

FMCSA Regulatory Update

MMTA/APTA Transportation Safety Conference
September 16, 2019

Agenda

- Drug & Alcohol Clearinghouse
- Entry-Level Driver Training (ELDT)
- Diabetes Standard
- Latest Rulemaking News
- Carrier Dashboard
- Online Resources
 - Motor Carrier Safety Planner
 - Electronic Logging Device Homepage and Web eRODS



Drug & Alcohol Clearinghouse

Docket No. FMCSA-2011-0031



The Clearinghouse Final Rule

- Published December 5, 2016
- Mandated by Congress (MAP-21, Section 32402)
- Established requirements for the Clearinghouse
- Identified **January 6, 2020** as the Clearinghouse implementation date



Read the Clearinghouse final rule at:

www.fmcsa.dot.gov/regulations/commercial-drivers-license-drug-and-alcohol-clearinghouse

Tracking Violations: Current Process

- Commercial driver's licenses (CDLs) and commercial learner's permits (CLPs) holders with drug and alcohol program violations must not operate a commercial motor vehicle (CMV) until they complete required drug and/or alcohol education or treatment.
- Current process relies on drivers to inform a new employer of any violations of the drug and alcohol rules committed while with a previous employer.
- Motor carriers are required to monitor drivers' compliance with DOT drug and alcohol regulations.

THIS REQUIRES:

Drivers to self-report positive test results

Motor carriers to conduct and/or respond to background checks and ongoing driver compliance



The FMCSA Commercial Driver's License Drug and Alcohol Clearinghouse

Database containing CDL drivers' drug and alcohol program violation information

- Reported by employers and Medical Review Officers (e.g., positive tests, refusals, etc.)
- Information includes whether a driver has successfully completed the mandatory return-to-duty (RTD) process following a violation

The Clearinghouse will keep driver information secure

- Only authorized users, including employers and FMCSA, will be able to register and access the Clearinghouse for designated purposes
- Other enforcement agencies, such as SDLAs and State law enforcement agencies, will only receive driver eligibility status
- Drivers can access their own information, but not information of other drivers
- The Clearinghouse will meet all relevant Federal security standards and FMCSA will verify the effectiveness of security protections regularly



Timeline: Drug & Alcohol Clearinghouse

December 5, 2016

Final Rule Published
Requirements, user roles established

February 2019

Information Phase

- Launch of Clearinghouse website
- Subscribe for email updates

October 2019

Registration Opens

Create your user account ahead of Implementation Date

January 6, 2020

Implementation Date

- Mandatory reporting begins
- Both electronic and manual queries required

January 6, 2023

3-Year Post Implementation

- Clearinghouse contains 3 years of violation data
- Only electronic queries required



Who will be required to use the Clearinghouse?

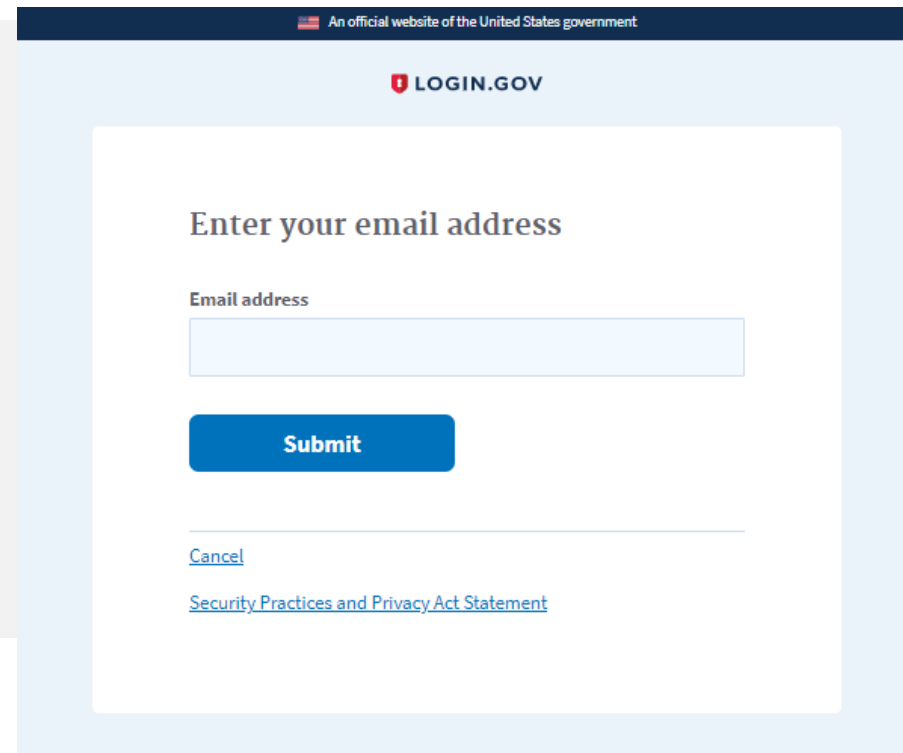
- ☑ Drivers who hold CDLs or commercial learner's permits (CLPs)
- ☑ Employers of CDL drivers who operate CMVs
- ☑ Consortia/Third-Party Administrations (C/TPAs)
- ☑ Medical Review Officers (MROs)
- ☑ Substance Abuse Professionals (SAPs)
- ☑ State Drivers Licensing Agencies (SDLAs)



Registration and User Verification

To register and access the Clearinghouse, users must:

1. Enter an email address for username
2. Complete the verification process to protect account



An official website of the United States government

LOGIN.GOV

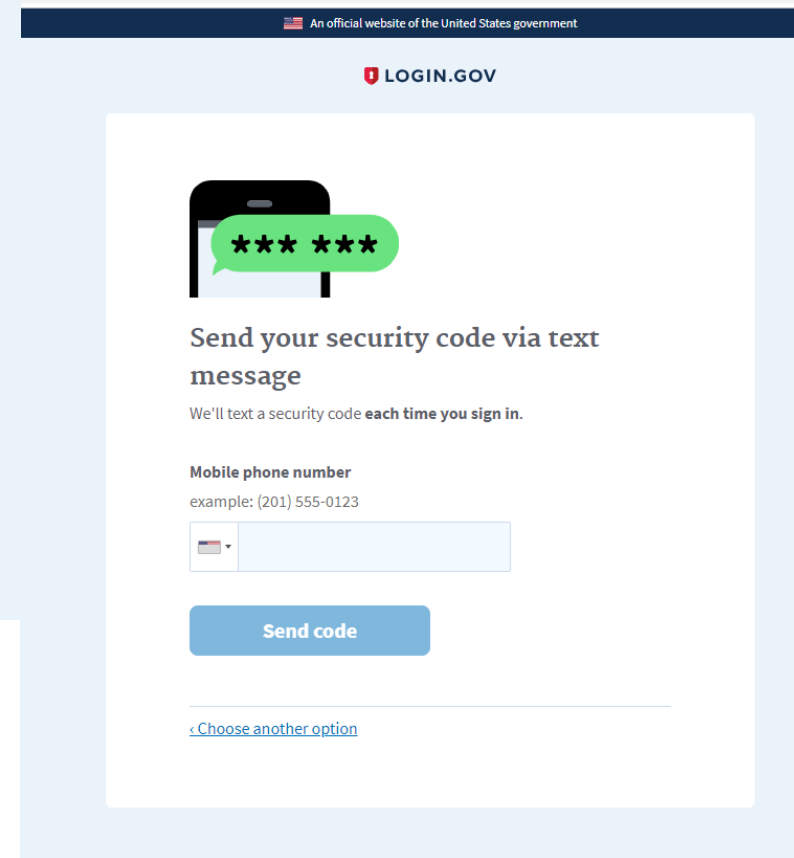
Enter your email address

Email address

Submit

[Cancel](#)

[Security Practices and Privacy Act Statement](#)



An official website of the United States government

LOGIN.GOV

Send your security code via text message

We'll text a security code **each time you sign in.**

Mobile phone number

example: (201) 555-0123

Send code

[Choose another option](#)

Drivers

Drivers will complete the following actions in the Clearinghouse:

1. **REGISTER**
2. **VIEW** their information
3. **PROVIDE** or refuse specific electronic consent to an employer for a full query (includes pre-employment queries)
4. **IDENTIFY** a SAP before the SAP can enter return-to-duty (RTD) information about them

Drivers may:

1. Submit a petition to correct inaccurately reported information as established in the Clearinghouse final rule and per 49 CFR Part 10
2. Request the removal from the Clearinghouse of an employer's report of actual knowledge of a driver's traffic citation for operating a CMV under the influence of drugs or alcohol if the citation did not result in a conviction
3. Request that other reports of actual knowledge violations, as well as "failure to appear" test refusals, be removed from the Clearinghouse if they were not reported in accordance with §382.705(b)(5)



Employers



Employers will complete the following actions in the Clearinghouse:

1. **Register**
2. **Report** drug and alcohol violations
3. **Request** specific electronic consent from the driver prior to conducting a full query of his or her Clearinghouse record (includes pre-employment queries)
4. **Designate** a C/TPA which allows the C/TPA to enter violation information or conduct queries on the employer's behalf
5. **Report** a negative return-to-duty (RTD) alcohol and/or controlled substances test result
6. **Report** the completion of a driver's follow-up testing plan



An **EMPLOYER** who employs him/herself as a driver (**owner-operator**) must designate a C/TPA in the Clearinghouse.



Queries

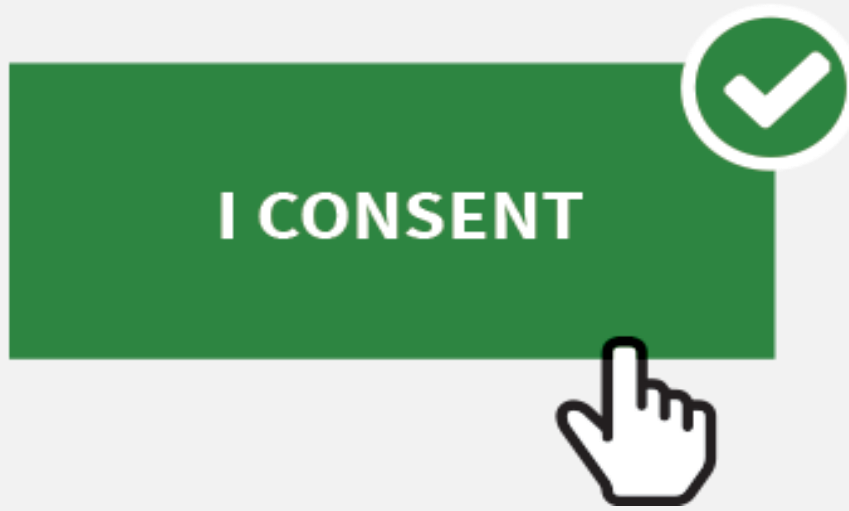
| | Reason for Query | Information Returned | Required Action |
|---|--|--|--|
| LIMITED QUERY  | Annual check on currently-employed driver | No records found in the Clearinghouse for queried driver | No action required |
| | Ad hoc/periodic check on driver | Records found in the Clearinghouse for queried driver | Full query must be conducted for violation and/or RTD details to be released; if full query is not conducted within 24 hours, driver is removed from safety-sensitive functions, including operating a CMV |
| FULL QUERY  | Pre-employment check on prospective driver Limited query returned records found for queried driver Ad hoc/periodic check on driver | Full violation and/or RTD details for queried driver | If driver has a violation and no negative RTD test result, driver is removed from safety-sensitive functions If driver has a violation and a negative RTD test result, no action required |

Consent Requests

| | When is driver consent required? | How is consent provided? | For how long is consent effective? | What action is required? |
|---|--|---|--|--|
| LIMITED QUERY  | Annual check on currently-employed driver Ad hoc/periodic check on driver | Outside the Clearinghouse May be electronic or wet signature <i>Note: FMCSA will provide sample limited consent request form on website</i> | Limited consent form must specify time range | Consent refused <ul style="list-style-type: none"> Query cannot be conducted Driver removed from safety-sensitive functions Consent provided <ul style="list-style-type: none"> Retain via paper or electronically in driver's qualification file Request limited query in the Clearinghouse |
| FULL QUERY  | Pre-employment check on prospective driver Limited query returned information exists for queried driver Ad hoc/ periodic check on driver | Electronically within the Clearinghouse | For each full query for individual driver | Consent refused <ul style="list-style-type: none"> Employer notified of refused consent Query cannot be conducted Driver cannot perform/removed from safety-sensitive functions Consent provided <ul style="list-style-type: none"> Query conducted Violation details released, including RTD status If queried driver has violation and no negative RTD test result, driver removed from safety-sensitive functions |



Queries and Consent Requests



REGISTER

Drivers must register in the Clearinghouse to provide consent for full queries (including pre-employment queries)

CONSENT

Employers must obtain a driver's specific electronic consent before querying the driver's violation information



REFUSED CONSENT

Drivers who refuse their consent cannot perform safety-sensitive functions (including operating a CMV) for that employer

Consortia/Third-Party Administrators (C/TPAs)

C/TPAs may:

1. **ENTER** drug and alcohol violation information into the Clearinghouse on behalf of the employer
2. **REQUEST** consent from the driver on behalf of the employer
3. **QUERY** the Clearinghouse on behalf of the employer
4. **DESIGNATE** C/TPA Assistant(s) in the Clearinghouse

Registration Overview:

1. **C/TPAs** will register in the Clearinghouse
2. **C/TPAs** will send an invitation to their Assistants to register in the Clearinghouse
3. **Registration and login** will require users to complete the verification process

The **C/TPA** must be designated by the employer in the Clearinghouse before the C/TPA can report violation information or query the Clearinghouse on behalf of the employer.

An **employer** who employs him/herself as a driver (owner-operator) must designate the C/TPA in the Clearinghouse.



Medical Review Officers (MROs)

MROs may:

1. **WORK** for MRO company(ies), or self-employed
2. **ENTER** drug violation information to the Clearinghouse
3. **DESIGNATE** MRO Assistant(s) to enter violation information on their behalf

Registration Overview:

1. **MROs** will register in the Clearinghouse
2. **MROs** will send an invitation to their Assistants to register in the Clearinghouse
3. **Registration and login** will require users to complete the verification process



Substance Abuse Professionals (SAPs)

SAPs may:

1. **WORK** for SAP company(ies), or self-employed
2. **ENTER** RTD information into the Clearinghouse (date initial assessment completed, date driver eligible for RTD test)
3. **DESIGNATE** SAP Assistant(s) to enter RTD information on their behalf

Registration Overview:

1. **SAPs** will register in the Clearinghouse
2. **SAPs** will send an invitation to their Assistants to register in the Clearinghouse
3. **Registration and login** will require users to complete the verification process

Driver must identify the SAP in the Clearinghouse before the SAP may enter RTD information in the Clearinghouse.



C/TPA, MRO, and SAP Assistants

All Assistants **must** be invited to register in the Clearinghouse

- **C/TPA Assistant** enters violation information and queries the Clearinghouse on behalf of the authorized C/TPA; may support multiple C/TPAs
- **MRO Assistant** enters violation information into the Clearinghouse on behalf of the authorized MRO; may support multiple MROs
- **SAP Assistant** enters RTD information into the Clearinghouse on behalf of the authorized SAP; may support multiple SAPs



Frequently Asked Questions

- **Will violations that occurred prior to January 6, 2020, be reported to the Clearinghouse?**
 - No, only violations that occur on January 6, 2020, or later.
- **How long is the violation information retained in the Clearinghouse?**
 - 5 years, unless the RTD and follow-up testing is not completed (will be retained indefinitely until follow-up testing is successfully completed).
- **Will a prospective employee's drug and alcohol violation history with other DOT modes be available in the Clearinghouse?**
 - No, the Clearinghouse will contain only drug and alcohol program violation information for employees subject to the testing requirements under the Federal Motor Carrier Safety Regulations in 49 CFR part 382.
- **Will any information from the Clearinghouse appear in NHTSA's National Driver Register?**
 - No.



Frequently Asked Questions

- **Will every driver need to register in the Clearinghouse?**
 - No. A driver will only need to register if they need to provide consent to the employer in the Clearinghouse for pre-employment/full queries.
 - If a driver is currently with an employer, never incurs a drug or alcohol violation, and never seeks other employment, then the driver does not need to register in the Clearinghouse.
- **Can an employer register their drivers in the Clearinghouse?**
 - No. Each individual driver will need to register himself or herself. Registration and login will require users to complete the verification process
- **Are employers of non-CDL drivers who operate CMVs required to query or report violations to the Clearinghouse?**
 - No. Only employers who employ drivers subject to Parts 382 and 383 must query or report information to the Clearinghouse.

Frequently Asked Questions

- **Will employers have the option to submit multiple queries at one time, rather than conduct each query individually?**
 - Yes. The Clearinghouse will support a feature allowing employers to upload a file containing multiple drivers to be queried; these queries will be conducted in batches. A template of the file to be used for this process will be made available on the Clearinghouse website.
- **May a consortium/third-party administrator (C/TPA) register an employer for the Clearinghouse on their behalf?**
 - No. Each user must obtain their own unique login.gov credentials to access the Clearinghouse. For security reasons, a user verification process must be completed to ensure that only the authorized user is using their credentials.
- **Are there plans to support an employer interface allowing for automated uploads via a web service or similar?**
 - No. At this time, there are no integration specifications available. Due to FMCSA security requirements and the sensitive nature of driver violation information, employers and C/TPAs must access the Clearinghouse directly. In addition, the Clearinghouse final rule requires FMCSA to record specific consent for the release of the driver's detailed violation information within the Clearinghouse.



Frequently Asked Questions

What information is the employer required to report?



**Prospective/Current
Employer of CDL Driver**

| INFORMATION TO BE REPORTED TO CLEARINGHOUSE | |
|---|---|
| | An alcohol confirmation test with a concentration of 0.04% or higher. |
| | Refusal to test (alcohol) as specified in 49 CFR 40.261 . |
| | Refusal to test (drug) not requiring a determination by the MRO as specified in 49 CFR 40.191 . |
| | Actual knowledge, as defined in 49 CFR 382.107 , that a driver has used alcohol on duty, used alcohol within four hours of coming on duty, used alcohol prior to post-accident testing, or has used a controlled substance. |
| | Negative RTD test results (drug and alcohol testing, as applicable) |
| | Completion of follow-up testing. |

Frequently Asked Questions

What information is the designated C/TPA required to report on behalf of the employer?



Service agent acting on behalf of Current Employer of CDL Driver

| INFORMATION TO BE REPORTED TO CLEARINGHOUSE | |
|---|---|
| | An alcohol confirmation test with a concentration of 0.04% or higher. |
| | Refusal to test (alcohol) as specified in 49 CFR 40.261 . |
| | Refusal to test (drug) not requiring a determination by the MRO as specified in 49 CFR 40.191 . |
| | Actual knowledge, as defined in 49 CFR 382.107 , that a driver has used alcohol on duty, used alcohol within four hours of coming on duty, used alcohol prior to post-accident testing, or has used a controlled substance. |
| | Negative RTD test results (drug and alcohol testing, as applicable) |
| | Completion of follow-up testing. |

Frequently Asked Questions

- **Can an employer designate more than one C/TPA?**
 - Yes.
- **Who will record positive alcohol results for an owner/operator?**
 - The designated C/TPA would be responsible to record this violation information regarding the owner/operator they work with.
 - An owner/operator may view and query their own information.
 - An owner/operator will be required to self-identify as an owner/operator and will be required to designate a C/TPA to access their Clearinghouse account.



Frequently Asked Questions

- **Will a driver's follow-up testing plan be available in the Clearinghouse?**
 - No, follow-up testing plans will not be uploaded into the Clearinghouse.
 - When a prospective employee has not completed a follow-up testing plan prescribed by the SAP, the subsequent new employer must continue to obtain the follow-up testing plan from the previous employer, as required in §382.413, and complete the follow-up testing.
- **Will follow-up testing be tracked within the Clearinghouse?**
 - No, follow-up testing will not be tracked in the Clearinghouse.
 - However, if there is a positive follow-up test result, it must be reported as a new violation.
 - The RTD process would be re-initiated after the new violation is entered.



Frequently Asked Questions

■ How does a driver change or remove inaccurate data?

- The driver may submit a petition via FMCSA's DataQs system
- FMCSA will review petition and notify driver of decision to remove, retain, or correct information in the Clearinghouse and the reason for decision
- If the driver believes a petition decision was made in error, he/she may submit a request for an Administrative Review
 - Request must include an explanation why he/she believes FMCSA made an error in their decision
 - Driver informed of decision
 - Decision will constitute as the final Agency action

The petition must include:

- Petitioner's contact information
- Petitioner's CDL number and state of issuance
- Detailed description why the information is not accurate



■ What information may be challenged by the driver?

- The accuracy of the information reported
- Report of employer's actual knowledge the driver received a traffic citation for driving a CMV while under the influence of drugs or alcohol if it did not result in a conviction
- **Accuracy of test results and refusals may not be challenged**



Frequently Asked Questions

What information is the MRO or SAP required to report?

| | INFORMATION TO BE REPORTED TO CLEARINGHOUSE | DEADLINE FOR REPORTING INFORMATION |
|---|---|--|
| MRO  | Verified positive, adulterated, or substituted drug test result | Within two business days of making a determination or verification of a DOT-approved drug test |
| | Refusal to test (drug) requiring a determination by the MRO as specified in 49 CFR 40.191 | |
| | Changes a verified drug test per 49 CFR Part 40 | Within one business day of making any change in the reported results |
| SAP  | Identification of driver and date the initial assessment was initiated | By the close of the business day following the date of initial assessment |
| | Date of determination of eligibility for RTD testing | By the close of the business day following the determination that the driver completed the RTD process |

Frequently Asked Questions

- **Is the driver's social security number (SSN) or employee identification number (EIN) required when reporting violation information or querying the Clearinghouse?**
 - No, per §382.123, the employer shall provide the driver's CDL number and state of issuance
- **What information is required on the Custody and Control Form (CCF) or Alcohol Testing Form (ATF)?**
 - The driver's CDL number and state of issuance must be entered in lieu of the driver's SSN or EIN
- **Will FAQs and other outreach materials about the Clearinghouse be updated?**
 - Yes, our website at <https://clearinghouse.fmcsa.dot.gov> will be updated regularly with new information, including the factsheet and FAQs. In addition, you will be able to sign up for email updates.



Coming Fall 2019: Register for the Clearinghouse

- Register your company and/or yourself
- Designate C/TPA (employers, if applicable)
- Set up Assistants (employers, C/TPAs, SAPs, MROs)
- Encourage drivers to register



For more information

Visit <https://clearinghouse.fmcsa.dot.gov>

- Subscribe for email updates
- Read frequently asked questions
- Download the Clearinghouse factsheet
- Download the User Role card

Contact clearinghouse@dot.gov



Entry-Level Driver Training (ELDT)

Docket No. FMCSA-2007-27748



The ELDT Final Rule

- Published December 8, 2016
- Established minimum training requirements for commercial motor vehicle operators
- Identified **February 7, 2020** as the ELDT implementation date



Read the ELDT final rule at:

<https://www.fmcsa.dot.gov/eldt>

Entry-Level Driver Training

Establishes new training standards for individuals applying for:

- A Class A or B commercial driver's license (CDL) for the first time;
- An upgrade of their CDL (e.g., a Class B CDL holder seeking a Class A CDL); or,
- A hazardous materials (H), passenger (P), or school bus (S) endorsement for the first time.

The rules does not cover individuals for whom States have waived the CDL skills test under 49 CFR 383.



Entry-Level Driver Training

What are CDL applicants required to do?

- CDL applicants subject to the rule must complete a prescribed program of instruction presented by an entity listed on FMCSA's Training Provider Registry (TPR), prior to taking the State-administered CDL skills test, or for the H endorsement, prior to taking the knowledge test
- TPR will include all entities (including public and private CDL training programs, fleet-operated CDL training programs, etc.) that register with FMCSA and self-certify they meet the requirements for providing CDL training (minimum criteria for CDL instructors, facilities, curriculum, etc.)

Entry-Level Driver Training

What are types of training will CDL applicants receive?

- Class A and B CDL & endorsement curricula subdivided into theory (knowledge) & behind-the-wheel (BTW) (range/public road) segments;
- No minimum number of hours that trainees must spend on theory or BTW portion of any curricula;
- Training provider must provide instruction in all elements of the applicable theory and BTW curricula and trainees must receive an overall score of at least 80% on assessment (written or electronic).

Entry-Level Driver Training

What happens when the CDL applicants complete the training?

- Training providers must transmit electronically the training certification information for each student to FMCSA via the TPR when the student completes the course
- FMCSA will transmit electronically the training certification information to the State Driver Licensing Agency (SDLA) as proof the CDL applicant has completed the training prior to taking the State-administered CDL skills test, or for the H endorsement, prior to taking the knowledge test
- The SDLAs must modify their IT systems to receive the certification information from FMCSA and to post that information on the applicant's CDLIS driver record

Entry-Level Driver Training

Training Provider Registry (TPR)

- To be eligible for the TPR listing, an entity must:
 - follow a curriculum that meets the applicable criteria in Appendices A-E of Part 380;
 - utilize facilities meeting §380.709;
 - utilize vehicles meeting §380.711;
 - utilize instructors meeting §380.713;
 - meet recordkeeping requirements §380.725;
 - licensed, certified, registered, or authorized to provide training in accordance with the applicable laws and regulations of any State where in-person training is conducted.



Diabetes Standard

Docket No. FMCSA-2005-23151



Diabetes Standard

- **Final Rule published on September 19, 2018 and effective on November 19, 2018**
- **Shifts the authority to determine whether an insulin-treated diabetic driver is medically qualified for interstate commercial driving from FMCSA to the treating clinician and the certified medical examiner**
- **Enables a certified medical examiner to grant an insulin-treated diabetes mellitus (ITDM) individual a Medical Examiner's Certificate for up to a maximum of 12 months:**
 - The Treating Clinician, healthcare professional who manages, and prescribes insulin for, the treatment of the individual's diabetes, provides the ITDM Assessment Form, MCSA-5870, to the certified ME indicating that the individual maintains a stable insulin regimen and proper control of his or her diabetes.
 - The certified ME then determines that the individual meets FMCSA's physical qualification standards and can operate CMVs in interstate commerce.



For more information

Visit <https://www.fmcsa.dot.gov/regulations/medical>

Contact FMCSAMedical@dot.gov



Latest Rulemaking News



Latest Rulemaking News

- **Crash Preventability Determination Program (Docket No. FMCSA-2014-0177)**
 - Notice and request for comments published on 8/05/2019; comments due by 10/04/2019
- **CDL Out-of-State Knowledge Test (Docket No. FMCSA-2018-0332)**
 - NPRM published on 7/29/2019; comments due by 9/27/2019
- **HOS: Definition of Agricultural Commodity (Docket No. FMCSA-2018-0348)**
 - ANPRM published on 7/29/2019; comments due by 9/27/2019
- **Lifetime Disqualification for Human Trafficking (Docket No. FMCSA-2018-0361)**
 - Final rule published on 7/23/2019; effective on 9/23/2019
- **Partial Extension of Compliance Date for ELDT (Docket No. FMCSA-2007-27748)**
 - NPRM published 7/18/2019; comments due by 8/19/2019
- **Third Party Commercial Driver's License Testers (Docket No. FMCSA-2018-0292)**
 - NPRM published on 7/09/2019; comments due by 9/09/2019

Latest Rulemaking News

- **Lifetime Disqualification for Human Trafficking (Docket No. FMCSA-2018-0361):**
 - Final rule that permanently bans commercial motor vehicle (CMV) drivers convicted of human trafficking from operating
 - Effective 09/23/2019
 - The new rule revises the list of offenses permanently disqualifying individuals from operating a CMV for which a commercial drivers' license or a commercial learner's permit is required
 - If the driver is convicted of the offense of human trafficking, that driver will no longer be able to operate a CMV in interstate commerce in the United States again
 - The commercial motor vehicle industry is uniquely positioned to help detect and report human trafficking, and thankfully professional drivers' efforts often bring an end to these tragic situations
 - To report human trafficking activity, contact the National Human Trafficking Hotline by dialing toll-free 1-888-373-7888 or by sending a text to 233733



Carrier Dashboard

Safety Measurement System (SMS)



SMS Carrier Dashboard

Action Required by 06/03/2019 – U.S. DOT/FMCSA Initial Information Request for Investigation

Dear Trucking LLC:

The Federal Motor Carrier Safety Administration (FMCSA) is an Agency within the U.S. Department of Transportation (U.S. DOT) whose primary mission is to reduce crashes, injuries, and fatalities involving large trucks and buses. To help motor carriers like you comply with important safety regulations, FMCSA has a suite of safety intervention tools that evaluate why safety problems occur, recommend solutions, encourage corrective action, and, if necessary, invoke penalties for carriers failing to comply.

The purpose of this letter is to officially notify you that FMCSA will investigate your operations to determine the level of safety within your transportation operation. Instead of going onsite to your place of business, I will start this safety compliance investigation online. This allows FMCSA to evaluate your safety compliance with little disruption to your business. An Offsite Investigation will not result in a safety fitness determination but may result in the issuance of civil penalties for any violations discovered. At any time during this investigation, FMCSA may determine that an Onsite Investigation is required. In the event this occurs, I will contact you with a date and time to review your transportation operation at your place of business.

To start this investigation, please complete the following steps.


- 1) Visit the Safety Measurement System (SMS) at <https://ai.fmcsa.dot.gov/SMS>
- 2) Log into your company's profile where you can find your investigation record
 - If you do not have or know your U.S. DOT Personal Identification Number (PIN), please visit <https://safer.fmcsa.dot.gov/AutoPin/index.xhtml>
- 3) Complete and upload the following using the provided form by 06/03/2019
 - o Driver List
 - o Equipment List

I received a document request letter.
What's next?



SMS Carrier Dashboard

Welcome Stephanie to your Carrier Dashboard.
Your Company's first step in safety performance and compliance progress.

 Take Action




Showcase your safety compliance early. Upload your company's documentation and track your progress.


Investigation


Due Date: 6/3/2019

Document Upload Required

Upload your documents

 [4 Documents Due for Offsite Investigation on 6/3/2019](#)

BASIC STATUS  To see all of your data, click the icons below

Based on 24 month record ending Friday, May 31, 2019
When will my data update next? 



UNSAFE DRIVING



CRASH
INDICATOR



HOURS-OF-
SERVICE
COMPLIANCE



VEHICLE
MAINTENANCE



CONTROLLED
SUBSTANCES
AND ALCOHOL



HAZARDOUS
MATERIALS
COMPLIANCE



DRIVER FITNESS



INSURANCE AND
OTHER

SMS Carrier Dashboard

Carriers can now upload documents in SMS

At the Federal Motor Carrier Safety Administration (FMCSA), our job is to **help make safety a priority** for everyone in the industry. The CSA National Safety Interventions Rollout features enhancements to increase investigation efficiencies. With improved tools, carriers can show compliance early and get back to business.

The new Safety Measurement System (SMS) Carrier Dashboard allows carriers to track investigations and upload documents **on their own time**, becoming more time and cost effective for everyone.

How to upload documents

1

ACCESS THE SMS WEBSITE

<https://ai.fmcsa.dot.gov/SMS>

Log in with your U.S. DOT # and FMCSA-issued U.S. DOT # PIN (NOT your Docket Number PIN) or your Portal credentials.



| U.S. DOT# & PIN | FMCSA Portal Login |
|---------------------------------------|---------------------------------------|
| U.S. DOT#: <input type="text"/> | User ID: <input type="text"/> |
| U.S. DOT# PIN: <input type="text"/> | Password: <input type="text"/> |
| <input type="button" value="SUBMIT"/> | <input type="button" value="SUBMIT"/> |

**Note: If you do not have a U.S. DOT PIN or don't know your PIN, you can request one here: <https://safer.fmcsa.dot.gov/AutoPin/index.xhtml>*



SMS Carrier Dashboard

2

NAVIGATE TO DOCUMENT UPLOAD PAGE

In the blue box at the top of the screen, select "Document Upload Required." OR Click any of the notifications under "Take Action."

The screenshot shows the SMS Carrier Dashboard. At the top, there is a blue box with the text "Investigation Due Date: 1/19/2019 Document Upload Required". Below this, there is a "Take Action" button. The dashboard also displays various sections including "U.S. DOT", "Dive right into your data", "Learn how you can improve your data", and "Understand your SMS results".

3

CHOOSE YOUR UPLOAD METHOD

Upload documents by selecting your preferred method of **fax** or **upload**. If you **do not have** a requested document, you can indicate you do not have it by selecting "Do Not Have" and providing a detailed explanation. If you are required to provide Records of Duty Status, an Electronic Logging Device or ELD button will appear.



If you have been asked to provide Accident Register, Driver List, or Equipment List, or to complete an Investigation Questionnaire, please use one of FMCSA's templates by clicking the "Download Template" button.

Upload Documents
Consent Agreement
Document Upload
Document History

Upload Documents



Please note that these indicators show upload progress and do not indicate completion of FMCSA's review; you may be required to upload additional documents.

Hours-of-Service Compliance

Documents requested are listed below. Select your preferred method to submit or have it.

Driver Name #1

| Document | |
|---|--|
| Fueling records with time/dates (11/21/2018-12/21/2018) | Fax Upload Do Not Have |
| ELD | Fax Upload Do Not Have |
| Bills of Lading (11/21/2018-12/21/2018) | Fax Upload Do Not Have |

✓ Driver Name #2

| Document | |
|---|--|
| ✓ Bills of Lading (11/21/2018-12/21/2018) | Fax Review/Replace |
| ✓ Fueling records with time/dates (11/21/2018-12/21/2018) | Documents Available |
| ✓ Records of Duty Status (RODS) (11/21/2018-12/21/2018) | Documents Available |

[NEXT: Driver Fitness](#)

MONITOR YOUR PROGRESS

Once you have uploaded all the requested documents, the percentages marking your progress will appear at **100%**. This indicates you have uploaded the requested documents (or indicated those you do not have), but it **does not denote review or acceptance by FMCSA**; there may be additional documents requested in the future.

NAVIGATE PAGES

After you have completed the requested documents for one BASIC, simply click the "Next" button to move to the next BASIC page.

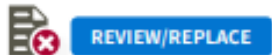


SMS Carrier Dashboard

4

CERTIFY AND SUBMIT

Once you have uploaded all requested documents or provided explanations for those you do not have, the **"Certify and Submit"** window will appear.



If you uploaded the wrong document, you can replace the documents as many times as you would like until your package is ready and you complete the "Certify and Submit" process.

NO CHANGES AFTER CERTIFICATION
Once you have certified all documents, the Safety Investigator will begin the review. After certifying the documents, **no further changes can be made**, unless the investigator provides further guidance.

Certify and Submit

Any intentionally false or misleading statement, representation, or document that you provide in support of this Office investigation may subject you to prosecution for violation of Federal law punishable by a fine of not more than \$20,000 or imprisonment of not more than 5 years, or both (38 United States Code 3306).

By clicking this box, I certify/understand that the statements and information I am submitting in support of this request are, to the best of my knowledge, true, accurate, and complete.

SUBMIT CANCEL

5

DOCUMENTS REQUIRING REVISION

If there are any issues with documents you submitted, or if additional information is required, the Safety Investigator may request additional documents. They will notify you via email or phone and you will receive a notification on your SMS carrier dashboard that says "Documents Requiring Revision."

Documents Requiring Revision

Investigation:
Due Date: 1/28/2018
Document Requiring Revision

*Note: The document upload process remains the same for any additional documents requested.



Online Resources



The Motor Carrier Safety Planner



Website:


<https://csa.fmcsa.dot.gov/safetyplanner>










- With an FMCSA Portal account, create personalized versions of the *Motor Carrier Safety Planner* with your own bookmarks, highlights, and notes.
- Watch the *Customizing a Safety Planner* video tutorial on the *Help* page to learn how to build your own planner.


The Motor Carrier Safety Planner

My Safety Planner

Chapters

[HIDE CHAPTERS](#) 


- CHAPTER 1**
Introduction 
- CHAPTER 2**
Registration Requirements 
- CHAPTER 3**
How FMCSA Monitors Motor Carrier Safety 
- CHAPTER 4**
Operational Requirements 
- CHAPTER 5**
Vehicle Requirements 
- CHAPTER 6**
Driver Requirements 
- CHAPTER 7**
Passenger Transportation 
- CHAPTER 8**
Hazardous Materials Transportation 
- CHAPTER 9**
Mexico-Domiciled Motor Carriers 

Disclaimer 

My Safety Planner

My Safety Planner is your personal dashboard of favorites, highlights, notes, and forms you've created on this site.

Select a Safety Planner

My Safety Planner  [Preview Planner](#)

My Chapters View All

- 1.0 Introduction
- 1.1 Who is FMCSA?
- 1.2 What are Federal Motor Carrier Safety Regulations (FMCSRs) and Hazardous Materials Regulations (HMRs) and Where are They Published?
- 2.1 Getting Started as a Motor Carrier
- 2.2 Registering—Obtaining a U.S. DOT Number (390.200T, 390.19T, 385.301T, 392.9a)

My Highlights View All

- 2.1 Getting Started as a Motor Carrier - ...quirements: Identify and comply with FMCSA registration requirements based on their type of operation: U.S...
- 5.1.1 Brake Systems (Part 393 Subpart C) - ... air or vacuum. See 49 CFR 393.51 for full requir...
- 5.1 Parts and Accessories Needed for Safe Operation (393) - ...tional safety. See Marking of Self-Propelled CMVs and Intermodal Equipment for information about what business information must be displayed on carrier equipment.

My Notes View All

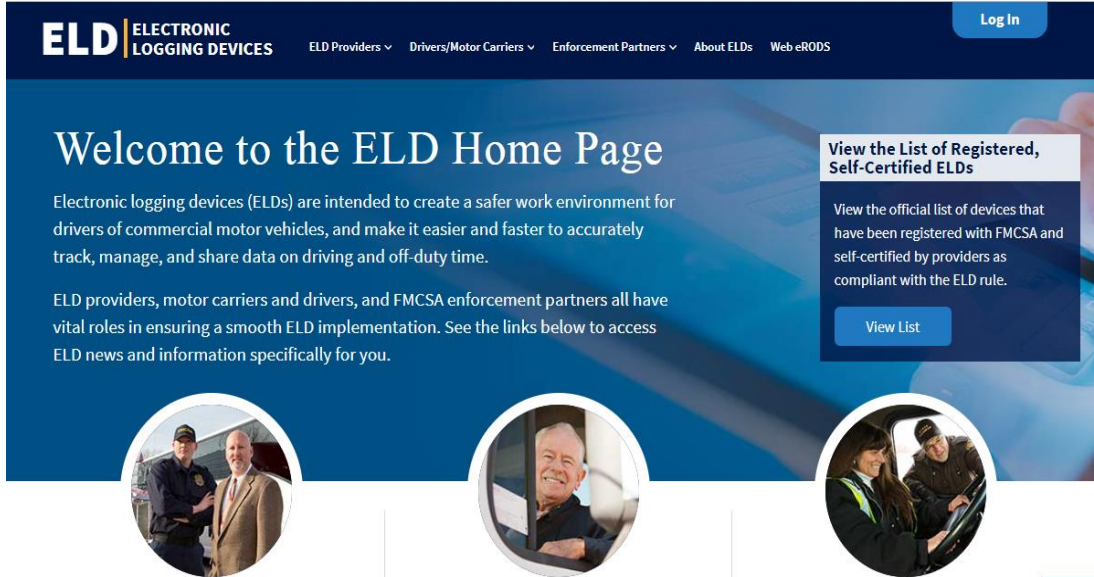
- 2.3 Obtaining Operating Authority (365) - Note in 2.3
- 2.2 Registering—Obtaining a U.S. DOT Number (390.200T, 390.19T, 385.301T, 392.9a) - Section 2.2

My Forms View All

- Accident Register
- Compliance Questionnaire



Electronic Logging Device (ELD) Home Page and Web eRODS



The screenshot shows the ELD Home Page with a dark blue header. The header includes the ELD logo, navigation links for ELD Providers, Drivers/Motor Carriers, Enforcement Partners, About ELDs, and Web eRODS, and a Log In button. The main content area has a large heading 'Welcome to the ELD Home Page' and a paragraph explaining the purpose of ELDs. Below this is a section titled 'View the List of Registered, Self-Certified ELDs' with a 'View List' button. At the bottom, there are three circular images showing people in various roles related to the ELD program.

ELD | ELECTRONIC LOGGING DEVICES

ELD Providers ▾ Drivers/Motor Carriers ▾ Enforcement Partners ▾ About ELDs Web eRODS

Welcome to the ELD Home Page

Electronic logging devices (ELDs) are intended to create a safer work environment for drivers of commercial motor vehicles, and make it easier and faster to accurately track, manage, and share data on driving and off-duty time.

ELD providers, motor carriers and drivers, and FMCSA enforcement partners all have vital roles in ensuring a smooth ELD implementation. See the links below to access ELD news and information specifically for you.

View the List of Registered, Self-Certified ELDs

View the official list of devices that have been registered with FMCSA and self-certified by providers as compliant with the ELD rule.

[View List](#)

Welcome to Web eRODS

The Electronic Record of Duty Status (eRODS) software is used by safety officials to locate, open, and review output files transferred from a compliant ELD.

If you have an ELD file, you can use the web-based version of eRODS below to see how HOS data is presented to a safety official in eRODS.



Instructions

Click on “Browse” to select the ELD file you want to open and click “View ELD File.”

Safety officials: [Log in](#) to make sure you see the enforcement view of the ELD files. Logging in also allows you to search for ELD files in the eRODS Web Service.

Start Viewing Electronic Driver Logs

Load your file File: No file selected.

Website: <https://eld.fmcsa.dot.gov/>

E-mail for ELD Program Office: ELD@dot.gov

E-mail for ELD Malfunction Extension Request: ELD-Extension@dot.gov



Thank you!

For questions not answered in today's presentation:

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