



**U.S. Department of
Transportation**

BUDGET ESTIMATES

FISCAL YEAR 2017

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

**SUBMITTED TO THE COMMITTEES ON
APPROPRIATIONS**

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FY 2017 Budget
Federal Motor Carrier Safety Administration

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Section I: Overview

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION ACTING ADMINISTRATOR STATEMENT FISCAL YEAR 2017 BUDGET SUBMISSION

T.F. Scott Darling, III

I am pleased to present the Federal Motor Carrier Safety Administration's (FMCSA) fiscal year (FY) 2017 Budget Request of \$794.2 million which includes funding for operations and grants to advance commercial motor vehicle (CMV) safety throughout the nation. This includes a request for an additional \$150 million in proposed 21st Century Clean Transportation Plan Investments funding. This important legislation will build upon the authorization levels contained in the bipartisan Fixing America's Surface Transportation Act (FAST Act) and will enable FMCSA to supplement its programs with critical resources to both strengthen safety operations and provide much needed increases in safety grants.

This request aligns with the Department of Transportation's top priority of safety as well as FMCSA's mission to save lives by preventing crashes involving large trucks and buses.

Since FMCSA was established as a separate agency within the Department of Transportation in 2000, the number of lives lost in large truck and bus-related crashes has decreased 26 percent. Although these numbers represent significant progress, still more than 4,000 people die each year in crashes involving large trucks and buses and fatalities have been generally increasing annually since 2009.

We at FMCSA understand that safe trucking moves the economy and safe bus operations move our loved ones. Not only that, we want every bus driver to transport their passengers safely, and every truck driver to make their runs safely before returning home to their families.

To achieve our safety mission to reduce crashes and fatalities involving commercial motor vehicles, we are guided by three core safety principles:

1. Raise the bar to enter the motor carrier industry,
2. Require high safety standards to remain in the industry and
3. Remove high-risk carriers and drivers from our roadways.

It is a complex and important task to oversee more than 500,000 motor carriers in the United States and almost 4 million active Commercial Driver's License holders. The job is not getting any smaller or easier. There has been an increase of nearly 3 million commercial trucks registered in the United States since FMCSA was established 15 years ago. Truck freight is

projected to grow by 43 percent by 2040. The 1,100 FMCSA employees deployed across the country cannot accomplish our mission without help.

Building Safety Partnerships

That is why we are focusing on strengthening partnerships with our stakeholders in state and local government, law enforcement, the safety advocacy community, labor, and private industry. We do our best work and perform at our highest levels when we are working together with our stakeholders, who share our concern for highway safety and preventing crashes, injuries and fatalities. They are our force multipliers.

We direct more than half of our budget to grants to support CMV safety, including the 3.5 million roadside inspections on CMVs and drivers conducted each year by state law enforcement personnel to ensure safety compliance.

Implementing the FAST Act

FMCSA recognizes the importance of partnering with stakeholders to implement the Fixing America's Surface Transportation Act, or FAST Act, signed by President Obama in December 2015. The FAST Act offers multi-year funding certainty for surface transportation, meaning that together with our force-multiplier partners, we can move forward with critical safety programs. We are coordinating with other federal agencies and our partners to establish working groups and strategic collaborations on a range of issues, including:

- The development of a new allocation formula for our Motor Carrier Safety Assistance Program grants to states for motor carrier, CMV, and driver safety programs;
- The creation of a program that allows the Department of Veterans Affairs' physicians to issue FMCSA medical certificates to qualified veteran CMV operators;
- New Department of Health and Human Services guidelines that impact drug testing guidance for CMV drivers; and
- Household goods consumer protection rights.

We will execute a number of important CMV safety provisions contained in the FAST Act, including:

- Studying the effectiveness of Compliance, Safety, Accountability (CSA), our safety and compliance program;
- Streamlining grant programs to provide our State partners with increased flexibility to tailor funding requests to conditions on the ground;

- Continuing our Wireless Roadside Inspection research to enhance the efficient screening of commercial vehicles as they travel down the road; and
- Developing a Beyond Compliance program that allows carriers to receive credit for utilizing certain technologies or safety practices.

Following Through on Priorities

In addition to implementing the safety provisions in the FAST Act, we have a robust set of priorities that will advance our safety mission and protect the traveling public on the nation's roadways. They include:

- Publishing a proposed Safety Fitness Determination rule to change the Agency's rating methodology by integrating on-road safety data from inspections and the results of carrier investigations and crash reports;
- Completing the phased implementation of the Unified Registration System that will enable the Agency to more readily detect unsafe carriers seeking to evade enforcement;
- Modernizing our information technology platform used by inspectors to provide real-time carrier and safety information at roadside; and
- Implementing Phase III of the Compliance, Safety, Accountability (CSA) program to facilitate interventions.

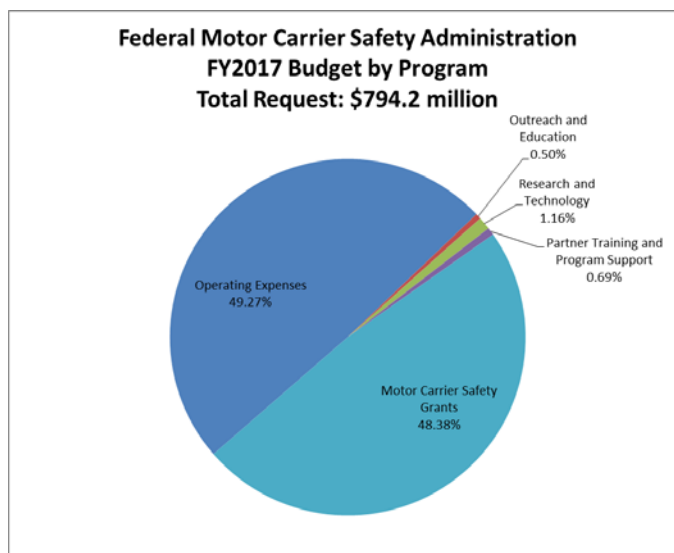
Our budget proposal also recognizes, and responds to the increasing economic ties between the United States and our neighbors. It is our job to ensure that foreign carriers entering the United States are held to the same high standards as American carriers. We are improving our border facilities and bolstering our presence to more effectively inspect foreign CMVs entering the country from Mexico and Canada.

Taken together, this budget proposal contains the operational and grant resources we need to continue our efforts to protect the traveling public who use our nation's roadways every day. Our requested resources will save lives and help ensure that safe trucking continues to move our economy and safe bus operations move our loved ones.

I thank you for your due consideration of our FY2017 request.

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

FY 2017 Budget Request Overview



The Federal Motor Carrier Safety Administration (FMCSA) requests \$794.2 million for fiscal year (FY) 2017. This request provides FMCSA with the necessary resources to fulfill the Agency mission of preventing commercial motor vehicle and motor coach related fatalities and injuries. The Agency fulfills this mission through education, innovation, regulation, enforcement, financial assistance and full accountability.

This request for \$794.2 million will finance the three critical components of FMCSA's FY 2017 strategic plan:

- Motor Carrier Safety Operations and Programs: \$277.2 million;
- Motor Carrier Safety Grants: \$367 million; and
- 21st Century Clean Transportation Plan Investments \$150 million.

Motor Carrier Safety Operations and Programs

The requested \$277.2 million for this program will provide the necessary resources for the more than 1,100 dedicated FMCSA staff to continue a host of mission-critical operations. FMCSA's operations enable safe and hard-working companies to register with the Agency so they can deliver our nation's freight and keep our economy moving. This program funds both Congressionally-mandated and Agency initiated research programs that assess this very complex industry and its regulatory oversight, providing FMCSA with the latest data necessary to effect positive change and spur innovation. These resources allow highly-trained employees with

decades of institutional and industry-knowledge to identify unsafe operations that threaten the lives of the traveling public. FMCSA will use these funds to implement the Fixing America's Surface Transportation Act (FAST Act), draft critical policies, and develop related training programs to educate our enforcement partners. Effective consumer campaigns, such as FMCSA's Protect Your Move, connect the American public with critical information to empower them to hire safe and responsible household goods companies and are funded through this program. And finally, the Constitutional rights of motor carriers and drivers are upheld through this program by the continuation of FMCSA's regulatory adjudications operation.

Motor Carrier Safety Grants

With oversight of more than 500,000 motor carrier companies and almost 4 million commercial driver's license (CDL) holders, FMCSA staff can execute its mission in part by partnering with State law enforcement agencies and other entities through motor carrier safety grant programs. The \$367 million FMCSA is requesting for FY2017 will allow the Agency to partner with over 12,000 State enforcement officers to increase its enforcement and safety capacity nationwide. Within these grant programs, FMCSA issues grants through a Commercial Driver's License Program Improvement Grant (CDLPI) that provides funding to the State Driver's License Agencies (SDLAs) for the implementation of CDL program changes. Through Motor Carrier Safety Assistance Program High Priority Grants (MCSAP High Priority), funds will be made available for targeting unsafe commercial motor vehicle driving in areas identified as high crash risk corridors. FMCSA's Partner Training and Program Support (PTAPS) program will fund training of law enforcement personnel on commercial motor vehicle, carrier and driver safety regulations through the FMCSA National Training Center. In addition, these funds will be used to support nationwide initiatives such as data analysis and program reviews.

Pursuant to the FAST Act, beginning in FY 2017, FMCSA's Motor Carrier Safety Grants program will be re-structured to allow for a more efficient use of grant funds. The MCSAP formula grants now include Border Enforcement, New Entrant, Performance Registration Information System Management (PRISM), and Safety Data Improvement (SADIP) grants. The MCSAP High Priority grant program will now encompass high priority activities related to motor carrier safety, including some PRISM and SADIP requirements, to provide maximum flexibility to FMCSA's State partners and the innovative technology deployment (including CVISN and other innovative technology) rather than maintaining separate grant programs. Additionally, funding for the Commercial Motor Vehicle Operator Safety Training (CMVOST) programs is shifted from Motor Carrier Safety Operations and Programs to the Motor Carrier Safety Grants program. The funding for these restructured grant programs is provided in this FY 2017 budget request.

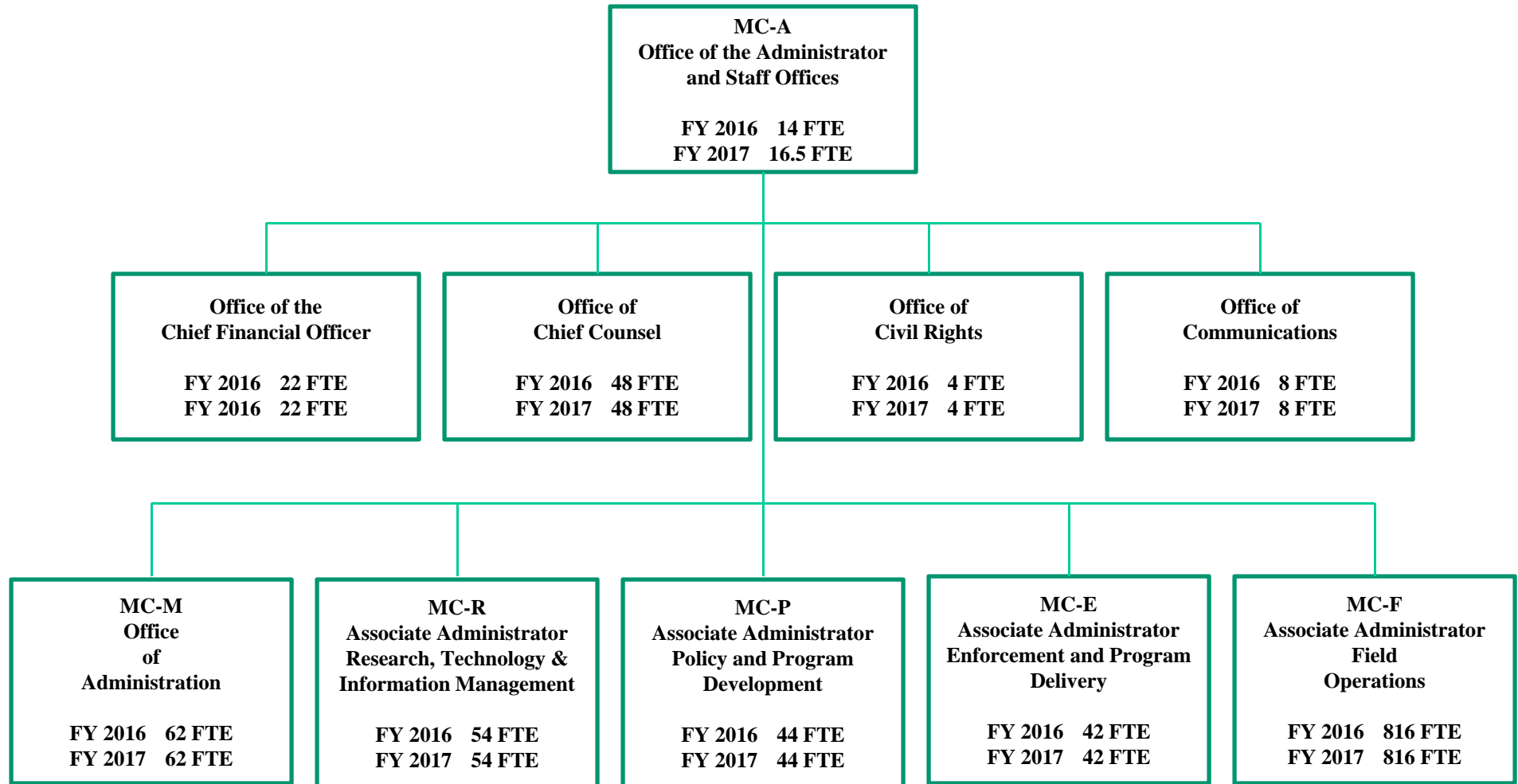
21st Century Clean Transportation Plan Investments

A 21st century transportation system should be clean and efficient. But above all else, a modern transportation system must be reliably safe for all stakeholders. Building upon the ideal that safety is the first consideration in modernizing our nation's movement of goods and persons, FMCSA requests \$150 million and 143 Full Time Equivalent (FTE) staff to expand its safety programs as a part of the proposed 21st Century Clean Transportation Plan Investments legislation.

These additional funds and personnel are indispensable to enable FMCSA to keep the nation's highways safe for the motoring public by reducing commercial motor vehicle crashes.

Technology is fundamentally changing our transportation system, and incorporating new technologies into how FMCSA and State partners inspect and oversee the increasing movement of goods will enhance FMCSA's ability to implement the more than seventy FMCSA mandates contained in the bi-partisan FAST Act. These additional resources will allow FMCSA to invest in staffing and 21st century cutting-edge technology, as well as supplement Motor Carrier Safety Grants for State partners.

Exhibit I-A
Federal Motor Carrier Safety Administration
FTE Organization Chart – FAST Only

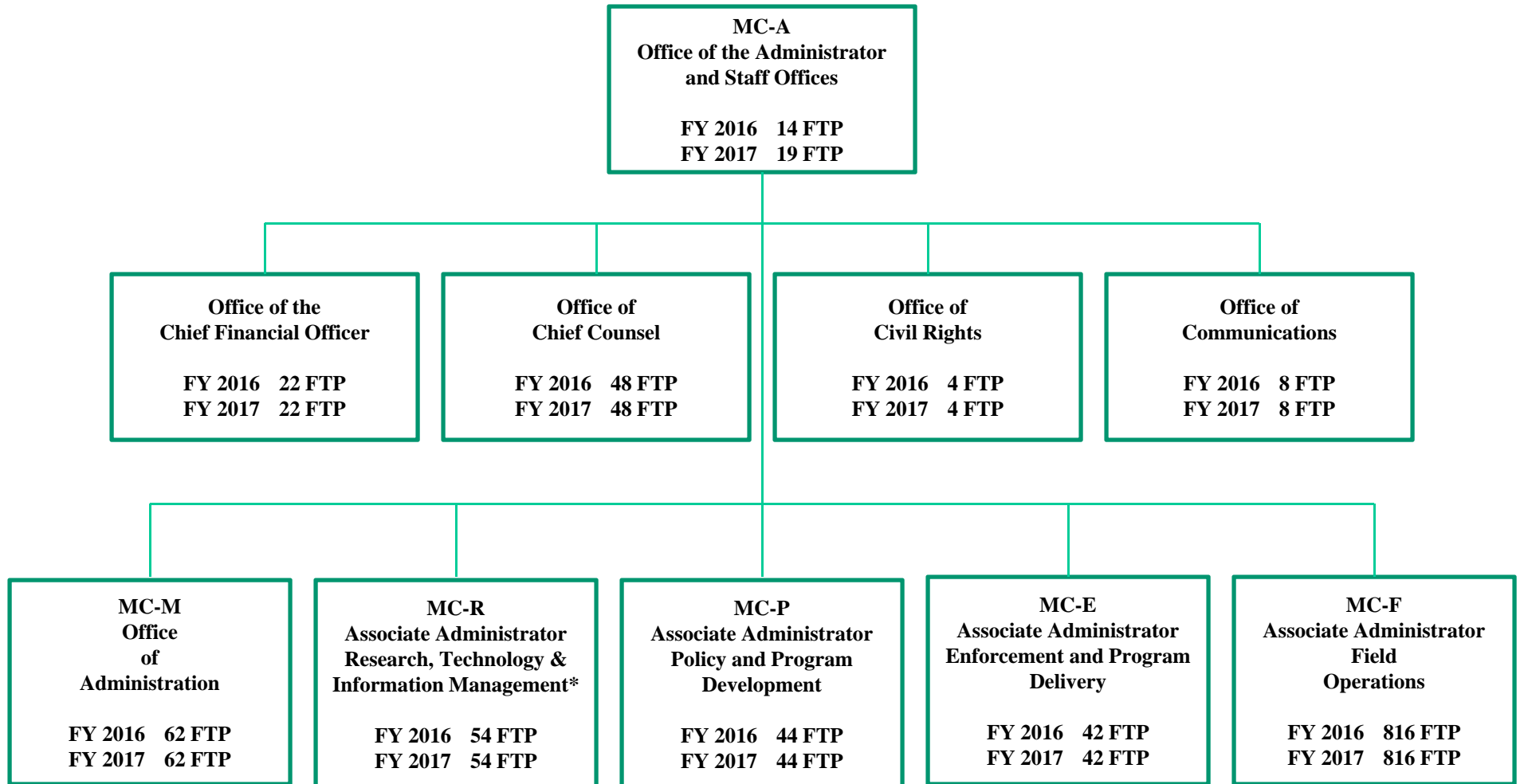


Total FY 2016 Enacted: 1,114 FTE
Total FY 2017 Request: 1,116.5 FTE

Exhibit I-B

Federal Motor Carrier Safety Administration

FTP Organization Chart



Total FY 2016 Enacted: 1,114 FTP

Total FY 2017 Request: 1,119 FTP

EXHIBIT II-I**FY 2017 COMPARATIVE STATEMENT OF NEW BUDGET AUTHORITY
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
(\$000)**

ACCOUNT NAME	FY 2015 ENACTED	FY 2016 ENACTED	FY 2017 TARGET	FY 2017 REQUEST
Motor Carrier Safety Operations & Programs (Transportation Trust Fund Highway Account)				
Liquidation of Contract Authorization	(259,000)	(267,400)	(277,200)	(277,200)
Limitation on Obligations	(271,000)	(267,400)	(277,200)	(277,200)
Motor Carrier Safety Grants (Transportation Trust Fund Highway Account)				
Liquidation of Contract Authorization	(313,000)	(313,000)	(367,000)	(367,000)
Limitation on Obligations	(313,000)	(313,000)	(367,000)	(367,000)
21st Century Transportation Investments				
Liquidation of Contract Authorization	0	0	(150,000)	(150,000)
Limitation on Obligations	0	0	(150,000)	(150,000)
TOTAL LIQUIDATION OF CONTRACT AUTHORITY	(572,000)	(580,400)	(794,200)	(794,200)
TOTAL LIMITATION ON OBLIGATIONS	(584,000)	(580,400)	(794,200)	(794,200)

EXHIBIT II-2

**FY 2017 TOTAL BUDGETARY RESOURCES BY APPROPRIATION ACCOUNTS
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)**

	(A)	(B)	(C)	(D)	(E)	(F)	(G)
ACCOUNTS	FY 2015 ACTUAL	FY 2016 ENACTED	FY 2017 TARGET	FY 2017 BASELINE ESTIMATED	FY 2017 PROGRAM CHANGES	TOTAL REQUEST (D + E)	VARIANCE FROM TARGET
Motor Carrier Safety Operations & Programs 2/:							
Operating Expenses	210,455	218,855	264,020	222,408	41,612	264,020	0
Research and Technology	9,000	9,000	9,180	9,180	0	9,180	0
Information Management	34,545	34,545	0	35,236	-35,236	0	0
Outreach and Education	4,000	4,000	4,000	4,000	0	4,000	0
CIP, Energy Products, and SFD IT 1/	6,700	0	0	0	0	0	0
Hours of Service - 2015 Unobligated Bal 1/	4,000	0	0	0	0	0	0
Commercial Motor Vehicle Operating Grants	2,300	1,000	0	1,000	-1,000	0	0
Total Motor Carrier Safety Operations & Programs	271,000	267,400	277,200	271,824	5,376	277,200	(0)
Motor Carrier Safety Grants 2/:							
Motor Carrier Safety Assistance Program	218,000	218,000	0	218,000	-218,000	0	0
MCSAP Basic	168,275	168,275	0	168,275	-168,275	0	0
MCSAP New Entrant	32,000	32,000	0	32,000	-32,000	0	0
MCSAP High Priority	15,000	15,000	0	15,000	-15,000	0	0
MCSAP Administrative Takedown	2,725	2,725	0	2,725	-2,725	0	0
MCSAP General (Includes Basic, New Entrant, Border, PRISM, and SaDIP)	0	0	292,600	0	292,600	292,600	0
MCSAP High Priority	0	0	42,200	0	42,200	42,200	0
Border Enforcement Grants (BEG)	32,000	32,000	0	32,000	-32,000	0	0
Safety Data Improvement (SaDIP)	3,000	3,000	0	3,000	-3,000	0	0
Commercial Vehicle Informaiton Systems and Networks (CVISN)	25,000	25,000	0	25,000	-25,000	0	0
Perforamnce and Registration Information Systems Management (PRISM)	5,000	5,000	0	5,000	-5,000	0	0
Commercial Drivers License Program Improvement (CDL)	30,000	30,000	31,200	30,000	1,200	31,200	0
Partner Training and Program Support (PTAPS) (non-add)	0	0	5,490	0	5,490	5,490	0
Commercial Motor Vehicle Operating Grants	0	0	1,000	0	1,000	1,000	0
Total Motor Carrier Safety Grants	313,000	313,000	367,000	313,000	54,000	367,000	0
21st Century Transportation Investments							
Multi-Modal Safety Funding	0	0	150,000	0	150,000	150,000	0
Grand Total	584,000	580,400	794,200	584,824	209,376	794,200	0

1/ The FY2015 Omnibus; Consolidated and Further Continuing Appropriations Act (P.L. No. 113-235) established to legislatively funded priorities, \$4 million for the agency's use in studying Hours of Service and \$6.7 million to support FMCSA's Capital Improvement Plan, Energy Products efforts, and IT improvements related to the screening of new carriers.

2/ Exclusive of only funds authorized in the Fixing America's Surface Transportation (FAST) Act, P.L. 114-94

EXHIBIT II-3

FY 2017 BUDGET REQUEST BY DOT STRATEGIC AND ORGANIZATION GOALS
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
(\$000)

	Safety	Environmental Sustainability	State of Good Repair	Quality of Life in Communities	Security Preparedness, and Other Supporting Objectives	Economic Competitiveness	Organizational Excellence	
MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS	241,008	0,000	0,000	0,000	0,000	3,138	33,054	277,200
SAFETY	241,008							241,008
Enforcement and Intervention (Programs)	169,511							169,511
IT Development and Sustainment	31,203							31,203
Research	7,584							7,584
Safety Mission Support	32,710							32,710
ENVIRONMENTAL SUSTAINABILITY		0						0
STATE OF GOOD REPAIR			0					0
QUALITY OF LIFE IN COMMUNITIES				0				0
SECURITY PREPAREDNESS, AND OTHER SUPPORTING OBJECTIVES					0			0
ECONOMIC COMPETITIVENESS						3,138		3,138
Enforcement and Intervention (Programs)						3,138		3,138
ORGANIZATIONAL EXCELLENCE							33,054	33,054
Safety Mission Support							33,054	33,054
MOTOR CARRIER SAFETY GRANTS	367,000	0	0	0	0	0	0	367,000
SAFETY	367,000	0	0	0	0	0	0	367,000
Enforcement and Intervention (Grants)	367,000	0	0	0	0	0	0	367,000
Multi-Model Safety Investments	150,000	0	0	0	0	0	0	150,000
SAFETY	150,000	0	0	0	0	0	0	150,000
Enforcement and Intervention (Programs)	30,252	0	0	0	0	0	0	30,252
IT Development and Sustainment	43,729	0	0	0	0	0	0	43,729
Research	11,803	0	0	0	0	0	0	11,803
Safety Mission Support	39,216	0	0	0	0	0	0	39,216
Grants	25,000	0	0	0	0	0	0	25,000
TOTAL FY 2017 REQUEST	758,008	0	0	0	0	3,138	33,054	794,200

FTE (direct funded only)

1,260

1,260

EXHIBIT II-3-A

**FY 2017 BUDGET REQUEST BY DOT OUTCOMES
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
(\$000)**

DOT OUTCOME	PROGRAM	FY 2017 REQUEST
SAFETY		758,008
Reduction in Injuries and Fatalities	Enforcement and Intervention (PRIMARY)	591,763
Reduction in Injuries and Fatalities	IT Development and Sustainment	74,932
Reduction in Injuries and Fatalities	Research	19,387
Other	Safety Mission Support (People)	71,926
ENVIRONMENTAL SUSTAINABILITY		0
STATE OF GOOD REPAIR		0
QUALITY OF LIFE IN COMMUNITIES		0
SECURITY PREPAREDNESS, AND OTHER SUPPORTING OBJECTIVES		0
ECONOMIC COMPETITIVENESS		3,138
Maximize economic returns	Enforcement and Intervention (Programs)	3,138
ORGANIZATIONAL EXCELLENCE		33,054
	Safety Mission Support	33,054
TOTAL FY 2015 REQUEST		794,200

EXHIBIT II-4

**FY 2017 BUDGET AUTHORITY
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
(\$000)**

	(A)	(B)	(C)	(D)	(E)	(F)	(G)
ACCOUNTS	FY 2015 ACTUAL	FY 2016 ENACTED	FY 2017 TARGET	FY 2017 BASELINE ESTIMATED	FY 2017 PROGRAM CHANGES	TOTAL REQUEST (D + E)	VARIANCE FROM TARGET
Motor Carrier Safety Operations & Programs 2/:							
Operating Expenses	210,455	218,855	264,020	222,408	41,612	264,020	0
Research and Technology	9,000	9,000	9,180	9,180	0	9,180	0
Information Management	34,545	34,545	0	35,236	-35,236	0	0
Outreach and Education	4,000	4,000	4,000	4,000	0	4,000	0
CIP, Energy Products, and SFD IT 1/	6,700	0	0	0	0	0	0
Hours of Service - 2015 Unobligated Bal 1/	4,000	0	0	0	0	0	0
Commercial Motor Vehicle Operating Grants	2,300	1,000	0	1,000	-1,000	0	0
Total Motor Carrier Safety Operations & Programs	271,000	267,400	277,200	271,824	5,376	277,200	0
Motor Carrier Safety Grants 2/:							
Motor Carrier Safety Assistance Program	218,000	218,000	0	218,000	-218,000	0	0
MSCAP Basic	168,275	168,275	0	168,275	-168,275	0	0
MSCAP New Entrant	32,000	32,000	0	32,000	-32,000	0	0
MSCAP High Priority	15,000	15,000	0	15,000	-15,000	0	0
MSCAP Administrative Takedown	2,725	2,725	0	2,725	-2,725	0	0
MCSAP General (Includes Basic, New Entrant, Border, PRISM, and SaDIP)	0	0	292,600	0	292,600	292,600	0
MCSAP High Priority	0	0	42,200	0	42,200	42,200	0
Border Enforcement Grants (BEG)	32,000	32,000	0	32,000	-32,000	0	0
Safety Data Improvement (SaDIP)	3,000	3,000	0	3,000	-3,000	0	0
Commercial Vehicle Information Systems and Networks (CVISN)	25,000	25,000	0	25,000	-25,000	0	0
Performance and Registration Information Systems Management (PRISM)	5,000	5,000	0	5,000	-5,000	0	0
Commercial Drivers License Program Improvement (CDL)	30,000	30,000	31,200	30,000	1,200	31,200	0
Partner Training and Program Support (PTAPS) (non-add)	0	0	5,490	0	5,490	5,490	0
Commercial Motor Vehicle Operating Grants	0	0	1,000	0	1,000	1,000	0
Total Motor Carrier Safety Grants	313,000	313,000	367,000	313,000	54,000	367,000	0
21st Century Transportation Investments							
Multi-Modal Safety Funding	0	0	150,000	0	150,000	150,000	0
Grand Total	584,000	580,400	794,200	584,824	209,376	794,200	0

1/ The FY2015 Omnibus; Consolidated and Further Continuing Appropriations Act (P.L. No. 113-235) established to legislatively funded priorities, \$4 million for the agency's use in studying Hours of Service and \$6.7 million to support FMCSA's Capital Improvement Plan, Energy Products efforts, and IT improvements related to the screening of new carriers.

2/ Exclusive of only funds authorized in the Fixing America's Surface Transportation (FAST) Act, P.L. 114-94

EXHIBIT II-5**FY 2017 OUTLAYS
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
(\$000)**

ACCOUNT NAME	FY 2015 ACTUAL	FY 2016 ENACTED	FY 2017 REQUEST
Motor Carrier Safety	0	0	0
National Motor Carrier Safety Program	0	12,000	1,000
Motor Carrier Safety Operations & Programs	255,263	238,150	248,110
Motor Carrier Safety Grants	275,745	331,516	352,000
21st Century Transportation Investments	0	0	45,000
TOTAL	531,008	581,666	646,110
 [Mandatory]	 0	 0	 45,000
[Discretionary]	531,008	581,666	601,110

EXHIBIT II-6

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

Motor Carrier Safety Operations and Programs 69-X-8159	BASELINE CHANGES										FY 2017 Request
	FY 2015 Actual	FY 2016 Enacted	Annualization of 2016 Pay Raises	Annualization of 2016 FTE	2017 Pay Raises	GSA RENT	WCF Increase/Decrease	Inflation/Deflation	FY 2017 Baseline Estimate	Program Increases/Decreases	
PERSONNEL RESOURCES (FTE)	1,114	1,114	0	0	0	0	0	0	1,114	2.5	1,116.5
Direct FTE	1,114	1,114	0	0	0	0	0	0	1,114	2.5	1,116.5
FINANCIAL RESOURCES											
ADMINISTRATIVE EXPENSES											
Salaries and Benefits	\$129,264	\$131,880	\$429	\$0	\$1,588	\$0	\$0	\$0	\$133,896	\$415	\$134,312
Travel	\$8,910	\$8,910	\$0	\$0	\$0	\$0	\$0	\$178	\$9,088	\$10	\$9,098
GSA Rent	\$16,265	\$19,246	\$0	\$0	\$0	\$0	\$0	\$385	\$19,631	\$0	\$19,631
Administrative Costs (Training, Supplies, Equipment)	\$1,824	\$7,267	\$0	\$0	\$0	\$0	\$0	\$145	\$7,412	\$1,987	\$9,399
Contracts	\$36,648	\$30,882	\$0	\$0	\$0	\$0	\$0	\$618	\$31,500	\$35,989	\$67,489
WCF	\$9,666	\$10,170	\$0	\$0	\$0	\$0	\$0	\$0	\$10,170	(\$145)	\$10,025
Program Cost (Fleet, Border Facilities, Academy, Uniforms)											
	\$7,878	\$10,500	\$0	\$0	\$0	\$0	\$0	\$210	\$10,710	\$3,357	\$14,067
Administrative Subtotal	\$210,455	\$218,855	\$429	\$0	\$1,588	\$0	\$0	\$1,536	\$222,408	\$41,612	\$264,020
PROGRAMS											
Research and Technology	\$9,000	\$9,000	\$0	\$0	\$0	\$0	\$0	\$180	\$9,180	\$0	\$9,180
Info Management	\$34,545	\$34,545	\$0	\$0	\$0	\$0	\$0	\$691	\$35,236	(\$35,236)	(\$0)
Outreach and Education	\$4,000	\$4,000	\$0	\$0	\$0	\$0	\$0	\$0	\$4,000	\$0	\$4,000
CIP, Energy Products, and SFD IT 1/	\$6,700	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hours of Service - 2015 Unobligated Bal 1/	\$4,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Programs Subtotal	\$58,245	\$47,545	\$0	\$0	\$0	\$0	\$0	\$871	\$48,416	(\$35,236)	\$13,180
GRANTS											
Commercial Motor Vehicle Grant - Direct	\$1,000	\$1,000	\$0	\$0	\$0	\$0	\$0	\$0	\$1,000	(\$1,000)	\$0
Commercial Motor Vehicle Grant - 2015 Unobligated Bal 1/	\$1,300	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total Grants	\$2,300	\$1,000	\$0	\$0	\$0	\$0	\$0	\$0	\$1,000	(\$1,000)	\$0
TOTAL	\$271,000	\$267,400	\$429	\$0	\$1,588	\$0	\$0	\$2,407	\$271,823	\$5,376	\$277,200

EXHIBIT II-6

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

<u>Motor Carrier Safety Grants</u> <u>69-X-8158</u>	BASELINE CHANGES									FY 2017 Baseline Estimate	Program Increases/ Decreases	FY 2017 Request
	FY2015 Actual	FY 2016 Enacted	Annualization of 2016 Pay Raises	Annualization of FY 2016 FTE	2017 Pay Raises	GSA Rent	WCF Increase/ Decrease	Inflation/ Deflation				
Motor Carrier Safety Assistance Program (MCSAP)	218,000	218,000	0	0	0	0	0	0	0	218,000	(218,000)	0
MCSAP BASIC	168,275	168,275	0	0	0	0	0	0	0	168,275	(168,275)	0
MCSAP New Entrant	32,000	32,000	0	0	0	0	0	0	0	32,000	(32,000)	0
MCSAP High Priority	15,000	15,000	0	0	0	0	0	0	0	15,000	(15,000)	0
MCSAP Administrative Takedown	2,725	2,725	0	0	0	0	0	0	0	2,725	(2,725)	0
MCSAP General (Includes Basic, New Entrant, Border, PRISM, and SaDIP)	0	0	0	0	0	0	0	0	0	0	292,600	292,600
MCSAP High Priority	0	0	0	0	0	0	0	0	0	0	42,200	42,200
Border Enforcement Grants (BEG)	32,000	32,000	0	0	0	0	0	0	0	32,000	(32,000)	0
Safety Data Improvement (SaDIP)	3,000	3,000	0	0	0	0	0	0	0	3,000	(3,000)	0
Commercial Vehicle Information Systems and Networks (CVISN)	25,000	25,000	0	0	0	0	0	0	0	25,000	(25,000)	0
Performance and Registration Information Systems Management (PRISM)	5,000	5,000	0	0	0	0	0	0	0	5,000	(5,000)	0
Commercial Drivers License Program Improvement (CDL)	30,000	30,000	0	0	0	0	0	0	0	30,000	1,200	31,200
Partner Training and Program Support (PTAPS) (non-add)	0	0	0	0	0	0	0	0	0	0	5,490	5,490
Commercial Motor Vehicle Operating Grants	0	0	0	0	0	0	0	0	0	0	1,000	1,000
GRAND TOTAL MOTOR CARRIER SAFETY GRANTS	313,000	313,000	0	0	0	0	0	0	0	313,000	54,000	367,000

EXHIBIT II-6

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

<u>21st Century Clean Transportation Plan Investments</u>	BASELINE CHANGES									FY 2017 Baseline Estimate	Program Increases/ Decreases	FY 2017 Request
	FY2015 Actual	FY 2016 Enacted	Annualization of 2016 Pay Raises	Annualization of FY 2016 FTE	2017 Pay Raises	GSA Rent	WCF Increase/ Decrease	Inflation/ Deflation				
Multi-Modal Safety Funding	0	0	0	0	0	0	0	0	0	0	150,000	150,000
Motor Carrier Safety Operations & Programs funding augmentation	0	0	0	0	0	0	0	0	0	0	125,000	125,000
MCSAP BASIC grant funding augmentation	0	0	0	0	0	0	0	0	0	0	25,000	25,000
GRAND TOTAL MOTOR CARRIER SAFETY GRANTS	0	0	0	0	0	0	0	0	0	0	150,000	150,000

EXHIBIT II-7

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

	FY 2015 ACTUAL	FY 2016 ENACTED	FY 2017 REQUEST 1/	CHANGE
DIRECT				
Motor Carrier Safety Operations & Programs	9,666	10,170	10,025	-145
TOTAL	9,666	10,170	10,025	-145

1/ Exclusive of only funds authorized in the Fixing America's Surface Transportation (FAST) Act, P.L. 114-94

EXHIBIT II-8**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
PERSONNEL RESOURCE SUMMARY - FAST ACT 1/
TOTAL FULL-TIME EQUIVALENTS**

	<u>FY 2015 ACTUAL</u>	<u>FY 2016 ENACTED</u>	<u>FY 2017 REQUEST</u>
DIRECT FUNDED BY APPROPRIATION			
Motor Carrier Safety Operations & Programs	1114.0	1114.0	1116.5
SUBTOTAL, DIRECT FUNDED	<u>1114.0</u>	<u>1114.0</u>	<u>1116.5</u>
REIMBURSEMENTS/ALLOCATIONS/OTHER			
Motor Carrier Safety Operations & Programs	61.0	61.0	61.0
SUBTOTAL, REIMBURSE./ALLOC./OTH.	<u>61.0</u>	<u>61.0</u>	<u>61.0</u>
TOTAL FTEs	<u>1175.0</u>	<u>1175.0</u>	<u>1177.5</u>

1/ Exclusive of only funds authorized in the Fixing America's Surface Transportation (FAST) Act, P.L. 114-94

EXHIBIT II-9

**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
PERSONNEL RESOURCE SUMMARY - STAFFING
FULL-TIME PERMANENT POSITIONS - FAST ACT 1/**

	<u>FY 2015 ACTUAL</u>	<u>FY 2016 ENACTED</u>	<u>FY 2017 REQUEST</u>
<u>DIRECT FUNDED BY APPROPRIATION</u>			
Motor Carrier Safety Operations & Programs	<u>1,114.0</u>	<u>1,114.0</u>	<u>1,119.0</u>
SUBTOTAL, DIRECT FUNDED	1,114.0	1,114.0	1,119.0
<u>REIMBURSEMENTS/ALLOCATIONS/OTHER</u>			
Motor Carrier Safety Operations & Programs	<u>61.0</u>	<u>61.0</u>	<u>61.0</u>
SUBTOTAL, REIMBURSE./ALLOC./OTH.	61.0	61.0	61.0
TOTAL POSITIONS	<u>1,175.0</u>	<u>1,175.0</u>	<u>1,180.0</u>

1/ Exclusive of only funds authorized in the Fixing America's Surface Transportation (FAST) Act, P.L. 114-94

ANALYSIS OF APPROPRIATIONS LANGUAGE CHANGE – GENERAL PROVISIONS

AS REQUESTED BY HOUSE REPORT 114-129, ACCOMPANYING H.R.2577

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

- Section 130: Deleted
 - Justification: This provision was struck to preserve agency flexibility to accomplish the Agency's safety goals, as defined by the FAST Act and other authorizations.
- Section 131: Deleted
 - Justification: This provision was struck to preserve agency flexibility to accomplish the Agency's safety goals, as defined by the FAST Act and other authorizations.
- Section 132: Deleted
 - Justification: This provision was struck to preserve agency flexibility to accomplish the Agency's safety goals, as defined by the FAST Act and other authorizations.
- Section 133: Deleted
 - Justification: This provision was struck to preserve agency flexibility to accomplish the Agency's safety goals, as defined by the FAST Act and other authorizations.
- Section 134: Deleted
 - Justification: This provision was struck to preserve agency flexibility to accomplish the Agency's safety goals, as defined by the FAST Act and other authorizations.
- Section 135: Deleted
 - Justification: This provision was struck to preserve agency flexibility to accomplish the Agency's safety goals, as defined by the FAST Act and other authorizations.
- Section 136: Deleted
 - Justification: This provision was struck to preserve agency flexibility to accomplish the Agency's safety goals, as defined by the FAST Act and other authorizations.
- Section 137: Deleted
 - Justification: This provision was struck to preserve agency flexibility to accomplish the Agency's safety goals, as defined by the FAST Act and other authorizations.

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Section III: Budget Request by Appropriation Account

APPROPRIATIONS LANGUAGE Motor Carrier Safety Operations and Programs

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS

(LIQUIDATION OF CONTRACT AUTHORIZATION)

(LIMITATION ON OBLIGATIONS)

(HIGHWAY TRUST FUND)

For payment of obligations incurred in the implementation, execution and administration of motor carrier safety operations and programs pursuant to section 31110 of title 49, United States Code, as amended by the Fixing America's Surface Transportation Act, \$277,200,000, to be derived from the Highway Trust Fund (other than the Mass Transit Account), together with advances and reimbursements received by the Federal Motor Carrier Safety Administration, the sum of which shall remain available until expended: Provided, that funds available for implementation, execution or administration of motor carrier safety operations and programs authorized under title 49, United States Code, shall not exceed total obligations of \$277,200,000 for "Motor Carrier Safety Operations and Programs" for FY 2017, of which \$9,180,000, to remain available for obligation until September 30, 2019, is for the research and technology program.

PROGRAM AND PERFORMANCE STATEMENT

Motor Carrier Safety Operations and Programs

The Motor Carrier Safety Operations and Programs account provides the necessary resources to support program and administrative activities for motor carrier safety. The FMCSA will continue to improve safety and reduce severe and fatal commercial motor vehicles crashes by raising the bar to entry into the commercial motor vehicle industry, by requiring operators to maintain standards to remain in the industry, and by removing high-risk carriers, vehicles, drivers and service providers from operation. Funding supports nationwide motor carrier safety and consumer enforcement efforts, including regulation and enforcement of movers of household goods, and Federal safety enforcement activities at borders to ensure that foreign domiciled carriers entering the U.S. are in compliance with FMSCA Regulations. Resources are also provided to fund information management, investment in research and technology, safety outreach and education, and FMCSA's safety and consumer telephone hotline. The FY 2017 funding request reflects continued focus on Agency efforts to address safety and efficiency issues at its facilities, an increased focus on Agency training needs and the implementation of a Program Integration Office.

EXHIBIT III-1-A
MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS
69-X-8159
Summary by Program Activity
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

ACCOUNTS	FY 2015 ENACTED 2/	FY 2016 PRES. BUD.	FY 2017 TARGET	FY 2017 REQUEST	CHANGE FY 2016-2017
Motor Carrier Safety Operations & Programs 2/:					
Operating Expenses	210,455	218,855	264,020	264,020	45,165
Research and Technology	9,000	9,000	9,180	9,180	180
Information Management	34,545	34,545	0	0	(34,545)
Outreach and Education	4,000	4,000	4,000	4,000	0
CIP, Energy Products, and SFD IT 1/	6,700	0	0	0	0
Hours of Service - 2015 Unobligated Bal 1/	4,000	0	0	0	0
Commercial Motor Vehicle Grant	2,300	1,000	0	0	(1,000)
Total Motor Carrier Safety Operations and Programs	271,000	267,400	277,200	277,200	9,800
 FTE Direct Funded	 1,114	 1,114	 1,117	 1,117	 3
 FTE Reimbursable	 61	 61	 61	 61	 0

1/ The FY2015 Omnibus; Consolidated and Further Continuing Appropriations Act (P.L. No. 113-235) established to legislatively funded priorities, \$4 million for the agency's use in studying Hours of Service and \$6.7 million to support FMCSA's Capital Improvement Plan, Energy Products efforts, and IT improvements related to the screening of new carriers.

2/ Exclusive of only funds authorized in the Fixing America's Surface Transportation (FAST) Act, P.L. 114-94

EXHIBIT III-1-A-1
MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS
Summary Analysis of Change from FY 2016 to FY 2017
Appropriations, Obligations, Limitations, and Exempt Obligations
(\$000)

	Change from FY 2016 to FY 2017 (\$000)	Change from FY 2016 to FY 2017 (FTE)
FY 2016 BASE	267,400	1,114
ADJUSTMENTS TO BASE		
2016 Pay Raises	429	
2017 Pay Raises	1,588	
Inflation		
PC&B	0	0
Travel	178	
GSA Rent	385	
Administrative Costs (Training, Supplies, Equipment)	145	
Working Capital Fund	0	
Contracts	1,489	
Program Cost (Fleet, Border Facilities, Academy, Printing)	210	
SUBTOTAL, ADJUSTMENTS TO BASE	4,424	0
NEW OR EXPANDED PROGRAMS		
Additional FTE	415	3
Travel	10	
GSA Rent	0	
Administrative Costs (Training, Equipment, Supplies)	1,987	
Working Capital Fund	(145)	
Grants	(1,000)	
Contracts	753	
Program Cost (Fleet, Border Facilities, Academy, Printing)	3,357	
SUBTOTAL, NEW OR EXPANDED PROGRAMS	5,376	3
FY 2017 REQUEST	277,200	1,117

OPERATIONS AND PROGRAMS SUMMARY

Motor Carrier Safety Operations and Programs

Component Appropriations

(\$000)	<u>FY 2015</u>	<u>FY 2016</u>	<u>FY2017</u>
	<u>Actual</u>	<u>Enacted</u>	<u>Request</u>
General Operation Expenses (GOE)	\$210,454	\$218,855	\$264,020
Information Management	\$33,446	\$34,545	\$0
Research and Technology	\$3,998	\$9,000	\$9,180
Outreach and Communications	\$3,868	\$4,000	\$4,000 1/
CMV Grants	\$2,270	\$1,000	\$0 2/ 3/
CIP, Energy Products, and SFD IT	\$6,678	\$0	\$0 3/
Hours of Service - 2015 Unobligated Bal	\$4,000	\$0	\$0 3/
Total Operations	\$264,714	\$267,400	\$277,200

1/ The FAST Act altered Outreach and Education from a setaside to a ceiling.
2/ The FAST Act shifts funding for CMV Grants from Operations to Grants in FY2017.
3/ The FY 2015 Omnibus allowed FMCSA to access \$12 million in unobligated balances to

The Motor Carrier Safety Operations and Programs FY 2017 funding requests resources to address safety and efficiency issues at FMCSA's facilities, a majority of which are at border inspection posts, fund the ongoing establishment of a Program Integration Office (PIO) within FMCSA and enhance training for FMCSA's safety and safety support staff.

The Fixing America's Surface Transportation Act (FAST Act) has impacted Motor Carrier Safety Operations and Programs by:

- Moving the Commercial Motor Vehicle Grant program from Motor Carrier Safety Operations and Programs to Motor Carrier Safety Grants beginning in FY 2017; and
- Amending the funding language related to FMCSA's Outreach and Education program, which falls under Motor Carrier Safety Operations and Programs. Previously, Outreach and Education funding was specified at \$4 million per year, but under the FAST Act funding language for this program was revised to permit funding levels "not more than" \$4 million per year. FMCSA is requesting \$4 million in funding for Outreach and Education in FY 2017. The estimate for FY 2017 is \$4 million; the final executed level may be lower.

FMCSA is proposing to end the separate appropriation set-aside for Information Management. This current three-year appropriations set-aside was established in FY2014 and continues through FY 2016. In practice, FMCSA discovered that "information management" activities are not easily definable, that the funding for these activities was more matrixed within the

organization than envisioned, and that adhering to the fiscal law and regulations associated with an appropriation was more complex and time consuming than the benefits of three year funding provided. Further, in the execution of these funds, the Agency determined that they were almost fully executed each year, with limited balances being carried over year to year. Finally, the Federal Information Technology Acquisition Reform Act (FITARA) encourages federal agencies to be more streamlined and efficient in their operations; having an appropriations law barrier between information management and information technology activities created requirements for contracts/agreements which were more complex than necessary, with the inability to easily plan and shift resources between competing priorities within the purview of the Agency's Chief Information Officer.

General Operating Expenses Executive Summary

<u>General Operating Expenses (GOE) Spending by Office (\$000)</u>			
	FY2015	FY2016	FY2017
	Enacted	Enacted	Request 2/
Office of the Administrator (MC-A) 3/	\$11,957	\$19,983	\$21,517
Office of the Chief Financial Officer (MC-B)	\$11,837	\$11,863	\$12,045
Office Of Enforcement (MC-E)	\$13,629	\$13,659	\$13,872
Office of Field Operations (MC-F)	\$95,209	\$95,417	\$99,017
Office of Administration (MC-M)	\$40,614	\$40,702	\$44,522
Office of Policy (MC-P)	\$12,419	\$12,446	\$12,645
Office of Research and Information Technology (MC-R) 1/	\$24,731	\$24,785	\$60,401
Total	\$210,396	\$218,855	\$264,020

1/ CIO activities are discussed separate from MC-R in the text, but for funding purposes, shown combined here.

2/ In FY2017, FMCSA proposes to collapse the Information Management appropriation back into GOE (its funding source in FY2013). That is the only non-inflationary increase in MC-R.

3/ The FY2016 FAST Act provided \$8M above the FY2015 GOE Enacted level. FMCSA has programmed all \$8M to a cost center to pay for the costs of FAST Act implementation. They are shown in MC-A in FY 2016 and FY 2017, but will be distributed to each Office as implementation requires in FY2016 and FY2017.

FMCSA requests \$264.0 million for General Operating Expenses (GOE) and 1,116.5 direct FTE. GOE funds core non-grant operations, Research and Technology (R&T), and Outreach and Education (an authorization set-aside).

Program budget funding and staffing from each of these offices are combined to comprehensively implement FMCSA's operations. Regulations crafted under the Office of Policy are incorporated into policies and procedures by the Office of Enforcement executed through the Office of Field Operations. Through the Enforcement and Compliance Intervention programs, FMCSA regulates 539,000 companies and more than 4 million drivers holding active commercial drivers' licenses. The Enforcement and Compliance Intervention programs focus on raising the bar to enter the industry; ensure that high standards are maintained; and remove unsafe carriers, drivers and vehicles from the roads.

With these requested GOE resources, the Agency will increase the amount of contacts made with the industry; improve identification of chameleon carriers and job hoppers; improve the safety of motor coaches and the transportation of hazardous materials; improve consumer protections; ensure the safety of Canadian and Mexican carriers and drivers; remove unsafe carriers and

drivers from the roadways, and establish other needed safety enforcement and compliance programs. This additional funding and staffing will allow the Agency to make another significant reduction in the numbers of truck and bus crashes, fatalities and injuries, keeping the Nation's roadways safe.

Mission support activities are critical to support FMCSA's safety goal. Supported activities within the GOE budget include registration, statistics and analysis, and the National Training Center. GOE funds FMCSA's executive offices including: Office of the Administrator, Chief Counsel, and Government Affairs. Core administrative functions are also included, among them: acquisitions, auditing, budget, civil rights, finance, grants management, human resources, and management services. These funds also support central expenses - rent, telecommunications and FMCSA's share of Working Capital Fund charges.

GOE – FMCSA Personnel Costs

	FY 2015 Actual	FY 2016 Enacted	Annual. of 2016 Pay Raises	Annual. of 2016 FTE	2017 Pay Raises	FY 2017 Baseline Estimate	Program Changes	FY 2017 Request
Salaries and Benefits	\$129,264	\$131,880	\$429	\$0	\$1,588	\$133,897	\$415	\$134,312

FMCSA staff costs are critical to our safety mission and are heavily distributed towards the field, not headquarters. Approximately 73% of FMCSA staff is located in field or regional offices, as is 66% percent of salary costs, a slight tilt owing to more administrative and junior staff located in field offices.

<u>Direct Personnel Expenses by Office (\$000)</u>			
	FY2015 Enacted	FY2016 Enacted	FY2017 Request
Office of the Administrator (MC-A)	\$10,813	\$11,032	\$11,617
Office of the Chief Financial Officer (MC-B)	\$4,013	\$4,094	\$4,156
Office Of Enforcement (MC-E)	\$5,685	\$5,800	\$5,888
Office of Field Operations (MC-F)	\$86,092	\$87,834	\$89,176
Office of Administration (MC-M)	\$8,269	\$8,437	\$8,566
Office of Policy (MC-P)	\$6,307	\$6,435	\$6,533
Office of Research and Information Technology (MC-R) 1/	\$8,085	\$8,249	\$8,375
Total Direct Approp.	\$129,264	\$131,880	\$134,312

1/ CIO activities are discussed separate from MC-R in the text, but for funding purposes, shown combined here.

<u>General Operating Expenses (GOE) FTE by Office</u>			
	FY2015 Enacted	FY2016 Enacted	FY2017 Request
Office of the Administrator (MC-A)	68.0	74.0	76.5
Office of the Chief Financial Officer (MC-B)	20.0	22.0	22.0
Office Of Enforcement (MC-E)	40.0	42.0	42.0
Office of Field Operations (MC-F)	786.0	816.0	816.0
Office of Administration (MC-M)	55.0	62.0	62.0
Office of Policy (MC-P)	40.0	44.0	44.0
Office of Research and Information Technology (MC-R) 1/	49.0	54.0	54.0
Total Direct Approp.	1,058.0	1,114.0	1,116.5

1/ CIO activities are discussed separate from MC-R in the text, but for funding purposes, shown combined here.

As part of the FY 2017 Request, FMCSA proposes a total of 1,116.5 FTE, an increase of 2.5 FTE over the FY 2016 Enacted budget. Total costs are estimated to be \$134.3 million; a \$2.4 million increase over FY 2016.

General Operating Expenses
Detailed Justification: Office of Enforcement (MC-E)

<u>Program Activity (\$000)</u>	FY2015 Enacted	FY2016 Enacted	FY2017 Request	Difference from FY 2016
Office Of Enforcement (MC-E)	\$13,629	\$13,659	\$13,872	\$214
Personnel	\$5,685	\$5,800	\$5,888	\$57
Other	\$7,944	\$7,859	\$7,984	\$157

What Does The Office of Enforcement Contribute?

For FY 2017, FMCSA requests \$13.9 million and 42.0 FTE for the Office of Enforcement. This organization is the central body for developing and promulgating enforcement and compliance policies governing CDL holders, truck and bus companies, brokers, freight forwarders, and intermodal equipment providers. The Office of Enforcement also establishes standards for compliance by the State commercial motor vehicle enforcement agencies and State Driver Licensing Agencies.

Driver Management and Oversight Program

Within the Office of Enforcement, the Driver Management and Oversight Program focuses on regulations, policies, projects and programs which raise the safety bar for obtaining and maintaining a commercial driver's license (CDL) to operate a CMV in interstate commerce. The FMCSA implements, administers, and evaluates the States' CDL programs and related activities. This includes establishing standards for testing and licensing commercial motor vehicle (CMV) drivers to ensure uniform and consistent implementation of the CDL program in the States. In addition, in FY 2017, the Agency continues programs to support military drivers transitioning to commercial trucking.

Grants Program Management

The Office of Enforcement is responsible for establishing the funding priorities and evaluation criteria based on identified safety needs for Motor Carrier Safety Assistance Program (MCSAP) (including legacy Basic, Incentive and High Priority programs), Commercial Motor Vehicle Operator Training, and the Commercial Driver License Program Improvement grant programs. In addition, it is responsible for evaluating the technical aspects of the applications; and recommending awards for the Agency's grant programs. For grants that are to non-State entities, the Office of Enforcement is also responsible for monitoring deliverables for timely completion; reviewing the grants for compliance with program requirements; meeting performance measures; requiring corrective action plans when deficiencies are identified; and establishing and monitoring internal controls to ensure, identify and promote best practices. In FY 2017, the Office of Enforcement will continue its efforts to automate applications and reporting. The

Office of Enforcement will also begin drafting changes to 49 CFR 350, the regulations for the Motor Carrier Safety Assistance Program (MCSAP), to incorporate enforcement changes resulting from the implementation of the Compliance, Safety, and Accountability program.

Enforcement and Compliance Interventions Program

The Office of Enforcement's enforcement and compliance programs are some of the primary tools used to deliver the Agency's Safety Mission. These programs fund FMCSA's nation-wide presence and, through grants, fund the State personnel responsible for conducting investigations, inspections, strike forces, audits, and other safety-related oversight of carriers, drivers, and vehicles. Funding and personnel will provide safety oversight of the motor carrier industry to ensure compliance with the Federal Motor Carrier Safety Regulations, the Hazardous Materials Regulations and the Federal Commercial Regulations. Focus areas include passenger safety, hazardous materials, household goods and foreign carriers. Increasing the quality and quantity of enforcement and compliance is proven to increase safety, and reduce commercial truck and bus crashes, injuries, and fatalities. In FY 2017, the Office of Enforcement will be working with the Office of Field Operations to complete implementation of new risk management tools and techniques so that the Agency's and State enforcement resources will be prioritized to the carriers that are the greatest risk.

Also in FY 2017, the Office of Enforcement will be completing its analysis of crash preventability analysis and coding for implementation with the Safety Measurement System. Additionally, the Office of Enforcement will be increasing passenger carrier reviews and completing an update of the hazardous materials route registry.

Border Programs Management and Oversight Program

This program is needed to maintain relationships with Canada and Mexico on CMV issues, including the development of uniform and consistent motor carrier, driver and CMV regulations, inspection procedures, and safety programs throughout North America. During FY 2017, the Office of Enforcement will continue to review and screen applications for long-haul operating authority by Mexico-domiciled motor carriers.

Why Is This Program Necessary?

Driver Management and Oversight Program

In FY 2017, the Office of Enforcement will continue to conduct State CDL program reviews to ensure uniformity and compliance with the Federal Motor Carrier Safety Regulations (FMCSRs). These reviews will also help detect and prevent CDL fraud, and assist in the oversight, monitoring, and improvement of the effectiveness of each State's testing and licensing procedures. This program is needed to ensure that the CDL testing and issuance standards across the States are uniform and in compliance with the standards established to ensure that only safe,

qualified drivers receive a CDL. In addition to the establishment of regulations that require the States to comply with CDL standards, FMCSA conducts program reviews of the States' programs to ensure that the States remain in compliance with these Federal requirements.

The current funding request will support the FMCSA's ability to enhance its oversight of State Drivers Licensing Agency's (SDLA) level of compliance with the Federal CDL regulations. Enhancement of FMCSA's oversight capability will improve safety by helping the Agency and its State partners identify unsafe drivers and remove their CDL privileges. With the FY 2017 requested funding levels, FMCSA plans to:

- Continue CDL program reviews, ensuring SDLAs are in compliance with all relevant Federal regulations and taking action on States that are not in substantial compliance with requirements;
- Continue outreach and education to the court stakeholder groups in partnership with SDLAs to improve accurate and timely conviction data transfer and prevention of diversion and masking cases;
- Increase awareness within the court system regarding federal regulations that differentiate commercial driver regulations from non-commercial;
- Working with Federal and State partners, as well as veterans support groups, to expand opportunities for veterans and active duty military personnel to transition to a civilian CDL based on experience and training while on active duty;
- Work with States to implement minimum standards for Employer Notification Systems and provide grant funding to encourage voluntary compliance; and
- Complete the National Registry of Certified Medical Examiners connection to the Commercial Driver's License Information System.

Enforcement and Compliance Interventions Program

In FY 2017, the Office of Enforcement will continue ensuring uniform application of enforcement programs and continuous improvement of these programs based on lessons learned and new data. Focused programs will target unsafe drivers and high risk motor carriers. The Office of Enforcement will coordinate closely with the Office of Research and Information Technology who will develop implementation tools related to the proposed Safety Fitness Determination rule, the creation of compliance and consent agreements, and enhancements to the enforcement systems.

The Office of Enforcement and the Office of Research and Information Technology are also committed to on-going analysis of and technical improvements to the Safety Measurement System (SMS). FMCSA will continue to pursue distinguishing preventable crashes in SMS and making other enhancements to refine the prioritization results produced by the system.

In order to comply with the MAP-21 requirements to complete new entrant safety audits in 12 months for property carriers and 120 days for motorcoach operators, additional grant funding is needed. The FAST Act maintains the additional funding in the MCSAP formula grants to accommodate this change in the program and also authorizes FMCSA to utilize general operating expenses funds to conduct safety reviews of new operators. Conducting reviews within the first 12 months (as opposed to the old requirement of 18 months) results in more audits conducted due to reviews of carriers that would end up going out of business between months 12-18. The volume of applicants remains continuous as there is significant turnover in the trucking industry that results in about 35,000 new entrants every year.

Commercial Enforcement Program

The Commercial Enforcement Program within the Office of Enforcement will combat the increasing number of rogue household goods movers and brokers that intentionally provide low estimates to get a moving contract but then refuse to deliver the goods unless they receive significantly more money than the initial quote (“hostage loads”). Funding at the requested level provides the resources needed to sustain the program.

Border Programs Management and Oversight Program

This request is to support the Agency’s Border Programs that develop and implement strategies to oversee the safety of motor carriers, drivers, and trucks entering the United States from Mexico and Canada. The request includes funding for improving and maintaining border operations; and completing changes based on updated MOU with Canada and Mexico regarding CDL reciprocity.

The Office of Enforcement facilitates cooperative working relationships with the United States, Mexico, and Canada to develop and implement more uniform and consistent CMV regulations, inspection procedures, and safety programs throughout North America.

General Operating Expenses
Detailed Justification: Office of Field Operations (MC-F)

<u>Program Activity (\$000)</u>	FY2015 Enacted	FY2016 Enacted	FY2017 Request	Difference from FY 2016
Office of Field Operations (MC-F)	\$95,209	\$95,417	\$99,017	\$3,601
Personnel	\$86,092	\$87,834	\$89,176	\$1,342
Other	\$9,117	\$7,582	\$9,841	\$2,259
Adjustments to Base (excluding initiatives)	\$0	\$0	\$1,589	\$1,589
Facilities 1/ (non-add)	\$1,200	\$1,200	\$4,581	\$3,381
Training increase 2/	\$600	\$600	\$2,612	\$2,012

1/ Facilities funding directly supports field operations but is administered by the Office of Administration (MC-M). It is shown as a non-add here, but as a component of the MC-M budget as appropriate.

2/ The training increase will predominately support field safety personnel, but will also support safety and safety support personnel in other offices. These funds have not been programmed yet and are reported here only to Field (MC-F).

In FY 2017, the FMCSA Office of Field Operations requests \$7.1 million in additional funding above its FY 2016 President's Budget levels, including \$3.3 million directly for the Office of Field Operations and another \$3.8 million which will directly support facilities. These funds will support updating/upgrading its field facilities at the border, and increasing levels of training support for safety and safety support staff. Field facilities funding is organizationally part of our Office of Administration (MC-M), but reported here. Training funds requested will support staff across the agency, with the majority being used for field staff.

What Does the Office of Field Operations Program Contribute?

Data-driven targeted enforcement is FMCSA's primary strategy for meeting its safety goals. The Agency's Office of Field Operations is the front line of FMCSA, managing Division offices in each State, the District of Columbia and Puerto Rico and removing unsafe motor carriers, drivers, and vehicles from the Nation's highways through its enforcement activities. Through the Office of Field Operations, its four Service Centers and 52 Divisions, FMCSA targets high-risk carriers with various interventions including on-site comprehensive investigations, on-site focused investigations, off-site investigations, new entrant safety audits, hazardous materials carrier and shipper investigations, cargo tank facility investigations and roadside inspections. The Agency also has a successful partnership with the States to implement a significant portion of these programs via its grants programs. Utilizing the force multiplier of State and local law enforcement agencies, FMCSA also initiates strike forces as a key enforcement strategy in a comprehensive approach to ensure motor carriers are operating safely and in compliance with our Nation's commercial motor vehicle (CMV) safety regulations. The frequency of truck crashes, fatalities, and injuries have declined over the years, as a result of following efforts:

- Conducting 4-5 National strike forces per year;
- Conducting more than 3.5 million roadside inspections per year;
- Completing over 16,000 Federal and State on-site investigations per year;
- Conducting more than 200 high-profile household goods investigations per year;
- Conducting more than 1,500 hazardous materials investigations per year;
- Conducting more than 30,000 new entrant safety audits per year;
- Initiating over 10,000 enforcement actions per year; and
- Issuing more than 2,500 operations out-of-service orders per year.

Border Programs Implementation

The border enforcement program is needed to maintain relationships with Canada and Mexico on CMV safety issues, including the development of uniform and consistent CMV regulations, inspection procedures, and safety oversight programs throughout North America. The funds to staff current and planned border crossing facilities allows FMCSA to transition from a temporary to a permanent operational presence along the southern border and to adequately staff all CMV Land Ports of Entry (LPOE).

The Office of Field Operations will continue to improve both temporary and permanent inspection facilities to provide a safe, secure and efficient work environment at the nearly 30 ports of entry along the US-Mexico border. During FY 2014, FMCSA conducted over 400,000 commercial zone inspections along the southern border, and more than 30,000 of these were on Mexico-domiciled long-haul commercial vehicles and drivers crossing the border into the interior United States.

The Office of Field Operations will continue to reduce the vehicle out-of-service rates of Mexico-domiciled motor carriers by maintaining a robust inspection and oversight program. In FY 2001, the vehicle out-of-service (VOOS) rate for Mexico-domiciled carriers in the commercial zones was 34%, while in FY 2014 the VOOS rate for these carriers dropped to 17%.

FY 2017 Requested Funds for Field Operations

Office of Field Operations

In addition to funds required in FY 2017 to sustain current CMV safety oversight and enforcement, the Office of Field Operations will need resources to enhance its current oversight program of motorcoach operators and other passenger carriers transporting our most precious of commodities; additionally, given the MAP-21 legislative mandate to update the safety rating of every passenger carrier at least once every three years, the Agency has requested additional funding to support its Motorcoach Safety Oversight Program through the 21st Century Transportation Investments FY 2017 funding request. The Agency will also continue to execute its programs and make improvements to other enforcement and compliance policies and

procedures, including those dealing with reincarnated carriers. With the corresponding improvements in Information Technology Development and Sustainment, the Office of Field Operations will:

- Use Enhanced Investigative Techniques and expanded enforcement tools to conduct more in-depth investigations and ensure they maintain safe and compliant operations;
- Train State Investigators in Enhanced Investigative Techniques;
- Enhance a “borderless” approach in each Region to assist Division Offices with large mandatory carrier populations;
- Utilize Program Analysts to monitor carrier performance and prioritize investigative activities based on risk;
- Increase law enforcement awareness and education on the need to increase enforcement of serious traffic violations by drivers; and
- Provide training and awareness to improve the quality, quantity and timeliness of data relating to commercial driver activity in order to better track poor driving performance.

In addition to continuing to monitor the safety compliance of all motor carriers, and focusing on the safety compliance of passenger carriers in particular, significant effort will be dedicated in FY 2017 to investigating carriers that are still operating after their USDOT number registration and/or operating authority are revoked. Egregious violators continue to operate after their authority to do so has been suspended or revoked. The Agency must engage with State partners to make sure these carriers do not operate on the Nation’s roadways and that we are able to efficiently track down those entities that insist on evading our investigation and enforcement efforts. The Office of Field Operations resources will also be utilized to conduct investigations and initiate enforcement actions against those that reincarnate to avoid fines, penalties, and negative safety compliance history.

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

How Do You Know The Office of Field Operations Program Works?

The Agency has conducted effectiveness studies on many of its major enforcement programs, including its compliance investigation, roadside inspection, and traffic enforcement programs, since FY 2002, and has documented significant safety benefits derived from these programs. Studies estimate, that on average, the agency’s compliance investigation program has helped Americans avoid almost 2,400 large truck and bus crashes per year on average, prevent roughly 1,500 injuries per year, and save almost 100 lives on average. Additionally, the Agency

estimates that its Roadside Inspection and Traffic Enforcement programs, which are mainly supported through its grants programs with State and local governments, has helped to prevent more than 16,000 large truck crashes on average per year, prevent almost 11,000 injuries on average per year, and save more than 600 lives on average annually. Sustaining the programs implemented by the Office of Field Operations will result in continued CMV safety benefits and funding for the new or expanded initiatives outlined in this request will support additional safety benefits through crashes, injuries and fatalities avoided as a result of FMCSA's and its State partners' enforcement efforts.

OFFICE OF FIELD OPERATIONS SUCCESS STORY

CARGO TANK INSPECTION SEMINARS DECREASE PUBLIC RISK

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

These seminars are attended by hundreds of key industry personnel involved in inspecting, manufacturing, repairing and maintaining cargo tanks that transport hazardous materials. Thanks to these classes and the experienced FMCSA field staff teaching them, affiliated industry personnel have the opportunity to learn more about the complex regulations governing cargo tanks. Our partnership with FMCSA allows us to continue to keep costs at a minimum while maximizing our efforts through valuable one-on-one time with the experts. These classes and the experienced FMCSA field staff teaching them, affiliated industry personnel have the opportunity to learn more about the complex regulations governing cargo tanks. The following success story is attributable to the Commercial Enforcement Program:

Partnerships = Prosecution = Safer Roadways

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

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

The case was closed with three guilty pleas. The U.S. Attorney's Office also allowed the NC Division to place probationary conditions on the carrier, such as requiring them to install electronic on-board recorders (EOBRs) on all vehicles, give FMCSA full access to the EOBR system, and permit access to the corporate offices at any time. Joint efforts such as this make NC roadways safer for all motor vehicle operators and passengers.

General Operating Expenses
Detailed Justification: Border Facility Costs, Increase Request (MC-F)

Program Activity (\$000)	FY2015 Actual	FY2016 Enacted	FY2017 Request	Difference from FY 2016
Facilities				
Facilities, Increase - Multi-Modal Safety Investments	-	-	\$26,125	\$26,125
Facilities - Operations	\$1,200	\$1,200	\$4,581	\$3,381
Facilities - Operations (Unobligated Balance) 1/	\$4,049	\$0	\$0	\$0
Total - Information Technology Modernization	\$5,249	\$1,200	\$30,706	\$29,506

1/ Consolidated and Further Continuing Appropriations Act, 2015 provided FMCSA access to prior year unobligated balances to support its Capital Improvement Plan.

In FY 2017, FMCSA is requesting a total of \$4.6 million for its Facilities Border program, which is a \$3.4 million adjustment to the base program. These funds would provide for new or renovated facilities in locations throughout the southern border region, including Texas, New Mexico, Arizona, and California as well as high priority improvements/renovations of domestic offices. FMCSA is not currently resourced to build or improve its facilities. In FY 2012, \$24.0 million was made available in one time funds to address these issues; however these funds represented a down payment on the total need. In FY 2014, Congress allowed FMCSA to use \$13.0 million unobligated balances from an expired account to provide funding for these vital border projects. FMCSA is updating its border plan to expedite several of the projects originally planned for FY 2015 and beyond. In FY 2015, Congress allowed FMCSA to further access to \$4.1 million in unobligated balances from the Operations account for facilities.

With the \$37.0 million from prior years FMCSA has completed feasibility studies at 15 border locations, and has been able to fund design and construction of new buildings, inspection pits, canopies, furniture, security and IT infrastructure at 9 locations. The additional \$4.1 million from FY 2015 was provided to GSA for the next phase of the feasibility studies and as much additional construction as possible. FY 2017 requested funding will enable the agency to begin construction at 1-2 additional locations.

What Is This Program?

FMCSA's Border Program relies on truck and bus inspectors to ensure that trucks and buses crossing into the country are safe and compliant with Federal safety regulations. In order for the inspectors to perform their critical functions, the agency must provide these personnel with adequate working space and protection from the harsh weather conditions. The main objective of the Border Facilities Program is to decrease the time needed for the inspection of large trucks, improve throughput, ensure the safety of the public as well as FMCSA staff, and provide improved operating conditions for FMCSA personnel and truck and bus drivers.

What FMCSA Will Do With FY 2017 Border Facilities Program Funding?

- **Truck Inspections:** One of the requested projects is a major modification of border office and inspection space for the truck inspection facility at Nogales, AZ. This includes feasibility studies, land acquisition, design fees, moving costs, and construction of a new building, renovations, inspection pits, canopies, furniture and all associated security enhancements. Six other projects will be funded.
- **Bus Inspections:** This request will fund a major modification of border office and inspection space for seven bus inspection facilities. This includes feasibility studies, land acquisition, design fees, moving costs, construction of new buildings (office space and bus passenger waiting areas), renovations, inspection pits, canopies, furniture and all associated security enhancements. Land acquisition from GSA will be necessary to begin the process for design and construction of new buildings at nine additional bus inspection facilities. Further enhancements will be planned and carried out at 8 other locations.
- **Domestic Facilities:** In FY 2017, FMCSA will relocate the Alaska Division office facility. Relocations are categorized and accomplished by promoting efficient spending of allocated funding and the best use of space utilization. In addition, by the end of FY 2017, Division4Division offices would have completed a successful space analysis on the utilization of their space and will remain in the current federal building location they are in. These offices are Pennsylvania, Nebraska, Maine and Washington State.

Why Is This Program Necessary?

With respect to truck facilities, due to the limited service life of the original modular buildings (approximately 5 years maximum and they are now over 10 years old), there is a great need to improve the FMCSA facilities by adding canopies at various locations, upgrading equipment, and increasing vehicle traffic. As the number of trucks arriving each day at border crossings increases, it is critical that the agency review, modify, improve and, in some locations, increase the size of existing facilities.

With respect to bus inspections, the Agency does not have dedicated space or facilities to conduct bus inspections at several major bus crossings along the Mexican border. Our inspectors must risk their safety and the safety of the bus driver and passengers by conducting inspections on the side of the road in some locations without protection from the harsh weather conditions. FMCSA has looked to configure its field presence as inexpensively and efficiently as possible. However, co-location in many locations has proved impossible due to site restrictions. It is necessary to search for suitable land to build proper bus inspection facilities and many of the southern border crossings.

How Do You Know The Program Works?

FMCSA inspectors have years of experience conducting field inspections of motor carrier and motor coach vehicles and these requests reflect a bottom up understanding of how these processes should work which starts with the inspectors themselves. The Border Space Management program includes rental payments for all border truck and bus inspection locations

in Texas, Arizona, California and New Mexico, as well as feasibility studies, land acquisition, construction of new buildings (office space and bus passenger waiting areas), renovations, inspection pits and canopies, furniture and all associated IT and security enhancements.

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

There is a substantial funding need for this program. The requested funding level balances both FMCSA's ability to execute the request program with the pressing needs to improve facilities, increase throughput, reduce waste to businesses and improve the safety of the public and staff at these facilities. Additional funds for other facilities as well as on going upkeep and maintenance will be necessary, over and above the base Administration budget.

Current Conditions

Since the early 2000's, FMCSA has had a presence on the southern border with facilities, including temporary modular buildings and inspection canopies at some locations. In the vast majority of cases, the FMCSA facilities were installed on Federal property, co-located with Customs and Border Protection (CBP). The General Services Administration (GSA) provided support for this effort. Due to the limited service life of the original modular buildings (approximately 5 years maximum), it is necessary to replace existing temporary structures, add canopies at various locations, upgrade equipment and enhance locations to allow for increased vehicle traffic.

Existing Facilities Conditions

Some of the serious issues with the current facilities are listed below:

- Temporary trailers have exceeded their lifespan;
- Facilities that are more than 10 years old;
- Shifting foundations;
- Structural deterioration;
- Inadequate work space;
- No employee break/locker rooms;
- Inadequate employee restrooms;
- Inadequate inspection space;
- Limited inspection lanes;
- No inspection pits for easy, safe inspection access;
- Limited canopies;
- Extreme sun/heat exposure; and
- Wind and dust exposure.

An outdated existing temporary border facility.

Moving To A Necessary End State

The main objective is to provide improved working conditions for FMCSA personnel and decrease the time needed for the inspection of large trucks and motor coaches. The first step is to produce an accurate feasibility study at each of the priority locations to ensure adequate space and utilities exist (office and inspection space); adequate space exists for the placement of both

temporary and permanent canopies; and proposed FMCSA inspection locations mesh with and do not interfere or disrupt the current traffic flow on the site.

FMCSA has obligated \$37 million in funds to GSA to implement Phase I of the Border Facility Capital Improvement Program which includes planning, construction, and renovations at 15 prioritized border locations. FY 2017 funding will allow FMCSA to implement a portion of the Phase II Border Facility Capital Improvement Program to improve conditions at additional truck facilities, additional bus facilities, and begin the land acquisition process for constructing new passenger carrier inspection facilities at 9 prioritized border locations.

Budget Planning

The GSA feasibility study is scheduled to be completed with FY 2014 funds at each location. In FY 2017, the Agency will continue to focus on beginning the land acquisition process with GSA necessary before construction can begin.

Initiating these Border Bus Inspection projects is in-line with two OIG audit recommendations:

- **MH-2009-068, B01:** Adding to its Southern Border Bus Inspection Plan the frequency of required bus inspections at non-commercial crossings and inspections during any hour the border crossing is opened, to include evening and weekend hours. Include in the plan actions to eliminate obstacles to achieving inspection coverage during all open periods.
- **MH-2009-068, B02:** Working with the Customs and Border Protection Service, and other agencies as appropriate, to assess the safety and efficiency of bus inspection locations and space at all non-commercial border crossings at the southern border.

These projects will allow FMCSA to develop passenger holding facilities that allow safe and efficient bus inspections. The improved facilities will allow FMCSA to conduct inspections at a higher rate than is currently conducted due to space and safety limitations.

Impact If Not Funded

Failure to provide the requested funding will impact FMCSA's ability to conduct truck and bus inspections in a safe and efficient manner at Southern border commercial crossings. The safety and well-being of FMCSA employees, as well as truck/bus drivers and bus passengers is currently jeopardized by the sub-par working environment at most of the Southern border crossings. FMCSA can no longer risk potential danger to our employees, truck/bus drivers or bus passengers, by working in temporary trailers that are deteriorating, and in inspection areas that exposed to extreme weather conditions and lack safety and security enhancements.

General Operating Expenses
Detailed Justification: Enhancing Training Opportunities (MC-F)

<u>Program Activity (\$000)</u>	FY2015 Actual	FY2016 Enacted	FY2017 Request	Difference from FY 2016
Safety and Safety Support Training increase	\$600	\$600	\$2,612	\$2,012

In FY 2017, FMCSA requests \$2.6 million for Enhancing Training Opportunities for FMCSA Field staff, which is an increase of \$2.0 million over FY 2016 enacted level.

What Is This Program?

At present, only \$0.6 million annually is allocated to FMCSA Field staff for training, with other limited funds available for safety support staff. Field training averages about \$700 per field staff person in a given fiscal year; this is insufficient to provide adequate training to FMCSA staff to improve knowledge of their position or learn new, critical commercial motor vehicle and highway safety skills for the agency. As such, FMCSA requests an additional \$2.0 million per year, which when allocated among FMCSA staff, would result in an additional \$1,795 per staff person to allow them to acquire critical knowledge and skills they can utilize at FMCSA.

Anticipated FY 2017 training objectives: Provide two additional training courses per investigative and enforcement staff, thereby raising competency levels and improving job quality. Mandatory certifications and testing can be provided to support staff.

Why Is This Program Necessary?

Training support at a level of \$700 per Office of Field Operations staff per year results in an recurring annual training deficit for FMCSA's critical investigative and enforcement staff, resulting in lower investigative/enforcement quality and volume, both of which could be improved with additional training resources dedicated to improving their job knowledge and efficiency.

How Do You Know The Program Works?

It has been well documented that quality training improves job performance. Additionally, there are multiple external agency enforcement and investigation-related courses that the current budget will not support for FMCSA staff, so potential high-quality training is forfeited for a portion of agency staff, safety investigators and enforcement specialists, who directly increase highway safety benefits, if they are properly trained and equipped for their positions.

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

A strong field operations training budget is critical to retaining qualified FMCSA staff and to allow them to maintain and improve upon their critical investigative and enforcement skills set. A mere \$700 per field staff per year in training resources inadequate for FMCSA investigative and enforcement staff to retain their critical skills and to allow them to learn new, high-value added skills that will benefit safety. Without additional training funding, field staff will continue to rely on limited, free, in-house training with no access to unique, qualified instructional course work that is only offered outside of the agency, thereby significantly limiting their opportunities for value-added training.

General Operating Expenses
Detailed Justification: Office of Policy (MC-P)

<u>Program Activity (\$000)</u>	FY2015 Enacted	FY2016 Enacted	FY2017 Request	Difference from FY 2016
Office of Policy (MC-P)	\$12,419	\$12,446	\$12,645	\$198
Personnel	\$6,307	\$6,435	\$6,533	\$41
Other	\$6,112	\$6,012	\$6,112	\$157

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

For FY 2017, FMCSA requests \$12.6 million in operating funds for its Office of Policy six divisions:

Regulatory Development

The program serves as a focal point for development of rulemaking notices (i.e., advanced notices of proposed rulemakings, notices of proposed rulemaking, and final rules and direct final rules) for the Agency that implement safety improvements with direction that is clear, simple, timely, fair, reasonable, and necessary. The rulemaking notices include the preamble which provides an explanation of why the Agency is taking the regulatory action, what the rulemaking covers, the regulatory alternatives that were considered, and how various Executive Orders and statutory provisions concerning the rulemaking process may be applicable to the specific regulatory action. The program coordinates the review, revision, approval, and issuance of such documents within the agency.

Regulatory Evaluation

This division is responsible for preparing regulatory evaluations and environmental analyses to accompany rulemaking notices. For each rulemaking action, the Agency must consider the costs and benefits as well as potential environmental impacts of the regulatory requirements.

Strategic Planning and Program Evaluation

Strategic Planning and Program Evaluation develops the Agency's strategic and performance plans and monitors activities and evaluates accomplishments against established plans, goals and objectives:

- Strategic Planning activities include the development, implementation, and periodic updating of FMCSA's Strategic Plan to include development and implementation of elements related to the Roadway Safety Plan. Also, the program facilitates the development and evaluation of performance measures.

- Data Analysis focuses on ensuring data quality and accountability, and analyzing data to determine program effectiveness. The Data Analysis and Program Effectiveness Program within this area supports DOT's Safety and Environmental Sustainability strategic goals by providing the analytical support for FMCSA regulatory, program and policy development and implementation essential to effective decision-making.
- Program Evaluation acts as liaison and coordinates with external oversight organizations (i.e., the DOT Office of the Inspector General, GAO, and the National Transportation Safety Board), maintenance of an Audit Liaison Action Planning and Tracking System, and preparation of the Agency's Organizational Assessment at the end of each fiscal year for formal submission to the Office of the Secretary and the Office of Management and Budget.

Medical Programs

FMCSA has jurisdiction over the related medical qualifications of approximately 7 million CMV drivers operating in interstate commerce (4 million active CDL holders). The number of CMV drivers and the prevalence of medical conditions related to an aging population, such as cardiovascular disease and respiratory conditions, will have a detrimental effect on the safety and health of commercial drivers and highway safety overall. The FMCSA developed a strategy for creating a much-improved, comprehensive medical oversight program, including evaluation of the current medical certification process and successful implementation of key initiatives such as the National Registry of Certified Medical Examiners (National Registry).

Driver and Carrier Operations

These functions involve subject matter experts responsible for implementing driver qualifications standards (other than medical qualifications) including statutorily mandated rules concerning entry-level driver training, and drivers' hours of service. This division also has responsibility for subject matter expertise in reviewing requests for waivers, applications for exemptions from certain FMCSRs, and requests for pilot programs.

Vehicle and Roadside Operations

The division is responsible for providing subject matter expertise in developing policy and regulatory options concerning vehicle safety equipment and inspection, repair and maintenance standards for heavy trucks and buses. This work includes the review of petitions for rulemaking, requests for waivers, and applications for exemptions from the safety regulations.

What Does the Office of Policy Contribute?

Regulatory Development Support and Regulatory Impact Analyses

Regulatory Development Support and Regulatory Impact Analyses focuses on the review of crash data (fatalities, injuries, and property damage) and the estimated costs and safety benefits associated with regulatory options to reduce the incidence of crashes. The Agency is required by statute and Executive Order to consider the costs and benefits of its regulatory actions with the expectation that the regulations it issues would provide cost-effective solutions to safety challenges.

Federal Advisory Committees

The Medical Review Board (MRB) and the Motor Carrier Safety Advisory Committee (MCSAC) are the two advisory committees operating in accordance with the provisions of the Federal Advisory Committee Act (FACA), as amended, 5 U.S.C. App. Both committees provide important advice to the Agency on salient issues relating to motor carrier safety and medical fitness to operate in the motor carrier industry. In addition, in FY 2015, the Secretary approved the establishment of an Entry-Level Driver Training Advisory Committee to assist FMCSA in developing a rulemaking to implement the MAP-21 requirement on driver training with a charter that runs through to FY 2017. The FAST Act created a number of new advisory committees and FMCSA will begin implementation and resources will be required on an ongoing basis to support these new activities.

Medical Review Board (MRB)

The MRB advises the Agency on developing evidence based rulemaking and guidance development through evidence reports. The advice provided by the MRB enables the Agency to establish sound rules and guidance for physical qualifications for driving commercial motor vehicles. The current funding request supports the FMCSA's mandate for the MRB to continue providing advice on medical issues, such as physical and mental qualifications, standards, and guidelines.

Motor Carrier Safety Advisory Committee (MCSAC)

MCSAC was established to provide FMCSA with advice and recommendations on motor carrier safety programs and monitor carrier safety regulations under the authority of the U.S. Department of Transportation (DOT), established in accordance with the provisions of the Federal Advisory Committee Act (FACA), as amended, 5 U.S.C. App. 2.

The FMCSA's only current representative stakeholder body, the MCSAC is comprised of 17 members representing the motor carrier industry, labor, safety advocates, and safety enforcement officials. The members are experts in their respective fields and are committed to motor carrier safety. They provide advice and recommendations about needs, objectives, plans, approaches,

content, and accomplishments of the motor carrier safety programs carried out by the FMCSA and are charged with providing advice and recommendations on motor carrier safety regulations.

The MCSAC advises the FMCSA Administrator on important tasks like fatigue management, distracted driving, electronic on-board recorders (EOBRs), safety technologies, and the Safety Fitness Determination rulemaking. Since its inception, the MCSAC's more than 20 reports have assisted the Agency in making informed decisions on issues of concern to motor carrier safety. The current funding request supports the FMCSA's need for the MCSAC to continue providing advice and recommendations on the requirements, objectives, plans, approaches, content, safety regulations, and accomplishments of the motor carrier safety programs carried out by the FMCSA.

Entry-Level Driver Training Advisory Committee (Committee)

The Committee was established in accordance with the provisions of the Federal Advisory Committee Act (FACA), as amended, 5 U.S.C. App. 2, as a discretionary advisory Committee under the authority of the U.S. Department of Transportation (DOT). The formation and use of the Committees are determined to be in the public interest. The Committee was also established in accordance with the Negotiated Rulemaking Act, 5 U.S.C. § 561-570. The Committee included representatives of organizations or groups with interests that are affected significantly by the subject matter of the proposed regulations, as well as representatives of FMCSA.

The parties included driver organizations, CMV training organizations, motor carriers of property and passengers and their associations, State licensing agencies, State enforcement agencies, labor unions, safety advocacy groups, and insurance companies. The Agency published a notice in the Federal Register providing notice to parties who seek to serve on the committee and seeking comment on the proposal to establish the Committee and its proposed membership and subsequently appointed members to the Committee. The Committee held a series of two-day meetings between February and May 2015 concluding with a consensus on recommendations for the framework for an Entry Level Driver Training (ELDT) notice of proposed rulemaking which will be published in 2016, with the intent of issuing a final rule in the first quarter of FY 2017.

Medical Qualifications of Drivers

The Medical Programs cover each of the following:

- Medical Certification of Drivers- The FMCSA Medical Program promotes the safety of America's roadways through the promulgation and implementation of medical regulations, guidelines, and policies that ensure CMV drivers engaged in interstate commerce are physically qualified to do so. There are currently more than 45,000 healthcare professionals who perform the medical certification examination for CMV drivers. There are more than 400,000 medical fitness-for-duty examinations conducted

each month based on the first full year of data from FMCSA's National Registry of Certified Medical Examiners. The National Transportation Safety Board (NTSB) investigations have identified medical conditions as a factor in several significant CMV crashes resulting in multiple injuries and fatalities. Additionally, GAO investigations have highlighted the need for improved oversight of the medical certification process.

- Medical Exemptions and Skills Performance Evaluations (SPEs) – The Medical Program includes management of exemptions for drivers who have a vision impairment in one of their eyes; drivers who rely on the use of insulin to manage diabetes; drivers using anti-seizure medications provided the individuals have not experienced a seizure for multiple years; and drivers who have hearing impairments. In addition, the Medical Program provides direction for the Agency's SPE program which assesses the driving abilities of individuals with limb impairments or amputations.

New Initiatives:

National Registry Entry-Level Driver Training Advisory Committee

The Committee was established in accordance with the provisions of the Federal Advisory Committee Act (FACA), as amended, 5 U.S.C. App. 2, as a discretionary advisory Committee under the authority of the U.S. Department of Transportation (DOT). The formation and use of the ELDTAC are determined to be in the public interest. The Committee was also established in accordance with the Negotiated Rulemaking Act, 5 U.S.C. § 561-570. The Committee included representatives of organizations or groups with interests that are affected significantly by the subject matter of the proposed regulations, as well as representatives of FMCSA.

The parties included driver organizations, CMV training organizations, motor carriers of property and passengers and their associations, State licensing agencies, State enforcement agencies, labor unions, safety advocacy groups, and insurance companies. The Agency published a notice in the Federal Register providing notice to parties who seek to serve on the committee and seeking comment on the proposal to establish the Committee and its proposed membership and subsequently appointed members to the Committee. The Committee held a series of two-day meetings between February and May 2015 concluding with a consensus on recommendations for the framework for an ELDT notice of proposed rulemaking which will be published in 2016, with the intent of issuing a final rule in the first quarter of FY 2017.

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New Initiatives:

- National Registry of Certified Medical Examiners – The National Registry rulemaking was mandated by MAP-21. In FY 2014 FMCSA implemented the program which requires that each healthcare professional responsible for issuing medical certificates completed training and testing concerning their understanding of FMCSA's physical qualifications standards. As of January 2016, more than 45,000 healthcare professionals completed the training and testing. And the certified medical examiners completed more than 4 million examinations of truck and bus drivers with the vast majority of drivers receiving medical certificates valid for periods between 3 months and 2 years and more than 53,000 medically unqualified drivers being identified and removed from the Nation's highways. In FY 2017 FMCSA will continue to develop the functionality for medical examiners to transmit medical certificate information directly to FMCSA on a daily basis. The Agency will then transmit the medical certificate information for CDL holders to the State driver licensing agency beginning June 2018.
- Information Technology - IT related expenditures for the development of the National Registry Phase II (i.e., the electronic transmission of commercial driver's license holders' medical certificates to the State licensing agencies) systems capability are identified in the IT Development and Sustainment program. The execution and implementation aspects of the National Registry program are included within the Medical Program's budget with most of the developmental work for the National Registry being performed by the Department's John A Volpe National Transportation Systems Center.
- National Registry Medical Examiners Handbook, Test Updates – In addition to the IT component of the National Registry program, the Agency anticipates extra work to complete the development of a medical examiners' handbook to assist healthcare professionals in understanding the Federal driver qualifications rules and to serve as a

reference manual for examiners to review topics they may not encounter on a frequent basis. The Agency also anticipates significant efforts to continue to update the standardized test questions used for the National Registry examination.

- **Medical Evidence Reports – Expert Panels** – In support of the MRB, FMCSA funds the preparation of “evidence” reports. These evidence reports document the review of published research reports on specific medical topics and through a meta-analysis, identifies those studies the Agency should consider to have sufficient merit, based on the research methodology and sample size, etc., to support policy or regulatory decisions. The evidence reports are then reviewed by expert panels, a group of physicians specializing in the medical topic being considered and the panel would then provide a report with recommendations to the MRB. The MRB would then consider the evidence along with the expert panel reports and, after deliberation in a public meeting, offer recommendations to the Agency.

Why Is This Program Necessary?

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

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

How Do You Know The Program Works?

Funding for the Office of Policy supports contract services and other expenses related to the development of regulatory proposals and final rules, the processing of exemption applications concerning the Agency’s vision, diabetes, seizure, and hearing standards, the establishment of a National Registry of Certified Medical Examiners, and operations of the MRB and the MCSA

Committee, and program evaluations. The FMCSA's Medical Programs Division is responsible for administering the Agency's Vision and Diabetes Exemption Programs and processing exemptions for individuals taking anti-seizure medications, and those with hearing impairments. These services enable more than 5,000 men and women to continue their careers transporting passengers and freight for the American people.

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OFFICE OF POLICY SUCCESS STORY

NATIONAL REGISTRY: RAISING THE BAR ON CMV DRIVER FITNESS

In May 2014, FMCSA began requiring all interstate commercial motor vehicle (CMV) drivers to receive medical examinations from qualified professionals listed on the FMCSA National Registry of Certified Medical Examiners. To become certified, qualified medical examiners must be trained and tested on FMCSA medical and driver qualification regulations and advisory criteria. The certification requirement will make our roads safer by ensuring that our drivers meet minimum Federal physical qualifications; this will raise the bar for the CMV industry by holding higher and consistent standard of driver fitness.

Upon publishing the rule, FMCSA estimated that by 2015, approximately 40,000 medical examiners would be needed to support the 5.2 million CMV drivers across the United States. Six weeks after the compliance date, FMCSA's communications and outreach efforts certified 30,600 medical examiners that are now listed on the National Registry. An additional 20,000 medical professional have registered to become certified. With approximately 600 medical examiners per week registering to take the certification test, this incredible success far exceeded the Agency's expectations.

The remarkable success of the National Registry program has raised the safety bar by ensuring CMV drivers meet minimum physical qualifications to keep our roads safe.

General Operating Expenses
Detailed Justification: Office of the Administrator (MC-A)

<u>Program Activity (\$000)</u>	FY2015 Enacted	FY2016 Enacted	FY2017 Request	Difference from FY 2016
Office of the Administrator (MC-A)	\$11,957	\$19,983	\$21,517	\$1,534
Personnel	\$10,813	\$11,032	\$11,617	\$585
Other	\$1,144	\$8,951	\$9,900	\$949
Adjustments to Base (excluding initiatives)	\$0	\$0	\$209	\$209
Program Integration Office	\$0	\$0	\$1,165	\$1,165
Implement FAST Act (set aside by FMCSA) 1/	\$0	\$8,000	\$8,160	\$8,160

1/ The FY2016 FAST Act provided \$8M above the FY2015 GOE Enacted level. FMCSA has programmed all \$8M to a cost center to pay for the costs of FAST Act implementation. They are shown in MC-A in FY 2016 and FY 2017, but will be distributed to each Office as implementation requires in FY2016 and FY2017.

The Office of the Administrator includes the immediate staff and functions associated with the Administrator, the Office of Chief Counsel, the Office of Civil Rights, and Office of Communications as well as oversight of the Office of the CFO.

Immediate Office of the Administrator

FMCSA requests \$21.5 million for the Office of the Administrator. The Office of the Administrator contains the key leadership positions within FMCSA, including the Administrator, Deputy Administrator, Chief Safety Officer & Assistant Administrator, and support staff. The Administrator's Office provides overall Agency direction and oversight. It represents FMCSA and promotes the Agency's safety-first mission within the Department and, work with other Federal agencies, the legislative branch, all stakeholders, and our State and industry partners.

Office of Governmental Affairs

The Office of Governmental Affairs provides an important service by communicating the Agency's initiatives and programs to our stakeholders. The Office serves as the official liaison on Agency programs and policies to Congress, the Office of Management and Budget, State and local governments, commercial motor vehicle and safety stakeholders, and other interested parties. It is the focal point within the FMCSA for communicating the Agency's legislative and programmatic priorities, policies, rulemakings, or other initiatives to external stakeholders. The Office responds to requests for technical assistance from Congress, coordinates congressional hearings, transmits witness testimony on motor carrier related issues, and provides project status reports through meetings, conference calls, or official correspondence on a daily basis. Through these mechanisms and increased public engagement, the Office of Governmental Affairs

continues to promote FMCSA programs in support of its safety-first mission to reduce crashes, injuries, and fatalities involving large trucks and buses.

Office of Civil Rights

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

The core activities for OCR are ensuring that: FMCSA does not discriminate against its employees or applicants for employment; recipients of Federal financial assistance from the FMCSA comply with Title VI of the Civil Rights Act of 1964, as amended and all non-discrimination executive orders and directives; and FMCSA administers all of its programs, policies and activities in an inclusive and non-discriminatory manner. Titles VI and VII of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Title II of the Americans with Disabilities Act of 1990; the Equal Pay Act of 1963; and, the Age Discrimination in Employment Act of 1967 all impact FMCSA's safety mission.

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

In FY 2017, the OCR plans to coordinate with the Grants Management Office (GMO) to review the Notice of Funding Availability (NOFA) applicants' submission and conduct a desk audit of each MCSAP fund applicant; complete a desk audit of approximately 25% of these applicants; and identify four of these applicant/recipients (one from each of our four service center areas) to conduct an on-site visit.

The OCR hired an Equal Opportunity Specialist to conduct four Title VI compliance reviews and one Title VI investigation. OCR also plans to collaborate with the Office of Human Resources to conduct targeted recruitment activities to employee groups with low participation rates at FMCSA.

Office of Outreach and Education

FMCSA requests \$4.0 million for the Office of Outreach and Education. The Office communicates the Agency's safety-first culture through external and internal integrated marketing campaigns, online media, educational materials, exhibits, videos, websites, and publications. For the office to successfully develop, promote, and administer educational, outreach, and digital strategies and tactics to motor carriers, commercial motor vehicle (CMV) drivers and the public in order to increase compliance with safety regulations and to prevent CMV crashes within the United States, maintaining its historical \$4.0 million budget is important. As specified in the FAST Act, the Outreach and Education funding level is now a ceiling, allowing FMCSA to spend less, if program requirements don't require the full \$4 million. FMCSA only utilized \$3.9 million of the \$4.0 million set-aside in FY 2015. Removing the set-aside allows the agency to better manage and leverage its funds. FMCSA expects to continue supporting the program at the current level.

During FY 2017, this Office will work on strengthening its effective communication with the public and commercial motor vehicle safety stakeholders by:

- Broadening education and awareness efforts surrounding rulemakings, i.e. the Electronic Logging Device Final Rule, the Unified Registration System Final Rule and others.
- Maintaining outreach support of the hazardous materials programs.
- Developing an outreach materials distribution strategy/partnership to ensure the delivery of FMCSA information at truck-stops nationwide.
- Rolling out National Occupant Protection Use Survey (NOPUS) findings concerning safety belt use among CMV drivers.
- Expanding motorcoach safety education and outreach programs to consumers and the industry, including through the Agency's "Look Before You Book" website and mobile app.
- Conducting consumer moving fraud prevention outreach campaigns around FMCSA's enforcement efforts to protect the public from illegal activities and deceitful business practices by dishonest moving companies and brokers.
- Increasing the focus of outreach goals on the need to operate safely around CMVs through increased awareness campaigns and stakeholder engagement.
- Continuing CMV Safety Belt Usage Improvement Program through expanded partnership efforts, the "Be Ready. Be Buckled" national outreach campaign and the deployment of strategies and tactics around enforcement activities.

Office of Chief Counsel

The Office of the Chief Counsel (MC-CC) provides legal services direction concerning all aspects of the programs and functions relating to the motor carrier safety and hazardous materials regulations, prosecution and adjudication of violations, contracting activities, personnel

and employment, civil rights, public access, ethics issues, legislation, congressional testimony, and the development and of rulemaking and guidance documents.

Legal support has been necessary throughout this period to ensure the agency's programs were implemented effectively and pursuant to legal requirements. A few examples: In 2011, the General Law Division (MC-CCG) uncovered and voluntarily reporting Anti-Deficiency Act violations and then worked the GAO to document problems and implement process changes. Our Enforcement and Litigation Division has helped deploy new legal tools to combat unsafe curbside bus companies, placing a record number of unsafe motor carriers out of service as "imminent hazards" in 2012 and 2013, and to provide specialized training to all the Agency's safety investigators. And since 2004 none of the Agency's final orders imposing civil penalties have been reversed in Federal court.

Enforcement and Litigation Division (MC-CCE):

MC-CCE provides legal services on all motor carrier enforcement program issues and serves as the point-of-contact for enforcement and rulemaking litigation support involving the Agency or its officials. MC-CCE provides legal support on issues including passenger carrier safety, transportation of hazardous materials, drug and alcohol testing, NAFTA and border crossing issues, international transportation, and the transportation of household goods. MC-CCE coordinates legal representation and other legal services in connection with pending litigation or other proceedings involving FMCSA or its officials. MC-CCE also coordinates all requests for appearances and subpoenas issued to FMCSA personnel including representation of all Agency employees and officials at such events when deemed appropriate after consultation with the Chief Counsel.

Multiple workforce analyses determined that Field legal staffing is insufficient and have recommended ratios of 25 to 30 investigators to each Field enforcement attorney. There are currently 323 Safety Investigators, serviced by just 9 Field Attorneys, already a ratio of 36 to 1. Add to that the work of 43 Border Auditors and 153 Border Inspectors, and the current ratio exceeds 57 to 1. Current staff is strained meeting existing workload, yet they will be asked to provide nearly all front line legal support for the new Safety Fitness Determination program, Patterns of Safety Violations rule, new HM emergency order authority, and the enhanced Motorcoach Safety Initiative, among others.

Other Office of Chief Counsel Workload Increases

Within Headquarters, MC-CCE attorneys will see increased workload associated with the Registration Office. MC-CCE attorneys have seen a marked increase in the scope and number of legal reviews and investigative actions associated with the institution of systematic vetting of passenger carriers, household goods carriers, and re-applications by carriers with previously-revoked authority. Further, the number of public protests to grants of operating authority registration under 49 CFR part 365 has also increased. MC-CCE attorneys provide guidance to

the deciding office on these cases, which, like civil penalty, safety ratings and hazmat permit cases, are now being reviewed by the Chief Safety Officer & Assistant Administrator and which will require legal review by the Adjudications Division (MC-CCA). MC-CCE attorneys in HQ will also have to assist on establishing procedures and implementing administrative reviews and appeals under the Medical Program, including the National Registry of Certified Medical Examiners, and of DataQs denials under new, unfunded Agency review procedures. The Agency is also ramping up enforcement of commercial, ADA, household goods and other non-safety regulations pursuant to MAP-21, the Over-the-Road Bus Transportation Accessibility Act of 2007 and the Agency's own initiatives. Legal support for all of these efforts will rest on MC-CCE attorneys, largely in HQ.

Adjudications Division (MC-CCA):

MC-CCA provides legal services to the Chief Safety Officer & Assistant Administrator the decision maker in administrative reviews of civil penalties, safety ratings, operating authority registration rejections and hazardous materials safety permit denials. The increased workload created by recent rulemakings, which were more fully utilized by the Agency's Enforcement Division in 2015 has imposed stringent time constraints for action by MC-CCA. For example, on May 29, 2012, the Agency adopted a rule authorizing it to issue orders consolidating the records of motor carriers and/or to place them out of service. As this rule has been implemented, the number of record consolidation administrative appeals has significantly increased. These "reincarnated" motor carriers cases are complex, fact intensive, and have stringent regulatory deadlines for adjudication. The record consolidation and out-of-service order is a critical tool in the Agency's effort to raise the bar to safety by preventing carriers that pose a safety risk to the public from re-entering the industry through reincarnation or affiliation. A robust and timely administrative review process is key to successful use of this enforcement tool.

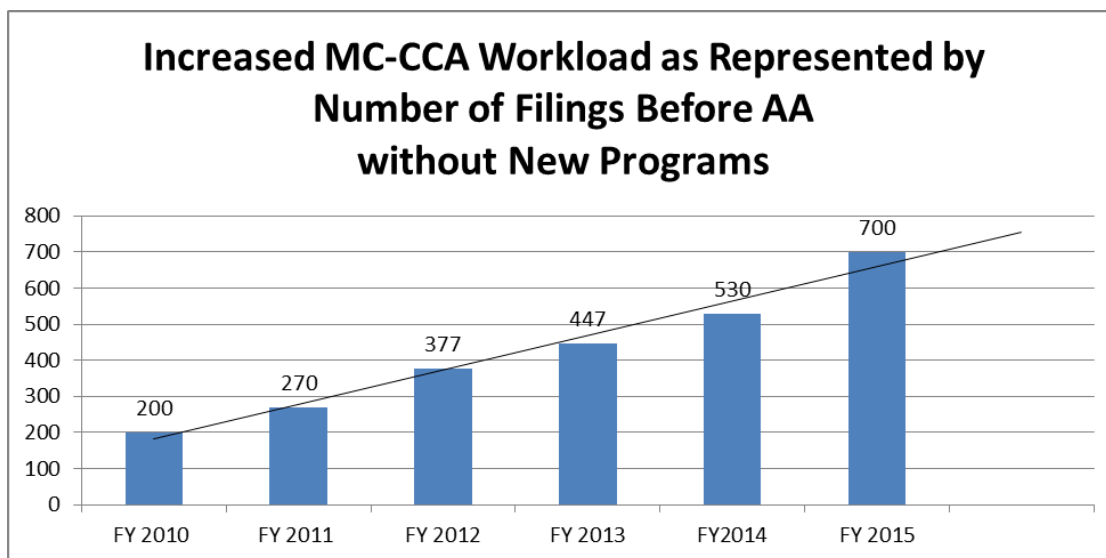
A new final rule authorizing the Agency to revoke the operating authority of motor carriers that employ officers who have engaged in a pattern of safety violations will present an additional increase in workload for MC-CCA which processes administrative reviews of these revocation proceedings. Operating authority registration rejection administrative review proceedings were transferred to the Adjudications Division in 2015. To be successful, a registration process which adequately vets motor carriers for entry must also have a robust and fair administrative appeals process. The Adjudications Division supports the registration process by providing a timely and fair manner of resolving administrative review proceedings.

Moreover, administrative reviews from increased enforcement activities directed at those carriers who pose an imminent hazard to public safety are provided by the Adjudications Division. Administrative reviews of imminent hazard proceedings are conducted on a strict time constraint and often with little advance notice. Increased enforcement efforts have also consequently resulted increased administrative review petitions from safety ratings. Without the additional attorney and paralegal, MC-CCA will not be able to provide administrative review for the influx

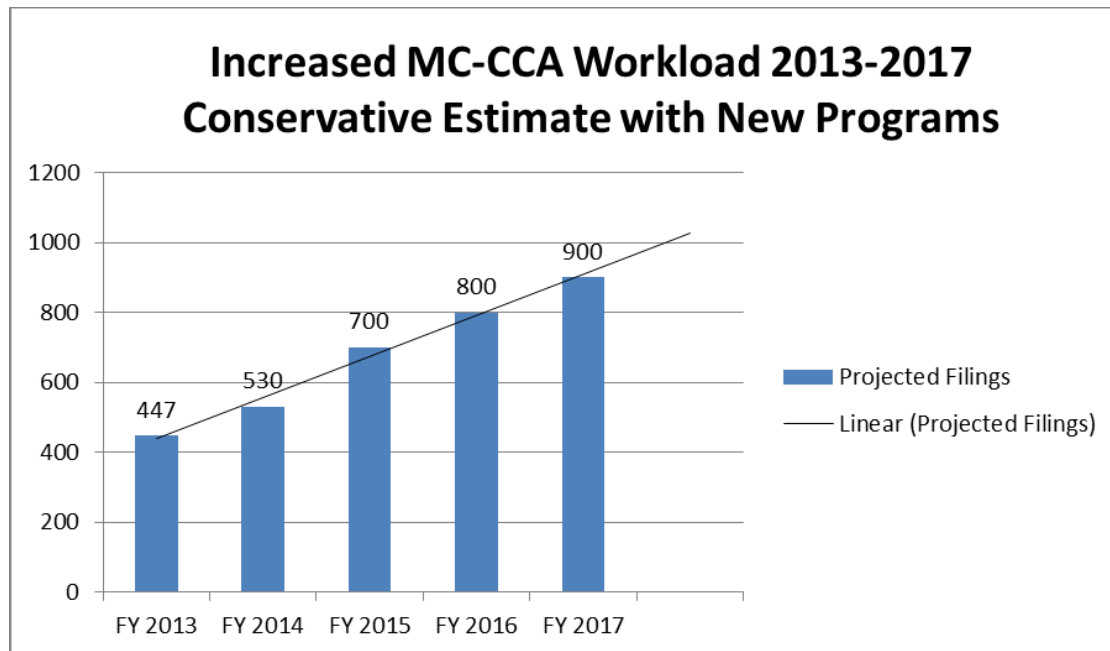
of a larger number of complex legal and factual issues. Furthermore, the new safety fitness rating methodology will increase the number of safety rating appeals by a multiple that is unknown at this time (although current estimates range from 3 times to 6 times).

The informal hearing process was also reinstated in FY 2016 and has resulted in an increased number of informal hearings conducted by the Adjudications Division. The use of the informal hearings significantly reduces the case adjudication time for civil penalty cases. This consequently results in a more robust enforcement program through the entry of final agency orders in a more timely fashion. The informal hearing process however in an increased workload for the Adjudications Division, however. We also anticipate the number of informal hearings will increase during FY 2017 as the regulated community understands and increasingly avails itself of a process that is more expedient than a formal APA type hearing.

The number of filings in enforcement proceedings has steadily increased since 2012 and is projected to continue on an upward trajectory. This projection does not include the increased enforcement activity projected to occur as a result of implementation of new programs such as the patterns of safety violation cases and the new responsibilities undertaken by the Chief Safety Officer & Assistant Administrator for registration activity.



Even the most conservative projections (three-fold for safety fitness determinations and two-fold for enforcement activities) resulting from implementation of new programs for CY 2013-2015 mean dramatic increases to MC-CCA workload in FY 2017.



General Law Division (MC-CCG):

MC-CCG provides legal support regarding budget, fiscal and financial management matters, contracts, grants, cooperative agreements, memoranda of understanding, Federal Tort Claims Act, intellectual property, personnel and employment, civil rights, FOIA, the Privacy Act, ethics and conflicts of interest issues.

Regulatory Affairs Division (MC-CCR):

MC-CCR provides legal services on all motor carrier regulatory program issues, including the preparation, interpretation, and administration of regulations governing motor carrier safety, the transportation of hazardous materials, commercial drivers' licenses, minimum financial responsibility, and the Motor Carrier Safety Assistance Program.

General Operating Expenses

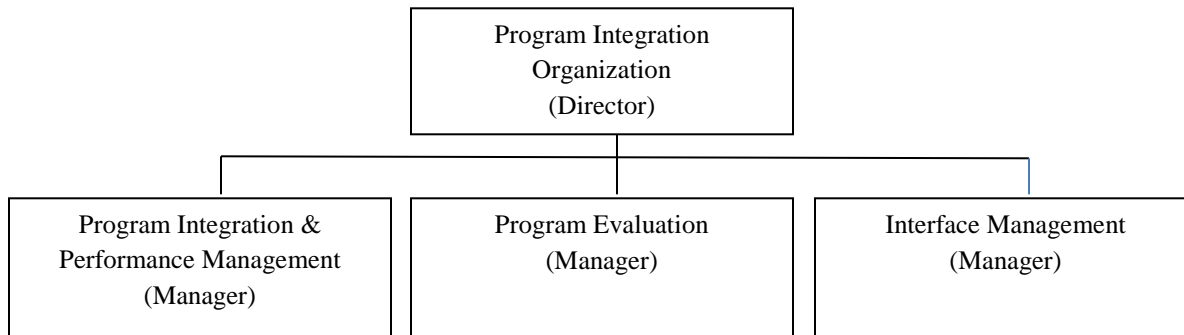
Detailed Justification: Program Integration Office (PIO)

<u>Program Activity (\$000)</u>	FY2015 Actual	FY2016 Enacted	FY2017 Request	Difference from FY 2016
Program Integration Office	\$0	\$0	\$1,165	\$1,165

In FY 2017, FMCSA requests \$1.2 million and 2.5 FTE to formally establish the Program Integration Office (PIO), which will fall under the Office of the Administrator (MC-A). This is \$1.2 million over the FY 2016 Enacted level.

What Is This Program?

The requested project will formalize FMCSA's program integration function, begun in FY 2015, to a formal office and provide necessary resources. The PIO will utilize uniform and proven project management practices to effectively prioritize and manage FMCSA projects that will help the Agency fulfill its mission and strategic goals.



The Program Integration & Performance Management area will focus on:

- Goal/Metric Analysis and Reporting;
- Post Implementation Reviews (PIR);
- Integrated Master Schedule (Guidance, Monitoring and Reporting);
- Integrated PM Toolset (Requirements & Coordination);
- Risk Management; and
- Program Reviews.

The Program Evaluation function will focus on:

- Internal Assessments;
- Best practices & Lessons Learned Compiled and Communicated;

- Independent Verification & Validation;
- EVM Analysis & Expertise;
- Data Reporting; and
- Workforce Development & Certification Management.

The Interface Management function will focus on:

- Entry Point for New Programs;
- Project Tailoring and Coordination;
- Investment Analysis Reviews/Approval;
- Investments Prioritization Coordination;
- IG/GAO/Other Coordination;
- Internal/External Communications Portal;
- Stakeholder Coordination & Monitoring; and
- Resource Management.

Why Is This Program Necessary?

FMCSA is planning or has underway number of large projects which require complex coordination between offices, with a number of dependencies and reviews/approvals required. Recent authorization and appropriations actions have heightened the awareness regarding FMCSA's Unified Registration System, Electronic Log Books, and Wireless Roadside Inspections. To ensure effective implementation and ensure stakeholders that FMCSA will deliver on these critical initiatives, the Agency initiated a program integration function, using detailed staff to begin leading coordination across these projects. This is sufficient for a start, but these programs require more stability and programmatic knowledge than detailed staff can provide. The requested 5 positions, 2.5 FTE, will provide a nucleus of staff to help catalyze other existing staff efforts.

How Do You Know The Program Works?

Integration management is a collection of processes required to ensure that the various elements of the projects are properly coordinated. It involves making trade-offs among competing objectives and alternatives to meet or exceed stakeholder needs and expectations. This model is widely used through corporate and governmental organizations.

Transformation Program Integration Services

- Translating the transformation imperative—the force(s) driving a company to change how it does business—into manageable and measurable project;
- Aligning projects and establishing key points of business integration between them, understanding resource;

- Integrating and implementing projects consistently across the enterprise in a disciplined, structured manner; and
- Defining critical decisions and risks with concrete approaches and data to set future direction.

Potential Bottom-Line Benefits

- Reduce risk associated with complex transformations;
- Create efficiency that can lead to lower execution or implementation costs;
- Help create better alignment with goals and objectives; and
- Help smooth the disruption that transformations often create.

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

The requested resources are based on a review by outside organizations of FMCSA's organization and benchmarking of other entities with comparable challenges.

General Operating Expenses
Detailed Justification: Office of the Chief Financial Officer (MC-B)

<u>Program Activity (\$000)</u>	FY2015 Enacted	FY2016 Enacted	FY2017 Request	Difference from FY 2016
Office of the Chief Financial Officer (CFO)	\$11,837	\$11,863	\$12,045	\$182
Personnel	\$4,013	\$4,094	\$4,156	\$63
Other	\$7,824	\$7,769	\$7,889	\$120
Adjustments to Base	\$0	\$0	\$182	\$182

FMCSA requests \$12.0 million to fund the Office of the Chief Financial Officer (OCFO) in FY 2017. This office encompasses the Offices of Budget, Finance, Grant Oversight and Internal Auditing for FMCSA. The core activities for the OCFO are developing and maintaining proper internal controls related to budget, financial, and grants reporting. This office ensures that sufficient internal controls are in place for proper stewardship of all financial resources. Activities planned during FY 2017 include: implementing improvements to the grant application process through an increased analysis by the GMO/Program/Field/Grantee staff of each process and procedure; continuing the roll out of the Resource Management Tool.

Budget Office

This office is the Agency's authority on appropriation and authorization policies, processes, programs and transactions with the support from the Administrator, CFO and Chief Counsel. The Budget Office prepares budget submissions, provides responses for Congressional and Departmental budget data requests, processes apportionments, formulates program office operating budgets, analyzes agency budget execution, evaluates and approves proper use of appropriated funding, non-appropriated funding and manages payroll activity. The Budget Office also provides standard operating procedures, guidance, and advanced budget tracking tools and methodology to the program offices to maximize agency resources and maintain real-time tracking of fund execution.

The Budget Office is responsible for the development of the Resource Management Tool, a data discovery tool planned to provide for the integration of multiple types of data, dash boarding to all levels of FMCSA staff operations, and allowing analysts to design and implement new analytics, without costly/scarcely IT staff involvement. The contract for RMT was awarded at the close of FY 2015 and program implementation has begun. This tool will support data driven decision making across the agency, allow FMCSA to pursue cost accounting (providing greater transparency for its spending) and ultimately should allow agency leadership to map resources to program outputs and outcomes.

Finance Office

The Finance Office performs a host of accounting and financial management related activities, including: financial statement audit liaison and other financial related activity reviews/audits, oversight and management of the Agency's travel card program, and management of the Agency's travel program and e-Travel system. The Finance Office is also responsible for recording, analysis, and reconciliation of Accounts Payable and Accounts Receivable financial transactions, including commitments, obligations, expenditures, collections, refunds and inter/intra-governmental actions; reconciling and eliminating invalid outstanding undelivered orders; analysis of the United States General Ledger accounts and Trial Balance for FMCSA; and, reporting the financial status of the agency in multiple formats on a monthly, quarterly, annual and ad hoc basis. The Finance Office also performs continuous outreach and customer assistance to agency staffing on all accounting and financial management related processes

Grants Management Office

This program provides the administrative and financial management of the Agency's grants programs, as specified in the FAST Act. The Grants Management Office is responsible for developing and implementing the FMCSA grant programs; soliciting applications; evaluating the technical aspects of the applications; recommending awards; executing awards; obligating and de-obligating funding; monitoring deliverables for timely completion; reviewing the grants for compliance with program requirements; meeting performance measures; requiring corrective action plans when deficiencies are identified; and establishing and monitoring internal controls to ensure, identify and promote best practices. Proper voucher tracking, funds reconciliation, and file management are also parts of the comprehensive grants management program.

Office of Internal Auditing

The Office of Internal Auditing (OIA) is an independent, objective assurance and consulting activity that is guided by a philosophy of adding value to improve the operations of the FMCSA. The Federal Management Financial Integrity Act of 1982 (FMFIA) assigns management responsibility for developing and maintaining effective internal control. The OIA provides assurance that significant weaknesses in the operation that could adversely affect the agency's ability to meet its objectives, would be detected, or prevented in a timely manner. Also, the OIA function assists management in the reduction of risk and mitigates the mismanagement of public funds. The OIA consist of 3 operational units (1) Internal Audits, (2) OMB A-123/FMFIA and (3) Audit Liaison.

General Operating Expenses
Detailed Justification: Office of Administration (MC-M)

<u>Program Activity (\$000)</u>	FY2015 Enacted	FY2016 Enacted	FY2017 Request	Difference from FY 2016
Office of Administration (MC-M)	\$40,614	\$40,702	\$44,522	\$3,820
Personnel	\$8,269	\$8,437	\$8,566	\$129
Other	\$32,345	\$32,266	\$35,957	\$3,691
Adjustments to Base	\$0	\$0	\$1,245	\$6
Facilities 1/	\$1,200	\$1,200	\$5,015	\$3,815

1/ Facilities funding directly supports field operations but is administered by the Office of Administration

The Office of Administration provides acquisitions and human resource support to the agency, maintains central services and manages the agency's National Training Center. To support these functions, \$44.5 million and 62 FTE are requested. Funds requested in the Office of Field for facilities would be executed within the Office of Administration, the agency's facility steward.

Office of Management Information and Services

The Office of Management Information and Services (OMIS) program develops Agency-wide management support services, policies, and activities. These services include space management, facilities and equipment management occupational safety and health program management, metered and express mail services, property management, fleet management, printing, transit benefits, and other administrative services.

OMIS implements many government-wide initiatives to improve transparency, sustainability, and ensure effective use of Federal resources to include:

- Border Space Management program includes feasibility studies, land acquisition, construction of new buildings and office spaces, bus passenger waiting areas renovations, inspection pits, canopies, furniture and all associated IT information technology (IT) and security enhancements as well as rental payments for all border truck and bus inspection locations
- Field office space management includes rental payments at agency field offices located in every state, along with renovations and relocation expenses for offices with lease expirations during the budget year.
- Occupational Safety and Health within the OMIS provides agency-wide administration and management of the employee occupational safety and health program.
- Fleet Management program within OMIS provides Agency-wide management of GSA leased vehicles. These vehicles facilitate the agency's mission of motor carrier safety by

providing vehicles for use by Special Investigators throughout the 50 states and territories.

- OMIS supports the government-wide environmental initiatives to reduce greenhouse gas emissions in buildings and complies with the President's Executive Order 13514 ensuring the agency's motor vehicle fleet use alternative fuels by 2015. The FMCSA executes the Freedom of Information Act (FOIA), Paperwork Reduction Act, and Privacy Act activities and maintains administrative directives for all Agency activities. These essential functions are supported centrally to leverage economies of scale, to monitor and control costs, and assure adherence to regulations and Agency policy and procedures.
- OMIS responds to approximately 1,900 valid FOIA requests, which are processed in consultation with the Office of Chief Counsel and Office of Communications. FMCSA receives the third highest number of requests, following the Federal Highway Administration (FHWA) and Federal Aviation Administration.
- OMIS coordinates and monitors the agency services provided under the DOT Working Capital Fund (approximately \$9M annually).

Office of Human Resources

The Office of Human Resources (OHR) provides a full range of services to the FMCSA employees to include employee and labor relations, staffing and classification, executive resources, oversight of various human resources information technology systems, employee benefits, and strategic human capital planning. The FMCSA values its employees as its number one resource. To ensure continuity in the mission related activities and minimize agency costs, the FMCSA requests funding for employee recruitment and retention initiatives. Maintaining an experienced workforce enables the Agency to effectively support its safety mission. The FMCSA's goal is to hire the best qualified and high quality employees, develop future leaders, and maintain a high performing workforce that is effective in accomplishing FMCSA's safety mission.

In FY 2017, OHR will continue to improve the automated recruitment and staffing approval process, via SharePoint, as well as continue to develop and implement new procedures and processes for updating the agency's competitive level coding, as well as new tools for tracking FTE through a new position allocation numbering process. In FY 2017, OHR will acquire an automated solution for analyzing workforce trends and forecasting; automate employee performance files routing and retention; and establish a quality control team for HR correspondence and personnel transitions.

National Training Center

The FMCSA National Training Center (NTC) is a full-service training organization, providing a wide range of development and delivery options to its customers, utilizing state of the art technologies, design methodologies and delivery options. The NTC is a unique organization in

that over 90% of the over 20,000 students trained annually are not FMCSA employees. The NTC training development and delivery includes travel, course maintenance and updates, new training aids developments, and instructor development and travel.

National Training Center is a crucial component in fulfilling many Agency priority tasks, as it provides, training to FMCSA and State personnel in such areas of commercial enforcement as brokering, freight forwarding, insurance, and licensing (operating authority).

In FY 2017, the NTC will:

- Implement updated curriculum for Safety Academy, including pre-Academy and post-Academy on-the-job training;
- Implement the Updated Basic Safety Academy at a fixed academy location based on needs and site analysis planned in FY 2016;
- Expand FLETA Accreditation for other NTC Training;
- CSA software and ongoing Training;
- Expanded training to support Hours of Service rule and electronic on-board recorders;
- Roll-out of new Leadership curriculum to support FMCSA employee development;
- Competency Management System integration;
- Revision of the NAS program training courses;
- Expand Learning Management System giving all instructors and state POC access to better communication and class management across all MCSAP stakeholders;
- Implement the new FMCSA Employee Orientation/Indoctrination Class;
- Annual review of all NTC courses for updates and regulatory revisions; and
- Expected total students trained, estimated at 21,000.

Office of Acquisitions Management

The Office of Acquisitions Management (OAM) Program provides Agency with support for contracting and procurement actions. Without this support, the FMCSA would not be able to procure the goods and services the program offices need to meet the Agency's mission.

Acquisitions management includes pre-award and post-award support, contract management and administration, records retention of contract files, and contract closeout. This support includes management and oversight of contracting officer's professional development, warrants, certification and training, contracting officer's technical representatives, and management of the Purchase Card program. Acquisition support includes guidance to program offices on market research, independent government cost estimates, contract type, Statement of Work (SOW) development, and technical evaluations. OAM is also responsible for Inter and Intra Agency Agreements within DOT and with other Federal agencies. OAM develops standard operating procedures for internal control over all types of acquisitions. OAM develops FMCSA policies and procedures related to all acquisition subjects and for purposes of internal control.

General Operating Expenses

Detailed Justification: Office of Research and Information Technology

Program Activity (\$000)	FY2015 Enacted	FY2016 Enacted	FY2017 Request	Difference from FY 2016
Office of Research and Information Technology (MC-R)	\$24,731	\$24,785	\$60,401	\$35,616
Personnel	\$8,085	\$8,249	\$8,375	\$35,459
Other	\$16,646	\$16,536	\$52,027	\$157
Adjustments to Base	\$0	\$0	\$380	\$380
Information Management Shift into GOE 1/	\$33,446	\$34,545	\$35,236	\$691
R&T 2/	\$3,998	\$9,000	\$9,180	\$180

1/ The Information Management portion of the FMCSA budget, in FY2017 proposed to be folded into the General Operating Expenses line. Only the portion in FY2017 is shown in the total line above.

2/ R&T funds are shown here, but not reported as part of the total above.

3/ FMCSA has an offsetting collection which supports Registration activities, not reported here.

4/ Includes Program Change and related ATBs.

FMCSA's Office of Research and Information Technology (MC-R) coordinates research and development to improve the safety of motor carrier operations and commercial motor vehicles and drivers. In FY 2017, the Office requests a total of \$60.4 million for operations and staff, including program funds for Statistics and Analysis, and Registration and Safety Information. Additionally, this office manages and executes FMCSA's Research and Technology (R&T).

Statistics and Analysis

This program collects, assures the quality of, disseminates, and analyzes data on roadway crashes, commercial drivers, and the operations and safety performance of motor carriers. The program is an essential agency-wide resource providing Federal and state policy makers, Congress, industry, and the research community with timely, accurate, and relevant statistical information. The Agency collects and analyzes data on the Nation's more than 500,000 interstate freight, 12,000 interstate passenger, and 16,000 intrastate hazardous materials motor carriers, the 4.5 million commercial vehicle drivers, and the 150,000 reportable crashes occurring each year. An on-line, publicly available, interactive repository of commercial motor vehicle safety data is available at <http://ai.fmcsa.dot.gov/>.

In FY 2017 the Program will:

- Execute and provide oversight of the FMCSA studies required by the FAST Act.

- Complete the establishment of an enterprise master and data reference project to standardize the statistical sources across the agency.
- Implement new performance metrics to assess the completeness, timeliness, accuracy, and consistency of State-reported crash and roadside inspection data to FMCSA, and incorporate as part of the State Safety Data Quality program.
- Conduct analyses of State data reporting processes and performance to identify problem areas and provide technical assistance, training, and guidance to State partners.
- Analyze requests for data review submitted by motor carriers, drivers, and others through the DataQs process to assess problem areas in inspection and crash data reporting and identify system changes, training needs, and other interventions to reduce the error rate in FMCSA safety data.
- Develop new analytical measures and models of the effectiveness of FMCSA and its State partners' safety enforcement activities.
- Conduct analyses of emerging safety issues in areas such as motorcoach operations, commercial motor vehicle driver performance, vehicle maintenance issues, etc.

Registration and Safety Information Program

The Office of Registration and Safety Information is responsible for providing cost effective and resource efficient customer service to best facilitate the industry's registration, licensing, insurance, and vetting needs in support of the Agency's "Safety 1st" Strategic Plan goal. This mission helps FMCSA raise the bar for entry into the carrier industry by reinforcing high safety standards and removing high-risk carriers, drivers and service providers from operation. The office must address and respond to rapidly increasing challenges and demands for better coordination of motor carrier registration and licensing practices. This program continually seeks to improve the vetting of applications submitted by 50,000 new motor carriers requesting registration and/or operating authority each year, as well as ensuring that carriers satisfy statutory requirements, such as financial responsibility (i.e., insurance). The office also provides customer service with over 1.2 million customer interactions each year, further facilitating increased responsiveness to industry partners and stakeholders.

In FY 2017 the Program will:

- Ensure that only safe, compliant, willing, and able carriers obtain registration and/or authority to operate.
- Conduct in-depth assessments of financial responsibility requirements and more thorough oversight of carrier financial responsibility requirements.
- Provide responsive, first class customer support to the trucking and bus industry via the Customer Contact Centers.
- Ensure new customer requirements and congressional mandates are met with the Unified Registration System (URS) updates.

- Integrate the Customer Contact Centers and Customer Relations Management (CRM) system with URS.

OFFICE OF RESEARCH AND INFORMATION TECHNOLOGY SUCCESS STORY

International Inspections Go Mobile

In an effort to use new technologies to target high-risk operators and make efficient use of inspection resources, FMCSA began testing a new electronic screening technology at international land border ports in FY 2014. Field staff at border ports in El Paso, Texas, and Nogales, Arizona, is currently testing tablet devices to view and transmit carrier and driver data wirelessly in order to make more informed safety screening decisions. The tablets allow inspectors to quickly identify and pre-screen which vehicles to inspect, store and transfer other screening data, and signal the driver of the pull-in decision.

If this new technology proves successful, the seamless transmission of information will allow inspectors to better target which trucks need to be inspected and reduce the time required to complete inspections. Properly implemented, electronic screening could result in improved traffic flow, increased highway safety, and reduced operating costs at inspection stations.

Another advantage is the positive effects the new system has on the carriers. Knowing ahead of time which carriers need to be inspected cuts down on inspection time—meaning carriers can save time and continue on their routes more quickly. Electronically screening the carriers also provides more concise data monitoring and reporting on those entering the United States.

Information Management

Detailed Justification: Chief Information Officer (CIO)

Program Activity (\$000)	FY2015 Enacted 1/	FY2016 Pres. Budget	FY2017 Request	Difference from FY 2016
Chief Information Officer 1/	\$33,446	\$34,545	\$35,236	\$691

1/ This represents only the Information Management portion of the FMCSA budget, in FY2017 proposed to be folded into the General Operating Expenses line. Other CIO expenses are in the Office of Research and Information Technology.

FMCSA’s Chief Information Officer develops, implements, and maintains the Information Technology (IT) systems and infrastructure that serve as the key enabler behind FMCSA achievement of its mission of preventing crashes and saving lives. The IT systems perform the essential function of providing real-time access to data to the enforcement community, industry, stakeholders, and the public in support of FMCSA’s mission. The office supports a highly mobile workforce by operating the agency’s field IT network of regional and state service centers, and ensuring that inspectors have the tools and mobile infrastructure necessary to perform their duties at the side of the road, where unsafe carriers are detected and removed from our roadways.

FMCSA’s safety mission demands a proactive and forward-focused IT strategy, coupled with stable execution of ongoing operations. While the current aging IT infrastructure has allowed FMCSA to meet the most essential needs of its users, the size of the workforce has not allowed the CIO to keep pace with the continually evolving and expanding program requirements and legislative mandates such as Federal Information Security Management Act (FISMA), Government Performance and Results Act (GPRA), Moving Ahead for Progress in the 21st Century (MAP-21) and FAST Act.

What is this Program and Why is it Necessary?

The CIO operates in a highly complex environment with diverse customers, expanding IT business needs and substantial compliance requirements. The IT systems that the CIO develops, implements and maintains, along with the infrastructure it manages and operates, serve as a key enabler behind FMCSA achieving its mission of reducing crashes and saving lives. As such, the CIO must support its four (4) key safety process areas — Registration, Inspection, Compliance, and Enforcement (“R-I-C-E”) — to address both immediate and future needs. FMCSA's broad safety mission requires delivering innovative and integrated technology solutions that effectively manage information and support essential mission-oriented activities.

Registration

Ensure delivery of benefits to FMCSA's public and business stakeholders by streamlining process and applications, issue USDOT Numbers and Operating Authority; decreasing the cycle time required for applicants to complete and submit applications; enhance the ability to accurately screen carriers; and support the President's Digital Government Building a 21st Century Platform to Better Serve the American People initiative.

Inspection

Ensure Federal and State inspectors have the most current, accurate and complete data necessary for use with the Safety Measurement System (SMS) to inform better data driven decisions; ensure proper selection of high-risk carriers for roadside inspections; and improve inspectors and the commercial trucking industry experience by minimizing unnecessary roadside inspections of safe carriers.

Compliance

Ensure that internal and external stakeholders have enhanced prioritization algorithms to more effectively target carriers for interventions resulting in a higher percentage of enforcement actions per intervention; better access to tools and data to increase percentage of new entrant safety audits completed on time; provide access to medical fitness results and drug and alcohol test results of Commercial Drivers.

Enforcement

Ensure Federal, State and industry stakeholders have a more comprehensive, effective and efficient enforcement business process; make relative safety performance data available to the public; allow industry to self-examine safety performance and be proactive in addressing safety performance issues; reduce the amount of time needed to manage multiple enforcement caseloads, improve data collection and analysis tools; and expand enforcement oversight capabilities.

Infrastructure

Implement a multi-year effort to improve FMCSA's field network infrastructure by the replacement of end-of-life network equipment and a major increase in network capacity and functionality that will create an environment to support Electronic Logging Devices (ELD) and Wireless Roadside Inspections (WRI).

Reduce and mitigate system vulnerabilities and ensure that information security and privacy requirements are identified, documented, communicated appropriately, and incorporated into the design and implementation of each system.

In FY 2014, FMCSA updated its IT Strategic Plan for FY 2014 through FY 2017. The IT Strategic Plan describes how the CIO will support FMCSA's mission objectives and goals. It demonstrates FMCSA's commitment on how to best leverage IT resources to align with organizational priorities and improve how FMCSA does business. The below framework outlines a strategy to successfully achieve its mission. The IT Strategic Plan aligns with FMCSA's Strategic Plan and the DOT OCIO Information Resources Management (IRM) Strategic Plan.

The CIO tailored the IT Strategic Plan to represent a holistic view of success rather than narrowly focusing on specific elements; defining five strategic goals that represent our performance commitments and outcomes in support of its mission – “committed to enabling FMCSA's mission of saving lives by providing agile, cost-effective, innovative, reliable and secure business solutions.” To develop the IT Strategic Plan, thorough analysis was conducted of the external and internal environments and key drivers that impact the strategy were identified. The IT Strategic Plan drivers are as follows:

- Customer Expectations and Business Requirements
- Internal and External Compliance
- IT Workforce
- Technology Trends
- Fiscal Challenges

Strategic Goals represent performance commitments in support of the CIO's mission and vision. Each strategic goal contains specific objectives that describe how CIO will achieve the intended outcomes. The IT strategic goals are as summarized as follows:



The IT Strategic Plan is a key driver of the Capital Plan that defines capital investments required to achieve the strategic goals and provides line of sight to FMCSA's FY 2017 Budget request. The IT Strategic Plan summarizes at a high-level the goals and objectives on how FMCSA plans to manage its programs – detailed approaches reside at the programmatic level. The goals developed by the CIO are adaptive and can evolve with changes to technology while remaining consistent with FMCSA's overall mission and vision.

What Benefits Will Be Provided To The American Public Through This Request?

To ensure the attainment of each goal in the IT Strategic Plan, the CIO has developed an accompanying framework that defines meaningful and quantifiable measures for each strategic goal. These metrics are designed to ensure productivity and success by monitoring progress towards achieving the strategic objectives. These measures also ensure accountability across the organization and help guarantee the ongoing relevance of the IT Strategic Plan.

The following provides additional information regarding the anticipated benefits and performance improvements for the planned FY 2017 activities and accomplishments:

- Provide additional tools for FMCSA compliance and enforcement users to identify, prioritize, and investigate high-risk carriers allowing the agency to meet its strategic goals of maintaining high safety standards and removing high-risk carriers and drivers.
- Updating workflows and alerts in legacy systems to accommodate rulemaking.
- Develop a transparent method for the Safety Fitness Determination (SFD) that would allow each motor carrier to understand fully how FMCSA established that carrier's specific SFD.
- Address gaps in stakeholder needs that are not currently funded or planned through minor enhancements of existing inspection tools with the implementation of the Integrated Inspection Management System (IIMS).
- Enhance the New Entrant program to ensure that new motor carriers establish a basic element of safety control and keeps unsafe carriers off the roadways.
- Invest resources to continually upgrade aging infrastructure to improve data processing ability in the field, improve data quality from inefficient processing of data, reduce field down time and reduce in maintenance costs.
- Provide better access to more consistent and higher-quality telecommunications support.
- Improve customer satisfaction through timely and consistent help desk support.
- Enable the capability to provide enhanced services such as Voice over Internet Protocol (VoIP) and video conferencing (VTC) and improve reliability and availability of FMCSA and DOT network and services by updating the aged equipment at the field locations.
- Transform FMCSA's business processes while reducing IT operation and maintenance costs.

- Enable IT to innovatively deliver services, to do more with less, dynamically respond to evolving business requirements, and more tightly integrate its business processes with its IT systems.

Anticipated FY 2017 Accomplishments

The CIO operates in a highly complex environment with diverse customers, expanding IT business needs and substantial regulatory compliance requirements. To provide a higher-level of IT support to its customers, the CIO has shifted from a focus on bottom-line costs to emphasizing efforts that maximize the top-line business value of IT. In an effort to meet the goals contained in the IT Capital Plan, the CIO has established a portfolio structure that aligns the strategic objectives and initiatives with an investment life cycle.

Investments, projects and initiatives evolve from the Transform to Grow and Enhance to Sustain stages over the investment or initiative's lifecycle as the impact to the organization of the initiative evolves. Development Support activities occur for all development and operations and maintenance initiatives and ensure consistent delivery of innovative business solutions to the CIO's customers. Policy and planning activities occur throughout the entire framework, ensuring initiatives are selected, planned, controlled and secured in a cost effective manner.

Anticipated FY 2017 accomplishments include, but are not limited to:

- Continuous improvements and additional enhancements to Compliance, Safety and Accountability (CSA).
- Develop, test and deploy 386 Rewrite to change work flows and provide alerts in Enforcement Management Information System (EMIS) as well as modifying the language with the enforcement letters. There will also be system requirements associated with taking action to revoke/suspend carrier registrations in Unified Registration System (URS).
- Develop Entry Level Driver Training (ELDT) Rule to leverage existing technology and protocols to establish a Registry of Training Providers by collecting information about programs and driver training completion information.
- Develop, test and deploy Safety Fitness Determination (SFD).
- Continue development of Integrated Inspection Management System (IIMS).
- Complete enhancements to future automate safety audit and corrective action plan review process.
- Continue to enhance, secure and upgrade FMCSA's aging field infrastructure.

How Do You Know The Program Works?

To ensure the attainment of each goal in the IT Strategic Plan, the CIO has developed an accompanying performance management framework that defines meaningful and quantifiable

measures for each strategic goal. These metrics are designed to ensure productivity and success by monitoring progress towards achieving the strategic objectives. These measures also ensure accountability across the organization and help guarantee the ongoing relevance of the IT Strategic Plan. Along with the IT Strategic Plan performance measures, the CIO is in the process of establishing measures for the impact of all major investments. The following provides additional information regarding the anticipated performance improvements for the planned FY 2017 major investments.

Integrated Inspection Management System will replace and enhance the large number of front-end inspection systems that roadside inspectors use to perform inspections. Ultimately, IIMS will improve the performance and efficiency of roadside inspections by:

- Reducing the number of disparate systems and databases that roadside inspectors need to access to perform inspections; this will ultimately increase the efficiency of roadside inspectors and improve employee confidence in systems.
- Decreasing the cycle times of certain sub-functions, such as inspection selection and inspection data upload; this will ultimately increase the availability of up-to-date carrier safety information at the roadside, which will drive better-informed decisions.
- Increasing the amount of high-risk carriers that get selected for inspection and ultimately placed out of service at the roadside; conversely, decreasing the amount of safe carriers that get selected for roadside inspections.
- Providing better quality and more up-to-date carrier safety data.
- Adapting to the requirements from new rules that require Electronic Logging Devices (ELD) and Wireless Roadside Inspection (WRI).

FMCSA headquarters, regional and state service centers depend on the agency's IT infrastructure to achieve operational excellence by:

- Improve Process excellence to:
 - Increase number of changes deployed to plan vs. changes backed out, completed off-plan, completed with disruption, change success ratio;
 - Decrease number of emergency changes;
 - Decrease number of repeat production issues;
 - Increase number of unauthorized changes detected;
 - Increase percentage of problems with a root cause identified; and
 - Increase asset utilization rate.
- Maintain high levels of responsiveness to:
 - Decrease mean time to (problem) detection;
 - Decrease mean time to acknowledgement;
 - Decrease mean time to repair (resolution);
 - Increase mean time between failure;
 - Decrease mean time to provision services;

- Decrease service desk abandonment rate;
- Increase first call resolution rates; and
- Decrease problem queue rate.

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

FMCSA's IT requirements are driven by both business needs (e.g., roadside inspector's need for a more efficient inspection system) and legislative requirements (i.e., MAP-21, FAST Act, etc.). Legislative actions and other external events often have a dramatic impact on FMCSA's IT priorities and place increasing demands on FMCSA's system development resources. The CIO reprioritizes IT investments based on legislative requirements, causing further backlog and delays to critical IT development projects. This trend is expected to continue and the CIO will be unable to meet the business expectations of its customers and system users, which include roadside inspectors and enforcement officers, dramatically affecting the traveling public.

Research and Technology Expenses Detailed Justification

<u>Program Activity (\$000)</u>	FY2015 Actual	FY2016 Enacted	FY2017 Request	Difference from FY 2016
Research and Technology	\$9,000	\$9,000	\$9,180	\$180

What Is The Request And What Funds Are Currently Spent On The Program?

FMCSA requests \$9.2 million for FY 2017 which represents a \$0.2 million increase of over the FY 2016 President's Budget. Funding for the Research and Technology Program will primarily support contracted studies whereas the funding for the Office of Research and Information Technology (MC-R) contained in General Operating Expenses funds FMCSA-initiated studies and research efforts.

What Is This Program And Why Is It Necessary?

The Research and Technology (R&T) Program provides scientific safety research on driver behavior, carrier operations, and technology applications. These contributions have proven critical in supporting agency safety rulemakings; identifying enforcement priorities; and facilitating technology transfer to the marketplace.

Program activities range from developing enhanced enforcement technologies, demonstrating the efficacy of truck drivers getting proper rest, evaluating the safety implications of automated and semi-automated vehicles, and understanding how commercial motor vehicles can safely use alternative fuels. Taxpayer support is necessary as these projects provide the underpinnings for the agency's rule making and enforcement priorities. For example, recent research findings demonstrated the safety benefits of carriers' use of electronic logging devices to keep track of driver work hours.

What Benefits Will Be Provided To The American Public Through This Request?

The Research and Technology program identifies ways to improve driver performance and carrier safety which directly impact the safety of the American motoring public which shares the Nation's roadways with large trucks and buses. The Research and Technology Program's research findings enable the agency to make rules that are firmly grounded on objective, impartial scientific data. Using research to better understand factors associated with crashes, the Agency can issue and prioritize enforcement policies. FMCSA has identified new technologies such as wireless communications to reduce the labor-intensive costs of roadside inspections. The Agency can help States share, accurately and efficiently, safety data on commercial drivers, vehicles, and carriers, using a standard protocol. The Research and Technology Program develops technologies to help truckers find available parking in real-time to reduce crashes

associated with truck driver fatigue. The Program will also examine the impacts of automated commercial motor vehicle technologies on safety regulations.

Why Is This Program Necessary?

FMCSA's Research and Technology Program develops the knowledge, practices, and technology needed to solve problems and answer questions that arise in making rules, issuing enforcement policies, and improving the safety of commercial drivers, vehicles, and carriers. For example, the agency has been at the forefront of designing and testing technology to help truckers find available parking in real-time to save fuel and enhance roadway safety.

Anticipated FY 2017 Accomplishments

The FY 2017 Research and Technology Program will continue to support the FMCSA's safety mission by:

- Evaluating the effectiveness of on-board monitoring systems;
- Identifying individual driver risk factors such as medical conditions to crash risks;
- Examining the relationship between driver compensation and safety performance;
- Determining the effectiveness of wireless truck and bus inspections;
- Developing training for inspectors to safely inspect trucks using alternative fuels;
- Operating e-screening technology at US borders to improve inspections of trucks entering the US from Mexico;
- Examining safety impacts of automated vehicles; and
- Promoting the use of proven smart parking solutions that provide accurate real-time parking availability information to tired truckers.

How Do You Know The Program Works?

FMCSA has both internal and external mechanisms to help assess the utility of the Research and Technology Program:

- Research and technology projects are reviewed by FMCSA's Research Executive Board comprised of members from across the agency and
- Each product has a customer or benefactor which provides input and evaluation.

FMCSA collaborates closely with product end-users including other USDOT modes such as the Federal Highway Administration (FHWA) and the National Highway Traffic Safety Administration (NHTSA). FMCSA also works closely with external customers to ensure that the Agency's research and technology portfolio addresses current needs in the transportation safety environment. These include the National Transportation Safety Board, the Office of Management and Budget, U.S. Department of Energy, the Government Accountability Office, and state enforcement agencies. FMCSA provides regular briefings, webinars, and public

forums for industry representatives, safety advocates, congressional staff, and the transportation research community.

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

The requested funding supports a viable research program to ensures proposed rulemaking, enforcement policies, and inspection procedures accurately and appropriately address safety-critical issues, whether they affect commercial drivers, carriers, shippers, brokers, or others. Without a viable research program, the Agency risks making rules, issuing policies and procedures that may be misdirected – missing the intended safety outcome. A continuous and viable research program provides the flexibility to address changes in driver behavior, modern technologies, and the prevailing, complex environment that influences them. By funding a well-focused research agenda, the Agency maintains not just a leadership role in truck and bus safety, but also spearheads innovation with more cost-effective and smarter transportation solutions.

Outreach and Education Detailed Justification

FMCSA requests \$4.0 million for the Office of Outreach and Education. The Office communicates the Agency's safety-first culture through integrated marketing campaigns, online media, educational materials, exhibits, videos, websites, and publications. For the office to successfully develop, promote, and administer educational, outreach, and digital strategies and tactics to motor carriers, commercial motor vehicle (CMV) drivers and the public in order to increase compliance with safety regulations and to prevent CMV crashes within the United States, maintaining its historical \$4.0 million budget is important. As specified in the FAST Act, the Outreach and Education funding level is now a ceiling, allowing FMCSA to spend less, if program requirements don't require the full \$4 million. FMCSA only utilized \$3.9 million of the \$4.0 million set-aside in FY 2015. Removing the set-aside allows the agency to better manage and leverage its funds. FMCSA expects to continue supporting the program at the current level.

During FY 2017, this Office will work on strengthening its effective communication with the public and commercial motor vehicle safety stakeholders by:

- Broadening education and awareness efforts surrounding rulemakings, i.e. the Electronic Logging Device Final Rule, the Unified Registration System Final Rule and others.
- Maintaining outreach support of the hazardous materials programs.
- Developing an outreach materials distribution strategy/partnership to ensure the delivery of FMCSA information at truck-stops nationwide.
- Rolling out National Occupant Protection Use Survey (NOPUS) findings concerning safety belt use among CMV drivers.
- Expanding motorcoach safety education and outreach programs to consumers and the industry, including through the Agency's "Look Before You Book" website and mobile app.
- Conducting consumer moving fraud prevention outreach campaigns around FMCSA's enforcement efforts to protect the public from illegal activities and deceitful business practices by dishonest moving companies and brokers.
- Increasing the focus of outreach goals on the need to operate safely around CMVs through increased awareness campaigns and stakeholder engagement.
- Continuing CMV Safety Belt Usage Improvement Program through expanded partnership efforts, the "Be Ready. Be Buckled" national outreach campaign and the deployment of strategies and tactics around enforcement activities.
- Continuing outreach with law enforcement partners to advance a curriculum on large truck and bus traffic enforcement.

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FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
MOTOR CARRIER SAFETY OPERATIONS - 8159
OBJECT CLASS SCHEDULE - FY2017
(\$000)

		FY2015 Actual	FY2016 Enacted	FY2017 Pres. Bud
Direct Obligations				
Personnel Compensation				
Full-time permanent	11	\$97,334	\$99,304	\$100,814
Civilian personnel benefits	12	\$31,929	\$32,576	\$33,064
Total Personnel Expenses		\$129,264	\$131,880	\$133,878
Other Obligations				
Travel and Transportation of Persons	21	\$8,597	\$8,910	\$9,098
Transportation of things	22	\$371	\$371	\$378
Communications, utilities, and miscellaneous charges	23	\$20,358	\$19,246	\$19,636
Printing and reproduction	24	\$697	\$697	\$716
Other services (Contracts and Agreements)	25	\$107,907	\$102,954	\$110,275
Supplies and materials	26	\$790	\$1,000	\$1,021
Equipment	31	\$1,142	\$1,142	\$1,177
Grants	41	\$2,270	\$1,000	\$1,020
Insurance claims and indemnities	42	\$0	\$0	\$0
Subtotal, Other Obligations		\$142,133	\$135,320	\$143,322
Total Direct Obligations		\$271,396	\$267,200	\$277,200

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

(In thousands of dollars)

Identification code 69-17-8159		FY 2015 Actual	FY 2016 Enacted	FY 2017 Request
Obligations by program activity:				
0001	Operating Expenses	210,343	218,855	228,784
0002	Research and Technology	9,979	9,000	9,180
0004	Information Management	34,206	34,545	35,236
0006	Regulatory Development	0	0	0
0008	Outreach and Education	3,868	4,000	4,000
0009	Commercial Motor Vehicle (CMV) Operating Grants	1,000	1,000	0
0010	Hours of Service Study	4,000	0	0
0011	Enforcement and Investigation Activities (CIP, ENRG, SFD)	6,677	0	0
0012	CMV Additional	1,270	0	0
0100	Subtotal, direct program	271,343	267,400	277,200
0799	Total, direct obligations	271,343	267,400	277,200
0801	Reimbursable program	18,324	20,000	20,000
0900	Total new obligations	289,667	287,400	297,200
Budgetary Resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	26,042	21,872	21,872
1020	Adjustment of unobligated bal brought forward, Oct 1	0	0	0
1021	Recoveries of prior year unpaid obligations	6,145	0	0
1050	Unobligated balance (total)	32,187	21,872	21,872
Budget authority:				
Appropriations, discretionary:				
1102	Appropriation, (trust fund)	259,794	267,400	277,200
1137	Appropriations applied to liquidate contract authority	-259,000	-267,400	-277,200
1160	Appropriation, discretionary (total)	794	0	0
Contract authority, discretionary:				
1521	Unobligated balance of contract authority permanently reduced	0	0	0
1540	Contract authority, discretionary (total)	0	0	0
Contract authority, mandatory:				
1600	Contract authority	259,000	267,400	277,200
1621	Unobligated balance of contract authority permanently reduced	0	0	0
1640	Contract authority, mandatory (total)	259,000	267,400	277,200
Spending authority from offsetting collections, discretionary:				
1700	Collected	19,558	20,000	20,000
1701	Change in uncollected customer payments from federal sources	0	0	0
1723	Spending authority from offsetting collections temporarily reduced	0	0	0
1750	Spending auth from offsetting collections, disc (total)	19,558	20,000	20,000
1900	Budget authority (total)	279,352	287,400	297,200
1930	Total budgetary resources available	311,539	309,272	319,072
Memorandum (non-add) entries:				
2490	Unexpired unobligated balance ,end of year	21,872	21,872	21,872
Change in obligated balance:				
Unpaid obligations:				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	91,449	100,150	129,400
3001	Adjustments to unpaid obligations, brought forward, Oct 1	0	0	0
3010	Obligations incurred, unexpired accounts	289,667	287,400	297,200
3020	Outlays (gross)	-274,821	-258,150	-268,110
Change in uncollected customer payments from Federal sources:				
3040	Recoveries of prior year unpaid obligations, unexpired	-6,145	0	0
3050	Unpaid obligations, end of year	100,150	129,400	158,490
Memorandum (non-add) entries:				
3100	Obligated balance, start of year	100,150	129,400	158,490
3200	Obligated balance, end of year	100,150	129,400	158,490
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	20,352	20,000	20,000
Outlays, gross:				
4010	Outlays from new discretionary authority	209,987	200,550	207,900
4011	Outlays from discretionary balances	64,834	57,600	60,210
4020	Total outlays, gross (disc)	274,821	258,150	268,110
Offsetting collections from:				
4030	Federal sources (disc)	-16	0	0
4034	Offsetting government collections (from non-Federal sources)	-19,542	-20,000	-20,000
4040	Offsetting against gross budget authority and outlays (disc)(total)	-19,558	-20,000	-20,000
Additional offsets against gross budget authority only (disc):				
4050	Change in uncollected cust pymnts from federal sources (unexpired)(disc)	0	0	0
4060	Additional offsets against budget authority only (disc)(total)	0	0	0
4070	Budget authority, net (discretionary)	794	0	0
4080	Outlays net (discretionary)	255,263	238,150	248,110
Mandatory:				
4090	Budget authority, gross	259,000	267,400	277,200
4160	Budget authority, net (mandatory)	259,000	267,400	277,200
4180	Budget authority, net (total)	259,794	267,400	277,200
4190	Outlays net (total)	255,263	238,150	248,110

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

CONTRACT AUTHORITY ESTIMATES		CONTRACT AUTHORITY	
2006.....	213,000,000	2006.....	213,000,000
2007.....	223,000,000	2006 Rescission of Contract Authority.....	(2,130,000) ¹
2008.....	228,000,000	2007.....	74,000,000
2009.....	234,000,000	2008.....	228,000,000
2010.....	239,828,000	2008 Rescission of Contract Authority.....	(1,815,553) ²
2011.....	244,144,000	2009.....	234,000,000
2012.....	276,000,000	2009 Rescission of Contract Authority.....	(4,839,259) ³
2013.....	250,000,000	2010.....	239,828,000
2014.....	259,000,000	2011.....	244,144,000
2015.....	315,770,000	2012.....	244,144,000
2016.....	329,180,000	2013.....	251,000,000
2017.....	277,200,000	2014.....	259,000,000
		2015.....	259,000,000
		2016.....	267,400,000
		2017.....	277,200,000

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

² Rescission of prior year carryover

³ Enacted rescission of prior year carryover P.L. 111-8

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

APPROPRIATION ESTIMATES	APPROPRIATION
2005.....213,000,000	2006..... 213,000,000
2006.....223,000,000	2006 Rescission of Liquidating Cash (2,130,000) ¹
2007.....228,000,000	2007..... 210,870,000
2008.....234,000,000	2008.....229,654,000 ²
2009.....239,828,000	2009..... 234,000,000
2010.....259,878,000	2009 Rescission of Liquidating Cash (4,839,259) ³
2011.....276,000,000	2010..... 239,828,000
2012.....250,000,000	2011..... 239,828,000
2013.....250,000,000	2012..... 247,724,000
	2013.....249,240,071 ⁴
	2013..... 251,000,000
	2013 Across-the-Board Reduction (502,000) ⁵
2014.....259,000,000	2014..... 259,000,000
2015.....315,770,000	2015..... 259,000,000
	2015..... 12,000,000 ⁶
2016.....329,180,000	2016..... 267,400,000
2017.....277,200,000	

¹ Enacted rescission pursuant to P.L. 109-148

² Enacted increase in Obligation Limitation to use prior year carryover contract authority

³ Enacted 0.65% and \$200K rescission pursuant to P.L. 108-7

⁴ Continuing Resolution Annualized P.L. 112-175

⁵ Applied .002% Across-the-Board reduction required by the Consolidated and Further Continuing Act, 2013, P.L. 113-6

⁶ Unobligated Balance carryover P.L. 113-235

Section III: Budget Request by Appropriation Account

APPROPRIATIONS LANGUAGE

Motor Carrier Safety Grants

(LIQUIDATION OF CONTRACT AUTHORIZATION)

(LIMITATION ON OBLIGATIONS)

(HIGHWAY TRUST FUND)

For payment of obligations incurred in carrying out sections 31102, 31103, 31104 and 31313 of title 49, United States Code, as amended by the Fixing America's Surface Transportation Act, \$367,000,000, to be derived from the Highway Trust Fund (other than the Mass Transit Account) and to remain available until expended: Provided, that funds available for the implementation or execution of motor carrier safety programs shall not exceed total obligations of \$367,000,000 in fiscal year 2017 for "Motor Carrier Safety Grants"; of which \$292,600,000 shall be available for the motor carrier safety assistance program, \$42,200,000 shall be available for the high priority activities program, \$31,200,000 shall be available for commercial driver's license program implementation financial assistance program, and \$1,000,000 shall be available for the commercial motor vehicle operators grant program.

PROGRAM AND PERFORMANCE STATEMENT

Motor Carrier Safety Grants

Motor Carrier Safety Grants support States to conduct compliance reviews, identify and apprehend traffic violators, conduct roadside inspections, and support safety audits on new entrant carriers. The Federal Motor Carrier Safety Administration (FMCSA) also supports States by conducting training for State agency personnel to accomplish motor carrier safety objectives. In addition, FMCSA reviews State commercial driver's license (CDL) oversight activities to prevent unqualified drivers from being issued CDLs, and is initiating an Innovative Technology Deployment program to improve the safety and productivity of commercial vehicles and drivers. The Motor Carriers Safety Grants account maintains the Agency's individual grants under the Compliance, Safety and Accountability Program.

EXHIBIT III-1-B
MOTOR CARRIER SAFETY GRANTS
69-X-8158
Summary by Program Activity
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

ACCOUNTS	FY 2015 ACTUAL	FY 2016 ENACTED	FY 2017 TARGET	FY 2017 REQUEST	CHANGE FY 2016-2017
Motor Carrier Safety Assistance Program				-	
MSCAP Grants	218,000	218,000	0	0	(218,000)
MSCAP Basic	168,275	168,275	0	0	(168,275)
MCSAP High Priority	32,000	32,000	0	0	(32,000)
MCSAP New Entrant	15,000	15,000	0	0	(15,000)
MCSAP Administrative Takedown	2,725	2,725	0	0	(2,725)
MCSAP General (Includes Basic, New Entrant, Border, PRISM, and SaDIP)	0	0	292,600	292,600	292,600
MCSAP High Priority	0	0	42,200	42,200	42,200
Border Enforcement Grants (BEG)	32,000	32,000	0	0	(32,000)
Safety Data Improvement (SaDIP)	3,000	3,000	0	0	(3,000)
Commercial Vehicle Informaiton Systems and Networks (CVISN)	25,000	25,000	0	0	(25,000)
Perforamnce and Registration Information Systems Management (PRISM)	5,000	5,000	0	0	(5,000)
Commercial Drivers License Program Improvement (CDL)	30,000	30,000	31,200	31,200	1,200
Partner Training and Program Support (PTAPS) (non-add)	0	0	5,490	5,490	5,490
Commercial Motor Vehicle Operating Grants	0	0	1,000	1,000	1,000
TOTAL GRANTS	313,000	313,000	367,000	367,000	54,000

1/ The FY2015 Enacted column assumes that an extension of FMCSA's authorization will be passed and run through September 30th, 2015 at the same daily rate as previous extensions.

EXHIBIT III-1-B-1
MOTOR CARRIER SAFETY GRANTS
SUMMARY ANALYSIS OF CHANGE FROM FY 2016 TO FY 2017
Appropriations, Obligations Limitations, and Exempt Obligations

	Change from FY 2016 to FY 2017 (\$000)	Change from FY 2016 to FY 2017 (FTE)
FY 2016 BASE	313,000	0
Adjustment to Base		
Inflation		
MCSAP General (Includes Basic, New Entrant, Border, PRISM, and SaDIP)	0	
MCSAP High Priority	0	
Border Enforcement Grants (BEG)	0	
Safety Data Improvement (SaDIP)	0	
Commercial Vehicle Information Systems and Networks (CVISN)	0	
Performance and Registration Information Systems Management (PRISM)	0	
Commercial Drivers License Program Improvement (CDL)	0	
Partner Training and Program Support (PTAPS) (non-add)	0	
Commercial Motor Vehicle Operating Grants	0	
SUBTOTAL , ADJUSTMENTS TO BASE	0	0
New or Expanded Programs		
MSCAP Basic	(168,275)	
MCSAP New Entrant	(32,000)	
MCSAP High Priority	(15,000)	
MCSAP Administrative Takedown	(2,725)	
MCSAP General (Includes Basic, New Entrant, Border, PRISM, and SaDIP)	292,600	
MCSAP High Priority	42,200	
Border Enforcement Grants (BEG)	(32,000)	
Safety Data Improvement (SaDIP)	(3,000)	
Commercial Vehicle Information Systems and Networks (CVISN)	(25,000)	
Performance and Registration Information Systems Management (PRISM)	(5,000)	
Commercial Drivers License Program Improvement (CDL)	1,200	
Partner Training and Program Support (PTAPS) (non-add)	5,490	
Commercial Motor Vehicle Operating Grants	1,000	
SUBTOTAL, NEW OR EXPANDED PROGRAMS	54,000	0
FY 2017 BUDGET REQUEST	367,000	0

Motor Carrier Safety Grants Detailed Justification

What Do I Need To Know Before Reading This Justification?

Under the Fixing America's Surface Transportation (FAST) Act, FMCSA will begin implementing consolidation of the agency's grant programs. The MCSAP formula grants now include Border Enforcement, New Entrant, Performance Registration Information System Management (PRISM), and Safety Data Improvement (SADIP) grants. The MCSAP High Priority grant program will now encompass high priority activities related to motor carrier safety, including some PRISM and SADIP activities to provide maximum flexibility to FMCSA's State partners and the innovative technology deployment (including CVISN and other innovative technology deployment), rather than maintaining separate grant programs....

Additionally, funding for the Commercial Motor Vehicle Operator Safety Training (CMVOST) programs is shifted from Operations to the grants program.

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

The FY 2017 funding request of \$367 million for FMCSA's grants programs consists of the following accounts:

- Motor Carrier Safety Assistance Program (MCSAP) (\$292.6 million) – This includes the MCSAP Basic and Incentive, Border enforcement, new entrant safety audit formula, PRISM, and SADIP grants.
- MCSAP High Priority (\$42.2 million) -This includes funding for special safety initiatives that now include activities related to motor carrier safety, including some SADIP and PRISM activities and Innovative Technology Deployment including CVISN.
- Commercial Driver's License Program Implementation financial assistance program (CDLPI) (\$31.2 million). – This provides funding to States and organizations for to assist States in their CDL programs and for other projects addressing CDL issues.
- Commercial Motor Vehicle Operators Grant Program (CMVOST) (\$ 1 million) – This grant provides funding for the training individuals in the safe operation of commercial motor vehicles.
- Partner Training and Program Support (PTAPs) is funded with a takedown from all grants programs, excluding the CMVOST grants.

What Is The Program?

Motor Carrier Safety Assistance Program (MCSAP) - \$292.6 million

The FMCSA relies on its partnerships with State and local law enforcement agencies to utilize the over 12,000 State enforcement officers to increase its enforcement and safety capacity over the motor carrier population nationwide. MCSAP grants provide formula and discretionary funding to the States, local governments, federally recognized Indian tribes and other organizations and associations that improve commercial motor vehicle safety on the Nation's roadways. As a result, these entities become a force multiplier in delivery of motor carrier, driver and vehicle safety programs.

MCSAP Formula (\$292.6 million) - This request will provide mostly formula funding to the States to support programs that improve motor carrier compliance and safety including roadside inspections, interventions, investigations, border enforcement activities, new entrant safety audits, SADIP, PRISM, and targeted enforcement. FMCSA will provide formula grants to the States to fund work detailed in their Commercial Vehicle Safety Plans (CVSP) through the MCSAP Basic and Incentive programs. Under the provisions of the FAST Act, CVSPs will become multi-year plans with annual updates which will be submitted and approved by FMCSA to ensure that the States are addressing the mandatory program elements as well as the safety problems of their specific state. For example, the States of Texas and North Dakota had to direct resources to focus inspection efforts in the shale regions. This is in response to increased crashes and hazardous materials loads in these areas as a result of increased oil production. Additionally, the change to multi-year plans will significantly reduce burden on the States by reducing the number of applications and the number of progress and financial reports each State must submit to FMCSA.

In FY 2017, the States will develop their CVSPs to ensure that the additional mandatory programs of border enforcement and new entrant safety audits are accurately reflected. Based on the historical expenditures by the States, FMCSA has reliable information on the States' needs.

The MCSAP Basic and Incentive program now requires a 15% match from the States. The MCSAP Incentive program rewards States that demonstrate reductions in large truck crashes with additional funds for targeted initiatives. These funds are distributed pursuant to a formula based on the States' crash rates and timely uploading of crash and inspection reports.

MCSAP Basic Awards

<u>Applicant Name</u>	<u>FY2015 Award</u>	<u>FY2016 Award</u>	
Alabama Department of Public Safety	\$3,749,251	\$3,736,432	1/
Alaska Department of Transportation and Public Facilities	\$741,049	\$743,953	1/
American Samoa (called DPS MCSAP)	\$350,000	\$350,000	3/

MCSAP Basic Awards

<u>Applicant Name</u>	<u>FY2015 Award</u>	<u>FY2016 Award</u>	
Arizona Department of Public Safety	\$3,465,260	\$3,450,597	1/
Arkansas State Highway and Transportation Department	\$2,769,048	\$2,754,819	1/
California Highway Patrol	\$8,403,864	\$8,441,509	3/
CNMI Department of Public Safety (Mariana Islands)	\$350,000	\$350,000	3/
Colorado State Patrol	\$3,160,947	\$3,253,894	3/
Connecticut Department of Motor Vehicles	\$1,570,909	\$1,551,379	1/
Delaware Department of Safety and Homeland Security	\$747,917	\$751,267	3/
District of Columbia Metropolitan Police Department	\$734,182	\$703,724	4/
Florida Department of Highway Safety and Motor Vehicles	\$8,403,864	\$8,441,509	2/
Georgia Department of Public Safety	\$5,917,836	\$5,905,687	1/
Guam Department of Revenue and Taxation	\$350,000	\$350,000	3/
Hawaii Department of Transportation	\$717,013	\$718,355	3/
Idaho State Police, Commercial Vehicle Safety	\$1,523,021	\$1,446,661	1/
Illinois Department of Transportation	\$6,883,694	\$6,847,813	3/
Indiana State Police	\$4,794,595	\$4,795,697	2/
Iowa Department of Transportation	\$3,081,770	\$3,082,719	1/
Kansas Highway Patrol	\$3,040,047	\$2,923,288	2/
Kentucky State Police Commercial Vehicle Enforcement	\$3,142,538	\$3,178,869	1/
Louisiana Department of Public Safety	\$2,948,679	\$2,929,607	2/
Maine Department of Public Safety	\$463,515	\$876,046	1/
Maryland Dept of Transportation	\$2,556,921	\$2,569,192	1/
Massachusetts State Police	\$2,947,919	\$2,638,729	2/
Michigan State Police	\$5,434,528	\$5,416,899	1/
Minnesota State Patrol	\$4,029,177	\$3,840,990	1/
Mississippi Department of Public Safety	\$2,571,998	\$2,564,332	1/
Missouri Department of Transportation	\$4,565,551	\$4,547,748	1/
Montana Department of Transportation	\$1,476,989	\$1,477,953	1/
Nebraska State Patrol	\$2,170,041	\$2,191,269	1/
Nevada Department of Public Safety	\$1,703,547	\$1,684,505	1/
New Hampshire Department of Safety	\$747,917	\$711,039	2/
New Jersey Department of Transportation	\$3,841,442	\$3,810,022	1/
New Mexico Department of Public Safety	\$2,000,875	\$1,931,824	3/
New York State Department of Transportation	\$7,841,003	\$7,841,608	2/
North Carolina State Highway Patrol	\$5,428,560	\$5,450,819	1/
North Dakota Highway Patrol	\$1,691,585	\$1,704,957	1/

MCSAP Basic Awards

<u>Applicant Name</u>	<u>FY2015 Award</u>	<u>FY2016 Award</u>	
Oklahoma Department of Public Safety	\$3,541,755	\$3,512,600	1/
Pennsylvania State Police	\$6,692,831	\$6,670,887	1/
Public Service Commission of West Virginia	\$1,280,309	\$1,249,315	1/
Public Utilities Commission of Ohio	\$6,293,771	\$6,629,541	2/
Puerto Rico Public Service Commission	\$1,177,527	\$916,907	3/
Rhode Island State Police Department of Public Safety	\$747,917	\$718,353	1/
South Carolina Department of Public Safety	\$3,159,684	\$3,080,778	2/
South Dakota Highway Patrol	\$739,736	\$1,455,620	1/
Tennessee Department of Safety and Homeland Security	\$4,149,553	\$3,984,233	1/
Texas Department of Public Safety	\$8,056,614	\$8,071,673	1/
Utah Department of Transportation, Motor Carrier Division	\$1,907,355	\$1,890,756	1/
Vermont Department of Motor Vehicles	\$747,917	\$751,267	1/
Virgin Islands Office of Highway Safety	\$350,000	\$350,000	3/
Virginia Department of State Police	\$4,511,088	\$4,483,272	1/
Washington State Patrol	\$3,637,141	\$3,638,435	1/
Wisconsin Department of Transportation	\$3,966,447	\$3,851,641	1/
<u>Wyoming Department of Transportation</u>	<u>\$998,303</u>	<u>\$1,054,011</u>	1/
Total MCSAP Basic Grants	\$168,275,000	\$168,275,000	

1/ FY 2016 Award Complete, as of 1/28/2016

2/ Awaiting Grantee Acceptance of Award, as of 1/28/2016

3/ Award Being Processed, as of 1/28/2016

4/ CVSP Under Discussion, as of 1/28/2016

MCSAP High Priority (\$42.2 million) - MCSAP will also provide High Priority discretionary funding to the States, local law enforcement, federally recognized Indian tribes, or other safety partners with best practices or innovative enforcement or safety initiatives. Through MCSAP High Priority, grant funds will be made available for targeting unsafe driving of, and around, commercial motor vehicles in areas identified as high risk crash corridors. In addition, this program now includes funding for PRISM and SADIP activities, and the Innovative Technology Deployment (ITD). The new ITD program will provide grants to States for deployment activities and activities to develop new and innovative advanced technology solutions that support commercial motor vehicle information systems and networks. The HP program will now require a 15% match.

FY 2015 MCSAP High Priority Grant Program

<u>Recipient Name</u>	<u>Award Amount</u>
Alabama Law Enforcement Agency	\$679,974
Alaska Department of Transportation and Public Facilities	\$418,569
Arizona Department of Public Safety	\$1,138,109
California Highway Patrol	\$357,870
Commercial Vehicle Safety Alliance	\$435,803
Commercial Vehicle Safety Alliance	\$120,935
Connecticut Department of Motor Vehicles	\$352,089
Delaware River Port Authority of Pennsylvania & New Jersey	\$114,788
Florida Department of Highway Safety and Motor Vehicles	\$568,086
Idaho State Police, Commercial Vehicle Safety	\$98,923
Illinois State Police	\$193,656
Indiana State Police	\$957,682
International Association of Directors of Law Enforcement Standards and Training	\$326,835
Kansas Highway Patrol	\$207,341
Kansas Highway Patrol	\$387,660
Kentucky State Police Commercial Vehicle Enforcement Division	\$244,506
Kentucky State Police Commercial Vehicle Enforcement Division	\$366,759
Massachusetts State Police	\$480,166
Minnesota State Patrol	\$262,635
Mississippi Department of Public Safety	\$457,287
Mississippi Department of Transportation	\$43,000
Nebraska State Patrol	\$84,188
Nevada, City of Henderson	\$116,520
Nevada, Reno Police Department	\$96,335
New York State Department of Transportation	\$1,441,237
New York, County of Nassau	\$508,319
New York, County of Suffolk	\$384,177
North Carolina State Highway Patrol	\$259,208
Pennsylvania Public Utility Commission	\$393,068
Pennsylvania, City of Pittsburgh Bureau of Police	\$198,192
Public Utilities Commission of Ohio	\$156,480
Puerto Rico Public Service Commission	\$94,794
Rhode Island State Police	\$119,065

FY 2015 MCSAP High Priority Grant Program

<u>Recipient Name</u>	<u>Award Amount</u>
Tennessee Department of Safety and Homeland Security	\$107,997
Texas A&M Transportation Institute	\$113,202
Texas Department of Public Safety	\$498,793
Texas, City of Arlington	\$201,743
Texas, City of Austin	\$526,177
Texas, City of Fort Worth	\$310,597
Texas, Houston Police Department	\$467,019
Virginia Department of State Police	\$361,248
Washington, City of Spokane	\$43,769
West Virginia, Public Service Commission	\$178,883
Wisconsin Department of Transportation	<u>\$106,902</u>
Total High Priority MCSAP Awards	\$14,980,586

Commercial Driver's License Program Improvement (CDLPI) (\$31.2 million)

The Commercial Driver's License Program Implementation Financial Assistance Program (CDLPI) provides financial assistance to States to achieve compliance with the requirements of the CDL issuance under 49 CFR Parts 383 and 384. Additionally, the CDLPI grant program provides financial assistance for other entities capable of executing national projects that aid the States in their compliance efforts and that will improve the national CDL program. The CDLPI grant program provides funding to the State Driver Licensing Agencies (SLDAs), for the implementation of CDL program changes such as the implementation of FMCSA's CDL Testing and Commercial Learner's Permit (CLP) Final Rule which requires most States to implement changes to their CLP and CDL processes. In addition, grant funds are often awarded to other organizations to develop and implement nationwide program improvements, such as needed changes to the Commercial Driver License Information System (CDLIS), including maintaining and providing timely information about unsafe drivers through CDLIS. Grant funds are prioritized for the States to provide a dedicated CDL Coordinator to ensure that program is prioritized within the State and meets federal requirements. In FY 2016, funding is prioritized for the resolution of program deficiencies so that all States are functioning properly to ensure that unsafe drivers are removed from the road. In addition, the Agency will be prioritizing CDL Improvement Program grant funding to States that commit to improving their crash and inspection reporting.

Currently, each State completes the requirements of the CDL program differently. MAP21 required FMCSA to conduct an annual comparison of the States' levels of compliance. Fund would be used by the States to conduct self-assessments and provide data about their programs. The annual report would compare performance by the States in key program areas such as

timeliness for updating driver records, taking disqualifying actions on drivers per appropriate regulations, and fraud monitoring requirements. Currently, the States compliance with the CDL program requirements is only documented through reviews conducted by FMCSA every 3-5 years. The submission and analysis of the plans will allow FMCSA to identify States with deficiencies and focus resources and attention until improvements are made.

The FY 2015 award distributions were:

FMCSA - FY 2015 CDL Grant Program Awards

<u>Recipient Name</u>	<u>Award Amount</u>
American Association of Motor Vehicle Administrators	\$274,692
American Association of Motor Vehicle Administrators	\$611,230
American Association of Motor Vehicle Administrators	\$183,199
Arkansas Administrative Office of the Courts	\$535,144
California Department of Motor Vehicles	\$1,028,239
Colorado Department of Revenue	\$293,727
Connecticut Department of Motor Vehicles	\$3,404,916
Delaware Department of Transportation	\$268,473
Executive Office of the Commonwealth of Kentucky	\$552,720
Georgia Department of Driver Services	\$506,592
Illinois Secretary of State	\$63,500
Indiana Supreme Court	\$944,822
Iowa Department of Transportation	\$453,196
Iowa Department of Transportation	\$2,215,500
Louisiana Department of Public Safety	\$2,903,000
Marshall University Research Corporation	\$254,054
Maryland Motor Vehicle Administration	\$427,900
Massachusetts Registry of Motor Vehicle Division	\$97,000
Michigan Department of State	\$625,413
Minnesota Department of Public Safety	\$827,484
Mississippi Department of Public Safety	\$305,868
National Center for State Courts	\$748,669
National District Attorney's Association	\$1,134,730
New Jersey Motor Vehicle Commission	\$1,166,451
New Mexico Taxation and Revenue Department	\$260,620
New York State Department of Motor Vehicles	\$5,486,254
Ohio State Highway Patrol	\$29,654
Pennsylvania Department of Transportation	\$1,594,359
South Carolina Department of Motor Vehicles	\$577,084
Tennessee Department of Safety and Homeland	\$1,039,920

FMCSA - FY 2015 CDL Grant Program Awards

<u>Recipient Name</u>	<u>Award Amount</u>
Security	
The National Judicial College	\$268,993
University of Massachusetts Amherst	\$370,223
Virginia Department of Motor Vehicles	<u>\$87,911</u>
Total CDL Awards	\$29,541,537

Partner Training and Program Support (PTAPS) program (\$5.1 million)

Formerly funded as an administrative takedown from MCSAP only grants, PTAPS funds under the multiyear reauthorization proposal will be raised to 1.5% from 1.25% and would be applied to all grant funds, except the CMVOST grants. These funds would be made available to provide training of law enforcement personnel on commercial motor vehicle, carrier and driver safety regulations through the FMCSA National Training Center. In addition, these funds would be used to support nationwide initiatives such as data analysis and program reviews. Any funds that are not needed will be returned to the specific grant program for award as a grant.

Commercial Motor Vehicle Operators Safety Training (CMVOST) Grant:

FMCSA requests \$1.0 million for CMVOST grants. This grant is a discretionary program for State, local, and Federally recognized Native American Tribal governments, accredited post-secondary educational institutions (public or private) and truck driver training schools that are accredited and recognized by the U.S. Department of Education. The purpose of the grant is to expand the number of CDL holders possessing enhanced operator safety training in order to reduce the severity and number of crashes on U.S. roads involving CMVs; and assist economically distressed regions of the U.S. by providing workforce training opportunities for qualified individuals to become CMV operators. Special emphasis is on training veterans and their spouses for carriers in the transportation industry.

In FY 2015, the grants were awarded to:

FY 2015 CMVOST Grant Program Awards

<u>Recipient Name</u>	<u>Award Amount</u>
Lancaster County Career & Technology Center - Willow Street, PA	\$194,811
Central Technology Center - Drumright, OK	\$200,000
Central Georgia Technical College - Macon, GA	\$146,771
Northampton County Area Community College - Bethlehem, PA	\$134,400
The Sage Corporation - Camp Hill, PA	\$198,504
Cecil College - North East, MD	\$101,825
Cuyahoga Community College District -Cleveland, OH	\$195,040
North Carolina Department of Transportation - Raleigh, NC	\$200,000
Alamo Colleges/St. Philip's College - San Antonio, TX	\$196,680
Orangeburg-Calhoun Technical College - Orangeburg, SC	\$197,399
Erie 2 Chautauqua Cattaraugus BOCES - Angola, NY	\$105,201
Tidewater Community College - Norfolk, VA	\$199,879
West Hills Community College District - Coalinga, CA	<u>\$199,460</u>
Total CMV Operator Grants	\$2,269,970

**MCSAP HIGH PRIORITY GRANT PROGRAM
FUNDS VIRGINIA DISTRACTED DRIVING CAMPAIGN**

In 2013, FMCSA's MCSAP High Priority Grant program funded Virginia's DRIVE SMART campaign. This critical Federal funding was put to good use by launching Phone Down. Just Drive, a distracted driving enforcement and education campaign. The purpose of the campaign was to improve safety on Virginia's highways by educating commercial motor vehicle (CMV) drivers about the nationwide ban on handheld phones. The campaign featured billboards and variable message boards that targeted operators of large trucks and buses as they traveled along Interstate 64 in New Kent County.

Partnering with the New Kent County Sheriff's Office, DRIVE SMART Virginia studied the most effective methods for observing CMV drivers' distracted driving habits, enforcing distracted driving laws, and conducting outreach and education with CMV operators.

DRIVE SMART executive director Janet Brooking discussed the intent of the campaign. "Studies show that drivers who use handheld devices are four times more likely to be in a crash serious enough to injure themselves. We hope to find that our education and enforcement efforts will reduce the number of drivers using handheld mobile phones while operating a truck or bus."

Officers issued 121 citations to drivers using handheld phones within the first four weeks of the campaign—84 percent of whom were convicted. DRIVE SMART has since published a study on the Phone Down. Just Drive campaign that can serve as a guide for other jurisdictions.

Why Is This Particular Program Necessary?

FMCSA's front line enforcement staff is less than 600 interstate investigators, auditors, and inspectors. In order to tap the existing network of approximately 12, 000 State law enforcement officers, FMCSA provides financial assistance to complete safety audits, roadside inspections, interventions, investigations, traffic enforcement, and strike forces.

MCSAP grant programs provide resources to these entities for special initiatives targeting certain sectors of the industry including new entrants or transportation safety at or near the U.S. borders with Mexico and Canada. This grant funding also encourages applicants to focus on certain high crash corridors, rural areas and work zones to improve the level of safety and address the disproportionate number of large truck and bus crashes, injuries and fatalities in these areas. The MCSAP formula grant now provides additional funding to assist the States that share a land border with Mexico or Canada to offset costs associated with this increased traffic and ensuring compliance by Canadian and Mexican motor carriers and drivers with all federal commercial motor vehicle requirements.

The MCSAP High Priority grant program has been modified and now provides funding to improve the data received from the States when there is a need beyond the funding provided in MCSAP Basic. Through the High Priority grant program, States can request funding for needed data improvements to improve reporting of safety information and the identification of unsafe entities. In addition, States and other organizations can apply for funding to address other motor carrier safety concerns.

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

The Commercial Driver's License Program Improvement (CDLPI) grant provides financial assistance to States to achieve compliance with the requirements of 49 CFR Parts 383 and 384. Additionally, the CDLPI grant program provides financial assistance for other entities capable of executing national projects that aid States in their compliance efforts and that will improve the national Commercial Driver's License (CDL) program. The goal of the national CDL program is to reduce the number and severity of commercial motor vehicle crashes in the United States by ensuring that only qualified drivers are eligible to receive and retain a CDL.

The Commercial Motor Vehicle Operators Grant Program (CMVOST) provides funding to train individuals in the safe operation of commercial motor vehicles and prioritizes grant awards for programs to train former members of the armed forces.

How Do You Know The Program Works?

With the grants funding provided, States have been conducting nearly 3.5 million Vehicles annually, stopping thousands of unsafe drivers and vehicles on the roadside. In addition, they have conducted investigations of nearly 6,500 companies in FY 2015, helping FMCSA identify non-compliant motor carriers that should be placed out of service. In addition, the fatalities resulting from crashes involving large trucks and buses declined from FY 2005 to FY 2013.

Through these grants, the Agency has conducted safety audits on between 35,000 to 40,000 new entrant carriers each year. The failure rate for these carriers has ranged between 30% and 40%. Based on this fact, it is critical that FMCSA identify unsafe carriers earlier in their operations and require corrective action or revocation of their authority, thus resulting in safer highways.

High Priority projects increase commercial motor vehicle education and enforcement for trucking and bus companies and the general public. Projects tested through the High Priority program can be assessed for implementation at a national level; thus improving safety. For example, Drive Safe Virginia partnered with the New Kent County sheriff's office to explore new methods for enforcing cellphone use prohibition with commercial drivers and have released a best-practices manual that is available for use by law enforcement across the country.

The Agency's 2006 Large Truck Crash Causation Study determined that drivers of trucks or other vehicles are the cause of 87% of all crashes involving CMVs. It is critical that CDL holders be trained, tested and monitored to ensure continued safety. Supporting training of commercial motor vehicle operators, especially in economically distressed areas, not only produces safer drivers but also increase employment opportunities. Further, it is critical that a CDL applicant be properly tested to ensure knowledge and skills. The requirements for testing must be consistent from State to State to ensure that drivers are qualified. In addition, it is statutorily required that each driver hold only one license and that the license record include medical certificate information and violation history. It is critical that the CDL issuance systems be fully interoperable and that the information provided is uniformly and quickly, so that information from other states can be transmitted to the driver's State of Record, so that it can be correctly applied and that suspension or disqualification actions are taken promptly when convictions occur.

Innovative Technology Deployment projects enable States to use advanced sensors and communications technologies to identify high-risk trucking companies for targeted inspections. For example, the State of North Carolina installed an array of sensors along a remote highway that can be used to bypass fixed weigh and inspection stations. This "Virtual Weigh Station" (VWS) consisted of license plate and USDOT Number reading cameras and weigh-in-motion scales embedded in the highway. State inspectors parked in their police cruisers downstream from the site have a real-time wireless link to the VWS and are alerted via their laptops to high risk operators operating in violation of safety orders or weigh limits. The technologies funded by

FMCSA enabled the State to target unsafe operators as seen in their doubling of their Out-of-Service inspection rates that this site over the state-wide average rate.

Please see the Enforcement and Field program section for examples of success stories for FMCSA grant programs.

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

Roadside enforcement of safety regulations nationwide is critical to reducing the number of crashes involving large trucks and buses. The MCSAP and other grant programs exist to ensure motor carriers, commercial vehicle drivers, and commercial motor vehicles are in compliance with federal regulations to ensure safety. Funding the MCSAP at the requested level will allow this critical work to continue so that the level of inspections, investigations, strike forces and enforcement actions can be maintained or increased. As more motor carriers and drivers are contacted by MCSAP partners, the safer our highways will be. In addition, this request provides adequate funding to ensure the compliance of approximately 35,000 - 40,000 new carriers that join the industry each year and this funding is needed to meet the MAP-21 requirement to conduct the new entrant safety audits within 12 months for property carriers and 120 days for passenger carriers. This expedited schedule requires additional funding.

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

FMCSA GRANT CREATES OPPORTUNITIES FOR TENNESSEE VETERANS

Thanks to funds made available through FMCSA grants, military veterans in Tennessee will soon have new opportunities to find full-time work in the trucking industry through the Tennessee “Highway for Heroes” program. Once implemented, the program will provide veterans that gained experience driving large vehicles during active duty with expedited training, testing, and connections to commercial motor vehicle industry partners for employment opportunities.

The program, which is being implemented by the Tennessee Department of Safety and Homeland Security, will also facilitate disabled veterans obtaining Skill Performance Evaluation (SPE) waivers to qualify for a commercial driver’s license (CDL). Ongoing “Highway for Heroes” implementation efforts will include the procurement of a mobile classroom to bring the program directly to veterans seeking training or needing to take the CDL written exam.

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

(In thousands of dollars)

Identification code 69-17-8158		FY 2015 <u>Actual</u>	FY 2016 <u>Request</u>	FY 2017 <u>Request</u>
Obligations by program activity:				
0001	Motor Carrier Safety Assistance Program	216,956	203,000	293,000
	MCSAP High Priority	0	15,000	42,000
0002	Border Enforcement Grants	32,000	32,000	0
0003	Safety Data Improvement Grants	2,018	3,000	0
0004	Commercial Driver's License (CDL) Program Improvement Grants	29,542	30,000	31,000
0005	Commercial Vehicle Information Systems	12,367	25,000	0
0006	Performance and Registration Information System	5,000	5,000	0
	Innovative Technology Deployment Program (ITD)	0	0	0
	<i>Partner Training and Program Support (PTAPS) (non-add)</i>	0	0	5,562
0007	Commercial Motor Vehicle Operator Grant	0	0	1,000
0100	Subtotal, direct program	297,883	313,000	367,000
0799	Total, direct obligations	297,883	313,000	367,000
0801	Reimbursable program	0	0	0
0900	Total new obligations	297,883	313,000	367,000
Budgetary Resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	107,475	129,874	129,874
1021	Recoveries of prior year unpaid obligations	7,277	0	0
1050	Unobligated balance (total)	114,752	129,874	129,874
Budget authority:				
Appropriations, discretionary:				
1101	Appropriation, (trust fund)	313,000	313,000	367,000
1137	Appropriations applied to liquidate contract authority	-313,000	-313,000	-367,000
1160	Appropriation, discretionary (total)	0	0	0
Contract authority, mandatory:				
1600	Contract authority	313,000	313,000	367,000
	Contract authority and or unobligated balance of contract authority			
	permanently reduced	0	0	0
1620	Contract authority, mandatory (total)	313,000	313,000	367,000
1640	Spending Authority from offsetting collection	5	0	0
1750	Budget authority (total)	313,005	313,000	367,000
1900	Total budgetary resources available	427,757	442,874	496,874
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance, end of year	129,874	129,874	129,874
Change in obligated balance:				
Obligated balance , start of year (net):				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	418,237	433,093	414,577
3010	Obligations incurred, unexpired accounts	297,883	313,000	367,000
3020	Outlays (gross)	-275,750	-331,516	-352,000
3040	Recoveries of prior year unpaid obligations, unexpired	-7,277	0	0
3050	Unpaid obligations, end of year (gross)	433,093	414,577	429,577
Memorandum (non-add) entries				
3100	Obligated balance, start of year	418,237	433,093	414,577
3200	Obligated balance, end of year	433,093	414,577	429,577
Budget authority and outlays, net:				
Discretionary:				
Outlays, gross:				
4010	Outlays from new discretionary authority	46,699	87,640	102,760
4011	Outlays from discretionary balances	229,051	243,876	249,240
4020	Outlays, gross (total)	275,750	331,516	352,000
4040	Offsets against gross budget authority and outlays	-5	0	0
4080	Outlays net (discretionary)	275,745	331,516	352,000
Mandatory:				
4090	Budget authority, gross	313,000	313,000	367,000
4160	Budget authority, net (mandatory)	313,000	313,000	367,000
4180	Budget authority, net (total)	313,000	313,000	367,000
4190	Outlays net (total)	275,745	331,516	352,000

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

CONTRACT AUTHORITY ESTIMATES		CONTRACT AUTHORITY	
2006.....	282,000,000	2006.....	282,000,000
2007.....	297,411,000	2006 Rescission of Contract Authority.....	(2,820,000) ¹
2008.....	300,000,000	2007.....	297,411,000 ²
		2008.....	300,000,000
		2008 Rescission of Contract Authority	
		P.L. 110-161.....	(11,260,214) ³
2009.....	307,000,000	2009.....	307,000,000
		2009 Rescission of Contract Authority	
		P.L. 111-8	(6,502,558) ⁴
2010.....	310,070,000	2010.....	307,000,000
		2010 Rescission of Contract Authority	
		P.L. 111-8	(1,610,661)
2011.....	310,070,000	2011.....	307,000,000
2012.....	330,000,000	2012.....	307,000,000
		2012 Rescission of Contract Authority	
		P.L. 112-30	(1,000,000)
2013.....	330,000,000	2013.....	310,000,000
2014.....	313,000,000	2014.....	313,000,000
2015.....	352,753,000	2015.....	239,671,234 ⁵
2016.....	339,343,000	2016.....	313,000,000
2017.....	367,000,000	2017.....	367,000,000

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

² Includes \$3,411,000 RABA adjustment

³ Rescission of prior year carryover

⁴ Rescission of prior year carryover

⁵ Contract Authority FY 2015 enacted P.L. 113-159

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

APPROPRIATION ESTIMATES	APPROPRIATION
2006.....282,000,000	2006..... 282,000,000
2007.....297,508,000	2006 Rescission of Liquidating Cash (2,820,000) ¹
2008.....300,000,000	2007.....297,411,000 ²
2009.....307,000,000	2008..... 300,000,000
2010.....310,070,000	2008 Rescission of Liquidation Cash (11,260,214) ³
2011.....310,070,000	2009..... 307,000,000
2012.....330,000,000	2009 Rescission of Liquidating Cash..... (6,502,558) ⁴
2013.....330,000,000	2010..... 310,070,000
2014.....313,000,000	2011..... 310,070,000
2015.....313,000,000	2012..... 307,000,000
2016.....313,000,000	2013.....308,878,840 ⁵
2017.....367,000,000	2013..... 310,000,000
	2013 Across-the-Board Reduction (620,000) ⁶
	2014..... 313,000,000
	2015..... 313,000,000
	2016..... 313,000,000

¹ Rescission of prior year carryover P.L. 109-148

² Includes \$3,411,000 RABA adjustment

³ Rescission of prior year carryover P.L. 110-161

⁴ Rescission of prior year carryover P. L. 111-8

⁵ Continuing Resolution Annualized P.L. 112-175

⁶ Applied .002% Across-the-Board reduction required by the Consolidated and Further Continuing Act, 2013, P.L. 113-6

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MULTI-MODAL SAFETY INVESTMENTS

21ST CENTURY CLEAN TRANSPORTATION PLAN INVESTMENTS

(LIQUIDATION OF CONTRACT AUTHORIZATION)

(LIMITATION ON OBLIGATIONS)

(TRANSPORTATION TRUST FUND)

Contingent upon enactment of multi-year clean transportation system authorization legislation, for the payment of obligations incurred in this account in carrying out the Future Freight System, Climate-Smart Performance Formula Grants, 21st Century Regions Grants, Clean Communities Grants, Resilience Competition, Rapid-Growth Area Transit, Transit Formula Grants, Rail Service Improvement, Motor Carrier Safety Operations and Programs, Motor Carrier Safety Grants, and Autonomous Vehicle Development programs in such legislation, \$17,935,000,000 to be derived from the Transportation Trust Fund in fiscal year 2017 and to remain available until expended: Provided, that funds available for the implementation or execution of such programs shall not exceed total obligations of \$17,935,000,000 in fiscal year 2017.

PROGRAM AND PERFORMANCE STATEMENT

The funds requested for Multi-Modal Safety Investments will augment those provided by the FAST Act to expand efforts to save lives, reduce injuries and ensure the safe and efficient operation of cargo and passenger commercial motor vehicles. Funded efforts include an expansion of FMCSA's safety program, expanded safety support for that program, enhancement on research and data analysis, and expands Motor Carrier Safety Assistance Program grants.

EXHIBIT III-1-C
21ST CENTURY CLEAN TRANSPORTATION PLAN INVESTMENTS
Account: TBD
Summary by Program Activity
Appropriations, Obligation Limitations, and Exempt Obligations
(\$000)

ACCOUNTS	FY 2015 ACTUAL	FY 2016 ENACTED	FY 2017 TARGET	FY 2017 REQUEST	CHANGE FY 2016-2017
Multi-Modal Safety Funding					
Motor Carrier Safety Operations & Programs funding augmentation	0	0	125,000	125,000	125,000
MCSAP BASIC grant funding augmentation	0	0	25,000	25,000	25,000
Total Motor Carrier Safety Operations and Programs	0	0	150,000	150,000	150,000
 FTE Direct Funded	 0	 0	 143	 143	 143
FTE Reimbursable	0	0	0	0	0

EXHIBIT III-1-C-1
21ST CENTURY CLEAN TRANSPORTATION PLAN INVESTMENTS
Summary Analysis of Change from FY 2016 to FY 2017
Appropriations, Obligations, Limitations, and Exempt Obligations
(\$000)

	Change from FY 2016 to FY 2017 (\$000)	Change from FY 2016 to FY 2017 (FTE)
MULTI-MODAL SAFETY FUNDING		
FY 2016 BASE	0	0
ADJUSTMENTS TO BASE		
2016 Pay Raises	0	
Inflation		
PC&B	0	0
Travel	0	
GSA Rent	0	
Administrative Costs (Training, Supplies, Equipment)	0	
Working Capital Fund	0	
Contracts	0	
Program Cost (Fleet, Border Facilities, Academy, Printing)	0	
SUBTOTAL, ADJUSTMENTS TO BASE	0	0
NEW OR EXPANDED PROGRAMS		
Additional FTE	17,294	143
Travel	1,165	
GSA Rent		
Administrative Costs (Training, Equipment, Supplies)	4,560	
Working Capital Fund		
Contracts	101,976	
Grants	25,000	
Program Cost (Fleet, Border Facilities, Academy, Printing)	5	
SUBTOTAL, NEW OR EXPANDED PROGRAMS	150,000	143
FY 2017 REQUEST	150,000	143

21st Century Clean Transportation Plan Investments-Multi-Modal Safety

Investments – Program Summary

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Safety Program Initiatives	-	-	\$27,752	\$27,752
Safety Support Initiatives	-	-	\$39,216	\$39,216
Research and Data Analysis	-	-	\$58,032	\$58,032
Grants	-	-	\$25,000	\$25,000
Total - Safety Program Initiatives	-	-	\$150,000	\$150,000

1/ Support for these activities are provided in the Motor Carrier Safety Operations and Programs account and not reflected in this summary line.

In addition to enabling transportation to be cleaner and more efficient, 21st century technology has also made the traveling public immeasurably safer. In an effort to continue this trend, The FY 2017 President's budget includes a request for \$150.0 million and 143 FTE through the proposed 21st Century Clean Transportation Plan Investments legislation. This funding will expand FMCSA's safety programs, and incorporate new technologies into how FMCSA and State partners inspect and oversee the increasing movement of goods and persons. These 21st century investments prove to be a crucial tool for FMCSA to continue its life-saving work of keeping the nation's highways safe for the motoring public by working to reduce the more than 4,000 fatalities each year in crashes involving commercial trucks and buses.

FMCSA uses its budget resources to invest in staffing, cutting edge technology, and grants to its State law enforcement partners who conduct more than 3.5 million roadside inspections of vehicles and drivers each year. \$125 million is requested to expand FMCSA's direct safety programs and right-size the information technology and administrative programs which support it. \$25 million is requested to expand grant support for the state and local agency partners, which are critical to safety improvements

Within the funds provided by the Multi-Modal Safety investments FMCSA requests \$27.8 million and 107 FTE to carry out Safety Program Initiatives: increasing and enhancing safety inspections and audits, ensuring the integrity of FMCSA's medical certification program, and focusing on other priorities, such as Household Goods enforcement. A further \$39.2 million and 34.5 FTEs are requested to fund Safety Support Initiatives addressing critical safety and operational issues at FMCSA's facilities and enhancing the agencies oversight of its nearly 100 border posts and domestic offices; in hiring additional attorneys to support the agency's increase enforcement case load; and supporting the large number of regulatory actions required and support registration operations. Further support staff is requested to bolster management of the agency's grant portfolio, strengthen financial operations and integrity, and greatly increase staffing in critical IT operations to ensure FMCSA's systems are secure, accurate, and efficient.

An additional 58.0 million and 1.5 FTEs are requested to support research and data analysis of CMV safety issues. The request will allow for a modernization of FMCSA's information technology and information management systems; provide for an integrated inspection management system; improve crash data and launch a comprehensive study of large truck and bus crashes. Increased support for research and research management is requested along with additional support for statistics and analysis. Finally, a further \$25 million is requested to support expanded state motor carrier safety operations.

Selected Highlights

Comprehensive Study of Large Truck and Bus Crash Characteristics

FMCSA requests an additional \$8M in FY 2017 to conduct a comprehensive study on the causes of large truck and bus crashes. Last undertaken in 2001, this study is necessary to understand the changing characteristics of commercial motor vehicle (CMV) crashes including driver behavior, distraction, roadway conditions, and carrier safety practices. Detailed data will be collected at the site of over 1,000 CMV crashes. These data will be used as the agency's fundamental basis in developing rulemaking and policy and to develop safety crash countermeasure technologies. The study is expected to run for 2 years.

Improving State Reporting of Crash and Inspection Data to Meet Agency and Industry Demands – Research

FMCSA requests an additional \$2.5 million to provide direct technical assistance to states to improve their data reporting on commercial motor vehicle (CMV) crashes and inspections. These data are critical to FMCSA and our state CMV agency partners for making enforcement, rulemaking, and policy development decisions. Improved data would also address the motor carrier industry's criticisms that the quality of the data used by FMCSA for safety risk assessments of carriers is inadequate.

Managing Research Portfolio Containing Multiple Projects required by FAST Act

FMCSA requests an additional \$1.0 million to provide oversight and project management of required projects set in motion by the FAST Act, and the requested resources would improve the likelihood of successful completion of research projects and other FAST Act mandates. In addition, these resources will be used to support additional operational needs established as a result of the FMCSA's release of the new URS functionality, and the establishment of the improved vetting program.

FY 2017 – Safety Program Initiatives

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Motorcoach Safety Oversight Program	-	-	\$8,958	\$8,958
Crash Preventability	-	-	\$2,000	\$2,000
Household Goods and Commercial Enforcement	-	-	\$1,173	\$1,173
Entry Level Driver Training Implementation	-	-	\$655	\$655
Beyond Compliance	-	-	\$500	\$500
SMS Algorithm Improvements	-	-	\$2,568	\$2,568
North American Borders Program	-	-	\$1,338	\$1,338
Safety Fitness Determination (SFD)	-	-	\$3,069	\$3,069
Safe Transportation of Energy Products	-	-	\$1,617	\$1,617
New Entrant Safety Assurance Audits	-	-	\$1,103	\$1,103
Phase III of the FMCSA's Compliance, Safety, Accountability (CSA) program	-	-	\$2,534	\$2,534
National Registry of Certified Medical Examiners - Audit Team	-	-	\$2,169	\$2,169
Employer Notification System (ENS)	-	-	\$68	\$68
Total - Safety Program Initiatives	-	-	\$27,752	\$27,752

1/ Support for these activities are provided in the Motor Carrier Safety Operations and Programs account and not reflected in this summary line.

FMCSA requests \$27.8 million and 107 FTEs to carry out the following Safety Program Initiatives:

Increasing and enhancing safety inspections and audits, ensuring the integrity of FMCSA's medical certification program, and focusing on other priorities, such as Household Goods enforcement. Other initiatives include examining crash preventability and examining how to treat carriers which exceed compliance with regulations. Efforts will be made to examine the Safety Measurement System to ensure enforcement actions are targeting the highest risk carriers and through Safety Fitness Determination to identify those carriers registering which ought to be registered and which require eighteen scrutiny. Efforts to enhance FMCSA's vetting and review of carriers during audits and registration are crucial to improving safety within the resources available to the agency.

The requested 107 FTEs will overwhelmingly support field operations providing new investigators and new support staff to support more in -depth reviews of carriers and to conduct them more efficiently, as well as focus additional investigator resources on the safe transportation of energy products in areas experiencing elevated CMV activity related to the energy industry. Further staff will aid enforcement of Household Goods and help FMCSA meet the mandated shorter timelines for new entrant audits. While these staffing requests are

significant, they are small compared to the numbers of carriers and operators which fall under the agency's purview and direct impact these staff will have on the safety of CMV operators and the American public as a whole.

Motorcoach Safety Oversight Program, Increase Request – MC-F

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Motorcoach Safety Oversight Program	-	-	\$8,958	\$8,958

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

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

In FY 2017, FMCSA requests \$9.0 million for Motorcoach Safety Oversight Program, which is an increase of \$9.0 million over FY 2016 Enacted Budget. A total of 51 FTEs are requested to implement this program.

What Is This Program?

In FY 2013, the FMCSA implemented a concentrated strike force effort aimed at unsafe motorcoach operations throughout the United States, in an effort to “raise the safety bar” for those motor carriers transporting our most important cargo, passengers. FMCSA, using extensive data from its systems, targeted an initial 250 interstate motorcoach operators for a new, intensive investigation effort, whereby 30 teams of two safety investigators each, in conjunction with State inspectors, would conduct onsite reviews of carriers, including comprehensive inspections of the company’s commercial vehicles and interviews with an array of company officials, including mechanics and maintenance supervisors.

The early results of this intensive effort have shown it to be a highly effective strategy, the level of effort at present, utilizing existing enforcement staff resources, is not sustainable long term. “Quick Strike” investigations take more than 40 hours each to complete (versus 24 hours on average for a typical investigation), and each Quick Strike investigation presently requires two investigators (versus one for a typical investigation). As a result, 80 full-time safety investigator (SI) positions, along with 16 Federal Program Specialists and HQ personnel to support review of the investigations and enforcement cases, will allow the agency to continue supporting its current high-risk carrier enforcement programs such as CSA, while also being able to support this Motorcoach Safety Oversight Program.

Anticipated FY 2017 Accomplishments:

FMCSA expects to conduct between 1,200 and 1,800 reviews per year to start, depending on how the Motorcoach Safety Oversight Program is structured in the long-run.

Why Is This Particular Program Necessary?

The results from the 2013 Motorcoach “Quick Strike” initiative have proven very effective, and have helped to save lives on the Nation’s highways by removing unsafe motorcoach operators, drivers and vehicles from the highways. But the level of effort is not sustainable long term, given FMCSA’s limited investigative staff. As a result, failure to expand the safety investigator ranks within the agency may result in difficult trade-off decisions being made, in our attempts to

address certain high-priority safety enforcement efforts, such as investigating high-risk carriers, which we know to be highly effective, while also sustaining the new MAP-21 legislative mandate requiring FMCSA to update the safety rating of each passenger carrier at least once every three years.

How Do You Know The Program Works?

The Quick Strike Initiative has proven so successful, yielding an enforcement rate of 75% (versus roughly 30 to 40% for typical investigations), and a vehicle out-of-service rate of more than 30% (versus 20% for our typical roadside safety inspections). The intensive safety effort is resulting in Unsatisfactory/Unfit ratings for 33% of the carriers subject to the investigations. Although these investigations have taken longer to complete (relative to a typical investigation), since they involve additional, non-traditional interviews and other investigative research; the results have proven worth it.

Effective new techniques deployed by the Agency in 2013 under the Motor Carrier Quick Strike initiative when conducting passenger carrier investigations forms the basis for FMCSA's FY 2017 request to fully institutionalize the Motorcoach Safety Oversight Program into its operations. Proof of the effectiveness of that effort includes:

- A 25% reduction in crash rates and a 25% reduction in violation rates during the 12 month period after carrier investigation;
- An enforcement rate of 75 percent (versus roughly 33 percent for typical investigations in FY 2014);
- A vehicle out-of-service rate of more than 33 percent (versus 7 percent for passenger carriers subjected to standard roadside safety inspections in FY 2014); and
- Proposed unsatisfactory/Unfit ratings for 33 percent of the carriers subject to the investigations (versus 13 percent for all comprehensive investigations in FY 2014).

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

Budget Distribution for Motorcoach Safety Oversight program

Given that there are currently 3,500 motorcoach operators nationwide, 1,400 of which have no, or an "old," safety rating, there is much work for the agency investigators to do in order to simply meet the current demand for motorcoach investigations to meet the MAP-21 requirement. This roughly equates to 1,400 required motorcoach reviews each year. This workload represents approximately twice the maximum number of motor coach reviews conducted in any one year to date.

The field offices will need additional staff support for these investigators and the additional enforcement cases that are developed; therefore, in addition to the 80 safety investigator positions requested to conduct these investigations each year, the Agency is also requesting 16 field personnel to support the investigators in this new program. This includes ten division program specialist and four service center enforcement specialists to process the additional, resulting enforcement actions. The program specialists review and process the work of the investigators. The enforcement specialists will process additional enforcement actions. Without this support, both the agency and cited carriers will have delayed resolution.

In addition, two HQ personnel are required to support the policy and programmatic needs of the program, in addition to reviewing re-application for authority after carriers have been removed from business for non-compliance and unsafe operating practices. The increased amount of work is significant based on our surged effort experiences. Increased numbers of unsatisfactory rating and imminent hazard out of service orders each require a significant review during reapplication.

The Office of Field Operations has projected that an additional 80 Safety Investigators will be needed In FY 2017 to operationalize the enhanced the level of investigation used in the Motorcoach Safety Initiative. Using a conservative 40:1 investigator to attorney ratio, a minimum of two additional Field Attorneys and one Field Paralegal will be needed to operationalize the Motorcoach Safety Initiative.

Moreover, the Motorcoach Safety Initiative relies heavily on aggressive legal action, including the issuance of subpoenas, demand letters, imminent hazard out-of-service orders, orders to consolidate records of affiliated motor carriers, and orders to show cause as to why operating authority registrations should not be revoked. Additional new authorities from MAP-21, such as impoundment of vehicles operating in violation of imminent hazard orders, will require legal input as they are used in the Motorcoach Safety Initiative and elsewhere in the Enforcement program. These and other specialty enforcement tools require significantly more attorney input than traditional civil penalty claims. The requested Enforcement and Adjudications staff will support the additional workload directly related to increased Motorcoach Oversight.

Crash Preventability, Increase Request - MC-E

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Crash Preventability	-	-	\$2,000	\$2,000

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

What Is The Request And What Funds Are Currently Spent On The Program?

The request is for \$2.0 million for contract support for crash preventability reviews as part of the Agency's test of certain crash scenarios.

What Is This Program And Why Is It Necessary?

On January 23, 2015, FMCSA announced the results of the Agency's study to inform decision making about using a motor carrier's role in crashes in the assessment of the company's safety. This study assessed (1) whether Police Accident Reports (PARs) provide sufficient, consistent, and reliable information to support crash weighting determinations; (2) whether a crash weighting determination process would offer an even stronger predictor of crash risk than overall crash involvement and how crash weighting would be implemented in the Agency's Safety Measurement System (SMS); and (3) how FMCSA might manage a process for making crash weighting determinations, including the acceptance of public input.

Based on the feedback received in response to the January 23, 2015, Federal Register notice, FMCSA will be announcing its intention to develop and implement a demonstration program to determine the efficacy and effectiveness of a program to conduct preventability determinations on certain specific, crashes that generally are less complex.

FMCSA worked with a list of crashes recommended by industry to develop a list of non-preventable crashes and a process by which documents could be submitted on these crashes and they could be removed from the motor carriers' record. These crashes included when the CMV is struck by a motorist who:

- Was found responsible by law enforcement for the crash;
- Was the sole party cited;
- Was driving under the influence;
- Crossed the centerline or median;
- Was driving the wrong way;
- Struck the truck in the rear; or
- Struck the truck while legally stopped.

Additionally, industry comments recommended that FMCSA consider a crash non-preventable when it does not involve other vehicles for example when an individual commits suicide or vehicles are incapacitated by animals.

The Agency considered the list of crashes recommended by and agreed to consider whether these scenarios are most often non-preventable. As a result, the Agency developed a program and process for submitting documentation about these crashes through the DataQs program, like the adjudicated citations program. The Agency expects to collect information on these crashes for at least 12 months and then evaluate to determine if the hypothesis offered by industry is proven correct and if so, what changes should be made to the Agency's programs.

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

FMCSA estimates that the annual costs for reviewing the submitted Requests for Data Review, rendering decisions, implementing quality control checks, collecting data and completing analysis will cost \$2.0 million each year. The Agency would award a contract for the reviews for 1 year with two 1-year renewal options. As a result, the total value of this contact would be approximately \$6.0 million.

What Benefits Will Be Provided To The American Public Through This Request?

The Agency's Safety Measurement System (SMS) quantifies the on-road safety performance of motor carriers to prioritize enforcement resources. The SMS uses recordable crash records involving commercial motor vehicles (CMVs) that are submitted by the States through the Agency's Motor Carrier Management Information System (MCMIS) to assess motor carriers' crash histories and prioritize them for safety interventions using the SMS Crash Indicator. While information on the crashes that the motor carrier was involved in is available in SMS, the score created by the system is not publically available.

Stakeholders have expressed concern that the Crash Indicator may not identify the highest risk motor carriers for intervention because it looks at all crashes without regard to the preventability of the crash. In addition, industry representatives have advised that while the Crash Indicator BASIC score is not publically available, customers are requiring the companies to disclose this before committing to a contract.

By testing the crash scenarios that are most frequently not preventable, the Agency will be able to better determine if a motor carrier's or driver's role in the crash is a better indicator of future crashes. Conducting more research and analysis on this issue will allow the Agency to refine the SMS to more accurately identify the most unsafe motor carriers so that the Agency and its partners can direct resources to mitigate the greater risks. By identifying and intervening, the Agency can improve safety on the nation's roadways, reducing crashes, injuries and fatalities.

Household Goods and Commercial Enforcement, Increase Request - MC-E

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Household Goods and Commercial Enforcement	-	-	\$1,173	\$1,173

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

What Is The Request And What Funds Are Currently Spent On The Program?

The request is for \$1.2 million and 17 new FTEs to increase the number of FMCSA staff dedicated to commercial enforcement.

What Is This Program And Why Is It Necessary?

The FMCSA is responsible for regulating approximately 5,000 HHG motor carriers and more than 20,000 brokers and freight forwarders. The Household Goods (HHG) Compliance and Enforcement Program is currently comprised of 4 positions in FMCSA Headquarters and 9 Commercial Enforcement Specialists in Field Operations.

MAP-21 legislation required increased monitoring of broker activities, more stringent requirements to be granted and maintain HHG and broker operating authority, and a mandate to ensure consumers harmed by rogue movers are given relief through reassignment of penalty funds. The demand for service from the Program has significantly increased, yet, program resources have diminished. The Program receives approximately 3000 consumer complaints annually, 600 of those complaints, 20%, are reports of HHG hostage shipments. The Program is severely challenged in responding to and/or investigating all complaints of HHG shipments held hostage. The current staffing allocation lends itself to a reactionary program.

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

FMCSA has limited resources for monitoring Household goods motor carrier, broker and freight forwarder registrations. Additional resources are needed to effectively monitor and execute the enforcement requirements for the registration program. History has shown that reincarnation of motor carriers is a major problem for HHG carriers so there is a specific need to vet reinstatements for HHG motor carriers. FMCSA is requesting 3 additional positions to provide oversight of HHG registration, and develop policies, procedures and training for monitoring, and enforcement.

FMCSA receives approximately 600 HHG hostage loads complaints annually. FMCSA is able to provide limited support to consumers who fall victim to hostage loads and often times rely upon external partnerships to provide assistance with hostage loads. FMCSA needs an additional 10 positions to augment the existing staff, 8 Commercial Enforcement Specialists and 2 Service center positions dedicated to HHG motor carrier and broker monitoring, program evaluation, and enforcement.

FMCSA is requesting 2 positions to formalize a mediation program that will provide relief and assistance to consumers. A 2009 GAO report commended the Agency for its efforts to assist consumers, but the Agency recognizes that without formal mediation the efforts can have only limited success.

What Benefits Will Be Provided To The American Public Through This Request?

Through the requested increase in staffing, FMCSA can provide significantly more support to address hostage goods issues promptly and return cherished belongings to families. In addition, the Agency can identify and take action on rogue companies that are falsely committing to services that they have no intention of providing. The Agency can increase outreach to the millions of Americans who move each year to help them make informed decisions when selecting a moving company. As a result, families across the country will have improved protection and customer service.

Entry Level Driver Training Implementation, Increase Request - MC-E

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Entry Level Driver Training Implementation	-	-	\$655	\$655

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

What Is The Request And What Funds Are Currently Spent On The Program?

The request is for \$0.7 million and 1 FTE.

What Is This Program And Why Is It Necessary?

FMCSA established the Entry-Level Driver Training Advisory Committee (ELDTAC) to conduct a negotiated rulemaking on entry-level training for drivers of commercial motor vehicles. The committee provided recommendations based on a consensus-based process on the development of minimum training requirements for individuals applying for a commercial driver's license, in accordance with the requirements of the Moving Ahead for Progress in the 21st Century Act (MAP-21). The Agency developed a notice of proposed rulemaking and committed to an October 2016 final rule to respond to litigation from the Advocates for Highway and Auto Safety.

Establishing consistent training and behind the wheel experiences for commercial drivers will improve the knowledge and skills of new drivers. This will result in fewer crashes, injuries, and fatalities. Additionally, by requiring the training to be of a certain quality, this improves the reciprocity of commercial license testing between the States.

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

The Agency requests 2 additional positions to oversee implementation of the final rule. In FY 2017, these positions would be used to:

- develop compliance testing standards
- conduct covert and overt monitoring of schools
- investigate allegations of fraud
- address non-compliant schools
- work with States to revoke license of drivers from non-compliant schools

Additional contract support funding will support travel funding to visit schools and testing centers and to provide contract support to help with the implementation.

What Benefits Will Be Provided To The American Public Through This Request?

Through the development and implementation of a nationwide ELDT program, the quality of new commercial drivers will be improved, resulting in fewer crashes, injuries, and fatalities. In addition, the ability for drivers to test in one State and be licensed in another will be facilitated,

as the States will be more confident when accepting training information from another State. This will result in improved efficiencies in the commercial drivers' licensing processes.

Beyond Compliance, Increase Request - MC-E

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Beyond Compliance	-	-	\$500	\$500

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

What Is The Request And What Funds Are Currently Spent On The Program?

The request is for \$0.5 million contract support and additional travel costs associated with the evaluation and implementation of a Beyond Compliance program.

What Is This Program And Why Is It Necessary?

Section 5222 of the FAST Act requires the Agency to establish a Beyond Compliance program within 18 months of enactment. In anticipation of the passage of the Act, in an April 2015 Federal Register notice, FMCSA requested responses to specific questions and any supporting data the Agency should consider in the potential development of a Beyond Compliance program. Beyond Compliance would include voluntary programs implemented by motor carriers that exceed regulatory requirements, and improve the safety of commercial motor vehicles and drivers operating on the Nations' roadways by reducing the number and severity of crashes. Beyond Compliance would not result in regulatory relief. In addition, the Agency completed public listening sessions in early 2016.

This program would review voluntary safety management practices and technologies to determine those that are most effective in reducing crashes and develop a proposal for a program that would encourage these investments by motor carriers and would confirm appropriate use.

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

The U.S. Department of Transportation and motor carriers have invested millions of dollars in research, development, and implementation of strategies and technologies to reduce truck and bus crashes. FMCSA is evaluating the impacts of considering a company's proactive voluntary implementation of state-of-the-art best practices and technologies when evaluating the carrier's safety.

On March 30, 2015, FMCSA tasked the Motor Carrier Safety Advisory Committee (MCSAC) with providing recommendations to the Agency on the potential benefits and feasibility of voluntary compliance and ways to credit carriers and drivers who initiate and establish programs that promote safety beyond the standards established in FMCSA regulations.

The Agency specifically asked for the views of the MCSAC on this concept, with any data or analysis to support it with regard to 3 basic areas:

1. What voluntary technologies or safety program best practices would be appropriate for beyond compliance?

2. What type of incentives would encourage motor carriers to invest in technologies and best practices programs?
3. How would FMCSA verify the voluntary technologies or safety programs were being implemented?

In addition, FMCSA issued a Federal Register notice on April 23, 2015, requesting responses to specific questions and any supporting data the Agency should consider in the potential development of a Beyond Compliance program. Beyond Compliance would include voluntary programs implemented by motor carriers that exceed regulatory requirements, and improve the safety of commercial motor vehicles and drivers operating on the Nations' roadways by reducing the number and severity of crashes. Beyond Compliance would not result in regulatory relief. FMCSA requested responses to the following specific questions and encourages the submission of any other reports or data on this issue.

1. What voluntary technologies or safety program best practices would be appropriate for a Beyond Compliance program?
2. What safety performance metrics should be used to evaluate the success of voluntarily implemented technologies or safety program best practices?
3. What incentives would encourage motor carriers to invest in technologies and best practices programs?
 - a. Credit on appropriate SMS scores (e.g., credit in Driver Fitness for use of an employer notification system)?
 - b. Credit on ISS scores?
 - c. Reduction in roadside inspection frequency?
 - d. Other options?
4. What events should cause the incentives to be removed?
 - a. If safety goals for the carrier are not consistently achieved, what is the benefit to the motoring public?
5. Should this program be developed by the private sector like PrePass, ISO 9000, or Canada's Partners in Compliance (PIC)?
6. How would FMCSA verify that the voluntary technologies or safety programs were being implemented?

Additionally, public listening sessions were held to solicit additional input for the Agency to develop a program proposal to be published in the Federal Register Notice to solicit comments and data for a program.

What Benefits Will Be Provided To The American Public Through This Request?

The Agency has clear evidence that motor carriers that invest in safety have fewer crashes and fewer violations. For example, FMCSA "Driver Notification Feasibility Study," tested the use of an Employer Notification System (ENS) versus the current annual requirement for obtaining a driver motor vehicle record and reviewing the driver qualification files for violations. This report found that when registered carriers in that study received near real-time notification that a driver had been issued a citation, conviction or commercial driver's license disqualification, they took action. This study estimated that Nationwide implementation of ENS could prevent 6,828 crashes and 88 fatalities annually. In addition, in 2005, the Agency completed additional studies

on roll stability control systems and tire pressure sensors that demonstrate the safety benefits of these technologies. Likewise, a 2009 FMCSA study, “Analysis of Benefits and Costs of Lane Departure Warning Systems for the Trucking Industry,” predicted a reduction of 1,973 injuries and 100 fatalities annually through use of that technology. This report projected that for each \$1 spent on this technology, the return on investment was \$1.98.

In 2007, the Transportation Research Board (TRB) explored the potential for integrating certification programs with regulatory frameworks. The TRB research suggested that a pilot program for Beyond Compliance activities, certification, and identification of best practices be conducted. The 2007 report concluded that Beyond Compliance programs could provide significant incentives for carriers to adopt best practices. However, that study recommended additional research was needed to determine the level of effectiveness that a Beyond Compliance approach would have on safety.

In January 2011, the American Transportation Research Institute (ATRI) released a report titled, “Assessing the Benefits of Alternative Compliance.” The ATRI research was premised on the hypothesis that new approaches were needed to achieve the next significant improvement in the national highway safety statistics. The ATRI report identified possible alternatives for giving credit against things like Behavior Analysis System Improvement Category (BASIC) scores, based on motor carrier activities that are believed to provide safety and/or crash reduction benefits. In its analysis, ATRI considered carrier safety data for pre- and post-Compliance Review time periods. These were cross-factored by fleet sizes to determine the safety impact and significance of existing versus emerging safety compliance. Carrier Compliance Reviews and out-of-service rates were examined based on the safety rating received and carrier size to determine whether a Beyond Compliance program would benefit certain fleet sizes. Previous pre- and post-Compliance Review crash rate data were examined to identify carriers most affected by traditional compliance activities.

The ATRI report also considered implementation methods such as the Inspection Selection System (ISS). ATRI hypothesized that participation in a Beyond Compliance program could mean that a carrier would be provided with a 20 point leeway on the ISS inspection value. For example, an original ISS score of 60 would be modified by 20 points resulting in a new value of 40. Therefore, the Beyond Compliance program would be used as a reward system for carriers. The ATRI report also proposed credit in FMCSA’s Safety Measurement System (SMS) for voluntary participation. ATRI also proposed other incentives beyond FMCSA’s jurisdiction, including insurance costs decreases and tax credits. Therefore, FMCSA believes that more encouragement and support of voluntary safety programs will be profitable for businesses while improving safety and reducing crashes.

SMS Algorithm Improvements, Increase Request – MC-E

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
SMS Algorithm Improvements	-	-	\$2,568	\$2,568

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

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

The request is \$2.6 million for SMS Algorithm Improvements.

What Is This Program?

FMCSA is committed to on-going analysis and improvements of the Safety Measurement System (SMS) that is one of the key components to the CSA Program. SMS is successful at identifying high risk carriers with the 10% of carriers identified as exceeding the thresholds account for 45% of the crashes on our highways. FMCSA would use the funding to explore areas to continue to improve the program in ways that include:

- Analyzing and implementing safety event group and severity weight changes, and
- Exploring and implementing improvements to the DataQs system to allow carriers additional levels of review for violations cited during roadside inspections.

Why Is This Particular Program Necessary?

CSA and the SMS have had demonstrated success in improving the Agency's identification of high risk motor carriers. The Agency consistently seeks input on potential improvement to the program and systems. The potential algorithm improvements have been identified by the Motor Carrier Safety Advisory Committee, industry and NTSB, as means to potentially improve the identification of unsafe motor carriers.

The SMS process is only successful if accurate data is in our systems. While the Agency established the DataQs program to provide opportunities for motor carriers to correct their data, we receive consistent criticism for not having a formal appeals process. When new Safety Fitness Determination (SFD) rulemaking is finalized and implemented and motor carriers' ratings are impacted by their inspection data, FMCSA expects a significant surge in DataQs requests. These resources would accommodate that increase and support the establishment of an appeals process.

How Do You Know The Program Works?

The Agency has refined the SMS system and made changes, often recommended by the industry and other Agency partners, after careful analysis and implementation. The result of these

changes has consistently been the identification of high risk motor carriers with a higher future crash risk, proving that that our identification system is improving with each modification.

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

The costs cover contract resources for analyzing and proposing methods of dynamic peer groupings, and/or reviewing requests for data review against agency guidelines and making a decision on the validity of a violation citation.

North American Borders Program, Increase Request – MC-E

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
North American Borders Program	-	-	\$1,338	\$1,338

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

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

In FY 2017, FMCSA requests \$1.3 million and 1 FTE for the North American Borders Program, which is an increase of \$1.3 million over FY 2015 Enacted Budget.

What Is This Program?

This funding and staffing would provide resources for implementation of the needed Information Technology systems changes to allow the agency to come into full compliance with the requirements of NAFTA. With the conclusion of the Cross Border Pilot Program in October 2014, the agency must prepare for increased applications for long haul operating authority from Mexican motor carriers. FY 2017 funding and additional positions would be needed to support the increased workload resulting from this new sector of motor carriers.

Why Is This Particular Program Necessary?

The United States is obligated under NAFTA to open the borders to long haul trucking by Mexico domiciled motor carriers. Failure to successfully implement NAFTA may result in tariffs on U.S. products exported to Mexico. When the Agency's previous demonstration project was terminated in 2009, the tariffs allowed by NAFTA were valued at \$2.4 billion annually. It should be expected that if the United States does not normalize operations within an appropriate period of time, comparable tariffs would be applied.

FMCSA anticipates that current staffing will be able to accommodate 50 applications in the first year. Without additional resources, 50% of expected applications may be delayed. The impact of the delay is that Mexico could see this as a failure to comply with the requirements of NAFTA and seek to put tariffs into effect.

How Do You Know The Program Works?

The agency conducted a pilot program from 2011 to 2014 to test the safety of long haul Mexican motor carriers and completed significant data analysis that concluded that Mexican long haul motor carriers are as safe as U.S. and Canadian carriers. On January 9, 2015, the Department released a Report to Congress documenting the safety of Mexico-domiciled and owned companies operating in long-haul transportation.

On January 15, 2015, FMCSA published a Federal Register notice announcing the conclusion of the Pilot Program and advising that the Agency is now accepting applications for long-haul authority.

Pilot program carriers had out of service (OOS) rates significantly lower than U.S. and Canadian carriers (0.2% vs 4.9% for drivers and 8.9% vs 20.3% for vehicles). The pilot program carriers were also comparable or better than U.S. and Canadian carriers when examining violation rates, safety measurement system scores, and moving violation rates. Finally the pilot program carriers operated over 1.5 million miles in the U.S. with only one crash (which was not the fault of the pilot program driver or vehicle). In addition, FMCSA examined the similar metrics for other groups of Mexican-owned carriers that already have some authority to operate long-haul in the U.S. and these carriers also were comparable to U.S. and Canadian carriers.

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

To accommodate new applications, changes are needed to the agency's IT systems to normalize the handling of Mexican motor carriers. These changes include additional staff is needed to:

- Add long haul applications to the New Applicant Screening process;
- Prompt the field to assign Pre-Authorization Safety Audits (PASAs) before authority is granted;
- Track the processing of applications through the vetting, PASAs, FMCSA Register, protest (if any), and authority issuance processes;
- Modify the PASA process to be more in line with the Agency's New Entrant program;
- Modify systems to note the specific prohibitions of these carriers' operating authority and other requirements such as the requirement for a Commercial Vehicle Safety Alliance decal for the first 3 years with permanent authority; and
- Systems must also be modified to require a compliance review within the first 18 months of operating.

Two additional field staffers are requested in the Western Service Center to provide support in all Mexican motor carrier programs. Currently, only position is dedicated to this. With this increase in long haul applications, additional resources are required to complete the safety vetting process, assign PASAs, review PASAs, and handle any associated enforcement actions. These positions do not lend themselves to being contract positions because a significant knowledge of, and experience implementing, the Agency's regulations and enforcement policies is required. Based on the expected high volume of applications from the certificate carriers, transitioning the hiring of these positions over a period of time would negatively impact the program.

If these resources are not received, the agency will not be able to manage the expected workload for NAFTA implementation. Failure to make progress in these areas could result in the Government of Mexico re-establishing tariffs on U.S. goods.

Safety Fitness Determination Project, Increase Request – MC-E

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Safety Fitness Determination (SFD)	-	-	\$3,069	\$3,069

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

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

In FY 2017, FMCSA requests \$3.1 million for Safety Fitness Determination Project, which is an increase of \$3.1 million over FY 2016 Enacted Budget. In addition, the agency requests 1 position (0.5 FTE) to be a dedicated program manager for this initiative.

What Is This Program?

This funding and staffing are needed to successfully implement the agency's new Safety Fitness Determination (SFD) rulemaking. The new SFD process will allow the agency to assess the safety of a greater number of motor carriers and will allow the agency to use more available data in identifying motor carriers that are unfit to operate. Under this proposal, the agency will no longer have to conduct labor intensive onsite investigations to determine that motor carrier is unfit. The agency's rulemaking proposal identifies more than three times the number of unfit carriers on an annual basis. This results in an increased workload for the Division Offices, Service Centers, Chief Counsel and Enforcement Program as the numbers of proposed unfit motor carriers, enforcement cases, compliance agreements, adjudications, and fit, willing, and able determinations are increased.

The request for \$3.1 million is for IT systems changes would provide for a system that would produce on line results for 500,000 motor carriers under the Agency's jurisdiction based on their on-road safety data, investigative results, and the proposed Safety Fitness Determination (SFD) thresholds. This data would be updated monthly.

With the significant increase in the number of motor carriers that would be proposed unfit, the agency needs to expand capacity in its Electronic Document Management System (EDMS) which is our carrier-based electronic filing system. Additionally, other IT tools are needed to help FMCSA's field offices manage the associated workload, such as automated letters, automated system alerts, templates for agreements and enforcement actions.

Other changes would be needed in our Motor Carrier Management Information System (MCMIS) and Enforcement Management Information System (EMIS) to change the rating types, rating results, and manage the enforcement cases, including the new administrative review processes, in the systems. Lastly, funding would be needed to modify the FMCSA website to adapt the changes on all impacted webpages. The additional position in the Office of Enforcement and Compliance is needed to serve as the full time manager for this program. This position would oversee development and implementation of the final rule to include the new IT system and tools, development and implementation of policies and procedures to standardize

actions across the FMCSA Division Offices, developing and conducting training to Federal and State enforcement staffs, development of an outreach program, oversight and monitoring of the effect the changes, and advising of needed adjustments in the future.

Why Is This Particular Program Necessary?

FMCSA is statutorily required to determine the safety fitness of motor carriers. The SFD process is being revised to improve the identification of unfit motor carriers to reduce the number of crashes, fatalities, and injuries. Through this rulemaking, the agency will assess the safety rating of approximately 200,000 motor carriers each month and will propose unfit ratings for 3-4,000 motor carriers annually. This is approximately a 300% increase over the current number of motor carriers that are identified using the current process. As a result, through this increased identification of unfit motor carriers, the motor carriers will either make significant improvements to their safety management system or the motor carriers will no longer be able to operate on the Nation's roadways. Both of these will result in a reduction of the risk of future crashes.

In addition, by producing monthly online results based on SFD measures, all transportation users (e.g. consumers, shippers, brokers) will be able to quickly identify unfit carriers and make safe, sound transportation decisions saving them time and money.

This rulemaking change is the last piece of the Compliance, Safety, and Accountability program implementation. The changes are the subject of notice and comment rulemaking. The agency has committed to making these changes to improve safety. In addition, this rulemaking corresponds to a NTSB recommendation.

How Do You Know The Program Works?

Through this rulemaking, the agency will assess the safety rating of approximately 200,000 motor carriers each month and will propose unfit ratings for 3-4,000 motor carriers annually.

Currently, the agency and its State partners conduct approximately 20,000 comprehensive investigations resulting in approximately 8,000 ratings and 1,000 proposed unsatisfactory ratings. The SFD changes will allow the agency to find more than three times more carriers unfit, forcing safety improvements or removing these unsafe carriers from the roadways.

Safe Transportation of Energy Products, Increase Request – MC-E

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Safe Transportation of Energy Products	-	-	\$1,617	\$1,617

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

What Is The Request And What Funds Are Currently Spent On The Program?

In FY 2017, FMCSA is requesting 22 positions (11 FTE) and \$1.6 million to support enhanced oversight of the transportation of energy products. This includes 18 new positions for Special Agents, 3 positions for program and enforcement support and an additional attorney.

Commercial truck growth from shale gas and oil exploration is being seen in Colorado, Wyoming, Montana, Oklahoma, Texas, Arkansas, and Pennsylvania, and these 18 safety investigator positions will be deployed among these States to address this emerging motor carrier, commercial motor vehicle, and driver safety concerns. Specifically, with the greatest oil/gas production levels presently occurring in Texas, Pennsylvania, and North Dakota, it is estimated that these three States would receive half of the 18 new investigator positions, while the remaining 9 positions would be distributed relatively evenly in Colorado, Wyoming, Montana, Oklahoma, and Arkansas. The support positions would be distributed among the FMCSA's service centers, to support the additional enforcement work resulting from these new carrier investigations. This distribution is approximate and as more information becomes available about industry growth rates in these and other States as a result of shale oil and gas extraction; plans will be revised as necessary

What Is This Program And Why Is It Necessary?

The growth of shale gas and oil exploration in Colorado, Wyoming, Montana, Oklahoma, Texas, Arkansas, and Pennsylvania have resulted in an increase in the volume of commercial vehicles and drivers in these States and an increase in the number of crashes. FMCSA's broad-spectrum safety mission includes hazardous materials (HM), but goes well beyond HM, as it relates to the energy industry expansion, particularly in areas such as the Bakken Formation/Basin in North Dakota.

FMCSA's role in this program is largely in oversight and enforcement. This summer, North Dakota crude oil production reached 1 million barrels per day, while natural gas production reached 1.2 MCF per day, all-time highs. North Dakota is now second in crude oil production only to Texas. By 2020, oil production is estimated to exceed 1.5 million barrels per day, while natural gas production will exceed 1.8 MCF per day, according to North Dakota Department of Mineral Resources (DMR) projections. North Dakota exceeded 11,000 oil wells, an all-time high. Current DMR estimates project more than 50,000 oil wells in North Dakota.

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

The Bakken region is experiencing a boom in the production of oil production. This summer, North Dakota crude oil production reached 1 million barrels per day, while natural gas production reached 1.2 MCF per day, all-time highs. North Dakota is now second in crude oil production only to Texas. By 2020, oil production is estimated to exceed 1.5 million barrels per day, while natural gas production will exceed 1.8 MCF per day, according to North Dakota Department of Mineral Resources (DMR) projections. North Dakota exceeded 11,000 oil wells, an all-time high. Current DMR estimates project more than 50,000 oil wells in North Dakota.

Trucks transport a significant quantity of the crude oil from the wells in North Dakota's biggest oil-producing counties to the rail heads and/or pipelines (in many cases, neither a rail head nor a pipeline facility is adjacent to a well, so trucks are required to move the oil). The growth in truck volume has increased from 67,000 in 2013 to 74,000 in 2014 in North Dakota, according to North Dakota Highway Patrol (NDHP) statistics. More importantly, fatal crashes involving trucks have increased from 14 in 2008 to 53 in 2013, per NDHP data. FMCSA and its partner agencies recently conducted 354 truck and driver safety inspections as part of its latest Multi-Agency Strike Force Operation in the Bakken oil fields and discovered 595 violations as a result. FMCSA now has almost 10,000 carriers within the jurisdiction of the North Dakota Division, and desperately needs field staff to address these emerging significant safety concerns.

On August 19, 2013, the GAO initiated an engagement with DOT on shale oil and gas transportation. The GAO review examines transportation infrastructure needs and safety issues associated with increased domestic development of shale oil and gas. In addition, DOT plans to study the impact of transporting large quantities of energy products over existing rail and highway infrastructure.

FMCSA will also work with state and local governments to ensure assess and the impacts of energy transportation on infrastructure. The Agency will most importantly increase oversight and enforcement to limit impacts and ensure that carriers are following safe transportation practices. As this is a new program, there are no other alternatives to pursuing additional funding.

What Benefits Will Be Provided To The American Public Through This Request?

Residents in the areas near the extraction and manufacturing points for these products will be safer due to the improved knowledge, targeting and enforcement of unsafe motor carriers, drivers, and vehicles.

North Dakota is one example of the explosive transportation growth and safety challenges associated with the increase in shale oil and gas extraction in particular regions within the United States; and therefore, the agency's request for additional staff in these areas to begin addressing these highway safety concerns. As a result of hiring these additional 18 safety investigators (each conducting an average of 27 investigations and 32 roadside inspections per performance year), FMCSA anticipates a total of 486 safety investigations and 576 roadside inspections to be completed each year. As a result of this work, FMCSA expects safety benefits of 83 injuries

avoided and 5 lives saved each year as a result of preventing 130 CMV crashes due to the interventions of these 18 additional safety investigators.

These estimates have been derived from the FMCSA Roadside Intervention Effectiveness Model (FY 2009) and the FMCSA Compliance Review Effectiveness Model (FY 2008). At present, the FMCSA safety investigator performance plan calls for the completion of an average of 27 safety investigations per performance year, along with 32 roadside inspections. It is important to note, due to efficiencies associated with the division of labor, FMCSA investigators conducted the majority (almost 60%) of the 17,000 safety investigations completed in FY 2013, while State inspectors conducted 95% of the 3.5 million roadside inspections in FY 2013.

New Entrant Safety Assurance Audits, Increase Request – MC-E

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
New Entrant Safety Assurance Audits	-	-	\$1,103	\$1,103

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

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

In FY 2017, FMCSA requests \$1.1 million and 8 FTEs for the New Entrant Safety Assurance Audits, which is an increase of \$1.1 million over the FY 2016 Enacted Budget.

What Is This Program?

The New Entrant Program, required by the Motor Carrier Safety Improvement Act of 1999 (MCSIA), requires a safety audit of each new motor carrier. MAP-21 decreased the timeframes for completing safety audits from 18 months to 12 months for property carriers and 4 months for passenger carriers. Additional grant funding is also needed to meet the MAP-21 requirements.

Historically, the Agency receives 35-40,000 new applications from motor carriers each year requiring new entrant audits. The failure rate of the audits is 20-30%. When an audit is failed, the motor carrier must either submit a corrective action plan which must be approved by FMCSA or stop operating. Since this program was required in SAFETEA-LU in 2005, it has resulted in a significant workload for the Agency's State partners who conduct the majority of the audits and for FMCSA which must review and approve or deny corrective action plans.

Under MAP-21, the New Entrant Safety Audit grant program was provided \$32.000 million annually, but this grant program has been consolidated under the MCSAP Basic and Incentive program for fiscal years 2017 and beyond.

When the States experience workloads that would result in a backlog of audits (i.e., due to a State hiring freeze), Federal investigators/auditors will provide assistance to reduce backlogs. In addition, FMCSA funds a centralized call center that serves all of the States. The call center's primary purpose is to contact New Entrant Motor Carriers (NEMC) to verify and update the carrier's registration information. When a New Entrant registers, MCMIS automatically generates and sends a New Entrant Notice Letter, instructing the carrier to contact the call center. The Contractor shall be responsible for communicating with each carrier and verifying the information provided through MCMIS. Once the information is verified, the call center shall input the contact date and annotate the conversation in the Enter Contact Date screen found in MCMIS. If inaccurate information is found on the NEMC's census record, the call center will be responsible for updating the information based on the verification call.

In addition, of the more than 105,000 audits conducted during the last three years, more than 20 percent resulted in failures, and most of these failed audits subsequently resulted in the submission of a Corrective Action Plan (CAP) by the motor carrier to FMCSA for review and approval.

The FY 2017 request for 8 FTEs supports the increase in CAPs that occurred due to the MAP-21 changes to the completion time frames, reduced from 18 to 12 months for property carrier new entrants and 12 months to 4 months for passenger carrier new entrants, since the shorter time frame means that FMCSA must increase the staff available at any given time to accept, process, review and decide on the acceptability of those CAPs within the given timeframe. Given FMCSA's current, limited staff of New Entrant Specialists processing CAPs and the year-over-year increase in the number of new entrant motor carriers registering with FMCSA, the new MAP-21 deadlines will only intensify the pressure and volume of CAPs requiring assistance within the designated timeframes. FMCSA requests additional NE specialist resources to handle the processing and review requirements under these new, tighter deadlines. Many of these specialists will be certified so that they are able to support State auditors as necessary. Not all would be certified to support state auditors, auditor certification takes 6 weeks of training up front and they would have on-going minimums annually for numbers of audits and vehicle inspections to maintain their credential. This would mean 3-5 weeks out of the office each year, with attendant travel expenses. This is a risk/reward decision to have some staff available to assist when necessary, but without cross training the entire staff, which would be prohibitively expensive and burdensome.

In addition, the new FTE will be used to implement offsite new entrant audits nationwide. FMCSA tested using offsite new entrant audits in FY 2014 and will be ready for full implementation in FY 2017. The offsite audits will allow the States to increase the number of audits that can be conducted by reviewing the records of some companies from the office, rather than having to travel and lose production time.

Why Is This Particular Program Necessary?

In an industry with 35-40,000 new companies introducing vehicles and drivers onto our Nation's highways, it is critical that the safety management processes be assessed early in the company's existence so that either needed changes are made or the company is put out of business. This important assessment is accomplished through the New Entrant Safety Assurance Program. The continued volume rise of new carriers annually was further impacted by the MAP-21 requirements which required the safety audits within 12 months for property carriers and 120 days for passenger carriers, versus the prior guideline under SAFETEA-LU of 18 months and 12 months respectively. Contract support and Agency FTEs are needed to oversee and management program and review and either approve or deny corrective action plans from more than 7,000 motor carriers annually.

How Do You Know The Program Works?

Currently, over 20% of new motor carriers fail the safety audit, meaning that they do not have adequate systems in place to operate safely and in compliance with Federal regulations. To meet the constant volume of new carriers that are starting businesses each year, while keeping in compliance with MAP-21, we strive to be proactive in our mission of saving lives and this can best be accomplished by getting to these new firms and assessing them to ensure they, as new entrants, have basic safety management controls that are operating effectively. This program is our first line of defense against the crashes, injuries, and fatalities that occurs with these early intervention measures.

CSA Phase III Implementation, Increase Request - MC-F

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Phase III of the FMCSA's Compliance, Safety, Accountability (CSA) program				
CSA Phase III - Enforcement Portion	-	-	\$79	\$79
CSA Phase III - Field Portion	-	-	\$2,455	\$2,455
Total CSA Phase III	-	-	\$2,534	\$2,534

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

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

In FY 2017, FMCSA requests \$2.5 million and 25.5 FTE for the CSA Phase III Implementation, which is an increase of \$2.5 million increase over the FY 2016 President's Budget. Two positions are required by the Office of Enforcement to manage the additional policy and programmatic elements of normalized operations of the CSA program once implemented nationwide. Additionally, full implementation will require the Agency to monitor and maintain a dynamic system to manage the carriers that present the highest risk to the public.

Also, 50 Program Analysts (PA) are needed in the field to manage newly identified carriers with high crash risk indicators, and help manage the high risk carriers to ensure the Agency is actively identifying the highest risk motor carriers. In addition, the Program Analysts will manage programs surrounding carriers who are operating while out-of-service or outside the scope of the authorities, as well as assisting with contacting/managing high risk carriers.

As such, the current Federal Program Specialist (FPS) in each division needs PA assistance for these priority carriers. The request for 50 is based on placing 1 PA in each of the remaining 42 States without a PA, but also provides 1 extra PA in each of our large division offices (i.e., CA, TX, NY, PA, NJ, IL, GA and FL), all of which currently have 2 FPS's and each of which manages extensive mandatory carrier caseloads, some of whom are overdue mandatory carriers.

What Is This Program?

This funding and FTE are needed to successfully implement Phase III of the FMCSA's Compliance, Safety, Accountability (CSA) program. Through CSA, FMCSA is more effectively targeting and intervening with high-risk motor carriers. This will save the Agency time and money by decreasing necessary travel. Program Analysts will coordinate off-site reviews with motor carriers and will also collect and prepare documents for on-site investigations so that safety investigators will be able to spend their time on investigative work as opposed to administrative work. In addition, the Program Analysts will manage the recently enhanced high risk carriers list and the Inappropriate Activity List carriers.

Anticipated FY 2017 Accomplishments:

In Phase III, FMCSA will deploy off-site interventions nationwide for motor carriers with deficiencies in only a single area, as well as focusing additional effort on those priority groups of carriers who pose a significant safety risk and to whom we want to deploy investigators quickly.

Why Is This Program Necessary?

In Phase III, FMCSA will deploy nationally off-site interventions for motor carriers with deficiencies in only a single area. While the off-site reviews are extremely efficient by eliminating travel, there is administrative work to coordinate collection of necessary documents before the review begins. Program Analysts will coordinate off-site reviews with motor carriers and will also collect and prepare documents for on-site investigations so that safety investigators will be able to spend their time on investigative work as opposed to administrative work. In addition, the Program Analysts will manage the new Emerging High Crash Risk Correlated Carriers List, the Inappropriate Activity List, and will assist with contacting/managing overdue mandatory carriers.

How Do You Know The Program Works?

During the Agency's CSA Operational Model Test, the off-site intervention was shown to be effective. According to the University of Michigan Transportation Institute's (UMTRI) independent evaluation of the test, 55% of carriers receiving an offsite focused review improved their safety to an acceptable level within a year. Through the Agency's implementation of previous phases of CSA, we have determined that the use of focused reviews increase the Agency's efficiency by allowing the investigator to more thoroughly examine the motor carrier's records and management system in the problem areas. In addition, several of the Agency's programs lend themselves to offsite reviews by securing the needed documents from the motor carrier through electronic means. By reducing the need to travel, the FMCSA investigators can assess more carriers. In fact, the UMTRI evaluation determined that the average cost of an offsite focused review was \$450 versus the over \$1,400 cost for an onsite investigation. In addition, by adding resources to complete the administrative processes that support the reviews, the investigator's time can be used to work on a greater number of motor carriers; thus improving safety.

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

The request includes 50 Program Analysts (25 FTEs) and 1 position (0.5 FTE) for the Office of Enforcement to manage additional programmatic elements of normalized operations and implement needed changes.

National Registry of Certified Medical Examiners, Increase Request- MC-P

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
National Registry of Certified Medical Examiners - Audit Team	-	-	\$2,169	\$2,169

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

What Is The Request And What Funds Are Currently Spent On The Program?

The request for a \$2.2 million increase in the Medical Programs to supports a comprehensive auditing program for the National Registry of Certified Medical Examiners (the National Registry). The National Registry provides minimum training and testing requirements for healthcare professionals that issue medical certificates for interstate truck and bus drivers. The program was mandated by SAFETEA-LU with the implementing regulations published on April 20, 2012. The compliance date was May 21, 2014. Currently, the agency spends approximately \$2.0 million per year for the National Registry Program, which includes all the activities necessary to launch the program.

What Is This Program And Why Is It Necessary?

The National Registry Program is necessary to prevent physically impaired interstate drivers (e.g., drivers who do not meet FMCSA's physical qualification standards under 49 CFR Part 391) from obtaining medical certificates to operate trucks and buses on the Nation's highways.

Physically impaired interstate drivers are responsible for approximately 9,687 of the roughly 440,000 commercial motor vehicle crashes that occur annually. The agency estimates that this program may prevent up to one-fifth of these crashes annually, which would result in approximately 1,219 fewer crashes per year. The estimated annual benefit associated with avoiding these crashes is \$189 million per year, undiscounted.

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

The FY 2017 funding supports a comprehensive auditing program of the healthcare professionals on the National Registry. As of January 2015, there were approximately 40,000 healthcare professionals on the National Registry of Certified Medical Examiners and these certified examiners completed more than 2.4 million examinations of drivers between May of 2014 and December 2014, with more than 67,000 drivers temporarily disqualified and more than 23,000 other drivers determined unqualified to operate commercial vehicles in interstate commerce.

The comprehensive auditing program would provide the agency with the means of determining how well the program is working in terms of the medical examiners following the standards for issuing medical certificates. The agency would have a means of determining the extent to which examiners

issue medical certificates to drivers who fail to meet the Federal standards. These instances would prevent the agency from achieving its estimated safety benefits from the National Registry rule published in April 2012.

With regard to base funding, the Agency had planned approximately \$0.5 million for FY 2016 to support a very limited auditing program. This would include limited contractor support and heavy reliance upon headquarters staff in the Medical Programs Division. The agency believes that a limited auditing program may have been statistically adequate but would have fallen far short of Congressional expectations and the expectations of the National Transportation Safety Board. By contrast, a comprehensive auditing program covering a greater number and geographic distribution of medical examiners would instill Congressional confidence and provide additional assurance that the program is accomplishing the safety objectives.

What Benefits Will Be Provided To The American Public Through This Request?

Given that physically impaired interstate drivers are responsible for approximately 9,687 of the roughly 440,000 commercial motor vehicle crashes that occur annually, it is expected that this program would prevent up to one-fifth of these crashes annually, which would result in approximately 1,219 fewer crashes per year. The estimated annual benefit associated with avoiding these crashes is \$189 million per year, undiscounted. These full benefits are not realized until the program is fully phased in, which is several years after the establishment of the program. Nevertheless, at a 7% discount rate, the 10-year net benefits of this program are estimated at approximately \$784.1 million over 10 years. The auditing program that would be funded through this request would ensure that the benefits estimated for the rulemaking are realized.

Pricing Information:

The additional \$2.2 million would be used to fund contractor support for a National Registry Auditing Program to ensure that the approximately 40,000 medical examiners responsible for issuing medical certificates for interstate truck and bus drivers. The agency estimates these healthcare professionals issue approximately 2.6 million medical examinations each year, as estimated by the agency in its April 20, 2012, final rule concerning the National Registry program (77 FR 24101, 24132). The funds would be used for contractor staff with sufficient medical expertise and knowledge of the agency physical qualifications standards to randomly select medical examiners and the medical records they maintain, to determine the extent to which medical certificates are issued to drivers who do not meet the Federal standards.

Employer Notification System (ENS), Increase Request - MC-E

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Employer Notification System (ENS)	-	-	\$68	\$68

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

What Is The Request And What Funds Are Currently Spent on the Program?

The request is for 0.5 FTE. Currently, this program is not funded by the Agency.

What Is This Program And Why Is It Necessary?

Section 32303 of MAP-21 allows motor carriers to comply with the requirement to check their commercial drivers' license history records annually, if the motor carrier is receiving occurrence-based reports of changes in the status of the drivers' record from 1 or more driver record notification systems that meet minimum standards issued by the Secretary. Section 32303 provided direction to the agency to issue minimum standards for driver notification systems, including standards for the accuracy, consistency, and completeness of the information provided. MAP-21 also called for a plan for a National Notification System to be developed not later than 2 years after the date of enactment of this Act. It also requires the Agency to provide estimated costs of providing this process. By providing motor carriers with timely information about their drivers' violations, it is expected that motor carriers would remove unsafe drivers from the roadways, thus improving safety and reducing crashes.

To this end, FMCSA tasked the American Association of Motor Vehicle Administrators (AAMVA) through a CDL Improvement Program grant to assess the ENS currently being provided by the States to identify minimum standards and recommended costing structures. The Agency received a report from AAMVA in May 2014. Based on the recommendations of the report, in FY 2016 the Agency will:

- Work with the States on implementation;
- Oversee all of the States' efforts;
- Determine the best method of centralizing reports; and
- Determine estimated costs for managing the process.

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

The Agency requests 1 additional position to oversee the development, implementation, and maintenance of these systems. In FY 2017, this position would be used to:

- develop voluntary minimum standards;
- draft regulations to require States to comply with the standards;
- review grant proposals;
- conduct reviews of existing State systems to confirm compliance; and
- implement recommendations received by AAMVA.

What Benefits Will Be Provided To The American Public Through This Request?

Through the development and implementation of a nationwide ENS program, employers will receive timely conviction information regarding their drivers. Companies will use this information and remove unsafe drivers from the roadways. As the Agency's research has demonstrated, drivers are the causes of the majority of crashes. Removing unsafe drivers earlier from the roadways will reduce the number of crashes, injuries and fatalities.

FY 2017 – Safety Support Initiatives

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Facilities	-	-	\$26,125	\$26,125
Information Technology Staff	-	-	\$2,645	\$2,645
State Program Specialists to Manage FMCSA Grants	-	-	\$700	\$700
Occupational Safety and Health Program	-	-	\$398	\$398
National Training Center, Increase	-	-	\$1,052	\$1,052
Office of Internal Auditing, Increase	-	-	\$235	\$235
Office of Budget, Increase	-	-	\$753	\$753
Attorneys, Regulatory, Fiscal and Registration	-	-	\$1,007	\$1,007
Facility Management	-	-	\$516	\$516
Registration and Safety Information Program, Increase	-	-	\$5,785	\$5,785
Total - Safety Support Initiatives	-	-	\$39,216	\$39,216

1/ Support for these activities are provided in the Motor Carrier Safety Operations and Programs account and not reflected in this summary line.

The request is \$39.2 million and 34.5 FTEs to fund Safety Support Initiatives: addressing critical safety and operational issues at FMCSA's facilities and enhancing the agencies oversight of its nearly 100 border posts and domestic offices; hire additional attorneys to support the agency's increased enforcement case load, support the large number of regulatory actions required and support registration operations. Further support staff is requested to bolster management of the agency's grant portfolio, strengthen financial operations and integrity and greatly increase staffing in critical IT operations to ensure FMCSA's systems are secure, accurate and efficient.

FMCSA has approximately 30 border facilities which require significant renovation and rehabilitation to address significant safety, security, and operational issues. These facilities many with temporary structures put up during the beginning of the border mission well past their intended 10 year service lifetime. To exercise stewardship of these posts and over the more than 60 domestic offices, FMCSA requires a small specialized cell of people familiar with facility management.

Additional staffing to support Information Technology operations; legal requirements associated with registration, fiscal, and regulatory issues; and financial operations are crucial to executing

the safety mission. Without working IT systems to collect, process, and provide information, inspectors would be hampered in their ability to do their jobs.

Border Facility Costs, Increase Request- MC-F

Program Activity (\$000)	FY2015 Actual	FY2016 Enacted	FY2017 Request	Difference from FY 2016
Facilities				
Facilities, Increase - Multi-Modal Safety Investments	-	-	\$26,125	\$26,125
Facilities - Operations	\$1,200	\$1,200	\$4,581	\$3,381
Facilities - Operations (Unobligated Balance) 1/	\$4,049	\$0	\$0	\$0
Total - Information Technology Modernization	\$5,249	\$1,200	\$30,706	\$29,506

1/ Consolidated and Further Continuing Appropriations Act, 2015 provided FMCSA access to prior year unobligated balances to support its Capital Improvement Plan.

What Is The Request And What Funds Are Currently Spent on the Program?

The funds requested total \$26.1 million of the Multi-Modal Safety Investment funds, with all sources funds totaling \$30.7 million to support FMCSA's facilities and its Capital Improvement Plan (CIP). These funds would provide for new or renovated facilities in locations throughout the southern border region, including Texas, New Mexico, Arizona, and California as well as domestic offices as necessary. FMCSA is not currently resourced to build or improve on facilities, currently only able to spend a little less than 1% of its operating funds in stewardship of its facilities.

Congress has supported these needs in the past with one time grants of funding. In FY 2012, \$24.0 million was made available in one time funds to address these issues; however these funds represented a down payment on the total need. In FY 2014, Congress allowed FMCSA to use \$13 million unobligated balances from an expired account to provide funding for these vital border projects. FMCSA is updating its border plan to expedite several of the projects originally planned for FY 2015 and beyond. In FY 2015, Congress allowed FMCSA to further access a further \$4.1 million (of which \$4 million was obligated) from its unobligated balances from the Operations account for facilities.

With the \$37.0 million that has already been obligated, Feasibility Studies have been completed at 15 border locations, and at least 9-10 of those locations include design and construction of new buildings, inspection pits, canopies, furniture, security and IT infrastructure. The additional \$4 million from FY 2015 has been provided to GSA for the next phase of the feasibility studies and as much additional construction as possible. The contract for the construction of the first 5 facilities (Phase 1) is slated to start February 2016. The next set of facilities (Phase 2) is expected to begin in Spring 2016. All of the initial 9-10 locations are scheduled to be completed in FY 2016. FY 2017 funding will be used for approximately 5 - 6 border locations, dealing with initial land acquisition, design and construction, as well as final feasibility studies. Domestic office renovations and improvements will be supported as necessary.

What Is This Program?

FMCSA's border program relies on truck and bus inspectors to ensure that trucks and buses crossing into the country are safe and compliant with Federal safety regulations. In order for the inspectors to perform their critical functions, the agency must provide working space and protection from the harsh weather conditions. The main objective of the border space program is to decrease the time needed for the inspection of large trucks; improve throughput, ensure the safety of the public as well as FMCSA staff, and provide improved operating conditions for FMCSA personnel and truck and bus drivers.

Truck Inspections

One of the requested projects is a major modification of border office and inspection space for the truck inspection facility at Nogales, AZ. This includes feasibility studies, land acquisition, design fees, moving costs, and construction of a new building, renovations, inspection pits, canopies, furniture and all associated security enhancements. Further projects will be undertaken as funds allow.

Bus Inspections

This request will fund a major modification of border office and inspection space for seven bus inspection facilities. This includes feasibility studies, land acquisition, design fees, moving costs, construction of new buildings (office space and bus passenger waiting areas), renovations, inspection pits, canopies, furniture and all associated security enhancements. Land acquisition from GSA will be necessary to begin the process for design and construction of new buildings at nine additional bus inspection facilities. Further enhancements will be planned and carried out as funds allow.

Domestic Facilities

These funds provide costs essential to meet FMCSA's operational requirement within government leasing authorities. The request would provide for the movement and renovation of Division, Service Center, or other offices, allowing for the renovation in advance of occupation of new office space and alteration of existing non-border FMCSA staff. Costs include facility reconfiguration, security and access control, telecommunications, furniture, etc. FMCSA has 58 Division and 4 Service Center locations across the United States, including Puerto Rico.

In FY 2016, non-Border facilities expect to successfully complete 2 relocations (Connecticut and Minnesota) and prepare to relocate the Alaska Division by FY 2017. Alaska and Minnesota will be to federal buildings and Connecticut will be to more efficient use of space within the current federal building. Relocations are categorized and accomplished by promoting efficient spending of allocated funding and the best use of space utilization. In addition, 4 Divisions would have completed a successful space analysis on the utilization of their space and will remain in the current federal building location they are in. These offices are Pennsylvania, Nebraska, Maine and Washington State.

Why Is This Particular Program Necessary?

Border Posts

With respect to truck facilities, due to the limited service life of the original modular buildings (approximately 5 years maximum and they are now over 10 years old), there is a great need to improve the FMCSA facilities by adding canopies at various locations, upgrading equipment, and increasing vehicle traffic. As the number of trucks arriving each day at border crossings increases, it is critical that the agency review, modify, improve and, in some locations, increase the size of existing facilities.

With respect to bus inspections, the agency does not have dedicated space or facilities to conduct bus inspections at several major bus crossings along the Mexican border. Our inspectors must risk their safety and the safety of the bus driver and passengers by conducting inspections on the side of the road in some locations without protection from the harsh weather conditions. FMCSA has looked to configure its field presence as inexpensively and efficiently as possible. However, co-location in many locations has proved impossible due to site restrictions. It is necessary to search for suitable land to build proper bus inspection facilities and many of the southern border crossings.

Non-Border

Where not collocated with other agencies or in federally owned, federally controlled or leased facilities, FMCSA signed an Occupancy Agreement with GSA for a ten year term (five year base, five year option). FMCSA works with GSA to build-out the new space in accordance to our Space Standard Requirements, Security, IT, Telecommunications, and Network requirements. Once the new space is built-out FMCSA will release the existing space. If a new facility wins the bidding process, FMCSA is required to quit existing space and occupy the new space, requiring renovations to make the space acceptable for occupation and use. FMCSA does not control the competition process or the outcome. In some cases, the cost of the required renovation is more expensive than the rent paid, and an alternate authority for longer term and more stable housing of agency staff would be cost effective. Without these funds, FMCSA offices often shifts to short term or month to month rental periods with rent costs substantially higher than under the ten year terms and in some cases, 300% to 400% higher than the full term.

How Do You Know The Program Works?

Border Posts

FMCSA inspectors have years of experience conducting field inspections of motor carrier and motor coach vehicles and these requests reflect a bottom up understanding of how these processes should work which starts with the inspector who is physical under and around the vehicles involved. The Border Space Management program includes rental payments for all border truck and bus inspection locations in Texas, Arizona, California and New Mexico, as well as feasibility studies, land acquisition, construction of new buildings (office space and bus

passenger waiting areas), renovations, inspection pits and canopies, furniture and all associated IT and security enhancements.

Non-Border

FMCSA has sufficient base resources to fund its ongoing rent obligations; however one-time costs associated with moves are not available within base resources and the legacy of the agency's creation has left a bubble in office turn over which began in FY 2013 and will continue with fully a third of FMCSA's space turning over in the next four years.

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

There is substantial unfunded need for this activity. The requested funding level balances both FMCSA's ability to execute the request program with the pressing needs to improve facilities, increase throughput, reduce waste to businesses and improve the safety of the public and staff at these facilities. Additional funds for other facilities as well as on going upkeep and maintenance will be necessary, over and above the base Administration budget.

Current Conditions

Since the early 2000's, FMCSA has had a presence on the southern border with facilities, including temporary modular buildings and inspection canopies at some locations. In the vast majority of cases, the FMCSA facilities were installed on Federal property, co-located with Customs and Border Protection (CBP). The General Services Administration (GSA) provided support for this effort. Due to the limited service life of the original modular buildings (approximately 5 years maximum), it is necessary to replace existing temporary structures, add canopies at various locations, upgrade equipment and enhance locations to allow for increased vehicle traffic.

Existing Facilities Conditions

Some of the serious issues with the current facilities are listed below:

- Temporary Trailers have Exceeded their Lifespan;
- 10+ Years Old;
- Shifting Foundations;
- Structural Deterioration;
- Inadequate Work Space;
- No Employee Break/Locker Rooms;
- Inadequate Employee Restrooms;
- Inadequate Inspection Space;
- Limited Inspection Lanes;
- No Inspection Pits for Easy, Safe Inspection Access;
- Limited Canopies;;
- Extreme Sun/Heat Exposure; and
- Wind and Dust Exposure.

Moving to a Necessary End State

The main objective is to provide improved working conditions for FMCSA personnel and decrease the time needed for the inspection of large trucks and motor coaches. The first step is to produce an accurate feasibility study at each of the priority LPOEs to ensure adequate space and utilities exist (office and inspection space); adequate space exists for the placement of both temporary and permanent canopies; and proposed FMCSA inspection locations mesh with and do not interfere or disrupt the current traffic flow on the LPOE.

Budget Planning:

With the requested funding for Border Truck Inspection Facilities, FMCSA will be able to initiate additional projects in the border facility plan. GSA feasibility studies will have been completed at each location. This funding will provide for preparing design documents and construction costs for the facility improvements.

The temporary office facility at Del Rio, Texas will be replaced with a permanent office building and replacement of the existing canopy and installation of vehicle inspection pits. Funds for design and construction are requested in FY 2016 for final construction to be accomplished no later than FY 2017.

At the Tornillo, Texas Port of Entry, FMCSA will add an additional pit to the canopied inspection area and will update the traffic flow pattern to better accommodate out-of-service parking space. These enhancements will not affect the level of staffing at the port.

With the funds requested for Border Bus Inspection Facilities, FMCSA will continue the process of constructing nine bus projects in the border facility plan. The GSA feasibility study is scheduled to be completed with FY 2014 funds at each location. In FY 2015, the agency will focus on beginning the land acquisition process with GSA necessary before construction can begin.

Initiating these Border Bus Inspection projects is in-line with two OIG audit recommendations:

- MH-2009-068, B01: Adding to its Southern Border Bus Inspection Plan the frequency of required bus inspections at non-commercial crossings and inspections during any hour the border crossing is opened, to include evening and weekend hours. Include in the plan actions to eliminate obstacles to achieving inspection coverage during all open periods.
- MH-2009-068, B02: Working with the Customs and Border Protection Service, and other agencies as appropriate, to assess the safety and efficiency of bus inspection locations and space at all non-commercial border crossings at the southern border.

These projects will allow FMCSA to develop passenger holding facilities that allow safe and efficient bus inspections. The improved facilities will allow FMCSA to conduct inspections at a higher rate than is currently conducted due to space and safety limitations.

Impact If Not Funded:

Failure to provide the requested funding will impact FMCSA's ability to conduct truck and bus inspections in a safe and efficient manner at Southern border commercial crossings. The safety and well-being of FMCSA employees, as well as truck/bus drivers and bus passengers is currently jeopardized by the sub-par working environment at most of the Southern border crossings. FMCSA can no longer risk potential danger to our employees, truck/bus drivers or bus passengers, by working in temporary trailers that are deteriorating, and in inspection areas that exposed to extreme weather conditions and lack safety and security enhancements.

Non-Border – Impact If Not Funded

Failure to fund would result in the reduction in enforcement and compliance activities to avoid expensive and embarrassing increases in rental costs. FMCSA is providing a budget for the requested funds. FMCSA is developing a capital budgeting program to address facilities issues as well as reviewing possible changes to the management of facilities, including institution of a facilities review board. High priority maintenance or rehabilitation activities would be funded and remaining funds would be applied to a project from either the FY 2016 border or non-border project needs.

Information Technology Staff, Increase Request - MC-R

Program Activity (\$000)	FY2015 Actual 1/ 2/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Information Technology Staff	-	-	\$2,645	\$2,645

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

2/ The Office of Research and Information Technology (MC-R) spent \$8.0 million in FY 2015 and is projected to spend \$8.2 million in FY 2016. This is not 1 to 1 with CIO staffing. MC-R staff includes the CIO, Statistics and Analysis, Research, etc.

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

FMCSA's Office of Research and Information Technology, Office of Information Technology (OIT) operates in a highly complex environment with diverse customers, expanding IT business needs and substantial compliance requirements. The IT systems that OIT develops, implements and maintains, along with the infrastructure it manages and operates, serve as a key enabler behind FMCSA achieving its mission of preventing crashes and saving lives. For FY 2017, OIT is requesting an increase in staff of 17.5 FTEs and \$2.6 million.

These new resources will allow OIT to expand current functions to set project management standards and provide guidance to IT project managers; provide scalable, cost efficient and rapidly deployable computing capabilities; implement more rigorous IT privacy and security policies and procedures; ensure ongoing compliance associated with maintaining FMCSA web pages; inject added project management discipline into the system development lifecycle; and execute a long-term performance management framework. The existing FTP level will only allow FMCSA to maintain the current infrastructure, with very limited ability to improve operations.

What Is This Program?

OIT's mission emphasizes the role information technology plays in supporting FMCSA's "safety 1st" culture. OIT is "*committed to enabling FMCSA's mission of saving lives by providing agile, cost-effective, innovative, reliable and secure business solutions.*" To effectively meet its mission, OIT must serve as more than simply an information technology service provider; it must act as a business advisor, strategic enabler, and solution provider to its customers.

OIT continually balances expanding requirements and competing business priorities to maximize the value of its investments. Historical resource levels have required OIT to perpetually operate in a reactive manner, largely focusing on the highest priority near-term needs of its customers. However, FMCSA's safety mission demands a proactive and forward-focused IT strategy, coupled with stable execution of ongoing operations. The current size of the workforce has not allowed OIT to keep pace with the continually evolving and expanding program requirements and legislative mandates such as FITARA, FISMA, e-Gov, GPRA and Moving Ahead for Progress in the 21st Century (MAP-21).

OIT's resource level has remained static since FY 2011 despite increasing demand for IT services, growing and evolving business needs, new federal IT policies, rulemaking and regulatory mandates, and aging legacy systems. To date, OIT has made every effort to support FMCSA's IT needs, to include all rulemaking and regulatory requirements, despite limited resources. However, emerging and advanced technologies are of little value without a sufficient number of skilled professionals who can understand, plan, execute and manage the full suite of IT solutions that are required by the business. Insufficient staff puts at risk FMCSA's entire portfolio of technology and business critical systems.

Why Is This Particular Program Necessary?

As FMCSA continues to evolve its Service-Oriented Architecture (SOA) environment, the need for additional resources still exists. To build platform neutral software that is highly flexible, FMCSA must shift away from simply developing software and move to "software engineering". This shift will still require the resources with the appropriate technical skills, business knowledge and leadership to manage and oversee the architecture along with its development and maintenance activities, as well as effectively manage the migration from the existing architecture and legacy systems to a SOA.

OIT's workforce needs are summarized below across the four (4) major functional areas of IT Policy and Planning, IT Security and Privacy, IT System Development and IT Operations.

IT Policy and Planning

OIT provides critical policy and planning support to FMCSA's portfolio of IT investments to include: formulating the IT budget; tracking spending; developing business cases for IT investments; developing OMB required artifacts; managing and executing the Capital Planning Investment and Control (CPIC) process; developing and maintaining the enterprise architecture (EA) framework; managing and supporting FMCSA's IT governance structure; providing project and portfolio management support across all IT investments, and providing acquisition support. While FMCSA's IT requirements have continued to grow, the IT Policy and Planning staff has remained constant and can no longer support the current needs.

IT Security and Privacy

OIT provides agency-wide protection of information and IT infrastructure assets against the risks of loss, misuse, disclosure or damage. This includes ensuring system vulnerabilities are monitored and/or patched; developing and implementing privacy and data security policies; and developing Plans of Action and Milestones (POA&M). To mitigate the security vulnerability risks posed by external threats, OIT requires additional FTEs to develop POA&Ms and manage the large volume of data and reporting requests. To sufficiently address recent security assessment findings OIT must develop, manage and resolve operational issues resulting from over 2,000 individual POA&Ms that have been identified, a workload that OIT is not currently staffed to accomplish. In addition, reporting

FMCSA RICE Portfolios	
Registration	Mission Support Systems
Inspection	
Compliance	
Enforcement	
Infrastructure	

requirements (i.e., FISMA, OIG, OST, etc.) continue to increase as greater emphasis is placed on IT security throughout the Federal government. OIT receives an average of 20 IT security and privacy related data calls from various stakeholders per year. It is expected that the increased workload will be sustained on an ongoing basis, if not increase over time as IT security and privacy vulnerabilities continue to change and evolve. This need is further exacerbated by FMCSA's mission and the sensitive nature of the data that resides in its IT systems.

IT System Development

To support FMCSA's strategic goals of enhancing safety and raise the bar, OIT must manage, execute and oversee the multitude of system development, maintenance and integration projects required by Federal mandates, rulemakings and/or business needs. OIT has taken operational control of additional IT systems historically funded and operated outside of OIT. This increase has been absorbed by OIT without a corresponding increase in resources or funding. In total, OIT currently manages and maintains over 30 IT systems (including Sentri and URS once complete) that require ongoing enhancement and maintenance which is a sizable increase from 2008.

IT Operations

Provides IT infrastructure and operations support (i.e., hardware, software, licenses and tools) to FMCSA's highly diverse and mobile user community which has grown significantly in recent years. This includes: maintaining and providing 24x7 network and application availability for 105 virtual/physical hardware and software entities; providing multi-tier help desk and call center support for 12,000+ FMCSA Portal user community; providing database administration for 47 database schemas; maintaining FMCSA websites and managing content; providing backup and disaster recovery services; monitoring and ensuring data quality; tracking and refreshing IT assets; and providing support to Field offices. FMCSA's infrastructure includes 208 servers, 843 laptops, 137 desktops, 300 printers, 175 scanners, 73 T-1 lines, 2 DS3 lines, 6 2XT1 lines, 9 VTC locations, and 1,242 mobile devices. Along with the system maintenance requirements, the user base continues to expand at a rapid pace. That, combined with the aging infrastructure, has placed a significant strain on IT operations.

In FY 2014, FMCSA established a new enterprise portfolio model that includes the four (4) key safety process areas—Registration, Inspection, Compliance, and Enforcement (“R-I-C-E”) — as well as Mission Support Systems and Infrastructure. The new structure provides FMCSA with the ability to look across the investments in these portfolios and identify the linkages of business processes and strategic improvement opportunities to enhance mission effectiveness. For FY 2017, OIT will manage at least 26 independent IT investments within the portfolio model. Each investment requires an Agency IT Portfolio Summary, as well as at least one (1) Major IT Business Case. FMCSA has completely reorganized its IT portfolio to better align the planning process with how work is actually performed. The reorganization allowed the planning that occurs for each Agency IT Portfolio Summary to be tied directly to monthly spending, allowing for a new level of clarity and transparency in work performed and dollars spent. FMCSA will continue to assess how to best ensure alignment across its IT Portfolio with how work is actually planned and executed. FMCSA's OIT current backlog for documenting policies and standard

operating procedures can begin to be addressed for the established new structure and environment.

How Do You Know The Program Works?

FMCSA OIT's ability to document the operational policies and procedures for the IT resources and programs identified above areas is significant in recording the historical information and capturing the how-to of the day-to-day operations.

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

As FMCSA's congressional mandates increase, the IT program and operations staff has to increase to adequately and efficiently support the technological requirements of FMCSA's mission to the Motor Carriers and ultimately the American people. FMCSA's IT requirements are driven by both business needs (e.g., roadside inspector's need for a more efficient inspection system) and legislative requirements (i.e., MAP-21, Grow America, etc.). Legislative actions and other external events often have a dramatic impact on FMCSA's IT priorities and place increasing demands on OIT's system development resources. OIT reprioritizes IT investments based on legislative requirements, causing further backlog and delays to critical IT development projects. This trend is expected to continue and OIT will be unable to meet the business expectations of its customers and system users, which include roadside inspectors and enforcement officers, dramatically affecting the traveling public. The funding requested will allow FMCSA to meet the growing needs of the American public, Field Operations, our State Partners. Funding at this level will help implement information technologies that support the FMCSA Strategic Plan objectives of raising the bar to entry; maintaining high safety standards to remain in the industry; and removing high risk drivers and carriers from operation; and reduce the number of accidents and deaths on the nation's highways.

IT Impact	Impact on FMCSA Mission	
Deployment of the IIMS will be delayed to FY 2019 or beyond	Maintain High Safety Stds	Remove High Risk Carriers
	There is a substantial mission need for a new inspection system that would increase inspector productivity and provide access to more recent and reliable data, thereby preventing unsafe drivers, vehicles and carriers from continuing to operate. Among other things, inspection data is an essential element of FMCSA's Safety Measurement System (SMS). IIMS is critical to FMCSA's goal of providing real time access to inspection reports, thereby removing more high risk carriers from the roadways. The national average for uploading inspection data is eight (8) days with the current system and infrastructure. In the absence of IIMS, the roughly 12,000 state inspectors that perform over 3.5 million inspections per year will be required to continue to utilize the current system, Aspen, which is aging and in need of a major upgrade. In the interim, FMCSA must continue to expend valuable IT funds addressing ongoing change requests. In addition, state partners will explore external options to upgrade their inspection system to meet their needs, which will increase overall costs and negatively impact data quality and accessibility.	

IT Impact	Impact on FMCSA Mission			
Deployment of the D&ADB will be delayed to FY 2019 or beyond	Maintain High Safety Stds	Remove High Risk Carriers	Commercial Driver’s License holders who use drugs or alcohol while operating a CMV pose a significant risk to public safety. Under the current drug and alcohol-screening program, employers do not have adequate tools to identify CDL holders who have received positive drug or alcohol test results or have otherwise violated the drug and alcohol testing requirements. Employers must rely on information provided by the driver, who might not disclose prior positive drug or alcohol test results. As a result, such drivers continue to operate CMVs after violating the drug and alcohol regulations without completing the required return-to-duty process. To-date, FMCSA has had limited mechanisms and tools to adequately track individual drivers’ history of drug and alcohol test results. Historically, FMCSA has only been able to view that a driver has tested positive for drugs or alcohol, but not when those tests were conducted, nor the state in which those violations occurred. In addition, FMCSA has not had the ability to track if those drivers who tested positive have completed the Return to Duty process.	
FMCSA’s aging infrastructure will continue to be sustained through O&M, but will not be upgraded to support new technologies required to keep pace with field needs	Maintain High Safety Stds	Remove High Risk Carriers	New innovative technologies such as Electronic Logging Devices (ELD) and Wireless Roadside Inspections (WRI) represent the future of motor carrier inspection, compliance and enforcement and their implementation into the field will be halted without additional resources. FMCSA has proposed a new rule, which would not be met, that would require interstate commercial truck and bus companies to use ELDs in their vehicles to improve compliance with the safety rules that govern the number of hours a driver can work. The rulemaking, which has significant IT implications, would make our roads safer and reduce hours-of-service violations by making it more difficult for drivers to misrepresent their time in logbooks and avoid detection by FMCSA and law enforcement personnel.	
Security and privacy posture will be compromised	Raising Bar to Entry	Maintain High Safety Stds	Remove High Risk Carriers	FMCSA’s ability to mitigate security and privacy risks associated with the rapidly increasing threats to FMCSA’s systems will be impacted. OIT will only have the capacity to develop a limited number of Privacy Impact Assessments (PIA) and system of records notices (SORN) based on urgency and the highest priority. This is of particular concern given the criticality of FMCSA’s systems and the privacy data they house.

State Program Specialists to Manage FMCSA Grants
Increase Request – MC-F

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
State Program Specialists to Manage FMCSA Grants	-	-	\$700	\$700

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

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

In FY 2017, FMCSA requests \$0.7 million for State Program Specialists to Manage FMCSA's large grant portfolio. This is an increase of \$0.7 million and 5 FTEs over the FY 2016 Enacted Budget.

What Is This Program?

In FY 2017, the FMCSA issued \$298.2 million in safety grants to State and local governments for CMV safety activities, which represents more than 50 percent of the agency's entire annual appropriated budget. With ten individual legacy grants programs (and five in FY 2017 and beyond), each issuing grant funding every fiscal year, any one division office may have more than ten open grants at any one time, each of which requires proper monitoring, risk assessment, and oversight, per the new FMCSA Grants Management Manual. For instance, the State Program Specialist (SPS) must oversee all State and local grantee activities, ensuring continued certification of all staff conducting inspections, audits and reviews, and ensure that the grantee follows all required agency, departmental and Office of Management and Budget grants procedures and requirements, as well as reviewing vouchers for necessary, reasonable and eligible costs and production work. Yet in 3 of the agency's 52 division offices (WY, DC and PR), the Division Administrator, in addition to supervising all of the division onsite and offsite staff must also serve as the de facto State Programs Specialist for that division's grantees. Additionally, in the three largest States (Florida, California, and Texas), the volume and breadth of grants to State and local entities is so large that one SPS in each of these divisions is not nearly sufficient enough to provide adequate financial and programmatic oversight of the grants.

This request includes ten State Program Specialists positions for a total of 5 FTEs.

Generally speaking, grants programs within FMCSA are structured such that headquarters (i.e., the Offices of the Chief Financial Officer (CFO) and the respective Program Offices) have much of the responsibility during the pre-award phase (i.e., processing incoming applications, establishing and conducting business and technical reviews of applications, and then ranking applications for awards based on such reviews), whereas the Field (i.e., FMCSA's 52 division offices and four service centers) has primary responsibility for grant oversight once the award has been executed with the State or local government. During the post-award period of the fiscal year, the Program Offices monitor grants at a higher, performance-metric, level for each grant program, reviews regulatory interpretation requests and considers updates/changes to program-

level grant policy, while the Office of the CFO monitors the grant management standards and policies of existing grants, including coordinating amendments, closeouts, audits and all financial aspects of the grants and reconciliation with DOT reporting systems.

The additional funding and FTE requested in the FY 2017 budget are exclusively to complete filling out the ranks of Field-based State Program Specialists in the three remaining division offices where there is currently no SPS, and to enhance the understaffed division offices in the three largest states. And while Division Administrators will always ensure that FMCSA conducts mandatory oversight and monitoring of grants, offices without an SPS are unable to fully leverage the Agency's ability to ensure maximum efficiency and effectiveness of grant programs. Because of competing time demands, DAs in offices without an SPS are limited in their ability to engage in inspection monitoring at roadside, use an array of reports to look for opportunities to recommend improvements to State activities, or to explore innovative approaches to enforcement activities. A dedicated SPS ensures FMCSA can engage in these enhanced monitoring and grant improvement activities and provides a staff-to-staff liaison for the grantees. Finally, a dedicated SPS in each division office (and two in each of our largest states) allows the Agency to engage in more in-depth auditing of grant programs to detect and prevent waste, fraud, and abuse.

Why Is This Particular Program Necessary?

Failure to fill out the remaining FMCSA division offices with State Program Specialists results in potential grants management vulnerability, as a recent Office of Inspector General's audit report pointed out when addressing the agency's grants program-related shortcomings. Inadequate staffing of the FMCSA grants programs was one of the audit's significant findings, yet the agency currently has limited staffing resources, so must substitute other field staffing resources (i.e., safety investigators and/or enforcement specialists) if it is to fill out its State Program Specialists ranks. This difficult choice represents an unfortunate trade-off between conducting additional safety investigations (which effectiveness studies have clearly shown prevent CMV crashes) and providing proper financial and programmatic oversight of FMCSA's grants to ensure taxpayer-financed grant funds are being appropriately allocated to those activities having the highest safety benefits.

How Do You Know The Program Works?

Under its safety grants programs, FMCSA has roughly 12,000 State and local CMV enforcement officers and inspectors conducting more than 3.500 million roadside inspections annually, traffic enforcement, more than 7,000 compliance investigations and 30,000 new entrant safety audits each year. Through FMCSA's program effectiveness studies (in some cases evaluating the motor carriers' safety performance before and after the specific intervention), the agency knows these enforcement programs have been proven to save lives on the Nation's highways.

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

49 of 52 FMCSA Division offices currently have a State Program Specialist managing grants, but the remaining three represent a significant potential vulnerability for the agency because the Division Administrator, in addition to supervising all division staff, must also manage, in some

cases, ten or more open grants with State and local government agencies. Such over extension creates potential vulnerabilities for FMCSA's grants programs, a point made by the agency's external auditor during a recent program review. Additionally, similar vulnerabilities exist in the three largest states (FL, TX, and CA) where the volume of breadth of grants oversight work exceeds the capacity of one SPS to manage all of current grants.

Occupational Safety and Health Program, Increase Request - MC-M

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Occupational Safety and Health Program	-	-	\$398	\$398

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

What Is The Request And What Funds Are Currently Spent On The Program?

In FY 2017, FMCSA requests \$0.4 million and 2 FTEs for this activity. These funds will provide for the purchase of AEDs for FMCSA locations, contracted medical screening, and other program expenses.

What Is This Program And Why Is It Necessary?

FMCSA's OSH program is an emerging program. Very little funding was allocated to this program in preceding years. FMCSA is required to dedicate adequate resources to fund a comprehensive and effective program.

The Occupational Safety and Health Act of 1970 required Federal Agencies to implement a comprehensive occupational safety and health program. These program expenditures are necessary for FMCSA to fulfill this obligation. FMCSA has facilities in 90 locations. There is a regulatory requirement to conduct annual safety and health inspections at each facility. The safety and health inspections reveal any workplace or job related hazards that may cause serious injuries or illnesses. Workplace injuries and illnesses result in significant worker compensation costs to the agency, as well as lost productivity. In addition to identifying hazards, FMCSA OSH program develops hazard abatement follow-up monitoring programs. Funding for program travel will ensure that each location will receive an annual safety and health inspection.

FMCSA expects to hire additional OSH staff. Every FMCSA employee will receive some level of OSH training. The training will be through a classroom setup at NTC, by webinars, or through In-service training. Implementation of a pre-employment medical screening program is desirable to document a workers existing medical condition; to prevent future worker compensation claims for the existing condition; and to screen out workers that cannot perform the task of an inspector. A medical screening program of existing employees is useful in addressing medical conditions before they result in an injury or illness.

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

FMCSA's OSH program currently funds one FTE with \$15,000 for program travel. FMCSA contracted with Federal Occupational Health (FOH) a federal agency within the Department of Health and Human Services to conduct some safety and health inspections.

The projection for FMCSA's FY 2017 OSH program totals \$0.4 million. Of this amount, \$72,000 is for OSH program travel. OSH program travel is calculated for 3 FTE's at \$24,000 per FTE. Travel will be for site safety and health inspections, meetings, and training.

FMCSA purchased 27 Automatic External Defibrillators in 2012. These require replacement of batteries and electrode pads at 4-year intervals. The projected maintenance cost for the 27 units is \$2,889. It would be desirable for FMCSA to deploy some additional AED units to the field. The survival rates for victims of sudden cardiac arrest improve significantly, when CPR and AED is administered within the first 4 minutes. Emergency medical services typically average 12 minutes in urban areas. Many FMCSA offices are located in areas where the EMS response time is greater than 20 minutes. FMCSA operates 7 mobile inspection trailers and RV's which are deployed to remote locations. These should be equipped with an AED unit. FMCSA will prioritize placement at other offices based upon need. The projection is for 30 units at a cost of \$1,800 per unit for a total of \$54,000.

FMCSA contracted with FOH to conduct safety and health evaluations at the agency's border inspection facilities. FOH has the technical equipment to evaluate certain hazards. FMCSA does not have any equipment to conduct safety and health evaluations. FMCSA OSH inspectors must have the proper equipment to conduct safety and a health inspection at the FMCSA facilities not inspected by FOH. Equipment includes instruments that measure light, temperature, humidity CO2, and radiation. A camera with video capability will document the inspection for corrective action or training purposes.

FMCSA would like to continue the FOH contract to conduct the safety and health inspections at our border facilities. The projected cost for this service is \$60,000.

FMCSA would like to implement a pre-employment medical screening program for individuals intending to seek positions as an FMCSA inspector, auditor, or investigator. These positions require physical abilities to perform vehicle inspections, and cargo inspections at transportation and hazmat facilities. The pre-employment physical will screen individuals that do not have the physical or medical ability to perform these tasks. FOH Clinical Services charges \$536 per person for a comprehensive physical with various medical tests. The projected amount of \$40,200 is for 75 pre-employment physicals.

A biennial physical (every 2 years) program directed at FMCSA inspectors, auditors, and inspectors would be beneficial in screening current FMCSA employees for medical conditions that would put them at a higher risk for a work place injury or illness. FMCSA will make reasonable accommodations for FMCSA employees with medical conditions that make inspection activities difficult or dangerous. Program implementation would be staggered with half of the group screened the first year, and the second half screened the following year. The annual cost for this program is projected at \$0.1 million.

FMCSA must provide OSH training to all employees. The OSH training will be in-house using PowerPoint presentation, webinars, and classrooms. The \$5,000 is for purchase of Commercial of the shelf safety and health training DVDs.

What Benefits Will Be Provided To The American Public Through This Request?

The safety of FMCSA's employees is paramount. The OSH program provides support and analysis to ensure that the workplace is free from dangerous hazards that could lead to injury or even death of employees and/or truck operators on our premises. By providing pre-employment health screening to new employees, the agency will reduce lost productivity and workers compensation costs by ensuring that the new hires are capable of handling the physical tasks required of Field employees.

National Training Center, Increase Request – MC-M

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
National Training Center, Increase	-	-	\$1,052	\$1,052

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

What Is The Request And What Funds Are Currently Spent on the Program?

The request is \$1.1 million and 4 FTEs. The National Training Center's (NTC) staffing level has remained consistent at the FY 2008 levels while continuing substantial growth in training programs and delivery. Over the last several years the NTC has undergone a major transformation to improve the efficiency and the effectiveness of the training center. While operating on a relatively flat budget, the NTC has increased the number of instructor led courses by over 10%. Student course participation increased over 40% through the use of technology. And a continued growth of approximately 10% above our annual budget is spent annually on agency priority special projects. Additional FTE would increase the amount of students that could be trained by both instructor led and webinar based courses.

NTC requests 8 new positions (4 FTEs) for FY 2017 as well as the ability to fill a position currently held by a long term detailed employee. NTC believes this modest request will allow the training center to better meet the needs of stakeholders. These additional positions will assist in supporting the agency safety mission and reduce the number of contractor positions required for NTC to function efficiently while increasing sustainability and reliability for mission critical functions. In particular, 3 of these positions would be converted from Contractor positions to federal positions, resulting in a savings to the Government of \$41,129 annually.

NTC requests an additional \$0.5 million for training development and delivery, course maintenance and updates and new training development. Increases in training delivered have been achieved while at the same time making significant gains in the quality of the training through the development of a full-service curriculum management division. With a focus on high quality curriculum development and management, the NTC has undertaken an ambitious plan to achieve accreditation for core training areas. A core effort in this initiative has been the development of comprehensive instructor development and certification testing programs. The Drug and Criminal Interdiction Program achieved a successful accreditation review for the Commercial Motor Vehicle Criminal Interdiction (CMVCI) course in March 2011 through the Federal Law Enforcement Accreditation (FLETA) and received full program accreditation in July, 2011 and re-accreditation in summer 2014.

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

The request for an additional \$0.5 million will help to fund several major projects that NTC has had to put on hold repeatedly for several years. This funding will allow for additional contractor support and travels funding, both of which are required to successfully design, develop and deploy any training. Some of these projects include:

- A major effort is underway to re-develop the curriculum for the Academy to maximize the effectiveness of this backbone to the agency.
- Investigative Techniques- NTC recently began a major effort to provide investigative techniques training to MCSAP stakeholders to bring all investigations to a state of uniformity.
- New Entrant Safety Audit Workshop- A project recently began to develop a New Entrant workshop for MCSAP partners in an effort to train more enforcement members to conduct safety audits.
- Hazardous materials training course - The redevelopment of all HM training began this fiscal year. A team of experts from FMCSA and MCSAP partners has been working on updating the programs to bring them up to current instructional standards and in compliance with regulation and policy.
- Instructor Development Course- After nearly four years without an instructor development program NTC is nearing the final stages of development of this program. A pilot of this new material is scheduled for early June. Full roll-out of this new course is expected October 1, 2015.

What Benefits Will Be Provided To The American Public Through This Request?

NTC provides training in every aspect of commercial vehicle safety to FMCSA employees as well as our federal, state and local commercial vehicle safety partners. NTC is able to provide safety training to thousands of inspectors and law enforcement annually through partnerships with State law enforcement agencies leading to safer roadways for all. Approximately 470 instructor-led Safety classes are provided annually to over 8,200 Federal, State and local law enforcement officers as well as over 9,600 participants by way of webinars.

In FY 2014, 469 training sessions were provided reaching 8,272 commercial vehicle safety personnel. Of these, 6,931 or 84% were state and local partners. This training can be directly related to the number of CMV inspections conducted (3,491,423 for FY 2013) which directly relates to FMCSA's mission of reducing the number and severity of commercial vehicle crashes. Removing unsafe vehicles and drivers from the roadways greatly reduces the risk of CMV involved crashes. The Federal Academy is a high-profile training program for new Safety Investigators and Border Inspectors who conduct investigations, safety audits, and inspections. For FY 2014 NTC ran one Safety Investigator schools with 21 graduates and one Border Inspector academy with five graduates.

Over 8,000 Federal, State and local Law enforcement participate in NTC's Commercial Motor Vehicle Criminal Interdiction Training annually which improves the safety of roadways by removing unsafe drivers and traffickers of illegal drugs, weapons currency and other contraband across North America.

FTE Breakdown:

- Return of 1 FTE to fill NTC staff member on long term detail;
- 2 Instructors for Federal Academy;

- 1 Instructional System Designer;
- 3 Course Specialists;
- 1 Program Manager; and
- 1 Accreditation Manager.

Office of Internal Auditing, Increase Request – MC-B

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Office of Internal Auditing, Increase	-	-	\$235	\$235

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

What Is This Program?

The Office of Internal Auditing (OIA) is administratively located within the Office of the Chief Financial Officer. OIA is an independent and objective assurance and consulting activity that is guided by a philosophy of adding value to improve the operations of the Department of Transportation's Federal Motor Carriers Safety Administration (FMCSA). Federal Management Financial Integrity Act of 1982 (FMFIA) assigns management responsibility for developing and maintaining effective internal control. The OIA provides assurance that significant weaknesses in the operation that could adversely affect the agency's ability to meet its objectives, would be detected, or prevented in a timely manner. Also, the execution of the OIA function will assist management in the reduction of risk and mitigate the mismanagement of public funds. The OIA consist of three operational units: Internal Audits, OMB A-123/FMFIA, and Audit Liaison.

The Office of Internal Audit (OIA) was established in October 2012 after receipt and approval from the DOT Assistant Secretary for Budget and Programs, and Chief Financial Officer. After an internal review, FMCSA recruited the Chief Audit Executive in September 2013. The infrastructure of the audit charter and internal audit policy was developed and approved several months afterwards. The Office of Internal Audit is responsible for OMB Circular A-123 /A-127 compliance, internal audits, special investigations and the external audit liaison. Currently, FMCSA has contractors addressing OMB a-123/A-127 mandated requirements. However, it's the agency's goal to have OIA (federal employees) in place to not only address OMB mandates but provide a broader range of internal controls for FMCSA. The request in FY 2017 would fund four additional auditors to assist in the Office's work, ensuring that the full sweep of agency operations can be reviewed. Where weaknesses are identified, the OIA will establish Corrective Action Plans (CAPs) to document the agency's efforts to address any identified issues.

The FY 2017 request supports the anticipated workload due the elimination of contracted services covering OMB A-123 and FMFIA annual requirements for the issuance of the statement of assurance; as well as the corrective action plans (CAPS) to be generated from detail audit examinations. Since FY 2008 FMCSA has paid approximately \$7.0 million for contracted services to comply with OMB A-123 annual compliance. Staffing the OIA will reduce cost, allow for multiple internal control roles and the retention of institutional knowledge. Additionally, the OIA internal staff will assist FMCSA in accomplishing its objectives by bringing a systematic and disciplined approach to evaluate and improve the effectiveness of the Agency's governance, risk management with internal controls.

Why Is It Necessary?

The Administrator must annually account for the evaluation of controls and financial systems that protect the integrity of Federal programs. The Administrator must provide reasonable assurance that:

- Obligations and costs are in compliance with applicable laws and regulations;
- Assets are safeguarded against waste, loss, unauthorized use, or misappropriation;
- Revenues and expenditures are recorded properly; and
- Reliable financial statements and statistical reports.

In FY 2013 FMCSA was cited for several ADA violations related to the issuance of certain grants from FY 2005 through FY 2010 totaling \$25.5 million dollars. The OIA function is to assist management to achieve their goals to ensure proper discharge of managerial responsibilities. The OIA provides assurance that significant weaknesses in the operation that could adversely affect the agency's ability to meet its objectives, would be detected, or prevented in a timely manner.

What Benefits Will Be Provided To The American Public Through This Request?

The OIA will provide reasonable assurance that appropriated funds are spent as intended. It is designed to add value and improve the FMCSA's operations through managing risks that would likely occur through normal operations. OIA provides a level of assurance for the internal and external stake holders which extend a level of confidence to the American taxpayer. The OIA has already demonstrated its effectiveness/success to FMCSA by working with management to reduce contractual services costs from \$1,471,828 to \$590,547 annually, to reduce corrective action plans (CAPS) considerably and to receive a third consecutive unqualified opinion regarding OMB Circular A-123 requirements.

Office of Budget, Increase Request – MC-B

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Office of Budget, Increase	-	-	\$753	\$753

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

What Is This Program And Why Is It Necessary?

This Office is the Agency's authority on appropriation and authorization policies, processes, programs and transactions with the support from the Administrator, CFO, and Chief Counsel. The Budget Office prepares budget submissions, provides responses for Congressional and Departmental budget data requests, processes apportionments, provides funding to program offices, analyzes agency budget execution, evaluates and approves proper use of appropriated funding, non-appropriated funding and manages payroll activity. The Budget Office also provides standard operating procedures, guidance, and advanced budget tracking tools and methodology to the program offices to maximize Agency resources and maintain real-time tracking of fund execution.

The Budget Office is responsible for the development of the Resource Management Tool (RMT), a data discovery tool, which provides for the integration multiple types of data, dash boarding to all levels of FMCSA operations, and allows analysts to design and implement new analytics, without costly IT staff involvement. Data made available to management and staff will, in many cases, is available for the first time, allowing for a number of likely process or organizational efficiencies / improvements. Shifting to this IT tool will also empower the best analysts in FMCSA by removing the “toll” associated with customized reporting (IT specialist time/costs) and removes a layer of necessary translation, the explanation of agency business rules to IT specialists. Existing funds provide for an office with 4 professional staff, and the ongoing maintenance of the RMT’s costs.

During FY 2017 the Office of Budget will:

- Continue the roll out of the Resource Management Tool, providing a second phase of tools for agency staff, including dashboards of overall agency operations for FMCSA management, an application within the RMT for Field staff, which will provide access to budget, actual spending, HR data, grants, along with other information. Training will be provided to key agency staff in use of the system and new data sets made available.
- Two staff will be added to the office:
 - A Budget Analyst with an IT background will be hired to coordinate the development and maintenance of the RMT, a task beyond the IT skills of existing agency analysts. This position will coordinate the contract for the Resource Management Tool, manage training cycles for agency staff, oversee data operations ensuring the updating and integrity of financial data, consult with other analysts, and also handle portions of routine budget work. This is a wholly new capability and is not executable within existing staff resources, with existing staff already fully subscribed executing the full sweep of grants and operational budgeting for FMCSA’s \$600 million budget.

- A Management Analyst will be hired to review agency programs for budget effectiveness and efficiency, conducting such studies as directed by the FMCSA CFO. Examining effectiveness and efficiency and conducting special studies at the request of the agency CFO will be key tasks for this analyst. Additionally, developing new Key Performance Indicators with the new Tool will help support agency management's data driven decision making. Additional work will include critical documentation and process support: preparing workflows, SOPs and other key process documentation/improvement efforts. This position will also be cross trained in routine budgeting and support agency budgeting as well.

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

The Resource Management Tool is a title covering the implementation of a data discovery system within FMCSA. FMCSA is currently in the process of implementing this tool (planning which began in FY 2014 as a follow on to our existing financial reporting software). FMCSA commissioned a contractor to review options for addressing our financial data needs and the vendor reported that data discovery technologies were the best value, offering huge flexibilities for essentially the same cost as a traditional static reporting tool. This technology means that this software being implemented is not a tool to see financial information, but a tool to make other tools. Also a critical feature is that this tool empowers users to modify its applications through an easy MS Office like interface which will increase the speed, complexity, and repeatability of agency analysis.

It will replace/provide the following functions (among other uses):

- Agency wide financial reporting.
- Fund level reconciliation for operating accounts.
- Bridging between transactional information and core Delphi financial reporting
- Bridging financial and programmatic data to produce real time performance metrics.
- Agency wide management dash boarding (otherwise being implemented in DOT via MS SharePoint through the Corporate Express application).
- Field Office financial monitoring.
- Ad hoc reporting and analysis tool.

Funds requested will cover ongoing costs for new licenses to expand the tool to most of FMCSA, cover access to new datasets (which will enhance prior applications of the tool as well), technical IT development support to assist in the most complicated applications, and an ongoing training component to ensure agency staff can utilize the tool themselves.

The tool has additional value because it can be used to complement the agency's existing programmatic data systems, should the agency choose to do so, and provide staff with a means to dynamically analyze our program data with the same tool we use to track and analyze and report financial data.

Data discovery tools are used by a host of private companies, often where there are existing dashboards and business intelligence tools; because of the capabilities it provides their staff to dynamically analyze their business data. FMCSA will use this tool to increase both the depth and breadth of its organizational gaze to identify problems and inefficiencies more quickly.

What Benefits Will Be Provided To The American Public Through This Request?

The operations and contributions of the FMCSA budget office are transparent to the American people, providing support to critical agency operations and planning without visible impact. However, the request will enable the Budget Office to provide wider access to agency resource information and a quantum leap forward in the agency's ability to analyze its data. In an era of increasingly scarce resources, tradeoffs and choices need to be made. Failure to invest in the Budget Office would leave the FMCSA management acting in the dark, lacking crucial information to support decisions or simply without an understanding of the totality of their operations, leaving key problems undiscovered. These outcomes would be seen and felt by the public and FMCSA stakeholders.

General Counsel: Regulatory, Fiscal and Registration Legal Staff– MC-A

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
General Counsel: Regulatory, Fiscal and Registration legal staff	-	-	\$1,007	\$1,007

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

What Is This Program And Why Is It Necessary?

FMCSA requests \$1.0 million and 3.5 FTEs to support FMCSA's Office of General Counsel and FMCSA's programs with additional legal support, including grant making, registration and expand support for the agency's regulatory efforts.

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

For FY 2017, FMCSA is requesting two attorneys and one paralegal to support grant making operations. These staff will augment FMCSA's single fiscal law attorney, allowing for more in-depth and timely reviews of current grants workload, as well as more in-depth reviews of FMCSA's legacy grant programs. The requested staff is crucial to ensuring FMCSA's grant making operation is an example of excellence. Assigned attorneys solely for the grants management function would provide specialized legal expertise, continuity, and support on complex, more problematic issues that arise. Grant attorneys review documentation for every award, approximately 600-1,000 grant applications, amendments and related legal reviews annually, to ensure that awards comply with all legal requirements.

The grants attorneys will perform a vital fiscal oversight role, advising on cost eligibility questions raised by technical review panels, field personnel, and Motor Carrier Safety Assistance Program compatibility review findings. They will work with States to come into compliance with the Federal Motor Carrier Safety Regulations in order to remain eligible for Motor Carrier Safety Assistance Program and CDL funding, and also review and supervise the legal responses to grant related congressional, GAO, OIG, DOT, State partner, and stakeholder inquiries.

The Office of Chief Counsel also provides legal services on all motor carrier regulatory program issues, including the preparation, interpretation, and administration of regulations governing motor carrier safety, the transportation of hazardous materials, commercial drivers' licenses, minimum financial responsibility, and the Motor Carrier Safety Assistance Program. MC-CCR coordinates with the FMCSA Regulatory Ombudsman, Office of General Counsel, the Office of Management and Budget, and the Office of the Federal Register on regulatory, reporting and compliance matters. MC-CCR provides legal advice and legal sufficiency reviews in connection with the development of FMCSA regulations, guidance and interpretations. MC-CCR also reviews proposed regulations issued by other agencies and DOT modes affecting FMCSA and coordinates Agency comments.

The Division also provides legal support in the development and ongoing review of regulatory guidance to ensure that such interpretive documents are current, readily accessible to the public

consistent with requirements of the Administrative Procedure Act and the recently enacted FAST Act provisions at section 5203.

In 2011 FMCSA published 7 final rules, and in 2012, it published 11. In 2013, the Agency published 10 final rules and 6 NPRMs. In 2014 it published 11 final rules, 7 NPRMs and 2 direct final rule notices. And in 2015, FMCSA published 10 final rules and 4 NPRMs.

The 2016 priority rules identified by the Agency included:

1. Safety Fitness Determination NPRM;
2. Entry Level Driver Training Final Rule;
3. Drug and Alcohol Clearinghouse Final Rule;
4. Sleep Apnea NPRM and Final Rule (a joint initiative with OST and other Departmental modes);
5. FAST Act Omnibus Final Rule;
6. Windshield Obstruction NPRM; and
7. Opportunities for Military Veterans NPRM (FAST Act Sec. 5401 mandate).

Cumulatively, the FAST Act requires the Agency to complete 20 rulemakings, 12 of which will be addressed in the FAST Act Omnibus Final Rule noted among the priority rulemaking above. In addition, section 5201(g) of the FAST Act imposes additional requirements for Advance Notices of Proposed Rulemaking or Negotiated Rulemaking initiatives under certain conditions, potentially expanding, not only the Agency's regulatory agenda, but also the Division's legal oversight workload to ensure compliance with these expanded public participation provisions.

Only approximately 20 rulemaking publications (including both final and proposed rules and related ancillary notices) can be accommodated within base staffing. Attorney support is vital for the completion of these rules. FMCSA's statutory framework and regulatory enforcement structure are complex, even opaque, and may also require innovative approaches to bring needed rules to fruition. And there are more than 50 other rulemaking actions that fall into the non-priority, "improvement" category, including rules on sleep apnea, prescription drugs and other medical issues, as well as consumer protection and other commercial regulations.

Moreover, FMCSA also recognizes that some of its rules need updating and even repeal. Yet even rule changes that lift regulatory burdens require notice and comment proceedings, and that requires legal support.

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

Legal sufficiency reviews of Agency rulemakings are generally an inherently governmental function; however, MC-CC also seeks two additional attorneys for the MC-CCR to support the rulemaking activities. Each additional attorney is expected to add approximately three rulemaking publications per year to the Agency's legal review capacity for regulatory development.

What Benefits Will Be Provided To The American Public Through This Request?

Without the additional staff requested, FMCSA remains at risk of errors in grant making process. While the agency has come a long way from the problematic grant making decisions that lead to the various violations that occurred from FY 2005 and FY 2010, FMCSA is committed to excellence in its fiscal operations and these staff will help deliver that on behalf of the American Public. Further, FMCSA's backlog of regulatory efforts impacts FMCSA's safety programs and delay in issuing these regulations will impact on the safety of the Americans and the cost of shipping in the U.S.

Facility Management Costs – Increase Request- MC-M

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Facility Management	-	-	\$516	\$516

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

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

The funds requested total \$0.5 million and 4 FTEs in FY 2017. These funds provide four essential federal staff, travel expenses and contractor support to manage a growing FMCSA field presence, who will be involved in space management, management analysis, and security reviews.

What Is This Program?

The funds requested will improve management of FMCSA's existing non-border and border facilities, including the additional 27 new or renovated border facilities planned through FY 2016. FMCSA currently lacks sufficient staff to manage the large number of projects planned, conduct required analysis and manage its facility portfolio within base resources.

Why Is This Particular Program Necessary?

Without proper staffing, we will be unable to properly oversee planned contracts, conduct necessary analysis and ensure that a substantial federal investment is properly managed. FMCSA would continue to be at risk of wasted rent payments and a public black eye over our stewardship of taxpayer resources.

How Do You Know The Program Works?

FMCSA will revamp its existing facility management model, one that has worked for its existing workload, putting in place new controls and reviews. However, there simply are not sufficient staff resources to manage the complexity or ancillary costs required to manage FMCSA's existing facilities as well as border facilities across the Southwest.

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

Failure to provide adequate staffing would place FMCSA border renovations and construction at risk from lack of adequate planning and oversight. FMCSA is developing a capital budgeting program to address facilities issues as well as reviewing possible changes to the management of facilities, including institution of a facilities review board.

Registration and Safety Information Program, Increase Request - MC-R

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Registration and Safety Information Program, Increase 2/	-	-	\$5,785	\$5,785

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

2/ The Registration function is supported in part by fees provided to the Licensing and Insurance fund. These collections don't provide sufficient funds to support the Unified Registration System, the customer service assistance provided during the registration process and other costs in total.

What Is The Request And What Funds Are Currently Spent On The Program?

FMCSA requests \$5.8 million for FY 2017 for the Registration and Safety Information Program. These funds will augment funds received from registration fee collections, which offset obligations from the General Operating Expense (GOE) funds. Without these funds, FMCSA will be unable to vet all high-risk carrier applications to prevent reincarnated carriers as required by MAP-21 legislation (Public Law 112-141 (July 6, 2012)). These funds also resource the customer service operations and day to day registration, licensing, and insurance transactions that support the over 750,000 active registered carriers, and new carriers seeking registration and/or operating authority.

What Is This Program And Why Is It Necessary?

The Office of Registration and Safety Information is responsible for providing cost effective and resource efficient customer service to best facilitate the industry's registration, licensing, insurance, and vetting needs in support of the Agency's "Safety 1st" Strategic Plan goal. This mission helps FMCSA raise the bar for entry into the carrier industry by reinforcing high safety standards and removing high-risk carriers, drivers and service providers from operation. The office must address and respond to rapidly increasing challenges and demands for better coordination of motor carrier registration and licensing practices. It continually seeks to improve the vetting of applications submitted by 50,000 new motor carriers requesting registration and/or operating authority each year, as well as ensuring that carriers satisfy statutory requirements, such as financial responsibility (i.e., insurance). The office also provides customer service with over 1.2 million customer interactions each year, further facilitating increased responsiveness to industry partners and stakeholders.

The Registration and Safety Information Program uses registration, insurance and safety data to implement regulations and programs that support improved safety in motor carrier operations across all entities engaged in the industry including motor carriers, drivers, vehicles, brokers and service providers. The program collects safety information and maintains safety information systems to direct and support targeted actions on high risk carriers by:

- Enforcing the safety regulations;
- Promulgating educational messages to carriers, commercial drivers, other regulated entities, stakeholders and the public;

- Partnering with stakeholders including Federal, State, and local enforcement agencies, the motor carrier industry, safety groups, and organized labor on efforts to improve driver, vehicle and motor carrier safety to reduce bus and truck-related crashes;
- Conducting research and analysis needed to support programs and policies; and
- Supplying driver safety data to prospective employers.

What Benefits Will Be Provided To The American Public Through This Request?

Preventing high risk trucks and buses from traversing America's highways will decrease accidents, reduce injuries, and save lives. The points below illustrate how the office will spend the \$5.8 million requested:

- Vetting support and screening all applicants, thus preventing these high risk carriers, with unsafe drivers and poorly maintained equipment, from obtaining registration and/or operating authority;
- Continuation of performance based customer service efforts;
- Major acquisition planning and execution when the existing Customer Service Contact Center contract is up for re-compete;
- Financial analysis required to strengthen the self-insurance and financial responsibility requirements of the program; and

Why Is This Particular Program Necessary?

The Office of Registration and Safety Information is responsible for providing cost effective and resource efficient customer service to best facilitate the industry's registration, licensing, insurance, and vetting needs in support of the Agency's "Safety 1st" Strategic Plan goal. This mission helps FMCSA raise the bar for entry into the carrier industry by reinforcing high safety standards and removing high-risk carriers, drivers and service providers from operation. This ultimately will make our highways safer for the American public.

Anticipated FY 2017 Accomplishments

The FY 2017 Registration and Safety Information Office will continue to support FMCSA's mission by:

- Ensuring only safe, compliant, willing, and able carriers obtain registration and/or authority to operate.
- A more in depth assessment of financial responsibility requirements and more thorough oversight of carrier financial responsibility requirements.
- Providing responsive, first class customer support to the trucking and bus industry via the Customer Contact Centers.
- Improving customer support to our internal customers (agency personnel) by empowering them with training to utilize the Customer Relationship Management (CRM) System
- Utilize the CRM as the agency wide single means of managing and logging customer interactions.
- Ensure new customer requirements and congressional mandates are met with URS updates.
- Integrating the Customer Contact Centers and CRM system with URS.

How Do You Know The Program Works?

Historically, regulatory licensing and insurance functions for the motor carrier industry have been Federal responsibilities for many decades. The U.S. Department of Transportation assumed responsibility for the program from the Interstate Commerce Commission in 1996. Recent FMCSA actions to “raise the safety bar” through evidence-based rejections and revocations of carrier operating authority are fulfilling a critical transportation safety need. Evidence that the program is working is provided as the number of reincarnated and non-compliant carriers decrease as a result of the improved detection, oversight and enforcement analysis that results from Registration Office activities. This ultimately continues to result in decreasing truck and bus related accidents, injuries, and deaths each year.

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

This requested funding adequately supports the FCMSA registration, licensing, and insurance operations for over 750,000 active registered carriers, and over 50,000 carriers seeking registration and/or operating authority each year. The funding also supports the requirements to enhance and expand carrier vetting, register all interstate motor carriers, ensure adequate carrier financial responsibility requirements, and manage transactions via the unified registration system, in accordance with MAP-21/Map-21.

Presently, there is no comprehensive applicant screening process and only 4% of the 50,000 carrier applications (i.e., passenger and household goods applicants) undergo intensive vetting. The need to adopt risk-based screening and vetting of all types of carriers to identify attempts to reincarnate to avoid poor safety histories and previous violations has been identified as a critical safety need and is mandated by MAP-21 legislation.

Funds for carrier screening and vetting will be used to identify chameleon carriers applying for operating authority that are attempting to reincarnate for the purpose of circumventing safety and regulatory requirements. This is consistent with the Agency’s FY 2014 FMCSA Report to Congress on how it would implement a risk-based vetting methodology. Vetting, licensing and insurance compliance includes legal notifications, adjudications and appeals with legal assistance.

The Report to Congress included the following planned steps for the vetting program:

- Pilot study to refine and validate automated screening (present-Jan14);
- Sensitivity Analysis & Optimization Research with R&T funds (Jul13-Sep14);
- Affiliation model research through Small Business Innovated Research (Dec13-May14);
and
- Integrate automated screening and refined algorithm into URS (FY 2015).

FY 2017 – Research and Data Analysis

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Comprehensive Study of Large Truck and Bus Crash Characteristics	-	-	\$8,000	\$8,000
Managing Research Portfolio, FAST Act	-	-	\$1,000	\$1,000
Information Technology Modernization	-	-	\$17,605	\$17,605
Integrated Inspection Management System	-	-	\$26,125	\$26,125
Improving State Reporting of Crash and Inspection Data	-	-	\$2,500	\$2,500
Statistics and Analysis	-	-	\$1,300	\$1,300
Research & Technology, Increase	-	-	\$1,503	\$1,503
Total - Research and Data Analysis	-	-	\$58,032	\$58,032

1/ Support for these activities are provided in the Motor Carrier Safety Operations and Programs account and not reflected in this summary line.

To support research and data analysis of CMV safety issues, FMCSA requests \$58.0 million and 1.5 FTEs. The request will allow for a modernization of FMCSA's information technology and information management systems; provide for an integrated inspection management system; improve crash data and launch a comprehensive study of large truck and bus crashes. Increased support for research and research management is requested along with additional support for statistics and analysis.

With 4 million of active licensed CMV operators, 12 million registered large trucks and buses, more than 500,000 active interstate freight motor carriers, 3.4 million inspections per year and thousands of enforcement actions and crashes per year, data analysis is critical to the success of safety operations at FMCSA. Supported by research into driving behavior, human biology of fatigue and other research topics, can focus of the areas of CMV operation which pose the biggest safety impact and reduce its focus on other relatively lower impact areas of enforcement priority and safety outreach.

Comprehensive Study of Large Truck and Bus Crash Characteristics
(Comprehensive Study of Crash Characteristics (CSCC) – MC-E

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Comprehensive Study of Large Truck and Bus Crash Characteristics	-	-	\$8,000	\$8,000

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

What Is The Request And What Funds Are Currently Spent On The Program?

In FY 2017, FMCSA is requesting \$8.0 million to support a comprehensive study of large truck and bus crash characteristics. Currently, FMCSA does not have a program to focus on the many characteristics of, or factors related to, large truck crashes. The Agency previously conducted the Large Truck Crash Causation Study, mandated by the Motor Carrier Safety Improvement Act of 1999 with the results published in 2007. However, no subsequent studies have been undertaken because the costs of such an initiative would exhaust the Agency's research funds.

What Is This Program And Why Is It Necessary?

No motor vehicle crash databases in the United States capture all the characteristics or factors related to, large truck crashes. The primary national traffic safety databases all contain descriptive data primarily collected from police crash reports. The National Highway Traffic Safety Administration's (NHTSA) Fatality Analysis Reporting System (FARS) includes descriptive data on vehicles, drivers, roadways, and environmental conditions collected from police reports, emergency medical service reports, hospital records, and coroner's reports. NHTSA's General Estimates System (GES) is a probability-based, nationally representative sample of all police-reported fatal, injury, and property-damage-only crashes, that collects descriptive data based exclusively on police crash reports. FMCSA's Motor Carrier Management Information System includes a limited amount of descriptive data on all trucks and buses involved in fatal, injury, or tow-away crashes, reported by the States from their police reports and is used primarily for enforcement purposes.

The 2007 LTCCS contains the same type of descriptive data as the primary national traffic safety databases described above, but also focuses on pre-crash factors such as driver fatigue and distraction, vehicle condition, weather, and roadway problems. This makes the LTCCS the most comprehensive national examination of all factors related to large truck crashes. In the LTCCS, FMCSA obtained information from official reports, in-depth interviews, and onsite

investigations of the scene, truck, and driver. The LTCCS was conducted at 24 data collection sites in 17 States by researchers from NHTSA's National Automotive Sampling System (NASS) and State truck inspectors. Crash data were coded in two NASS Zone Centers and reviewed by FMCSA and NHTSA personnel and national truck crash experts. The coding of the events surrounding the crash begins with the "critical event," "critical reason" for the critical event, and "associated factors" present.

The new CSCC would provide an up-to-date database on commercial vehicle crashes focusing on these factors related to these crashes. This data would then be used by FMCSA and stakeholders in the development of both regulatory and non-regulatory programs to address the safety challenges documented by the study.

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

FMCSA believes 2 years of funding at the \$8 million level (total estimated cost of \$16 million) necessary to ensure statistically meaningful results which requires an analysis of 1,000 to 1,500 commercial motor vehicle crashes. A combination of on-site data collection, analysis of police accident reports, and post-crash interviews require an extensive effort to assemble the necessary information on crash characteristics. The funding request is based, in part, on experience from the prior study.

What Benefits Will Be Provided To The American Public Through This Request?

The CSCC would provide crash data to support the development and refinement of regulatory and enforcement programs to address on high risk driver behaviors, driver training and supervision issues, and vehicle equipment and maintenance factors linked to crashes. The data would also be helpful in the development of non-regulatory initiatives to address risk factors for which rulemaking would not be the most appropriate strategy to bring about a significant reduction in crashes.

In addition, the American public would benefit by having access to the CSCC data. The Agency would provide links at its website for researchers and other interested parties to download the data. And the Agency would provide a CSCC Case Viewer, User's Manual, and Codebook to enable researchers to mine the data.

Managing Research Portfolio Containing Multiple Projects required by FAST Act – MC-R

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Managing Research Portfolio, FAST Act	-	-	\$1,000	\$1,000

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

What Is The Request And What Funds Are Currently Spent On The Program?

FMCSA requests \$1.0 million to provide oversight and project management of projects required by the FAST Act, and the requested resources would improve the likelihood of successful completion of research projects and other FAST Act mandates. In addition, these resources will be used to support additional operational needs established as a result of the FMCSA's release of the new URS functionality, and the establishment of the improved vetting program. FMCSA's Research and Technology (R&T) program is appropriated as a 3-year appropriate with \$9.0 million appropriated in FY 2015 and \$9.0 million in FY 2016.

What Is This Program And Why Is It Necessary?

The R&T program provides scientific safety research on driver behavior, carrier operations, and technology applications. These contributions have proven critical in supporting agency safety rulemakings; identifying enforcement priorities; and facilitating technology transfer to the marketplace. With the enactment of the FAST Act, the Agency must undertake several new initiatives to satisfy statutory mandates for research projects. For example, the FAST Act requires the Agency to complete the following:

- Correlation Study (Section 5221) – Work with the Transportation Research Board to commission and complete a study of CSA and SMS. Prepare and submit a report on the findings of the CSA and SMS study;
- Post-Accident Report Review Working Group (Section 5306) – Convene a crash working group to review and report on post-accident reports; and,
- Minimum Financial Responsibility Study (Section 5509) – Complete study on passenger carrier minimum financial responsibility requirements.

The requested funds will ensure the completion of high-quality studies that address the FAST Act provisions.

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

The requested funding supports a viable research program to fulfill the FAST Act requirements. The statutorily mandated studies would likely influence future rulemakings and enforcement policies and address safety-critical issues, whether they affect commercial drivers or carriers.

Without effect management of the research portfolio, the Agency risks the timely completion of Congressionally-mandated studies.

What Benefits Will Be Provided To The American Public Through This Request?

The R&T works to find ways to improve driver performance and carrier safety which directly impact the safety of the American motoring public which shares the highways with large trucks and buses. The research findings enable the Agency to make rules that are firmly grounded on objective, impartial scientific data. The Agency is also able to issue and prioritize enforcement policies that are solidly based on the risk factors that are most strongly associated with crashes.

Information Technology Modernization and the Phasing Out of Legacy Systems – CIO

Program Activity (\$000)	FY2015 Actual	FY2016 Enacted	FY2017 Request	Difference from FY 2016
Information Technology				
Information Technology Modernization - Multi-Modal Safety Investments	-	-	\$17,605	\$17,605
Information Technology Modernization - Operations	\$33,346	\$34,545	\$35,236	\$691
Total - Information Technology Modernization	\$33,346	\$34,545	\$52,841	\$18,296

What Is The Request And What Funds Are Currently Spent On The Program?

Additional funding of \$17 million for Information Technology for FY 2017 would help FMCSA right size its Information Technology/Information Management portfolio and accelerate the modernization of its legacy systems in the Cloud. The Agency would then experience an operations and maintenance (O&M) budget decrease the next 2-3 years but then would need to re-invest in modernizing and replacing (refresh both software and hardware) of systems on a 3- to 5-year cycle. The Agency currently spends approximately \$50 million per year for its IT/IM program.

What Is This Program And Why Is It Necessary?

FMCSA's IT systems are critical to the Agency's data-driven enforcement and compliance program and provide real-time access to data for the enforcement community, the transportation industry, stakeholders and the general public. The Agency is committed to providing IT support for its highly mobile workforce by operating a field IT network of regional and division office service centers, and ensuring that investigators and inspectors have the tools and mobile infrastructure necessary to perform their duties at the side of the road, where unsafe carriers are detected and removed from the Nation's highways.

The requested funds support increased development activities, including: continuing development of system functionality in support of the implementation of safety programs, continuing migration of legacy applications to the portal environment, operational support and maintenance of aging field IT infrastructure, and satisfying Federal Information Security Management Act (FISMA) and other statutory requirements.

The funding would also support the acceleration of FMCSA's migration of its legacy systems to the Cloud. Cloud computing and storage solutions would provide FMCSA with capabilities to store and process its data in third-party data centers. Cloud computing relies on sharing of resources to achieve coherence and economies of scale, saving the Agency money in terms of long-term IT expenditures.

Cloud computing would allow FMCSA to avoid upfront IT infrastructure costs, and focus on projects instead of on IT infrastructure. In addition, cloud computing would enable FMCSA to launch new faster, with improved manageability and less maintenance, and enables IT to more rapidly adjust resources to meet fluctuating and unpredictable demands. The Agency could scale up as computing needs increase and then scale down again as demands decrease.

IT Support Infrastructure for Facilities

FMCSA's Office of Research and Information Technology, Office of Information Technology (MC-RI) budget level has remained relatively static since FY 2008, despite increasing demand for IT services, a highly mobile and distributed workforce with increased technology requirements, growing and evolving business needs, new IT policies and rulemaking and regulatory mandates. FMCSA OIT is requesting an additional \$18.2 million in FY 2017, including \$17.6 million in Multi-Modal funding.

Historical budget levels have required MC-RI to perpetually operate in a reactive manner, largely focusing on the highest priority near-term needs of its customers. However, FMCSA's safety mission demands a proactive and forward-focused IT strategy, coupled with stable execution of ongoing operations. While the current aging IT infrastructure has allowed FMCSA to meet the most essential needs of its users, the size of the budget has not allowed MC-RI to keep pace with the continually evolving and expanding program requirements and legislative mandates such as FITARA, FAST Act, FISMA, GPRA and Moving Ahead for Progress in the 21st Century (MAP-21). MC-RI also faces continually increasing threats to FMCSA mission critical systems and infrastructure, requiring additional investments in IT security. However, as detailed below, the following key investments, including but not limited to leveraging shared services, aligning to Department goals, expanding cloud services and migrating to Office 365, will aide MC-RI keep pace with ever evolving technical trends and better serve FMCSA users in the field.

MC-RI provides IT infrastructure and operations support (i.e., hardware, communications, software, licenses and tools) to FMCSA's highly diverse and mobile user community, which has grown significantly in recent years. Along with the system maintenance requirements, the user base continues to expand at a rapid pace. That, combined with the aging infrastructure, has placed a significant strain on IT operations.

Communications

Includes telecommunications hardware and support organized, procured and managed and/or operated by the FMCSA Operations team. Services provided for elements such as voice (voicemail, legacy voice service, and VoIP), data communications through the Wide Area Network (WAN)/Local Area Network (LAN) and associated access/transport options, Trusted Internet Connection (TIC), non-desktop Audio and Video Teleconference (VTC), and associated communications infrastructure elements (e.g., Structured Cabling Costs).

FMCSA is a participant in DOT's move to Cloud services. As a result of this move, field offices will consume more bandwidth. The existing data circuits are incapable of supporting advanced services, including voice, video applications (including teleconferencing,) webinars and other bandwidth intensive services. As such, an increase in bandwidth is required for each office to be able to access remote file and application services. Increasing bandwidth at the field offices also has the advantage of enabling high quality video and audio meeting services, thus reducing travel costs.

In addition to these services, FMCSA leverages shared voice and data services at locations where the agency is co-located with other DOT Operating Administrations. Those shared costs are also increasing significantly as the other Operating Administrations also update their networks to meet the higher bandwidth requirements.

Hardware

Addressing the Field's aging network infrastructure is critical to the successful accomplishment of FMCSA's mission. FMCSA's field offices have been operating with equipment that is as much as 10 years old. This exposes the agency to cybersecurity vulnerabilities, as well as reduces the efficiency of each office as its infrastructure has not kept pace with technological improvements. FMCSA also intends to address the refresh of older laptop and desktop computers to ensure access to warranty and technical support in the event of failure.

Maintenance

This includes the ongoing maintenance of FMCSA hardware and software.

Security

The Federal Information Security Management Act (FISMA) requires government agencies to ensure information security is implemented in information systems to an acceptable level of risk. The National Institute of Standards and Technology (NIST) developed the Risk Management Framework (RMF) to provide government agencies guidance to ensure the appropriate security controls are implemented, assessed and monitored to identify and manage risk associated with operating an information system. To facilitate a consistent approach to managing security risks, the Department of Transportation (DOT) Cybersecurity Program developed the DOT Security Authorization and Continuous Monitoring Performance Guide for DOT and its components. The purpose of this guide is to establish the DOT Department-wide processes, procedures and standards for implementation of the NIST Risk Management Framework to support the initial security authorization, reauthorization, and continuous monitoring of security of DOT information systems. FMCSA IT Security Program ensures all IT system of the modal are in compliance with these federal laws and DOT policies and guidelines.

Software

The use of shared licensing costs such as for Oracle, Webmethods and Websphere shows FMCSA's commitment to reduced costs and strategic sourcing in improving the capabilities for Hosting/Data Center activities.

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

FMCSA has a number of IT projects that are not properly budgeted. The requested funding would allow the Agency to quickly and efficiently right-size its portfolio and modernize its legacy systems in the Cloud. The infusion of additional funds would allow the Agency to complete within 1 to 2 years modernization efforts which would take approximately 5 or more years at current funding levels.

What Benefits Will Be Provided To The American Public Through This Request?

FMCSA's IT systems are critical to the Agency's data-driven enforcement and compliance program and provide real-time access to data for the enforcement community, the transportation industry, stakeholders and the general public. The American public benefits from the availability of timely and accurate safety performance data on interstate truck and bus operators especially with regard to the selection of passenger carriers and household goods carriers. And the public benefits through FMCSA's and the State's use of timely and accurate data to prioritize truck and bus operators for enforcement interventions. The Agency is committed to providing IT support for its highly mobile workforce by operating a field IT network of regional and division office service centers, and ensuring that investigators and inspectors have the tools and mobile infrastructure necessary to perform their duties at the side of the road, where unsafe carriers are detected and removed from the Nation's highways.

Integrated Inspection Management System – CIO

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Integrated Inspection Management System	-	-	\$26,125	\$26,125

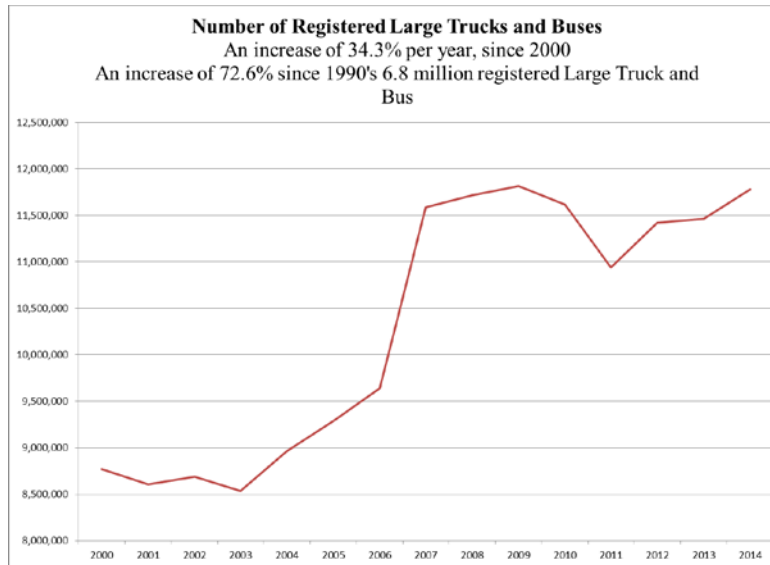
1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

The Integrated Inspection Management System (IIMS) will replace and enhance the large number of front-end inspection systems that roadside inspectors use to perform inspections. FMCSA requests \$26.1 million to initiate the development of this system, with a total business case cost of \$35 million. This figure is inclusive of costs beyond FMCSA's system development. The IIMS investment will address gaps in stakeholder needs that are not currently funded or planned through minor enhancements of existing inspection tools.

The following benefits will be realized from implementation of IIMS:

- Increased efficiency and effectiveness of inspectors to allow more inspections through reduced cycle times of certain functions, such as inspection selection
- Improved data integrity by providing access to current and accurate data
- Integrated with other systems reducing the need for inspection staff to remember all system logins and passwords while maintaining security
- Increased inspection metrics by providing accurate data allowing inspectors to make better-informed decisions thereby reducing the possibility of carrier challenges to inspection reports
- Standardized data, creating consistent, reliable, and reportable inspection data records across the United States..

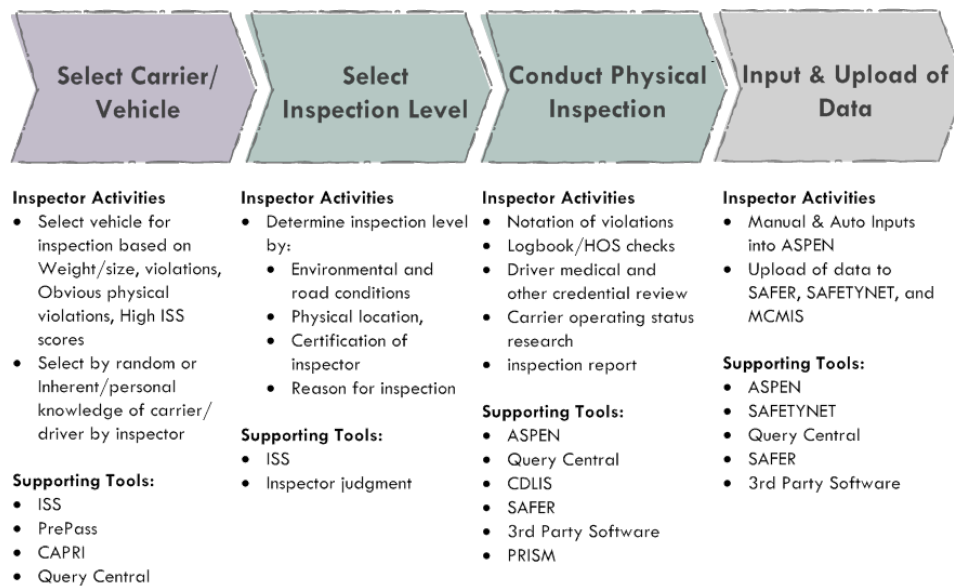
Conducting roadside inspections is central to FMCSA's mission and is one of the key mechanisms for driving success across FMCSA's three (3) core principles. The number of motor carrier companies and commercial drivers and vehicles continues to grow at a rapid pace. As the amount of CMV traffic increases, the number of carriers and drivers that can reasonably be inspected cannot increase at a corresponding rate without either an increase in the number of inspectors or more efficient inspection tools. The current inspection system and processes, while maximized to the greatest extent possible, have technology and automation limitations and are not suitable for meeting future requirements and demand. Budget pressures prevent FMCSA and its state partners from simply increasing the number of inspectors as necessary. Transforming the inspection system is more cost effective and the current system, while it has served FMCSA well, is rapidly becoming obsolete and in need of significant updates.



The volume of trucks has grown consistently, slowed only by the Great Recession.

FMCSA needs to improve the quality of the data that supports roadside inspections of commercial motor vehicles, increase the overall number of inspections, and improve the overall effectiveness and efficiency of inspections.

Inspections



A Prototypical Inspection And The Systems That Support It.

Conducting roadside inspections is central to FMCSA's mission. A roadside inspection is an examination of a motor carrier's commercial motor vehicle(s) and/or its driver(s). Inspections are most commonly performed at fixed facilities (e.g., weigh stations) or during traffic stops, and

consist of an examination of a driver's hours of service (HOS), commercial driver's license requirements, carrier's operating authority, financial responsibility, vehicle maintenance, hazardous materials and other transportation records. A roadside inspection is intended to assess the compliance of a company's motor vehicles and/or its drivers with FMCSA safety, economic, and hazardous materials regulations. The inspection should be conducted in such a manner that assures violations are not missed, overlooked, or unrecorded. There are several objectives for conducting a successful driver and vehicle examination, among which:

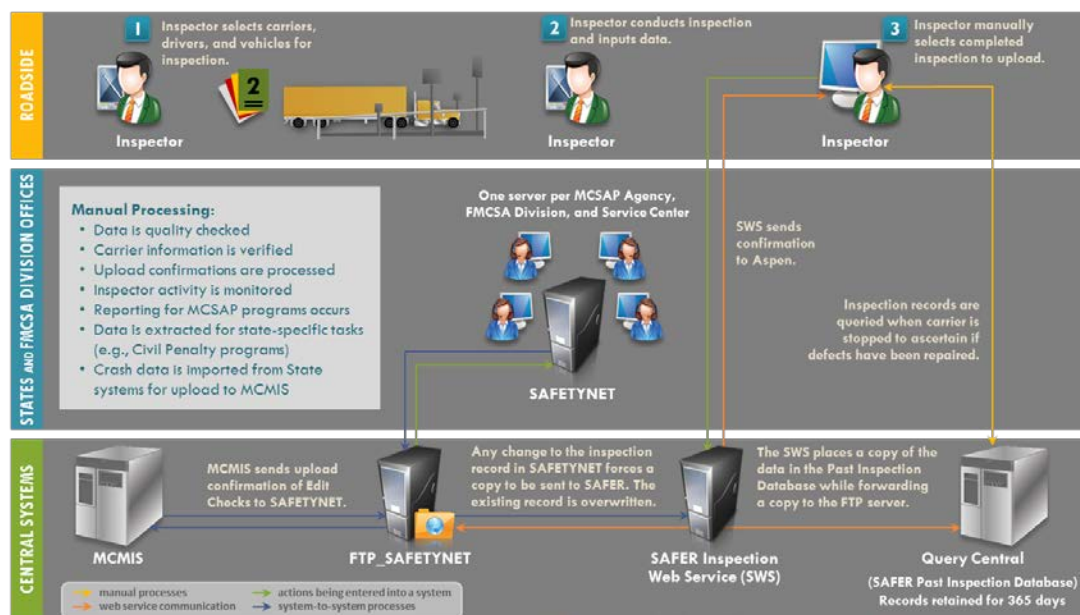
- Identifying, prioritizing, and performing roadside inspections of high-risk carriers
- Removing potentially unsafe drivers and imminently hazardous vehicles from our Nation's highways
- Ensuring compliance with the provisions of the FMCSR and the HMR, by requiring repairs of vehicle defects and appropriate remedial action for vehicle and/or driver violations
- Documenting violations that show trends of unsafe behavior which can be used in subsequent enforcement actions
- Obtaining information regarding carriers, drivers, vehicles and cargo relative to safety and compliance with the FMCSR and HMRs, and overall program direction and evaluation

The CMV inspection process, as it currently is practiced, is not consistently practiced across States, and the location of an inspection can vary widely, as can who is carrying out an inspection. Inspections can be performed by law enforcement officers or FMCSA or state transportation inspectors, and the productivity requirements for the number of Level 1 inspections to be performed by each type of inspector can differ between jurisdictions. Different tools and methodologies are used to select CMVs for inspection, and some inspectors may choose (or be environmentally required) to upload inspection data into Aspen long after the inspection actually takes place. Aspen is an application that collects all the commercial driver/vehicle roadside inspection details. It utilizes several other applications that pulls data from remote sources. It also includes communication features to electronically transfer inspection details to SAFER and/or SAFETYNET. -

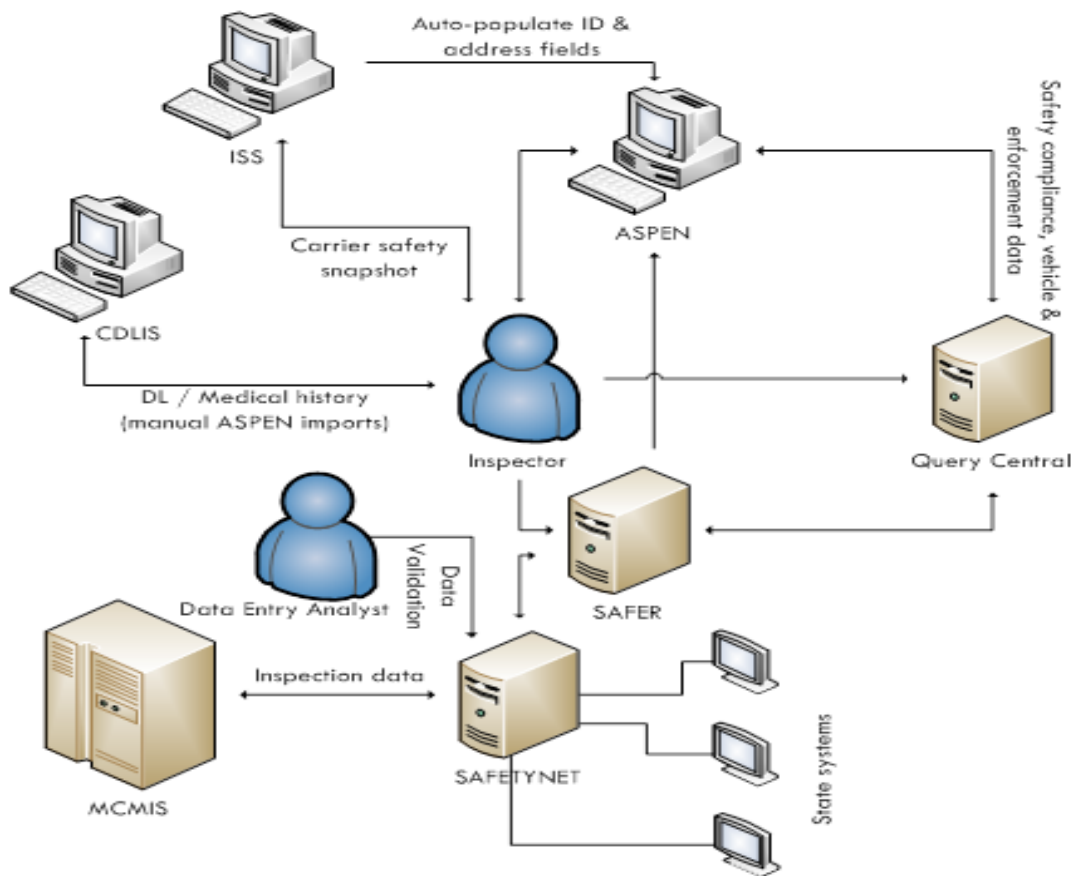
The Inspection IT Environment and Data Handling

Typically, inspectors perform roadside inspections without the help of technology. The actual conduct of a Level I inspection is via pad and pen, with the inspector making handwritten notes about noted violations as he/she performs the walk around. Occasionally, if an officer's laptop has internet connectivity via an air card, he/she may opt to enter the data directly into Aspen as the inspection is performed, thereby reducing data re-entry errors. How inspection data is noted during the actual inspection may influence the cycle time, the time from selection to upload, with an 8.8-day average to upload inspection data.

In support of the inspection process, inspectors must access multiple systems. These “front-end” systems include Aspen, which is the tool used to compile safety data from other front-end systems and to report the inspection data from the inspection itself, with access to real time data only if connectivity is available at the roadside inspection. Also, the interpretation of data fields (and poor synchronization) across various applications accessed by inspectors creates confusion as to whether carriers have authority to operate. Poor synchronization also leads to incomplete data, with inspectors providing detailed descriptions of violations in a free form text field, then when the information is passed to MCMIS, the system reverts the data into a standard selection of violation descriptions. Upon subsequent inspections of the same motor carrier, the inspector cannot access the details provided earlier to verify those violations have been properly repaired. The “back-end” systems, including MCMIS, are where inspection data ultimately reside. These systems are used to drive FMCSA’s decision-making processes.



The Flow Of Data During A Notional Inspection.



The systems and linkages above represent those that the inspector uses during a roadside inspection. Other systems, such as SAFER, are integral to the flow and analysis of data, but are not used directly at the roadside.

Currently, a large portion of the processing involved is manual, including data quality checks, confirming uploads, data extraction for reporting needs, and the verification of carrier data.

The current IT Systems supporting the Roadside Inspection program are an accumulation of independent “stove pipe” systems developed over 25+ years that met a need at the time. As the program matured, users are relying on up to as many as five separate software systems and two separate databases to perform a single roadside inspection.

Non-Cost Factors

- The public can view the BASICS for any carrier and subsequently make decisions as to which companies would best fit their needs from a safety standpoint. Inspection data, as well as crash data from state systems, is the foundation for the BASICS presented in the SMS and for these types of decisions. The FMCSA, CSA, other stakeholders, and ultimately the public are dependent upon accurate, thorough, relevant, and reliable inspection data. The IIMS investment needs to address the gaps in inspection data reliability needs.

- A large number of violations are potentially being unnoticed due to the current inefficiency and quality of the inspection selection tools. As a result, unsafe drivers, vehicles and carriers are not being selected for inspection at the roadside (particularly at fixed inspection stations), and may continue to operate.
- FMCSA needs to better combat chameleon carriers with roadside inspection data that better identifies carrier census data (e.g., address of record, DOT #, name of carrier agents).
- Other than violations, inspection systems need to record other related events, such as screenings (which do not create an inspection report) and “clean” inspections. Carriers are frustrated that they cannot receive credit for these events that would otherwise improve their ratings against the BASICs. In addition, FMCSA and its state partners expressed the desire to perform data analysis and reporting against these types of events.
- Inspectors need their accessible systems to be well integrated to efficiently perform a Level I inspection. Accessing disparate systems creates increased inspection cycle times, lower employee confidence in the systems, and lower utilization of certain systems.
- Modernizing the IIMS system would increase the number of inspections the same number of inspectors can carry out. It would also lower the time for violation data to be uploaded and improve data quality. It would also bolster confidence in stakeholders and improve safety outcomes.

Improving State Reporting of Crash and Inspection Data to Meet Agency and Industry Demands – MC-E

Program Activity (\$000)	FY2015 Actual 1/	FY2016 Enacted 1/	FY2017 Request	Difference from FY 2016
Improving State Reporting of Crash and Inspection Data	-	-	\$2,500	\$2,500

1/ Amounts for FY 2015 and FY 2016 are estimated amounts currently being funded within the Motor Carrier Safety Operations and Programs account. Prior year amounts are estimated where data is available.

What Is The Request And What Funds Are Currently Spent On The Program?

FMCSA requests \$2.5 million to provide direct technical assistance to the States to improve their data reporting on commercial motor vehicle (CMV) crashes and inspections. This data is critical to FMCSA and our State enforcement partners for removing unsafe drivers and vehicles from the Nation's highways, identifying and shutting down unsafe motor carrier operations, rulemaking, and policy development decisions. Improved data quality would also address Congressional and industry concerns that data used by FMCSA for safety risk assessments of carriers is inaccurate.

What Is This Program And Why Is It Necessary?

The Federal Motor Carrier Safety Administration's (FMCSA) core mission is to prevent crashes, injuries, and fatalities related to large trucks and buses on our Nation's roads. An important step in achieving the mission is to identify unsafe motor carriers and prioritize FMCSA enforcement resources on those that pose the greatest safety risk. And one of the primary tools to identifying motor carriers that experience patterns of non-compliance with safety requirements is the roadside inspection of commercial motor vehicles by Federal and State personnel with the overwhelming majority of those inspections performed by State personnel. The table below presents the FY 2015 roadside inspection data collected by FMCSA and its State partners.

Federal and State Roadside Inspection Activity (National)	FY 2015		
	Federal	State	Total
Number of Inspections	130,276	3,252,219	3,382,495
I. Full	86,375	964,424	1,050,799
II. Walk-Around	18,691	1,130,753	1,149,444
III. Driver Only	19,472	1,042,891	1,062,363
IV. Special Study	0	11,918	11,918
V. Terminal	5,738	102,004	107,742
VI. Radioactive Materials	0	229	229
Driver OOS Rate	1.49%	5.04%	4.91%
Vehicle OOS Rate	19.65%	20.32%	20.28%
Hazmat OOS Rate	1.90%	3.96%	3.90%

Data Source: FMCSA's Motor Carrier Management Information System (MCMIS) data snapshot as of 12/28/2015. The data presented above are accurate as of this date, but are subject to updates as new or additional information may be reported to MCMIS following the snapshot date.

FMCSA uses the results from the roadside inspection to identify motor carriers that appear to have lapses in their safety management controls and prioritize those operators for enforcement interventions.

FMCSA's Safety Measurement System (SMS) is the prioritization tool that relies on accurate inspection and crash data reported by the States. FMCSA uses the SMS to identify carriers with potential safety problems for interventions as part of the Agency's safety compliance and enforcement program called Compliance, Safety, Accountability (CSA). The SMS is designed to incorporate the safety-based regulations related to motor carrier operations. The SMS assesses compliance and prioritizes carriers for interventions based on their on-road performance and investigation results. On-road performance includes data collected from roadside inspections and crash reports; investigation results include violations discovered within the previous 12 months.

The SMS assesses motor carrier on-road performance and compliance by organizing data into seven Behavior Analysis and Safety Improvement Categories (BASICS): Unsafe Driving, Crash Indicator, Hours-of-Service Compliance, Vehicle Maintenance, Controlled Substances/Alcohol, Hazardous Materials Compliance, and Driver Fitness.

In each BASIC, the SMS calculates a quantifiable measure of a motor carrier's performance. The SMS groups carriers by BASIC with other carriers that have a similar number of safety events (e.g., crashes, inspections, or violations). The SMS then ranks these carriers based on their BASIC measure, assigning them a percentile from 0–100 (the higher the percentile, the worse the safety performance).

The SMS also prioritizes carriers for interventions using a set of violations known as Serious Violations. If a carrier has been found with one or more Serious Violations within the past 12

months during an investigation, the carrier will receive an “Alert” in the corresponding BASICS. The SMS uses both the BASIC percentiles and Serious Violations to highlight safety performance issues within each BASIC and prioritize carriers for interventions. Various studies have shown that the SMS is effective in helping the Agency identify high crash-risk carriers for interventions.

In addition to FMCSA’s SMS, the Agency is also considering the use of the roadside inspection data reported by the States to assess motor carriers’ safety fitness. On January 21, 2016, FMCSA proposed amendments to FMCSRs to revise the current methodology for issuance of a safety fitness determination (SFD) for motor carriers. The proposed new methodologies would determine when a motor carrier is not fit to operate commercial motor vehicles (CMVs) in or affecting interstate commerce based on the carrier's on-road safety data in relation to five of the Agency's seven Behavior Analysis and Safety Improvement Categories (BASICS); an investigation; or a combination of on-road; safety data and investigation information. The intended effect of this action is to more effectively use FMCSA data and resources to identify unfit motor carriers and to remove them from the Nation's roadways.

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

FMCSA believes funding at the requested level would provide resource to assist several States that have experienced challenges meeting the requirements for timely and accurate reporting of inspection and crash data. When consideration is given to special circumstances, such as multiple State and local government agencies sharing responsibilities for data collection and reporting, the level of effort for providing Federal assistance increases.

What Benefits Will Be Provided To The American Public Through This Request?

As indicated above, FMCSA intends to use the inspection and crash data in support of a new SFD process proposed on January 21, 2016. Under this proposal, the Agency estimates in its separate Regulatory Evaluation that it would have proposed as unfit 3,056 motor carriers in 2011, about 2.5 times the number of proposed unfit SFDs relative to 1,232 under the current process, known as proposed unsatisfactory safety ratings. FMCSA estimates that the 3,056 proposed unfit SFD motor carriers would consist of:

- 262 motor carriers based solely upon on use of inspection data,
- 2,674 motor carriers based upon the result of investigations, and
- 120 motor carriers based on a combination of inspection and investigation data.

FMCSA then evaluated how many of these 3,056 motor carriers would have been in active service 12 months following a hypothetical final unfit determination in 2011 and found that most, 2,822 carriers, were active. The actual crash involvement and crash rates experienced by this population over the course of the 12 months after the hypothetical final unfit determination provides a baseline and means of estimating benefits had these carriers been identified by the

proposed process. The separate Regulatory Evaluation analyzing the costs and benefits of the proposed rule is available in the docket.

Application of the proposed method to data from a supporting analysis identified 1,805 additional poor-performing carriers beyond those identified by the current SFD process, while the current SFD process identified 106 carriers that the proposed SFD method would not (1,017 carriers were identified by both the current and proposed methods). On net, of the 1,699 of these 1,805 carriers – the subset of carriers which remained in active operation during the twelve months following the date upon which each would have received a final unfit determination under the proposed rule – the switch from the current to the proposed method identifies carriers that were involved in 41 more fatal crashes, 508 more injury crashes, and 872 more tow-away crashes in those subsequent 12 months. The crash reduction elicited from these carriers constitutes the benefits of the rule. Therefore, FMCSA believes there are significant safety benefits for the American public through a new SFD based on the use of improved inspection and crash data to identify and remove from service unsafe motor carrier operators.

Statistics and Analysis, Increase Request - MC-R

Program Activity (\$000)	FY2015 Actual	FY2016 Enacted	FY2017 Request	Difference from FY 2016
Statistics and Analysis				
Statistics and Analysis - Multi-Modal Safety Investments	-	-	\$1,300	\$1,300
Statistics and Analysis - Operations	\$455	\$455	\$464	\$9
Total - Statistics and Analysis	\$455	\$455	\$1,764	\$1,309

What Is The Request And What Funds Are Currently Spent On The Program?

The FY 2017 budget request for the Statistics and Analysis Program is \$1.8 million, \$1.3 million over FY 2016 Enacted level including the Operations base budget of \$0.5 million. This funding request includes an additional 1.5 FTEs to meet the support demand for data analysis and quality initiatives, and funded to support enhanced data management.

What Is This Program And Why Is It Necessary?

This program collects, assures the quality of, disseminates, and analyzes data on roadway crashes, commercial drivers, and the operations and safety performance of motor carriers. The program serves as an essential agency-wide resource providing USDOT policy makers, Congress, industry, and the research community with timely, accurate, and relevant statistical information. The agency collects and analyzes data on the Nation's more than 500,000 interstate freight, 12,000 interstate passenger, and 16,000 intrastate hazardous materials motor carriers, their 4.5 million commercial vehicle drivers, and the 150,000 reportable crashes occurring each year. These data are the essential inputs to FMCSA's Compliance, Safety, Accountability (CSA) Program's Safety Measurement System, used to identify and prioritize compliance and enforcement interventions on those motor carriers presenting the greatest safety risk. An on-line, publicly available, interactive repository of commercial motor vehicle safety data is available at <http://ai.fmcsa.dot.gov/>. The program also responds to more than 700 time sensitive requests for data from within the agency, from other Federal agencies, and from our state partners. And the program develops and maintains statistical models to evaluate the effectiveness of FMCSA safety programs in terms of crashes and injuries prevented and lives saved to address the requirements of the Government Performance and Results Act of 1993.

What Benefits Will Be Provided To The American Public Through This Request?

FMCSA is a data driven organization that relies on information to drive its programs and meet its mission to reduce crashes, injuries and fatalities involving large trucks and buses. By improving the quality of all its data, utilizing tools that maximize the transformation of that data into useful and understandable information and conducting ongoing analysis of an ever-changing industry; FMCSA will be able to better identify safety issues from the macro level down to the individual carrier and driver. This in turn will allow the Agency to best target its limited resources to the highest safety risks, develop regulatory and programmatic initiatives that address the most important safety issues,

and provide transparent and comprehensive information for those that oversee or have an interest in FMCSA and motor carrier safety.

Anticipated FY 2017 Accomplishments

In FY 2017, the Statistics and Analysis Program will:

- Complete the establishment of an enterprise master and data reference project to standardize the statistical sources across the agency. This will include an inventory of data elements utilized across the agency which may have conflicting interpretations and competing updating procedures. This will be a fairly extensive enumeration of the data elements as FMCSA maintains databases which stretch back decades and were created to serve different operational missions. When competing data terminology, definitions, or values are found, the project will designate the appropriate data as the authoritative source.
- Implement new performance metrics to assess the completeness, timeliness, accuracy, and consistency of State-reported crash and roadside inspection data to FMCSA, and incorporate as part of the State Safety Data Quality program.
- Conduct analyses of State data reporting processes and performance to identify problem areas and provide technical assistance, training, and guidance to effect improvements.
- Analyze requests for data review submitted by motor carriers, drivers, and others through the DataQs process to assess problem areas in inspection and crash data reporting and identify system changes, training needs, and other interventions to reduce the error rate in FMCSA safety data.
- Develop a series of data dashboards and mapping applications, customized to FMCSA program office and field operations requirements, to make more effective and efficient use of FMCSA and other highway safety-related data by putting information directly into the hands of the users through the implementation of business intelligence and geographic information system tools.
- Develop new analytical measures and models of the effectiveness of FMCSA's and its State partners' safety enforcement activities.
- Conduct analyses of emerging safety issues in areas such as motorcoach operations, commercial motor vehicle driver performance, vehicle maintenance issues, etc.
- Continue to compile and release data, statistics and reports on commercial motor carrier crash involvement and inspection and investigation results, state data quality assessment, and FMCSA program effectiveness.

How Do You Know The Program Works?

Over the 10 year period from 2004 through 2013, fatal crashes involving large trucks and buses have declined 20 percent, and injury crashes have declined by 10 percent, a key contribution to achieving DOT's top priority of improving transportation safety. One of FMCSA's core values is innovation - delivering creative, forward-looking, and data-driven solutions to advance our safety mission. The Statistics and Analysis Program closely monitors and measures the quality of data submitted by the states, and from the inception of its State Safety Data Quality performance measures in 2004, the number of states evaluated as "good" in overall data quality has risen from 24

to 48 as of April 2015; this despite increasing the number of measures from 5 to 9 over those 11 years and “raising the bar” for achieving a good rating on several of the measures.

The technical assistance and support provided by the program has been key to the improvements in overall data quality. The program analyzes and disseminates these data, which are key to the effectiveness of the Agency’s programs. They are central to the Motor Carrier Safety Measurement System (SMS), a tool used by FMCSA and its state partners to evaluate a carrier's safety performance to determine any appropriate enforcement actions. Agency safety programs are evaluated for effectiveness using analytical tools developed by the program that annually assess the number of lives saved, injuries prevented and crashes avoided from different enforcement programs. The monthly safety data releases, annual statistical compilations, and analytical studies and publications provide the foundation to the mission-critical work on CMV safety. Program provided statistics and analyses provide sound analytical support and justification for approximately 18 Agency rulemakings per year. Without the Statistics and Analysis program, FMCSA, DOT, States and the larger CMV safety community would not be able to effectively carry out their current programs or modify their programs based on data analysis. The support from the Statistics and Analysis Program enables FMCSA to make inroads in highway safety to continue to see declines in fatalities, injuries and the economic toll from crashes involving large trucks and buses.

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

In FY 2017, in addition to its ongoing data quality, data dissemination, and program effectiveness analysis, the Statistics and Analysis Program will use the requested funding to expand its analytical capabilities to support decision-making. This will occur in three primary focus areas: 1) improved data quality; 2) expansion of analytical tools; and 3) conducting analyses of key safety issues.

Data quality is critical to accurately assessing the safety performance of commercial motor carriers, effectively analyzing regulatory initiatives, managing and measuring programs, and informing the public. In FY 2017, the Program request includes additional funding and staffing to extend its data quality efforts to conduct comprehensive analysis of motor carrier registration data to identify missing, incorrect, and potentially fraudulent entries, to design testing and error-checking methodologies to detect and prevent future invalid entries, and to establish and monitor performance measures to continually assess the quality of information reported by motor carriers. Data quality has been a key focus of stakeholders and Congress.

To more efficiently and effectively use the large volume of crash, inspection, investigation and registration information it collects, the Program will integrate its suite of business intelligence and geographical information system tools with the planned FMCSA data warehouse to combine multiple sources of data to take full advantage of these tools’ powerful analytics. This will allow the Program to analyze and display information in a more comprehensible manner, as well as expand user access to information, both internally and publicly.

With better data quality and more powerful analytical tools, the Program will conduct more complex analyses of emerging safety issues. This includes assessing drug and alcohol usage by commercial drivers, passenger carrier safety, safety impacts of new technologies implemented within the motor carrier industry, and changing trends in operational practices, inspection violations, and crash involvement of large trucks and buses.

Research & Technology, Increase Request

Program Activity (\$000)	FY2015 Actual	FY2016 Enacted	FY2017 Request	Difference from FY 2016
Research and Technology				
Research & Technology, Increase - Multi-Modal Safety Investments	-	-	\$1,503	\$1,503
Research & Technology - Operations	\$3,998	\$9,000	\$9,180	\$180
Total - Research and Technology	\$3,998	\$9,000	\$10,683	\$1,683

What Is The Request And What Funds Are Currently Spent On The Program?

FMCSA requests \$10.7 million for FY 2017, a \$1.7 million increase of over the FY 2016 Enacted level. This includes \$1.5 million from the Multi-Modal Safety Investments activity. Funding for the Research and Technology Program will primarily support contracted studies. The justification for the primary program can be found in the Motor Carrier Safety Operations and Programs section.

What Is This Program And Why Is It Necessary?

The Research and Technology (R&T) Program provides scientific safety research on driver behavior, carrier operations, and technology applications. These contributions have proven critical in supporting agency safety rulemakings; identifying enforcement priorities; and facilitating technology transfer to the marketplace.

What Benefits Will Be Provided To The American Public Through This Request?

The Research and Technology program identifies ways to improve driver performance and carrier safety which directly impact the safety of the American motoring public sharing the roadways with large trucks and buses. The Research and Technology Program's research findings enable the agency to make rules that are firmly grounded on objective, impartial scientific data. Using research to better understand factors associated with crashes, the Agency can issue and prioritize enforcement policies. FMCSA has identified new technologies such as wireless communications to reduce the labor-intensive costs of roadside inspections. The Agency can help States accurately and efficiently share safety data on commercial drivers, vehicles, and carriers, using a standard protocol. The R&T Program develops technologies to help truckers find available parking in real-time to reduce crashes associated with truck driver fatigue. The Program will also examine the impacts of automated commercial motor vehicle technologies on safety regulations.

Why Is This Particular Program Necessary?

FMCSA's Research and Technology Program develops the knowledge, practices, and technology needed to solve problems and answer questions that arise in making rules, issuing enforcement policies, and improving the safety of commercial drivers, vehicles, and carriers. For example, the agency has been at the forefront of designing and testing technology to help truckers find available parking in real-time to save fuel and enhance roadway safety.

Anticipated FY 2017 Accomplishments

The FY 2017 Research and Technology Program will continue to support the FMCSA's safety mission by:

- Evaluating the effectiveness of on-board monitoring systems;
- Identifying individual driver risk factors such as medical conditions to crash risks;
- Examining the relationship between driver compensation and safety performance;
- Determining the effectiveness of wireless truck and bus inspections;
- Developing training for inspectors to safely inspect trucks using alternative fuels;
- Operating e-screening technology at US borders to improve inspections of trucks entering the US from Mexico;
- Examining safety impacts of automated vehicles; and
- Promoting the use of proven smart parking solutions that provide accurate real-time parking availability information to tired truckers.

How Do You Know The Program Works?

FMCSA has both internal and external mechanisms to help assess the utility of the Research and Technology Program:

- Research and technology projects are reviewed by FMCSA's Research Executive Board comprised of members from across the agency.
- Each product has a customer or benefactor which provides input and evaluation.

FMCSA collaborates closely with product end-users including other USDOT modes such as the Federal Highway Administration and the National Highway Traffic Safety Administration. FMCSA also works closely with external customers to ensure that the Agency's research and technology portfolio addresses current needs in the transportation safety environment. These include the National Transportation Safety Board, the Office of Management and Budget, U.S. Department of Energy, the Government Accountability Office, and state enforcement agencies. FMCSA provides regular briefings, webinars, and public forums for industry representatives, safety advocates, congressional staff, and the transportation research community.

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

The requested funding supports a viable research program to ensure proposed rulemaking, enforcement policies, and inspection procedures accurately and appropriately address safety-critical issues, whether they affect commercial drivers, carriers, shippers, brokers, or others. Without a viable research program, the Agency risks making rules, issuing policies and procedures that may be misdirected – missing the intended safety outcome. A continuous and viable research program provides the flexibility to address changes in driver behavior, modern technologies, and the prevailing, complex environment that influences them. By funding a well-focused research agenda, the Agency maintains not just a leadership role in truck and bus safety, but also spearheads innovation with more cost-effective and smarter transportation solutions.

FY 2017 – Motor Carrier Safety Grants Support

Program Activity (\$000)	FY2015 Actual	FY2016 Enacted	FY2017 Request	Difference from FY 2016
Motor Carrier Safety Assistance Program (MCSAP) BASIC (FY 2016 and prior)	\$168,275	\$168,275	-	-
MCSAP Grants (FY 2017 and On)	-	-	\$292,600	\$292,600
Multi-Modal Safety Investments - Grants	-	-	\$25,000	\$25,000
Total - Motor Carrier Safety Assistance Program Grants	\$168,275	\$168,275	\$317,600	\$317,600

In FY 2017, FMCSA will receive an additional \$25.0 million in funding for the Motor Carrier Safety Assistance Program (MCSAP). This increased funding, in combination with the consolidation under the MCSAP umbrella of several legacy grant programs, will greatly enhance the safety activities of both FMCSA and its State commercial vehicle safety partners. One immediate impact will be the ability to increase financial support for State activities in the core MCSAP program areas of driver/vehicle inspections; commercial vehicle traffic enforcement; motor carrier interventions; public education and awareness; and data collection. With many law enforcement and highway safety agencies continuing to face budgetary constraints, States rely heavily on MCSAP support in order to maintain effective levels of safety activity.

In addition to supporting the core components of MCSAP, this increased funding will also enhance FMCSA's New Entrant and Border Enforcement efforts, now part of the formula MCSAP program. With these programs now included as funding factors within the MCSAP formula starting in FY 2017, States will have access to additional funding to support the acquisition of equipment, training of personnel and increases in both safety audits and commercial vehicle inspections at border crossings. Also, the inclusion of extra funding, combined with enhancements required under the FAST Act, will provide States and FMCSA with greater flexibility in addressing critical safety priorities. This change also provides administrative ease for FMCSA's State partners. Applications for the legacy grants are eliminated as is the burden of administering several different programs, moving forward.

Finally, additional funding allows FMCSA to deploy critical updates to systems used to submit and monitor States' Commercial Vehicle Safety Plans (CVSP). To aide its State partners and implement vital provisions of the FAST act as expediently as possible, FMCSA will be significantly updating its CVSP process starting in FY 2017. These changes will allow States to easily submit the array of information necessary for CVSP submission and evaluation.

**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
21ST CENTURY CLEAN TRANSPORTATION PLAN INVESTMENTS
MULTI-MODAL SAFETY FUNDING
OBJECT CLASS SCHEDULE - FY2017
(\$000)**

		FY2015 Actual	FY2016 Enacted	FY2017 Pres. Bud
Direct Obligations				
Personnel Compensation				
Full-time permanent	11	\$0	\$0	\$13,641
Civilian personnel benefits	12	\$0	\$0	\$3,652
Total Personnel Expenses		\$0	\$0	\$17,293
Other Obligations				
Travel and Transportation of Persons	21	\$0	\$0	\$1,165
Transportation of things	22	\$0	\$0	\$5
Communications, utilities, and miscellaneous charges	23	\$0	\$0	\$149
Printing and reproduction	24	\$0	\$0	\$0
Other services (Contracts and Agreements)	25	\$0	\$0	\$103,611
Supplies and materials	26	\$0	\$0	\$744
Equipment	31	\$0	\$0	\$2,033
Grants	41	\$0	\$0	\$25,000
Insurance claims and indemnities	42	\$0	\$0	
Subtotal, Other Obligations		\$0	\$0	\$132,707
Total Direct Obligations		\$0	\$0	\$150,000

**Department of Transportation
Federal Motor Carrier Safety Administration
Multi-Modal Safety Programs
PROGRAM AND FINANCING**

(In thousands of dollars)

Identification code 69-17-TBD		FY 2015 <u>Actual</u>	FY 2016 <u>Enacted</u>	FY 2017 <u>Request</u>
Obligations by program activity:				
0001	Transformation Grants	0	0	25,000
0002	Transformation OPS	0	0	125,000
0900	Total new obligations	0	0	150,000
Budgetary Resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	0	0	0
1020	Adjustment of unobligated bal brought forward, Oct 1	0	0	0
1021	Recoveries of prior year unpaid obligations	0	0	0
1050	Unobligated balance (total)	0	0	0
Budget authority:				
Appropriations, discretionary:				
1101	Appropriation, (trust fund)	0	0	150,000
1137	Appropriations applied to liquidate contract authority	0	0	-150,000
1160	Appropriation, discretionary (total)	0	0	0
Contract authority, mandatory:				
1600	Contract authority	0	0	150,000
1620	Unobligated balance of contract authority permanently reduced	0	0	0
1640	Contract authority, mandatory (total)	0	0	150,000
Spending authority from offsetting collections, discretionary:				
1700	Collected	0	0	0
1701	Change in uncollected customer payments from federal sources	0	0	0
1750	Spending auth from offsetting collections, disc (total)	0	0	0
1900	Budget authority (total)	0	0	150,000
1930	Total budgetary resources available	0	0	150,000
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance ,end of year	0	0	150,000
Change in obligated balance:				
Obligated balance , start of year (net):				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	0	0	0
3001	Adjustments to unpaid obligations, brought forward, Oct 1	0	0	0
3010	Obligations incurred, unexpired accounts	0	0	150,000
3020	Outlays (gross)	0	0	-100,750
Change in uncollected customer payments from Federal sources:				
3040	Recoveries of prior year unpaid obligations, unexpired	0	0	0
3050	Unpaid obligations, end of year	0	0	49,250
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	0	0	150,000
Outlays, gross:				
4010	Outlays from new discretionary authority	0	0	100,750
4011	Outlays from discretionary balances	0	0	0
4020	Total outlays, gross (disc)	0	0	100,750
Offsetting collections from:				
4030	Federal sources (disc)	0	0	0
4040	Offsetting against gross budget authority and outlays (disc)(total)	0	0	0
Additional offsets against gross budget authority only (disc):				
4050	Change in uncollected cust pymnts from federal sources (unexpired)(disc)	0	0	0
4060	Additional offsets against budget authority only (disc)(total)	0	0	0
4070	Budget authority, net (discretionary)	0	0	0
4080	Outlays net (discretionary)	0	0	100,750
Mandatory:				
4090	Budget authority, gross	0	0	150,000
4160	Budget authority, net (mandatory)	0	0	150,000
4180	Budget authority, net (total)	0	0	150,000
4190	Outlays net (total)	0	0	100,750

NATIONAL MOTOR CARRIER SAFETY PROGRAM

No funds are requested for the National Motor Carrier Safety Program during FY 2017. During FY 2014, Congress provided \$13.0 million to bolster FMCSA's facility funds. These funds were obligated fully and the language making the funds available for this purpose has expired.

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

(In thousands of dollars)

Identification code 69-17-8048		FY 2015 <u>Actual</u>	FY 2016 <u>Enacted</u>	FY 2017 <u>Request</u>
Obligations by program activity:				
0900	Total new obligations	0	0	0
Budgetary Resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	9	5	5
1020	Adjustment of unobligated bal brought forward, Oct 1	0	0	0
1021	Recoveries of prior year unpaid obligations	1	0	0
1050	Unobligated balance (total)	10	5	5
Budget authority:				
Appropriations, discretionary:				
1101	Appropriation, (trust fund)	0	0	0
1137	Appropriations applied to liquidate contract authority	0	0	0
1160	Appropriation, discretionary (total)	0	0	0
Contract authority, mandatory:				
1620	Unobligated balance of contract authority permanently reduced	-5	0	0
1640	Contract authority, mandatory (total)	-5	0	0
Spending authority from offsetting collections, discretionary:				
1700	Collected	0	0	0
1701	Change in uncollected customer payments from federal sources	0	0	0
1750	Spending auth from offsetting collections, disc (total)	0	0	0
1900	Budget authority (total)	0	0	0
1930	Total budgetary resources available	5	5	5
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance ,end of year	5	5	5
Change in obligated balance:				
Obligated balance , start of year (net):				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	14	13	1
3001	Adjustments to unpaid obligations, brought forward, Oct 1	0	0	0
3010	Obligations incurred, unexpired accounts	0	0	0
3020	Outlays (gross)	0	-12	-1
Change in uncollected customer payments from Federal sources:				
3040	Recoveries of prior year unpaid obligations, unexpired	-1	0	0
3050	Unpaid obligations, end of year	13	1	0
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	0	0	0
Outlays, gross:				
4010	Outlays from new discretionary authority	0	0	0
4011	Outlays from discretionary balances	0	12	1
4020	Total outlays, gross (disc)	0	12	1
Offsetting collections from:				
4030	Federal sources (disc)	0	0	0
4040	Offsetting against gross budget authority and outlays (disc)(total)	0	0	0
Additional offsets against gross budget authority only (disc):				
4050	Change in uncollected cust pymnts from federal sources (unexpired)(disc)	0	0	0
4060	Additional offsets against budget authority only (disc)(total)	0	0	0
4070	Budget authority, net (discretionary)	0	0	0
4080	Outlays net (discretionary)	0	12	1
Mandatory:				
4090	Budget authority, gross	0	0	0
4160	Budget authority, net (mandatory)	0	0	0
4180	Budget authority, net (total)	0	0	0
4190	Outlays net (total)	0	12	1

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

CONTRACT AUTHORITY ESTIMATES

1998.....	90,000,000
1999.....	100,000,000
2000.....	155,000,000 ¹
2001.....	187,000,000 ²
2002.....	204,837,000 ³
2003.....	190,000,000
2004.....	
2005.....	
2006.....	
2007.....	
2008.....	
2009.....	
2010.....	
2011.....	
2012.....	
2013.....	
2014.....	
2015.....	
2016.....	
2017.....	

CONTRACT AUTHORITY

1998.....	
1999.....	
2000.....	(105,000,000) ⁴
2001.....	177,000,000
2002.....	205,896,000 ⁵
2003.....	190,000,000
2003 Rescission of Contract Authority.....	(1,235,000) ⁶
2004.....	190,000,000
2004 Rescission of Contract Authority.....	(1,121,000) ⁷
2005.....	190,000,000
2005 Rescission of Contract Authority.....	(1,520,000) ⁸
2006.....	
2007.....	
2008 Rescission of Contract Authority.....	(5,212,858) ⁹
2009 Rescission of Contract Authority.....	(19,571,910) ¹⁰
2010 Rescission of Contract Authority.....	(3,232,639)
2011.....	
2012.....	
2013.....	
2014.....	
2015.....	
2016.....	
2017.....	

¹ Includes \$50 million in revenue aligned budget authority

² Includes \$10 million in revenue aligned budget authority

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

⁴ Transferred to the newly established FMCSA from the FHWA Motor Carrier Safety Grants account

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

⁶ Enacted 0.65% rescission pursuant to P.L. 108-7

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

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

⁹ Enacted rescission of prior year carryover P.L. 110-161

¹⁰ Enacted rescission of prior year carryover P.L. 111-8

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

APPROPRIATION ESTIMATES	APPROPRIATION
1998.....100,000,000	1998.....
1999.....100,000,000	1999.....
2000.....155,000,000 ¹	2000..... (105,000,000) ⁴
2001.....187,000,000 ²	2001..... 177,000,000
	2001 Rescission of Liquidating Cash (389,400) ⁵
2002.....204,837,000 ³	2002.....205,896,000 ⁶
2003.....190,000,000	2003..... 190,000,000
	2003 Rescission of Liquidating Cash (1,235,000) ⁷
2004.....	2004..... 190,000,000
	2004 Rescission of Liquidating Cash (1,121,000) ⁸
2005.....	2005..... 190,000,000
	2005 Rescission of Liquidating Cash (1,520,000) ⁹
2006.....	2006.....
2007.....	2007.....
2008.....	2008 Rescission of Liquidating Cash (5,212,858) ¹⁰
2009.....	2009 Rescission of Liquidating Cash (19,571,910) ¹¹
2010.....	2010 Rescission of Liquidating Cash (3,232,639)
2011.....	2011.....
2012.....	2012.....
2013.....	2013.....
2014.....	2014.....
2015.....	2015.....
2016.....	2016.....
2017.....	2017.....

¹ Includes \$50 million in revenue aligned budget authority

² Includes \$10 million in revenue aligned budget authority

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

⁴ Transferred to the newly established FMCSA from the FHWA Motor Carrier Safety Grants account

⁵ Enacted .22% rescission pursuant to P. L. 106-554

⁶ Includes \$23.896 million in revenue aligned budget authority as authorized in 23 U.S.C. 110, as amended by P.L. 106-159, pursuant to P.L. 107-87

⁷ Enacted 0.65% rescission pursuant to P.L. 108-7

⁸ Applied 0.59% rescission pursuant to FY 2004 enacted, P.L. 108-199

⁹ Applied 0.8% rescission pursuant to FY 2005 enacted, P.L. 108-447

¹⁰ Rescission of prior year carryover P.L. 110-161

¹¹ Rescission of prior year carryover P.L. 111-8

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

(In thousands of dollars)

Identification code 69-17-8055	<u>FY 2015 Actuals</u>	<u>FY 2016 Request</u>	<u>FY 2017 Request</u>
Obligations by program activity:			
0900 Total new obligations	0	0	0
Budgetary Resources:			
Unobligated balance:			
1000 Unobligated balance brought forward, Oct 1	2	3	2
1020 Adjustment of unobligated bal brought forward, Oct 1	0	0	0
1021 Recoveries of prior year unpaid obligations	1	0	0
1050 Unobligated balance (total)	3	3	2
Budget authority:			
Appropriations, discretionary:			
1160 Appropriation, discretionary (total)	0	0	0
Contract authority, discretionary:			
1521 Unobligated balance of contract authority permanently reduced	0	0	0
1540 Contract authority, discretionary (total)	0	0	0
Contract authority, mandatory:			
1621 Unobligated balance of contract authority permanently reduced	0	0	0
1640 Contract authority, mandatory (total)	0	0	0
Spending authority from offsetting collections, discretionary:			
1700 Collected	0	0	0
1701 Change in uncollected customer payments from federal sources	0	0	0
1750 Spending auth from offsetting collections, disc (total)	0	0	0
1900 Budget authority (total)	0	0	0
1930 Total budgetary resources available	3	3	2
Memorandum (non-add) entries:			
1941 Unexpired unobligated balance ,end of year	3	3	2
Change in obligated balance:			
Unpaid obligations:			
3000 Unpaid obligations, brought forward, Oct 1 (gross)	1	1	0
3001 Adjustments to unpaid obligations, brought forward, Oct 1	0	0	0
3010 Obligations incurred, unexpired accounts	0		
3020 Outlays (gross)	0		
3040 Recoveries of prior year unpaid obligations, unexpired	-1	0	0
3050 Unpaid obligations, end of year (gross)	0	1	0
3060 Uncollected pymts, Fed sources, end of year	0	0	0
3061 Adjustments to uncollected paymnts, Fed sources brought forward	0	0	0
3070 Change, uncoll cust payments, Fed srcs, unexp	0	0	0
3090 EOY: Uncoll cust. Payments from Fed. Srcs	0	0	0
Memorandum (non-add entries)			
3100 Obligated balance , start of year:	1	1	0
3200 Obligated balance , end of year:	0	1	0
Budget authority and outlays, net:			
Discretionary:			
4000 Budget authority, gross	0	0	0
4011 Outlays from discretionary balances	0	0	0
4020 Total outlays, gross (disc)	0	0	0
Offsetting collections from:			
4030 Federal sources (disc)	0	0	0
4040 Offsetting against gross budget authority and outlays (disc)(total)	0	0	0
Additional offsets against gross budget authority only (disc):			
4050 Change in uncollected cust pymnts from federal sources (unexpired)(disc)	0	0	0
4060 Additional offsets against budget authority only (disc)(total)	0	0	0
4070 Budget authority, net (discretionary)			
4080 Outlays net (discretionary)	0	0	0
Mandatory:			
4090 Budget authority, gross			
4160 Budget authority, net (mandatory)			
4180 Budget authority, net (total)	0	0	0
4190 Outlays net (total)	0	0	0

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

CONTRACT AUTHORITY ESTIMATES

1995.....	73,000,000
1996.....	68,000,000
1997.....	74,000,000
1998.....	
1999.....	
2000.....	
2001.....	
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2013.....	
2014.....	
2015.....	
2016.....	
2017.....	

CONTRACT AUTHORITY

1995.....	73,000,000
1996.....	68,000,000
1996 Rescission of Contract Authority ...	(33,000,000) ¹
1997.....	74,000,000
1997 Rescission of Contract Authority ...	(12,300,000) ²
1998.....	85,000,000
1999.....	100,000,000
2000.....	105,000,000
2001.....	
2002.....	
2003.....	
2004.....	
2005.....	
2006.....	
2007.....	
2008 Rescission of Contract Authority.....	(32,187,720) ³
2009 Rescission of Contract Authority	(2,231,259) ⁴
2010 Rescission of Contract Authority	(6,415,501)
2011.....	
2012.....	
2013.....	
2014.....	
2015.....	
2016.....	
2017.....	

¹ Enacted rescission pursuant to P.L. 104-134

² Enacted rescission pursuant to P.L. 104-208

³ Enacted rescission of prior year carryover P.L. 110-161

⁴ Enacted rescission of prior year carryover P.L. 111-8

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

APPROPRIATION ESTIMATES	APPROPRIATION
2000.....	2000.....76,058,400 ¹
2001..... 92,194,000	2001..... 92,194,000
2002.....139,007,000	2001 Rescission of Liquidating Cash (202,827) ²
	2002..... 110,000,000
	2002 Rescission of Liquidating Cash (158,000) ³
	2002 Rescission of Liquidating Cash (107,000) ⁴
2003.....117,464,000	2003..... 117,464,000
	2003 Rescission of Liquidating Cash (763,516) ⁵
	2003 Rescission of Liquidating Cash (200,000) ⁹
2004.....	2004..... 176,070,000
	2004 Rescission of Liquidating Cash (1,532,675) ⁶
2005.....	2005..... 257,547,000
	2005 Rescission of Liquidating Cash (2,698,376) ⁷
2006.....	2006.....
2007.....	2007.....
2008.....	2008 Rescission of Liquidating Cash (32,187,720) ⁸
2009.....	2009 Rescission of Liquidating Cash (2,231,259) ⁹
2010.....	2010 Rescission of Liquidating Cash (6,415,501)
2011.....	2011.....
2012.....	2012.....
2013.....	2013.....
2014.....	2014.....
2015.....	2015.....
2016.....	2016.....
2017.....	2017.....

¹ Transferred to the newly established FMCSA from Federal-Aid Highways. (With the enactment of P.L. 106-159, the account again includes funding for Motor Carrier Research)

² Enacted 0.22% rescission pursuant to Public Law 106-554

³ Enacted TASC rescission pursuant to Public Law 107-87, as amended by P.L. 107-117

⁴ Enacted rescission pursuant to P.L. 107-206

⁵ Enacted 0.65% and \$200K rescission pursuant to P.L. 108-7

⁶ Applied 0.59% and \$494K rescission pursuant to FY 2004 enacted, P.L.108-199

⁷ Applied 0.8% and \$638K rescission pursuant to FY 2005 enacted, P.L. 108-447

⁸ Rescission of prior year carryover P.L. 110-161

⁹ Rescission of prior year carryover P.L. 111-8

MOTOR CARRIER SAFETY

No funds are requested for the Motor Carrier Safety program during FY 2017.

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Research, Development, and Technology

RESEARCH, DEVELOPMENT & TECHNOLOGY
DEPARTMENT OF TRANSPORTATION
BUDGET AUTHORITY
(in thousands of dollars)

	FY 2015 Enacted	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request	FY 2017 Applied	FY 2017 Development
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION						
Motor Carrier Safety	12,317	12,561	11,685	14,476	10,225	658
A. Produce Safe Drivers	2,465	6,888	4,060	3,724	3,026	0
1. Produce Safe Drivers	2,115	3,774	3,810	3,026	3,026	0
2. Produce Safe Drivers (T)	350	3,113	250	698	NA	NA
B. Improve Safety of Commercial Vehicles	2,675	277	2,385	3,419	2,037	0
1. Improve Safety of Commercial Vehicles	550	0	1,225	2,037	2,037	0
2. Improve Safety of Commercial Vehicles (T)	2,125	277	1,160	1,382	NA	NA
C. Produce Safer Carriers	1,200	556	1,555	1,242	581	486
1. Produce Safer Carriers	700	556	905	1,067	581	486
2. Produce Safer Carriers (T)	500	0	650	175	NA	NA
D. Advanced Safety Through Info-Based Initiatives	2,770	1,674	500	1,338	0	0
1. Advanced Safety Through Info-Based Initiatives	0	98	0	0	0	0
2. Advanced Safety Through Info-Based Initiatives (T)	2,770	1,577	500	1,338	NA	NA
E. Enable and Motivate Internal Excellence	625	583	500	960	960	0
1. Enable and Motivate Internal Excellence	125	583	250	960	960	0
2. Enable and Motivate Internal Excellence (T)	500	0	250	0	NA	NA
F. Administrative Expenses	2,582	2,582	2,685	3,793	3,621	172
Subtotal, Research & Development	6,072	5,011	6,190	7,090	6,604	486
Subtotal, Technology Investment (T)	6,245	4,968	2,810	3,593	NA	NA
Subtotal, Facilities (F)	0	0	0	0	0	0
Total FMCSA 1/	12,317	9,979	9,000	10,683	6,604	544
R&T Funding	9,735	9,979	9,000	9,180		
GOE Admin	2,582	2,582	2,685	3,793		
Multi-Modal Safety Investments - R&T	0	0	0	1,503		
Multi-Modal Safety Investments - R&T Admin	0	0	0	1,000		

Note: This Exhibit IV-1, "Research, Development and Technology", and any related summary, fulfills the requirements of 23 USC 508 (b) – Annual Report, in effect on December 3, 2015. The Department of Transportation recognizes the changes to this requirement effected by the passage of the Fixing America's Surface Transportation (FAST) Act (P.L. 114-94; Dec. 4, 2015; 129 Stat. 1312), creating Chapter 65 – Research Planning in Subtitle III of title 49, United States Code. The Department will implement the new requirements with the FY 2018 Budget Estimates.

1/ Excludes Administrative Expenses.