

SMS OVERVIEW AND PREPARING FOR AN INVESTIGATION

FMCSA MISSION

- The primary mission of FMCSA is to reduce crashes, injuries, and fatalities involving large trucks and buses.
- In carrying out its safety mandate, FMCSA develops and enforces data-driven regulations that balance motor carrier safety with efficiency.

Attention



Attention

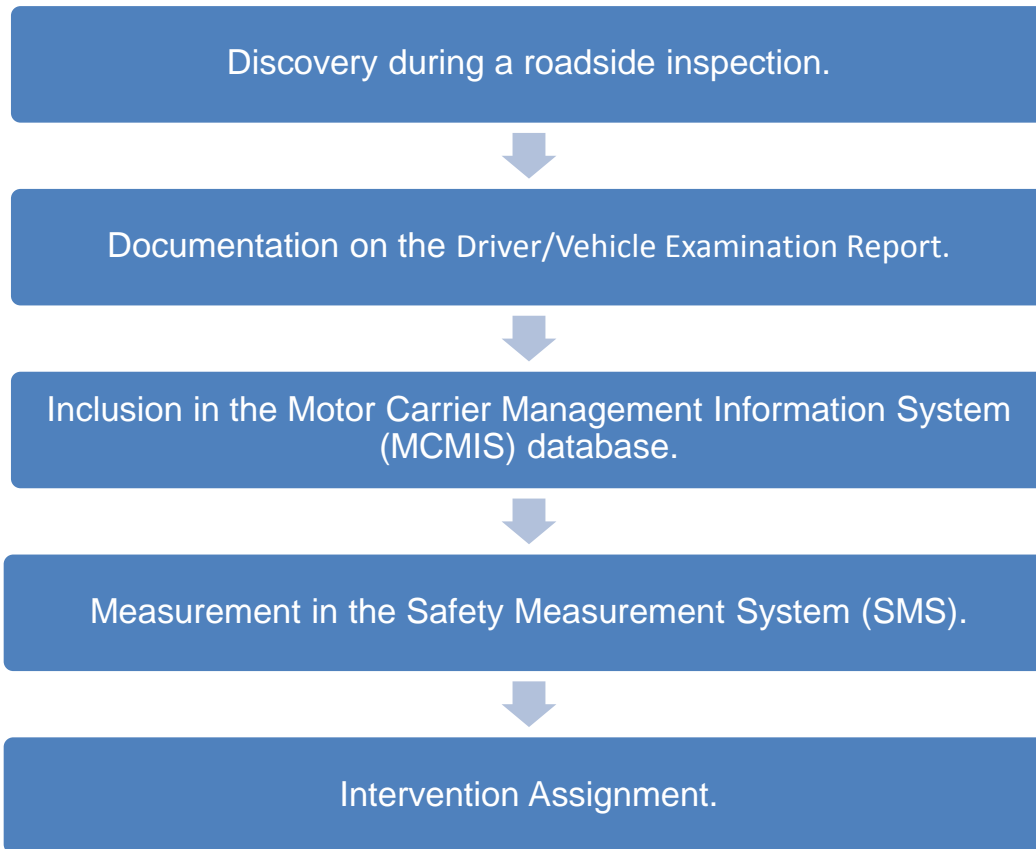
FMCSA POCKET GUIDE TO LARGE TRUCK AND BUS STATISTICS (2013)

- 30,057 fatal crashes on the Nation's roadways
- 3,806 (12.7%) of these crashes involved at least one large truck or bus and resulted in a fatality

CSA Benefits

- Improves efficiency and effectiveness of compliance and enforcement.
- Leverages technology.
- Reaches more carriers earlier.
- Pinpoints safety problems.
- Employs more intervention tools and options.

Roadside Inspection Violation Lifecycle



Roadside Inspection Program

The Roadside Inspection Program:

- Elevated the importance of all roadside inspections.
- Raised attention to what is being documented on all inspections.

The SMS public website received over 25 million hits from these groups in the first year:

- State and federal law enforcement
- Motor carriers
- Shippers
- Insurers
- General public

Roadside Inspection

- Official inspection of a CMV to determine compliance with FMCSR.
- Conducted by Motor Carrier Safety Assistance Program (MCSAP) inspector.
- Major data provider for carrier safety ratings.



DRIVER/VEHICLE EXAMINATION REPORT

Maryland State Police Commercial Vehicle Section
4619 LaSalle Street
Suite 304
Baltimore MD 96854
Phone: (555)555-5557 Fax: (555) 555-5551

Report Number: MD0011199
Inspection Date: 12/18/2013
Start: 2:48 PM CT **End:** 3:29 PM CT
Inspection Level: I - Full Inspection
HM Inspection Type: None

BROWN LINES INC.
12034 BARROWERS LANE
CHARMEN MD 20555
USDOT#: 0001119 **Phone#:** (555) 555-5055
MC/MX#: 721800 **Fax#:** (555) 555-5052
State #:

Driver: JACKSON, FRANK
License#: 95175351 **State:** NC
Date of Birth: 5/10/1968
Co Driver:
License#: **State:**
Date of Birth:

Location: FARMVILLE, MD
Highway: I-95 EB
County: JAMES CITY

Milepost: 293
Origin: NORFOLK, VA
Destination: RANDLESTOWN, MD

Shipper: Things Remembered
Bill of Lading: 6666
Cargo: General Freight

VEHICLE IDENTIFICATION

Unit	Type	Make	Year	State	Plate#	Equipment ID	VIN	GVWR	CVSA #	NEW CVSA #	OOS#
1	TT	PBLT	2004	MD	75391CY	10	2PBUSCEAER51C9999	52000	0	0	6451
2	ST	GDAN	2006	MD	6123987	15	3GHSLT98536T95463	68000	0	0	0

BRAKE ADJUSTMENTS

Axle #	1	2	3	4	5
Right	1 3/8	1	1 3/8	1 3/8	1 3/8
Left	1 3/8	1 3/8	1 3/8	1 3/8	1 3/8
Chamber	C-20	L-30	L-30	L-30	L-30

VIOLATIONS

Vio Code	Section	Unit	OOS	Citation #	Verify	Crash	Violation Discovered
392.2 SSL	392.2	D	N	325876	N	N	State/Local laws - speeding 5- 15 mph over the posted speed limit
395.8F1	395.8F1	D	N		N	N	Driver's record of duty status not current
393.48A	393.48A	1	Y		N	N	Brakes, broken components
393.9 T	393.9 T	1	Y		N	N	Inoperable Required Lamp/Backup light inoperative

Safety Measurement System (SMS)

The Safety Measurement System (SMS):

- Uses crash records and ALL roadside inspection safety-based violations.
- Assigns weights to time and severity of violations.
- Calculates safety performance based on seven BASICs.
- Reports motor carriers' safety performance monthly.

SMS BASICs



Behavioral Analysis & Safety Improvement Categories

Unsafe Driving
(Parts 392 & 397)

Hours of Service (HOS) Compliance
(Parts 392 & 395)

Driver Fitness
(Parts 383 & 391)

Controlled Substances/Alcohol
(Parts 392 and 382)

Vehicle Maintenance
(Parts 392, 393, & 396)

Hazardous Materials (HM) Compliance
(Parts 385, 387, 397 & HM Violations)

Crash Indicator

SMS Benefits

- Quantifies the on-road safety performance of carriers and drivers.
- Aligns violations included in SMS with Commercial Vehicle Safety Alliance (CVSA) inspection levels.
- Identifies carriers involved in transporting HM or passengers.
- Separates crash data.
- Aligns paper and electronic logbook violations.
- Aligns SMS with IEP regulations.
- Triggers the intervention process.

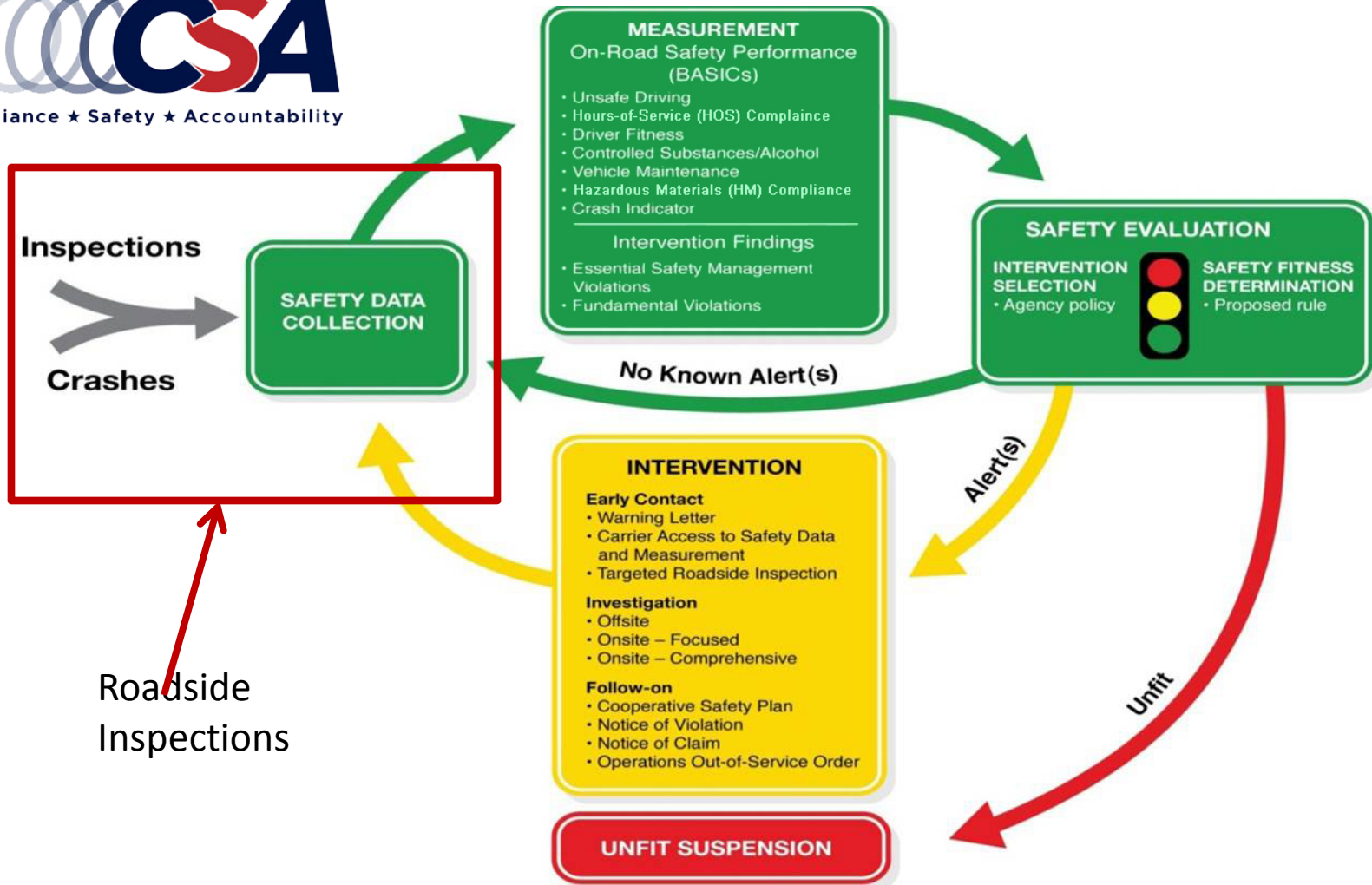
Contact information

- Terrell H Cook
- 512-916-5448 (office)
- Terrell.cook@dot.gov

BASIC Thresholds


BASIC	Passenger Carrier	HM Carrier	All Other Carriers
Unsafe Driving, HOS Compliance, and Crash Indicator	50%	60%	65%
Driver Fitness, Controlled Substances & Alcohol, and Vehicle Maintenance	65%	75%	80%
HM Compliance	80%	80%	80%

CSA Operational Model



BASICs Exceeding the Threshold

Carrier BASIC Assessments are determined by two inputs:

- SMS results:
 - Percentiles are calculated based on on-road performance.
 - BASIC displays Alert if percentile is above the threshold.
- Serious violations discovered  during investigations.

Carrier SMS Results Example



Get Road Smart.

SMS Safety Measurement System

A&I CSA SMS **OVERVIEW** ADVANCED SEARCH TOOLS HELP CENTER

Search Motor Carriers: Type Name, U.S. DOT#, M

Brown Lines Inc

U.S. DOT#: 0001119
Address: 12034
CHARMEN, MD

Number of Trucks: 2
Number of Drivers: 3
Number of Inspectio

Summary of Activities

The summary includes information on the 5 most recent investigations and 24 months of inspections and crash history.

Most Recent Investigation:

Total Inspections: 29
Total Inspections without Violations used in SMS: 3
Total Inspections with Violations used in SMS: 26
Total Crashes*: 0

*Crashes listed represent a motor carrier's involvement in reportable crashes, without any determination as to responsibility. [Continue for details.](#)

BASIC Status

Behavior Analysis & S



Click to select a BASIC
view your [Complete](#)

Continue for more Crash, Inspection & Investigation Details

Carrier Registration

- Carrier Registration Details
- Subject to General Threshold
- Update Registration Info

Enforcement Tools

Flags

Controlled Substances/ Alcohol Supplemental Review

- Driver Information
- CBI Download

Inspection Selection System

(As of 08/06/2014 updated daily from [ISS](#))

ISS Inspection Score: 97
ISS Recommendation: Inspect
Basis of Recommendation: Safety

Penalties History

(Six years as of 08/06/2014 updated daily from [FMCSA](#))

No penalties found

Tools/Resources

- SMS Methodology
- How to Improve
- Request a Data Review
- For U.S. DOT# 2063489
 - Complete SMS Profile
 - Carrier History
 - Downloads

Insurance

ed hourly from [L&I](#)

re Authority
:s/No MC#/MX#
es MC-721800

does SMS relate to crashes?

th record ending July 25, 2014



ld relative to its safety event
ith one or more serious
. Therefore, this carrier may
tion.



Vehicle Maintenance BASIC Measure



Click to select a BASIC icon above to get details, or view your [Complete SMS Profile](#).

Denotes this carrier exceeds the FMCSA intervention threshold relative to its safety event grouping based upon roadside data and/or has been cited with one or more serious violations within the past 12 months during an investigation. Therefore, this carrier may be prioritized for an intervention action and roadside inspection.

BASIC: Vehicle Maintenance

ON-ROAD + INVESTIGATION

[More Info](#)

On-Road Performance

Measure: 12.78
Percentile: 93%



Scale 0 to 100; 0 indicates the best safety performance.

93% of motor carriers in the same safety event group have better on-road performance than this motor carrier.

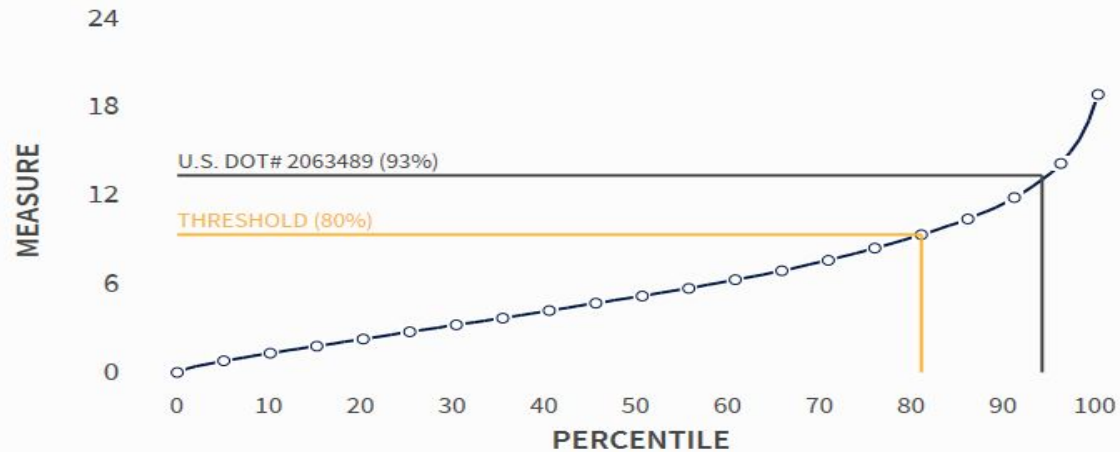
WHO IS IN THE SAFETY EVENT GROUP?

Investigation Results

No Serious Violations Discovered

MEASURE VS. PERCENTILE

Carrier violations or crashes are weighted by time and severity to produce a measure for that carrier in each BASIC. The measure is then used to assign that carrier to a percentile rank containing carriers' information in similar safety event groups. [Expand](#) for more information.



CARRIER MEASURE OVER TIME

MEASURE VS. PERCENTILE

INSPECTION RESULTS

Vehicle Maintenance Violation Summary

- VIOLATION SUMMARY

Vehicle Maint. Violations: 61

Violations	Description	# Violations	# OOS Violations	Violation Severity Weight
393.9	Inoperative required lamps	13	0	2
393.75(c)	Tire — other tread depth less than 2/32 of inch	5	0	8
393.95(a)	No/discharged/unsecured fire extinguisher	3	0	2
393.9TS	Inoperative turn signal	3	0	6
393.11	No/defective lighting devices/reflective devices/projected	2	0	3
393.28	Improper or no wiring protection as required	2	0	3
393.48(a)	Brakes, broken components	2	0	4
393.53(b)	Automatic brake adjuster CMV manufactured on or after 10/20/1994 - air brake	2	0	4
393.78	Windshield wipers inoperative/defective	2	0	1
393.9H	Inoperative head lamps	2	0	6
393.9T	Inoperative tail lamp	2	0	6
396.17(c)	Operating a CMV without proof of a periodic inspection	2	0	4
396.5(b)	Oil and/or grease leak	2	0	3
392.2WC	Wheel (Mud) Flaps missing or defective	1	0	1
393.11TL	No retro reflective sheeting or reflex reflectors on mud flaps - Truck Tractor manufactured on or after 7/1/1997	1	0	3
393.207(b)	Adjustable axle locking pin missing/disengaged	1	1	7
393.207(f)	Air suspension pressure loss	1	1	7

Individual Driver Facts

Here are some facts about how driver data is NOT used:

- FMCSA does not assign safety ratings to an individual CMV driver.
- Driver evaluation ratings are not available to employing motor carriers or the public.
- Pre-Employment Screening Program data is only released with the driver's permission.
- A driver's violation history at a previous carrier does not affect the SMS rating for the current employer.

Investigation Types

COMPREHENSIVE

Full investigation of all areas.

FOCUSED

Concentrated investigation in one or more areas.

Safety Management Cycle

What Safety Management Processes are breaking down?



Why are the Safety Management Processes breaking down?

PREPARING FOR AN INVESTIGATION

- FACT SHEET OR QUESTIONNAIRE
- ORGANIZATION
- ROLES
- EMPLOYEE RESPONSIBILITY DURING
AUDIT/INTERVENTION
- RELAX!

REQUESTED DOCUMENTS

INCLUDING BUT NOT LIMITED TO:

- INSURANCE
- DRIVER QUALIFICATION FILES
- MAINTENANCE RECORDS
- HOURS OF SERVICE RECORDS
- SUPPORTING DOCUMENTS
- CONTROLLED SUBSTANCES AND ALCOHOL
- TESTING RECORDS



Pre-Employment Screening Program

Pre-Employment Screening Program

What is the Pre-Employment Screening Program (PSP)?

- Mandated by Congress separately from CSA 2010.
- Screening tool that allows motor carriers and drivers to purchase inspection and crash history report.
- Requires driver consent.
- The PSP web site is:
<http://www.psp.fmcsa.dot.gov>.

PSP Website



PSP - MAKING ROADS SAFER ONE HIRE AT A TIME

Welcome to the Department of Transportation, Federal Motor Carrier Safety Administration's (FMCSA) Pre-Employment Screening Program (PSP). The program helps carriers make more informed hiring decisions by providing secure, electronic access to a commercial driver's five-year crash and three-year inspection history from the FMCSA Motor Carrier Management Information System (MCMIS). PSP records are available for commercial drivers and companies conducting pre-employment screening for the carrier industry.

News

8/2/2014 - Latest MCMIS Data Loaded to PSP
The latest Motor Carrier Management Information System (MCMIS) data snapshot has been loaded in to PSP. The data includes driver crash and inspection history through July 25, 2014. If you have questions, please contact the PSP customer service team at 1-877-642-9499.

DRIVERS, ACCESS YOUR PSP RECORD TODAY

Your PSP record includes your five-year crash and three-year inspection history from FMCSA's MCMIS database and costs \$10. Review your PSP record today!

[→ GET YOUR PSP RECORD](#)

Have you purchased your PSP record in the last five days? Access it again [here](#) for no charge.

HAVE QUESTIONS?

Visit our [FAQs](#) or [Contact Us](#)

Next update: Week of August 29, 2014

WELCOME

[Need help logging in to PSP?](#)

[Login to your account](#)

NOT AN ACCOUNT HOLDER YET? ENROLL TODAY.

FMCSA studied PSP's impact on safety and the results showed that **companies using PSP to screen new hires lowered their crash rates by 8% and driver out-of-service rates by 17%, on average!**

[→ ENROLL IN PSP](#)

[Account Holder Updates](#)

[Driver Updates](#)

[PSP Updates](#)

PSP Detailed Report

1

Driver Information

Last Name	First Name	License #	State
LASTNAME1085720	ALLEN	LICENSE930195	GA

Crash Activity (5 year history from MCMIS snapshot date)

Crash Summary

2

# of Crashes:	2	# of Crashes with Fatalities:	0	# of Crashes with Injuries:	1	# of Towaways:	2
		# of Fatalities:	0	# of Injuries:	1	# of Hazmat Releases:	0

Crash Details

3

	Date	DOT #	Carrier Name	Driver Name	Driver Lic	State	Driver DOB	Rpt St	Report Number	Location	# Fatalities	# Injuries
1	10/13/2009	2845720		Last Name 1085720, ALLEN	LICENSE930195	GA	08/20/1973	GA	GA9508046001	GA 11	0	1
2	01/23/2008	1809698		Last Name 1085720, ALLEN	LICENSE930195	GA	08/20/1973	GA	GA8032014401	I 285 SB EXPY NW	0	0

Inspection Activity (3 year history from MCMIS snapshot date)

Inspection Summary

4

Driver Summary		Vehicle Summary		Hazmat Summary	
Driver Inspections:	7	Vehicle Inspections:	4	Hazmat Inspections:	0
Driver Out-of-service Inspections:	1	Vehicle Out-of-service Inspections:	0	Hazmat Out-of-service Inspections:	0
Driver Out-of-service Rate:	14%	Vehicle Out-of-service Rate:	0%	Hazmat Out-of-service Rate:	0%

Inspection Details

5

Carrier Info			Driver Info					Inspection Info				
	Date	DOT #	Carrier Name	Driver Name	Driver Lic	State	Driver DOB	Rpt St	Report Number	Hazmat Insp	Insp Level	# of Viol
1	05/06/2009	252989	Legal Name 530347	Last Name 1085720, ALLEN	LICENSE930195	GA	08/20/1973	NC	0005204640	N	1	0
2	03/06/2009	327574	Legal Name 75490	Last Name 1085720, ALLEN	LICENSE930195	GA	08/20/1973	TN	MDIF000030	N	1	0

Report executed at: 2/28/2011 2:30:24 PM

MCMIS snapshot date: 12/01/2010

* Violation charged to co-driver ** Post crash violation

DataQs

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

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Home | Help Center

DataQs

Log in to get started

LOG IN VIA THE FMCSA PORTAL

USERNAME

PASSWORD

[Trouble logging in? Click here.](#)
[New to DataQs? Register now.](#)


Request a Review of FMCSA-Issued Data Here

DataQs allows you to request and track a review of Federal and State data issued by FMCSA that you feel may be incomplete or incorrect. The system automatically forwards your Request for Data Review (RDR) to the appropriate office for resolution and collects updates and responses for current Requests.

Data Quality

By using DataQs, you are helping to improve the quality of data used by FMCSA. Learn more about how FMCSA measures and improves the quality of motor carrier data that it displays to the public and that supports its safety programs.

[Data Quality](#) →



[What's New](#) | **[Data Quality](#)** | [User Guide and Manual](#) | [SMS](#)


Help Center

Instructions, FAQs, and other materials to help you navigate this website.


User Guide & Manual

A practical guide for Federal and State data quality practitioners.


What can DataQs do for you?




Motor Carriers



Drivers



FMCSA & State Partners



Public & Industry