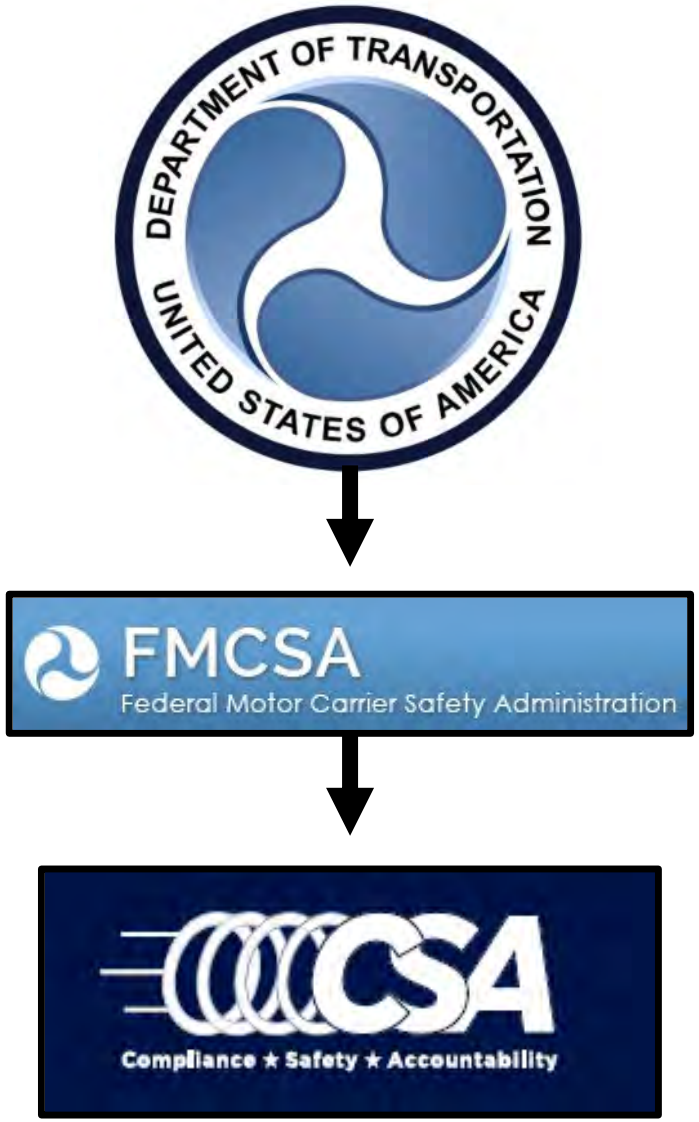
Monitoring Safety Through On-Road Performance

The Safety Measurement System (SMS)

Introduction



CSA stands for Compliance, Safety, Accountability. It is the safety compliance and enforcement program of the FMCSA that holds motor carriers and drivers accountable for their role in safety.

CSA affects motor carriers by identifying those with safety problems to prioritize them for interventions such as being placed on “Alert Status”, warning letters and investigations.

CSA affects drivers because their safety performance and compliance impact their safety records and, while working for a carrier, will impact their carrier’s safety record.

Where does the SMS data come from?

Your company's safety data appears online in FMCSA's Safety Measurement System (SMS) website. FMCSA updates the SMS once a month with data from roadside inspections, including driver and vehicle violations; crash reports from the last two years; and investigation results. The SMS considers:

NEW YORK STATE POLICE
Commercial Vehicle Enforcement Unit
Troop T

DRIVER/VEHICLE EXAMINATION REPORT
Report Number: NYSPT0041140
Inspection Date: 01/25/2016
Start Time: 08:55 AM End Time: 10:28 AM
Insp. Level: 3 - DRIVER ONLY
HAZMAT Insp:

CLEAN HARBORS ENVIRONMENTAL SERVICE
PO BOX 9149

Driver: SALGADO GORGE L
License#: 502773007304802 State: NJ

Date of Birth: State:

Location: PHELPS (EXIT 42) MilePost:
Highway: I-90 Origin: GENEVA
County: ONTARIO Destination: NEWARK

Shipper:
NY
NJ
Bill of Lading:
Cargo: EMPTY

VEHICLE IDENTIFICATION

Unit	Type	Make	Year	State	License #	Document ID	VIN #	DOT#	Cmbs #	Trailer
001	TT	FRHT	1999	IL	4916783	103560	1FUYTMDB3XHB26575			
002	ST	FRUE	1982	IL	7483190		1HD1AB2B6EB713111			

BRAKE ADJUSTMENTS NO BRAKE MEASUREMENTS REQUIRED FOR LEVEL 3 INSPECTIONS

VIOLATIONS

Viol Code	Section	Unit	OOS	Citation #	Verified	Crash	Violation Discovered
395.8	395.8	D	N		N		DRIVER FAILED TO LIST CITY,STATE FOR CHANGE OF DUTY LOCATION FROM AT 12:00PM
395.8	395.8	D	N		N		DRIVER INACCURATELY DATED LOG PAGE FOR 01/24/16 AS 01/25/16
395.8F1	395.8(f)(1)	D	N		N		DRIVERS RECORD OF DUTY STATUS NOT CURRENT - LAST ENTRY MADE 01/24/16 AT 14:30

Hazmat: NO HM TRANSPORTED Placed: NO Cargo Unit:
Special Drivers:

1.) NOTE TO DRIVER: Return this report to the motor carrier whose name appears at the top.
2.) NOTE TO REPAIRER: If violations are made in the violation section above, please sign the report. When repairs are completed,
Signature Of Repairer X: Facility: Date:
3.) Sign and return this report ONLY if violations are entered in the violation section.

RETURN ADDRESS:
New York State Department of Transportation
Truck Inspections
50 W.B.Main PO#105
Albany, New York 12232

4.) TRAFFIC TICKETS: If issued, MUST be returned to the COURT whose address appears on the front of the TICKET.
5.) MOTOR CARRIER CERTIFICATION: I hereby certify that all violations entered on this report have been corrected and action has been taken to restore compliance with the NYS Transportation Law and Regulations.
6.) If the vehicle has NOT been repaired and has been temporarily prevented from service, initial here: and assign the report:
Signature of Motor Carrier X: Title: Date:

Badge #: Date Prepared By:
PAUL F. MOYER 2511 GORGE L. SALGADO

NYSPT0041140

- The number of safety violations and roadside inspections;
- The severity of safety violations and crashes;
- When violations occurred, with recent events weighted more heavily;
- The number of trucks operated and the number of miles traveled; and
- Acute and Critical Violations found during investigations

Violations in any BASIC adversely affect SMS results for 24 months; only time and or inspections with ZERO violations can improve a carrier's BASIC percentile ranking.

What are the BASICs?

FMCSA organizes the SMS data into seven Behavior Analysis and Safety Improvement Categories (BASICs):

Unsafe Driving
Speeding, reckless driving, imp lane chang inattention, no seatbelt

Crash Indicator
Histories of crash involvement (Not Public)

Hours-of-Service Compliance
Noncompliant with HOS regulations, including logb

Vehicle Maintenance
Brakes, lights, defects, failure to make required repairs

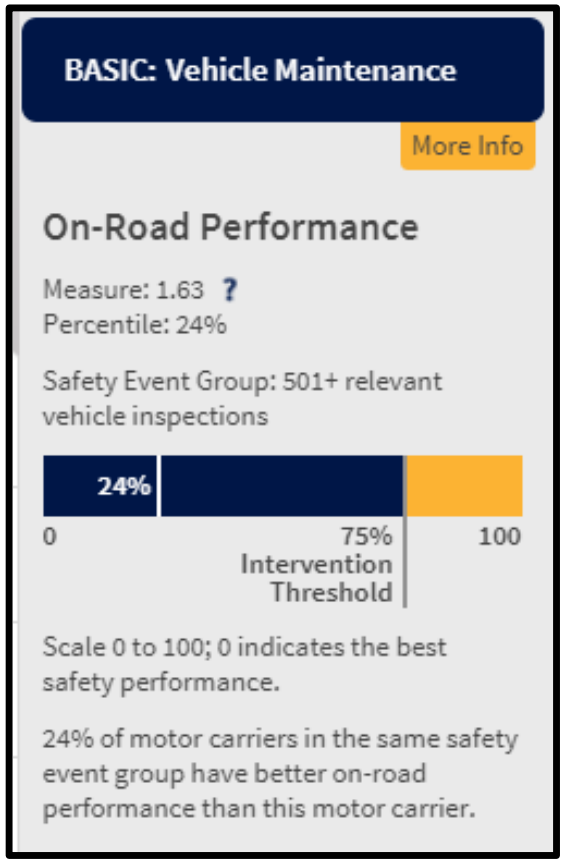
Controlled Substances/ Alcohol
Use/possession of controlled substances/alc

Hazardous Materials Compliance
Leaking containers, improper packaging and/or placarding (Not Public)

Driver Fitness
Invalid license, medically unfit to operate a CMV

How does the CSA percentile ranking work?

The SMS groups carriers by BASIC with other carriers that have a similar number of safety events (e.g., crashes, inspections, or violations) and then ranks carriers and assigns a percentile from 0 to 100 (the higher the percentile, the worse the performance) to prioritize them for “Alert Status”, warning letters or other types of interventions like an on site or focused safety audit.



- A BASIC percentile is what the FMCSA uses to identify motor carriers with safety performance issues to prioritize them for interventions, such as “Alert Status”, warning letters or onsite investigations.
- When a motor carrier exceeds an intervention threshold they may be prioritized for FMCSA intervention.

What are the ALERT status percentile ranking thresholds?

If one or more of a carrier's BASIC percentiles exceed a threshold, the carrier then becomes a candidate for an intervention. Typically, the intervention process starts with being placed on "Alert Status" and receiving a warning letter, which provides the carrier with an opportunity to review its performance and make improvements without further FMCSA involvement.

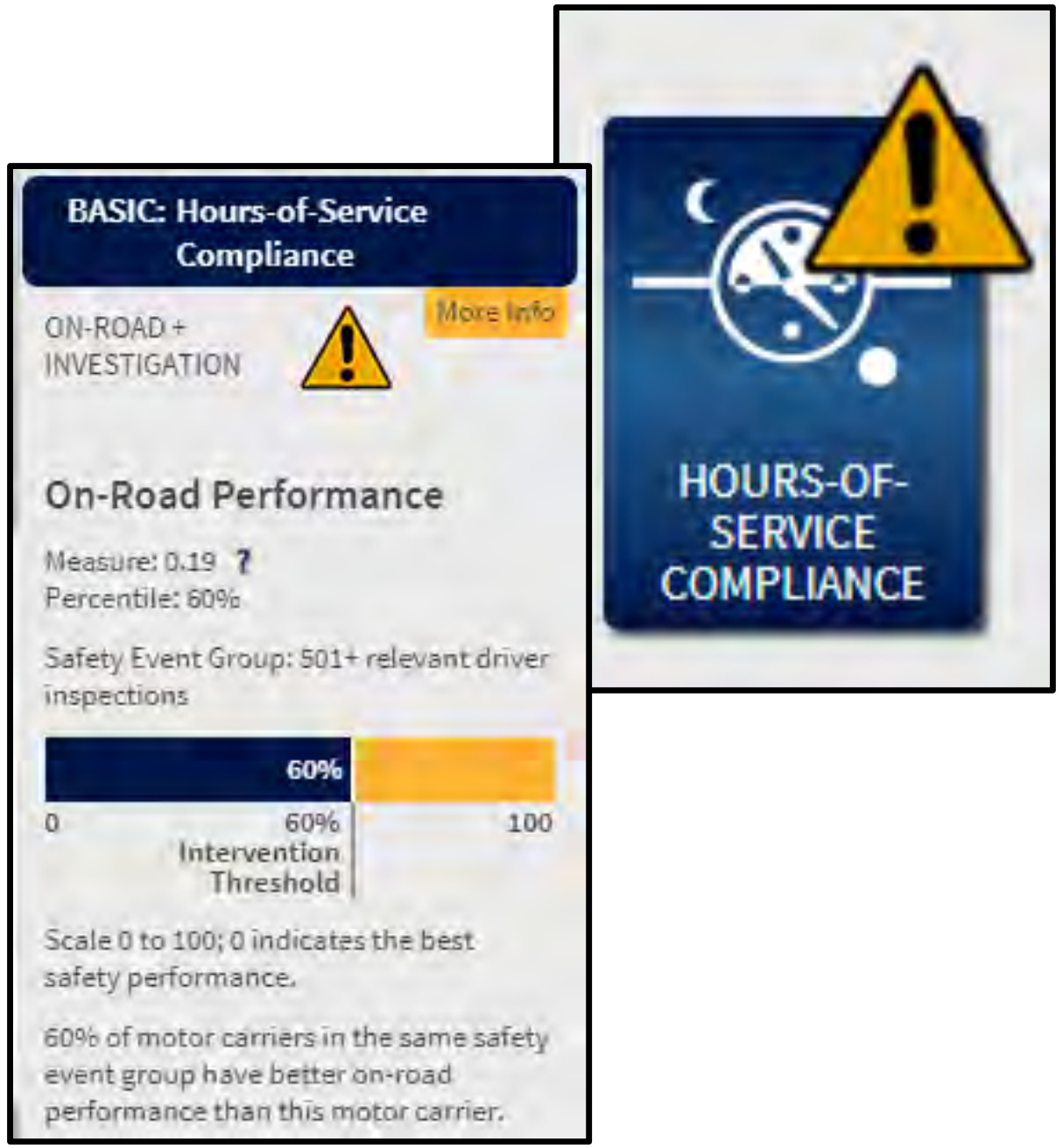
Thresholds vary depending on the type of carrier and the BASIC. For example, since the consequences of passenger or HM crashes are typically more severe, lower Intervention Thresholds are in place for these types of carriers.

BASIC	Intervention Thresholds		
	Passenger	HM	General
Unsafe Driving, HOS Compliance, Crash Indicator	≥50%	≥60%	≥65%
Driver Fitness, Controlled Substances/Alcohol, Vehicle Maintenance	≥65%	≥75%	≥80%
HM Compliance	≥80%	≥80%	≥80%

You've been placed on ALERT status – now what happens?

When a motor carrier exceeds an intervention threshold they are placed on "Alert Status" in the CSA database. Being on Alert Status leads to more frequent and more thorough roadside inspections.

- When CVSA trained law enforcement agencies encounters a motor carrier that has been placed on "Alert Status", they are required to perform a roadside inspection.
- Agencies will perform "Targeted Roadside Inspections" conducted at permanent or temporary roadside inspection locations, these inspections are prompted by data that identify a carrier's specific safety violation.



What happens if a motor carrier is prioritized for an on-site or focused safety audit?

A safety rating may be downgraded after an acute safety violation, serious at fault accident or Onsite Investigation if the FMCSA finds the motor carrier's operation to be unsafe.

The FMCSA assigns one of three safety ratings to every motor carrier. Safety ratings are public information and can impact public perception and the financial success of a motor carrier.

Satisfactory	The carrier received an Onsite Comprehensive Investigation indicating that safety controls are sufficient to ensure compliance with the safety fitness standard. Only an Onsite Comprehensive Investigation may result in a Satisfactory rating.
Conditional	The carrier received an Onsite Comprehensive or Focused Investigation indicating that safety controls are inadequate but have not yet resulted in violations of the safety fitness standard.
Unsatisfactory	The carrier received an Onsite Comprehensive or Focused Investigation indicating that safety controls are inadequate and have resulted in violations of the safety fitness standard, pursuant to 49 CFR 385.3. A motor carrier with a final rating of Unsatisfactory is prohibited from operating a commercial motor vehicle in interstate commerce, pursuant to 49 CFR 385.13(a).

How do the drivers you hire impact your CSA status?

The drivers you hire put your carrier's safety on the road every day — lives and livelihoods depend on it. Through the CSA program, the FMCSA helps drivers and motor carriers improve safety performance and compliance to help make sure everyone gets home safely.

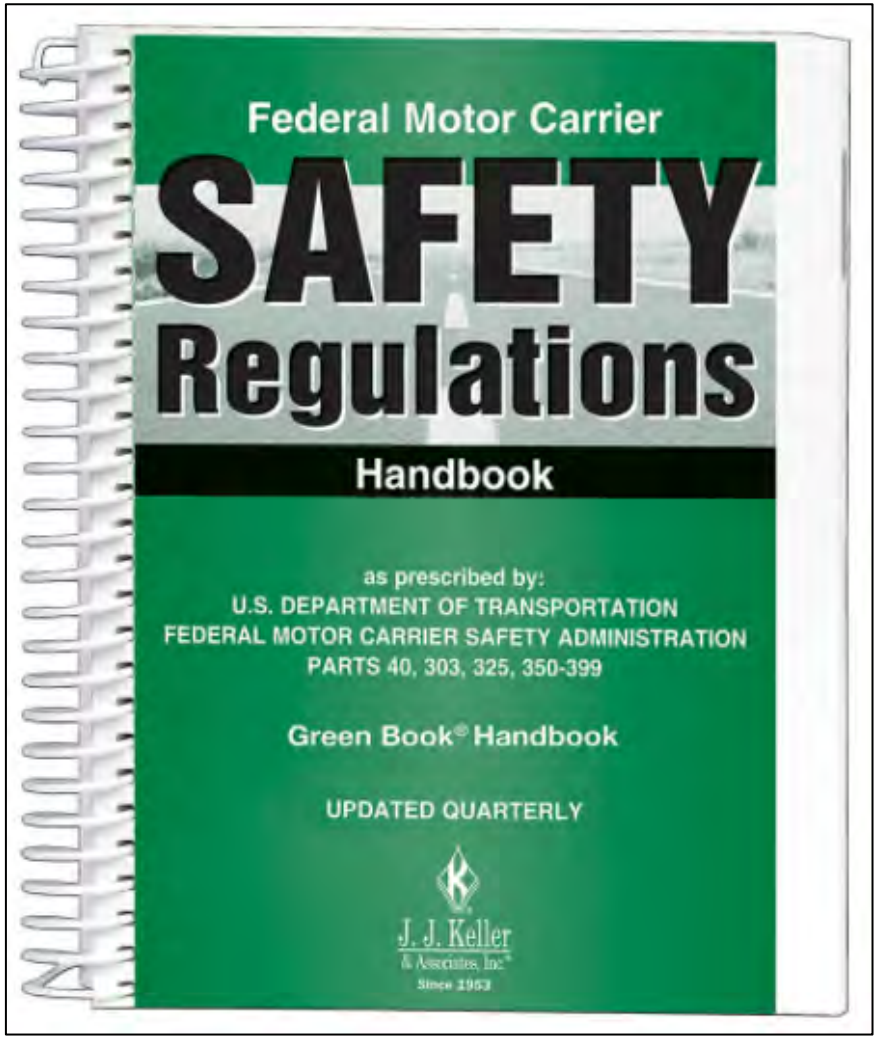
Systematic, Periodic Inspection & Maintenance of CMV's

Introduction

A thorough and compliant vehicle inspection and maintenance program is the cornerstone of a safe transportation operation. Inspection and maintenance must be an integral part of every motor carrier's safety program.

Carriers whose maintenance programs are deficient will experience more accidents, more roadside violations, more vehicles being placed out of service and higher CSA scores.

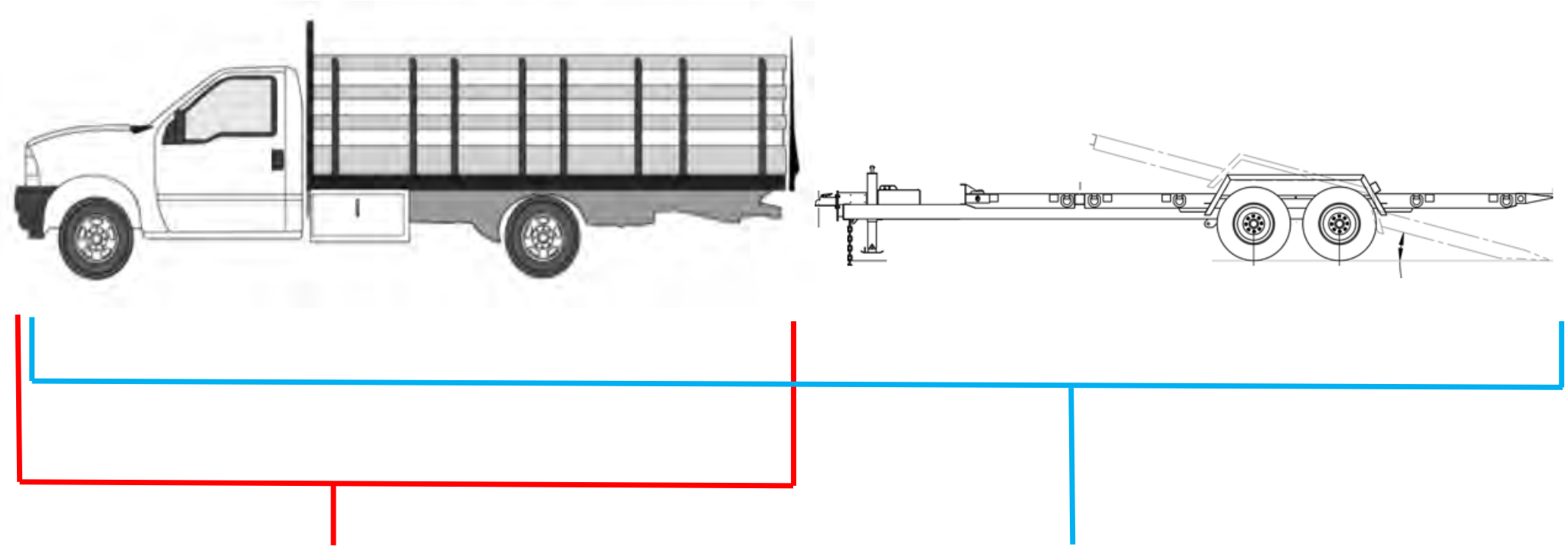
The federal safety regulations are designed to keep unsafe motor carriers off of our nation's highways and to provide a sound basis for a good inspection and maintenance program. The following discussion presents an overview of the regulations and their applicability.



Who are the vehicle inspection and maintenance requirements applicable to?

The FMCSRs, including the vehicle inspection and maintenance requirements, apply to all commercial motor vehicles (CMV) and the employers and employees operating them.

A CMV is any self-propelled or towed motor vehicle operated on public roadways that have a gross vehicle weight rating (GVWR) or a gross combined weight rating (GCWR) over 10,000 lbs.



GVWR (power unit rating only)

GCWR (power unit & trailer ratings combined)

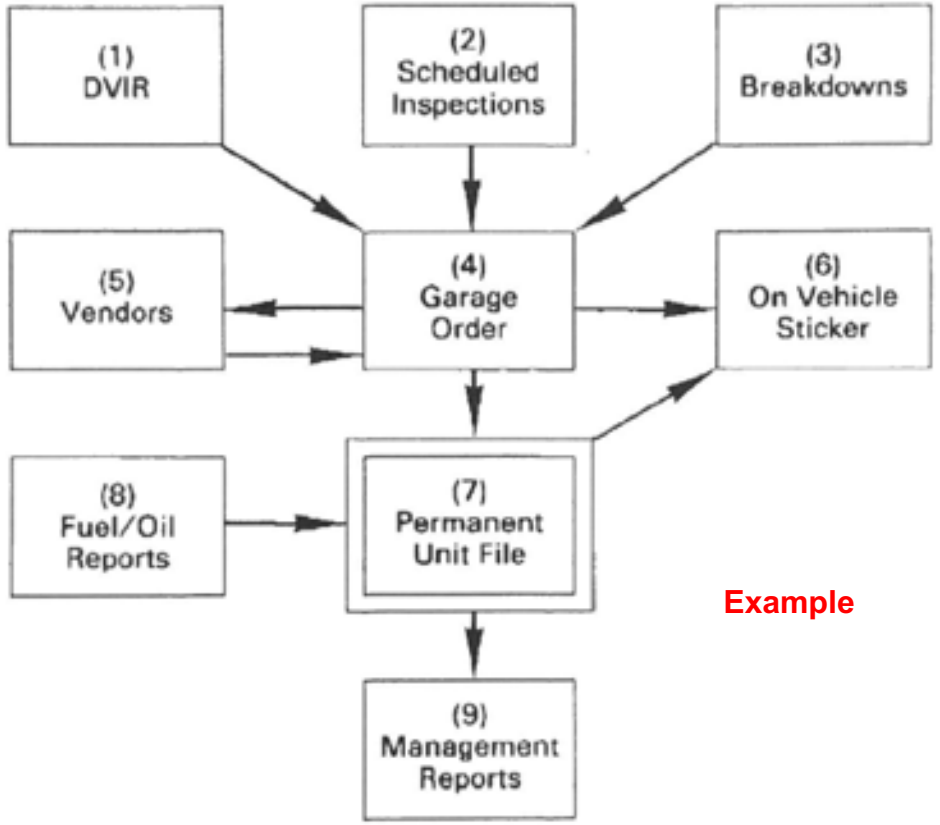
Who is responsible for managing a systematic maintenance program?

Generally, carriers engaged in interstate commerce - including their officers, drivers, agents, and employees directly concerned with CMV inspection and maintenance - must be knowledgeable of and comply with the rules.

What do the FMCSRs mean by “systematic maintenance program”?

Carriers must systematically inspect, repair and maintain their vehicles. This can be done in-house or by a qualified third party vendor. Carriers must verify vender training & qualifications.

- All components specified in Part 393 of the FMCSRs, and any additional parts and accessories that may affect safe operating, including after market equipment, frame assemblies, suspensions, axles and attaching parts, wheels/rims and the steering system.
- The program must include proper lubrication, and prevention of oil and grease leaks for all vehicles under the carrier’s control.
- Intervals are determined by the carrier. They are often based on time or mileage, such as every 10K miles or three months, for example.
- The program must be reasonable and structured and once established, the carrier is expected to follow it and maintain supporting records.

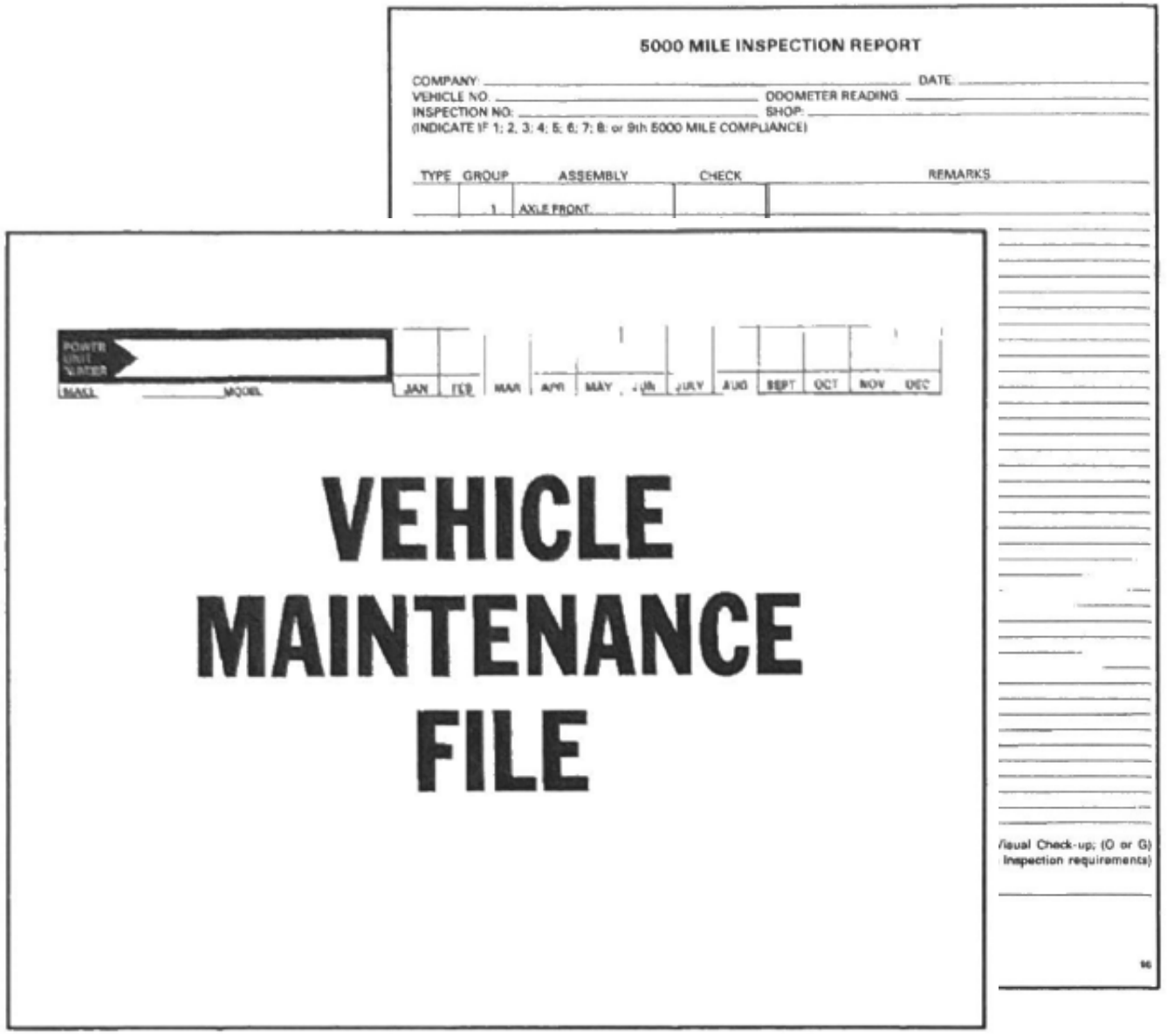


Example

Are there specific maintenance record keeping requirements for motor carriers?

Motor carriers must maintain records on all vehicles controlled for 30 days or more, that include;

- Vehicle ID, including company number (if marked with one), make, serial number, year, tire size, and the name of the entity providing the vehicle if not owned by the carrier;
- A method to indicate the nature and due date of future inspection and maintenance operations to be performed;
- A record of the inspection and maintenance operations that have been completed, including the date, nature and any work performed.
- The records must be kept for one year, where the vehicle is domiciled or maintained. If a vehicle leaves your control, the file must be retained for six additional months.



What are the different types of CMV inspections required and who performs them?

- **Pretrip inspection – performed by driver;**
  - Federal regulation requires that a driver be “satisfied” that basic parts and accessories are available and "in good working order" prior to driving the vehicle. (49CFR §392.7{a})
- **En route cargo & securement inspection – performed by driver;**
  - Drivers must inspect the cargo and its securing devices within the first 50 miles after beginning the trip. Drivers must re-inspect when any one of the following occurs - at each change of duty status, after driving for 3 hours; or after driving 150 miles. (49CFR §392.9)
- **Post-trip inspection – performed by driver;**
  - Drivers are required to complete a written inspection report (DVIR) at the end of each driving day noting any defects. (49 CFR § 396.11)
- **Federal annual vehicle inspection – performed by motor carrier;**
  - This is comprehensive inspection of the entire vehicle initiated by the motor carrier and performed by properly trained maintenance personnel. (49 CFR § 396.17)
- **Roadside inspections – performed by law enforcement;**
  - When a driver receives an inspection report from a state or FMCSA official at a roadside inspection, the driver must deliver the report to the motor carrier upon arrival at the next terminal or facility. Once received, the motor carrier must correct all noted defects and certify on the form that the violations have been corrected.

What happens when a vehicle is found to be unsafe?

- When a driver or motor carrier performs an inspection and a vehicle is found to be so unsafe that its likely to break down or cause an accident, it cannot be operated.

- Vehicles found to be unsafe or defective during inspections performed en route by drivers or law enforcement may only be operated to the nearest place where repairs can be made safely, and ONLY IF that is less hazardous than remaining on the roadway.

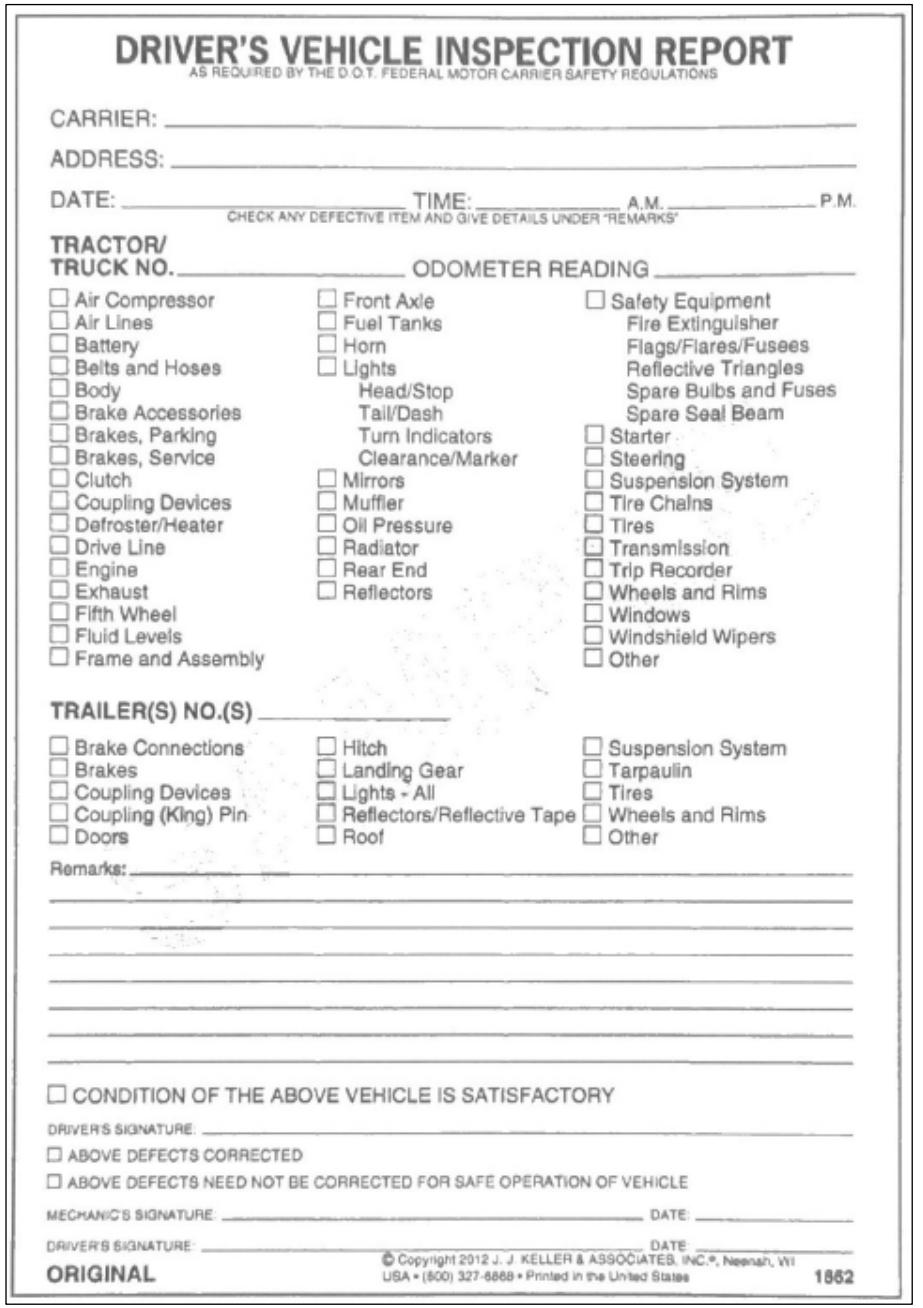
- Trained law enforcement will typically provide specific guidance in those situations.

What are the basic requirements for Driver Vehicle Inspection Reports or DVIR?

- **Motor carriers must maintain the original of each DVIR and certification of repairs for 90 days from the date of completion.**

- **No specific format is required, but all components specified in Part 393 of the FMCSRs must be addressed and the report must have the following specific elements;**

  - The date and detailed information that identifies the vehicle;
  - A list of any vehicle defects or deficiencies that would affect the safe operation or result in a breakdown or accident;
  - A method a driver to indicate there are no defects or deficiencies; and
  - Spaces for three signatures for –
    - The driver who prepared the report;
    - The motor carrier or its mechanic to certify the repairs have been made or do not require a being repaired for safe operation; and
    - The reviewing driver's signature on reports listing defects, to acknowledge that repairs have been made or are not needed.



DRIVER'S VEHICLE INSPECTION REPORT

AS REQUIRED BY THE D.O.T. FEDERAL MOTOR CARRIER SAFETY REGULATIONS

CARRIER: _____

ADDRESS: _____

DATE: _____ TIME: _____ A.M. _____ P.M.

CHECK ANY DEFECTIVE ITEM AND GIVE DETAILS UNDER "REMARKS"

TRACTOR/
TRUCK NO. _____ ODOMETER READING _____

☐ Air Compressor	☐ Front Axle	☐ Safety Equipment
☐ Air Lines	☐ Fuel Tanks	Fire Extinguisher
☐ Battery	☐ Horn	Flags/Flares/Fusees
☐ Belts and Hoses	☐ Lights	Reflective Triangles
☐ Body	Head/Stop	Spare Bulbs and Fuses
☐ Brake Accessories	Tail/Dash	Spare Seal Beam
☐ Brakes, Parking	Turn Indicators	☐ Starter
☐ Brakes, Service	Clearance/Marker	☐ Steering
☐ Clutch	☐ Mirrors	☐ Suspension System
☐ Coupling Devices	☐ Muffler	☐ Tire Chains
☐ Defroster/Heater	☐ Oil Pressure	☐ Tires
☐ Drive Line	☐ Radiator	☐ Transmission
☐ Engine	☐ Rear End	☐ Trip Recorder
☐ Exhaust	☐ Reflectors	☐ Wheels and Rims
☐ Fifth Wheel		☐ Windows
☐ Fluid Levels		☐ Windshield Wipers
☐ Frame and Assembly		☐ Other

TRAILER(S) NO.(S) _____

☐ Brake Connections	☐ Hitch	☐ Suspension System
☐ Brakes	☐ Landing Gear	☐ Tarpaulin
☐ Coupling Devices	☐ Lights - All	☐ Tires
☐ Coupling (King) Pin	☐ Reflectors/Reflective Tape	☐ Wheels and Rims
☐ Doors	☐ Roof	☐ Other

Remarks: _____

☐ CONDITION OF THE ABOVE VEHICLE IS SATISFACTORY

DRIVER'S SIGNATURE: _____

☐ ABOVE DEFECTS CORRECTED

☐ ABOVE DEFECTS NEED NOT BE CORRECTED FOR SAFE OPERATION OF VEHICLE

MECHANIC'S SIGNATURE: _____ DATE: _____

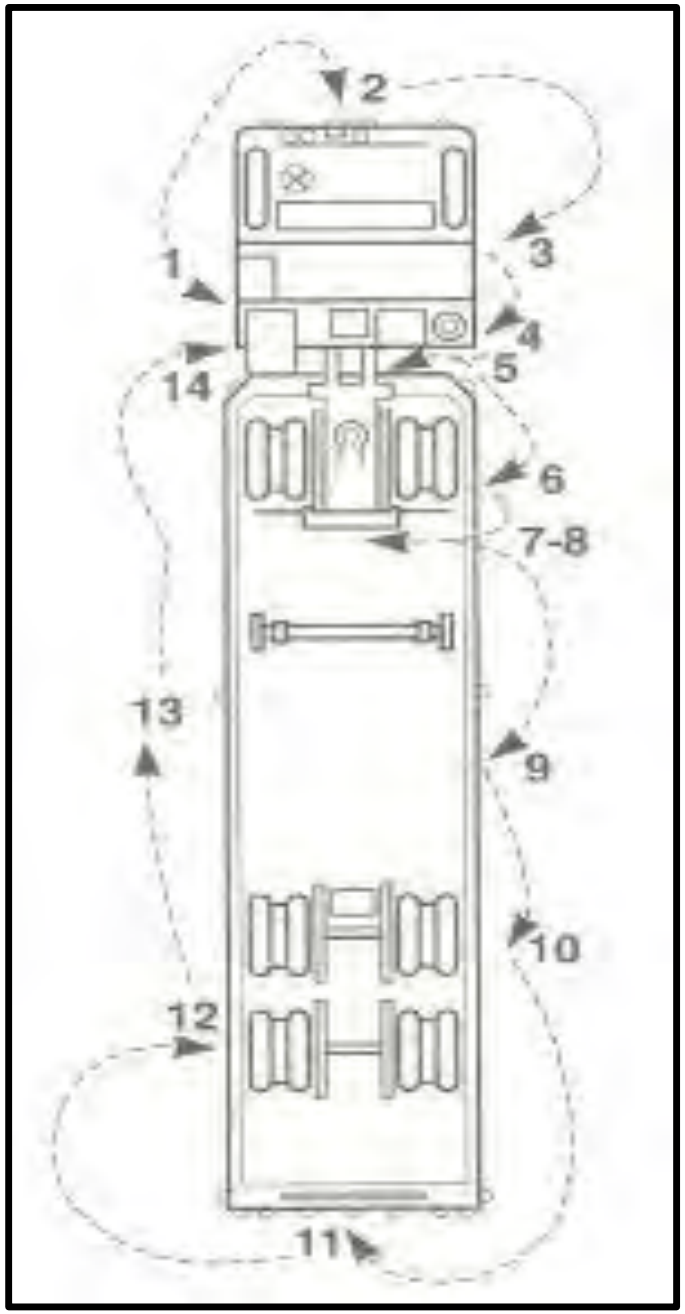
DRIVER'S SIGNATURE: _____ DATE: _____

ORIGINAL

1862

DVIR and vehicle inspections - Additional considerations & best practices

- DVIRs can be a very important part of a carrier's overall inspection, repair and maintenance program, since the driver is in an excellent position to spot small issues before they become more serious.
- Don't just comply with the DVIR regulations; give serious consideration to the role you want your drivers and DVIR to play in the overall program and use a format best suited to your operation.
- Having drivers prepare a DVIR every day (whether there is a defect to report or not) is seen as an industry "best practice" to help insure that inspections are being performed and that risk is being actively mitigated by the motor carrier.
- The operation of an out-of-service vehicle carries heavy penalties for drivers and motor carriers!
- Never operate or allow anyone to operate an out-of-service vehicle under any circumstances. Doing so risks the lives of your drivers and the motoring public.



Conclusion – Why is this important to you and your motor carrier?

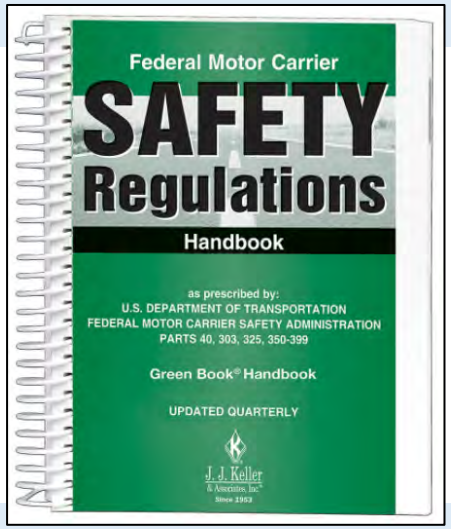
- Safety is the single most important reason you inspect your vehicles. Safety for yourself and for other road users around you.

- A vehicle defect found during an inspection could prevent a serious accident or unsafe condition from becoming worse and also reduces maintenance costs by catching defects before they become more costly or catastrophic.

- Federal and state inspectors can inspect your vehicle at any time with or without cause, and if found unsafe, can place your vehicle out-of-service which increases operational costs and vehicle/driver downtime.

- Always inspect every vehicle you operate without exception. Human lives and the reputation and success of your motor carrier are depending on it.

Safe Driving for Motor Carriers & Drivers



Introduction

To help ensure the safe operation of commercial motor vehicles (CMV), the Federal Motor Carrier Safety Regulations (FMCSRs) include specific requirements related to the behavior and actions of the driver behind the wheel.

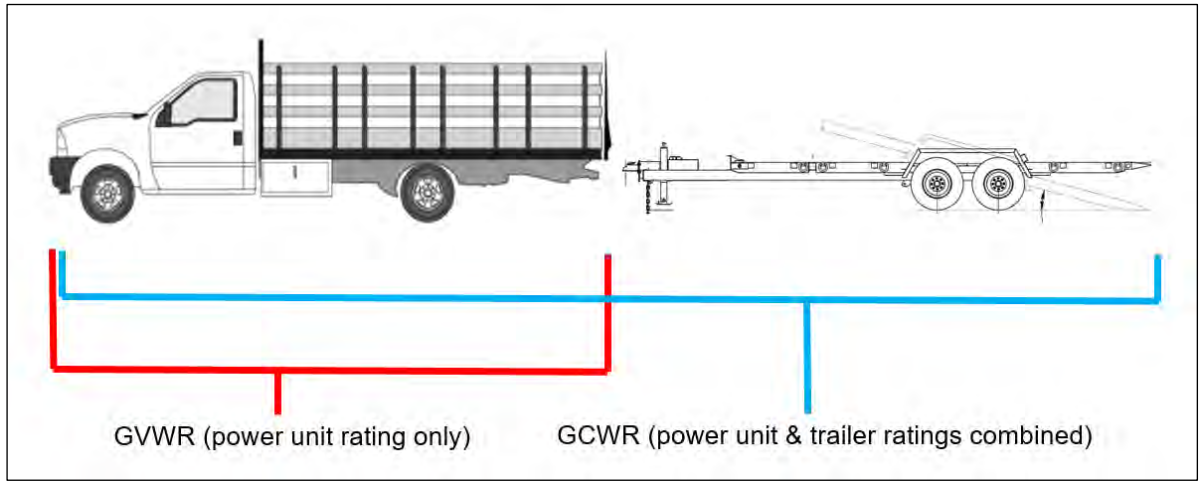
The rules described are a baseline, or the minimal requirements that must be met. It's considered an industry 'best practice' for Motor carriers develop and implement internal policies that exceed the minimal requirements described here.

Who do the safe driving rules and regulations apply to?

The driver requirements and safe driving rules apply to motor carriers and drivers engaged in interstate commerce. Those not involved in interstate commerce are subject to their states' rules, which may or may not be identical to the federal rules. Motor carriers and their drivers should be well versed in the requirements of both.

- For the purpose of most CMV driving requirements, a CMV is any self-propelled or towed motor vehicle operated on public roadways that have a gross vehicle weight rating (GVWR) or a gross combined weight rating (GCWR) over 10,000 lbs.

- For other areas of Federal regulations, the definition of commercial motor vehicle will vary, for example drug and alcohol regulations and commercial driver's license (CDL) requirements.



Who is responsible for compliance with the safe driver & driving rules?

Compliance with the FMCSRs is a shared responsibility between drivers and their employers. Even in cases where the driver is specifically charged with compliance, like DVIR completion or hours-of-service, the motor carrier is still responsible for managing and maintaining that compliance.

Section 392.2 is clear – "every motor carrier, its officers, agents, representatives and employees responsible for the management, maintenance, operation or driving of CMVs, or the hiring, supervising, training, assigning or dispatching of drivers must be instructed in and comply with the Part 392 rules".

- Motor carriers are required to know and comply with the regulations applicable to their operation.
- Every driver must be trained by the motor carrier on how to comply with those same regulations.
- State and local laws and regulations, as well as company policies, must be followed unless they are less strict than the federal rules.
- A 'best practice' for motor carriers is to develop and implement internal policies that exceed the minimal requirements described here.

What do the regulations say about driver impairment & distractions?

From alcohol to fatigue, cell phones or personal and health issues, drivers must steer clear of a variety of substances and distractions that can impair their ability to drive safely. Motor carriers must actively manage compliance.

- **Illness or fatigue;** Drivers cannot drive and carriers cannot ask or allow them to drive when their ability or alertness is so impaired (or so likely to become impaired) that driving would be unsafe.

- **Drug use or possession;** While on duty, drivers may never possess or be under the influence of any “Schedule 1” substance, amphetamine or any narcotic or derivative.

- **Alcohol use or possession;** Drivers cannot use or be under the influence of alcohol within four hours of going on duty, and cannot possess alcohol on their person or in the vehicle at any time while on duty.

- **Texting while driving;** Drivers may not send, type or read text messages while driving a CMV, including while stuck in traffic or waiting at a traffic signal.

- **Using a hand-help cell phone;** Drivers cannot use a hand-help cell phone while driving a CMV.

Who is responsible for compliance with the safe driver & driving rules?

Even the most well-trained, safety-conscious CMV driver is at risk of engaging in driving behaviors that could lead to a crash on today's crowded, fast moving highways. Impaired performance because of fatigue, inattention or daydreaming, or an unexpected internal or external distraction can all lead to a preventable accident in a CMV.

The FMCSRs provide specific guidelines for many day-to-day operational requirements, for example;

- **Speeding;** Drivers are always prohibited from exceeding any posted speed limits, and motor carriers cannot allow or require speeding by scheduling routes that are impossible to compete without speeding.

- **Seatbelt use;** Drivers of CMV must wear their seat belt while driving. Passengers riding in a property-carrying CMV must also wear their seat belts.

- **Railroad crossings;** Certain CMVs are required to stop at all rail grade crossings to make sure the tracks are clear. This includes certain cargo tank vehicles and vehicles transporting certain hazardous materials.

- **Hazardous driving conditions;** It may seem like common sense, but the regulations actually require drivers to slow down and use "extreme caution" in hazardous conditions like wind, snow, ice, sleet, fog, mist, rain, dust or smoke. If conditions become bad enough, drivers must stop driving until it is safe again, unless stopping is more hazardous than continuing on to the nearest safe area.

The following are several prohibited practices that deserve mention here.

- **Passengers;** Drivers must have written authorization from the carrier before transporting any person on a CMV other than a bus.

- **Glasses & hearing aides;** Drivers who need corrective lenses or hearing aides to meet the physical qualification requirements must wear their glasses and hearing aides at all times while driving.

- **Radar detectors;** Drivers are prohibited from operating any CMV equipped with a radar detector.

- **Lights & reflective materials;** Drivers cannot operate a CMV if any required lights or reflective materials are inoperable, malfunctioning, missing or obscured by the load, dirt or vehicle equipment.

- **Emergency equipment;** Drivers are required to use emergency equipment when and as needed. This includes fire extinguishers, warning triangles, flares and fuses.

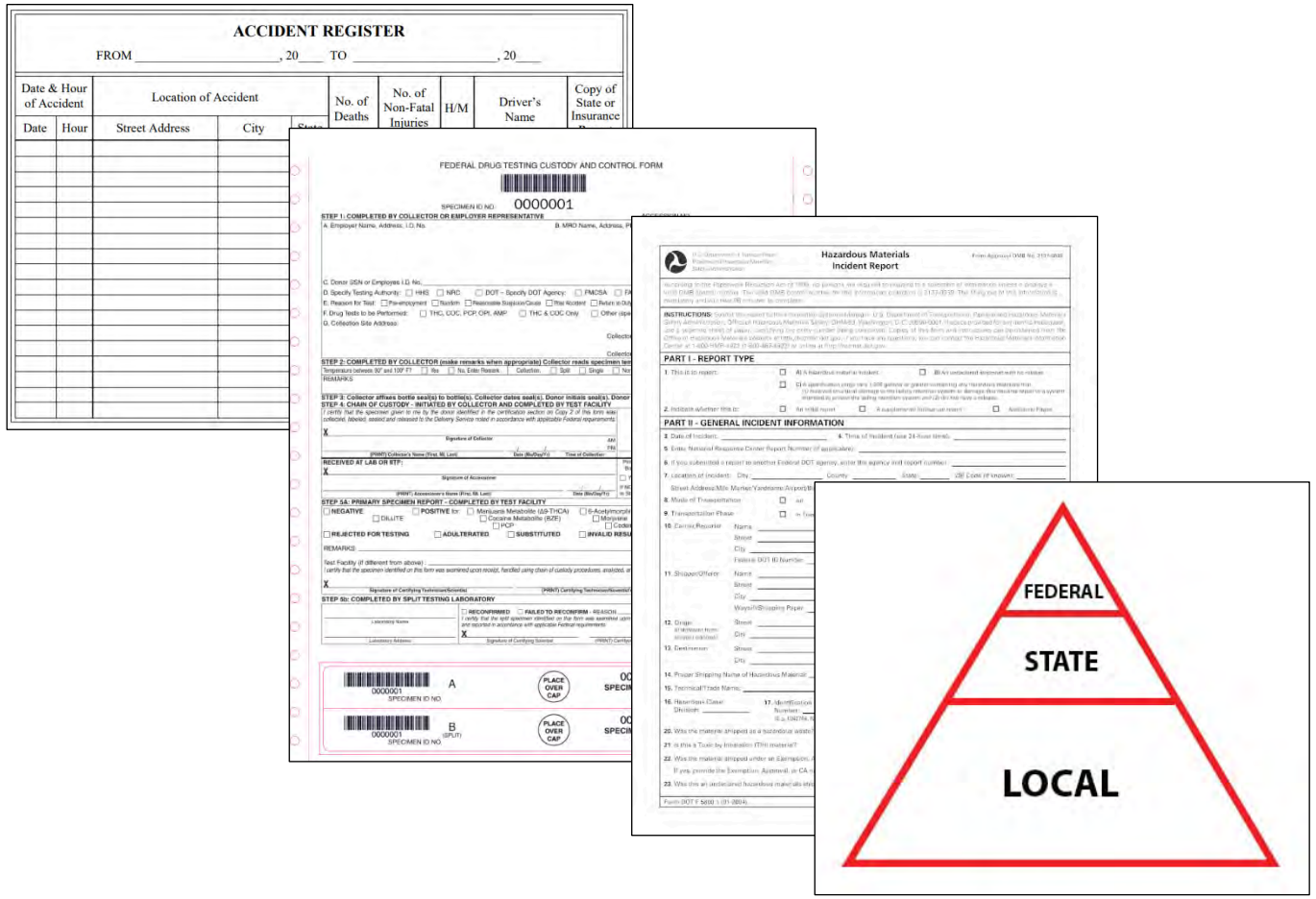
- **Fueling;** Drivers or other employees cannot fuel a CMV with the engine running, smoke or have any open flame near a CMV being fueled.

- **Carbon monoxide;** A CMV cannot be driven if a condition is discovered that would be likely to produce carbon monoxide poisoning within the vehicle.

What do the regulations require when a CMV driver is involved in an accident?

Accidents involving commercial motor vehicles are costly – for drivers, for their families, for employers and for society as a whole. Reducing those costs and improving highway safety for all motorists is one of the goals of state and federal requirements for accident recording and reporting, as well as post-accident drug and alcohol testing. The following is an overview of those requirements.

What the FMCSA regulations relating to CMV accidents?



- Federal accident record keeping requirements in Sec. 390.15;
- Federal post-accident drub and alcohol testing requirements in Sec. 382.203;
- Federal accident reporting requirements when hazardous materials, substances or wastes are involved are found at Part 171; and
- State and/or local accident reporting requirements regulated by those jurisdictions.

How does FMCSA define ‘accident’ when CMV is involved?

The FMCSRs define “accident” as an occurrence involving a CMV on a highway in interstate or intrastate commerce that results in:

- A fatality; or
- Injury to a person requiring immediate medical attention away from the accident scene; or
- Disabling damage to any vehicle requiring it to be towed from the scene.

What are the accident recordkeeping requirements for motor carriers?

ACCIDENT REGISTER

FROM _____, 20____ TO _____, 20____

Date & Hour of Accident		Location of Accident			No. of Deaths	No. of Non-Fatal Injuries	H/M	Driver’s Name	Copy of State or Insurance Report
Date	Hour	Street Address	City	State					

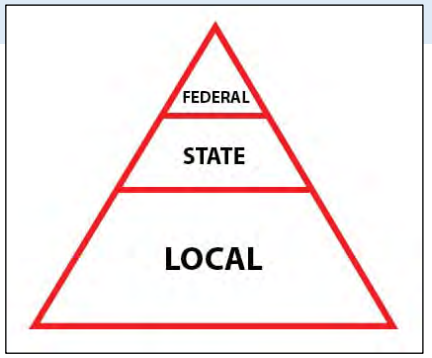
Example DOT accident register

The FMCSRs requires motor carriers to maintain an accident register listing a few required pieces of information for each “accident” for a period of three years after the accident occurs.

- Date of the accident;
- City & state where the accident occurred;
- Driver’s name;
- Number of injuries;
- Number of fatalities; and
- Whether hazardous materials were released.

Motor carriers typically choose to include additional information specific to their operations on their accident register as an industry ‘best practice.

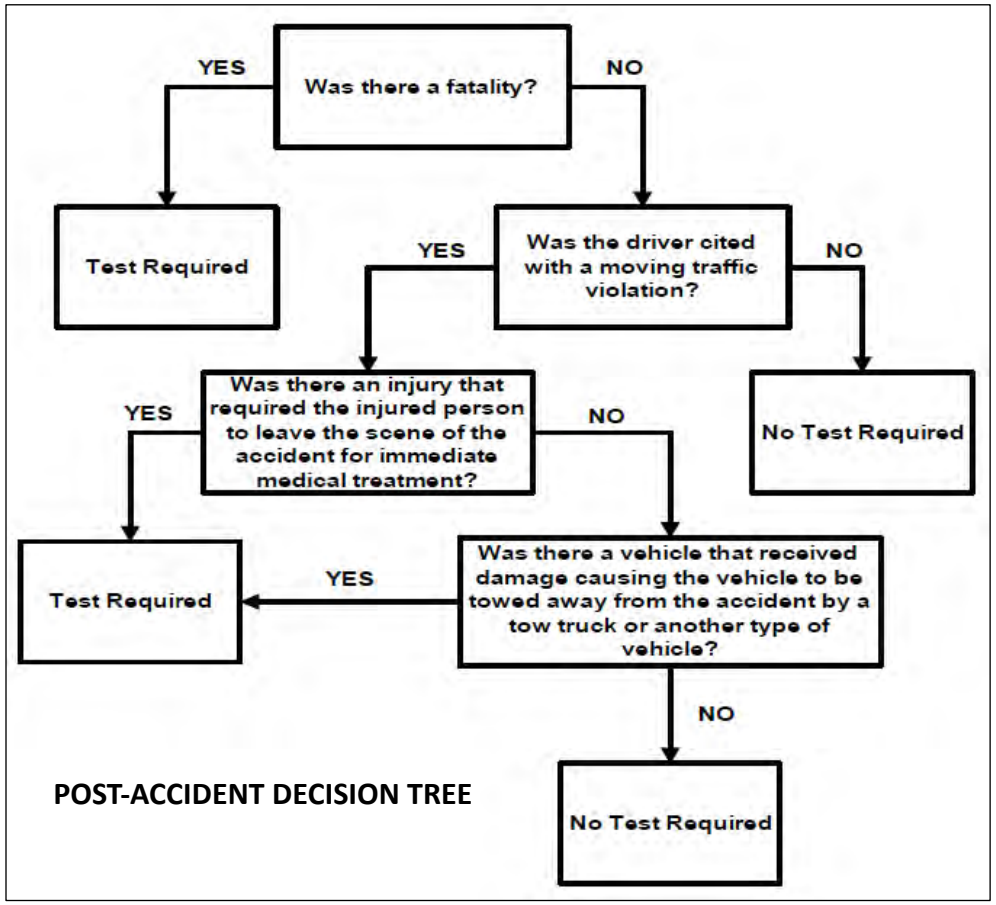
Are motor carriers required to report accidents to the FMCSA?



Motor carriers are not required to report accidents to the FMCSA. However, the regulations of each state and some local governments contain specific accident reporting requirements.

Generally, any accident involving death or injuries will be a reportable accident. Motor carries must understand and comply with all local, state and federal reporting requirements.

What are the post-accident drug & alcohol testing requirements?



POST-ACCIDENT DECISION TREE

Not all accidents require a CDL driver to be tested for drugs or alcohol. However, a driver must always be tested if there is a fatality, even if the driver was not cited.

If no fatality is involved but there were injuries needing immediate medical treatment away from the scene, or a vehicle was towed from the scene, testing is required if the driver receives a citation for a moving violation in the connection with accident.

- Alcohol testing is required if the citation is received within eight hours of the accident.
- Drug testing is required if the citation is received within 32 hours of the accident.
- If testing cannot be completed in within the required timeframes the reason why must be documented by the motor carrier.

What more should motor carriers do when accidents occurs?

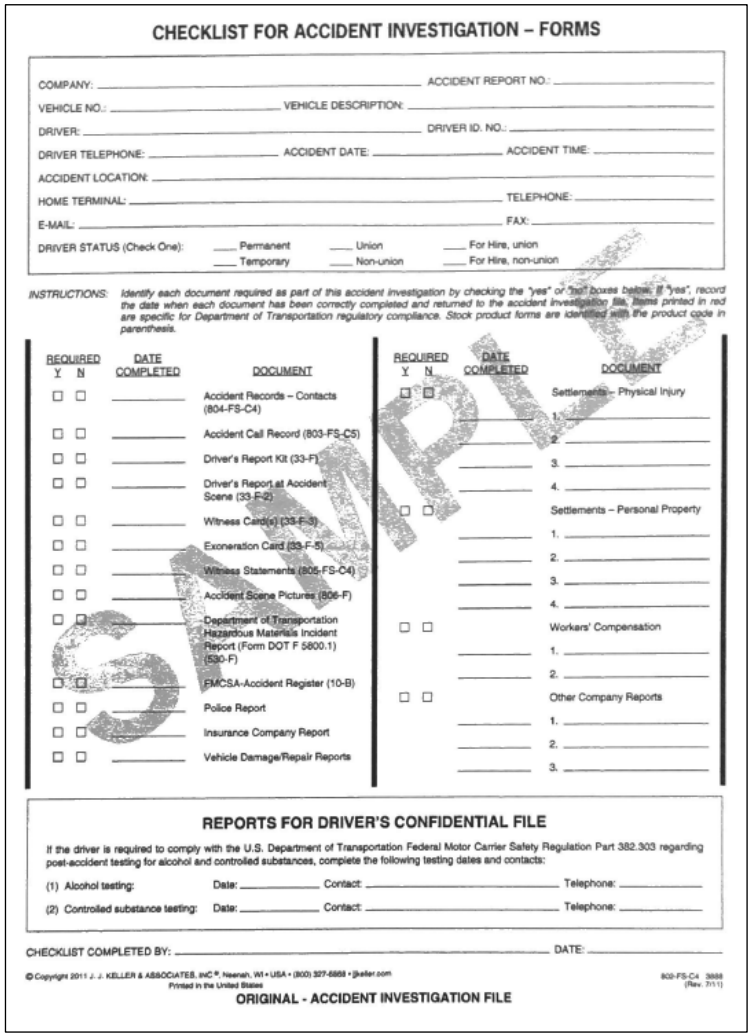
A motor carrier's written policies and training should always go beyond the requirements of the regulations. Documenting crucial details at the scene and investigating root cause will help a motor carrier understand why an accident occurred and how to prevent a similar accident from occurring in the future.

Record keeping and accident investigation best practices:

- Although the FMCSR's do not require an investigation report to be prepared for each collision, the motor carrier's file should include copies of any incident reports required by other agencies or by an insurance company, and any other relevant details or information relating the accident. This could include reports required by individual states or incident reports forwarded to insurance agents to report a claim.

- The FMCSR's require other documentation such as pre-trip inspection reports and daily tracking of hours of service. When an accident occurs, the motor carrier should ensure that detailed records are kept in an incident file in the event that a citation or lawsuit results.

- Although the FMCSR's only require a pre-trip inspection report to be kept for three months and documents required for hours of service for six months, it is important to note that a lawsuit or discovery request could be filed well after these time periods. As a best practice, motor carriers should retain these documents in an accident investigation file for a greater period of time than is required by the FMSCR's.



CHECKLIST FOR ACCIDENT INVESTIGATION – FORMS

COMPANY: _____ ACCIDENT REPORT NO.: _____
VEHICLE NO.: _____ VEHICLE DESCRIPTION: _____
DRIVER: _____ DRIVER ID. NO.: _____
DRIVER TELEPHONE: _____ ACCIDENT DATE: _____ ACCIDENT TIME: _____
ACCIDENT LOCATION: _____
HOME TERMINAL: _____ TELEPHONE: _____
E-MAIL: _____ FAX: _____
DRIVER STATUS (Check One): ___ Permanent ___ Union ___ For Hire, union ___ Temporary ___ Non-union ___ For Hire, non-union

INSTRUCTIONS: Identify each document required as part of this accident investigation by checking the "yes" or "no" boxes below. If "yes", record the date when each document has been correctly completed and returned to the accident investigation file. Items printed in red are specific for Department of Transportation regulatory compliance. Stock product forms are identified with the product code in parenthesis.

REQUIRED Y	REQUIRED N	DATE COMPLETED	DOCUMENT
☐	☐		Accident Records – Contacts (804-FS-C4)
☐	☐		Accident Call Record (803-FS-C5)
☐	☐		Driver's Report Kit (33-F)
☐	☐		Driver's Report at Accident Scene (33-F-2)
☐	☐		Witness Card(s) (33-F-3)
☐	☐		Exoneration Card (33-F-5)
☐	☐		Witness Statements (805-FS-C4)
☐	☐		Accident Scene Pictures (806-F)
☐	☐		Department of Transportation Hazardous Materials Incident Report (Form DOT F 5800.1) (530-F)
☐	☐		FMCSA-Accident Register (10-B)
☐	☐		Police Report
☐	☐		Insurance Company Report
☐	☐		Vehicle Damage/Repair Reports

REQUIRED Y	REQUIRED N	DATE COMPLETED	DOCUMENT
☐	☐		Settlements – Physical Injury
			1.
			2.
			3.
			4.
☐	☐		Settlements – Personal Property
			1.
			2.
			3.
			4.
☐	☐		Workers' Compensation
			1.
			2.
☐	☐		Other Company Reports
			1.
			2.
			3.

REPORTS FOR DRIVER'S CONFIDENTIAL FILE

If the driver is required to comply with the U.S. Department of Transportation Federal Motor Carrier Safety Regulation Part 382.303 regarding post-accident testing for alcohol and controlled substances, complete the following testing dates and contacts:

(1) Alcohol testing: Date: _____ Contact: _____ Telephone: _____
(2) Controlled substance testing: Date: _____ Contact: _____ Telephone: _____

CHECKLIST COMPLETED BY: _____ DATE: _____

803-FS-C4 3888 (Rev. 7/11)

ORIGINAL - ACCIDENT INVESTIGATION FILE