



**U.S. Department of
Transportation**

BUDGET ESTIMATES

FISCAL YEAR 2013

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

**SUBMITTED FOR THE USE OF
THE COMMITTEES FOR APPROPRIATIONS**

**FISCAL YEAR 2013 PERFORMANCE BUDGET
SUBMISSION FOR THE USE OF THE COMMITTEES FOR APPROPRIATIONS**

TABLE OF CONTENTS

	<u>PAGE</u>
SECTION 1: Overview	
Administrator’s Overview	1
Federal Motor Carrier Safety Administration Summary Statement	5
Exhibit 1-A: FMCSA FTE Organization Chart	7
Exhibit 1-B: FMCSA FTP Organization Chart	8
SECTION 2: Budget Summary Tables	
Exhibit II-1: FY 2013 Comparative Statement of New Budget Authority	9
Exhibit II-2: FY 2013 Total Budgetary Resources by Appropriation Account.....	10
Exhibit II-3: FY 2013 Budget Request by DOT Strategic and Organization Goals.....	11
Exhibit II-3-A: FY 2013 Budget Request by DOT Outcomes	12
Exhibit II-4: FY 2013 Budget Authority	13
Exhibit II-5: FY 2013 Outlays	14
Exhibit II-6-A: Summary of Requested Funding Changes from Base Motor Carrier Safety Operations and Programs	15
Exhibit II-6-B: Summary of Request Funding Changes from Base Motor Carrier Safety Grants	16
Exhibit II-7: Working Capital Fund.....	17
Exhibit II-8: Personnel Resource Summary – Total Full Time Equivalents	18
Exhibit II-9: Personnel Resource Summary – Full-Time Permanent Positions	19
Reauthorization Table	20

**FISCAL YEAR 2013 PERFORMANCE BUDGET
SUBMISSION FOR THE USE OF THE COMMITTEES FOR APPROPRIATIONS**

TABLE OF CONTENTS

PAGE

SECTION 3: Budget Request by Appropriation Account

SECTION 3A: Motor Carrier Safety Operations and Programs

Legislative Proposal, Liquidation of Contract Authorization, Limitation on Obligations, Highway Trust Fund.....	21
Motor Carrier Safety Operations and Programs Program and Financing.....	23
Motor Carrier Safety Operations and Programs and Performance Statement	25
Motor Carrier Safety Operations and Programs Object Classification.....	27
Personnel Resource Summary – Full Time Equivalent (FTE)	29
Personnel Resource Summary – Full Time Position (FTP).....	30
Motor Carrier Safety Operations and Programs Liquidation of Contract Authority	31
Exhibit III-1-A Appropriations Summary by Program Activities	32
Exhibit III-1-A-1 Summary of Changes from FY 2012 President’s Budget to FY 2013 Appropriations, Obligations, Limitations, and Exempt Obligations	33
Federal Motor Carrier Safety Administration FY 2013 Crosswalk From Program Structure	34
FY 2013 Motor Carrier Safety Operations and Programs Overview	35
Research.....	39
IT Development and Sustainment.....	45
Enforcement and Intervention.....	49
Safety Mission Support.....	73

**FISCAL YEAR 2013 PERFORMANCE BUDGET
SUBMISSION FOR THE USE OF THE COMMITTEES FOR APPROPRIATIONS**

TABLE OF CONTENTS

	<u>PAGE</u>
SECTION 3B: Motor Carrier Safety Grants	
Legislative Proposal, Liquidation of Contract Authorization, Limitation on Obligations, Highway Trust Fund.....	79
Motor Carrier Safety Grants Program and Financing.....	81
Motor Carrier Safety Grants Program and Performance Statement	83
Motor Carrier Safety Grants Object Classification.....	85
Motor Carrier Safety Grants Liquidation of Contract Authority	87
Exhibit III-1-B Appropriation Summary by Program Activities.....	88
Exhibit III-1-B-1 Summary Analysis of Changes from FY 2012 Presidents Budget to FY 2013 Request.....	89
FY 2013 Motor Carrier Safety Grants Overview	91
Compliance, Safety, and Accountability Grants.....	93
Data and Technology Grants	97
Driver Safety Grants	99
SECTION 3C: Motor Carrier Safety	
Motor Carrier Safety Program and Financing	101
Motor Carrier Safety Program and Performance Statement.....	103
Motor Carrier Safety Liquidation of Contract Authority.....	105
Motor Carrier Safety Limitation on Obligations	106

**FISCAL YEAR 2013 PERFORMANCE BUDGET
SUBMISSION FOR THE USE OF THE COMMITTEES FOR APPROPRIATIONS**

TABLE OF CONTENTS

	<u>PAGE</u>
SECTION 3D: National Motor Carrier Safety Program	
National Motor Carrier Safety Program - Program and Financing.....	107
National Motor Carrier Safety Program Program and Performance Statement	109
National Motor Carrier Safety Program Liquidation of Contract Authority	111
National Motor Carrier Safety Program Limitation on Obligations.....	112
SECTION 3E: Administrative Provision	
Motor Carrier Safety and Operations General Provisions	113
Explanation of Motor Carrier Safety Operations General Provisions	114
SECTION 3F: Annual Performance Results and Targets	
Exhibit III-2: Federal Motor Carrier Safety Administration Annual Performance Results and Targets	115
SECTION 4: Research, Development and Technology Exhibits	
Research, Development and Technology: Budget Authority	119

**DEPARTMENT OF TRANSPORTATION
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
(FMCSA)**

ADMINISTRATOR'S OVERVIEW

FMCSA is the primary enforcement and regulatory agency responsible for truck and bus safety, the companies that own them, and the drivers who operate them. The agency proposes rules, implements enforcement programs, and develops systems to reduce crashes involving large trucks and buses. In recent years, the FMCSA's work has contributed to a dramatic reduction in severe and fatal Commercial Motor Vehicle (CMV) related crashes, with a combined 1,497 fewer lives lost between 2007, 2008, and 2009, when fatalities in crashes with large trucks and buses numbered 5,116; 4,545; and 3,619, respectively.

Demand for commercial truck and bus services will grow as the nation's economy continues to improve. With increased CMV Vehicle Miles Traveled (VMT), risks of CMV-involved crashes and potential injuries and fatalities on our nation's roadways will likely increase. Recently released crash data from the National Highway Safety Administration's (NHTSA) Fatal Analysis Reporting System (FARS) confirms an increase in fatalities and injuries from crashes involving trucks in 2010. Bus passenger fatalities in 2011 unfortunately were higher than the prior 5-year average for motor coach crashes.

The Agency's proposed FY 2013 budget is structured to allow FMCSA to complete core safety programs that close the loopholes on unsafe carriers and improves the capability of roadside enforcement to get unsafe operators off the road. It supports the Agency's commitment to collaborating with the other surface modes on the Department's Roadway Safety Plan in order to improve the efficiency and effectiveness of safety initiatives.

Specifically, the proposal requests \$580M in 2013 and authorization for 1,062 FTE. Within Motor Carrier Safety Operations and Programs (\$250M), FMCSA requests \$9.9M for Research and Technology; \$38.2M for IT Development and Sustainment of which \$17.3M is for IT Development and \$20.9M is Sustainment, and for a proposed \$5M for a new Integrated Highway Safety Office with FHWA, NHTSA, and FMCSA is included in Sustainment contract dollars; \$142.6M for Enforcement and Intervention; and \$59.3M for Safety Mission Support.

To help our safety mission, FMCSA has built strong relationships with state and local governments to provide nationwide roadside enforcement of CMV operations and commercial drivers licensing. FMCSA proposes \$330M in Motor Carrier Safety Grants to support our state and local partners. The grants are distributed across three categories: Compliance, Safety, and Accountability (\$264M), Driver Safety (\$36M), and Data and Information Technology (\$30M). These programs support new authorities proposed in the surface transportation reauthorization proposal and provide FMCSA's dedicated employees and its grantees the tools to implement new safety measures under its strategic framework (Table 1);

1. **Raise** the bar to enter the CMV industry;
2. **Require operators to maintain high compliance standards** to remain in the industry;
3. **Remove** high-risk carriers, vehicles, drivers, and service providers from operating.

Within this framework FMCSA proposes to support the Department’s priority goal for FY 2012 – FY 2013: Safety and the continued pursuit to save lives, prevent injuries, and reduce economic impact due to CMV crashes.

TABLE 1: FMCSA’S STRATEGIC FRAMEWORK

Core Principles	Commercial Motor Carrier	Driver	Vehicle
Raise the bar to enter the Commercial Motor Vehicle industry	New entrant vetting and audit processes, use of online tools to improve carrier fitness and knowledge	Focus on entry qualifications (driver training, medical qualifications, and CDL requirements), and driver fatigue management	Partner with modes on safety standards and impacts on new safety technologies
Require operators to maintain high standards to remain in the industry	CSA (Compliance-Safety-Accountability); strengthen data systems to measure and identify high-risk behavior, increase interventions, and strengthen enforcement resources for detection of unsafe carriers, vehicles, and drivers		
Remove high-risk carriers, vehicles, drivers, and service providers from operating	Strategic use of penalties, holding carriers accountable, and removing arbitration loopholes	Drug and alcohol clearinghouse; fatigue-detection measures; eliminate driver record loopholes, certify medical examiners	Roadside enforcement technologies for screening unsafe vehicles and removing them from service

With this FY 2013 funding request, the Agency expects to complete several significant rules to support removing high risk truck and bus companies, and drivers from operating. This includes a final rule on the creation of a drug and alcohol clearinghouse to prevent drivers with a history of substance abuse testing failures from moving from company to company to avoid detection. Also FMCSA expects to complete a final rule on the Unified Registration System, which will combine three older registration systems into a single system improving the efficiency and focus of registration activities. The rule will improve the ability of FMCSA to locate hard to find carriers requiring reviews through designation of process agents. FMCSA also expects to complete several final rules concerning driver medical requirements.

FMCSA FY 2013 Budget Priorities

FMCSA and its state and local partners rely on robust research and accurate and timely data to develop, implement and enforce its rules. FMCSA will aggressively pursue data improvement initiatives to further enhance and link existing systems and improve data accuracy, a critical element for the identification of unsafe carriers. Data quality and collaboration with other agencies is also critical for FMCSA’s to identify reincarnated carriers, change driver behaviors and improve vehicle safety. Quality and timely data are necessary to close driver/carrier safety evasion loopholes and improve accessibility and reliability of safety information to the public, motor coach passengers and users of household goods moving services.

FMCSA is fully engaged in Secretary LaHood's ONE DOT Safety Council and in developing and implementing the Roadway Safety Plan. These efforts further support the demand for timely, accurate data in setting safety priorities and supporting data-driven program development.

Raise the bar to enter the CMV industry:

During FY 2013, the Agency expects to implement several significant rulemakings that will raise the bar to entry for commercial truck and bus companies. This includes a final rule on Entry Level Driver Training which as a notice of proposed rulemaking recommended more stringent training requirements for new commercial vehicle drivers. In addition, the Agency will complete the IT system and begin training required to support the National Registry of Certified Medical Examiners final rule. This rule and IT system will close loopholes that currently allow drivers to obtain fraudulent medical certifications and unqualified physicians to foster "doctor shopping."

The FY 2013 budget proposal continues support for the Agency's New Applicant Screening program to examine ALL applicants for motor carrier operating authority. The screening uses an IT application that helps identify chameleon or reincarnated carriers. In FY 2009 the Agency began testing the screening program on applicants for Household Goods and Passenger Carrier authority and was successful in blocking 25 percent of the applicants from gaining authority. Putting these carriers out of business requires near constant attention, ample resources and incredible diligence to stay ahead of "chameleon carriers." The Agency's budget request includes more robust grant programs to fully fund new entrant safety audits. In the **Driver Safety Grant** program, funds are requested for improving Commercial Driver's License (CDL) programs at the State Driver Licensing Agencies and their compliance with Commercial Driver License Information System (CDLIS) standards. These programs focus on the US DOT goal to create safer behaviors and reduce fraud.

Require operators to maintain high standards to remain in the industry:

The Agency's **Compliance, Safety, and Accountability Grants**, which include funding under the Motor Carrier Safety Assistance Program (MCSAP) grants, provide funding to State and local law enforcement agencies to conduct enforcement activities including roadside inspections, interventions and compliance reviews. Founded on the principles of CSA, these activities provide data and critical inputs to identify unsafe carriers. With its Motor Carrier Management Information Systems database (MCMIS) populated with more comprehensive, accurate, and current performance data, the Agency and its state partners can conduct more effective interventions, depending on the carriers' problem areas. As a result, carriers are required to maintain a higher level of safety to avoid FMCSA enforcement. These grant programs expand FMCSA's reach through collaboration for roadway safety with the Agency's safety partners.

Remove high-risk carriers, drivers, vehicles, and service providers from operating:

FMCSA is moving forward with programs and activities that provide tools for enforcement officers, employers and others to detect and remove unsafe carriers of property and passengers, vehicles and drivers from the roadways and unscrupulous providers from the industry. New programs include grant funds to target rogue household goods movers, brokers and freight forwarders, and the National Registry of Certified Medical Examiners.

The Agency's Commercial Vehicle Information Systems Network (CVISN) and Performance and Registration Information Systems Management (PRISM) grant programs are essential components of the Agency's efforts to improve roadside enforcement effectiveness and to link carrier safety performance with state vehicle credentials (i.e., license plate registration and renewal). Funding for CVISN and PRISM is continued in the **Data and Information Technology Grant Program**.

The Agency's initiatives to continue modernizing IT functionality into a common architecture and to complete the drug and alcohol testing clearinghouse rulemaking and its associated database are continued in the FY 2013 funding proposal. Once complete, the drug/alcohol database will provide enforcement officers and employers a current database of drivers who tested positive for drugs or alcohol or refused to be tested, thereby closing a loophole that currently allows certain unfit drivers to escape detection.

Summary

FMCSA's vision to eliminate severe and fatal crashes involving commercial trucks and buses carries with it a strong sense of urgency to set the safety bar high for the motor carrier industry. The FMCSA budget request for FY 2013 reflects the safety tools and resources necessary to leverage the power of its workforce, state and local partners, industry participants, and advocates making significant strides towards this outcome.

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION

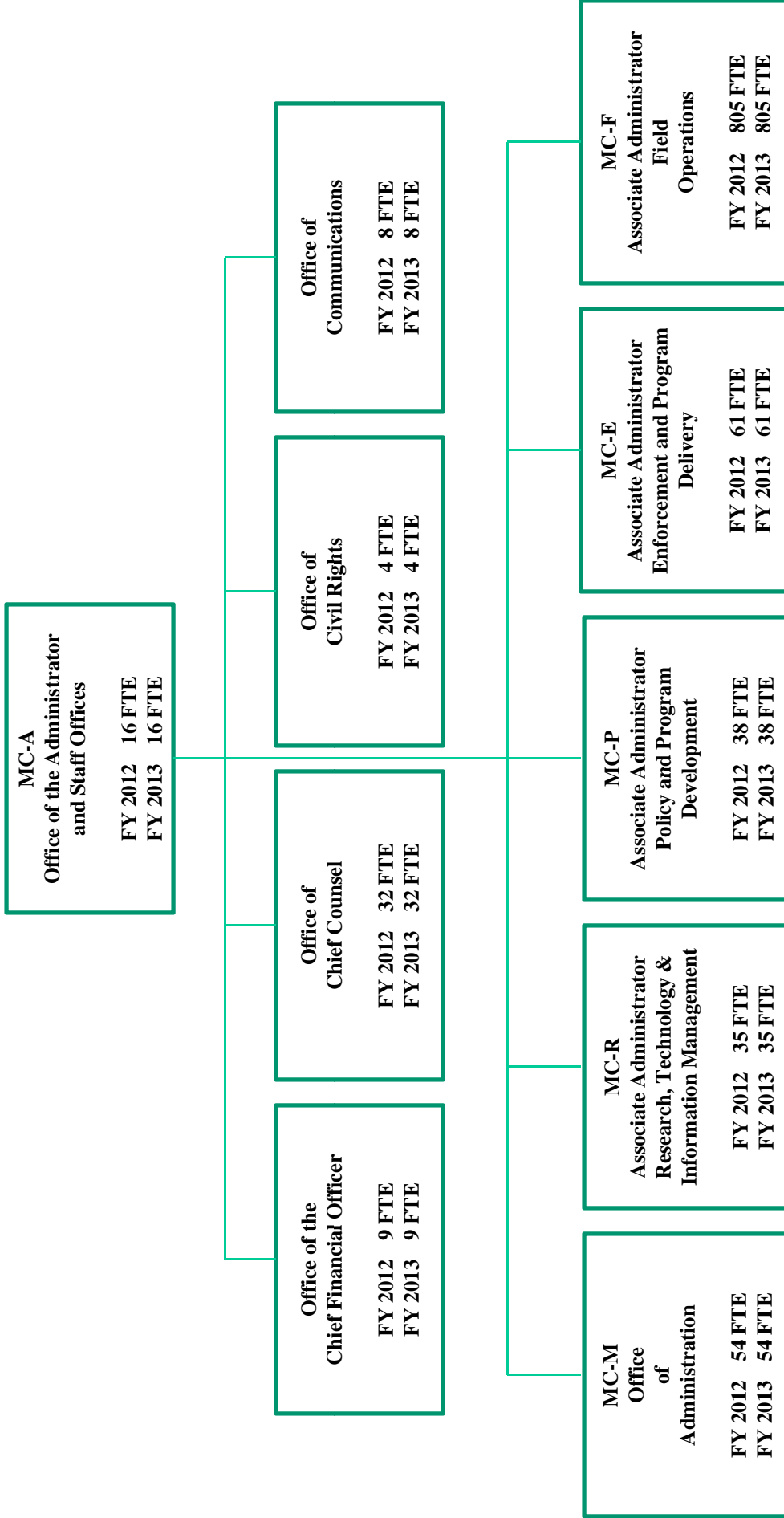
The Federal Motor Carrier Safety Administration (FMCSA) was established within the Department of Transportation by the Motor Carrier Safety Improvement Act (P.L. 106-159) in December 1999. Prior to this legislation, motor carrier safety responsibilities were under the jurisdiction of the Federal Highway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

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

Exhibit I-A

Federal Motor Carrier Safety Administration

FTE Organization Chart



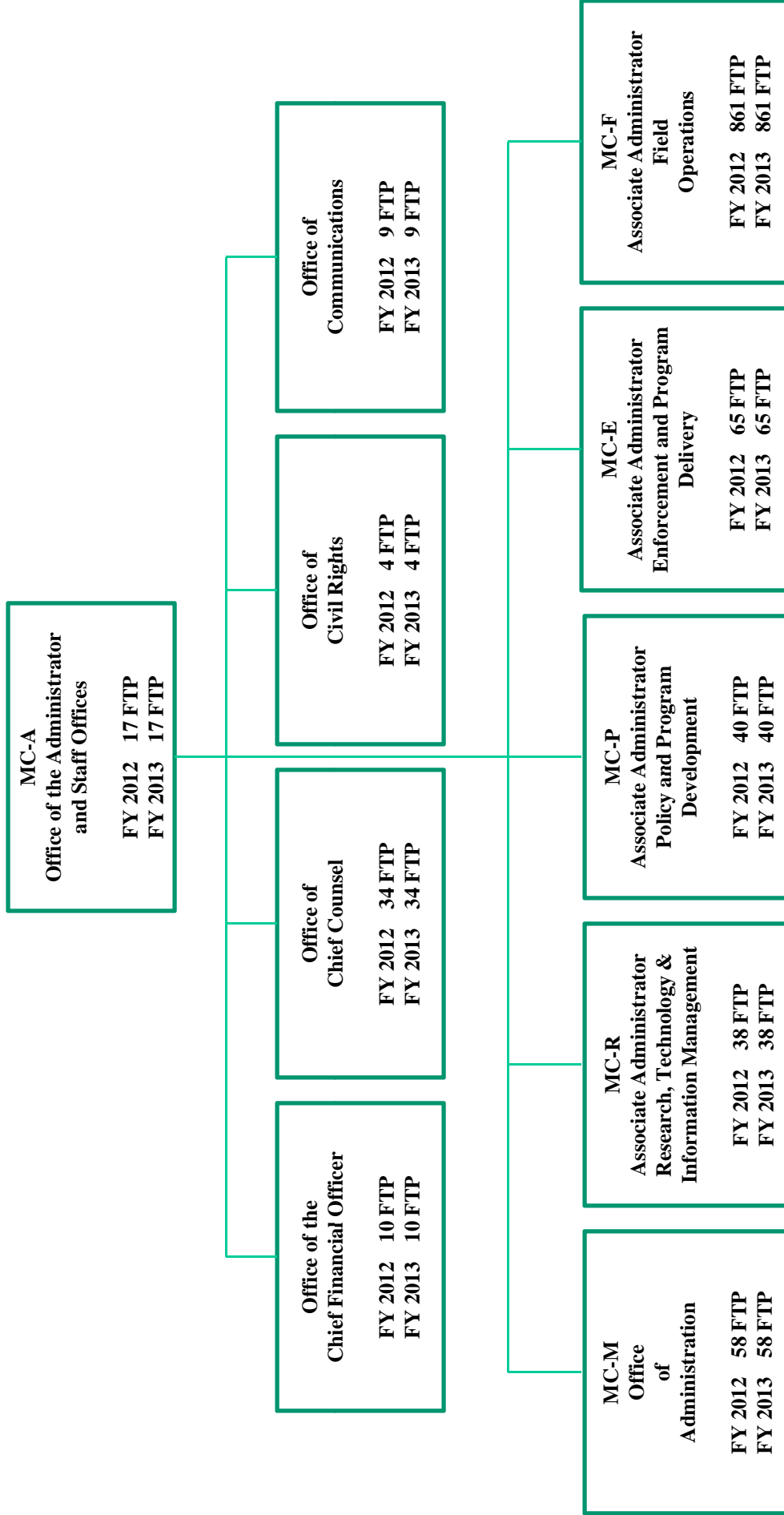
Total FY 2012 Request: 1,062 FTE

Total FY 2013 Request: 1,062 FTE

Exhibit I-B

Federal Motor Carrier Safety Administration

Organization Chart



Total FY 2012 Request: 1,136 FTP

Total FY 2013 Request: 1,136 FTP

EXHIBIT II-1

**FY 2013 COMPARATIVE STATEMENT OF NEW BUDGET AUTHORITY
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**

(\$000)

ACCOUNT NAME	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST
Motor Carrier Safety Operations & Programs (Transportation Trust Fund Highway Account)			
Liquidation of Contract Authorization	(244,144)	(244,144)	(250,000)
Limitation on Obligations	(245,000)	(247,724)	(250,000)
Motor Carrier Safety Grants (Transportation Trust Fund Highway Account)			
Liquidation of Contract Authorization	(307,000)	(307,000)	(330,000)
Rescission of Contract Authority	0	-1,000	0
Limitation on Obligations	(310,070)	(306,000)	(330,000)
Total Rescission of Contract Authority	0	-1,000	0
TOTAL LIMITATION ON OBLIGATIONS	(555,070)	(553,724)	(580,000)
TOTAL LIQUIDATION OF CONTRACT AUTHORITY	(551,144)	(551,144)	(580,000)

EXHIBIT II-2

**FY 2013 TOTAL BUDGETARY RESOURCES BY APPROPRIATION ACCOUNT
 FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
 Appropriations, Obligation Limitations, and Exempt Obligations
 (\$000)**

ACCOUNTS	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST
Motor Carrier Safety Operations & Programs:			
Operating Expenses	188,222	191,919	216,000
Research and Technology	8,543	8,543	9,000
Information Management	34,618	34,618	17,000
Regulatory Development	9,728	8,755	4,000
Outreach and Education	2,889	2,889	3,000
Commercial Motor Vehicle Operating Grants	1,000	1,000	1,000
Total Motor Carrier Safety Operations & Programs	245,000	247,724	250,000
Motor Carrier Safety Grants:			
Compliance, Safety, and Accountability Program			
Motor Carrier Safety Assistance Program (MCSAP)	215,070	212,000	234,000
Border Enforcement Grants	32,000	32,000	26,000
Safety Data Improvement Grants (SaDIP)	3,000	3,000	4,000
Subtotal Compliance, Safety and Accountability Program	250,070	247,000	264,000
Driver Safety Grant Program			
Commercial Driver's License (CDL) Program Improvement Grants	30,000	30,000	36,000
Subtotal Driver Safety Grant Program	30,000	30,000	36,000
Data and Technology Grant Program			
Commercial Vehicle Information Systems (CVISN)	25,000	25,000	25,000
Performance and Resigtration Information Systems (PRISM)	5,000	5,000	5,000
Subtotal Data and Technology Grant Program	30,000	30,000	30,000
Total Motor Carrier Safety Grants	310,070	307,000	330,000
Grand Total	555,070	554,724	580,000

EXHIBIT II-3

**FY 2013 BUDGET REQUEST BY DOT STRATEGIC AND ORGANIZATION GOALS
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
(\$000)**

	Safety	Environmental Sustainability	State of Good Repair/ Infrastructure	Livable Communities	Economic Competitiveness	Organizational Excellence	
MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS	228,882	0,000	0,000	0,000	3,729	17,389	250,000
SAFETY	228,882						228,882
Enforcement and Intervention (Programs)	139,158						139,158
IT Development and Sustainment	37,913						37,913
Research	9,897						9,897
Safety Mission Support	41,914						41,914
ENVIRONMENTAL SUSTAINABILITY		0,000					0
STATE OF GOOD REPAIR/ INFRASTRUCTURE			0,000				0
LIVABLE COMMUNITIES				0,000			0
ECONOMIC COMPETITIVENESS					3,729		3,729
Enforcement and Intervention (Programs)					3,729		3,729
ORGANIZATIONAL EXCELLENCE						17,389	17,389
Safety Mission Support						17,389	17,389
MOTOR CARRIER SAFETY GRANTS	330,000	0,000	0,000	0,000	0	0	330,000
SAFETY	330,000	0,000	0,000	0,000	0	0	330,000
Enforcement and Intervention (Grants)	330,000	0,000	0,000	0,000	0	0	330,000
TOTAL FY 2013 REQUEST	558,882	0,000	0,000	0,000	3,729	17,389	580,000

FTE (direct funded only)

1,040

10

12

1,062

EXHIBIT II-3-A

**FY 2013 BUDGET REQUEST BY DOT OUTCOMES
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
(\$000)**

<u>DOT OUTCOME</u>	<u>PROGRAM</u>	FY 2013 REQUEST
SAFETY		558,882
Reduction in Injuries and Fatalities	Enforcement and Intervention (PRIMARY)	469,158
Reduction in Injuries and Fatalities	IT Development and Sustainment	37,913
Reduction in Injuries and Fatalities	Research	9,897
Other	Safety Mission Support (People,	41,914
ENVIRONMENTAL SUSTAINABILITY		0
STATE OF GOOD REPAIR/ INFRASTRUCTURE		0
LIVABLE COMMUNITIES		0
ECONOMIC COMPETITIVENESS		3,729
Maximize economic returns	Enforcement and Intervention (Programs	3,729
ORGANIZATIONAL EXCELLENCE		17,389
	Safety Mission Support	17,389
TOTAL FY 2013 REQUEST		580,000

EXHIBIT II-4

**FY 2013 BUDGET AUTHORITY
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**

(\$000)

ACCOUNTS	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST
Motor Carrier Safety Operations & Programs			
Operating Expenses	187,366	191,919	216,000
Research and Technology	8,543	8,543	9,000
Information Management	34,618	34,618	17,000
Regulatory Development	9,728	8,755	4,000
Outreach and Education	2,889	2,889	3,000
Commercial Motor Vehicle Operating Grants	1,000	1,000	1,000
Motor Carrier Safety Operations & Programs	244,144	247,724 (1)	250,000
Motor Carrier Safety Grants:			
Compliance, Safety, and Accountability Program			
Motor Carrier Safety Assistance Program (MCSAP)	212,000	212,000	234,000
Border Enforcement Grants	32,000	32,000	26,000
Safety Data Improvement Grants (SaDIP)	3,000	3,000	4,000
Subtotal Compliance, Safety and Accountability Program	247,000	247,000	264,000
Driver Safety Grant Program			
Commercial Driver's License (CDL) Program Improvement Grant	30,000	30,000	36,000
Subtotal Driver Safety Grant Program	30,000	30,000	36,000
Data and Technology Grant Program			
Commercial Vehicle Information Systems (CVISN)	25,000	25,000	25,000
Performance and Resigtration Information Systems (PRISM)	5,000	5,000	5,000
Subtotal Data and Technology Grant Program	30,000	30,000	30,000
Subtotal Motor Carrier Safety Grants	307,000	307,000	330,000
Less Recission of Contract Authority	0	-1,000	0
Total Motor Carrier Safety Grants	307,000	306,000	330,000
Grand Total	551,144	553,724	580,000
[Mandatory]	551,144	553,724	580,000
[Discretionary]	0	0	0

(1) includes \$ 3.580 million in Base line Adjustment to Contract Authority

EXHIBIT II-5

**FY 2013 OUTLAYS
FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION
(\$000)**

ACCOUNT NAME	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST
Motor Carrier Safety	336	7,480	0
National Motor Carrier Safety Program	586	7,861	0
Motor Carrier Safety Operations & Programs	240,717	249,181	250,897
Motor Carrier Safety Grants	253,196	313,299	334,399
TOTAL	494,835	577,821	585,296
[Mandatory]	494,835	577,821	585,296
[Discretionary]	0	0	0

EXHIBIT II-6-A

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

	FY 2012 ENACTED	ANNUALIZATION 2012 FTE, 2012 PAY ADJ	BASELINE CHANGES ONE MORE		WCF INCREASE/ INFLATION/ DECREASE DEFLATION	FY 2015 BASELINE INCREASES/ ESTIMATE DECREASES	PROGRAM INCREASES/ DECREASES	FY 2013 REQUEST
			2013 PAY COMPENSABLE RAISES	DAY				
ADMINISTRATIVE EXPENSES								
PERSONNEL RESOURCES (FTE)								
Direct FTE	1,062	0				1,062	0	1,062
GENERAL OPERATING EXPENSES								
Personal Pay, Compensation & Benefits (10)	115,018	0	453	310	0	113,781	0	113,781
Contractual Services & Supplies (20)								
Travel (21)	11,363				57	11,420	1,857	13,277
Printing/Reproductions (24)	700			4		704	17	721
Other Services (25)	29,031			0		29,031	17,824	46,855
Supplies (26)	3,415			17		3,432	584	4,016
Equipment (31)	1,100			0		1,100	(800)	300
GSA Rent (23.1)	11,330			57		11,387	2,069	13,456
Training	3,892			19		3,911	542	4,453
Fleet	1,535			8		1,543	254	1,797
Federal Protective Service (FPS)	391			2		393	199	592
Academy Training	719			2		721	114	835
Border Facilities Leases	1,225			4		1,229	771	2,000
Facility Improvements	5,000			0		5,000	(500)	4,500
Uniform Support Services	435			2		437	133	570
WCF/IT Franchise Fund	8,765			0		8,765	82	8,847
OPERATIONS TOTAL	191,919	0	453	310	0	192,854	23,146	216,000
CONTRACT ACTIVITIES								
Research and Technology	8,543			41		8,584	416	9,000
Information Management	34,618			0		34,618	(17,618)	17,000
Regulatory Development	8,755			0		8,755	(4,755)	4,000
Outreach and Education	2,889			14		2,903	97	3,000
TOTAL	54,805			55		54,860	(21,860)	33,000
GRANTS								
Commercial Motor Vehicle Operating Grants	1,000			0		1,000	0	1,000
TOTAL GRANTS	1,000			0		1,000	0	1,000
OPERATIONS & PROGRAMS ACCOUNT TOTAL	247,724	0	453	310	0	247,714	1,286	250,000

EXHIBIT II-6-B

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

MOTOR CARRIER SAFETY GRANTS
69-X-8158

	FY 2012 ENACTED	BASELINE CHANGES				FY 2013 BASELINE ESTIMATE	PROGRAM INCREASES/ DECREASES	FY 2013 REQUEST
		ANNUALIZATION 2012 FTE	2013 PAY RAISES	COMPENSABLE DAY	WCF INFLATION INCREASE/ DECREASE			
COMPLIANCE, SAFETY, AND ACCOUNTABILITY PROGRAM								
Motor Carrier Safety Assistance Program (MCSAP)	212,000				1,060	213,060	20,940	234,000
Border Enforcement Grants	32,000					32,000	(6,000)	26,000
Border Enforcement Grants (BEG)	3,000					3,000		3,000
Safety Data Improvement Grants (SDIG)	5,000					5,015	985	4,000
Total Compliance, Safety, and Accountability Grant	247,000				1,075	248,075	15,925	264,000
DRIVER SAFETY GRANTS PROGRAM								
Commercial Driver's License (CDL) Program Improvement Grant	30,000				150	30,150	5,850	36,000
Total Driver Safety Grant	30,000				150	30,150	5,850	36,000
DATA AND TECHNOLOGY PROGRAM								
Commercial Vehicle Information Systems (CVISN)	25,000					25,000	0	25,000
Performance and Registration Information Systems (PRISM)	5,000					5,000	0	5,000
Total Data and Technology Grant	30,000					30,000	0	30,000
GRAND TOTAL MOTOR CARRIER SAFETY GRANTS	307,000				1,225	308,225	21,775	330,000

EXHIBIT II-7

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

	FY 2012 ENACTED	FY 2013 REQUEST	CHANGE FROM 2012 ENACTED
DIRECT			
Motor Carrier Safety Operations & Programs	8,765	8,847	82
TOTAL	8,765	8,847	82

EXHIBIT II-8

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

	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST
DIRECT FUNDED BY APPROPRIATION			
Motor Carrier Safety Operations & Programs	1,036	1,062	1,062
SUBTOTAL, DIRECT FUNDED	1,036	1,062	1,062
REIMBURSEMENTS/ALLOCATIONS/OTHER			
Motor Carrier Safety Operations & Programs	43	61	61
SUBTOTAL, REIMBURSE./ALLOC./OTH.	43	61	61
TOTAL FTEs	1,079	1,123	1,123

EXHIBIT II-9

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

	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST
DIRECT FUNDED BY APPROPRIATION			
Motor Carrier Safety Operations & Programs	1,136	1,136	1,136
SUBTOTAL, DIRECT FUNDED	1,136	1,136	1,136
REIMBURSEMENTS/ALLOCATIONS/OTHER			
Motor Carrier Safety Operations & Programs	61	61	61
SUBTOTAL, REIMBURSE./ALLOC./OTH.	61	61	61
TOTAL POSITIONS	1,197	1,197	1,197

REAUTHORIZATION TABLE

Program Account - Motor Carrier Safety Operations & Programs

	2013	2014	2015	2016	2017	2018
TOTAL MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS	250,000,000	342,000,000	388,000,000	429,000,000	478,000,000	511,000,000

Program Account - Motor Carrier Safety Grants

	2013	2014	2015	2016	2017	2018
Compliance, Safety, and Accountability Grants Program	264,000,000	277,000,000	294,000,000	318,000,000	338,500,000	389,000,000
Driver Safety Grant Program	36,000,000	40,000,000	44,000,000	48,000,000	54,000,000	58,000,000
Data and Technology Grant Program	30,000,000	40,000,000	42,000,000	48,000,000	56,500,000	60,000,000

TOTAL MOTOR CARRIER GRANTS

GRAND TOTAL

	330,000,000	357,000,000	380,000,000	414,000,000	449,000,000	507,000,000
	580,000,000	699,000,000	768,000,000	843,000,000	927,000,000	1,018,000,000

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

[For payment of obligations incurred in the implementation, execution and administration of motor carrier safety operations and programs pursuant to section 31104(i) of title 49, United States Code, and sections 4127 and 4134 of Public Law 109-59, \$247,724,000, 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 none of the funds derived from the Highway Trust Fund in this Act shall be available for the implementation, execution or administration of programs, the obligations for which are in excess of \$247,724,000, for "Motor Carrier Safety Operations and Programs" of which \$8,543,000, to remain available for obligation until September 30, 2014, is for the research and technology program and \$1,000,000 shall be available for commercial motor vehicle operator's grants to carry out section 4134 of Public Law 109-59: *Provided further*, That notwithstanding any other provision of law, none of the funds under this heading for outreach and education shall be available for transfer: *Provided further*, That the Federal Motor Carrier Safety Administration shall transmit to Congress a report on March 30, 2012 on the agency's ability to meet its requirement to conduct compliance reviews on high-risk carriers]

Contingent upon enactment of multi-year surface transportation authorization legislation, \$250,000,000, to remain available until expended and to be derived from the Transportation Trust Fund (Highway Account) together with advances and reimbursements received by the Federal Motor Carrier Safety Administration, for payment of obligations incurred in the implementation, execution, and administration of motor carrier safety operations and programs authorized under title 49, United States Code, and provisions of Public Law 109-59, as amended by such authorization: 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 \$250,000,000 for "Motor Carrier Safety Operations and Programs" for fiscal year 2013, of which \$9,000,000, to remain available for obligation until September 30, 2015, is for the Research and Technology program, and of which \$1,000,000 shall be available for commercial motor vehicle operator's grants to carry out section 4134 of Public Law 109-59: Provided further, That notwithstanding section 4127(e) of Public Law 109-59, none of the funds under this heading for outreach and education shall be available for transfer. (Department of Transportation Appropriations Act, 2012.)

**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 2011	FY 2012	FY 2013
		<u>ACTUAL</u>	<u>ENACTED</u>	<u>REQUEST</u>
Obligations by program activity:				
0001	Operating Expenses	189,195	191,919	216,000
0002	Research and Technology	6,959	12,735	9,000
0003	Information Management	34,618	34,618	17,000
0004	Regulatory Development	8,711	8,755	4,000
0005	Outreach and Education	2,888	2,889	3,000
0006	Commercial Motor Vehicle Operating Grants	1,000	1,000	1,000
0100	Subtotal, direct program	<u>243,370</u>	<u>251,916</u>	<u>250,000</u>
0799	Total, direct obligations	243,370	251,916	250,000
0801	Reimbursable program	14,830	27,000	27,000
0900	Total new obligations	<u>258,200</u>	<u>278,916</u>	<u>277,000</u>
 Budgetary Resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	13,259	17,594	9,822
1020	Adjustment of unobligated bal brought forward, Oct 1	719	0	0
1021	Recoveries of prior year unpaid obligations	3,178	0	0
1050	Unobligated balance (total)	<u>17,157</u>	<u>17,594</u>	<u>9,822</u>
 Budget authority:				
Appropriations, discretionary:				
1102	Appropriation, (trust fund)	245,000	247,724	250,000
1137	Appropriations applied to liquidate contract authority	-245,000	-247,724	-250,000
1160	Appropriation, discretionary (total)	<u>0</u>	<u>0</u>	<u>0</u>
 Contract authority, mandatory:				
1600	Contract authority	244,144	244,144	250,000
1621	Unobligated balance of contract authority permanently reduced	0	0	0
1640	Contract authority, mandatory (total)	<u>244,144</u>	<u>244,144</u>	<u>250,000</u>
 Spending authority from offsetting collections, discretionary:				
1700	Collected	14,493	27,000	27,000
1701	Change in uncollected customer payments from federal sources	0	0	0
1750	Spending auth from offsetting collections, disc (total)	<u>14,493</u>	<u>27,000</u>	<u>27,000</u>
1900	Budget authority (total)	258,637	271,144	277,000
1930	Total budgetary resources available	275,794	288,738	286,822
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance ,end of year	17,594	9,822	9,822

**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		<u>FY 2011</u>	<u>FY 2012</u>	<u>FY 2013</u>
		<u>ACTUAL</u>	<u>ENACTED</u>	<u>REQUEST</u>
Change in obligated balance:				
Obligated balance , start of year (net):				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	86,341	85,434	88,169
3001	Adjustments to unpaid obligations, brought forward, Oct 1	-719	0	0
3010	Uncollected pymts, Fed sources, brought forward, Oct 1	0	0	0
3020	Obligated balance , start of year (net):	85,621	85,434	88,169
3030	Obligations incurred, unexpired accounts	258,200	278,916	277,000
3040	Outlays (gross)	-255,210	-276,181	-277,897
Change in uncollected customer payments from Federal sources:				
3050	Unexpired accounts	0	0	0
3080	Recoveries of prior year unpaid obligations, unexpired	-3,178	0	0
Obligated balance, end of year (net):				
3090	Unpaid obligations, end of year (gross)	85,434	88,169	87,272
3091	Uncollected pymts, Fed sources, end of year	0	0	0
3100	Obligated balance , end of year (net):	85,434	88,169	87,272
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	14,493	27,000	27,000
Outlays, gross:				
4010	Outlays from new discretionary authority	197,625	212,793	214,500
4011	Outlays from discretionary balances	57,585	63,388	63,397
4020	Total outlays, gross (disc)	255,210	276,181	277,897
Offsetting collections from:				
4030	Federal sources (disc)	-367	0	0
4034	Offsetting government collections (from non-Federal sources)	-14,126	-27,000	-27,000
4040	Offsetting against gross budget authority and outlays (disc)(total)	-14,493	-27,000	-27,000
Additional offsets against gross budget authority only (disc):				
4070	Budget authority, net (discretionary)			
4080	Outlays net (discretionary)	240,717	249,181	250,897
Mandatory:				
4090	Budget authority, gross	244,144	244,144	250,000
4160	Budget authority, net (mandatory)	244,144	244,144	250,000
4180	Budget authority, net (total)	244,144	244,144	250,000
4190	Outlays net (total)	240,717	249,181	250,897
Memorandum (non-add) entries:				
5050	Unobligated balance, SOY: Contract authority	13,259	17,594	9,822
5051	Unobligated balance, EOY: Contract authority	17,594	9,822	9,822
5052	Obligated balance, SOY: Contract authority	85,621	85,434	88,169
5053	Obligated balance, EOY: Contract authority	85,434	88,169	87,272
5061	Limitation on obligations (Transportation Trust Funds)	245,000	247,724	250,000

MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS PROGRAM AND PERFORMANCE STATEMENT

The Operations and Programs account provides the necessary resources to support program and administrative activities for motor carrier safety. Under the Administration's surface transportation reauthorization proposal, FMCSA will improve safety and reduce severe and fatal commercial motor vehicles crashes by raising the bar to entry into the commercial motor vehicle industry, by requiring operators to maintain standards to remain in the industry, and by removing high-risk carriers, vehicles, drivers and service providers from operation.

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

The Administration proposes to reclassify all surface transportation outlays as mandatory, consistent with the recommendations of the President's National Commission on Fiscal Responsibility and Reform. This schedule reclassifies discretionary outlays from obligation limitations as mandatory outlays from mandatory contract authority for the 2013 estimate. This schedule also creates a new baseline of contract authority that is equal to the previous discretionary obligation limitation baseline, to calculate the spending increase above the baseline subject to PAYGO.

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

	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST
Direct Obligations:			
Personnel compensation			
11.1 Full-time permanent	81,508	79,288	79,647
12.1 Civilian personnel benefits	33,311	33,730	34,134
Total Personnel Compensation & Benefits	114,819	113,018	113,781
21.0 Travel and transportation of persons	9,581	11,363	13,279
23.1 Rental payments to GSA	11,074	11,330	13,458
24.0 Printing	358	700	720
25.0 Other Services	101,211	105,496	98,360
26.0 Supplies and materials	4,751	7,909	9,102
31.0 Equipment	576	1,100	300
41.0 Grants, subsidies, and contributions	1,000	1,000	1,000
99.0 Subtotal, Direct Obligations	243,370	251,916	250,000
Reimbursable Obligations:			
Personnel Compensation			
11.1 Full-time permanent	5,426	7,000	7,027
Total personnel compensation	5,426	7,000	7,027
12.1 Civilian personnel benefits	1,395	2,100	2,170
25.0 Other services	8,009	17,900	17,803
99.0 Subtotal, Reimbursable Obligations	14,830	27,000	27,000
99.9 Total Obligations:	258,200	278,916	277,000

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

	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST
DIRECT FUNDED BY APPROPRIATION			
Motor Carrier Safety Operations & Programs	1,036	1,062	1,062
Motor Carrier Safety Operations & Programs	43	61	61
TOTAL FTEs	1,079	1,123	1,123

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

	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST
DIRECT FUNDED BY APPROPRIATION			
Motor Carrier Safety Operations & Programs	1,136	1,136	1,136
Motor Carrier Safety Operations & Programs	61	61	61
TOTAL POSITIONS	1,197	1,197	1,197

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

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

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

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

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

⁴ Enacted rescission pursuant to P.L. 109-148

⁵ Enacted increase in Obligation Limitation to use prior year carryover contract authority

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

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

ACCOUNTS	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST
Motor Carrier Safety Operations and Programs:			
Operating Expenses	188,222	191,919	216,000
Research and Technology	8,543	8,543	9,000
Information Management	34,618	34,618	17,000
Regulatory Development	9,728	8,755	4,000
Outreach and Education	2,889	2,889	3,000
Commercial Motor Vehicle Operating Grants	1,000	1,000	1,000
Total Motor Carrier Safety Operations and Programs	245,000	247,724	250,000
FTE Direct Funded	1,036	1,062	1,062
FTE Reimbursable	43	61	61

EXHIBIT III-1-A-1
MOTOR CARRIER SAFETY OPERATIONS & PROGRAMS
Summary Analysis of Changes from FY 2012 President's Budget to FY 2013 Request
Appropriations, Obligations, Limitations, and Exempt Obligations
(\$000)

	Changes from FY 2012 to FY 2013 Request (\$000)	Changes from FY 2012 to FY 2013 (FTE)
FY 2012 BASE	247,724	1,062
Annualization of FY 2012 FTE	-	
FY 2013 pay raise	453	
Additional Day (PC&B)	310	
Inflation	227	
SUBTOTAL ADJUSTMENT TO BASE	990	-
NEW OR EXPANDED PROGRAMS		
Travel	1,857	
Printing/Reproduction	17	
Contracts	17,824	
Supplies	584	
Equipment	(800)	
GSA Rent	2,069	
Training	542	
Fleet	254	
Federal Protective Service (FPS)	199	
Academy Training	114	
Border Facilities Leases	771	
Facility Improvements	(500)	
Uniform Support Services	133	
Research & Technology Program	416	
IT Development	(17,618)	
Rulemaking	(4,755)	
Communications & Outreach	97	
Working Capital Fund (WCF)	82	
SUBTOTAL NEW OR EXPANDED PROGRAMS	1,286	-
TOTAL ADJUSTMENT TO BASE	990	-
FY 2013 BUDGET REQUEST	250,000	1,062

**FEDERAL MOTOR CARRIER ADMINISTRATION
MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS
FY 2013 CROSSWALK FROM PROGRAM STRUCTURE
TO PERFORMANCE STRUCTURE
(\$000)**

PROGRAM STRUCTURE	FY 2013 REQUEST	PERFORMANCE STRUCTURE	FY 2013 REQUEST
Operating Expenses:		Research:	
Research Operating Expenses	897	Operating Expenses	897
IT Operating Expenses	3,313	Research and Technology Program Costs	9,000
IT Development and Sustainment	17,600	Subtotal, Research	9,897
Enforcement and Intervention	138,887		
Safety Mission Support	55,303	IT Development and Sustainment:	
Subtotal, Operating Expenses	216,000	Operating Expenses	3,313
		Integrated Highway Program Safety Office	5,000
Research and Technology	9,000	IT Sustainment Program Costs	12,600
		Information Management Program Costs	17,000
Information Management	17,000	Subtotal, IT Development and Sustainment	37,913
Regulatory Development	4,000	Enforcement and Intervention:	
		Operating Expenses	138,887
Outreach and Education	3,000	Regulatory Development Costs	4,000
		Subtotal, Enforcement and Intervention	142,887
CMV Operator Grants	1,000		
		Safety Mission Support:	
		Operating Expenses	55,303
		Outreach and Education Program Costs	3,000
		CMV Operator Grants	1,000
		Subtotal, Safety Mission Support	59,303
Total, Operations and Programs	250,000		250,000

FY 2013 MOTOR CARRIER SAFETY OPERATIONS AND PROGRAMS
(in Thousands of dollars)

Program Activity	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST
Research	9,457	9,420	9,897
IT Development and Sustainment	38,145	37,914	38,194
Enforcement and Intervention	139,393	143,270	142,606
Safety Mission Support	58,005	57,120	59,303
Total	245,000	247,724	250,000

Research: \$9,897,000

In 2010 there were nearly 3,700 fatalities in large truck crashes. Although this figure is dramatically lower than the 5,282 fatalities recorded in 2000, research and technology development are necessary to identify further measures to save lives on the Nation's roadways. The FMCSA's research program supports the agency's safety mission by researching technologies and human performance factors that impact commercial drivers and vehicles. FMCSA's authorizing legislation directs the agency to carry out research, development, and technology related activities to address the causes of injuries and fatalities involving commercial vehicles and to reduce their number and severity. The statute also directs FMCSA to use innovative technology to improve the safety and efficiency of commercial motor vehicle operations and to improve the enforcement of safety regulations. The 2013 budget request will also allow the agency to continue to address the specific areas identified in the 2012 appropriations language, such as Hours of Service and motor coach safety.

IT Development and Sustainment: \$38,194,000

The work undertaken in FY 2013 will include continuation of the IT Modernization Program (which includes COMPASS through FY 2012). As part of a major investment management re-planning initiative, the COMPASS investment/business case will be closed at the end of FY 2012 and the work completed will be operational. The work to be addressed in FY 2013 will be undertaken using separate investments, taking a more modular approach, with tangible results for the customers each step of the way. The funds for this Program will continue the transformation of FMCSA IT systems to a Service Oriented Architecture (SOA).

Sustainment funds continue to provide necessary IT Operations and Maintenance, for the required oversight, structure, and processes supporting the most customer-focused and cost-effective IT services delivery model for the FMCSA. This model includes systems maintenance and technical refreshes, while addressing all IT infrastructure needs. Earlier successes with the data center migration will help FMCSA to focus on other operating efficiencies, including increased virtualization. As part of an overall governance framework, FMCSA has established an implementation plan to address new systems requirements and outstanding requests to: (a) establish a meaningful baseline, (b) conduct severity rating and prioritization using a consistent approach, (c) tie to rulemaking/legislation, (d) level set expectations for all stakeholders, and (e) establish a schedule on which requests will be addressed.

In FY 2013, \$5M is proposed for an Integrated Highway Safety Office with FHWA, FMCSA, and NHTSA to provide a coordinated, effective, and efficient support for State traffic records systems and analysis through their outreach, training, technical assistance, and grant programs. The three modes making up the JPO will work together to better utilize existing data resources; identify data collection and analysis collaborations; and support the creation and management of integrated traffic records data and standards.

Enforcement and Intervention: \$142,606,000

The Enforcement and Intervention Program incorporates key Agency functions to improve safety on our Nation's roadways: Driver Management and Oversight; Grants Management and Oversight; Intervention Programs; Commercial Enforcement; Border Programs Management and Oversight (including the Mexican Long Haul Pilot Project); and Rulemaking.

- **Driver Management and Oversight**- focuses on projects which raise the safety bar for obtaining a commercial driver's license (CDL) to operate a commercial motor vehicle. This funding request supports FMCSA's medical and CDL programs and addresses increasing issues with CMV driver medical qualifications, proper credentialing, and controlled licensing.
- **Grants Management and Oversight** - will provide financial and human capital resources to support the management and oversight of FMCSA's grant and cooperative agreement programs. With the proposed realignment of the Grants Program under three grant programs: Compliance, Safety, and Accountability; Driver Safety; and Data and Technology, human resources are essential to program success. The staff will develop and implement the FMCSA grant programs; solicit applications; evaluate the technical aspects of the applications; recommend awards; execute awards, obligate and de-obligate funds; monitor deliverables; review the grants for compliance with program requirements; meet performance measures; require corrective action plans when deficiencies are identified; and establish and monitor internal controls to ensure, identify, and promote best practices.
- **Intervention Programs** - is FMCSA's field enforcement presence and the primary tool used to achieve the Agency's Safety mission. This program funds FMCSA's nation-wide presence and the personnel responsible for conducting compliance reviews, investigations of carriers and other safety-related oversight. The Intervention Program continues the transition of FMCSA's traditional compliance review process to a more robust and efficient safety oversight program. The program utilizes a variety of intervention

approaches such as: warning letters, on-site comprehensive and focused investigations, off-site enforcement, Notice of Violations, Notice of Claims, and Operations Out-of-Service Orders to enforce the FMCSRs and the Hazardous Materials Regulations. The Enforcement and Compliance activities ensure compliance with the Federal Motor Carrier Safety Regulations (FMCSRs) and remove unsafe carriers and drivers from the Nation's highways. FMCSA targets high risk carriers through a series of interventions such as compliance reviews, safety audits, Hazardous Materials carrier and shipper reviews, and roadside inspections.

- **Commercial Enforcement Program** - is responsible for engaging consumers, shippers, and carriers through partnerships, education, and enforcement and compliance operations to ensure household goods (HHG) are delivered as agreed upon between carriers and consumers. The program also ensures that for-hire motor carriers obtain and maintain the proper level of insurance to protect shippers in the event of damage or loss. Further, this program is necessary to combat the increasing number of rogue HHG movers and brokers that intentionally provide low estimates to get a moving contract but then refuse to deliver the goods unless more money is paid ("hostage loads").
- **Border Programs Management and Oversight** (including the Mexican Long Haul Pilot Project) – develop and implement strategies to oversee the safety of trucks entering into the U.S. from Mexico and Canada. The program manages the Agency's coordination of safety activities with the governments of Canada and Mexico including facilitating safety data exchange and harmonization of safety regulations and enforcement programs. The program intends to enhance the working relationships between the United States, Mexico, and Canada and facilitate the development and implementation of uniform and consistent commercial motor vehicle regulations, inspection procedures, and safety programs throughout region.
- **Rulemaking** - is a critical function of FMCSA and as such provides the foundation of safety improvements by the commercial motor vehicle transportation industry. Regulations are needed to implement statutory requirements and prescribe minimum safety requirements for motor carriers, drivers, and vehicles. Regulations also establish the safety performance standards for which the Agency holds motor carriers and drivers accountable and protects consumers for the transportation of their household goods.

Safety Mission Support: \$59,303,000

FMCSA's mission support functions provide essential services and support to FMCSA, ensuring the success of the Agency in accomplishing its primary safety mission. The combined Safety Mission Support activities ensures the Agency: (1) maintains a strong support base for its employees; (2) hires and maintains a high performing workforce; (3) has a strong program of internal controls and financial support; (4) manages its assets and facilities in a cost effective and environmentally responsible manner; and (5) provides adequate financial, acquisitions, and legal support for its staff.

Key mission support areas are the:

- Administrator's Office which includes other key leadership positions such as the Chief Financial Officer, Chief Counsel, Office of Civil Rights, and the Office of Communications.
- National Training Center focusing on safety training, commercial motor vehicle training, and a comprehensive program of professional and leadership development training.
- Office of Human Resources providing a full range of human resource services such as employee and labor relations, staffing and classification, workers compensation, benefits, and human capital services.
- Office of Acquisitions supporting procurement, contracting warrants, contracting technical representatives and the government purchase card program. Acquisition also supports independent cost estimates, market research, statement of work development and technical evaluations.
- Management Services office develops agency-wide policies governing space management, GSA facilities and equipment management, mail services, inventory property management, GSA fleet management, printing, and transit benefits. These functions are managed centrally to leverage economies of scale, monitor and control costs and regulations, policy and compliance assurance.

RESEARCH
(in Thousands of dollars)

Program Activity	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST	CHANGE FY 2012 - 2013
<u>Funding levels</u>				
Personnel Compensation & Benefits	748	745	750	5
Contracts	8,543	8,543	9,000	457
Other Cost	165	132	147	15
Total	9,456	9,420	9,897	477

Staffing

Direct Positions	7	7	7	0
Reimbursable Positions	6	6	6	0
Direct FTE	7	7	7	0
Reimbursable FTE	5	6	6	0

Program Name: Research and Technology

1. What is the request and what will we get for the funds?

The Research and Technology performance funding request is included in the Program Schedule in Exhibit II-2.

Operating Expenses	897
Research and Technology Program Costs	9,000
Total	9,897

The Research and Technology Program expands the knowledge and portfolio of deployable technologies and innovations that help the Federal Motor Carrier Safety Administration (FMCSA) reduce crashes, injuries, and fatalities. Research and Technology efforts support Agency rulemaking and contribute to a safe and secure commercial transportation system. The Program directly supports the Agency's core priorities with over 40 percent of FY2013 funds directed to Maintain High Safety Standards, 35 percent to Remove High-Risk Carriers, Drivers, and Service Providers from Operating, and 15 percent to raise the bar to enter the Motor Carrier Industry. The remainder of the request funds program management, administration, and outreach activities to ensure research and technology activities migrate to use in field operations and regulatory applications. An important function within the program is ensuring that FMCSA's State Agency and industry stakeholders are fully aware of research findings and technology evaluation results. A robust research and technology program positions the Agency to develop future regulations and tools to better advance commercial motor vehicle (CMV) safety. The requested funding will support research into driver fatigue, health and skills in CMVs. In FY2013 research will continue

on the exponentially increasing deployment of electronic devices in CMVs using naturalistic research methodologies to measure driver distraction. The technology activities within the program will identify, test, evaluate, and deploy potential life-saving vehicle technologies such as vehicle stability controls and wireless roadside inspection to determine their feasibility for expanded implementation in the motor carrier fleet.

What Is The Program?

The Research Program supports FMCSA's safety mission by researching technologies and human performance factors that impact commercial drivers and vehicles. Knowledge, data and information achieved through funded research projects will affect the Agency's Policy Development and Rulemaking activities through the development of future regulations and tools to improve CMV safety. The Research Program supports the Agency's diverse priorities and offices, including:

- Research to produce safer drivers via fatigue and health studies, as well as naturalistic driving data gathering to better analyze driver and vehicle safety lapses.
- Policy development and rulemaking: examples include medical certification, driver distraction, Hours of Service (HOS), and entry level training.
- The Agency's enforcement activities including hazardous materials and motor coach research.
- The Agency's congressionally mandated Small Business Innovative Research (SBIR) Program.

The FY 2013 Research Program increases emphasis on driver issues, the predominant cause of truck and bus crashes. The Research Program considers studies and technology focused on drivers, vehicles and industry and supports Agency rulemaking activities. FY 2013 includes initial funding for a multi-year Large Truck Crash Causation Study (LTCCS). This study should provide valuable insights into the role emerging technologies have on crash causation and fatalities, and distracted driving.

FY 2013 funding will enable the Technology Program to continue to adopt, develop, test, and deploy advanced integrated information technology solutions and innovative on-board commercial vehicle, driver, and roadside technologies. Through these activities, the Technology Program aims to improve safety and security, save lives, and prevent serious injury by reducing the number and severity of truck and bus crashes. The FMCSA Technology Program integrates with activities under the United States Department of Transportation (USDOT) Intelligent Transportation Systems (ITS) program. FMCSA's primary ITS program is the CVISN Deployment Program. Through the Technology Program, FMCSA partners with other USDOT modes to collaborate on ITS solutions for trucks and buses. The flagship program for the Department's ITS program is the vehicle-to-vehicle safety program, which is testing a transformational safety system that has the potential to significantly reduce all highway crashes by more than 70 percent in the coming years.

2. Why Is This Particular Program Necessary?

FMCSA's Research and Technology Program develops the data, information and knowledge needed to develop data driven regulations which will focus on solutions based on a solid understanding of real commercial vehicle, driver and carrier operations. This research is necessary to evaluate possible cause and effects that may impact safety and to support innovative solutions and processes to improve safety. Each Research project has the potential to greatly improve CMV safety. For instance, previous research on on-board monitoring and performance feedback systems has shown that these systems can greatly improve driver performance. The field operational test will quantify the improvement in driver performance and make the business case. Preliminary results suggest that on-board monitoring systems can reduce driver errors by 50 percent. Such information allows the Agency to determine required changes or establish new safety regulations, methods, models, tools, policies, and procedures.

The Technology Program is critical to the identification and leveraging of cutting edge technologies that enable roadside inspectors to target high risk operators. Examples of current and future roadside innovations include the updated technical requirements contained in the Electronic On-board Recorder (EOBR) regulation published in April 2010, which enables wireless downloads of driver logs and automated checks at roadside by inspectors, thereby saving thousands of staff hours over current manual examination processes. Building on these innovations, the program plans to field test the wireless inspection concept where EOBR log files, driver qualifications, and vehicle brake and tire safety status data are checked in real-time by inspectors while the truck or bus travels past a fixed, portable, or mobile inspection site.

3. How Do You Know The Program Works?

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

4. How Do You Know The Program Works?

The Research Program has made critical contributions to the Agency's safety mission by providing scientific research findings on driver behavior and technology applications (please see Table 1. for listing of selected accomplishments). FMCSA's Research Program has proven to be critical in current agency rulemakings—from Hours of Service to various Driver Distraction rulemakings that the Agency has completed. Sound scientific research is fundamental to improving operations and enhancing federal rules to advance commercial motor vehicle safety. In 2011, FMCSA's Research Program provided five new studies that assisted FMCSA's Policy Office with developing changes to the Hours of Service (HOS) rule governing property carrying commercial vehicle drivers. This new research identified a modest time-on-task affect of driving

hours, benefits of driver rest breaks, changes in recovery periods between work weeks, crash risks associated with long work hours, and potential health hazards associated with driving commercial vehicles. These studies were the basis for major changes to the HOS rule governing commercial vehicle drivers.

One of the most noteworthy examples of FMCSA’s Research Program’s successes was the Driver Distraction in CMV Operations study which showed that drivers who text while driving were 23.2 times more likely to be involved in a safety-critical event (a crash, near crash, or unintended lane departure) than if they were not texting. This research was the basis for a Pulitzer Prize winning *New York Times* series and was used by states across the Nation to support rulemaking and statutory changes to ban texting while driving. In 2009 Webster’s New World College Dictionary named the term "distracted driving" as their Word of the Year because of the impact the term has had on our culture. FMCSA has used this research as the basis for two major rulemaking regarding commercial vehicle driver distraction the first rulemaking banned texting while driving a commercial vehicle and the second rule banned the use of hand-held mobile phones. FMCSA is currently examining cognitive distraction through the use of third-party naturalistic driving video and audio data.

The Research Program also engages in real-world field testing which offers the best opportunity to assess the costs and potential benefits of new technology solutions. For example, FMCSA has conducted successful field testing of tire pressure monitoring systems, wireless roadside inspection systems, infra-red brake screening technology, and other applications of safety enhancing technologies.

Table 1: Selected Contributions of the Research and Technology Program

Research and Technology Projects	Accomplishments
Hours of Service and driver fatigue research projects	Completed a number of projects which provided direct support for the Hours of Service rule issued in 2011.
Commercial Motor Vehicle driver distraction research	Provided direct support for the driver distraction rules banning texting and prohibiting hand-held mobile telephone use.
On-board safety system technology assessment	Provided a real world, independent evaluation of fleet and societal safety benefits from the technology.
Driver-based monitoring systems used by commercial fleets	Demonstrated benefits of these monitoring systems for fleets to manage and improve driver safety.
Deployment of Commercial Skills Test Information Management System (CSTIMS)	Deployed in eight states to prevent fraud in driver testing procedures.
Development of Mobile Apps	Provide mobile technology for roadside truck inspectors allowing rapid access to FMCSA safety data.
Fully automatic, infra-red based CMV brake screening system	Completed field operational test demonstrating successful capability to target unsafe commercial motor vehicles.

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

The proposed funding supports research to ensure proposed Rules and Policies accurately and appropriately address safety issues. Without research, the Agency risks implementing procedures that may not have the intended safety outcome. A continuous research program allows the Agency to address emerging issues quickly; establish long-term projects to ensure effectiveness; and instills needed flexibility to address changes in driver behavior and motor carrier technologies and the environment that influences them. By delivering an appropriately oriented research program, the Research Division helps to maintain FMCSA leadership in truck and motor coach safety, innovation, and performance and will spearhead safer, simpler, and smarter transportation solutions. Research has revealed that driver factors are the most important factor in crashes and increased research into driver factors, including fatigue and distraction, are keys to improving safety.

Funding is required to support new and continued areas of research, technology, and technology transfer to support the agency's safety mission. The FY 2013 budget request will permit FMCSA to initiate the following new initiatives in 2013:

- A new large truck crash causation study will be used in drafting rules, planning enforcement programs, and designing field-based outreach efforts. The prior study was conducted over the 2001-2003 period.
- A comprehensive study of individual driver factors that can make commercial motor vehicle drivers vulnerable to fatigue. This research is designed to determine the feasibility of identifying individuals who may be vulnerable to fatigue and provide a set of best practices for motor carriers aimed at reducing driver fatigue by matching driver fatigue vulnerability to work schedules.
- A study to assess the impacts which driver compensation and waiting time may have on commercial vehicle safety.
- A comprehensive analysis of the relative crash risk by driving hour and the impact of the changes in the HOS provisions. The Agency will match data collected from driver logs with crash information to determine the level of crash risk by hours of driving.
- Periodic driver surveys to longitudinally track how the changes in the HOS provisions, such as the two-night restart, have impacted sleep patterns and aspects of driver fatigue and performance.
- A multi-state field operational test for wireless roadside inspections.
- Technology transfer activities related to on-board safety systems and innovative roadside enforcement tools.

IT DEVELOPMENT AND SUSTAINMENT
(in Thousands of dollars)

Program Activity	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST	CHANGE FY 2012 - 2013
<u>Funding levels</u>				
Personnel Compensation & Benefits	2,884	2,873	2,893	19
Contracts (Information Management)	23,397	21,478	17,000	-4,478
Contracts (IT Sustainment)	11,325	13,140	12,600	-540
Integrated Highway Program Safety Office	0	0	5,000	5,000
Other Cost	539	423	420	-2
Total	38,145	37,914	37,913	-1

Staffing

Direct Positions	30	30	30	0
Reimbursable Positions	14	14	14	0
Direct FTE	24	27	27	0
Reimbursable FTE	11	14	14	0

Program Name: IT Development and Sustainment

1. What is the request and what will we get for the funds?

The IT Development and Sustainment performance funding request is included in the Program Schedule in Exhibit II-2.

Operating Expenses	20,913
Information Management Program Costs	17,000
Total	37,913

For FY 2013, the proposed overall funding request of \$37,913 million for Information Management and Sustainment includes the following accounts:

- **Information Management** – all systems integration work associated with this request.
- **IT Sustainment** – all operations and maintenance and related support, including Field IT Infrastructure, associated with this request.
- **Integrated Highway Safety Program** – new program office to coordinate and manage the Department’s use of state Commercial Motor Vehicle (CMV) traffic records data and analysis for science-based decision making.

The work undertaken in FY 2013 will include continuation of the IT Modernization Program (which includes COMPASS through FY 2012). As part of a major investment management re-planning initiative, the COMPASS investment/business case will be closed at the end of FY 2012 and the work completed will be operational. The work to be addressed in FY 2013 will be undertaken using separate investments, taking a more modular approach, with tangible results for the customers each step of the way. The funds for this Program will continue the transformation of FMCSA IT systems to a Service Oriented Architecture (SOA).

New Registration functionality will simplify the registration and licensing process for carriers, improve detection of “chameleon” carriers (carriers who provide false or misleading information or conceal material information in connection with the registration process in order to evade enforcement action or out-of-service orders issued against it by the Agency), and enhance data quality. This work will improve safety through better monitoring of the industry, provide business process rules that are more flexible and easier to change, improve communication regarding carrier activity, allow for quicker implementation of new rules, improve quality of safety data, and provide an improved and intuitive registration process for the industry.

Five million dollars is proposed for an Integrated Highway Safety Office with FHWA, FMCSA, and NHTSA to provide a coordinated, effective, and efficient support for State traffic records systems and analysis through their outreach, training, technical assistance, and grant programs. The three modes making up the JPO will work together effectively to better utilize existing data resources; identify data collection and analysis collaborations; and support the creation and management of integrated traffic records data and standards.

Sustainment funds continue to provide necessary IT Operations and Maintenance, for the required oversight, structure, and processes supporting the most customer-focused and cost-effective IT services delivery model for the FMCSA. This model includes systems maintenance and technical refreshes, while addressing all IT infrastructure needs. Earlier successes with the data center migration will help FMCSA to focus on other operating efficiencies, including increased virtualization. As part of an overall governance framework, FMCSA has established an implementation plan to address new systems requirements and outstanding requests to: (a) establish a meaningful baseline, (b) conduct severity rating and prioritization using a consistent approach, (c) tie to rulemaking/legislation, (d) level set expectations for all stakeholders, and (e) establish a schedule on which requests will be addressed.

2. What is the program?

FMCSA’s legacy environment, which consisted of standalone safety information systems, became too complex to access, too difficult to modify, and increasingly expensive to maintain. As described most recently in the FMCSA Roadmap (May 2011) FMCSA IT will continue its modernization from a highly heterogeneous and distributed technology set of 29 separate systems to an interoperable and coherent technology environment in a Service Oriented Architecture. FMCSA’s FY 2013 SOA modernization efforts build upon the progress that has occurred to date in the areas of data storage, loose-coupling, configurable items, Business Process Management and rules engines. FMCSA will develop data warehousing, to address both operational mission needs and enhance capabilities in disaster recovery and storage, testing, training and staging environments. FMCSA will move to support mobile clients, to align emerging IT capabilities with the FMCSA mission that depends on empowering the mobile

enforcement agent with the IT tools to ensure proper registration and vetting, identify problem carriers and record information regarding a crash, inspection, or audit.

This Program addresses functional and technical challenges by applying information technology solutions that are closely integrated with the FMCSA's strategic intent, objectives, and business model. Implementing a flexible data systems architecture, as well as optimizing business processes, will improve data quality, reduce costs, and provide all stakeholders, especially Federal and State enforcement personnel, with more timely, accurate, and actionable information. As a result, the FMCSA and State enforcement personnel will be better positioned and equipped to identify high-risk carriers, drivers, and vehicles and to apply a wider range of interventions to correct high-risk behavior sooner. This Program also addresses IT infrastructure needs, including nation-wide Field office support, and data center hosting facilities and operations, with the goal of reduction in cost through the creation of services.

3. Why is this particular program necessary?

FMCSA develops and enforces data-driven regulations that utilize safety information systems as a core component of its safety mission. FMCSA's Information Technology programs and databases are integral to enforcement activities, not just at the federal level but by all our State partners as well as the industry and general public. FMCSA's websites average nearly 100,000 page hits daily, providing transparency to consumers, shippers, insurers, carriers and law enforcement personnel, who all rely on the availability of accurate information which FMCSA provides. The FMCSA expects this program to assist the FMCSA and State motor carrier safety enforcement personnel in preventing high-risk carriers, drivers, and vehicles from operating. With improved safety information systems in place and available, FMCSA will be better positioned to identify high-risk carriers and drivers and to correct high-risk behavior sooner, thus increasing safety on the Nation's roadways. Increased transparency will result from more timely access to key safety information at any time and from any location where enforcement action is required. The FMCSA stakeholders will also see significantly increased access to safety information and come to rely upon the data for timely and important decision-making. Safe and efficient transport of goods and services is critical to the overall recovery and future growth of the Nation's economy.

4. How do you know the program works?

There are many performance management metrics that help the FMCSA measure how well this Program works. This Program maintains system availability levels above 99.5% to ensure that the FMCSA and its safety partners have access to safety data and tools whenever they are needed. This level of service has been maintained even as the number of users of the FMCSA Portal has grown. After the release of Phase 1 of the Compliance, Safety, Accountability (CSA) program in December 2010, the number of industry users of the FMCSA Portal increased from around 6,000 to more than 15,000. The industry trade press regularly encourages companies to sign up for online access to their Safety Measurement System (SMS) data through the Portal. Enforcement users of the Portal now have "single sign-on" access to 12 operational safety systems using a single username and password.

FMCSA data are used to prioritize carriers for CSA interventions, and effectiveness models estimate the number of crashes, injuries and fatalities prevented as a result of these enforcement

activities. FMCSA data are widely used outside of the Agency, including by carriers to monitor their safety performance, by shippers and passengers to help determine which company to use, and by the insurance industry to track the safety performance of the carriers they insure. Public use of the Analysis and Information Online data dissemination website is extensive, with more than 4 million users sessions per year.

FMCSA now captures and measures timely response to business requests for new features or identified defects through measurement of backlog requests, completed requests, total number of defects, number of enhancements implemented and number of defects introduced.

The IT Modernization investment is rated on the OMB IT Dashboard, which indicates cost, schedule, and performance results from a risk management perspective; the current rating is 7.4 (green). Related to the IT Dashboard, the Program is subject to additional scrutiny as a major IT investment with the associated business case (OMB Exhibit 300), which is reviewed by OMB using the TechStat process. In addition, the FMCSA is utilizing its Information Technology Roadmap to facilitate program tracking and focus on the mission oriented requirements mobile customer needs, regulatory goals, objectives, and initiatives as identified in the FMCSA Strategic Plan. When implementing new technologies, such as those used by mobile users in our field locations, FMCSA conducts risk reduction piloting and prototyping to ensure satisfactory performance before implementation. In addition, the new DOT "IT Vital Signs" dashboard captures key metrics specific to security, investment management, and other key program measures; FMCSA is rated 77% (green), with IT investment management rated 100%.

5. Why do we want/need to fund the program at the requested level?

Without this funding, FMCSA will be challenged in meeting the growing Field operations and regulatory Program requirements and implementing information technologies to support the FMCSA Strategic Plan. With finite resources, there will be increasing challenges to meet growing workload in the Field and the FMCSA needs systems and business processes in place for improved operational efficiency. The operations and maintenance costs associated with the current systems will continue to escalate without this investment, without the enhancements to services needed to continue mission-service improvements.

In FY2013 we plan to accomplish the following with the requested funding:

- Develop user-friendly "turbo-tax"-like interface for carriers to register
- Enable online registration of Intermodal Equipment Providers (IEP)
- Automate registration of Non-North American (NNA) motor carriers
- Allow carriers to update safety and commerce data online
- Implement a "Chameleon Carrier Detection" service
- Automate carrier certifications of resolved roadside inspection issues
- Implement smart logic in the roadside inspection module
- Enable Automated Commercial Environment (ACE) / International Trade Data System (ITDS) data on mobile devices
- Deploy the Drug and Alcohol Clearinghouse Database
- Collect & load medical records data in the National Registry of Certified Medical Examiners

ENFORCEMENT AND INTERVENTION
(in Thousands of dollars)

Program Activity	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST	CHANGE FY 2012 - 2013
<u>Funding levels</u>				
Personnel Compensation & Benefits	97,857	97,481	98,138	657
Contracts	12,597	9,446	9,966	520
Regulatory Development	4,500	8,754	4,000	-4,754
Other Cost	24,439	27,589	30,783	3,194
Total	139,393	143,270	142,887	-383

Staffing

Direct Positions	979	979	979	0
Reimbursable Positions	27	27	27	0
Direct FTE	898	916	916	0
Reimbursable FTE	18	27	27	0

The Enforcement and Intervention performance funding request is included in the Program Schedule in Exhibit II-2.

Operating Expenses	138,887
Regulatory Development Program Costs	4,000
Total	142,887

What do I need to know before reading this justification?

Through our Enforcement and Intervention programs, FMCSA makes contact with its motor carrier and driver constituencies. More than 500,000 companies are under the jurisdiction of FMCSA and more than 8 million drivers hold commercial driver's licenses. The Enforcement and 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. Funding and FTE levels in this area support major Agency initiatives that will increase the amount of contacts made with the industry; will improve driver health and wellness; will improve identification of chameleon carriers and job hoppers; will improve consumer protections; ensure the safety of Canadian and Mexican carriers; and establish needed safety regulations. FMCSA is confident that 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 our Nation's roadways safe.

Program Name: Driver Management and Oversight Program

1. What is the request and what will we get for the funds?

(In Thousands)

FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST	CHANGE FY 2012 - 2013
4,616	4,532	4,817	285

The FMCSA’s Driver -Management and Oversight Program focuses on projects which raise the safety bar for obtaining a commercial driver’s license (CDL) to operate a commercial motor vehicle, including trucks and buses. The program requires drivers to maintain high standards to stay credentialed; and removes high-risk, drivers from our highways. This funding request supports FMCSA’s medical and CDL programs. This strategy addresses increasing issues with CMV driver medical qualifications, proper credentialing, and controlled licensing. The FMCSA is working to ensure that a driver’s CDL is not obtained through fraud, allowing unsafe truck and bus drivers to operate CMVs on the Nation’s roads. FMCSA continues work on unifying the driver’s medical qualifications as part of an overall licensing process that ties into the issuance and maintenance of a CDL.

The FMCSA has jurisdiction over the medical qualifications of approximately 14 million commercial motor vehicle (CMV) drivers. The increasing number of CMV drivers and the prevalence of medical conditions related to an aging population, such as cardiovascular disease and musculoskeletal injury, will have a detrimental effect on the safety and health of commercial drivers and highway safety overall. 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. In FY 2013, FMCSA is requesting funds to continue to provide technical assistance to CMV drivers and medical examiners and to conduct research on medical conditions as they relate to driving CMVs.

The program ensures that effective rules are in place so that only qualified drivers receive a CDL and help to identify and remove disqualified/unqualified drivers from the road. Since the responsibility for issuing and managing CDLs rests with States, this performance element requires covert and overt task force activities to identify fraud and FMCSA compliance reviews of State CDL programs.

In FY 2013, FMCSA will support and enhance State CDL program reviews to ensure uniformity and compliance with the Federal Motor Carrier Safety Regulations (FMCSRs). It will also help to detect and prevent CDL fraud, and will assist in the oversight, monitoring and improvement of the effectiveness of each State’s testing and licensing procedures. This will include working closely with the States as they merge the medical certification requirements as part of the CDL record.

2. What is this program?

The FMCSA is responsible for establishing and enforcing regulations prescribing minimum standards for truck and bus drivers’ physical qualifications and fitness for duty. FMCSA must

establish an information system for medical examiners to report to the Agency the name and unique numerical identifier for each CMV driver that attempts to obtain a medical certificate. This system will also enable FMCSA to monitor the number of medical certificates being issued by each medical examiner and look for certain trends or patterns that indicate whether unfit drivers are being qualified as operators. Allowances within the new information system will need to accommodate differences between the expiration of a driver's license, the driver's medical cards as well as any possible variances or exemptions attached to the medical certification.

Public safety demands that only medically qualified safe drivers receive a CDL and that unsafe truck and bus drivers lose their commercial motor vehicle driving privileges. The FMCSA accomplishes this goal through oversight of the States' implementation of the CDL program and providing Federal and State enforcement personnel with information about the validity of commercial licenses for drivers from the U.S., Mexico, and Canada, via the CDLIS and other information systems.

The FMCSA develops policies, standards, procedures, and guidelines to implement, administer, and evaluate the CDL Program and related activities. This includes establishing standards for testing and licensing CMV drivers to ensure uniform and consistent implementation of the CDL Program in the States.

3. Why is this particular program necessary?

The FMCSA Medical Program promotes the safety of America's roadways through the promulgation and implementation of medical regulations, guidelines, and policies that ensure CMV drivers engaged in interstate commerce are physically qualified to do so. There are an estimated 40,000 medical practitioners who perform the medical certification examination for CMV drivers, every two years. There are an estimated 400,000 drivers who undergo the medical fitness for duty examination each month.

More than 14 million CDLs were issued since 1989. Every month, an additional 40,000 CDLs are issued by States. Since the FMCSA CDL State compliance reviews were initiated in 1994, every State CDL activity has been reviewed at least three times. Currently, FMCSA reviews a State's CDL program approximately every 3½ years or sooner if a problem is identified within the program. The DOT Office of the Inspector General (OIG) identified the need for improved oversight of the CDL activity as a Departmental Management Challenge. One of the principal findings of the OIG is that the risk of CDL fraud is a significant issue within the States.

4. How do you know the program works?

The FMCSA evaluated several aspects of the Medical program, and continues to improve processes and services. For example, the FMCSA Medical exemption programs reduced time to grant or deny exemptions, and other requests (e.g., diabetes exemptions are typically processed in less than 90 days). This is significantly below the statutory allowance of 180 days. The FMCSA continually evaluates the delivery of the CDL grant programs through our state partners as well as evaluate the extent to which our State partners comply with the Motor Carrier Safety Improvement Act of 1999. The Medical Program plans to perform quality monitoring of medical examiner

performance through a new rulemaking, the National Registry of Certified Medical Examiners. This rule will address longstanding issues of fraud with the medical oversight of drivers and examiners. Preliminary analyses indicate that an estimated 40,000 examiners perform 300,000 to 400,000 driver medical examinations on a monthly basis.

The FMCSA measures the probability that a driver upon inspection can demonstrate that they are in compliance with FMCSA rules and regulations necessary to operate a large vehicle. The inspections focus on ensuring the driver has current certifications, licenses and documentation, medical certificates, as appropriate, compliance with duty status/fatigue related laws, seatbelt use, verification of performing periodic vehicle inspections, and assurance that the driver is not abusing alcohol or drugs. On average, FMCSA and its partners conduct over 3 million inspections of large truck and bus operators each year. The Large Truck and Bus Driver In Service Rate was approximately 95% in CY 2010 which is the highest rate of driver compliance ever. The Agency and its partners have increased their focus on performing Level III “driver specific” roadside inspections which are designed to ensure drivers comply with all Federal highway operating rules. The FMCSA began enforcing a new rule on electronic on-board recorders (EOBRs) which requires carriers with serious patterns of hours of service violations to install EOBRs and the Agency expects improved safety as a result of new rules restricting the use of cellular phones.

Driver related issues were identified as the primary cause of CMV crashes, injuries, and fatalities. The success of the CDL and medical programs is evidenced through a sharp reduction in crashes and fatalities. Over the course of the last several years fatalities have dropped to the lowest rate since 1975, the year when records were first retained. But note they actually went up last year, due in large part to an increase in bus crash fatalities. Some of this is suspected to be as a result of unauthorized bus companies driving unsafe equipment. Adequate funding dedicated for commercial driver licensing will allow the FMCSA to coordinate both State and Federal enforcement and oversight to assure all bus drivers are properly licensed.

In addition, FMCSA’s Medical Program has established physical qualifications for bus and truck drivers that address conditions that may cause sudden or gradual incapacitation while driving. Anecdotal reports indicate a significant number of drivers who have had heart attacks while driving resulting in crashes, While today the Agency has only anecdotal information on these incidents, the profile of drivers demonstrates that a large majority of CMV have all the health risk factors associated with cardiac disease, diabetes and hypertension – all medical conditions that can result in a driver’s loss of consciousness or concentration. Conditions as Obstructive Sleep Apnea have significant impact on fatigue levels. Based on synthesis of the evidence available regarding the general public and comparing the information to the CMV driver population, we are aware that CMV drivers have significant health risk factors that can lead to a serious medical incident. Thus, programs that weed out drivers with serious medical conditions are important, not only for the safety of public highways but to the driver’s well-being. Finding conditions that can be treated result in a driver’s increased fitness for duty and enable him/her to continue a productive life and maintain financial stability.

The Medical Programs Division, in an effort to develop evidence based rulemaking and guidance development, conducts evidence reports and convenes Medical Expert Panels and Medical Review Board meetings. These three methods of evidence gathering enable the Agency to establish sound rules and guidance for physical qualifications for driving commercial motor vehicles.

5. Why do we want/need to fund the program at the requested level?

The FMCSA has opportunities to strengthen highway safety by improving driver medical fitness to support safe operations of commercial trucks and buses on our roads, in an aging driver population that requires more vigilance during the medical certification process. The medical program is included on the National Transportation Safety Board (NTSB)'s Most Wanted list (Prevent Medically Unqualified Drivers from Operating Commercial Vehicles) and has been the subject of GAO reports (Commercial Drivers Certification Process for Drivers with Serious Medical Conditions (July 24, 2008)). GAO-08-1030T; Commercial Drivers Certification Process for Drivers with Serious Medical Conditions (June 2008). GAO-08-826; and Transportation Safety: Medical Certification and Background Check Requirements for Pilots, Vessel Masters and Commercial Drivers Vary (February 2008). GAO-08-421R). FMCSA plans to implement the National Registry program and integrate activities with the CDL program in order to ensure medically qualified operators drive safely.

Since the establishment of the CDL program and the development and implementation of the CDLIS system, information conveyed State-to-State has improved significantly. These programs need to move to the next level in their implementation to raise the bar for CDL drivers. The CDL program has identified vulnerabilities in the CDL process and is working with States to improve their programs, processes and system to prevent fraud and ensure potential commercial drivers are properly tested and current drivers remain qualified through accurate and timely record keeping.

The current funding request will support FMCSA's ability to enhance its oversight of State driver licensing agencies' 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. In FY2013 we plan to accomplish the following with the requested funding level;

- Increase the number and frequency of CDL review, assuring State driver licensing agencies are in compliance with all relevant Federal regulations;
- Increase oversight and improve the quality of commercial driver testing procedures, specifically by increasing the number and frequency of overt/covert skills and knowledge testing as well as increased oversight on third party testers;
- Increase awareness and education on the need to increase enforcement of serious traffic violations by drivers;
- Increase outreach and education to the driver and employer communities regarding new medical Federal requirements and licensing procedures;
- Improve connectivity between the court systems and State driver licensing agencies to improve accurate and timely conviction data transfer;
- Increase awareness within the court system regarding federal regulations that differentiate commercial driver regulations from non-commercial;
- Continue the process to facilitate the transfer of medical examination results to State driver licensing agencies that will prevent fraud and assure medical compliance for commercial drivers;

- Increase education and testing outreach opportunities for veterans and active duty military to acquire a commercial drivers license as easily as possible while focusing on highway safety;
- Improving the quality, quantity and timeliness of data relating to commercial driver activity in order to better track poor driving performance; and
- Upgrade the quality and timeliness of delivery of driver history from the driver record to roadside enforcement.
- Establish the national registry of Certified Medical Examiners to ensure that only those medical professionals who are trained and tested can perform medical examinations on commercial motor vehicle drivers in interstate commerce. Thus, for the first time we will have control over the medical examinations and be able to monitor the examiners performance to ensure it conforms to the Agency's regulations and guidance.

Program Name: Grants Management and Oversight

1. What is the request and what will we get for the funds?

(In Thousands)

FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST	CHANGE FY 2012 - 2013
9,509	8,651	8,855	204

This request will provide financial and human capital resources to support the management and oversight of FMCSA’s grant and cooperative agreement programs. FMCSA cannot meet its safety mission without its State and local partners. The positions and funding requested will provide the administrative, legal, and financial, and safety technical oversight and guidance for the Agency’s grant programs. These grants amount to more than half of the Agency’s FY 2013 funding request for State and local government activities necessary to achieve its safety mission. Funding will support the Department’s Roadway Safety Initiatives, ensure appropriate use of administrative takedown authority, and impose action against grantees that fail to comply with legal requirements and grant terms and conditions. The requested funding will allow better development of oversight that will lead to the implementation of efficient and effective grant program maintenance and the highest level of integrity in the grant management process.

2. What is the program?

This program supports FMCSA grants aligned under three grant programs: Compliance, Safety, and Accountability; Driver Safety; and Data and Technology. The staff and resources included in this request will be responsible for developing and implementing the FMCSA grant programs; soliciting applications; evaluating the technical aspects of the applications; recommending awards; executing awards, obligating and de-obligating funding; monitoring deliverables for timely completion; reviewing the grants for compliance with program requirements; meeting performance measures; requiring corrective action plans when deficiencies are identified; and establishing and monitoring internal controls to ensure, identify and promote best practices. Proper voucher tracking, funds reconciliation, and file management are also parts of the comprehensive grants management program.

Currently, FMCSA does not have dedicated staff in headquarters or in the field needed to implement, oversee, and manage the Agency grants programs. Proper internal controls and financial management are a high priority of FMCSA and the Department. Grantees are strategic partners with FMCSA and are vital components for the Agency to accomplish its safety mission. Ensuring grantees are delivering quality programs in accordance with Federal requirements and standards are critical parts of grant oversight and monitoring.

3. Why is this particular program necessary?

The FMCSA relies on its partnerships with State and local law enforcement to augment its regulatory, enforcement, and safety capacity to oversee commercial motor carriers and drivers nationwide. The Agency awards mandatory and or discretionary grants annually to the States,

local law enforcement agencies, and other organizations and associations that seek to improve commercial motor vehicle safety on our Nation's roadways.

The FMCSA front line enforcement staff has less than 600 investigators, auditors, and inspectors who are responsible for overseeing motor carrier safety compliance. FMCSA provides grant funding to acquire the resources needed to complete safety audits, roadside inspections, interventions, targeted on-site reviews, and comprehensive on-site and offsite reviews. FMCSA grant programs provide resources to these entities for special initiatives targeting certain sectors of the industry such as buses and household goods carriers and certain high crash corridors to improve the level of safety and reduce the number of large truck and bus crashes, injuries, and fatalities. FMCSA also provides funding to State Department of Motor Vehicles (DMV) to detect, prevent, and deter commercial driver's license (CDL) fraud and improve the exchange of information regarding unsafe CDL drivers and the quality of testing of CDL applicants. FMCSA financial assistance program also provides critical funding for information and technology projects that allow for wireless inspections and electronic screening, the uniform exchange of State CDL and CMV data between the State law enforcement agencies as well as State DMVs and an uniform interstate system that links out-of-service orders with commercial vehicle registrations.

The oversight function is required to maintain the integrity of the grant program and process, foster a system of fair and equitable distribution of funds, and ensure that all grant requirements and financial obligations are met.

4. How do you know the program works?

The Agency reviews the grant programs to ensure compliance with Federal and FMCSA requirements. When deficiencies are identified, grantees are required to submit corrective action plans, which are then implemented and monitored to ensure that the deficiencies have been corrected. Continuous monitoring of grantees is essential to program success.

One of the methods in evaluating program success is by data analysis. Analysis measures the recipients' efforts in reducing commercial motor vehicle fatalities and injuries. Mechanisms toward this goal include: completion of roadside inspections, new entrant safety audits, and compliance reviews. In FY 2009, our grant partners conducted over 3 million roadside inspections, 40,000 safety audits, and 5,000 compliance reviews; a significant contribution to our safety goal.

FMCSA has identified deficiencies with the current financial and administrative processes as part of its Internal Control A-123 Program and the Department's annual Financial Review. To address these deficiencies, FMCSA has taken a number of corrective actions to include:

- Formalizing applicant support to increase competition and improve the quality of the proposals for Federal funding,
- Implementing a more robust technical review process,
- Developing of a Grants Management Manual,
- Automating current paper-based process to include an interface with the Department's financial management system,
- Creating a Grants Management Office (GMO).

Best practices established by other Federal agencies demonstrated that a centralized GMO can provide a greater ability to establish policies, procedures, and internal controls. The GMO serves as the authoritative source of information related to grant requirements and best practices, financial principles, and matters involving grant processing. Building on FMCSA's accomplishments in grants management thus far, centralized GMO will provide the additional resources necessary to continue the improvement of the oversight and execution of FMCSA's grant program.

5. Why do we want/need to fund the program at the requested level?

Over the past several years, the Agency has increased its emphasis on proper internal controls and grant execution and management. To standardize processes and automate the Agency's grant applications and awards, this budget request will allow the Agency to complete implementation of critical workflow software and assign the appropriate level of resources to correctly oversee and manage the grants.

Sufficient staff in the field offices will provide the Agency with a higher level of oversight at the implementation level to ensure proper execution of grant awards and uniformity in the application of the process with all recipients. The additional funding requested will be used to maintain and upgrade grant solutions software which allows FMCSA to electronically process grant awards. The funding also provides contract support for grant program reviews and technical review panel software to facilitate virtual reviews of grant applications.

In FY2013 we plan to accomplish the following with the requested funding level.

- Establish a Grant Management Officer position to coordinate and oversee all grant practices within the Agency;
- Establish a Grants Management Office (GMO) that includes experts on cost principles, grant application planning and execution, training, and grant monitoring and execution. These positions will report to the Grant Management Officer and serve as a subject matter expert (SME) resource for grant program and technical managers.

Program Name: Interventions Programs

1. What is the request and what will we get for the funds?

(In Thousands)

FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST	CHANGE FY 2012 - 2013
74,312	71,158	73,987	2,829

FMCSA’s interventions program is the primary tool used toward FMCSA’s Safety Mission. This program funds FMCSA’s nation-wide presence and funds the personnel responsible for conducting compliance reviews, investigations of carriers and other safety-related oversight. Funding and personnel will provide safety oversight of the motor carrier industry, which, in turn, will lead to improved compliance with the Federal Motor Carrier Safety and Hazardous Materials Regulations. Increased compliance is proven to increase safety, and reduce commercial truck and bus crashes, injuries and fatalities.

The enforcement and compliance activity helps to ensure compliance with the Federal Motor Carrier Safety Regulations (FMCSRs) and to remove unsafe carriers and drivers from the Nation’s highways. Targeted enforcement, driven by data, is FMCSA’s primary strategy for meeting its safety goals. FMCSA targets high risk carriers through a series of interventions such as compliance reviews, safety audits, Hazardous Materials carrier and shipper reviews, and roadside inspections. The Agency has a successful partnership with States to implement these programs. The frequency of truck crashes, fatalities, and injuries have declined over the years, as a result of these efforts.

2. What is the program?

The interventions program is FMCSA’s field enforcement presence, excluding border operations and commercial regulations enforcement efforts. The Compliance, Safety, Accountability Program (formerly CSA 2010) is delivered through the FMCSA’s field structure of Service Centers and Division Offices. The intervention program continues the transition of FMCSA’s traditional compliance review process to a more robust and efficient safety oversight program. The program utilizes a variety of intervention approaches; including warning letters, on-site comprehensive and focused investigations, off-site enforcement, Notice of Violations, Notice of Claims, and Operations Out-of-Service Orders to enforce the FMCSRs and the Hazardous Materials Regulations. Modernizing the Agency’s oversight approach has resulted in improved operational efficiencies resulting in more industry contacts to address regulatory compliance and safety performance deficiencies. Furthermore, planned regulatory changes in FMCSA’s safety fitness determination process will result in a projected five-fold increase in the number of motor carriers ordered to cease operations due to being declared “Unfit.” This planned regulatory change will address one of the National Transportation Safety Board’s (NTSB) “Most Wanted Highway Transportation Safety Improvements.”

Historically, FMCSA and its State partners have conducted approximately 16,000 compliance reviews or onsite comprehensive investigations each year. With an increase in staffing, coupled with the improved efficiencies, FMCSA expects to be able to intervene with 20,000 carriers.

3. Why is this particular program necessary?

In calendar year 2009, over 3,600 people died as a result of crashes involving large commercial trucks and buses and about 93,000 more people were injured. The interventions program is the core of FMCSA's safety program to reduce commercial motor vehicle crashes, injuries and fatalities. The Agency has seen a continued downward trend in CMV-related crashes over the past 3 years.

4. How do you know the program works?

FMCSA has conducted research and validated the effectiveness of the compliance review process in improving regulatory compliance and reducing commercial motor vehicle related crashes and fatalities. The intervention program has been shown to improve the efficiency of Agency field staff by allowing contact with a higher number of motor carriers per FTE, resulting in improved compliance and safety.

The FMCSA's Compliance Review Effectiveness Model (CREM) estimates the average crash rate for motor carriers receiving compliance reviews decreases by approximately 16 percent. Analysis of the more robust and efficient interventions program developed as part of the CSA Operational Model projects more carrier contacts and incremental improvements in crashes avoided and lives saved without additional resources.

Since the launch of CSA in December 2010, an analysis of the Safety Measurement System (SMS) has shown the following results. The SMS is FMCSA's system to prioritize carriers for intervention.

- Violation rates are down 9% on average
- Of the nation's 525,000 active carriers, SMS has enough data to assess 200,000 of them; and that 200,000 are involved in 93% of reported crashes

The University Of Michigan Transportation Research Institute (UMTRI) conducted an independent analysis of FMCSA's CSA Interventions Program. The analysis indicated the following key findings

- CSA's SMS model better identifies motor carriers for safety interventions than the previous SafeStat system.
 - "The results showed that the SMS is a significant improvement over the SafeStat system in identifying unsafe carriers. (p. xiv)"
 - Crash rates were higher for motor carriers identified with safety problems in the SMS's seven Behavior Analysis and Safety Improvement Categories (BASICS) than for motor carriers that were not identified with safety problems in the seven BASICS.
 - The crash rate for motor carriers that were identified with safety problems by the SMS in the Unsafe Driving BASIC was more than three times greater than the crash rate for motor carriers not identified with any safety problems by SMS.

- CSA interventions are effective in improving motor carriers' safety behavior.
 - Twelve months after receiving a warning letter, SMS results showed that 83% of test carriers had resolved identified safety problems and only 17% continued to have safety problems.
 - The new CSA Onsite Focused Investigations proved to be effective. Almost 20% fewer motor carriers continued to show safety problems 12 months after an on-site focused investigation, as compared with those receiving traditional Compliance Reviews (CRs).

- CSA interventions use enforcement resources efficiently.
 - More intensive interventions were used on carriers that exhibited higher crash risk confirming that the rules guiding intervention selection are operating to ensure effective and efficient safety interventions.
 - Warning letters, which were found to be very effective in improving safety behavior, had only a nominal cost.
 - CSA Onsite Focused Investigations cost approximately 53 percent less than CRs and were effective in producing compliance.
 - The average cost of CSA interventions was \$754 per motor carrier, as compared to \$1438 for motor carriers receiving CRs.

- CSA reaches more carriers, resulting in improved safety compliance.
 - CSA interventions contact approximately three times the number of motor carriers contacted using the previous model which relied primarily on CRs.
 - Among the CSA test group, the annual percentage of motor carriers contacted was 9.9 percent, compared with the 3.2 percent of motor carriers that received full CRs in 2009.

5. Why do we want/need to fund the program at the requested level?

An August 2007 report by the Government Accountability Office (GAO) stated “*Because of resource constraints, each year FMCSA and its State partners are able to conduct compliance reviews of only about 2 percent of the nation’s estimated 711,000 motor carriers that are subject to the Federal safety and hazardous materials regulations.*” The funding requested this year will allow FMCSA to improve upon this level of effort by reaching more motor carriers through the intervention program to reduce the number of fatalities and injuries resulting from crashes involving large trucks and buses.

The funding requested this year are based on an analysis of the more efficient interventions program and projected safety benefits through reduced crashes that far outweigh the costs FMCSA anticipates building upon the following successes in its interventions program:

- Phase III implementation of Compliance, Safety, Accountability (CSA) Program including:
 - Expand the toolkit of interventions available to FMCSA and State Partners nationwide to include offsite investigations, cooperative safety plans and a follow up process for serious violations; establish formal mechanisms for continuously improving interventions based on FMCSA enforcement personnel and State partner's feedback.
 - Enhance SMS in response to feedback from stakeholders including Motor Carrier Safety Advisory Council (MCSAC), industry, FMCSA enforcement personnel and State partners, and safety advocates to better identify carriers requiring FMCSA attention.
 - Elaborate plans for addressing drivers and new entrants using the CSA enforcement and compliance model
 - Report out to Congress and oversight organizations frequently on implementation progress and the development of measures to evaluate effectiveness
 - Roll out Crash Accountability Program and Hazardous Material BASIC
 - Ongoing field support training for managers to ensure quality
 - Ongoing shipper and carrier outreach on SMS and CSA

- Optimizing the Enforcement Program:
 - Review and improvement of enforcement procedures
 - Maximizing existing tools and authorities to remove unsafe carriers
 - Continued improvement of systems and policies to identify reincarnated carriers

- Improvement of the New Entrant (NE) Program, to ensure the efficiency and effectiveness of the program ensuring the safety of new motor carriers, including;
 - Improvements to policies and procedures, including those dealing with reincarnated carriers.
 - Updating the NE audit itself and providing training to auditors nationwide to ensure uniformity
 - Improve the functionality of the NE call center to maximize efficient use of resources
 - Improve the Corrective Action Plan process and Expedited Action Process

Program Name: Commercial Enforcement Program

1. What is the request and what will we get for the funds?

(In Thousands)

FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST	CHANGE FY 2012 - 2013
4,040	3,453	3,728	275

This program accomplishes its mission by applying regulations, taking targeted enforcement action, compiling and analyzing complaint information, and monitoring insurance and process agent filings. The program creates and maintains partnerships. The funding is requested to support the Household Goods (HHG) complaints hotline, create electronic insurance filings from paper copy submissions, and maintain a toll free phone number to address insurance filing status and information requests.

2. What is the program?

The Commercial Enforcement Program is responsible for engaging consumers, shippers, and carriers through partnerships, education, and enforcement and compliance operations to ensure HHG are delivered as agreed upon between carriers and consumers. Additionally, the Commercial Enforcement Program is responsible for managing the insurance program, and for ensuring that all for-hire carriers and freight forwarders conducting operations in interstate or foreign commerce maintain evidence of insurance with FMCSA in the prescribed amounts.

3. Why is this particular program necessary?

The Commercial Enforcement Program is necessary to ensure that for-hire motor carriers obtain and maintain the proper level of insurance to protect shippers in the event of damage or loss. In addition, this program is necessary to combat the increasing number of rogue HHG movers and brokers that intentionally provide low estimates to get a moving contract but then refuse to deliver the goods unless more money is paid (“hostage loads”). FMCSA is committed to investigating every hostage load complaint. In addition, the Agency uses complaint and enforcement data to target movers for enforcement. This program has resulted in significant enforcement activities for the field offices.

4. How do you know the program works?

While consumer protection is not FMCSA’s primary mission, a GAO study concluded that the program should remain within DOT. A DOT review confirmed that FMCSA is the most appropriate organization to continue to manage this program. The Agency can draw a nexus between unscrupulous carriers and unsafe carriers and has the infrastructure in place to take needed enforcement. The Agency’s efforts to remove rogue movers and educate consumers are beginning to be successful as the agency has increased targeted compliance review and outreach materials. There are more than 6,123 motor carriers with HHG operating authority in the motor carrier management information system. FMCSA has prioritized the top HHG carriers for

intervention. Since its inception in June 2009 thru FY2011, 129 were reviewed resulting in 60 enforcement actions.

FMCSA maintains a complaint database that tracks the number of HHG complaints received. The number of complaints has been decreasing as enhanced enforcement has improved compliance.

FMCSA also conducts annual strike force investigations that targets the most egregious violators of the commercial regulations. A recent strikeforce resulted in 106 comprehensive investigations and 44 enforcement cases.

The SAFE, ACCOUNTABLE, FLEXIBLE, EFFICIENT TRANSPORTATION EQUITY ACT: A LEGACY FOR USERS (SAFETEA-LU), section 4213 Working Group for Development of Practices Procedures to Enhance Federal-State Relations -- suggested that FMCSA establish a working group to develop practices and procedures to enhance partnerships and enforcement efforts. Consequently, FMCSA sponsors quarterly working group meetings via conference calls to exchange information, and coordinate enforcement efforts with respect to household interstate transportation. The first State memorandum of understanding to enforce the commercial regulations was signed during FY 2012, with others pending.

5. Why do we want/need to fund the program at the requested level?

Funding at the requested level provides the resources needed to sustain the program and expand our enforcement efforts related to hostage loads. In FY2013 we plan to accomplish the following with the requested funding level. Only need bullets in this area.

- Increase the level of expertise in the enforcement community to address the expanding caseload relating to commercial enforcement. This will include enhancing the expertise of existing staff, and identifying additional resources, including the development of partnerships with State enforcement agencies.
- Fully implement the Household Goods Plan currently under development, which will include enhanced enforcement tools, outreach and education.
- Improve the National Consumer Complaint Database to enhance capabilities to monitor and address HHG complaints.

Program Name: Border Programs Management and Oversight

1. What is the request and what will we get for the funds?

(In Thousands)

FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST	CHANGE FY 2012 - 2013
40,959	44,796	45,509	713

This request is to support the Agency’s Border Programs that develop and implement strategies to oversee the safety of trucks entering the U.S. from Mexico and Canada. The request includes funding for maintaining border operations including maintaining and improving border facilities; and maintaining the Commercial Driver License (CDL) Federal Convictions and Withdrawal Database.

The funding request allows the Agency to maintain the CDL Federal Convictions and Withdrawal program which ensures the posting of convictions and disqualification of Mexican and Canadian commercial drivers operating in the U.S.; the exchange of CDL safety information between the U.S. and countries with CDLs recognized by the U.S., as comparable to a U.S. CDL, and thus valid in the U.S.; oversight and management of complete system access and operation of interactive electronic interconnection between foreign information systems and the U.S.; and promotion of compliance with U.S. safety and operating requirements by working cooperatively with the States and the governments of Mexico and Canada to develop and implement more uniform and consistent commercial motor vehicle regulations, inspection procedures, and safety programs throughout North America.

In FY 2002, Congress provided funds to establish an FMCSA presence along the Southern Border to support cross-border long-haul trucking provisions under the North American Free Trade Agreement (NAFTA). The FY 2013 funding for facilities improvements will allow the Agency to continue its desperately needed facility and equipment improvements to replace aging mobile trailers and provide for a safe, adequate, and conducive work environment (e.g., canopies to protect against 100 degree weather and harsh weather conditions, inspection pits, air cooling/misting systems) and improve working conditions for border inspectors allowing them to conduct high quality and effective inspections of Mexico-domiciled drivers and vehicles crossing into the United States and will cover costs included in the facility modernization funds requested for FY 12 through the Federal Highway Administration. The funding will give the Agency the ability to coordinate with GSA and Customs and Border Protection (CBP) to acquire space and install facilities along the border.

2. What is the program?

The program is a critical component of the Agency’s development and implementation of strategies to oversee the safety of trucks entering the U.S. from Mexico and Canada including federal safety enforcement activities at the U.S./Mexico border to ensure that Mexican carriers entering the U.S. are in compliance with Federal Motor Carrier Safety Regulations (FMCSRs). In addition, the program manages the Agency’s coordination of safety activities with the governments

of Canada and Mexico including facilitating safety data exchange and harmonization of safety regulations and enforcement programs. The program will facilitate cooperative working relationships with the United States, Mexico, and Canada to develop and implement more uniform and consistent commercial motor vehicle regulations, inspection procedures, and safety programs throughout North America.

3. Why is this particular program necessary?

The program is needed to maintain relationships with Canada and Mexico on commercial motor vehicle issues, including the development of uniform and consistent commercial motor vehicle regulations, inspection procedures, and safety programs throughout North America. The availability of funds for facilities allows FMCSA to begin to transition from a temporary to a permanent presence along the southern border. The funds will also allow the improvement of facilities and replacement of non-working equipment to improve working conditions for Agency staff currently working in inadequate and sub-standard work environments. Additional funds will help to strengthen our safety presence at the Mexican border, thus continuing to make the U.S. roads safer. The facility improvements are critical to allowing the Agency to accomplish its on-going safety mission to ensure the safety of trucks entering the U.S. from Mexico and minimize at the Ports of Entry.

4. How do you know the program works?

During FY 2010, FMCSA conducted over 256,000 inspections on Mexican vehicles crossing the border. The program continues to make progress with Canada and Mexico in the establishment of safety rating reciprocity and safety data exchange including the exchange of CDL information. In addition, through an agreement between FMCSA and Customs and Border Protection, we have improved truck safety at the Nation's land borders. Currently we are developing the Automated Commercial Environment/International Trade Data System (ACE/ITDS). This system would allow carriers to transmit their planned border crossing itineraries, driver information and manifests through ACE/ITDS before reaching the northern or southern border. This will enable FMCSA, State safety inspectors and CBP border officers to know, before a truck reaches a port of entry, whether the vehicle or driver is free to enter U.S. roadways or will be subject to closer inspection for safety compliance. Therefore, FMCSA and CBP border officers will have the capability to identify and contain high risk CMVs and drivers before they reach the Nation's highways, based on safety information maintained by the Agency. This program will continue to improve these efforts. When the southern border was first opened to Mexican trucks to enter the United States, it was not unusual to place a high percentage of the vehicles out of service for safety violations. In FY 2001, the vehicle out of service rate for Mexico-domiciled carriers in the commercial zones was 33.55%. The vehicle out of service for Mexico-domiciled motor carrier has declined in the subsequent years. In FY 2010 the vehicle out of service rate for these carriers dropped to 17.1%. Today the out of service safety violations are lower in percentage than the American owned trucks operating throughout the United States.

5. Why do we want/need to fund the program at the requested level?

Funding at the requested level provides the resources needed to sustain the program. A significant portion of the funding will be used to upgrade border inspection facilities, and provide safe working conditions for Agency Border Inspectors. This work is critical to keep freight moving at the borders and in ensuring that Mexican and Canadian trucks and drivers entering the United States comply with motor carrier safety and other requirements. In FY2013 we plan to accomplish the following with the requested funding level.

- Improve both temporary and permanent inspection facility to provide a safe work and efficient night work environment.
- Improve FMCSA and State partner's access to motor carrier safety data and driver's license information.
- Continue to decrease the out of service rates of Mexico-domiciled motor carriers by maintaining a robust inspection and oversight programs.

Program Name: United States –Mexico Long Haul Cross Border Trucking Pilot Project

1. What is the request and what will we get for the funds?

Funding is included in Border Programs Management and Oversight

This request will allow the Agency to continue implementation of the pilot program as described in the Department's Concept Document released on January 6, 2011, and published in the Federal Register on April 13, 2011. The Agency's proposal requires a Pre-Authority Safety Audit (PASA) of each applicant carrier. This extensive review requires FMCSA resources to review the carriers, drivers, and vehicles proposed for the pilot. The Agency has also proposed electronic monitoring of the participating vehicles through the installation of Electronic On-Board Recorders (EOBRs) with Global Positioning Systems (GPS) capabilities. A contract was awarded for the acquisition and installation of this equipment on participating vehicles and for the monitoring software and reports needed to track the vehicles. Further, the Agency will be conducting a compliance review of each participating carrier to ensure continued safe operations. Additionally, the Agency will need both new databases and web sites to manage information regarding the program so that law enforcement may confirm participating carriers' compliance and continued eligibility. The public may also access safety data about the participants. Lastly, the Agency will appoint an oversight committee to provide guidance for the pilot project and provide recommendations to the Administrator. The Agency will be responsible for travel and meeting costs associated with this committee.

The FMCSA's ability to fully initiate and implement the program is predicated on the continued operation of the Agency's border program.

2. What is the program?

The program is a critical component of the United States' compliance with the North American Free Trade Agreement (NAFTA) and the Agency's development and implementation of strategies to determine the safety of Mexico-domiciled trucks. Through the pilot program, FMCSA will permit Mexico-domiciled carriers to conduct long-haul transportation. FMCSA is required to conduct a PASA on each applicant carrier. In addition, FMCSA will be inspecting the carrier's participating vehicles during the PASA and at the U.S./Mexico border to ensure compliance with the Federal Motor Carrier Safety Regulations (FMCSRs). FMCSA will conduct compliance reviews of these carriers and monitor the carrier's hours of service and point-to-point transportation for compliance with cabotage rules. The Agency has committed to using an independent group to review the Agency's work, and must incur the associated costs. Additionally, the Agency has committed to maximizing transparency by maintaining information about the participating carriers on the Agency's web site.

3. Why is this particular program necessary?

The Long Haul Cross Border Trucking pilot project ensures the United States fulfills compliance obligations under NAFTA. In addition, the program is needed to determine the safety of Mexican commercial motor vehicle, and provide information for the development of uniform and consistent

commercial motor vehicle regulations, inspection procedures, and safety programs throughout North America.

4. How do you know the program works?

On September 6, 2007, DOT began a demonstration project to implement the cross-border truck provisions of NAFTA. The project operated for approximately 18 months. There was no evidence of a substandard level of motor carrier safety in the United States. However, the DOT Office of Inspector General and an independent evaluation panel determined that, because of the low level of participation prior to the demonstration project's termination, insufficient data was available to establish a statistically valid conclusion. A new pilot project is needed to acquire a statistically valid amount of data for analysis.

5. Why do we want/need to fund the program at the requested level?

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

Funding at the requested level provides the resources needed to implement and sustain the pilot program as defined in the Concept Document announced by the Secretary on January 6, 2011, and noticed in the Federal Register on April 13, 2011. In FY2013, FMCSA plans to accomplish the following with the requested funding level:

- Process Mexican motor carrier's applications to determine they comply with economic and safety requirements.
- Perform a PASA to determine motor carrier can safely operate in the United States.
- Perform Vehicle Inspections to ensure Mexican motor carriers are operating safe vehicles.
- Monitor Hours of Service on all Pilot Program Mexican drivers.
- Develop and deliver U.S.-Mexico Long Haul Pilot Program educational material to State Agencies and Mexican commercial motor carrier
- Facilitate transparency with a website containing Mexican carrier safety information.

Program Name: Rulemaking

1. What is the request and what will we get for the funds?

(In Thousands)

FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST	CHANGE FY 2012 - 2013
5,957	10,680	5,991	-4,689

Funding is requested to support the FMCSA Program Development and Rulemaking Program. This request is for the development of rulemaking documents for the Agency that are clear, simple, timely, fair, reasonable and necessary. Funding and FTE will be utilized to coordinate the review, revision, approval and issuance of such documents both within the Agency and externally.

2. What is the Program?

The FMCSA develops rules in response to congressional actions, National Transportation Safety Board recommendations, petitions for rulemaking from safety advocacy groups, State driver licensing and law enforcement agencies, motor carriers and industry groups, the public, and recommendations from the Agency’s regulatory effectiveness studies. The rulemakings have direct impact on the success of the FMCSA mission to reduce commercial motor vehicle crashes, injuries, and fatalities.

This program activity is comprised of full time personnel from three FMCSA offices (the Office of Policy, the Office of Analysis and Research, and the Office of Chief Counsel) within FMCSA, and is supplemented by subject matter experts from other offices that are not considered in this program activity.

3. Why is this Particular Program Necessary?

Rulemaking is one of the fundamental functions of FMCSA, providing the foundation of safety improvements by the commercial motor vehicle transportation industry. Regulations are needed to implement statutory requirements and prescribe minimum safety requirements for motor carriers, the drivers they employ and the vehicles they operate. The regulations provide the safety performance standards for which the Agency holds motor carriers and drivers accountable through enforcement interventions, including out-of-service orders against carriers and placing drivers and vehicles out-of-service during roadside inspections. FMCSA’s regulations also provide consumer protection for the transportation of household goods shipments.

4. How Do You Know The Program Works?

The FMCSA has determined that the rulemaking program works through the publication and subsequent enforcement of the regulatory requirements. By carefully limiting the scope of its rulemakings to quantifiable safety risks, and eliminating to the greatest extent practicable regulatory burdens that are not directly related to safety outcomes, FMCSA has made significant improvements in the regulatory process. Also, for rulemakings that have been implemented, an analysis of safety performance data concerning motor carriers and drivers indicates decreases in the number of violations observed during roadside inspections and other enforcement

interventions. In addition, Agency reviews of crash data indicate that rulemaking requirements have a positive effect on reducing the incidents of crashes.

The FMCSA is developing robust regulatory effectiveness and program evaluation processes (described in Section 3A-4: Mission Support) to confirm that future final rules are effective and accomplishes its safety goals. The rulemaking program is also synchronized with the data analysis, research and IT development program activities, described in separate program activities, to ensure crash data and research results support proposed rules and IT systems are available when final rules are published.

The Agency has placed a greater emphasis on rulemakings that are likely to have a significant impact on safety, and rulemakings that are responsive to stakeholders' concerns. For example, the Agency completed rulemakings on distracted driving to prohibit truck and bus drivers from texting while operating on the Nation's highways and to restrict the use of hand-held mobile telephones. These rulemakings were part of the Department's campaign against distracted driving. Based on crash data from the National Highway Traffic Safety Administration (NHTSA), more than 5,400 people were killed in crashes involving distracted driving. While FMCSA's distracted driving rulemakings will address a portion of the problem, it is an important indication of the Agency's focus on safety.

In addition, in December 2011, the Agency issued a final rule concerning truck drivers' hours of service requirements. Based on a rigorous analysis of safety data, the Agency believes the rule will prevent more than 1,400 crashes per year and save 19 lives. The rule will also prevent 560 injuries per year.

In FY 2012, the Agency will complete a rulemaking to establish a National Registry of Certified Medical Examiners to ensure that all healthcare professionals who issue medical certificates for truck and bus drivers have completed training and testing concerning the Federal medical qualifications standards. This rulemaking will address four National Transportation Safety Board Recommendations concerning the medical qualifications of truck and bus drivers. These recommendations were the outcome of an investigation of a tragic motorcoach crash with multiple fatalities.

The FMCSA's rulemaking program includes a very important focus on being responsive to the concerns of stakeholders. The Agency is committed to streamlining regulatory requirements when there is data or information indicating the rule does not provide for discernible safety benefits and imposes an unnecessary regulatory burden. The Agency anticipates issuing a rule to reduce the paperwork burden on businesses that offer certain specialized trailers to trucking companies for transportation of freight to and from the Nation's seaports and rail yards. The rulemaking would focus on eliminating the paperwork burden associated with documenting the absence of vehicle defects and streamlining the requirements to focus on documenting that safety defects with the specialized trailers have been identified and corrected in a timely manner.

With regard to FMCSA's efforts to put into place a robust program evaluation/regulatory effectiveness process or program, the Agency is currently evaluating the effectiveness of its minimum levels of financial responsibility regulations. Several stakeholder groups have raised concerns that the current rules do not provide enough financial protection for the traveling public when there are crashes involving trucks and buses, and there is a final judgment against the trucking or motorcoach company. The Agency opted for a conservative approach of carefully

evaluating the effectiveness of the existing rules prior to making a decision whether to initiate a new rulemaking that could impose economic burdens on transportation companies as the Nation continues its economic recovery. The Agency will continue its focus on safety but ensure that its decision whether to pursue a rulemaking is based on sound data, with proper consideration of the potential economic impact.

Also, the Agency began work on a program evaluation of its New Entrant requirements and processes. The program evaluation would enable the Agency to determine whether the regulations and accompanying enforcement program are properly focused on the safety risks of new entrant truck and bus operators entering the industry each year. The program evaluation will be completed within the first quarter of FY 2013. And, the Agency is working with the Office of the Secretary to conduct a program evaluation of its Motor Coach Safety Oversight Program. This review would ensure that the Agency's motorcoach-related regulatory actions and enforcement focus areas address safety risks and would reduce the prevalence of motorcoach crashes.

Finally, the Agency is committed to the principles of the Regulatory Retrospective process. There are several rulemakings FMCSA will focus on to reduce to the greatest extent practicable under the existing statutes, the regulatory burden associated with obsolete and redundant rules. When there is information to make a determination that a rule is unnecessary and provides no discernible safety benefit, FMCSA will work towards the elimination of the requirements.

5. Why Do We Want/Need to Fund The Program At The Requested Level?

The FMCSA currently is working to reduce its regulatory backlog created by significant increases in regulatory requirements in past motor carrier safety reauthorizations statutes, without the necessary funding and FTE increases. The FY 2013 budget request supports Agency efforts to eliminate the backlog and positions it to respond to additional reauthorization requirements. The requested funding levels are expected to eliminate the rulemaking backlog during the budget cycle and allow FMCSA to rapidly respond to congressional mandates, petitions for rulemaking and needed program changes.

The FMCSA anticipates developing and publishing rulemakings on a number of key safety areas in the budget year. These will include completion of final rules to establish a Controlled Substances and Alcohol Database, Unified Registration System, National Registry of Certified Medical Examiners (Medical Examiner Periodic Reporting); Electronic On-Board Recorders (EOBRs)/Hours of Service Supporting Documents – a rulemaking to (1) establish technical specifications for the devices, (2) mandate the use of the devices by certain interstate truck and bus companies, (3) provide a means for ensuring that EOBRs are not used to harass drivers, and (4) specify what supporting documents motor carriers are required to maintain. With the FY2013 funding request, FMCSA also anticipates the development of at least several significant and non-significant rulemaking proposals focusing on;

- Compliance, Safety, Accountability: Safety Fitness Determination NPRM
- Patterns of Safety Violations for Motor Carrier Officers, Final Rule
- Motorcoach Leasing, Final Rule
- Streamlining Financial Reporting Requirements for For-Hire Motor Carriers, Final Rule
- Elimination of Blanket Prohibition Against Insulin-Dependent Diabetic Drivers, NPRM

- Vision Requirements for Truck and Bus Drivers, NPRM
- Ensuring Proper Oversight of Drivers with Obstructive Sleep Apnea, NPRM
- Elimination of Self-Reporting of Out-of-State Traffic Violations by CDL Holders, Final Rule

SAFETY MISSION SUPPORT
(in Thousands of dollars)

Program Activity	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST	CHANGE FY 2012 - 2013
<u>Funding levels</u>				
Personnel Compensation & Benefits	11,965	11,919	11,999	80
Contracts	20,652	17,735	17,425	-310
Outreach and Education	2,888	2,889	3,000	111
Working Capital Fund	8,188	8,765	8,847	82
GSA Rent	11,891	11,471	13,603	2,132
CMV Operating Grant	1,000	1,000	1,000	0
Other Cost	1,421	3,341	3,429	88
Total	58,005	57,120	59,303	2,183

Staffing

Direct Positions	120	120	120	0
Reimbursable Positions	14	14	14	0
Direct FTE	107	112	112	0
Reimbursable FTE	9	14	14	0

Program Name: FMCSA Mission Support

1. What is the request and what will we get for the funds?

The Safety Mission Support performance funding request is included in the Program Schedule in Exhibit II-2.

Operating Expenses	55,303
Outreach and Education Programs Costs	3,000
CMV Operating Grants	<u>1,000</u>
Total	59,303

The Federal Motor Carrier Safety Administration's (FMCSA) Mission Support functions provide essential services and support to FMCSA, ensuring the success of the Agency in accomplishing its primary safety mission. The funding and FTE request for the Mission Support functions ensures that the Agency: (1) maintains a strong support base for its employees; (2) hires and maintains a high performing workforce; (3) has a strong program of internal controls and financial support; (4) manages its assets and facilities in a cost effective and environmentally responsible manner; and (5) provides adequate financial, acquisitions and legal support for its staff

The FMCSA also has developed an estimate of the overhead cost for each employee, which accounts for the traditional expenses, on a per person basis, such as rent, travel, leases, fleet,

training and other costs. In addition, the Agency has identified a need to expand the FTE requirements for mission support functions as the Agency as a whole increases its FTE over time.

2. What is the program?

The mission support program covers each of the following areas:

Administrator's Office – The mission support budget includes current FTE for the Administrator's office and other key leadership positions within FMCSA, including the Administrator, Deputy Administrator, Chief Safety Officer, and the Office of the Chief Counsel. The Administrator's Office provides overall Agency direction and oversight, and represents FMCSA and its safety mission within the Department, with other Federal agencies, the legislative branch, outside stakeholders, and our State and industry partners. The Office of the Chief Counsel renders legal services and provides legal policy and direction to FMCSA Headquarters and field offices concerning all aspects of the Agency's programs, functions, and activities.

Civil Rights – FMCSA is committed to ensuring that its employees and applicants are free from discrimination and are provided with equality of opportunity within the workplace. The FMCSA is committed to providing a discrimination-free workplace and affording its employees and applicants equal opportunity and treatment.

The technical expertise and guidance provided by the Civil Rights Office is essential toward achieving a discrimination-free workplace, and ensuring that discrimination does not exist in activities funded by the Federal Government, in accordance with Title VI of the Civil Rights Act. The Civil Rights program is essential to develop a highly skilled and motivated workforce; conducting outreach activities to educational and professional institutions which contain a large pool of applicants from groups which have low participation rates at FMCSA; and working with Agency leadership to reduce the number of complaints filed against the Agency. The Civil Rights Office implements all statutory requirements and provides proactive training and education approaches to ensure a discrimination free workplace.

Outreach and Education – The Communications Office within FMCSA serves as the FMCSA's official spokesperson, including but not limited to, communications involving the media, motor carrier industry, motor carrier safety interest groups, and other governmental interests affected by or involved in motor carrier activities. The office coordinates informational events to promote awareness of FMCSA programs, activities, objectives, and goals by the public, industry, safety interest groups, State and local governmental agencies, and the media. The outreach program promotes the Agency's programs and safety objectives, including regulations, enforcement programs, research, and technology to spread information to the motor carrier and commercial driver communities about how to establish and maintain safe operations through marketing, press releases, exhibits, videos, websites and documents.

Training and Education - The FMCSA National Training Center Program provides training to 18,000 students a year in three primary areas; (1) Safety Training is provided to FMCSA staff

and our State partners who are responsible for conducting commercial motor vehicle safety inspections, motor carrier new entrant audits and investigations; (2) Commercial Motor Vehicle Criminal Interdiction Training to Federal, State and local Law Enforcement Partners, and (3) A comprehensive program of Professional and Leadership Development for FMCSA employees.

Almost 18,000 students are provided training through the National Training Center. Safety and Enforcement related training classes provide training to FMCSA employees and other Federal, State and local law enforcement officers. The training includes initial and advanced training, the FMCSA residential academy program, and interactive web based seminars providing just-in-time delivery of important safety information. The program goal is to provide training to increase safety and uniformity among FMCSA and our State partners to reduce crashes and save lives. The NTC also provides Commercial Motor Vehicle Criminal Interdiction Training which improves the safety of our roadways by removing unsafe drivers and traffickers of illegal drugs, weapons currency and other contraband across North America. Finally, a comprehensive program of Professional and Leadership Development is being developed for FMCSA employees to ensure that the staff can has the most current skill set to perform the job function and to provide a pipeline of future leaders for the Agency through succession planning.

Human Resources – The FMCSA Human Resources Office provides a full range of services to FMCSA employees, including employee and labor relations, staffing and classification, workers compensation, benefits, and human capital services. FMCSA values its employees as its number one resource, and to ensure continuity in our mission related activities, and minimize Agency costs, the FMCSA is requesting funding for employee recruitment and retention initiatives. Maintaining an experienced workforce enables the Agency to effectively support its safety mission. FMCSA’s goal is to hire high quality employees, develop future leaders and maintain a high performing workforce that is effective in accomplishing our safety mission.

Strategic Planning, Data Analysis and Program Evaluation – This function 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 is a wide ranging area that acts as liaison and coordination 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.

Office of the Chief Financial Officer – The Office of the Chief Financial Officer (OCFO) encompasses both the budget and finance functions of the FMCSA. This includes developing and maintaining proper internal controls related to budget and financial reporting. This office ensures that sufficient internal controls are in place for proper stewardship of all financial resources; certifies that grants are properly administered; and that funds are being spent for their intended purpose. This effort assists the Agency in preventing fraud, waste, and abuse of Agency resources and includes the new formed Grants Management Office. The OCFO is responsible for ensuring the Agency is properly resourced and cost is appropriately distributed over the entire Agency. The OCFO has primary responsibility for establishing processes and procedures focused on improving FMCSA’s grants management and oversight, financial tracking and reporting, and improving financial performance metrics. The OCFO manages the Agency’s Travel program and provides oversight of the Agency’s Travel Card Program and GovTrip. The OCFO 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.

Office of Acquisitions - The Acquisitions Management program provides the Agency with support for contracting and procurement actions. Without this support, 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- 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 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.

Management Services - FMCSA develops Agency-wide policies and activities for the full range of management support services. These services include space management, facilities and equipment management, mail services, property management, transportation, printing, transit benefits, and other administrative services. Management Services also supports government-wide environmental initiatives to reduce greenhouse gas emissions in buildings and the motor vehicle fleet in support of the President’s Executive Order 13514, which calls for government vehicles to use alternative fuels by 2015. 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 and others are supported centrally to leverage economies of scale and to monitor and control costs, and assure adherence to regulations and Agency policy and procedures. This program implements many government-wide initiatives to improve transparency, sustainability, and to ensure effective use of Federal resources. We also continue to seek efficiencies in the WCF categories where we are charged by

transaction. For example, we eliminated a daily printing requirement by changing to electronic submission of the document. This saved about \$4000 per month.

3. Why is this particular program necessary?

The FMCSA Mission Support program provides the critical leadership, management and services to its employees that are necessary to ensure the success of the Agency's Safety Mission. By setting Agency direction and providing a safe and productive work environment for employees, proper training, and a robust recruitment and retention program, the Agency will maintain the highest level of organizational excellence and productivity toward the safety mission. Centralized oversight and internal controls and financial and budget reporting are crucial in the delivery of the Agency's safety mission and in maintaining the integrity of the Agency and its safety programs.

4. How do you know the program works?

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

Notable Safety Mission Support accomplishments over FY2011 are:

- The FMCSA National Training Center (NTC) Safety Programs Section provided in FY 2011, 259 training sessions reaching 4,986 commercial vehicle safety personnel. Of these, 4,550 or 91% were our state and local partners.
- NTC completed a redevelopment project that involved a complete overhaul of our hazardous materials training programs.
- NTC completed four instructor development programs and two master instructor development programs, certifying 50 new instructors and 20 master instructors.
- FY11 we ran two Safety Investigator schools with 40 graduates and one Border Inspector academy with five graduates.
- FY11 was a challenging yet successful year for DIAP. Our core course, the 24 Hour CMVCI was granted FLETA Accreditation in July
- The Office of Human Resources (OHR) lead the department for 2 consecutive quarters in a row on the time to fill measure as outlined through the hiring reform Presidential Memorandum.
- OHR was the first agency in the department to establish the Labor Management Forum as outlined in Executive Order 13522

- OHR launched the Human Capital Executive Steering Committee as mandated by OPM
- Human Capital Assessment and Accountability Framework (HCAAF) one of few such bodies in the department aimed at increasing employee development and involvement
- The Office of Acquisition Management (OAM) awarded the Electronic On-Board Recorders (EOBR) Contract as part of the Carrier tracking initiative with the Mexican Government. OAM saved the Agency approximately \$2 million through competition and established this contract in less than 90 days.

5. Why do we want/need to fund the program at the requested level?

The requested funding level accounts for the essential programs and people needed to assure a quality and high performing organization that efficiently and effectively delivers the Agency's mission of reducing fatalities and contributes to the Department's Roadway Safety Plan. Many of the functions in this area are involved in the ongoing work to improve the satisfaction of the Agency's employees, by addressing the concerns and recommendations of the Federal Viewpoint Survey and the DOT Safety Culture Survey. In addition, the mission support function is responsible for implementing government-wide environmental stewardship initiatives aimed at reducing greenhouse gas emissions such as leasing more fuel efficient vehicles. In FY2013 activities within this budget group plan to accomplish the following with the requested funding level:

- NTC Safety Programs plans to continue providing training in every aspect of commercial vehicle safety to FMCSA employees as well as our federal, state and local commercial vehicle safety partners.
 - Sustain 259 training sessions, reaching 4,986 commercial vehicle safety personnel.
 - Complete the redevelopment project that involved a complete overhaul of our roadside training programs.
 - Complete four instructor development programs and two master instructor development programs, certifying 50 new instructors and 20 master instructors.
 - Increase training to approximately 5,000 state personnel
 - Conduct at least two Safety Investigator schools and one Border Inspector academy.
- OAM will conduct a competition for all of the IT services currently provided by SAIC under the Bridge contract. These services fully support all of the FMCSA's IT services and programs for HQ and field operations. This one has to be competed to keep the Agency's operations going.

MOTOR CARRIER SAFETY GRANTS
(LIQUIDATION OF CONTRACT AUTHORIZATION)
(LIMITATION ON OBLIGATIONS)
((HIGHWAY] TRANSPORTATION TRUST FUND)
[(INCLUDING RESCISSION)]

[For payment of obligations incurred in carrying out sections 31102, 31104(a), 31106, 31107, 31109, 31309, 31313 of title 49, United States Code, and sections 4126 and 4128 of Public Law 109-59, \$307,000,000, to be derived from the Highway Trust Fund (other than the Mass Transit Account) and to remain available until expended: *Provided*, That none of the funds in this Act shall be available for the implementation or execution of programs, the obligations for which are in excess of \$307,000,000, for "Motor Carrier Safety Grants"; of which \$212,000,000 shall be available for the motor carrier safety assistance program to carry out sections 31102 and 31104(a) of title 49, United States Code; \$30,000,000 shall be available for the commercial driver's license improvements program to carry out section 31313 of title 49, United States Code; \$32,000,000 shall be available for the border enforcement grants program to carry out section 31107 of title 49, United States Code; \$5,000,000 shall be available for the performance and registration information system management program to carry out sections 31106(b) and 31109 of title 49, United States Code; \$25,000,000 shall be available for the commercial vehicle information systems and networks deployment program to carry out section 4126 of Public Law 109-59; and \$3,000,000 shall be available for the safety data improvement program to carry out section 4128 of Public Law 109-59: *Provided further*, That of the funds made available for the motor carrier safety assistance program, \$29,000,000 shall be available for audits of new entrant motor carriers: *Provided further*, That of the prior year unobligated balances for the commercial vehicle information systems and networks deployment program, \$1,000,000 is permanently rescinded.]

Contingent upon enactment of multi-year surface transportation authorization legislation, \$330,000,000, to be derived from the Transportation Trust Fund (Highway Account) and to remain available until expended, for payment of obligations incurred in carrying out motor carrier safety programs authorized under title 49, United States Code, and the provisions of Public Law 109-59, as amended by such authorization: Provided, That funds available for the implementation or execution of motor carrier safety programs shall not exceed total obligations of \$330,000,000 in fiscal year 2013 for "Motor Carrier Safety Grants"; of which \$234,000,000 shall be available for the motor carrier safety assistance program, \$36,000,000 shall be available for the commercial driver's license improvements program, \$26,000,000 shall be available for border enforcement grants, \$5,000,000 shall be available for the performance and registration information system management program, \$25,000,000 shall be available for the commercial vehicle information systems and networks deployment program, and \$4,000,000 shall be available for the safety data improvement program: Provided further, That, of the funds made available herein for the motor carrier assistance program, \$32,000,000 shall be available for audits of new entrant motor carriers. (Department of Transportation Appropriations Act, 2012.)

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

(In thousands of dollars)

Identification code 69-17-8158		<u>FY 2011</u>	<u>FY 2012</u>	<u>FY 2013</u>
		<u>ACTUAL</u>	<u>ENACTED</u>	<u>REQUEST</u>
Obligations by program activity:				
0001	Motor Carrier Safety Assistance Program	213,574	212,000	234,000
0002	Border Enforcement Grants	32,000	32,000	26,000
0003	Safety Data Improvement Grants	3,000	3,000	4,000
0004	Commercial Driver's License (CDL) Program Improvement Grants	30,000	30,000	36,000
0005	Commercial Vehicle Information Systems	17,010	25,000	25,000
0006	Performance and Registration Information System	4,750	5,000	5,000
0100	Subtotal, direct program	<u>300,334</u>	<u>307,000</u>	<u>330,000</u>
0799	Total, direct obligations	300,334	307,000	330,000
0801	Reimbursable program	0	0	0
0900	Total new obligations	<u>300,334</u>	<u>307,000</u>	<u>330,000</u>
 Budgetary Resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	35,847	53,082	52,082
1020	Adjustment of unobligated bal brought forward, Oct 1	0	0	0
1021	Recoveries of prior year unpaid obligations	10,568	0	0
1050	Unobligated balance (total)	<u>46,415</u>	<u>53,082</u>	<u>52,082</u>
 Budget authority:				
Appropriations, discretionary:				
1102	Appropriation, (trust fund)	310,070	307,000	330,000
1137	Appropriations applied to liquidate contract authority	-310,070	-307,000	-330,000
1160	Appropriation, discretionary (total)	<u>0</u>	<u>0</u>	<u>0</u>
 Contract authority, mandatory:				
1600	Contract authority	307,000	307,000	330,000
1620	Contract authority and or unobligated balance of contract authority permanently reduced	0	-1,000	0
1640	Contract authority, mandatory (total)	<u>307,000</u>	<u>306,000</u>	<u>330,000</u>
 Spending authority from offsetting collections, discretionary:				
1700	Collected	1	0	0
1701	Change in uncollected customer payments from federal sources	0	0	0
1750	Spending auth from offsetting collections, disc (total)	<u>1</u>	<u>0</u>	<u>0</u>
1900	Budget authority (total)	307,001	306,000	330,000
1930	Total budgetary resources available	353,416	359,082	382,082
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance ,end of year	53,082	52,082	52,082

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

(In thousands of dollars)

Identification code 69-17-8158		<u>FY 2011</u>	<u>FY 2012</u>	<u>FY 2013</u>
		<u>ACTUAL</u>	<u>ENACTED</u>	<u>REQUEST</u>
Change in obligated balance:				
Obligated balance , start of year (net):				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	362,526	399,095	392,796
3001	Adjustments to unpaid obligations, brought forward, Oct 1	0	0	0
3010	Uncollected pymts, Fed sources, brought forward, Oct 1	0	0	0
3020	Obligated balance , start of year (net):	362,526	399,095	392,796
3030	Obligations incurred, unexpired accounts	300,334	307,000	330,000
3040	Outlays (gross)	-253,197	-313,299	-334,399
Change in uncollected customer payments from Federal sources:				
3050	Unexpired accounts	0	0	0
3080	Recoveries of prior year unpaid obligations, unexpired	-10,568	0	0
Obligated balance, end of year (net):				
3090	Unpaid obligations, end of year (gross)	399,095	392,796	388,398
3091	Uncollected pymts, Fed sources, end of year	0		
3100	Obligated balance , end of year (net):	399,095	392,796	388,398
Budget authority and outlays, net:				
Discretionary:				
4000	Budget authority, gross	1	0	0
Outlays, gross:				
4010	Outlays from new discretionary authority	72,626	85,960	92,400
4011	Outlays from discretionary balances	180,571	227,339	241,999
4020	Total outlays, gross (disc)	253,197	313,299	334,399
Offsetting collections from:				
4030	Federal sources (disc)	-1	0	0
4040	Offsetting against gross budget authority and outlays (disc)(total)	-1	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)	253,196	313,299	334,399
Mandatory:				
4090	Budget authority, gross	307,000	306,000	330,000
4160	Budget authority, net (mandatory)	307,000	306,000	330,000
4180	Budget authority, net (total)	307,000	306,000	330,000
4190	Outlays net (total)	253,196	313,299	334,399
Memorandum (non-add) entries:				
5050	Unobligated balance, SOY: Contract authority	35,847	53,082	52,082
5051	Unobligated balance, EOY: Contract authority	53,082	52,082	52,082
5052	Obligated balance, SOY: Contract authority	362,526	399,095	392,796
5053	Obligated balance, EOY: Contract authority	399,095	392,796	388,398
5061	Limitation on obligations (Transportation Trust Funds)	310,070	307,000	330,000

MOTOR CARRIER SAFETY GRANTS PROGRAM AND PERFORMANCE STATEMENT

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

Under the Administration's surface transportation reauthorization proposal, the Motor Carrier Safety Grants will be consolidated and re-organized under three umbrella grant programs – the Compliance and Safety Accountability Program, the Driver Safety Program, and the Data Information Technology Grant Program – to allow for more efficient administration of grant funds and to better achieve FMCSA's safety goals

The Administration proposes to reclassify all surface transportation outlays as mandatory, consistent with the recommendations of the President's National Commission on Fiscal Responsibility and Reform. This schedule reclassifies discretionary outlays from obligation limitations as mandatory outlays from mandatory contract authority for the 2013 estimate. This schedule also creates a new baseline of contract authority that is equal to the previous discretionary obligation limitation baseline, to calculate the spending increase above the baseline subject to PAYGO.

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

	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST
Direct Obligations:			
21.0 Travel and Transportation of persons	882	2,000	2,000
25.2 Other services	1,781	27,500	29,480
41.0 Grants, subsidies and contributions	297,671	277,500	298,520
99.9 Total Obligations	300,334	307,000	330,000

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

CONTRACT AUTHORITY ESTIMATES	CONTRACT AUTHORITY
2006.....282,000,000	2006..... 282,000,000
	2006 Rescission of Contract Authority..... (2,820,000) ¹
2007.....297,411,000	2007..... 297,411,000 ²
2008.....300,000,000	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	

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

APPROPRIATION ESTIMATES	APPROPRIATION
2006.....282,000,000	2006..... 282,000,000
	2006 Rescission of Liquidating Cash (2,820,000) ⁵
2007.....297,508,000	2007..... 297,411,000 ⁶
2008.....300,000,000	2008..... 300,000,000
	2008 Rescission of Liquidation Cash (11,260,214) ⁷
2009.....307,000,000	2009..... 307,000,000
	2009 Rescission of Liquidating Cash..... (6,502,558) ⁸
2010.....310,070,000	2010..... 310,070,000
2011.....310,070,000	2011..... 310,070,000
2012.....330,000,000	2012..... 307,000,000
2013.....330,000,000	

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

⁶ Includes \$3,411,000 RABA adjustment

⁷ Rescission of prior year carryover P.L. 110-161

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

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

ACCOUNTS	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST
Motor Carrier Safety Grants:			
Compliance, Safety, and Accountability Program			
Motor Carrier Safety Assistance Program (MCSAP)	213,574	212,000	234,000
Border Enforcement Grants	32,000	32,000	26,000
Safety Data Improvement Grants (SaDIP)	3,000	3,000	4,000
Subtotal Compliance, Safety and Accountability Program	248,574	247,000	264,000
Driver Safety Grant Program			
Commercial Driver's License (CDL) Program Improvement Grants	30,000	30,000	36,000
Subtotal Driver Safety Grant Program	30,000	30,000	36,000
Data and Technology Grant Program			
Commercial Vehicle Information Systems (CVISN)	17,010	25,000	25,000
Performance and Resigtration Information Systems (PRISM)	4,750	5,000	5,000
Subtotal Data and Technology Grant Program	21,760	30,000	30,000
Total Motor Carrier Safety Grants	300,334	307,000	330,000

EXHIBIT III-1-B-1
MOTOR CARRIER SAFETY GRANTS
Summary Analysis of Changes from FY 2012 President's Budget to FY 2013 Request
(\$000)

	Changes from FY 2012 to FY 2013 Request (\$000)	Changes from FY 2012 to FY 2013 (FTE)
FY 2012 BASE	307,000	0
Adjustment to Base		
Inflation	1,225	
Subtotal Adjustment to Base	1,225	0
New or Expanded Programs		
Motor Carrier Safety Assistance Program (MCSAP)	20,940	
Border Enforcement	(6,000)	
Safety Data Improvement (SaDIP)	985	
Commerical Drivers License (CDL)	5,850	
SUBTOTAL NEW OR EXPANDED BASE	21,775	0
TOTAL INCREASES/DECREASE	23,000	0
FY 2013 BUDGET REQUEST	330,000	0

FY 2013 MOTOR CARRIER SAFETY GRANTS
(in Thousands of dollars)

Program Activity	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST
Compliance, Safety, and Accountability Grants Program	250,070	247,000	264,000
Data and Technology Grants Program	30,000	30,000	30,000
Driver Safety Grants Program	30,000	30,000	36,000
Total	310,070	307,000	330,000

Compliance, Safety and Accountability Grant Program: \$264,000,000

The Compliance, Safety and Accountability grant program will help FMCSA to achieve its Rule of Three strategy by providing formula and discretionary funding to the States, local law enforcement agencies and other organizations and associations that effect commercial motor vehicle safety on our Nation's roadways. Activities include roadside inspections, interventions and compliance reviews. Founded on the principles of CSA 2010, these activities provide data and critical inputs to identify unsafe carriers.

Data and Technology Grant Program: \$30,000,000

The Data and Technology grants are essential components of the Agency's efforts to remove high risk carriers, vehicles, drivers and service providers from operating. The grants provide funding to States to improve roadside enforcement effectiveness and link carrier safety performance with State vehicle credentials (i.e., license plate registration and renewal). This program will be flexible enough to provide funds for emerging initiatives and other innovative technology that the Secretary determines improves commercial motor vehicle safety.

Driver Safety Grant Program: \$36,000,000

The Driver Safety Grant Program focuses on the operator's role in commercial vehicle safety. The grants provide resources to improve CDL programs at the State Driver Licensing Agencies and their compliance with Commercial Driver License Information System (CDLIS) standards. This program will also provide funding for training and will support systems that provide carriers with information about their drivers' violations faster. These programs focus on the US DOT goal to create safer behaviors, which results in safer roadways.

COMPLIANCE, SAFETY, AND ACCOUNTABILITY GRANTS

(in Thousands of dollars)

Program Activity	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST	CHANGE FY 2012 - 2013
MANDATORY	165,392	165,350	184,075	18,725
Motor Carrier Safety Assistance Program (MCSAP)	165,392	165,350	184,075	18,725
DISCRETIONARY	84,678	81,650	79,925	-1,725
MCSAP New Entrant	32,000	29,000	32,000	3,000
MCSAP High Priority	15,000	15,000	15,000	0
MCSAP Takedown	2,678	2,650	2,925	275
Border Enforcement Grants	32,000	32,000	26,000	-6,000
Safety Data Improvement (SaDIP)	3,000	3,000	4,000	1,000
Total Compliance, Safety, and Accountability Grants	250,070	247,000	264,000	17,000

Program Name: Compliance, Safety and Accountability Grant Program

1. What is the request and what will we get for the funds?

This request will provide funding to support grant programs that improve motor carrier compliance, safety and accountability through State and local law enforcement programs including roadside inspections, interventions, compliance reviews and targeted enforcement. This grant program would fund four grants: (1) the formula Motor Carrier Safety Assistance Program (MCSAP) Basic and Incentive grants; (2) the New Entrant Safety Audit grants; (3) the High Priority grants; and (4) the Border Enforcement Grants. Through this grant program, FMCSA provides formula grants to the States and jurisdictions for completion of each State’s Commercial Vehicle Safety Plan (CVSP) through the MCSAP Basic and Incentive programs. The MCSAP Basic program provides at least 80 percent Federal funding for State law enforcement. The program will also continue the MCSAP Incentive program which rewards States demonstrating reductions in large truck crashes with additional funds for targeted initiatives. These funds are distributed pursuant to a formula based on the States’ motor carrier population and crash information.

Through reauthorization, this program would also provide discretionary funding for the completion of new entrant safety audits by each State. Funds would be distributed based on the expected number of new carriers in each State. This program would provide 100 percent Federal funding. If the States do not participate in this program, FMCSA will be responsible for completing the audits.

The program would also provide discretionary funding for the Agency’s High Priority program which encourages best practices and innovative enforcement or safety initiatives. Through the

High Priority program funds would also be made available for targeting unsafe driving of commercial motor vehicles and non-commercial motor vehicles in areas identified as high risk crash corridors. Funds may also be made available for Safety Data Improvement programs (previously known as SaDIP) enforcement actions that target rogue interstate household goods carriers, brokers and freight forwarders, for local law enforcement for commercial vehicle safety programs, and the establishment of uniform hazardous materials forms and procedures.

Border Enforcement grant funds will be provided for enforcement efforts and special initiatives specific to the US-Mexico and US-Canada border crossings and the movement of international vehicles, drivers and freight. While FMCSA has staff located at the U.S. Mexico borders, we are not at every Port of Entry (POE). In addition, based on the volume of trucks crossing the US-Mexico border, FMCSA is still dependent on State partners to conduct inspections. There is no FMCSA staff assigned to POEs on the US-Canada borders. As a result, State law enforcement conducts all of the truck inspections at the northern crossings.

2. What is the program?

The FMCSA relies on its partnerships with State and local law enforcement agencies to increase its enforcement and safety capacity to cover the motor carrier population nationwide. This grant program provides formula and discretionary funding to the States, local law enforcement agencies and other organizations and associations that effect commercial motor vehicle safety on our Nation's roadways.

3. Why is this particular program necessary?

FMCSA's front line enforcement staff is less than 600 interstate auditors and inspectors. In order to tap the existing network of State and local police departments, FMCSA provides financial assistance to complete safety audits, roadside inspections, interventions, targeted on-site reviews, comprehensive on-site reviews and off-site reviews. In addition, this program provides resources to these entities for special initiatives targeting certain sectors of the industry (i.e., buses or household goods carriers) or certain high crash corridors to improve the level of safety and reduce the number of large truck and bus crashes, injuries and fatalities.

4. How do you know the program works?

Through SAFETEA-LU, FMCSA used grant program funding for these efforts with significant successes. States conducted inspections on over 3.3 million vehicles in FY 2009. In addition, the fatalities resulting from crashes involving large trucks and buses declined 18.7% from FY 2005 to FY 2008.

5. Why do we want/need to fund the program at the requested level?

Funding at the requested level maintains the MCSAP Incentive program at its current level and increases funding for the MCSAP Basic program by \$57,116,000 and the new entrant safety audits by \$5,069,000. This request provides adequate funding to ensure the compliance of approximately 35,000 new carriers that join the industry each year. It provide additional funding for new areas of emphasis including the Ticketing Aggressive Cars and Trucks program, expanding the efforts of local law enforcement, and household goods enforcement and the establishment of uniform hazardous materials forms and procedures.

DATA AND TECHNOLOGY GRANTS
(in Thousands of dollars)

Program Activity	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST	CHANGE FY 2012 - 2013
Commercial Vehicle Information Systems (CVISN)	25,000	25,000	25,000	0
Performance and Registration Information System (PRISM)	5,000	5,000	5,000	0
Total Data and Technology Grants	30,000	30,000	30,000	0

Program Name: Data and Technology Grant Program

1. What is the request and what will we get for the funds? This request will provide funding for grant programs and technology that focus on the collection and exchange of motor carrier, driver and vehicle data. This grant program will provide funding for the States to enable them to comply with the Agency’s Performance and Registration Information Systems Management (PRISM) requirements. The Agency will seek authority to mandate PRISM in reauthorization. The PRISM program links Federal Motor Carrier Safety Information Systems with State commercial motor vehicle (CMV) registration and licensing systems to enable a State to determine the safety fitness of a motor carrier or registrant when licensing or registering or while the license or registration is in effect. Twenty percent matching funds will be required for this portion of the grant program.

The program will also provide funding for the Commercial Vehicle Information Systems and Networks (CVISN) Program, including commercial vehicle, commercial driver, and carrier-specific information systems and networks. Although SAFETEA-LU required a 50 percent match for CVISN funding, only a 20 percent State match is proposed in FY 2013.

This program will be flexible enough to provide funds for emerging initiatives and other innovative technology that the Secretary determines improves commercial motor vehicle safety.

2. What is the program?

The FMCSA enforcement programs rely on the use of and transfer of data regarding carriers, drivers and vehicles. PRISM and CVISN programs provide resources to States to develop, implement, and maintain commercial vehicle information systems and networks, and other innovative technologies that the Secretary determines improves commercial motor vehicle safety. This program would also encourage the development of other innovative technology that would provide the Agency with information needed to assess the safety of a carrier, vehicle or driver.

3. Why is this particular program necessary?

The PRISM program has proven to be effective in preventing unsafe carriers from reinventing themselves into new companies (“chameleon carriers”). By tying vehicle information to carriers, States can more easily identify unsafe recreated or chameleon carriers that have had their authority revoked or suspended, and deny them license plates for the vehicles. The CVISN deployment program integrates State, federal, and carrier systems to improve safety and productivity. This activity solves institutional and architectural issues, as well as technical problems related to providing electronic access to timely and accurate motor carrier safety and other credentials information.

We expect that this program will result in access to other available data that will enhance the Agency’s existing data and enforcement programs.

4. How do you know the program works?

Through the PRISM and CVISN programs, license plates have been denied to unsafe out-of-service carriers; unsafe carriers have been appropriately targeted for roadside inspections and data about unsafe carriers’ inspections, crashes and compliance reviews have been added to FMCSA’s databases to allow the Agency to identify and further target unsafe carriers for enforcement. FMCSA depends on accurate and timely safety data that is improved as a result of these grant programs. The Agency’s success can be attributed to improved information technology tools, financial and technical assistance provided to state partners, continued enhancements and development of data analysis tools.

5. Why do we want/need to fund the program at the requested level?

Funding at the requested is needed to ensure that these key components of FMCSA’s safety mission by providing State partners with the necessary resources to provide systems to improve commercial motor vehicle safety.

DRIVER SAFETY GRANTS
(in Thousands of dollars)

Program Activity	FY 2011 ACTUAL	FY 2012 ENACTED	FY 2013 REQUEST	CHANGE FY 2012 - 2013
Commercial Driver's License (CDL) Program Improvement Grants	30,000	30,000	36,000	6,000
Total Driver Safety Grants	30,000	30,000	36,000	6,000

Program Name: Driver Safety Grant Program

1. What is the request and what will we get for the funds?

This request will provide funding for grant programs that focus on the operator’s role in commercial vehicle safety. This grant program would provide funding to permit each State to employ a Commercial Driver’s License (CDL) coordinator who would be responsible for the State’s programs and processes for issuing and revoking CDLs and for ensuring that driver records are properly transmitted to the Commercial Driver’s License Information System (CDLIS).

Discretionary grant awards may also be provided for CDL improvement programs proposed by the States. These may include integration of existing State systems into CDLIS; knowledge and skills testing changes; fraud detection and other programs that strengthen the integrity of the CDL. This discretionary grant program will also provide funding to train current and future drivers in the safe operation of CMVs, as defined in 49 U.S. C. 31301(4) and to develop systems that notify motor carriers when their CDL drivers have driving violations. Eligible recipients include State and local agencies and accredited post-secondary educational institutions (public or private) such as colleges, universities, vocational-technical schools and truck driver training schools.

2. What is the program?

The program awards grants to entities that come in contact with an individual seeking to obtain or retain a CDL. This program promotes allowing only the safest drivers to be CDL holders by encouraging State Driver Licensing Agencies, the CDLIS administrator, educational institutions and other organizations to provide timely information about unsafe drivers through CDLIS. It also promotes training before entering the industry to improve the safety of new drivers.

3. Why is this particular program necessary?

The Agency's 2006 Large Truck Crash Causation Study determined that drivers of trucks or other vehicles are the cause of most crashes. It is critical that CDL holders be trained, tested and monitored to ensure continued safety.

4. How do you know the program works?

Since the establishment of the CDL program and the development and implementation of the CDLIS system, information conveyed State-to-State has improved significantly. These programs need to move to their next step in their implementation to raise the bar for CDL drivers.

5. Why do we want/need to fund the program at the requested level?

The CDL grants are key funding resources for States to maintain and improve implementation of their commercial driver's licenses programs; provide research, development and demonstration projects; train commercial vehicle operators; and provide for CDL program coordinators.

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

(In thousands of dollars)

Identification code 69-17-8055		<u>FY 2011</u>	<u>FY 2012</u>	<u>FY 2013</u>
		<u>ACTUAL</u>	<u>ENACTED</u>	<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	11,128	18,248	4,330
1020	Adjustment of unobligated bal brought forward, Oct 1	-191	-13,918	0
1021	Recoveries of prior year unpaid obligations	7,667	0	0
1050	Unobligated balance (total)	<u>18,603</u>	<u>4,330</u>	<u>4,330</u>
Budget authority:				
Appropriations, discretionary:				
1160	Appropriation, discretionary (total)	0	0	0
Contract authority, mandatory:				
1621	Unobligated balance of contract authority permanently reduced	0	0	0
1640	Contract authority, mandatory (total)	<u>0</u>	<u>0</u>	<u>0</u>
Spending authority from offsetting collections, discretionary:				
1700	Collected	-315	0	0
1701	Change in uncollected customer payments from federal sources	-40	0	0
1750	Spending auth from offsetting collections, disc (total)	<u>-355</u>	<u>0</u>	<u>0</u>
1900	Budget authority (total)	-355	0	0
1930	Total budgetary resources available	18,248	4,330	4,330
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance ,end of year	18,248	4,330	4,330
Change in obligated balance:				
Obligated balance , start of year (net):				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	-1,979	-12,099	0
3001	Adjustments to unpaid obligations, brought forward, Oct 1	-354	19,579	0
3010	Uncollected pymts, Fed sources, brought forward, Oct 1	-2,117	0	0
3020	Obligated balance , start of year (net):	<u>-4,450</u>	<u>7,480</u>	<u>0</u>
3040	Outlays (gross)	-21	-7,480	0
Change in uncollected customer payments from Federal sources:				
3050	Unexpired accounts	40	0	0
3080	Recoveries of prior year unpaid obligations, unexpired	-7,667	0	0
Obligated balance, end of year (net):				
3090	Unpaid obligations, end of year (gross)	-10,022	2,077	0
3091	Uncollected pymts, Fed sources, end of year	-2,077	-2,077	0
3100	Obligated balance , end of year (net):	<u>-12,099</u>	<u>0</u>	<u>0</u>

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

(In thousands of dollars)

Identification code 69-17-8055

	<u>FY 2011</u> <u>ACTUAL</u>	<u>FY 2012</u> <u>ENACTED</u>	<u>FY 2013</u> <u>REQUEST</u>
Budget authority and outlays, net:			
Discretionary:			
4000 Budget authority, gross	-355	0	0
Outlays, gross:			
4010 Outlays from new discretionary authority	0	0	0
4011 Outlays from discretionary balances	21	7,480	0
4020 Total outlays, gross (disc)	21	7,480	0
Offsetting collections from:			
4030 Federal sources (disc)	315	0	0
4040 Offsetting against gross budget authority and outlays (disc)(total)	315	0	0
Additional offsets against gross budget authority only (disc):			
4050 Change in uncollected cust pymnts from federal sources (unexpired)(disc)	40	0	0
4060 Additional offsets against budget authority only (disc)(total)	40	0	0
4070 Budget authority, net (discretionary)			
4080 Outlays net (discretionary)	336	7,480	0
Mandatory:			
4090 Budget authority, gross			
<hr/>			
4160 Budget authority, net (mandatory)			
4180 Budget authority, net (total)			
4190 Outlays net (total)	336	7,480	0
Memorandum (non-add) entries:			
5050 Unobligated balance, SOY: Contract authority	11,128	18,248	4,330
5051 Unobligated balance, EOY: Contract authority	18,248	4,330	4,330
5052 Obligated balance, SOY: Contract authority	-4,450	7,480	0
5053 Obligated balance, EOY: Contract authority	-12,099	0	0
5054 Fund balance in excess of liquidating req, SOY: Contract authority		0	0
5055 Fund balance in excess of liquidating req, EOY: Contract authority			
5061 Limitation on obligations (Transportation Trust Funds)	0	0	0

**MOTOR CARRIER SAFETY
PROGRAM AND PERFORMANCE STATEMENT**

No funding is requested for this account in 2013.

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

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

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

⁵ 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)

⁶ Enacted 0.22% rescission pursuant to Public Law 106-554

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

⁸ Enacted rescission pursuant to P.L. 107-206

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

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

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

¹² Rescission of prior year carryover P.L. 110-161

¹³ Rescission of prior year carryover P.L. 111-8

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

(In thousands of dollars)

Identification code 69-17-8048

		<u>FY 2011 ACTUAL</u>	<u>FY 2012 ENACTED</u>	<u>FY 2013 REQUEST</u>
Obligations by program activity:				
0900	Total new obligations	0	0	0
Budgetary Resources:				
Unobligated balance:				
1000	Unobligated balance brought forward, Oct 1	16,196	16,379	16,379
1020	Adjustment of unobligated bal brought forward, Oct 1	2	0	0
1021	Recoveries of prior year unpaid obligations	180	0	0
1050	Unobligated balance (total)	16,379	16,379	16,379
Budget authority:				
Appropriations, discretionary:				
1160	Appropriation, 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	16,379	16,379	16,379
Memorandum (non-add) entries:				
1941	Unexpired unobligated balance ,end of year	16,379	16,379	16,379
Change in obligated balance:				
Obligated balance , start of year (net):				
3000	Unpaid obligations, brought forward, Oct 1 (gross)	8,629	7,861	0
3001	Adjustments to unpaid obligations, brought forward, Oct 1	-2	0	0
3010	Uncollected pymts, Fed sources, brought forward, Oct 1	0	0	0
3020	Obligated balance , start of year (net):	8,627	7,861	0
3040	Outlays (gross)	-586	-7,861	0
Change in uncollected customernr payments from Federal sources:				
3050	Unexpired accounts	0	0	0
3080	Recoveries of prior year unpaid obligations, unexpired	-180	0	0

**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

	<u>FY 2011</u>	<u>FY 2012</u>	<u>FY 2013</u>
	<u>ACTUAL</u>	<u>ENACTED</u>	<u>REQUEST</u>
Obligated balance, end of year (net):			
3090 Unpaid obligations, end of year (gross)	7,861	0	0
3091 Uncollected pymts, Fed sources, end of year	0		
3100 Obligated balance , end of year (net):	7,861	0	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	586	7,861	0
4020 Total outlays, gross (disc)	586	7,861	0
4070 Budget authority, net (discretionary)	0	0	0
4080 Outlays net (discretionary)	586	7,861	0
Mandatory:			
4090 Budget authority, gross			
4160 Budget authority, net (mandatory)			
4180 Budget authority, net (total)			
4190 Outlays net (total)	586	7,861	0
Memorandum (non-add) entries:			
5050 Unobligated balance, SOY: Contract authority	16,196	16,379	16,379
5051 Unobligated balance, EOY: Contract authority	16,379	16,379	16,379
5052 Obligated balance, SOY: Contract authority	8,627	7,861	0
5053 Obligated balance, EOY: Contract authority	7,861	0	0
5061 Limitation on obligations (Transportation Trust Funds)	0	0	0

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

No funding is requested for this account in 2013.

**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.....	

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)

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

¹¹ Includes \$50 million in revenue aligned budget authority

¹² Includes \$10 million in revenue aligned budget authority

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

¹⁴ Transferred to the newly established FMCSA from the FHWA Motor Carrier Safety Grants account

¹⁵ Enacted .22% rescission pursuant to P. L. 106-554

¹⁶ 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

¹⁷ Enacted 0.65% rescission pursuant to P.L. 108-7

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

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

²⁰ Rescission of prior year carryover P.L. 110-161

²¹ Rescission of prior year carryover P.L. 111-8

ADMINISTRATIVE PROVISION-FEDERAL MOTOR CARRIER SAFETY
ADMINISTRATION

[Sec. 130. Funds appropriated or limited in this Act shall be subject to the terms and conditions stipulated in section 350 of Public Law 107-87 and section 6901 of Public Law 110-28, including that the Secretary submit a report to the House and Senate Appropriations Committees annually on the safety and security of transportation into the United States by Mexico-domiciled motor carriers.]

[Sec. 131. Notwithstanding any other provision of law, States receiving funds for core or expanded deployment activities under the Commercial Vehicle Information Systems and Networks program pursuant to sections 4101(c)(4) and 4126 of Public Law 109-59 that did not meet award eligibility requirements set forth in section 4126; received grant amounts in excess of the maximum amounts specified in sections 4126(c)(2) or 4126(d)(3); or were awarded grants either prior to or after the expiration of the period of performance specified in a grant agreement, shall not be required to repay grant amounts received in error under such sections and, in addition, shall be reimbursed for core or expanded deployment expenditures such States made before the date of the enactment of this Act in reliance on a grant awarded in error under such sections.](*Department of Transportation Appropriations Act, 2012.*)

EXPLANATION OF
ADMINISTRATIVE PROVISION-FEDERAL MOTOR CARRIER SAFETY
ADMINISTRATION

Sec. 130. This administrative provision is not required because the annual report to the House and Senate Appropriations Committee on the safety and security of transportation into the United States by Mexican- domiciled motor carrier was addressed in the FY2012 appropriations act.

Sec. 131. This administrative provision is not required because the agency is not seeking hold harmless language for Commercial Vehicle Information Systems and Networks (CVISN) grant awards made after the enactment of the FY 2012 appropriations act (November 18, 2011). The FY 2012 appropriations act (PL 112-55) which contains this CVISN “hold harmless” language already addresses any CVISN Anti-deficiency Act violations and lapses which occurred before November 18, 2012.

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

The Federal Motor Carrier Safety Administration (FMCSA) integrates performance results into its Fiscal Year (FY) 2013 budget request to demonstrate alignment with the FMCSA and Department of Transportation's Strategic Plans. FMCSA tracks the following department level performance measures to demonstrate program results.

Strategic Goal: Safety

The FMCSA supports the DOT Agency Performance Goal (APG) of reducing roadway fatalities by delivering safety programs which influence the reduction of large truck and bus crashes, fatalities and injuries. FMCSA contributes to the DOT safety goal by delivering safety focused rulemaking, outreach/education, enforcement, and research and development activities.

DOT High Priority Performance Goal and Target Analysis

Early fatality and vehicle mileage estimates indicate that the DOT is on track to reduce the rate of fatalities by about 30 percent when compared to CY 2005 performance of 1.46 fatalities.

Reduce the Rate of Roadway Fatalities per 100 Million Vehicle Miles Traveled (VMT). <i>(Calendar Year) Shared Measure with NHTSA and FHWA</i>					
	2009	2010	2011	2012	2013
Target	1.35	1.30	1.10	1.05	TBD
Actual	1.14	1.09*			

FMCSA Performance Goals and Target Analysis:

Target Analysis: Reduce Passenger Vehicle Occupant Fatalities per 100 million Passenger Vehicle Miles Traveled

Reduce Passenger Vehicle Occupant Fatalities per 100 million Passenger Vehicle Miles Traveled (PVMT). (Calendar Year)					
	2009	2010	2011	2012	2013
Target	1.02	0.99	0.85	0.85	0.82
Actual	0.98 – 1.04*	0.87*			

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

Reduce Motorcycle Rider Fatalities per 100,000 Motorcycle Registrations. (Calendar Year)					
	2009	2010	2011	2012	2013
Target	77	78	63	63	63
Actual	56.3	65*			

Target Analysis: Reduce Non-occupant (pedestrian and bicycle) Fatalities per 100 million VMT.

Reduce Non-occupant (pedestrian and bicycle) Fatalities per 100 million VMT. (Calendar Year)					
	2009	2010	2011	2012	2013
Target	0.19	0.19	0.16	0.16	0.16
Actual	0.16	0.16*			

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

The Large Truck and Bus Fatalities per 100 million VMT performance measure serves as FMCSA’s primary outcome measure which supports the Agency’s strategic goal of “saving lives and reducing injuries by preventing and minimizing the severity of truck and bus crashes.” This safety goal is driven by the implementation and maturation of aggressive safety programs, either implemented or augmented through the 2005 SAFETEA-LU authorization. SAFETEA-LU funded increases in safety activities like outreach, education, partner support, enforcement, roadside inspections, innovative interventions, and aggressive safety-oriented rules and regulations. These initiatives contributed to the lowest recorded fatality rate in the Agency’s history (0.121 fatalities per 100 million VMT).

Reduce Roadway Fatalities Involving Large Trucks and Buses per 100 million VMT* (Calendar year). <i>Shared Measure with NHTSA and FHWA</i>					
	2009	2010	2011	2012	2013
Target	0.167	0.164	0.121	0.117	0.114
Actual	0.121	0.123*			

* *Preliminary estimate*

Target Analysis: Reduce Injury Crashes Involving Large Trucks and Buses per 100 million VMT:

This performance measure tracks the Agency’s progress on reducing injury crashes linked to large trucks or bus crashes. FMCSA updated its targets in 2011 when 2009 actual performance exceeded the goal previously established for 2012. The Agency established a 2.5% annual improvement rate for 2012 and beyond. Early estimates indicate that the number of injuries improved in 2010 to approximately 52,000 (a 13 percent improvement).

Reduce Injury Crashes Involving Large Trucks and Buses per 100 million VMT* (Calendar year)					
	2009	2010	2011	2012	2013
Target	2.75	2.71	2.00	1.95	1.90
Actual	2.02	1.74*			

* *Calendar year 2010 is an estimate based on FMCSA accumulated data. NHTSA will supply the actual results in July from the General Estimates System (GES).*

Target Analysis: Increase Safety Intervention Effectiveness

The performance measure shows the percentage of commercial motor vehicle (CMV) carriers that either improve or maintain a satisfactory level of compliance from one compliance review (CR) (the Agency’s main safety intervention) visit to the next. This measure was established in 2009, with the full expectation that both the types of inspections/evaluations counted and the targets will evolve as the Agency fully implements a progressive array of Compliance, Safety, Accountability (CSA) enforcement interventions.

Increase Safety Intervention Effectiveness (Fiscal Year)					
	2009	2010	2011	2012	2013
Target	N/A	69.6%	70.6%	72.0%	72.8%
Actual	71.8%*	Data not available			

* *Preliminary estimates*

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

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

States Satisfying "Green" Data Quality Criteria As Reflected on the State Safety Data Quality (SSDQ) Map. (Fiscal Year)					
	2009	2010	2011	2012	2013
Target	28	32	36	38	40
Actual	40	36*			

**the FY 2010 criteria added two new measures of data quality, creating a more stringent standard for a “green” rating.*

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

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

Increase Safety Belt Use by Drivers of Large Trucks. (Fiscal Year)					
	2009	2010	2011	2012	2013
Target	70%	71%	74%	75%	76%
Actual	74%	78%			

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

The FMCSA contributes to the roadway portion of the PHSMA’s performance target of reducing the number of HAZMAT transportation (air, roadway and sea) incidents that result in death or major injury to no more than 30 per year by FY 2011. Preliminary data indicates that the number of HAZMAT incidents resulting in death or major injury declined by 25 percent over FY 2010. The Agency influenced this improvement by completing enforcement interventions such as HAZMAT shipper reviews, special permitting, cargo tank facility reviews, HAZMAT package inspections (over 5,000 Federal and 600 State), HAZMAT vehicle inspections (208,000), and outreach and educational activities.

Reduce the Number of Roadway HAZMAT Incidents Involving Death or Major Injury. (Fiscal Year)					
	2009	2010	2011	2012	2013
Target	N/A	30	30	29	29
Actual	24	18			

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

FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION	FY 2011	FY 2012	FY 2013	FY 2013	FY 2013
	Actuals	Enacted	Pres. Bud.	Applied	Development
A. Produce Safe Drivers	3,767	4,915	3,650	2,100	250
1. Produce Safe Drivers (R)	1,699	2,445	2,350	2,100	250
2. Produce Safe Drivers (T)	2,068	1,750	1,300	NA	NA
B. Improve Safety of Commercial Vehicles	1,840	1,636	2,505	0	0
1. Improve Safety of Commercial Vehicles (R)	0	200	0	0	0
2. Improve Safety of Commercial Vehicles (T)	1,840	1,436	2,505	NA	NA
C. Produce Safer Carriers	875	930	1,270	970	0
1. Produce Safer Carriers (R)	875	930	970	970	0
2. Produce Safer Carriers (T)	0	0	300	NA	NA
D. Advanced Safety Through Info-Based Initiatives	1,100	450	650	250	0
1. Advanced Safety Through Info-Based Initiatives (R)	400	0	250	250	0
2. Advanced Safety Through Info-Based Initiatives (T)	700	450	400	NA	NA
E. Enable and Motivate Internal Excellence	961	1,332	925	925	0
1. Enable and Motivate Internal Excellence (R)	718	700	925	925	0
2. Enable and Motivate Internal Excellence (T)	243	632	0	NA	NA
F. Administrative Expenses	2,563	2,382	2,382	2,317	65
Subtotal, Research & Development (R)	6,255	6,657	6,877	6,562	315
Subtotal, Technology Investment (T)	4,851	4,268	4,505	-	-
Subtotal, Facilities (F)	0	0	0	0	0
Total FMCSA	11,106	10,925	11,382	6,562	315

(R) Research
(T) Technology