

# Compliance, Safety, & Accountability (CSA)

*A New Way To Measure and Address  
Commercial Motor Vehicle Safety*

*Michigan Traffic Safety Summit*

**March 30, 2011**



# Check Cell Phones



# ★ Presentation Agenda

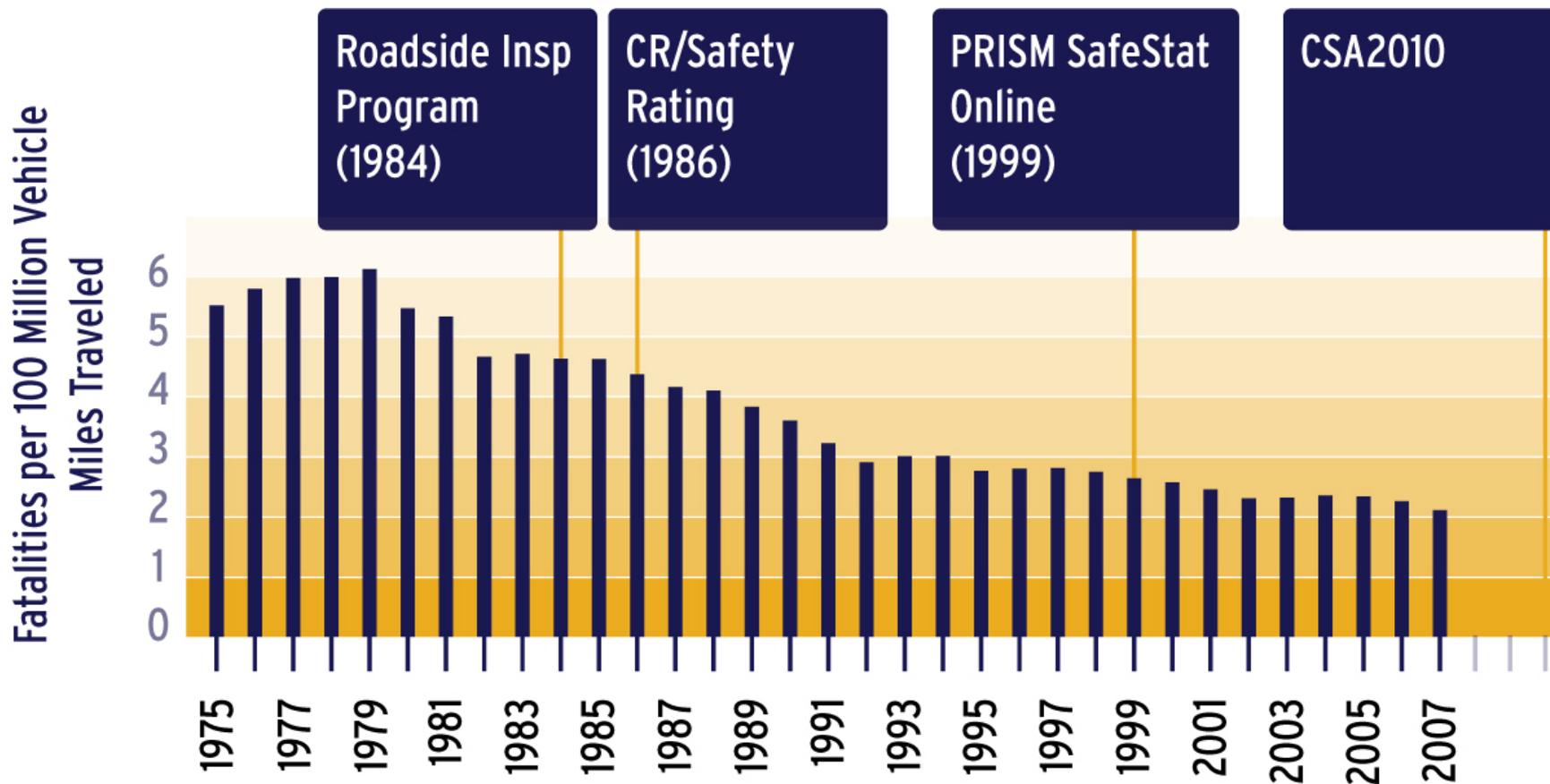
- Why Change
- CSA: Defined
- Implementation
- Summary



# Why Change?

# ★ Commercial Motor Vehicle Fatalities

## Rate of Commercial Motor Vehicle Fatalities is Leveling Off





# CSA Defined

# ★ CSA: Core Components

## 1. New Safety Measurement System (SMS)

- Improved ability to identify demonstrated safety problems
- Access SMS via Portal:  
<https://portal.fmcsa.dot.gov/>

## 2. New intervention process

- Employs a broader array of compliance interventions.

# ★ Safety Events by BASICs

## • Behavioral Analysis & Safety Improvement Categories

• Unsafe Driving

• Fatigued Driving (HOS)

• Driver Fitness

• Drug/Alcohol

• Vehicle Maintenance

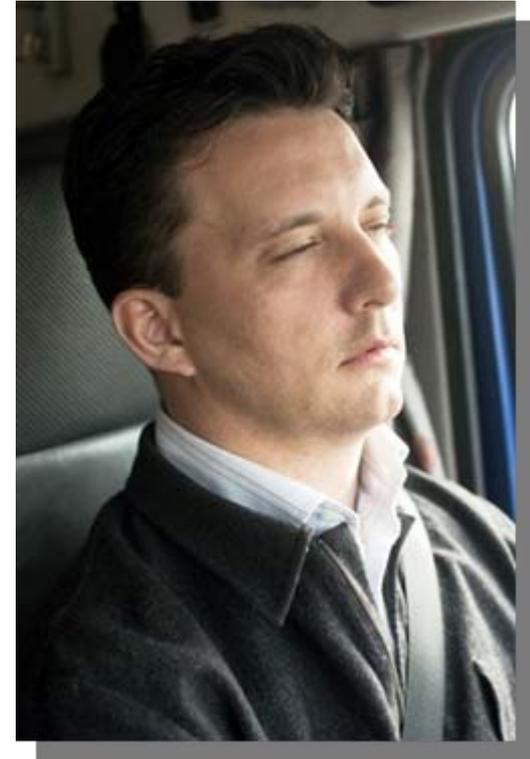
• Cargo Related

• Crash Indicator

# ★ Fatigued Driving (HOS) BASIC

- Operation of CMVs by drivers ill, fatigued, or in non-compliance with the hours-of-service (HOS) regulations.

**Examples:** HOS, Form and Manner, and operating CMV while ill or fatigued (all Part 395).



# ★ Driver Fitness BASIC



- Operation of CMVs by drivers who are unfit to operate a CMV due to lack of training, experience, or medical qualifications. **Examples:** failure to have valid and appropriate CDL or being medically unqualified to operate a CMV.



# Controlled Substances/Alcohol BASIC

- Operation of a CMV while impaired due to alcohol, illegal drugs, and misuse of prescription medications or over-the-counter medications. **Examples:** use or possession of controlled substances or alcohol.



# ★ Vehicle Maintenance BASIC

Operation of CMVs having improper or inadequate maintenance.

## Examples:

- brakes
- lights
- other mechanical defects
- failure to make required repairs



# ★ Cargo Related BASIC



Operation of CMV with potential of shifting loads, spilled or dropped cargo, or unsafe handling of hazardous materials.

## Examples:

- improper load securement
- cargo retention
- hazardous material handling

# ★ Unsafe Driving BASIC



Operation of CMVs in a dangerous or careless manner.

## Examples:

- speeding,
- reckless driving,
- improper lane change

# ★ Crash Indicator



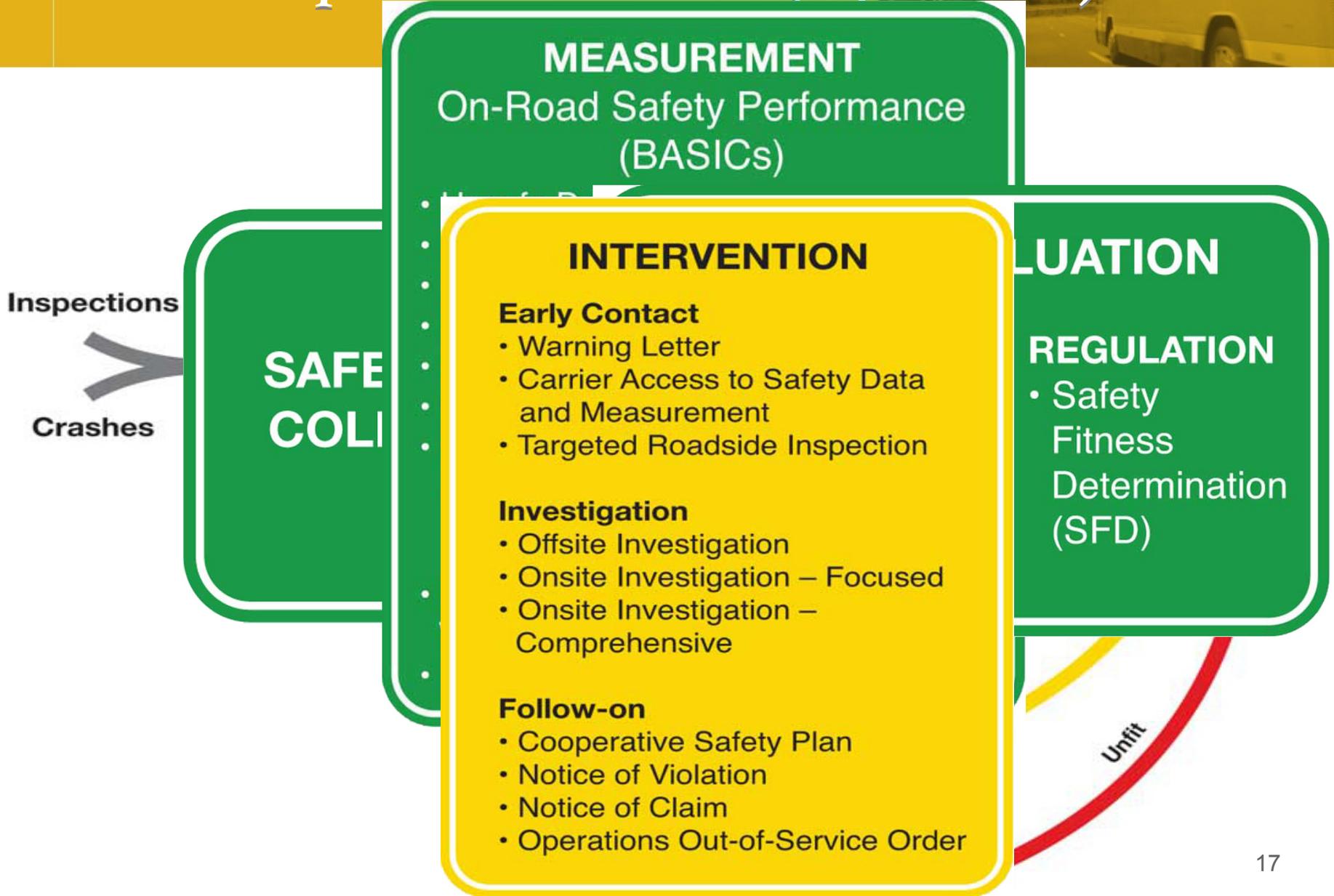
- Histories or patterns of high crash involvement, including frequency and severity. Based on state-reported crash records.

# CSA 2010 Safety Measurement System (SMS)

## How it Works

- Data – system uses ALL data.
  - Time weighted: 0-6, 6-12, 12-24
  - Severity: 1-10 based on crash risk
- Pattern of multiple inspections is what most affects the BASIC score.
- Data sufficiency: minimum number of inspections to score.
- Assigns Score in 7 Behavior Areas (**BASICs**)

# ★ A New Operational Model (Op-Model)





# SAFETY EVENT: Level I Inspection on John Doe

## VIOLATIONS

Section Code	Type	Unit	OOS	Citation #	Verify	Crash	Violations Discovered
391.41(a)	F	D	N		N	N	No medical certificate on drivers possession
<b>395.3(a)(2)</b>	<b>F</b>	<b>D</b>	<b>Y</b>		<b>N</b>	<b>N</b>	<b>14 hour rule violation (Property)</b>
392.2S	F	D	N		N	N	Speeding
<b>391.11(b)(1)</b>	<b>F</b>	<b>D</b>	<b>Y</b>		<b>N</b>	<b>N</b>	<b>Using a driver in Interstate Commerce less than 21 years of age</b>
395.8(k)(2)	F	D	N		N	N	Driver failing to retain previous 7 days records of duty status

**HazMat:** No HM Transported.

**Placard:** No

**Cargo Tank:**

**Special Checks:** Traffic Enforcement

Pursuant to authority contained in Title 49, Code of Federal Regulations, Section 395.13, I hereby notify and declare the driver: JOHN SMITH named on this report OUT OF SERVICE. No motor carrier shall permit or require this driver to drive or operate any motor vehicle until: 1500 hours 7-6-2010. Penalties up to \$10,000 are prescribed for violation of this out-of-service order (49 CFR 386.82).

NOTE TO DRIVER: This report must be furnished to the motor carrier whose name appears at the top of this report. [49 CFR 396.9(d)(1)]

NOTE TO MOTOR CARRIERS: Pursuant to authority contained in Title 49, Code of Federal Regulations, Section 396.9(d)(3), within 15 days of the inspection sign below certifying that all violations noted on this report have been corrected. Return the completed form to the address indicated on the upper left corner of the form, AND retain a copy at the principal place of business or where the vehicle is housed for 12 months from the date of the inspection. Failure to return this report with the required certification can result in penalties up to \$1,000 per day for each day the violation continues, up to a total of \$10,000.

Signature Of Motor Carrier X: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

# Safety Measurement System Violation Severity Table



**Table 3. CSMS Fatigued Driving (HOS) BASIC Violations<sup>9</sup>**

<b>Section</b>	<b>Violation Description Shown on Driver/Vehicle Examination Report Given to CMV Driver after Roadside Inspection</b>	<b>Violation Group Description</b>	<b>Violation Severity Weight<sup>10</sup></b>	<b>Violation in the DSMS (Y/N)</b>
395.3(a)(1)	Requiring or permitting driver to drive more than 11 hours	Hours	7	Y
395.3(a)(2)	Requiring or permitting driver to drive after 14 hours on duty	Hours	7 	Y
395.3(b)	60/70- hour rule violation	Hours	7	Y
395.3(c)	34- hour restart violation (Property)	Hours	7	Y
395.5(a)(1)	10- hour rule violation (Passenger)	Hours	7	Y
395.5(a)(2)	15- hour rule violation (Passenger)	Hours	7	Y
395.5(b)	60/70- hour rule violation (Passenger)	Hours	7	Y
395.8(a)	No drivers record of duty status	Incomplete/ Wrong Log	5	Y
	Onboard recording device information	FOBR		

# ★ Extra Severity Points for Out of Service (OOS) Violations

## VIOLATIONS

<u>Section Code</u>	<u>Type</u>	<u>Unit</u>	<u>OOS</u>	<u>Citation #</u>	<u>Verify</u>	<u>Crash</u>	<u>V</u>
391.41(a)	F	D	N		N	N	N
<b>395.3(a)(2)</b>	<b>F</b>	<b>D</b>	<b>Y</b>		<b>N</b>	<b>N</b>	<b>1</b>
392.2S	F	D	N		N	N	S
<b>391.11(b)(1)</b>	<b>F</b>	<b>D</b>	<b>Y</b>		<b>N</b>	<b>N</b>	<b>U</b>
395.8(k)(2)	F	D	N		N	N	D

**HazMat:** No HM Transported.

**Special Checks:** Traffic Enforcement

**- Add 2 Points to Severity for each OOS Violation**

# ★ Time Weight Multiplier

<b>Timeframe Violation Recorded</b>	<b>Weight Multiplier</b>
0 to 6 Months	3
> 6 Months to 12 months	2
> 12 months	1

# BASIC DATA



## Total Points Result from Inspection

Section	Violation Description	OOS?	(A)	(B)	(C)	(D)	(E)
			Violation Weight	OOS Weight	Severity Weight	Insp Time Weight	Time/Severity Weight
			(A+B=C)			(C * D=E)	
391.11(b)(1)	Using a driver in Interstate Commerce less than 21 years of age	Y	6	2	8		
391.41(a)	No medical certificate in driver's possession	N	1		1		
<b>Driver Fitness BASIC</b>					<b>9</b>	<b>3</b>	<b>27</b>
392.2S	Speeding	N	5		5		
<b>Unsafe Driving BASIC</b>					<b>5</b>	<b>3</b>	<b>15</b>
395.3(a)(2)	14 hour rule violation (Property)	Y	7	2	9		
395.8(k)(2)	Driver failing to retain previous 7 days records of duty status	N	5		5		
<b>Fatigued Driving BASIC</b>					<b>14</b>	<b>3</b>	<b>42</b>

• **Maximum total Severity Weight for a single BASIC is 30**

# ★ What Triggers an Interventions

- Carriers that exceed the BASIC threshold are identified for interventions

<b>BASIC</b>	<b>General</b>	<b>HM</b>	<b>Passenger</b>
Unsafe Driving, Fatigued Driving (HOS), Crash Indicator	<i>65%</i>	<i>60%</i>	<i>50%</i>
Driver Fitness, Drugs / Alcohol, Vehicle Maintenance, Cargo-Related	<i>80%</i>	<i>75%</i>	<i>65%</i>



# Think Golf Scores: Lower is Better

- Like golf, the lower a carrier's BASIC scores, the better
- A BASIC score of 20 means that the carrier is doing worse than only 20 percent of its peer group carriers in a BASIC category





# How do you access your data

## LOGIN

If you are not an authorized user (FMCSA, State, or Motor Carrier), [please visit the CSA 2010 homepage](#).

### Motor Carriers

[Login via the FMCSA Portal](#)

U.S. DOT#:

CARRIER PIN:

Please enter your U.S. DOT # and Personal Identification Number (PIN) provided by FMCSA. If you do not know your PIN, visit [this link](#) this link and select 'I want to request a copy of a document' (last selection on page) or call 1-800-832-5660 for assistance.

LOGIN

### FMCSA & State Partners

[Login via the FMCSA Portal](#)

USERNAME:

PASSWORD:

Please use your User Authentication System (UAS) username and password. If you require any assistance, please visit FMCSA Technical Support online at <http://fmcsa-ts.dot.gov/> or by telephone at 617-494-3003.

LOGIN

### NOTICE:

FMCSA is transitioning all login processes to a Single Sign On through FMCSA's new COMPASS Portal. [Visit FMCSA to obtain a Portal account](#). FMCSA and State Enforcement users may login to the CSA 2010 website using the FMCSA Portal or the User Authentication System (UAS). Motor Carrier users may login to the CSA 2010 website via the FMCSA Portal or your U.S. DOT # and (PIN).

### WARNING:

You are accessing a U.S. Government information system. This information system, including all related equipment, networks, and network devices, is provided for U.S. Government-authorized use only. Unauthorized or improper use of this system is prohibited, and may result in civil and criminal penalties, or administrative disciplinary action. The communications and data stored or transiting this system may be, for any lawful Government purpose, monitored, recorded, and subject to audit or investigation. By using this system, you understand and consent to such terms.



# Data Preview – Carrier Summary Screen

ABC Trucking, Inc.    U.S. DOT # 0000

[Home](#)   [Update Registration Info](#)   [Violation Summary](#)   [Resources](#)

(24 Month Record as of 7/23/2010)

**Prepare Now for CSA 2010:** Each month review your safety assessment, update carrier registration information, and improve safety NOW!

Behavior Analysis and Safety Improvement Categories (BASICS)

(Select a BASIC below to view performance history)

	PERFORMANCE		
	On-road	Investigation	Overall
<b>Unsafe Driving</b>	95%		
<b>Fatigued Driving (HOS)</b>	46%		
<b>Driver Fitness</b>	90%		
<b>Drugs/Alcohol</b>	Insufficient Data		
<b>Vehicle Maintenance</b>	98%		
<b>Cargo-Related</b>	92%		
<b>Crash Indicator</b> <small>(Will not be available to public)</small>	Insufficient Data	Not Applicable	

**Icon Key:** Investigation Deficiency   **DEFICIENT**   BASIC Deficient   NOT DEFICIENT   BASIC Not Deficient

View the [Information Center](#) for a definition of Deficient.

Carrier Registration Information (as of 7/23/2010)

CHECK YOUR VMT AND POWER UNIT DATA

<b>U.S. DOT #:</b> 0000	<b>MCS-150' Date:</b> 10/23/2009
<b>Legal Name:</b> ABC Trucking, Inc	<b>DBA Name:</b>
<b>Physical Address:</b> 1111 Main Street Springs, TX 00001	<b>Mailing Address:</b> 1111 Main Street Springs, TX 00001
<b>Phone:</b> 617-555-1234	<b>Email:</b>
<b>Fax:</b> 617-555-5678	<b>Operation:</b> Interstate
<b># PUs:</b> 4	<b>Hazmat:</b> No
<b># Drivers:</b> 3	<b>HHG:</b> No
<b>VMT:</b> 30,000	<b>New Entrant:</b> No
<b>VMT Year:</b> 2008	<b>Passenger Carrier:</b> No

Update Carrier Registration Information

Summary of Inspection and Crash Activity (24 Months as of 7/23/2010)

<b>Total Inspections:</b> 65	<b>Vehicles in Crashes:</b> 1
<b>Vehicle Inspections:</b> 59	<b>w/ Injury or Fatality:</b> 1
<b>Driver Inspections:</b> 65	<b>w/ Towaway:</b> 0
<b>Hazmat Inspections:</b> 0	

View Violation Summary

\*Outdated or inaccurate MCS-150 data on file with FMCSA, could impact your assessment.

# ★ Data Preview –Carrier Summary Screen

### Behavior Analysis and Safety Improvement Categories (BASICS)

(Select a BASIC below to view performance history)

	PERFORMANCE		
	On-road	Investigation	Overall
<b>Unsafe Driving</b>	95%	=	<b>DEFICIENT</b>
<b>Fatigued Driving (HOS)</b>	46%	=	<b>NOT DEFICIENT</b>
<b>Driver Fitness</b>	90%	=	<b>DEFICIENT</b>
<b>Drugs/Alcohol</b>	Insufficient Data		<b>DEFICIENT</b>
<b>Vehicle Maintenance</b>	98%	=	<b>DEFICIENT</b>
<b>Cargo-Related</b>	92%	=	<b>DEFICIENT</b>
<b>Crash Indicator</b> <small>(Will not be available to public)</small>	Insufficient Data	Not Applicable	<b>NOT DEFICIENT</b>

Information, and improve safety NOW!

Information (as of 7/23/2010) **CHECK YOUR VMT AND POWER UNIT DATA**

**MCS-150' Date:** 10/23/2009

**DBA Name:**

**Mailing Address:** 1111 Main Street  
Springs, TX 00001

**Email:**

**Operation:** Interstate

**Hazmat:** No

**HHG:** No

**New Entrant:** No

**Passenger Carrier:** No

**Carrier Registration Information**

**Crash Activity (24 Months as of 7/23/2010)**

**Vehicles in Crashes:** 1

**w/ Injury or Fatality:** 1

**w/ Towaway:** 0

**View Violation Summary**

data on file with FMCSA, could impact your assessment.

# ★ Data Review – Violation Drill Down

Carrier ABC, Inc U.S. DOT #: 1111 (24 Month Record as of 4/23/2010)

Home Update Registration Info Violation Summary Resources Search

Unsafe Driving **Fatigued Driving** Driver Fitness Drugs/Alcohol Vehicle Cargo Crash

**Fatigued Driving (Hours-of-Service)** [What is this?](#)

Operation of commercial motor vehicles by drivers who are ill, fatigued, or in non-compliance with the Hours-of-Service (HOS) regulations. This BASIC includes violations of regulations pertaining to accurate and timely maintenance of logbooks as they relate to HOS requirements and the management of commercial motor vehicle driver fatigue. (FMCSR Parts 392 and 395)

Download  
[Fatigued Driving](#) [All BASICs](#)

Violations [Clear Sort] Total Violations: 20

Violation	Description	# of Violations	# of OOS Violations
395.8(a)	No drivers record of duty status	18	18
395.8	Log violation (general form and manner) (§ 395.8*)	2	2

Violations per page: 5 Displaying 1 - 2 of 2 Violations

**Inspection History** Relevant Inspections: 2,828 Inspections Resulting in Fatigued Driving (Hours-of-Service) Violation: 20

Select Inspection Filter Option:  Relevant Inspections  Inspections with Violation

Inspection Date	Report		Driver					OOS Violation	Vehicle		
	#	ST	Last	First	Lic #	Lic ST	DOB		Plate #	Lic ST	Vehicle Type
4/6/2010	<a href="#">1115003763</a>	US	<b>Driver A</b>								Truck Tractor
	Violation: 395.8(a) No drivers record of duty status Yes										
3/12/2010	<a href="#">1304001806</a>	US	<b>Driver B</b>								Truck Tractor
	Violation: 395.8(a) No drivers record of duty status Yes										
3/12/2010	<a href="#">1118007328</a>	US	<b>Driver C</b>								Truck Tractor
	Violation: 395.8(a) No drivers record of duty status Yes										
1/4/2010	<a href="#">1115003512</a>	US	<b>Driver C</b>								Truck Tractor
	Violation: 395.8(a) No drivers record of duty status Yes										
11/23/2009	<a href="#">1115003410</a>	US	<b>Driver D</b>								Truck Tractor
	Violation: 395.8(a) No drivers record of duty status Yes										

Inspections per page: 5 Displaying 1 - 5 of 20 Inspections

Prepare for CSA 2010: Each month review your violation history, verify incorrect data, update carrier registration information, and improve safety NOW!

Violations found in the BASIC and their counts

Detailed Inspection Reports related to the BASIC



# New Public SMS Carrier Overview (December)

Behavior Analysis Safety Improvement Categories (BASIC) (Based on 24-month record ending October 22, 2010)	PERFORMANCE		
	On-Road	Investigation	BASICS Status
Unsafe Driving	96.9%		<b>ALERT</b>
Fatigued Driving (Hours-of-Service)	23%		
Driver Fitness	81.4%		<b>ALERT</b>
Controlled Substances and Alcohol	No Violations		
Vehicle Maintenance	44.1%		
Cargo Related	Not Available	Not Available	Not Available
Crash Indicator	Not Available	Not Applicable	Not Available

# ★ Future CSA changes

**The key changes that FMCSA will make to the SMS public website by March 25, 2011 are as follows:**

- Replace any ALERT symbol currently displayed in orange on the SMS website with the a symbol of the exclamation mark inside a yellow triangle
- Revise the disclaimer language on the SMS website to read:  
“The data in the [Safety Measurement System \(SMS\)](#) is performance data used by the Agency and enforcement community. A symbol, based on that data, indicates that FMCSA may prioritize a motor carrier for further monitoring. The symbol is not intended to imply any federal safety rating of the carrier pursuant to 49 USC 31144.



# CSA National Roll-out and Warning Letters

# ★ CSA 2010 National Rollout Schedule

## Fall 2010: National Data Review

- Carrier preview of an assessment of BASICs based on new Carrier Safety Measurement System (CSMS)

## December 2010: SMS Replaces SafeStat

- FMCSA/States prioritize investigations with SMS
- SMS results are available to industry/public
- Roadside inspectors use SMS results to identify carriers for inspection (ISS)



# CSA 2010 Roadside

# ★ ISS Main Screen in December

ISS Inspection Selection System v2.13 - USDOT # 00000000

File Actions Help

Main BASICS Details Violation Details History

**Carrier Search:**  
Search Type: **USDOT#** Number: **00000000** Search by Name

**Carrier Information:**  
Name: **SOME INTERSTATE CARRIER**  
DBA:  
Street: **1234 MAIN STREET**  
City: **LAKEWOOD** State: **CO** Zip: **00000**  
Phone: **(123)456-7890** Country of Domicile: **UNITED STATES**

**Inspection Value:**  
**85**  
**Inspect**

**Expert:**  
Alert: This motor carrier may have an undeliverable address. Please inform the motor carrier they should submit an updated Form MCS-150 with their current address per 390.19 and 368.4 where applicable.

Inspection Value is based on Safety data. Data current as of 08/10/2010

# ★ ISS Details Screen in December

Inspection Selection System v2.13 - USDOT # 00000000

File Actions Help

Main BASICS Details Violation Details History

**BASIC Safety Information:**

BASIC	BASIC Assessment	On-Road Performance	Investigation Deficient
Unsafe Driving	<b>DEFICIENT</b>	<b>84.5</b>	N/A
Fatigued Driving		28.2	N/A
Driver Fitness		<b>Insufficient</b>	N/A
Drugs and Alcohol		22.7	N/A
Vehicle Maintenance	<b>DEFICIENT</b>	35.8	<b>YES</b>
Improper Loading/Cargo		26.5	N/A
Crash Indicator		<b>Insufficient</b>	N/A
Insurance/Other			N/A

SMS Date: **6/2/2010** Last Investigation Date: **4/15/2010**

SOME INTERSTATE CARRIER

# ★ CSA Warning Letter

- Advises carriers
  - Roadside deficiencies
  - Consequences of non-compliance
- Will be sent to carriers that exceed threshold  $\geq 1$  BASICs
- Based on 24 months of roadside data
- $\sim 26,000$  Warning Letters will be distributed in the first batch
- Monthly thereafter

**NOT** sent to:

Carriers with  $\geq 3$  BASICs over intervention threshold

• Carriers that have been contacted within the previous 24 months



U.S. DEPARTMENT OF  
TRANSPORTATION  
1200 New Jersey Ave. S.E.  
Washington, D.C. 20590



September 9, 2010

**FEDERAL MOTOR CARRIER  
SAFETY ADMINISTRATION**

**In reply refer to:**  
USDOT Number: 1771  
MC Number: MC323570

SCHMUECKER TRUCK LINE INC  
2999 197TH ST  
EARLVILLE, IA 52041-8603

Dear Motor Carrier:

A review of SCHMUECKER TRUCK LINE INC's safety data shows a lack of compliance with motor carrier safety regulations and suggests that your safety performance has fallen to an unacceptable level in the area(s) of Fatigued Driving (Hours of Service). The purpose of this letter is to: 1) inform you of your company's current safety deficiencies; 2) explain how you can view your safety record and correct it if it contains erroneous data; and 3) describe what actions may be taken in the future if your safety performance does not improve.

This review and notice was based on the roadside inspection and crash performance of SCHMUECKER TRUCK LINE INC. Based upon this review, the Federal Motor Carrier Safety Administration (FMCSA) will continue to assess the regulatory compliance of SCHMUECKER TRUCK LINE INC on a monthly basis. FMCSA will also evaluate your safety performance through increased roadside inspections that target your company's deficient area(s).

You are encouraged to visit the website <http://www.fmcsa.dot.gov> to review your company's record. This website also contains instructions for requesting corrections to information that you believe to be incorrect. A password will be required to view your company information. Instructions to obtain a password are found on the website.

We urge you to take this warning letter seriously and improve your safety record. Failure to improve your company's safety performance will result in further investigation of your safety management practices, which may include requests for additional data through offsite or onsite interventions. Continued poor safety performance will result in penalties/sanctions, which could include civil penalties, suspension and/or revocation of State vehicle registration and revocation of your company's operating authority. Further, your operating record is available to other parties, which include shippers, brokers and insurance companies.

You can visit the FMCSA website at <http://www.fmcsa.dot.gov> to receive information about motor carrier safety rules and regulations. If you have additional questions regarding this matter or need assistance, please contact one of the following:

**FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION**  
105 6TH STREET  
AMES, IA 500106337  
Telephone No.: 515-233-7400

**OFFICE OF MOTOR VEHICLE ENFORCEMENT**  
100 EUCLID, P.O. BOX 10382  
DES MOINES, IA 50306-0382  
Telephone No.: 515-237-3214

Sincerely,

John Van Steenburg  
Director, Office of Enforcement and Compliance

# ★ Pre-Employment Screening Program (PSP)

## Pre-Employment Screening Program

*Making the Roads Safer, One Hire at a Time*

# ★ New Agency Directive

- **Other Agency initiatives are underway, including the Pre-employment Screening Program (PSP)**
  - PSP was mandated by Congress and is *not* a part of CSA 2010
  - “Driver Profiles” from FMCSA’s Driver Information Resource (DIR) will be available to carriers through PSP
  - Driver Profiles will only be released with driver authorization



# How do I enroll in the Pre-Employment Screening Program?

- Motor carriers can enroll in the PSP at [www.psp.fmcsa.dot.gov](http://www.psp.fmcsa.dot.gov). There, you will find the enrollment documents. Please download the documents, complete all required fields and follow the instructions to return the documents to NIC Technologies.

**Pre-Employment Screening Program**

**P.O. Box 6810**

**McLean, VA 22106**

**Email: [PSPenrollment@nicusa.com](mailto:PSPenrollment@nicusa.com)**

Cr!

