting New Entrant activities, if other than the Lead MCSAP Agency:

Program Goal: Reduce the number and severity of crashes, injuries, and fatalities involving commercial motor vehicles by reviewing interstate new entrant carriers. At the State's discretion, intrastate motor carriers are reviewed to ensure they have effective safety management programs.

Program Objective: Statutory time limits for processing and completing interstate safety audits are:

- If entry date into the New Entrant program (as shown in FMCSA data systems) September 30, 2013 or earlier—safety audit must be completed within 18 months.
- If entry date into the New Entrant program (as shown in FMCSA data systems) October 1, 2013 or later—safety audit must be completed within 12 months for all motor carriers and 120 days for motor carriers of passengers.

Projected Goals for FY 2019 - 2021

For the purpose of completing the table below:

- **Onsite safety audits** are conducted at the carrier's principal place of business.

- **Offsite safety audit** is a desktop review of a single New Entrant motor carrier's basic safety management controls and can be conducted from any location other than a motor carrier's place of business. Offsite audits are conducted by States that have completed the FMCSA New Entrant training for offsite audits.
- **Group audits** are neither an onsite nor offsite audit. Group audits are conducted on multiple carriers at an alternative location (i.e., hotel, border inspection station, State office, etc.).

Projected Goals for FY 2019 - 2021 - New Entrant Safety Audits						
	FY 2019		FY 2020		FY 2021	
Number of Safety Audits/Non-Audit Resolutions	Interstate	Intrastate	Interstate	Intrastate	Interstate	Intrastate
# of Safety Audits (Onsite)	300	0	300	0	300	0
# of Safety Audits (Offsite)	950	0	950	0	950	0
# Group Audits	0	0	0	0	0	0
TOTAL Safety Audits	1250	0	1250	0	1250	0
# of Non-Audit Resolutions	1220	0	1220	0	1220	0

Strategies: Describe the strategies that will be utilized to meet the program objective above. Provide any challenges or impediments foreseen that may prevent successful completion of the objective.

Strategies that will be utilized to complete safety audits (SAs) on New Entrant carriers within the required time period include the following:

Timely and accurate assigning of New Entrant carriers to Investigators for SAs

Monitoring by SA supervisory staff of assigned SAs to ensure the SAs are on schedule to meet time period requirements

Program Summary:

New York State has effectively delivered the New Entrant Safety Audit Program since its start and was one of the states that participated in the New Entrant Safety Audit Pilot Program, beginning in November 2012, during the development stages.

New York State has a diverse carrier population, which varies by region. In the downstate metro area, the majority of new entrant carriers are smaller operators and densely concentrated. Language, socio-economic, and cultural issues can be significant obstacles in contact attempts, scheduling, and performance of the audits. New Entrant carriers in the northeastern part of the state are often located long distances from each other and the auditor's location, resulting in more overtime and travel accommodations.

Periodically, New York assists with conducting New Entrant safety audits on Canadian carriers, at the request of FMCSA. This occurs if there is a large number of Canadian carriers approaching their New Entrant safety audit due date.

In general, around 2,500 New York based New Entrant carriers are removed from the MCMIS database annually through the completion of safety audits or operating status changes.

Activity Plan for FY 2019 - 2021: Include a description of the activities proposed to help achieve the objectives. If group audits are planned, include an estimate of the number of group audits.

In order to meet the objective of processing and completing SAs within the statutory time limits, NYSDOT will need to maintain a certain level of performance to keep up with the SAs as carriers enter the New Entrant SA Program.

Activities, which will support this plan include:

Conducting 300 onsite SAs in FFY 2019, FFY 2020, and FFY 2021

Conducting 950 offsite SAs in FFY 2019, FFY 2020, and FFY 2021

Completing 1,220 non-audit resolutions in FFY 2019, FFY 2020, and FFY 2021

Performance Measurement Plan: Describe how you will measure progress toward meeting the objective, such as quantifiable and measurable outputs (staffing, work hours, carrier contacts, inspections, etc.). The measure must include specific benchmarks to be reported on in the quarterly progress report, or as annual outputs.

In order to meet our program strategy activity of annually conducting approximately 300 onsite New Entrant SAs and 950 offsite New Entrant SAs in FFY 2019 - FFY 2021, our sub-goal is to conduct around 75 onsite and 237 offsite safety audits each quarter. To reach our program strategy activity of annually completing approximately 1,220 non-audit resolutions, our sub-goal is to complete around 305 per quarter.

New York State's progress will be tracked and reported on in the MCSAP quarterly reports, through the use of FMCSA's online New Entrant Web System (NEWS). Also, New York State will continue to work in cooperation with the New York FMCSA DAs office to find and tag carriers, who are approaching their due dates. Once these carriers are identified, the individual auditors, to whom the carriers are assigned, will be notified to expedite the completion of their safety audits. With these steps in place, New York State will be able to achieve its main goal and objective of assisting FMCSA in reducing the number of crashes and fatalities involving large trucks and commercial passenger carrier vehicles through the New Entrant Safety Audit Program process.

Part 2 Section 10 - Border Enforcement

The FAST Act affirms that States sharing a land border with another country will conduct a border commercial motor vehicle safety program focusing on international commerce, including enforcement and related projects ([49 CFR 350.201](#)). If a State sharing a land border with another country declines to engage in border related activities, it will forfeit all border enforcement funds the State is eligible to receive.

Trend Analysis for 2013 - 2017

In the table below, provide the number of inspections conducted in the past 5 years.

Inspection Types	2013	2014	2015	2016	2017
Level 1: Full	104	84	92	70	65
Level 2: Walk-Around	10968	10654	13108	8507	7979
Level 3: Driver-Only	1070	1728	1204	502	359
Level 4: Special Inspections	0	0	0	1	3
Level 5: Vehicle-Only				0	0
Level 6: Radioactive Materials	0	0	0	1	0
Total	12142	12466	14404	9081	8406

Narrative Overview for FY 2019 - 2021

☐ The State chooses not to engage in border enforcement activities in FY 2019 - 2021. If this box is checked, no additional narrative is necessary in this section.

Enter the Agency name conducting Border Enforcement activities if other than the Lead Agency: New York Division of State Police

Program Objectives: In addition to the primary goal of the program as stated below, a State must identify at least one of the following priority objectives as a focus within their border enforcement program to be considered for participating within this focus area.

Program Goal: Border States should conduct a border CMV safety program. The focus is on international commerce that includes enforcement and related projects, to ensure motor carriers and drivers operating CMVs (primarily those entering the United States from a foreign country) are in compliance with U.S. CMV safety standards and regulations, financial responsibility regulations, and registration requirements. It also ensures drivers of those vehicles are qualified and properly licensed to operate a CMV in the U.S.

Check all objectives that apply (minimum of 1):

☒ **Objective 1: International Motorcoach Inspections** - Facilitate the conducting of inspections of motorcoaches engaged in international commerce at bus stations, terminals, border crossings, maintenance facilities, destination locations, or other locations where a motor carrier may make a planned stop (excluding a weigh station). For FY 2018, FMCSA encourages States to examine their data on international motorcoach activity and use that data to establish reasonable goals that will result in an appropriate level of motorcoach-focused activities. States must justify the goals set and provide the data or data source references.

☒ **Objective 2: High Crash Corridor Enforcement Focused on International Commerce** - Conduct international commerce CMV enforcement activities (inspections and traffic enforcement) within corridors where the data indicate that there are a high number of crashes involving vehicles engaged in international commerce.

☒ **Objective 3: International Commerce CMV Inspections at Remote Border Sites Away from Border Crossings** - Conduct international commerce CMV safety inspections at identified sites where known international commerce activity occurs near the Canadian and Mexican borders but where there is no

official border crossing facility. Site(s) must be identified in the narrative below and describe how far these locations are from the nearest official border crossing facility, if any.

Projected Goals for FY 2019 - 2021

Summarize projected border enforcement activities in the table below.

Note: All non-international commerce inspections conducted should be included in the Driver Vehicle Inspections section of the CVSP, and not be indicated as BEG inspections on the inspection report which is uploaded into ASPEN

Projected Goals for FY 2019 - 2021 - Border Enforcement			
	FY 2019	FY 2020	FY 2021
Number of International Commerce Regular CMV	7200	7300	7400
Number of International Commerce HM	250	300	350
Number of International Commerce Passenger	250	300	350
Total International Commerce Inspections	7700	7900	8100
Number of Fixed Facility International Inspections	0	0	0
Number of Non-Fixed Facility International Inspections	7700	7900	8100
Traffic Enforcement	1000	1000	1000
Strike Force Activities (CMVs)	24	24	24
Strike Force Activities (Passenger CMVs)	3	3	3

Strategies: Include a description of the strategies that will be utilized to meet the program objective(s) above. The applicant must include any challenges or impediments foreseen.

The New York State Police divides the State into 11 distinct geographical areas called Troops. Three Troops (Troop A, Troop B, and Troop D) contain, at a minimum, one international border crossing.

In FY 2019, eight enforcement details will be conducted in each of the three border troops, for a total of 24 details. Each detail will run for a minimum of 72 continuous hours. There will be 15 hours of overtime per 72 hour detail authorized for each CVEU member assigned.

Each detail will run for 3 continuous days with each CVEU member working a total of 39 hours in the 3 day detail. The Division only bills the grant for 15 hours of overtime per member, as well as the lodging costs and per diem. The remaining 24 hours of straight time is not billed to the grant and is covered by the Division of State Police.

To accomplish these specialized activities, the need for allocations to cover overtime, as well as travel expenses, will be necessary. These details will be conducted at or in close proximity to land border crossings. Locations in proximity to both heavily congested border crossings and those in proximity to the more remote crossings, will be utilized. All personnel assigned to these specialized border details will be NASTI Level 1, general hazmat, and cargo tank certified inspectors.

The New York State Police anticipates conducting a minimum of 7,700 safety inspections as part of the FFY 2019 Border Enforcement goals. In an effort to maximize the number of commercial vehicle driver contacts, CVEU members will focus on conducting CVSA Level 2 inspections. It is anticipated that approximately 95% of the total inspections conducted will be CVSA Level 2. The enforcement efforts will be conducted at or in close proximity to an international land border crossing to target international motor carriers and to verify their compliance with U.S. federal and state highway safety regulations. The NYSP estimates that at least 65% of the total inspections conducted as part of the Border Enforcement activities will qualify as being conducted on an international shipment.

The Division of State Police has also incorporated a bus safety component into the implementation strategy to ensure members are assigned to conduct bus/motor coach inspections throughout the details. In addition, the bus safety component of the details has been extended beyond the 72 hour Border Details to capture the increased bus traffic on Fridays and Saturdays at international border crossings.

Due to current federal restrictions on conducting in-transit inspections of passenger carrying vehicles, bus/motor coach inspections will not be possible at detail locations that are not physically at a border crossing.

In an effort to conduct a minimum of five percent of all Border Enforcement inspections on buses/motor coaches, the New York State Police will designate individuals during each detail to work at border crossings and to focus on bus/motor coach inspections. These members will work during the normal border detail dates, which are typically Tuesday through Thursday.

Although an overwhelming majority of the members assigned to the detail will be assigned to cover the day and overnight shifts for that time period to inspect trucks, additional assignments will also be made on dates in conjunction with the specific enforcement details as necessary, with a specific focus on inspecting buses at actual border crossings. This additional focus should result in the goal of 5% bus/motor coach inspections being met. In the event the federal restriction against in-transit inspections of passenger carrying vehicles is rescinded during the life of the grant, modifications will be made to ensure the greatest number of inspections possible are conducted on passenger carrying vehicles. At minimum, the Division of State Police projects conducting a total of 250 inspections on motor coaches as part of the FFY 2019 Border Enforcement activities.

Activity Plan for FY 2019 - 2021: Describe the specific activities planned to reach border enforcement goals.

Under the Border Enforcement activities, 7,700 international commerce inspections will be conducted at non-fixed facilities. Of the 7,700 inspections, there are 250 hazmat, 250 passenger, and 7,200 regular CMV inspections planned. Of the eight Border Enforcement details, one will focus specifically on conducting passenger vehicle inspections on international motor coaches at three major US points of entry. The Border Enforcement details are conducted on I-87, I-81, and I-190, in the vicinity of the US points of entry. These enforcement corridors are the primary points of entry for international commerce entering and exiting the US.

The NY Division of State Police conducts its Border Enforcement details at the following locations:

I-87 Northbound and Southbound -

Beekmantown, 9 miles south of the Champlain point of entry

Peru, 28 miles south of the point of entry

I-81 Northbound and Southbound -

Watertown, 10 miles south of the Thousand Island port of entry

I-190 Northbound and Southbound -

Niagara, 2 miles south of the Lewiston point of entry

Performance Measurement Plan: Describe how you will measure progress toward the performance objective goal, to include quantifiable and measurable outputs (work hours, carrier contacts, inspections, etc.) and in terms of performance outcomes. The measure must include specific benchmarks that can be reported on in the quarterly progress report, or as annual outcomes.

Each commercial motor vehicle inspection conducted will be documented and collected on laptop computers through the TRACS Inspection software. To properly track the inspections that are conducted as part of the FFY 2019 Border Enforcement activities, a field was added to the TRACS inspection report that enables CVEU members, assigned to one of the Border Enforcement details, to flag the inspection report as being a qualifying inspection. This field allows the New York State Police to separate the inspection reports that are conducted as part of the FFY 2019 Border Enforcement activities from those that are conducted as part of our normal enforcement efforts. A second field was added to the TRACS Inspection Report, which allows CVEU members to flag those inspections that qualify as an international shipment. A separate Border Enforcement activities report has also been designed in TRACS, which will provide CVEU supervisors with information necessary to properly monitor Border Enforcement activity and make staffing and location adjustments as necessary to ensure our projected goals are being met. The New York State Police will utilize the data from the TRACS Report to prepare and submit a report on a quarterly basis outlining program activity in the previous reporting period.

Although the Division of State Police does not utilize ASPEN, the TRACS software currently has the ability to capture the required data for ASPEN fields. The Division can clearly decipher and run reports on Border Enforcement inspections, as well as identify those inspections that qualify as international commerce.

To ensure projection measures, the following data will be tracked quarterly:

Level 1 Inspections

Level 2 Inspections

Level 3 Inspections

Total # of Inspections Conducted (Each driver will be checked through CDLIS or NLETS, and each carrier will be verified through Query Central.)

of International Inspections Conducted

% of Inspections qualifying as International Shipment

of violations on international carriers

"Off Peak" Inspections

Hazmat Inspections

Driver OOS Violations

Vehicle OOS Violations

Total Violations

Part 3 - National Emphasis Areas and State Specific Objectives

FMCSA establishes annual national priorities (emphasis areas) based on emerging or continuing issues, and will evaluate CVSPs in consideration of these national priorities. Part 3 allows States to address the national emphasis areas/priorities outlined in the MCSAP CVSP Planning Memorandum and any State-specific objectives as necessary. Specific goals and activities must be projected for the three fiscal year period (FYs 2019 - 2021).

Part 3 Section 1 - Enforcement of Federal OOS Orders during Roadside Activities**Instructions:**

FMCSA has established an Out-of-Service (OOS) catch rate of 85 percent for carriers operating while under an OOS order. In this part, States will indicate their catch rate is at least 85 percent by using the check box or completing the problem statement portion below.

Check this box if:

As evidenced by the data provided by FMCSA, the State identifies at least 85 percent of carriers operating under a Federal OOS order during roadside enforcement activities and will not establish a specific reduction goal. However, the State will maintain effective enforcement of Federal OOS orders during roadside inspections and traffic enforcement activities.

Part 3 Section 2 - Passenger Carrier Enforcement

Instructions:

FMCSA requests that States conduct enhanced investigations for motor carriers of passengers and other high risk carriers. Additionally, States are asked to allocate resources to participate in the enhanced investigations training being offered by FMCSA. Finally, States are asked to continue partnering with FMCSA in conducting enhanced investigations and inspections at carrier locations.

Check this box if:

☐ As evidenced by the trend analysis data, the State has not identified a significant passenger transportation safety problem. Therefore, the State will not establish a specific passenger transportation goal in the current fiscal year. However, the State will continue to enforce the Federal Motor Carrier Safety Regulations (FMCSRs) pertaining to passenger transportation by CMVs in a manner consistent with the [MCSAP Comprehensive Policy](#) as described either below or in the roadside inspection section.

Narrative Overview for FY 2019 - 2021

Problem Statement Narrative: Describe the problem as identified by performance data and include the baseline data.

Fatal and personal injury crashes involving buses were on a downward trend between 2013 and 2015, declining from 449 to 403. Due to the implementation of a new electronic data transmission system in New York City that has resulted in major improvements in both the timeliness and the completeness of crash data, the 2016 and preliminary 2017 data show a substantial increase in crashes involving buses. In particular, the reported number of personal injury bus crashes increased from 374 in 2015 to 699 in 2016 and 841 in 2017 due to the reporting changes. Consequently, the data for 2016 and 2017 are not comparable to earlier years.

Fatal crashes involving buses have consistently been reported in a more timely manner and are a more accurate indication of the trend over time. After decreasing from 29 in 2014 and 2015 to 14 in 2016, the preliminary 2017 data (6/15/2018 capture date) indicate that fatal bus crashes increased by three to 17.

Low fare or curbside operations that provide service to popular destinations such as tourist attractions, casinos, major shopping centers, and prisons continue to be a concern. In 2016 and 2017, the largest proportion of fatal and personal injury bus crashes occurred in MCSAP Region-11-New York City (52% and 56%, respectively), followed by Region 10-Hauppauge (14% and 13%, respectively). The smallest proportion of fatal and personal injury bus crashes occurred in Region 1-Albany (5% in 2016 and 2017).

Source: NYS SAFETYNET/NGA System, capture date 6/15/2018

Projected Goals for FY 2019 - 2021: Enter the performance goal for the three year CVSP period for the State's passenger carrier enforcement initiative. Annual passenger carrier enforcement benchmarks for FY 2019, 2020 and 2021 must also be included.

The following performance goals have been set for passenger carrier safety for FFY 2019-2021:

Reduce the number of fatal crashes involving buses to 16 in 2019, 15 in 2020, and 14 in 2021.

Source: NYS SAFETYNET/NGA System, capture date 6/15/2018

Program Activities for FY 2019 - 2021: Provide additional information regarding how these activities will be implemented.

Motorcoach/Bus Safety Enforcement Details: In addition to increasing routine bus inspections across the state, NYSDOT, local police agencies, and the State Police will conduct special bus safety strikeforce details focusing on locations in the MCSAP Regions with high volumes of bus/motorcoach traffic and origin/destination locations, such as tourist attractions. Over the three-year period, FFY 2019-2021, NYSDOT will annually schedule one motorcoach inspection detail per month during the week and one additional detail on a weekend or holiday in MCSAP Regions 1

and 3. Two weekday and two weekend or off hours details will be conducted in Region 11. In Regions 5, 8, and 10, NYSDOT will schedule a minimum of two motorcoach inspection details per month during the week and up to two details per month on a weekend or holiday. The State Police and local police will participate in conducting the details. TIM Troopers will patrol known bus routes and conduct Level 3 inspections or take other enforcement action when warranted. NYSDOT Investigators will also partner with FMCSA in conducting Enhanced Investigations and inspections at carrier locations in conjunction with completing federal compliance reviews.

Performance Measurements and Monitoring: Describe all performance measures and how the State will conduct ongoing monitoring of progress in addition to quarterly SF-PPR reporting.

Number of Fatal Crashes Involving Buses is the performance measure that will be used to monitor progress toward the performance objective for Passenger Carrier Enforcement.

Monitoring and Evaluation:

The Institute for Traffic Safety Management and Research (ITSMR) will extract preliminary data on fatal crashes involving buses from New York's SAFETYNET/NGA system on a quarterly basis to track the measure throughout the year. These preliminary numbers will be reported in the MCSAP Quarterly Reports. Once the data for the calendar year are finalized, the progress made toward the goal will be evaluated and reported in the state's CVSP Annual Assessment Report prepared by ITSMR.

Part 3 Section 3 - State Specific Objectives – Past

Instructions:

Describe any State-specific CMV problems that were addressed with FY2018 MCSAP funding. Some examples may include hazardous materials objectives, Electronic Logging Device (ELD) implementation, and crash reduction for a specific segment of industry, etc. Report below on year-to-date progress on each State-specific objective identified in the FY 2018 CVSP.

Progress Report on State Specific Objectives(s) from the FY 2018 CVSP

Please enter information to describe the year-to-date progress on any State-specific objective(s) identified in the State's FY 2018 CVSP. Click on "Add New Activity" to enter progress information on each State-specific objective.

Activity #1

Activity: Describe State-specific activity conducted from previous year's CVSP.

During roadside inspections, NYSDOT will collect data and report on all carriers, who violate 396.9(c)(2) of 49 FMCSR. The data will be reviewed to determine if federal carrier interventions are applicable in these cases; if applicable, federally-certified NYSDOT personnel will conduct investigations. Other carriers will be subject to intrastate review, data collection, and education/technical assistance.

Goal: Insert goal from previous year CVSP (#, %, etc., as appropriate).

In FFY 2018, take action on a minimum of 85% of those New York domiciled motor carriers with 396.9(c)(2) violations, who are identified through investigations.

Actual: Insert year to date progress (#, %, etc., as appropriate).

In the first two quarters of FFY 2018, 100% (12 out of 12) of the New York domiciled motor carriers with 396.9(c)(2) violations, who were identified through investigations, received follow-up action by NYSDOT. New York is on track to exceed the goal of taking action on a minimum of 85% of the violators identified.

Narrative: Describe any difficulties achieving the goal, problems encountered, obstacles overcome, lessons learned, etc.

Activity #2

Activity: Describe State-specific activity conducted from previous year's CVSP.

A risk-based process will be used to identify carriers, who have been issued out-of-service vehicle violations and have failed to return three or more DVERs. These carriers will be identified for intervention and follow-up in the form of state compliance reviews and sometimes, Notices of Violation and Repair Verifications.

Goal: Insert goal from previous year CVSP (#, %, etc., as appropriate).

In FFY 2018, take action and conduct state compliance reviews on 90 New York State domiciled carriers, who have been issued out-of-service vehicle violations and have not returned three or more DVERs certifying that the defects have been corrected.

Actual: Insert year to date progress (#, %, etc., as appropriate).

In the first two quarters of FFY 2018, a total of 71 New York State domiciled carriers with OOS violations and three or more unreturned DVERs were identified and subjected to state compliance reviews. This indicates that New York is on track to exceed the goal of 90 set for FFY 2018.

Narrative: Describe any difficulties achieving the goal, problems encountered, obstacles overcome, lessons learned, etc.

Activity #3

Activity: Describe State-specific activity conducted from previous year's CVSP.

For-hire household goods (HHG) and passenger carriers, who apply for operating authority from NYSDOT, are subject to enhanced pre-authority compliance reviews. These reviews are primarily informational. The carrier's operations to date (if any) are reviewed, and information on applicable safety regulations is provided.

Goal: Insert goal from previous year CVSP (#, %, etc., as appropriate).

Conduct 140 pre-authority reviews on HHG and passenger carriers in FFY 2018.

Actual: Insert year to date progress (#, %, etc., as appropriate).

In the first two quarters of FFY 2018, it was reported that a total of 104 pre-authority reviews were conducted on HHG and passenger carriers between July and December 2017. New York will likely exceed the goal of 140 pre-authority reviews set for FFY 2018.

Narrative: Describe any difficulties achieving the goal, problems encountered, obstacles overcome, lessons learned, etc.**Activity #4****Activity: Describe State-specific activity conducted from previous year's CVSP.**

Four additional screening sites with the capability of collecting data from commercial motor vehicles are scheduled to be launched in FFY 2018. Based on carrier information collected on commercial motor vehicles through these four screening sites, additional interventions can be taken, which can include an inspection.

Goal: Insert goal from previous year CVSP (#, %, etc., as appropriate).

Screen and collect data on 5,000 commercial motor vehicles at the four additional screening sites launched in FFY 2018, in an effort to both identify carriers in need of safety intervention and provide it.

Actual: Insert year to date progress (#, %, etc., as appropriate).

To date, commercial vehicle data is being collected from operating lanes at the four screening sites, and work is ongoing to ensure carriers, who are identified as needing safety intervention, such as an inspection, receive the necessary intervention. Due to IT-related delays in providing the State Police with reliable access to the Statewide screening network, there is no intervention resulting from the collection of this data to report for the first two quarters of FFY 2018.

Narrative: Describe any difficulties achieving the goal, problems encountered, obstacles overcome, lessons learned, etc.

As stated previously, due to delays related to IT providing the State Police with reliable access to the Statewide screening network, there are no interventions resulting from the collection of this data to report for the first two quarters of FFY 2018. It is anticipated that the State Police will have the proper access by October 2018, at which time they will have the ability to focus their limited resources and attention on carriers identified through the screening process as needing intervention.

Activity #5**Activity: Describe State-specific activity conducted from previous year's CVSP.**

Queries will be run on inspection data to identify inspections of NYS domiciled carriers where certain out-of-service vehicle defects were cited. Once identified, NYSDOT Motor Vehicle Inspectors will attempt to conduct repair verifications on the carriers. If additional intervention is warranted, NYSDOT may conduct a follow-up state review on the carrier.

Goal: Insert goal from previous year CVSP (#, %, etc., as appropriate).

Conduct repair verifications on 5% of NYS domiciled carriers with out-of-service vehicle defect inspection reports. The repair verifications will focus primarily on those with the most serious equipment violations.

Actual: Insert year to date progress (#, %, etc., as appropriate).

In the first two quarters of FFY 2018, repair verifications were conducted on 244 of the 6,059 NYS domiciled carriers

with out-of-service vehicle defect inspection reports, representing 4% of those carriers. Based on the activity during the first two quarters, New York is slightly below the goal of conducting repair verifications on 5% of the NYS domiciled carriers with out-of-service vehicle defect inspection reports.

Narrative: Describe any difficulties achieving the goal, problems encountered, obstacles overcome, lessons learned, etc.

Part 3 Section 4 - State Specific Objectives – Future

Instructions:

The State may include additional objectives from the national priorities or emphasis areas identified in the MCSAP CVSP Planning Memorandum as applicable. In addition, the State may include any State-specific CMV problems identified in the State that will be addressed with MCSAP funding. Some examples may include hazardous materials objectives, Electronic Logging Device (ELD) implementation, and crash reduction for a specific segment of industry, etc.

Describe any State-specific objective(s) identified for FY 2019 - 2021. Click on "Add New Activity" to enter information on each State-specific objective. This is an optional section and only required if a State has identified a specific State problem planned to be addressed with grant funding.

State Objective #1

Enter the title of your State-Identified Objective.

Respond to Carriers, Who Fail to Correct Defects Cited in Roadside Inspections

Narrative Overview for FY 2019 - 2021

Problem Statement Narrative: Describe problem identified by performance data including baseline data.

Through its monitoring efforts, New York has identified carriers, who continually violate the requirement to correct previously cited defects discovered during roadside inspections, prior to continuing operations (49 CFR 396.9(c)(2)). By continuing to operate without correcting the defects that have been cited, these carriers pose a major threat to safety on the state's roadways. Carriers, who fail to comply with federal regulations regarding the correction of defects, are subject to CSA intervention by federally-certified NYSDOT Investigators. Other carriers are subject to intrastate review and action by NYSDOT. New York included a State Specific Objective in the FFY 2016, FFY 2017, and FFY 2018 CVSPs to increase the percentage of intrastate carriers identified as having failed to correct previously cited defects, who receive follow-up action from NYSDOT. The activities undertaken to address this issue are proving to be successful and will continue in FFY 2019. In the first two quarters of FFY 2018, it was reported that 100% (12 out of 12) of the New York domiciled carriers identified through investigations, were recipients of follow-up action by NYSDOT.

Projected Goals for FY 2019 - 2021:

Enter performance goal.

In FFY 2019-FFY 2021, take action on a minimum of 88% of those New York domiciled motor carriers with 396.9(c)(2) violations, who are identified through investigations.

Program Activities for FY 2019 - 2021: Describe the activities that will be implemented including level of effort.

During roadside inspections, NYSDOT will collect data and report on all carriers, who violate 396.9(c)(2) of 49 FMCSR. The data will be reviewed to determine if federal carrier interventions are applicable in these cases; if applicable, federally-certified NYSDOT personnel will conduct investigations. Other carriers will be subject to intrastate review, data collection, and education/technical assistance.

Performance Measurements and Monitoring: Describe all performance measures and how the State will conduct ongoing monitoring of progress in addition to quarterly SF-PPR reporting.

Performance Measure: Percentage of New York domiciled motor carriers identified through investigations to have 396.9(c)(2) violations, who are the recipients of follow-up action by NYSDOT. Ongoing monitoring will be conducted on a quarterly basis. Inspection data from New York's SAFETYNET system will be queried to identify carriers, who have violated 396.9 (c)(2). Motor carriers, who failed to correct defects noted during roadside inspections, will be flagged for intervention and follow-up action in the form of

federal compliance reviews and sometimes, Notices of Violation. This will be reported on in the quarterly reports submitted to FMCSA. It should be noted that there is a two quarter lag in data reporting due to the length of the process.

State Objective #2

Enter the title of your State-Identified Objective.

Enforcement for Carriers with Unreturned Driver Vehicle Examination Reports (DVERs)

Narrative Overview for FY 2019 - 2021

Problem Statement Narrative: Describe problem identified by performance data including baseline data.

Through its monitoring efforts and review of inspection data, New York has identified NYS domiciled carriers with out-of-service violations, who failed to return Driver Vehicle Examination Reports (DVERs) certifying that the previously cited defects were corrected, prior to continuing operations. Interventions are needed to improve compliance with 49 CFR 396.9. This issue was included as a State-Specific Objective in the FFY 2017 and FFY 2018 CVSPs, and efforts to address this issue will continue in FFYs 2019-2021. In the first two quarters of FFY 2018, it was reported that a total of 71 NYS domiciled carriers with out-of-service vehicle violations, who failed to return three or more DVERs, received intrastate compliance reviews. It should be noted that there is a one quarter lag in data reporting due to the length of the process.

Projected Goals for FY 2019 - 2021:

Enter performance goal.

In FFY 2019-2021, take action and conduct state compliance reviews annually on 95 New York State domiciled carriers, who have been issued out-of-service vehicle violations and have not returned three or more DVERs certifying that the defects have been corrected.

Program Activities for FY 2019 - 2021: Describe the activities that will be implemented including level of effort.

The risk-based process will be used to identify carriers, who have been issued out-of-service-violations and have failed to return three or more DVERs. These carriers will be identified for intervention and follow-up in the form of state compliance reviews and sometimes, Notices of Violation and Repair Verifications.

Performance Measurements and Monitoring: Describe all performance measures and how the State will conduct ongoing monitoring of progress in addition to quarterly SF-PPR reporting.

Performance Measure: Number of NYS domiciled carriers with out-of-service vehicle violations and three or more unreturned DVERs, who receive state compliance reviews. Ongoing monitoring will be conducted on a quarterly basis. Inspection data from New York's SAFETYNET system will be queried to identify carriers, who have violated 49 CFR 396.9; these carriers will be flagged for intervention and follow-up. The status of this activity will be reported on in the quarterly reports submitted to FMCSA. The reporting on this activity will lag by about a quarter due to the amount of time it takes for the reviews that are performed to be approved and uploaded to the state review system.

State Objective #3

Enter the title of your State-Identified Objective.

Use Data Collected Through the Four Latest Launched Screening Sites to Identify Carriers in Need of Intervention

Narrative Overview for FY 2019 - 2021

Problem Statement Narrative: Describe problem identified by performance data including baseline data.

While random roadside inspections can identify carriers with vehicle and driver violations,

which have a negative impact on safety, it is important to find other methods that can enhance this effort, by identifying additional such carriers. An additional four screening sites have been launched, and commercial vehicle data is being collected from operating lanes at the sites.

Projected Goals for FY 2019 - 2021:

Enter performance goal.

In FFY 2019-2021, screen and collect data on 5,000 commercial motor vehicles at the four additional screening sites launched, in an effort to both identify carriers in need of safety intervention and provide it.

Program Activities for FY 2019 - 2021: Describe the activities that will be implemented including level of effort.

Based on the carrier information collected on commercial motor vehicles through the screening sites, additional interventions can be taken, which can include an inspection.

Performance Measurements and Monitoring: Describe all performance measures and how the State will conduct ongoing monitoring of progress in addition to quarterly SF-PPR reporting.

Performance Measure: Number of carriers identified as needing safety intervention, such as an inspection, that receive intervention. NYSDOT will utilize SAFETYNET to track inspections conducted at the four screening sites. NYSDOT will also maintain information on carriers provided with additional interventions. This will be monitored on a quarterly basis.

State Objective #4

Enter the title of your State-Identified Objective.

Conduct Repair Verifications at Inspection Sites for Certain Out-Of-Service Vehicle Defects When Plausible (NYSDOT included this objective in the eCVSP because it supplements the other program goals)

Narrative Overview for FY 2019 - 2021

Problem Statement Narrative: Describe problem identified by performance data including baseline data.

Until recently, there were no repair verifications for out-of-service vehicle defects conducted at inspection sites. Repair verifications were attempted at a later time, often resulting in additional man hours and sometimes, travel costs to go to carriers' places of business. By implementing a policy to conduct repair verifications for certain out-of-service vehicle defects at inspection sites, productivity and funding can be saved and utilized for conducting additional safety initiatives.

Projected Goals for FY 2019 - 2021:

Enter performance goal.

On an annual basis, conduct repair verifications at inspection sites on 400 NYS domiciled carriers with out-of-service vehicle defect inspection reports. These repair verifications will be conducted on vehicle defects that can be verified as repaired onsite.

Program Activities for FY 2019 - 2021: Describe the activities that will be implemented including level of effort.

Conduct repair verifications at inspection sites on NYS domiciled carriers with out-of-service vehicle defects that can be verified onsite.

Performance Measurements and Monitoring: Describe all performance measures and how the State will conduct ongoing monitoring of progress in addition to quarterly SF-PPR reporting.

Performance Measure: Number of repair verifications conducted onsite on NYS domiciled carriers with out-of-service vehicle defect inspection reports. NYSDOT will report this information in the quarterly reports submitted to FMCSA.

Part 4 - Financial Information

Part 4 Section 1 - Overview

The Spending Plan is an explanation of each budget component, and should support the cost estimates for the proposed work. The Spending Plan should focus on how each item will achieve the proposed project goals and objectives, and explain how costs are calculated. The Spending Plan must be clear, specific, detailed, and mathematically correct. Sources for assistance in developing the Spending Plan include [2 CFR part 200](#), [2 CFR part 1201](#), [49 CFR part 350](#) and the [MCSAP Comprehensive Policy](#).

Before any cost is billed to or recovered from a Federal award, it must be allowable ([2 CFR §200.403](#), [2 CFR §200 Subpart E – Cost Principles](#)), reasonable and necessary ([2 CFR §200.403](#) and [2 CFR §200.404](#)), and allocable ([2 CFR §200.405](#)).

- **Allowable** costs are permissible under the OMB Uniform Guidance, DOT and FMCSA regulations and directives, MCSAP policy, and all other relevant legal and regulatory authority.
- **Reasonable and Necessary** costs are those which a prudent person would deem to be judicious under the circumstances.
- **Allocable** costs are those that are charged to a funding source (e.g., a Federal award) based upon the benefit received by the funding source. Benefit received must be tangible and measurable.
 - For example, a Federal project that uses 5,000 square feet of a rented 20,000 square foot facility may charge 25 percent of the total rental cost.

Instructions

The Spending Plan should include costs for FY 2019 only. This applies to States completing a multi-year CVSP or an Annual Update to their multi-year CVSP.

The Spending Plan data tables are displayed by budget category (Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual and Subaward, and Other Costs). You may add additional lines to each table, as necessary. Please include clear, concise explanations in the narrative boxes regarding the reason for each cost, how costs are calculated, why they are necessary, and specific information on how prorated costs were determined.

The following definitions describe Spending Plan terminology.

- **Federal Share** means the portion of the total project costs paid by Federal funds. Federal share is 85 percent of the total project costs for this FMCSA grant program.
- **State Share** means the portion of the total project costs paid by State funds. State share is 15 percent of the total project costs for this FMCSA grant program. A State is only required to contribute up to 15 percent of the total project costs of all budget categories combined as State share. A State is NOT required to include a 15 percent State share for each line item in a budget category. The State has the flexibility to select the budget categories and line items where State match will be shown.
- **Total Project Costs** means total allowable costs incurred under a Federal award and all required cost sharing (sum of the Federal share plus State share), including third party contributions.
- **Maintenance of Effort (MOE)** means the level of effort Lead State Agencies are required to maintain each fiscal year in accordance with [49 CFR § 350.301](#). The State has the flexibility to select the budget categories and line items where MOE will be shown. Additional information regarding MOE can be found in the MCSAP Comprehensive Policy (MCP) in section 3.6.

On Screen Messages

The system performs a number of edit checks on Spending Plan data inputs to ensure calculations are correct, and values are as expected. When anomalies are detected, alerts will be displayed on screen.

- Calculation of Federal and State Shares

Total Project Costs are determined for each line based upon user-entered data and a specific budget category formula. Federal and State shares are then calculated by the system based upon the Total Project Costs and are added to each line item.

The system calculates an 85 percent Federal share and 15 percent State share automatically and populates these values in each line. Federal share is the product of Total Project Costs x .85. State share equals Total Project Costs minus Federal share. If Total Project Costs are updated based upon user edits to the input values, the 85 and 15 percent values will not be recalculated by the system and should be reviewed and updated by users as necessary.

States may edit the system-calculated Federal and State share values at any time to reflect actual allocation for any line item. For example, States may allocate a different percentage to Federal and State shares. States must ensure that the sum of the Federal and State shares equals the Total Project Costs for each line before proceeding to the next budget category.

An error is shown on line items where Total Project Costs does not equal the sum of the Federal and State shares. Errors must be resolved before the system will allow users to 'save' or 'add' new line items.

Territories must insure that Total Project Costs equal Federal share for each line in order to proceed.

- **MOE Expenditures**

States may enter MOE on individual line items in the Spending Plan tables. The Personnel, Fringe Benefits, Equipment, Supplies, and Other Costs budget activity areas include edit checks on each line item preventing MOE costs from exceeding allowable amounts.

- If "Percentage of Time on MCSAP grant" equals 100%, then MOE must equal \$0.00.
- If "Percentage of Time on MCSAP grant" equals 0%, then MOE may equal up to Total Project Costs as expected at 100%.
- If "Percentage of Time on MCSAP grant" > 0% AND < 100%, then the MOE maximum value cannot exceed "100% Total Project Costs" minus "system-calculated Total Project Costs".

An error is shown on line items where MOE expenditures are too high. Errors must be resolved before the system will allow users to 'save' or 'add' new line items.

The Travel and Contractual budget activity areas do not include edit checks for MOE costs on each line item. States should review all entries to ensure costs reflect estimated expenditures.

- **Financial Summary**

The Financial Summary is a summary of all budget categories. The system provides warnings to the States on this page if the projected State Spending Plan totals are outside FMCSA's estimated funding amounts. States should review any warning messages that appear on this page and address them prior to submitting the eCVSP for FMCSA review.

The system will confirm that:

- Overtime value does not exceed the FMCSA limit.
- Planned MOE Costs equal or exceed FMCSA limit.
- States' proposed Federal and State share totals are each within \$5 of FMCSA's Federal and State share estimated amounts.
- Territories' proposed Total Project Costs are within \$5 of \$350,000.

ESTIMATED Fiscal Year Funding Amounts for MCSAP			
	85% Federal Share	15% State Share	Total Estimated Funding
Total	\$13,213,408.00	\$2,329,949.00	\$15,543,357.00

Summary of MCSAP Funding Limitations	
Allowable amount for Overtime without written justification (15% of MCSAP Award Amount):	\$2,329,949.00
MOE Baseline:	\$272,429.65

Part 4 Section 2 - Personnel

Personnel costs are salaries for employees working directly on a project.

Note: Do not include any personally identifiable information (PII) in the CVSP. The final CVSP approved by FMCSA is required to be posted to a public FMCSA website.

List grant-funded staff who will complete the tasks discussed in the narrative descriptive sections of the CVSP. Positions may be listed by title or function. It is not necessary to list all individual personnel separately by line. The State may use average or actual salary and wages by personnel category (e.g., Trooper, Civilian Inspector, Admin Support, etc.). Additional lines may be added as necessary to capture all your personnel costs.

The percent of each person's time must be allocated to this project based on the amount of time/effort applied to the project. For budgeting purposes, historical data is an acceptable basis.

Note: Reimbursement requests must be based upon documented time and effort reports. Those same time and effort reports may be used to estimate salary expenses for a future period. For example, a MCSAP officer's time and effort reports for the previous year show that he/she spent 35 percent of his/her time on approved grant activities. Consequently, it is reasonable to budget 35 percent of the officer's salary to this project. For more information on this item see [2 CFR §200.430](#).

In the salary column, enter the salary for each position.

Total Project Costs equal the Number of Staff x Percentage of Time on MCSAP grant x Salary for both Personnel and Overtime (OT).

If OT will be charged to the grant, only OT amounts for the Lead MCSAP Agency should be included in the table below. If the OT amount requested is greater than the 15 percent limitation in the MCSAP Comprehensive Policy (MCP), then justification must be provided in the CVSP for review and approval by FMCSA headquarters.

Activities conducted on OT by subrecipients under subawards from the Lead MCSAP Agency must comply with the 15 percent limitation as provided in the MCP. Any deviation from the 15 percent limitation must be approved by the Lead MCSAP Agency for the subrecipients.

Summary of MCSAP Funding Limitations	
Allowable amount for Lead MCSAP Agency Overtime without written justification (15% of MCSAP Award Amount):	\$2,329,949.00

Personnel: Salary and Overtime Project Costs							
Salary Project Costs							
Position(s)	# of Staff	% of Time on MCSAP Grant	Salary	Total Project Costs (Federal + State)	Federal Share	State Share	MOE
Motor Carrier Investigators (MCI)	27	60.0000	\$55,000.00	\$891,000.00	\$757,350.00	\$133,650.00	\$0.00
Supervising Motor Carrier Investigators (SMCIs)	7	55.0000	\$70,000.00	\$269,500.00	\$229,075.00	\$40,425.00	\$0.00
Motor Vehicle Inspectors (MVIs)	32	100.0000	\$54,000.00	\$1,728,000.00	\$1,468,800.00	\$259,200.00	\$0.00
Supervising Motor Vehicle Inspectors (SMVIs)	4	100.0000	\$70,000.00	\$280,000.00	\$238,000.00	\$42,000.00	\$0.00
Administrative Assistant	1	80.0000	\$68,000.00	\$54,400.00	\$46,240.00	\$8,160.00	\$0.00
Intermodal Transportation Specialist 2	1	60.0000	\$83,000.00	\$49,800.00	\$42,330.00	\$7,470.00	\$0.00
Office Assistant 1	1	100.0000	\$38,000.00	\$38,000.00	\$32,300.00	\$5,700.00	\$0.00
Transportation Analyst	1	90.0000	\$72,000.00	\$64,800.00	\$55,080.00	\$9,720.00	\$0.00
Secretary 1	1	13.0000	\$55,000.00	\$7,150.00	\$6,077.50	\$1,072.50	\$0.00
Intermodal Transportation Specialist 2	1	100.0000	\$83,000.00	\$83,000.00	\$70,550.00	\$12,450.00	\$0.00
Intermodal Transportation Specialist 2	1	60.0000	\$80,000.00	\$48,000.00	\$40,800.00	\$7,200.00	\$0.00
Intermodal Transportation Specialist 3	1	80.0000	\$111,000.00	\$88,800.00	\$75,480.00	\$13,320.00	\$0.00
Transportation Analyst	1	0.0000	\$58,400.00	\$0.00	\$0.00	\$0.00	\$49,640.00
Transportation Manager 3	1	0.0000	\$58,500.00	\$0.00	\$0.00	\$0.00	\$49,725.00
Transportation Manager 2	1	0.0000	\$52,500.00	\$0.00	\$0.00	\$0.00	\$44,625.00
Senior Administrative Analyst	1	0.0000	\$64,800.00	\$0.00	\$0.00	\$0.00	\$55,080.00
Office Assistant 1	1	0.0000	\$10,000.00	\$0.00	\$0.00	\$0.00	\$8,500.00
Senior Administrative Assistant	1	0.0000	\$15,600.00	\$0.00	\$0.00	\$0.00	\$13,260.00
Subtotal: Salary				\$3,602,450.00	\$3,062,082.50	\$540,367.50	\$220,830.00
Overtime Project Costs							
MVIs	32	2.0000	\$81,000.00	\$51,840.00	\$44,064.00	\$7,776.00	\$0.00
MCIs	27	2.0000	\$82,500.00	\$44,550.00	\$37,867.50	\$6,682.50	\$0.00
SMCIs	7	2.0000	\$105,000.00	\$14,700.00	\$12,495.00	\$2,205.00	\$0.00
SMVIs	4	2.0000	\$105,000.00	\$8,400.00	\$7,140.00	\$1,260.00	\$0.00
Subtotal: Overtime				\$119,490.00	\$101,566.50	\$17,923.50	\$0.00
TOTAL: Personnel				\$3,721,940.00	\$3,163,649.00	\$558,291.00	\$220,830.00
Accounting Method:	Cash						

Enter a detailed explanation of how the personnel costs were derived and allocated to the MCSAP project.

To develop an estimate for the personnel costs, we utilized the historical data of the average percent of time spent working on grant functions for the various positions and the associated salaries.

Part 4 Section 3 - Fringe Benefits

Fringe costs are benefits paid to employees, including the cost of employer's share of FICA, health insurance, worker's compensation, and paid leave. Only non-Federal grantees that use the **accrual basis** of accounting may have a separate line item for leave, and is entered as the projected leave expected to be accrued by the personnel listed within Part 4.2 – Personnel. Reference [2 CFR §200.431\(b\)](#).

Show the fringe benefit costs associated with the staff listed in the Personnel section. Fringe costs may be estimates, or based on a fringe benefit rate approved by the applicant's Federal cognizant agency for indirect costs. If using an approved rate, a copy of the indirect cost rate agreement must be provided through grants.gov. For more information on this item see [2 CFR §200.431](#).

Show how the fringe benefit amount is calculated (i.e., actual fringe benefits, rate approved by HHS Statewide Cost Allocation or cognizant agency). Include a description of the specific benefits that are charged to a project and the benefit percentage or total benefit cost.

The cost of fringe benefits are allowable if:

- Costs are provided under established written policies.
- Costs are equitably allocated to all related activities, including Federal awards.
- Accounting basis (cash or accrual) selected for each type of leave is consistently followed by the non-Federal entity or specified grouping of employees.

Depending on the State, there are fixed employer taxes that are paid as a percentage of the salary, such as Social Security, Medicare, State Unemployment Tax, etc.

- For each of these standard employer taxes, under Position you may list "All Positions," the benefits would be the respective standard employer taxes, followed by the respective rate with a base being the total salaries for Personnel in Part 4.2.
- The base multiplied by the respective rate would give the total for each standard employer tax. Workers' Compensation is rated by risk area. It is permissible to enter this as an average, usually between sworn and unsworn—any grouping that is reasonable and clearly explained in the narrative is allowable.
- Health Insurance and Pensions can vary greatly and can be averaged; and like Workers' Compensation, can sometimes be broken into sworn and unsworn.

In the Position column include a brief position description that is associated with the fringe benefits.

The **Fringe Benefit Rate** is:

- The rate that has been approved by the State's cognizant agency for indirect costs; or a rate that has been calculated based on the aggregate rates and/or costs of the individual items that your agency classifies as fringe benefits.
- For example, your agency pays 7.65 percent for FICA, 42.05 percent for health/life/dental insurance, and 15.1 percent for retirement. The aggregate rate of 64.8 percent (sum of the three rates) may be applied to the salaries/wages of personnel listed in the table.

The **Base Amount** is:

- The salary/wage costs within the proposed budget to which the fringe benefit rate will be applied.
- For example, if the total wages for all grant-funded staff is \$150,000 and the percentage of time on the grant is 50 percent, then that is the amount the fringe rate of 64.8 (from the example above) will be applied. The calculation is: $\$150,000 \times 64.8 \times 50\% / 100 = \$48,600$ Total Project Costs.

Total Project Costs equal the Fringe Benefit Rate x Percentage of Time on MCSAP grant x Base Amount divided by 100.

Fringe Benefits Project Costs							
Position(s)	Fringe Benefit Rate	% of Time on MCSAP Grant	Base Amount	Total Project Costs (Federal + State)	Federal Share	State Share	MOE
Administrative Assistant	77.3400	100.0000	\$54,400.00	\$42,072.96	\$35,762.02	\$6,310.94	\$0.00
Intermodal Transportation Specialist 2	77.3400	100.0000	\$48,000.00	\$37,123.20	\$31,554.72	\$5,568.48	\$0.00
Secretary 1	77.3400	100.0000	\$7,150.00	\$5,529.81	\$4,700.34	\$829.47	\$0.00
Intermodal Transportation Specialist 2	77.3400	100.0000	\$83,000.00	\$64,192.20	\$54,563.37	\$9,628.83	\$0.00
Intermodal Transportation Specialist 2	77.3400	100.0000	\$49,800.00	\$38,515.32	\$32,738.02	\$5,777.30	\$0.00
Office Assistant 1	77.3400	100.0000	\$38,000.00	\$29,389.20	\$24,980.82	\$4,408.38	\$0.00
Transportation Analyst	77.3400	100.0000	\$64,800.00	\$50,116.32	\$42,598.87	\$7,517.45	\$0.00
SMCIs	77.3400	100.0000	\$269,500.00	\$208,431.30	\$177,166.60	\$31,264.70	\$0.00
MCIs	77.3400	100.0000	\$891,000.00	\$689,099.40	\$585,734.49	\$103,364.91	\$0.00
MVIs	77.3400	100.0000	\$1,728,000.00	\$1,336,435.20	\$1,135,969.92	\$200,465.28	\$0.00
SMVIs	77.3400	100.0000	\$280,000.00	\$216,552.00	\$184,069.20	\$32,482.80	\$0.00
Intermodal Transportation Specialist 3	77.3400	100.0000	\$88,800.00	\$68,677.92	\$58,376.23	\$10,301.69	\$0.00
MVIs	77.3400	0.0000	\$51,840.00	\$0.00	\$0.00	\$0.00	\$34,079.09
MCIs	77.3400	0.0000	\$44,550.00	\$0.00	\$0.00	\$0.00	\$29,286.72
SMVIs	77.3400	0.0000	\$8,400.00	\$0.00	\$0.00	\$0.00	\$5,522.08
SMCIs	77.3400	0.0000	\$14,700.00	\$0.00	\$0.00	\$0.00	\$9,663.63
Transportation Analyst	77.3400	0.0000	\$58,400.00	\$0.00	\$0.00	\$0.00	\$38,391.58
Transportation Manager 3	77.3400	0.0000	\$58,500.00	\$0.00	\$0.00	\$0.00	\$38,457.32
Transportation Manager 2	77.3400	0.0000	\$52,500.00	\$0.00	\$0.00	\$0.00	\$34,512.98
Senior Administrative Analyst	77.3400	0.0000	\$64,800.00	\$0.00	\$0.00	\$0.00	\$42,598.87
Office Assistant 1	77.3400	0.0000	\$10,000.00	\$0.00	\$0.00	\$0.00	\$6,573.90
Senior Administrative Assistant	77.3400	0.0000	\$15,600.00	\$0.00	\$0.00	\$0.00	\$10,255.28
TOTAL: Fringe Benefits				\$2,786,134.83	\$2,368,214.60	\$417,920.23	\$249,341.45

Enter a detailed explanation of how the fringe benefit costs were derived and allocated to the MCSAP project.

The fringe rate is 77.34% and comes directly from the Indirect Cost Rate Agreement approved by NYSDOT's cognizant agency, FHWA. The rate is applied to all personnel costs, both regular and overtime.

This is how the fringe rate from the Indirect Cost Rate Agreement is calculated:

The NYS Comptroller fringe rate for federal funds is used with an adjustment factor for applying the rate to direct labor added in. The leave and fringe benefit payroll additive consists of two major components:

- 1.) Cost of employee leave - includes the cost to NYSDOT for providing annual leave, sick leave, personal leave, holidays, jury duty leave, military leave, and other leave provided by the State; costs of providing these leaves are accumulated in the Department's Integrated Accounting System.
- 2.) Cost of employee fringe benefits - includes the cost to NYSDOT for retirement, social security, health insurance, dental insurance, worker's compensation, unemployment insurance, and the survivors' benefits for its employees; costs are computed and applied annually by the NYS Comptroller as percentages of NYSDOT's gross payroll and are converted to a direct labor base during development of the payroll leave and fringe benefit additive.

Part 4 Section 4 - Travel

Itemize the positions/functions of the people who will travel. Show the estimated cost of items including but not limited to, lodging, meals, transportation, registration, etc. Explain in detail how the MCSAP program will directly benefit from the travel.

Travel costs are funds for field work or for travel to professional meetings.

List the purpose, number of persons traveling, number of days, percentage of time on MCSAP Grant, and total project costs for each trip. If details of each trip are not known at the time of application submission, provide the basis for estimating the amount requested. For more information on this item see [2 CFR §200.474](#).

Total Project Costs should be determined by State users, and manually input in the table below. There is no system calculation for this budget category.

Travel Project Costs							
Purpose	# of Staff	# of Days	% of Time on MCSAP Grant	Total Project Costs (Federal + State)	Federal Share	State Share	MOE
MCSAP Program Travel (lodging, meals, mileage, etc.)	78	0	100.0000	\$93,000.00	\$79,050.00	\$13,950.00	\$0.00
Commercial Vehicle Safety Alliance (CVSA) Conference	1	5	100.0000	\$5,000.00	\$4,250.00	\$750.00	\$0.00
TOTAL: Travel				\$98,000.00	\$83,300.00	\$14,700.00	\$0.00

Enter a detailed explanation of how the travel costs were derived and allocated to the MCSAP project.

Historical costs were used to determine the anticipated travel costs associated with the MCSAP Program. Routine MCSAP related travel costs, covering lodging and meal allowance costs, are necessary to meet the program's safety objectives. In order to satisfy NYSDOT's goals, as well as requests from FMCSA throughout the time period of the grant, staff will accumulate travel costs. Travel costs are incurred in conjunction with traveling for roadside inspections, New Entrant Safety Audits, federal compliance reviews, outreach activities, etc.. The total number of travel days is dependent on various factors, including whether a New Entrant Safety Audit starts as an offsite audit and is converted to an onsite audit, educational outreach requests, and strikeforce activities implemented in response to specific safety initiatives that may arise, to name a few.

* Travel is not broken down to the detail, which will show if it was for a roadside inspection, an outreach activity, a federal compliance review, etc.. Therefore, in the budget, the travel category is not separated out into sub-categories. The expenditure summary documents from NYSDOT's accounting system that are used for grant reporting do not provide that kind of detail, nor are the types of additional character/object and function codes required for that kind of breakdown available for utilization within the current travel tracking system.

Funding has been budgeted for one person to attend the annual Commercial Vehicle Safety Alliance (CVSA) Conference. The amount is based on the most recent cost of attending the conference.

It is unknown if anyone from NYSDOT will attend other conferences or training that will require travel approval. There have been State restrictions on travel for many years, and without more information in regard to location and dates, it is difficult to estimate the costs and get travel approval, prior to submitting the grant application.

Part 4 Section 5 - Equipment

Equipment is tangible or intangible personal property. It includes information technology systems having a useful life of more than one year, and a per-unit acquisition cost that equals or exceeds the lesser of the capitalization level established by the non-Federal entity (i.e., the State) for financial statement purposes, or \$5,000.

- If your State's equipment capitalization threshold is below \$5,000, check the box below and provide the threshold amount. See [§200.12](#) Capital assets, [§200.20](#) Computing devices, [§200.48](#) General purpose equipment, [§200.58](#) Information technology systems, [§200.89](#) Special purpose equipment, and [§200.94](#) Supplies.

Show the total cost of equipment and the percentage of time dedicated for MCSAP related activities that the equipment will be billed to MCSAP. For example, you intend to purchase a server for \$5,000 to be shared equally among five programs, including MCSAP. The MCSAP portion of the total cost is \$1,000. If the equipment you are purchasing will be capitalized (depreciated), you may only show the depreciable amount, and not the total cost ([2 CFR §200.436](#) and [2 CFR §200.439](#)). If vehicles or large IT purchases are listed here, the applicant must disclose their agency's capitalization policy.

Provide a description of the equipment requested. Include the quantity, the full cost of each item, and the percentage of time this item will be dedicated to MCSAP grant.

Total Project Costs equal the Number of Items x Full Cost per Item x Percentage of Time on MCSAP grant.

Equipment Project Costs							
Item Name	# of Items	Full Cost per Item	% of Time on MCSAP Grant	Total Project Costs (Federal + State)	Federal Share	State Share	MOE
TOTAL: Equipment				\$0.00	\$0.00	\$0.00	\$0.00
Equipment threshold is greater than \$5,000.							

Enter a detailed explanation of how the equipment costs were derived and allocated to the MCSAP project.

Part 4 Section 6 - Supplies

Supplies means all tangible property other than that described in [§200.33](#) Equipment. A computing device is a supply if the acquisition cost is less than the lesser of the capitalization level established by the non-Federal entity for financial statement purposes or \$5,000, regardless of the length of its useful life. See also [§200.20](#) Computing devices and [§200.33](#) Equipment.

Estimates for supply costs may be based on the same allocation as personnel. For example, if 35 percent of officers' salaries are allocated to this project, you may allocate 35 percent of your total supply costs to this project. A different allocation basis is acceptable, so long as it is reasonable, repeatable and logical, and a description is provided in the narrative.

Provide a description of each unit/item requested, including the quantity of each unit/item, the unit of measurement for the unit/item, the cost of each unit/item, and the percentage of time on MCSAP grant.

Total Project Costs equal the Number of Units x Cost per Unit x Percentage of Time on MCSAP grant.

Supplies Project Costs							
Item Name	# of Units/ Unit of Measurement	Cost per Unit	% of Time on MCSAP Grant	Total Project Costs (Federal + State)	Federal Share	State Share	MOE
Uniforms and Related Job Function Expenses (Tools, Guideline Literature, etc.)	1 year	\$58,300.00	100.0000	\$58,300.00	\$49,555.00	\$8,745.00	\$0.00
General Office Supplies	1 year	\$15,000.00	100.0000	\$15,000.00	\$12,750.00	\$2,250.00	\$0.00
Printers	30 printers	\$285.00	100.0000	\$8,550.00	\$7,267.50	\$1,282.50	\$0.00
TOTAL: Supplies				\$81,850.00	\$69,572.50	\$12,277.50	\$0.00

Enter a detailed explanation of how the supply costs were derived and allocated to the MCSAP project.

Uniforms and other related supplies are imperative for staff (particularly field staff) performing MCSAP Grant functions. Uniforms, inspection tools, guideline literature, etc. assist staff in accomplishing the goals of the program and following safety practices. The amount budgeted is based on historical spending and the anticipated needs for new hires.

General office supplies (paperclips, paper, toner, etc.) provide staff working on MCSAP Grant functions with the tools needed to complete tasks. The amount of funding budgeted is determined by historical spending.

Printers are utilized by Motor Vehicle Inspectors (MVIs) and Motor Carrier Investigators (MCIs) performing roadside inspections, New Entrant Safety Audits, and investigations. The per unit estimate is based on the current pricing for the printer types used by MVIs and MCIs. Printers are replaced in accordance with IT guidelines.

Part 4 Section 7 - Contractual and Subaward

This section includes contractual costs and subawards to subrecipients. Use the table below to capture the information needed for both contractual agreements and subawards. The definitions of these terms are provided so the instrument type can be entered into the table below.

Contractual – A contract is a legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award ([2 CFR §200.22](#)). All contracts issued under a Federal award must comply with the standards described in [2 CFR §200 Procurement Standards](#).

Note: Contracts are separate and distinct from subawards; see [2 CFR §200.330](#) for details.

Subaward – A subaward is an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract ([2 CFR §200.92](#) and [2 CFR §200.330](#)).

Subrecipient - Subrecipient means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program, but does not include an individual who is a beneficiary of such program. A subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency ([2 CFR §200.93](#)).

Enter the legal name of the vendor or subrecipient if known. If unknown at this time, please indicate 'unknown' in the legal name field. Include a description of services for each contract or subaward listed in the table. Entering a statement such as "contractual services" with no description will not be considered meeting the requirement for completing this section.

Enter the DUNS or EIN number of each entity. There is a drop-down option to choose either DUNS or EIN, and then the State must enter the corresponding identification number.

Select the Instrument Type by choosing either Contract or Subaward for each entity.

Total Project Costs should be determined by State users and input in the table below. The tool does not automatically calculate the total project costs for this budget category.

Operations and Maintenance-If the State plans to include O&M costs that meet the definition of a contractual or subaward cost, details must be provided in the table and narrative below.

Please describe the activities these costs will be using to support (i.e., ITD, PRISM, SSDQ or other services.)

Contractual and Subaward Project Costs							
Legal Name	DUNS/EIN Number	Instrument Type	% of Time on MCSAP Grant	Total Project Costs (Federal + State)	Federal Share	State Share	MOE
NYS Department of Motor Vehicles	DUNS 806780730	Subrecipient	100.0000	\$40,000.00	\$34,000.00	\$6,000.00	\$0.00
Description of Services: Data collection and analysis							
New York Division of State Police	DUNS 42543269	Subrecipient	100.0000	\$6,122,556.00	\$5,204,173.00	\$918,383.00	\$0.00
Description of Services: Inspections, traffic enforcement, educational outreach							
Intelligent Imaging Systems, Inc.	EIN 980424466	Contract	0.0000	\$1,213,552.00	\$1,031,519.00	\$182,033.00	\$0.00
Description of Services: Annual maintenance for five electronic screening sites							
Statewide Vendor Contract	DUNS 0	Contract	100.0000	\$189,309.00	\$162,467.00	\$26,842.00	\$0.00
Description of Services: Software and Technical Support							
TOTAL: Contractual and Subaward				\$7,565,417.00	\$6,432,159.00	\$1,133,258.00	\$0.00

Enter a detailed explanation of how the contractual and subaward costs were derived and allocated to the MCSAP project.

The statewide vendor contract, associated with the contractual costs budgeted, is procured through established state procurement practices and adheres to Federal procurement standards. The portion of cost budgeted is \$189,309. Utilizing the contract, NYSDOT is able to have the necessary technical tools to perform data analysis on collected data for use in program evaluation.

A total of \$6,122,556 has been budgeted for the New York Division of State Police to carry out safety initiatives that include: traffic enforcement, roadside inspections, and educational outreach throughout New York State and along the Canadian border. This funding will be used to support personnel and associated costs, along with travel and supplies.

A total of \$40,000 has been budgeted for the New York State Department of Motor Vehicles to conduct data collection and analysis on crash data. The funding will cover personnel and associated costs.

The ITD O&M item is for the procurement of services for the annual maintenance of New York State's five commercial vehicle electronic screening sites (I-90 WB Schodack, I-95 NB on the approach to the Alexander Hamilton Bridge, I-87 NB Clifton Park, I-84 WB Wallkill, and I-84 EB on the approach to the Newburgh Beacon Bridge). The scope of the maintenance contract will cover all equipment and systems associated with/incorporated at each site. As part of the terms and conditions, this maintenance contract will be carried out on an annual basis for a total of up to five (5) years. The estimated annual cost for these services is \$1,213,552.00. It is critical for the purposes of assisting and enhancing commercial vehicle roadside enforcement activities and for the continued protection of the State's assets (highways and bridges) to maintain New York State's existing e-screening/Virtual Weigh Station (VWS) sites in proper operating order/state of good repair.

Part 4 Section 8 - Other Costs

Other Costs are those not classified elsewhere and are allocable to the Federal award. These costs must be specifically itemized and described. The total costs and allocation bases must be explained in the narrative. Examples of Other Costs may include utilities and/or leased equipment, employee training tuition, meeting registration costs, etc. The quantity, unit of measurement (e.g., monthly, annually, each, etc.), unit cost, and percentage of time on MCSAP grant must be included.

Operations and Maintenance—If the State plans to include O&M costs that do not meet the definition of a contractual or subaward cost, details must be provided in the table and narrative below. Please identify these costs as ITD O&M, PRISM O&M, or SSDQ O&M. Sufficient detail must be provided in the narrative that explains what components of the specific program are being addressed by the O&M costs.

Enter a description of each requested Other Cost.

Enter the number of items/units, the unit of measurement, the cost per unit/item, and the percentage of time dedicated to the MCSAP grant for each Other Cost listed. Show the cost of the Other Costs and the portion of the total cost that will be billed to MCSAP. For example, you intend to purchase air cards for \$2,000 to be shared equally among five programs, including MCSAP. The MCSAP portion of the total cost is \$400.

Total Project Costs equal the Number of Units x Cost per Item x Percentage of Time on MCSAP grant.

Indirect Costs

Information on Indirect Costs ([2 CFR §200.56](#)) is captured in this section. This cost is allowable only when an approved indirect cost rate agreement has been provided. Applicants may charge up to the total amount of the approved indirect cost rate multiplied by the eligible cost base. Applicants with a cost basis of salaries/wages and fringe benefits may only apply the indirect rate to those expenses. Applicants with an expense base of modified total direct costs (MTDC) may only apply the rate to those costs that are included in the MTDC base ([2 CFR §200.68](#)).

- **Cost Basis** — is the accumulated direct costs (normally either total direct salaries and wages or total direct costs exclusive of any extraordinary or distorting expenditures) used to distribute indirect costs to individual Federal awards. The direct cost base selected should result in each Federal award bearing a fair share of the indirect costs in reasonable relation to the benefits received from the costs.
- **Approved Rate** — is the rate in the approved Indirect Cost Rate Agreement.
- **Eligible Indirect Expenses** — means after direct costs have been determined and assigned directly to Federal awards and other activities as appropriate. Indirect costs are those remaining to be allocated to benefitted cost objectives. A cost may not be allocated to a Federal award as an indirect cost if any other cost incurred for the same purpose, in like circumstances, has been assigned to a Federal award as a direct cost.
- **Total Indirect Costs** equal Approved Rate x Eligible Indirect Expenses divided by 100.

Your State will claim reimbursement for Indirect Costs.

Indirect Costs					
Cost Basis	Approved Rate	Eligible Indirect Expenses	Total Indirect Costs	Federal Share	State Share
Salaries and Wages (SW)	33.16	\$3,721,940.00	\$1,234,195.30	\$1,049,066.00	\$185,129.30
TOTAL: Indirect Costs			\$1,234,195.30	\$1,049,066.00	\$185,129.30

Other Costs Project Costs							
Item Name	# of Units/ Unit of Measurement	Cost per Unit	% of Time on MCSAP Grant	Total Project Costs (Federal + State)	Federal Share	State Share	MOE
Utilities/Repairs	1 year	\$9,000.00	100.0000	\$9,000.00	\$7,650.00	\$1,350.00	\$0.00
CVSA Membership	1 year	\$19,100.00	100.0000	\$19,100.00	\$16,235.00	\$2,865.00	\$0.00
CVSA Decals	14000 decals	\$0.28	100.0000	\$3,920.00	\$3,332.00	\$588.00	\$0.00
NYS Truck Safety and Education Symposium	1 year	\$20,000.00	100.0000	\$20,000.00	\$17,000.00	\$3,000.00	\$0.00
Hearing Conservation Tests	1 year	\$2,000.00	100.0000	\$2,000.00	\$1,700.00	\$300.00	\$0.00
NYS Truck Safety & Education Symposium Registration Fees	1 year	\$1,800.00	100.0000	\$1,800.00	\$1,530.00	\$270.00	\$0.00
TOTAL: Other Costs				\$55,820.00	\$47,447.00	\$8,373.00	\$0.00

Enter a detailed explanation of how the 'other' costs were derived and allocated to the MCSAP project.

Utilities/Repairs are for fixed roadside inspection sites used to perform grant activities, and the estimated cost is based on historical spending.

The Commercial Vehicle Safety Alliance (CVSA) membership allows for the opportunity to meet with members of the federal government, state agencies, and enforcement agencies across North America and with industry representatives, to ensure consistency of roadside inspection procedures. The cost is determined by the annual membership dues.

Funding to purchase CVSA decals is paramount to the inspection program, which receives support through the MCSAP Grant, and the amount needed is determined by the anticipated quantity needed and the decal price. The North American Standard Level I and/or Level V inspections may result in issuance of a CVSA decal. Inspections must be performed by and have CVSA decals affixed by North American Standard Level I and/or Level V certified Inspectors. The CVSA decals are mandated.

The NYS Truck Safety and Education Symposium is planned and presented by the Trucking Association of New York in collaboration with the New York State Department of Transportation, the New York State Department of Motor Vehicles, and the New York Division of State Police. The amount budgeted is based on historical costs.

Hearing Conservation Tests are performed on staff working in close proximity to vehicles and traffic. The amount budgeted is based on historical costs.

Registration fees for the NYS Truck Safety and Education Symposium are based on previous costs.

Part 4 Section 9 - Comprehensive Spending Plan

The Comprehensive Spending Plan is auto-populated from all line items in the tables and is in read-only format. Changes to the Comprehensive Spending Plan will only be reflected by updating the individual budget category table(s).

ESTIMATED Fiscal Year Funding Amounts for MCSAP			
	85% Federal Share	15% State Share	Total Estimated Funding
Total	\$13,213,408.00	\$2,329,949.00	\$15,543,357.00

Summary of MCSAP Funding Limitations				
Allowable amount for Overtime without written justification (15% of Basic Award Amount):			\$2,329,949.00	
MOE Baseline:			\$272,429.65	
Estimated Expenditures				
Personnel				
	Federal Share	State Share	Total Project Costs (Federal + Share)	MOE
Motor Carrier Investigators (MCI)	\$757,350.00	\$133,650.00	\$891,000.00	\$0.00
Supervising Motor Carrier Investigators (SMCIs)	\$229,075.00	\$40,425.00	\$269,500.00	\$0.00
Motor Vehicle Inspectors (MVIs)	\$1,468,800.00	\$259,200.00	\$1,728,000.00	\$0.00
Supervising Motor Vehicle Inspectors (SMVIs)	\$238,000.00	\$42,000.00	\$280,000.00	\$0.00
Administrative Assistant	\$46,240.00	\$8,160.00	\$54,400.00	\$0.00
Intermodal Transportation Specialist 2	\$42,330.00	\$7,470.00	\$49,800.00	\$0.00
Office Assistant 1	\$32,300.00	\$5,700.00	\$38,000.00	\$0.00
Transportation Analyst	\$55,080.00	\$9,720.00	\$64,800.00	\$0.00
Secretary 1	\$6,077.50	\$1,072.50	\$7,150.00	\$0.00
Intermodal Transportation Specialist 2	\$70,550.00	\$12,450.00	\$83,000.00	\$0.00
Intermodal Transportation Specialist 2	\$40,800.00	\$7,200.00	\$48,000.00	\$0.00
Intermodal Transportation Specialist 3	\$75,480.00	\$13,320.00	\$88,800.00	\$0.00
Transportation Analyst	\$0.00	\$0.00	\$0.00	\$49,640.00
Transportation Manager 3	\$0.00	\$0.00	\$0.00	\$49,725.00
Transportation Manager 2	\$0.00	\$0.00	\$0.00	\$44,625.00
Senior Administrative Analyst	\$0.00	\$0.00	\$0.00	\$55,080.00
Office Assistant 1	\$0.00	\$0.00	\$0.00	\$8,500.00
Senior Administrative Assistant	\$0.00	\$0.00	\$0.00	\$13,260.00
Salary Subtotal	\$3,062,082.50	\$540,367.50	\$3,602,450.00	\$220,830.00
MVIs	\$44,064.00	\$7,776.00	\$51,840.00	\$0.00
MCIs	\$37,867.50	\$6,682.50	\$44,550.00	\$0.00
SMCIs	\$12,495.00	\$2,205.00	\$14,700.00	\$0.00
SMVIs	\$7,140.00	\$1,260.00	\$8,400.00	\$0.00
Overtime subtotal	\$101,566.50	\$17,923.50	\$119,490.00	\$0.00
Personnel total	\$3,163,649.00	\$558,291.00	\$3,721,940.00	\$220,830.00

Fringe Benefits				
	Federal Share	State Share	Total Project Costs (Federal + State)	MOE
Administrative Assistant	\$35,762.02	\$6,310.94	\$42,072.96	\$0.00
Intermodal Transportation Specialist 2	\$31,554.72	\$5,568.48	\$37,123.20	\$0.00
Secretary 1	\$4,700.34	\$829.47	\$5,529.81	\$0.00
Intermodal Transportation Specialist 2	\$54,563.37	\$9,628.83	\$64,192.20	\$0.00
Intermodal Transportation Specialist 2	\$32,738.02	\$5,777.30	\$38,515.32	\$0.00
Office Assistant 1	\$24,980.82	\$4,408.38	\$29,389.20	\$0.00
Transportation Analyst	\$42,598.87	\$7,517.45	\$50,116.32	\$0.00
SMCIs	\$177,166.60	\$31,264.70	\$208,431.30	\$0.00
MCIs	\$585,734.49	\$103,364.91	\$689,099.40	\$0.00
MVIs	\$1,135,969.92	\$200,465.28	\$1,336,435.20	\$0.00
SMVIs	\$184,069.20	\$32,482.80	\$216,552.00	\$0.00
Intermodal Transportation Specialist 3	\$58,376.23	\$10,301.69	\$68,677.92	\$0.00
MVIs	\$0.00	\$0.00	\$0.00	\$34,079.09
MCIs	\$0.00	\$0.00	\$0.00	\$29,286.72
SMVIs	\$0.00	\$0.00	\$0.00	\$5,522.08
SMCIs	\$0.00	\$0.00	\$0.00	\$9,663.63
Transportation Analyst	\$0.00	\$0.00	\$0.00	\$38,391.58
Transportation Manager 3	\$0.00	\$0.00	\$0.00	\$38,457.32
Transportation Manager 2	\$0.00	\$0.00	\$0.00	\$34,512.98
Senior Administrative Analyst	\$0.00	\$0.00	\$0.00	\$42,598.87
Office Assistant 1	\$0.00	\$0.00	\$0.00	\$6,573.90
Senior Administrative Assistant	\$0.00	\$0.00	\$0.00	\$10,255.28
Fringe Benefits total	\$2,368,214.60	\$417,920.23	\$2,786,134.83	\$249,341.45

Travel				
	Federal Share	State Share	Total Project Costs (Federal + State)	MOE
MCSAP Program Travel (lodging, meals, mileage, etc.)	\$79,050.00	\$13,950.00	\$93,000.00	\$0.00
Commercial Vehicle Safety Alliance (CVSA) Conference	\$4,250.00	\$750.00	\$5,000.00	\$0.00
Travel total	\$83,300.00	\$14,700.00	\$98,000.00	\$0.00

Equipment				
	Federal Share	State Share	Total Project Costs (Federal + State)	MOE
Equipment total	\$0.00	\$0.00	\$0.00	\$0.00

Supplies				
	Federal Share	State Share	Total Project Costs (Federal + State)	MOE
Uniforms and Related Job Function Expenses (Tools, Guideline Literature, etc.)	\$49,555.00	\$8,745.00	\$58,300.00	\$0.00
General Office Supplies	\$12,750.00	\$2,250.00	\$15,000.00	\$0.00
Printers	\$7,267.50	\$1,282.50	\$8,550.00	\$0.00
Supplies total	\$69,572.50	\$12,277.50	\$81,850.00	\$0.00

Contractual and Subaward				
	Federal Share	State Share	Total Project Costs (Federal + State)	MOE
NYS Department of Motor Vehicles	\$34,000.00	\$6,000.00	\$40,000.00	\$0.00
New York Division of State Police	\$5,204,173.00	\$918,383.00	\$6,122,556.00	\$0.00
Intelligent Imaging Systems, Inc.	\$1,031,519.00	\$182,033.00	\$1,213,552.00	\$0.00
Statewide Vendor Contract	\$162,467.00	\$26,842.00	\$189,309.00	\$0.00
Contractual and Subaward total	\$6,432,159.00	\$1,133,258.00	\$7,565,417.00	\$0.00

Other Costs				
	Federal Share	State Share	Total Project Costs (Federal + State)	MOE
Utilities/Repairs	\$7,650.00	\$1,350.00	\$9,000.00	\$0.00
CVSA Membership	\$16,235.00	\$2,865.00	\$19,100.00	\$0.00
CVSA Decals	\$3,332.00	\$588.00	\$3,920.00	\$0.00
NYS Truck Safety and Education Symposium	\$17,000.00	\$3,000.00	\$20,000.00	\$0.00
Hearing Conservation Tests	\$1,700.00	\$300.00	\$2,000.00	\$0.00
NYS Truck Safety & Education Symposium Registration Fees	\$1,530.00	\$270.00	\$1,800.00	\$0.00
Other Costs total	\$47,447.00	\$8,373.00	\$55,820.00	\$0.00

Total Costs				
	Federal Share	State Share	Total Project Costs (Federal + State)	MOE
Subtotal for Direct Costs	\$12,164,342.10	\$2,144,819.73	\$14,309,161.83	\$470,171.45
Indirect Costs	\$1,049,066.00	\$185,129.30	\$1,234,195.30	NA
Total Costs Budgeted	\$13,213,408.10	\$2,329,949.03	\$15,543,357.13	\$470,171.45

Part 4 Section 10 - Financial Summary

The Financial Summary is auto-populated by the system by budget category. It is a read-only document and can be used to complete the SF-424A in Grants.gov. Changes to the Financial Summary will only be reflected by updating the individual budget category table(s).

- The system will confirm that percentages for Federal and State shares are correct for Total Project Costs. The edit check is performed on the **"Total Costs Budgeted"** line only.
- The system will confirm that Planned MOE Costs equal or exceed FMCSA funding limitation. The edit check is performed on the **"Total Costs Budgeted"** line only.
- The system will confirm that the Overtime value does not exceed the FMCSA funding limitation. The edit check is performed on the **"Overtime subtotal"** line.

ESTIMATED Fiscal Year Funding Amounts for MCSAP			
	85% Federal Share	15% State Share	Total Estimated Funding
Total	\$13,213,408.00	\$2,329,949.00	\$15,543,357.00

Summary of MCSAP Funding Limitations	
Allowable amount for Overtime without written justification (15% of Basic Award Amount):	\$2,329,949.00
MOE Baseline:	\$272,429.65

Estimated Expenditures				
	Federal Share	State Share	Total Project Costs (Federal + State)	Planned MOE Costs
Salary Subtotal	\$3,062,082.50	\$540,367.50	\$3,602,450.00	\$220,830.00
Overtime Subtotal	\$101,566.50	\$17,923.50	\$119,490.00	\$0.00
Personnel Total	\$3,163,649.00	\$558,291.00	\$3,721,940.00	\$220,830.00
Fringe Benefits Total	\$2,368,214.60	\$417,920.23	\$2,786,134.83	\$249,341.45
Travel Total	\$83,300.00	\$14,700.00	\$98,000.00	\$0.00
Equipment Total	\$0.00	\$0.00	\$0.00	\$0.00
Supplies Total	\$69,572.50	\$12,277.50	\$81,850.00	\$0.00
Contractual and Subaward Total	\$6,432,159.00	\$1,133,258.00	\$7,565,417.00	\$0.00
Other Costs Total	\$47,447.00	\$8,373.00	\$55,820.00	\$0.00
	85% Federal Share	15% State Share	Total Project Costs (Federal + State)	Planned MOE Costs
Subtotal for Direct Costs	\$12,164,342.10	\$2,144,819.73	\$14,309,161.83	\$470,171.45
Indirect Costs	\$1,049,066.00	\$185,129.30	\$1,234,195.30	NA
Total Costs Budgeted	\$13,213,408.10	\$2,329,949.03	\$15,543,357.13	\$470,171.45

Part 5 - Certifications and Documents

Part 5 includes electronic versions of specific requirements, certifications and documents that a State must agree to as a condition of participation in MCSAP. The submission of the CVSP serves as official notice and certification of compliance with these requirements. State or States means all of the States, the District of Columbia, the Commonwealth of Puerto Rico, the Commonwealth of the Northern Mariana Islands, American Samoa, Guam, and the Virgin Islands.

If the person submitting the CVSP does not have authority to certify these documents electronically, then the State must continue to upload the signed/certified form(s) through the "My Documents" area on the State's Dashboard page.

Part 5 Section 1 - State Certification

The State Certification will not be considered complete until the four questions and certification declaration are answered. Selecting 'no' in the declaration may impact your State's eligibility for MCSAP funding.

1. What is the name of the person certifying the declaration for your State? Ron Epstein
2. What is this person's title? Chief Financial Officer
3. Who is your Governor's highway safety representative? Ron Epstein
4. What is this person's title? Chief Financial Officer

The State affirmatively accepts the State certification declaration written below by selecting 'yes'.

- ☒ Yes
- ☐ Yes, uploaded certification document
- ☐ No

State Certification declaration:

I, Ron Epstein, Chief Financial Officer, on behalf of the State of NEW YORK, as requested by the Administrator as a condition of approval of a grant under the authority of [49 U.S.C. § 31102](#), as amended, certify that the State satisfies all the conditions required for MCSAP funding, as specifically detailed in [49 C.F.R. § 350.211](#).

If there are any exceptions that should be noted to the above certification, include an explanation in the text box below.

Part 5 Section 2 - Annual Review of Laws, Regulations, Policies and Compatibility Certification

You must answer all three questions and indicate your acceptance of the certification declaration. Selecting 'no' in the declaration may impact your State's eligibility for MCSAP funding.

1. What is the name of your certifying State official? Ron Epstein
2. What is the title of your certifying State official? Chief Financial Officer
3. What are the phone # and email address of your State official? 518-457-2320 Ron.Epstein@dot.ny.gov

The State affirmatively accepts the compatibility certification declaration written below by selecting 'yes'.

- ☐ Yes
- ☐ Yes, uploaded certification document
- ☒ No

I, Ron Epstein, certify that the State has conducted the annual review of its laws and regulations for compatibility regarding commercial motor vehicle safety and that the State's safety laws remain compatible with the Federal Motor Carrier Safety Regulations (49 CFR parts 390-397) and the Hazardous Materials Regulations (49 CFR parts 107 (subparts F and G only), 171-173, 177, 178, and 180) and standards and orders of the Federal government, except as may be determined by the Administrator to be inapplicable to a State enforcement program. For the purpose of this certification, Compatible means State laws or regulations pertaining to interstate commerce that are identical to the FMCSRs and HMRs or have the same effect as the FMCSRs and identical to the HMRs and for intrastate commerce rules identical to or within the tolerance guidelines for the FMCSRs and identical to the HMRs.

If there are any exceptions that should be noted to the above certification, include an explanation in the text box below.

NY is currently not fully compliant with the regulations in 49 CFR parts 390-397. NY's prior general update to incorporate changes to the FMCSRs and HMRs by standard consensus rule-making was delayed by a challenge to NY's adoption of the new Electronic Logging Device (ELD) rules under 49 CFR Part 395, SubPart B. Litigation challenging NY's adoption of the ELD rules is also pending. As such, an Emergency Adoption rulemaking has been initiated on December 7, 2018 to ensure that New York is in compliance with the FMCSRs and HMRs by February, 2019.

Part 5 Section 3 - New Laws/Legislation/Policy Impacting CMV Safety
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Has the State adopted/enacted any new or updated laws (i.e., statutes) impacting CMV safety since the last CVSP or annual update was submitted?

☒ Yes ☐ No

In the table below, please provide the bill number and effective date of any new legislation. Include the code section which was changed because of the bill and provide a brief description of the legislation. Please include a statute number, hyperlink or URL, in the summary. Do NOT include the actual text of the Bill as that can be very lengthy.

Legislative Adoption			
Bill Number	Effective Date	Code Section Changed	Summary of Changes
A9508	04/12/2018	Section 510 of NY V&T Law	This enhances the ability of DMV and DOT to enforce State and Federal laws relating to motor carriers, commercial drivers, and bus operators and to increase penalties for violations of State laws. http://nyassembly.gov/leg/?default_fld=&leg_video=&bn=A09508&term=2017&Summary=Y&Text=Y

Has the State adopted/enacted any new administrative actions or policies impacting CMV safety since the last CVSP?

☐ Yes ☒ No

INDIRECT COST NEGOTIATION AGREEMENT

Between the New York State Department of Transportation And the Federal Highway Administration

This agreement is made and entered into by the State of New York by and through its Department of Transportation (NYSDOT) and the United States Government, by and through its Department of Transportation, Federal Highway Administration (FHWA).

The indirect cost rates contained herein are for use on grants and contracts with the Federal Government, to which 2 CFR 225 applies, subject to the limitations contained in Section II.A of this agreement. The rates were negotiated by the NYSDOT and FHWA in accordance with the authority contained in Appendix E, Paragraph E of the regulation.

Section I: Rate

Type: Fixed Rate with Carry Forward Adjustment

Effective Period: April 1, 2018 – March 31, 2019

Total Rate: 199.30%; consists of Indirect (121.96%), NYSDOT Leave (14.70%) and Federal Fringe (62.64%)

Base: Direct Salaries & Wages excluding Fringe Benefits

Applicable To: All programs not specifically exempted by law

Section II: General

A. Limitations

The rates contained in this agreement are subject to any statutory or administrative limitations and are reimbursable through grant, contract, or other agreement only to the extent that funds are available. Acceptance of these rates is predicated on these conditions: (1) Only costs incurred by the NYSDOT were included in its indirect cost pool as finally accepted: Such costs are legal obligations of the NYSDOT, except for NYSDOT's share of the state of New York Indirect Cost Allocation, and are allowable under the governing cost principles; (2) The same costs that have been treated as indirect costs are not claimed as direct costs; (3) Similar types of costs have been accorded consistent accounting treatment, and (4) The information provided by the NYSDOT which was used to establish the rates are not later found to be materially incomplete or inaccurate by the Federal Government. In such situations the rates will be subject to renegotiation at the discretion of the FHWA.

B. Accounting Changes

This agreement is based on the accounting system to be in effect during the agreement period. Changes in the method of accounting for costs that affect the amount of reimbursement resulting from the use of these rates require prior concurrence of FHWA. Such changes include, but are not limited to, changes in the charging of a particular type of cost from indirect to direct. Failure to obtain concurrence may result in cost disallowances.

C. Fixed Rate

INDIRECT COST NEGOTIATION AGREEMENT

This agreement and approval is for fixed indirect cost rates and is based on an estimate of the costs for the period covered by the rates. When the actual costs for this period are determined, an adjustment will be made to the rates for the subsequent State Fiscal Year to compensate for the difference between the costs used to establish the fixed rates and actual costs.

D. Use by Other Federal Agencies

The rates in this Agreement were approved in accordance with the authority in 2 CFR 225, and should be applied to grants, contracts, and other agreements covered by this regulation, subject to any limitations in A above. Copies of this document may be provided to other Federal Agencies as a means of notifying them of this agreement.

E. Other

If any Federal contract, grant, or other agreement is reimbursing indirect costs by means other than the approved rates in this agreement, NYSDOT shall notify FHWA.

New York State
Department of Transportation


Joseph Farleigh, Director
Accounting & Fiscal
Services Bureau

3/22/18

Date

U. S. Department of Transportation
Federal Highway Administration


James Griffin, Director
of Finance and Administration

3-21-2018

Date