

## **Introduction and Regulatory Note:**

*While the Comprehensive Safety Analysis 2010 (CSA 2010) program does not involve new safety regulations, it does have a major impact on carriers and drivers.*

*CSA 2010 is the new method the Federal Motor Carrier Safety Administration (FMCSA) is using to track, monitor, evaluate, and intervene with motor carriers.*

*And for the first time, the FMCSA is directly tracking and monitoring driver safety performance.*

*What is being tracked and why? Carriers' and drivers' compliance with the existing safety regulations and crashes is what is being tracked. Why is it being tracked? To help reduce crashes that lead to injuries and fatalities.*

*Violations of the safety regulations found during roadside inspections and during FMCSA interventions (also known as audits) are used to locate noncompliant, and therefore, high risk carriers and drivers.*

*Violations of the safety regulations are tracked in seven Behavioral Analysis and Safety Improvement Categories (BASICS). If a carrier or driver has too many violations in one or more BASICS, or a few "high value violations" within a single BASIC, the carrier or driver could be subject to interventions. Interventions can include anything from a warning letter to a rather significant fine.*

*It is important for your drivers to understand that, from now on, **all** violations of the safety regulations discovered at the roadside or during an intervention will be counted against them and the carrier they are operating for.*

***Bottom line: Even though the CSA 2010 program does not create regulations that must be complied with, it is all about compliance; compliance with the existing safety regulations.***

## CSA 2010 Discussion Guide

This discussion guide is designed to help you conduct an effective training session on the CSA 2010 program. It concentrates on the four main components of CSA 2010:

- Data collection
- Safety measurement (using the seven BASICS)
- Safety evaluation
- Interventions.

This training is intended to help drivers understand how each of the components function, the results that can be expected from the safety measurement and safety evaluation systems, and how to *positively* influence the measurement and evaluation systems.

CSA 2010 truly is a comprehensive approach to safety in that it holds both the carrier and individual drivers responsible for compliance with the safety regulations. It is of utmost importance at the end of the training session that drivers understand the critical role CSA 2010 will play in the future for themselves and their employer.

### How to use this guide

Familiarize yourself with all of the information in this guide prior to conducting a training session and preview the DVD presentation, “*CSA 2010: A Driver’s Guide.*”

Take notes on any additional information you would like to cover during the training session.

Look for opportunities to customize the training or add to it. A simple suggestion is to have the company’s SafeStat or CSA 2010 scores available to view during training.

Use this discussion guide in order, as it follows the same sequence that is followed by the DVD and the CSA 2010 program (data collection, safety measurement, safety evaluation, and interventions).

### You will need:

- A quiet and comfortable training room.
- The DVD, “*CSA 2010: A Driver’s Guide.*”
- A DVD player and monitor.
- A chalkboard, dry erase board (whiteboard), easel with poster paper, or an overhead projector and screen (or wall space). This is optional, but during discussions taking notes may help drivers retain information or reinforce materials being covered in the discussion.

**ACTIVITY: Show the DVD presentation**

A good way to start the training session is to show the DVD presentation, “CSA 2010: A Driver’s Guide.” This will introduce participants to the CSA 2010 program and put them in the correct frame of mind to begin discussions on the topic.

**1. Preview the DVD presentation.**

It is highly recommended that you preview the DVD at least once before showing it to a group, and make notes on specific items or information you would like to call out for discussion after your drivers view the DVD presentation.

**2. Introduce the DVD presentation.**

It is important that you introduce the DVD presentation prior to showing it to your drivers. Remember that many of them may not be familiar with the CSA 2010 program, or even with the concept that the FMCSA tracks carrier and driver compliance with the safety regulations. The following is an example of an introduction:

*“This DVD presentation covers the CSA 2010 program the Federal Motor Carrier Safety Administration—the portion of the DOT that regulates motor carriers—uses to locate high-risk carriers and drivers. CSA 2010 tracks and evaluates carrier and driver compliance with the safety regulations to determine who is “high risk.”*

*Carriers and drivers found to be “high risk” by the data tracking, safety measurement, and safety evaluation mechanisms are subject to FMCSA interventions. These interventions are intended to get the carrier or driver to operate in compliance with the safety regulations, thereby reducing the risk that the carrier or driver will be involved in a crash.*

*As you are watching this DVD presentation, remember this: Drivers are subjected to the same data tracking, safety measurement, and safety evaluations as carriers are.”*

**3. Watch your drivers during the DVD presentation.**

Pay attention to your drivers’ reactions as they view the DVD presentation. Did they laugh during certain parts? Did they nod or shake their heads in disbelief during certain parts? Did a specific statement create a discussion in the room? Take notes on their reactions and the part of the DVD that caused the reaction so you can discuss it later.

Write any observations or notes here:

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#### 4. Talk about the DVD presentation.

Use notes from your preview of the DVD presentation and the driver observations/reactions you noted to address the points you want to emphasize or reinforce. Ask drivers about the reactions that you noted. Ask them:

- Were there any surprises in the DVD presentation?
- Do they understand the data collection system?
- Do they understand how the safety measurement system will assign a “value” to violations discovered at the roadside?
- Do they understand how the BASIC Measures and Scores are arrived at?
- Do they understand the significance of working at a company that has BASIC Scores high enough to warrant a FMCSA intervention?
- Do they understand the significance of having multiple violations in their personal data?

<b>ACTIVITY: Identify the data that is used by CSA 2010</b>
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This exercise is designed to assist drivers in understanding which safety-related events will show up in the data collection portion of the CSA 2010 program. The key is to emphasize that *all* violations noted on roadside inspection reports, regardless of follow-up actions taken by the officer (such as warnings and citations), will be placed into the CSA 2010 program.

##### 1. Speeding violation

**Scenario:** Fred is pulled over by a state trooper. The officer informs Fred that the reason for the stop was Fred was speeding. After conducting a Level 3 (driver only) inspection, the officer tells Fred that he is not going to give him a ticket, or even a warning for speeding. However, the officer notes that Fred was speeding on the roadside inspection report.

**Question for discussion:** Will the speeding violation get into the FMCSA data collection system?

**Answer:** Yes. Even though the officer did not ticket or formally warn Fred, he did note this safety violation on the roadside inspection report. *All* violations noted on inspection reports are collected and used by the FMCSA when evaluating carriers and drivers.

##### 2. Speeding ticket

**Scenario:** Betty is stopped by a city police officer in Nowhereville, Anystate. The officer writes Betty a ticket for exceeding the local speed limit by 15 miles per hour. Because the officer was not a MCSAP/CVSA trained officer, the officer did not do a CVSA inspection on Betty or the truck and did not write up an inspection report.

**Question for discussion:** Will the speeding violation get into the FMCSA data collection system?

**Answer:** No. Because a roadside inspection report was not completed, this safety violation will not make it into the FMCSA data collection system. However, the citation (and conviction) will be on Betty’s driver’s license.

**NOTE:** One point to drive home during this discussion is that the FMCSA data collection system collects and uses different data than the driver’s motor vehicle record (license). Only citations and convictions go onto the driver’s license, while only violations noted on roadside inspection reports go into the FMCSA data collection system.

### 3. Log violation

**Scenario:** During a roadside inspection at a scale, Mike is written up for “log not current” on the inspection report. The officer does not issue a ticket or even give Mike a warning, and as soon as his log is current, the officer allows Mike to continue on his way (he did not place Mike out of service).

**Question for discussion:** Will the “log not current” violation get into the FMCSA data collection system?

**Answer:** Yes. Use this discussion to reinforce that even though the officer did not ticket or formally warn the driver, he did note the violation on the roadside inspection report. **All** violations noted on inspection reports are collected and used by the FMCSA when evaluating carriers and drivers.

<b>ACTIVITY: Place the violation in the correct BASIC</b>
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#### 1. Discuss the BASICS.

Using a chalkboard, whiteboard, or poster board list the seven BASICS. While listing them, review the type of violations that will be placed into each of the BASICS.

List of BASICS (Behavioral Analysis and Safety Improvement Categories):

- **Unsafe Driving.** This BASIC contains moving violations noted on roadside inspection reports. Reinforce that violations noted on roadside inspection reports—not tickets or warnings—are used in the scoring of this BASIC.
- **Fatigued Driving.** This BASIC includes violations of the hours-of-service and record of duty status regulations, as well as operating a vehicle while ill or fatigued.
- **Driver Fitness.** This BASIC would be better termed the “driver qualifications” BASIC, as these are the type of violations that will be placed into this BASIC.
- **Controlled Substances and Alcohol.** This is possibly the most straight-forward of the BASICS. It includes violations of the controlled substances (drug) and alcohol regulations.
- **Vehicle Maintenance.** This BASIC is concerned with the mechanical equipment on the vehicle, the condition of the vehicle, and how well the vehicle is maintained.
- **Cargo Related.** This BASIC contains violations having to do with cargo securement and transporting hazardous materials. Most of the violations in this BASIC related to cargo securement are considered high-severity, so they really “hurt!”
- **Crash Indicator.** This BASIC tracks DOT recordable crashes. A DOT recordable crash is one in which there was an injury or fatality, or any vehicle had to be towed away from the scene due to disabling damage.

## 2. Assign the violations to the correct BASIC.

Once drivers are familiar with the BASICs, provide the following list of safety-related events and, as a group, determine which BASIC each event belongs in.

### List of safety-related events:

- Following too close violation (**Unsafe Driving**)
- Driving under the influence of alcohol (**Controlled Substances and Alcohol**)
- Improper class license (**Driver Fitness**)
- Cargo not secured (**Cargo Related**)
- Speeding (**Unsafe Driving**)
- No medical card (**Driver Fitness**)
- Log not current (**Fatigued Driving**)
- Flat tire or tire below tread depth minimum (**Vehicle Maintenance**)
- An accident involving three injuries (**Crash Indicator**)
- Improper turn (**Unsafe Driving**)
- Logging: General form and manner (**Fatigued Driving**)
- No emergency response information with shipment of hazmat (**Cargo Related**)
- Operating after suspension or revocation (**Driver Fitness**)
- Brake out of adjustment (**Vehicle Maintenance**)
- Operating over the 14-hour limit (**Fatigued Driving**)
- Multiple driver's licenses (**Driver Fitness**)
- Consuming alcohol within 4 hours of coming on duty (**Controlled Substances and Alcohol**)

*NOTE: During this discussion, be sure to emphasize that the violations are placed into the BASICs based on the regulatory section that is noted on the roadside inspection report.*

<b>ACTIVITY: Identify the “high value” violations</b>
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Using each BASIC, have drivers determine “high value” violations in each BASIC.

To start the discussion, explain the “severity weighting system” that the Safety Measurement System (SMS) in CSA 2010 uses. Violations are assigned a “value” as they are placed into the appropriate BASIC. The closer the violation’s relationship to crashes, the higher the severity weight, or value, it is given. Violations that do not have a direct relationship to crashes are given a value of 1, while violations that demonstrate a behavior likely to lead to a crash are given a higher value, as high as 10.

Be sure to note that crashes are different than violations, with the severity weighting for crashes based on injuries, fatalities, and the release of hazardous material (hazardous cargo). The highest severity weighting in the Crash Indicator BASIC is 3, for an injury or fatality accident that involved the release of hazardous material (hazardous cargo). The other extreme is a tow away accident with no injuries, no fatalities, or no release of hazardous cargo, which has a severity weighting of 1.

To assist in the discussion and provide examples, use two extreme examples such as “shipment document not listed on log” (which has a severity weighting of 1) and “operating under the influence of alcohol” (which has a severity weighting of 10).

When the discussion is completed, have drivers determine if the following violations are low severity (4 or less) or high severity (5 or more). Use a chalkboard, whiteboard, or poster board to record the outcome of the discussion.

- **Unsafe Driving BASIC**

- Following too close (**high**)
- Unauthorized passenger (**low**)
- Reckless driving (**high**)
- Failure to obey a traffic control device (**high**)
- Failure to stop at a railroad crossing when required (**high**)
- Failure to wear a seat belt in a commercial motor vehicle (**high**)
- Failure to use hazard flashers when required (**low**)
- Having a radar detector in a commercial motor vehicle (**high**)  
(NOTE: This is given a high severity weighting as it shows the driver’s desire to speed, which is a behavior that has a high severity value.)
- Failure to use caution for hazardous conditions (**high**)

- **Fatigued Driving BASIC**

- Operating while ill or fatigued (**high**)
- Operating over hours (**high**)
- Logging: General form and manner (**low**)
- No log (**high**)
- False log (**high**)
- Operating after being declared out of service for an hours-of-service violation (**high**)
- Failure to retain logs for 7 days (**high**)

- **Driver Fitness BASIC**
  - Operating a commercial motor vehicle with more than one driver's license (**high**)
  - Operating a commercial motor vehicle requiring a CDL without having a CDL (**high**)
  - Operating after being placed out of service for a driver's license violation (**high**)
  - Driving a commercial motor vehicle when officially disqualified (**high**)
  - No tank endorsement while operating a vehicle requiring it (**high**)
  - Interstate driver under age 21 (**low**)
  - No medical certificate in driver's possession (**low**)
- **Controlled Substances and Alcohol BASIC**
  - Violating an out-of-service order related to controlled substances or alcohol (**high**)
  - Driver use or possession of controlled substances (**high**)
  - Driver use, possession, or being under the influence of alcohol when on duty (**high**)
- **Vehicle Maintenance BASIC**
  - Inoperative headlight, taillight, brake light, or signal light (**high**)
  - Inoperative clearance or marker light (**low**)
  - Required light obscured (**high**)
  - Missing conspicuity tape or reflector (**low**)
  - Lights not steady burning (**high**)
  - Improper wiring protection (**low**)
  - Brake hose chafing (**low**)
  - Audible air leak (**low**)
  - Brake out of adjustment (**low**)
  - ABS malfunctioning (**low**)
  - Damaged windshield (**low**)
  - Flat tire or tire below tread depth limit (**high**)
  - Coupling device defects (**low**)
  - Wipers not functioning (**low**)
  - Speedometer inoperative (**low**)
  - Suspension system defects (**high**)
  - No warning devices (**low**)
  - Oil or grease leak (**low**)
  - Operating a commercial motor vehicle that has been declared out of service (**high**)
  - Operating a commercial motor vehicle not annually inspected (**low**)



- **Cargo Related BASIC**
  - No package orientation arrows when required (**low**)
  - Intermediate bulk container not secured (**high**)
  - Accepting and transporting hazardous materials not properly prepared (**low**)
  - No proper shipping papers for hazardous materials shipment (**low**)
  - Hazardous materials not secure (**high**)
  - Driver's view or movement obscured by cargo (**high**)
  - No flag on a projecting load (**low**)
  - No or improper load securement (**high**)
  - Failure to prevent cargo shifting (**high**)
  - Damaged securement device (**high**)
  - Hazardous materials routing violation (**low**)
- **Crash Indicator BASIC**
  - Tow away only accident (**low**)
  - Injury with release of hazardous materials (**high**)

**ACTIVITY: Assign a value to the violations**

**1. Determine the severity weighting for each violation.**

Using the safety-related events listed during the previous activity, provide drivers with the range of severity weighting values for all violations/events in each of the BASICs, and then have them assign the value to each violation/event in place of the simple “high” or “low” that they assigned in the previous exercise.

- **Unsafe Driving BASIC**

*Tell drivers the violation severity weightings used in this BASIC are 1, 5, and 10.*

  - Following too close (**5**)
  - Unauthorized passenger (**1**)
  - Reckless driving (**10**)
  - Failure to obey a traffic control device (**5**)
  - Failure to stop at a railroad crossing when required (**5**)
  - Failure to wear a seat belt in a commercial motor vehicle (**7**)
  - Failure to use hazard flashers when required (**1**)
  - Having a radar detector in a commercial motor vehicle (**5**)
  - Failure to use caution for hazardous conditions (**5**)

- **Fatigued Driving BASIC**

*Tell drivers the violation severity weightings used in this BASIC are 1, 2, 5, 7, and 10. In the discussion, be sure to mention that the severity weighting in this BASIC is increased by 2 if the driver was placed out of service.*

- Operating while ill or fatigued **(10)**
- Operating over hours **(7)**
- Form and manner **(2)**
- No log **(5)**
- False log **(7)**
- Operating after being declared out of service for an hours-of-service violation **(10)**
- Failure to retain logs for 7 days **(5)**

- **Driver Fitness BASIC**

*Tell drivers the violation severity weightings used in this BASIC are 1, 2, 3, 6 and 10. In the discussion, be sure to mention that the severity weighting in this BASIC is increased by 2 if the driver was placed out of service.*

- Operating a commercial motor vehicle with more than one driver's license **(8)**
- Operating a commercial motor vehicle requiring a CDL without having a CDL **(8)**
- Operating after being placed out of service for a driver's license violation **(10)**
- Driving a commercial motor vehicle when disqualified **(8)**
- No tank endorsement while operating a vehicle requiring it **(8)**
- Interstate driver under age 21 **(4)**
- No medical certificate in driver's possession **(1)**

- **Controlled Substances and Alcohol BASIC**

*Tell drivers that there are only two severity weightings used in this BASIC, 5 and 10.*

- Violating an out-of-service order related to controlled substances or alcohol **(10)**
- Driver use or possession of controlled substances **(10)**
- Driver use, possession, or being under the influence of alcohol when on duty **(5)**

- **Vehicle Maintenance BASIC**

*Tell drivers the violation severity weightings used in this BASIC are 1, 2, 3, 4, 5, 6, 7, 8 and 10. In the discussion, be sure to mention that the severity weighting in this BASIC is increased by 2 if the vehicle was placed out of service.*

- Inoperative headlight, taillight, brake light, or signal light (6)
- Inoperative clearance or marker light (2)
- Required light obscured (6)
- Missing conspicuity tape or reflector (3)
- Lights not steady burning (6)
- Improper wiring protection (3)
- Brake hose chafing (4)
- Audible air leak (4)
- Brake out of adjustment (4)
- ABS malfunctioning (4)  
*(NOTE: Most brake violations have a severity of 4.)*
- Damaged windshield (1)
- Flat tire or tire below tread depth limit (8)  
*(NOTE: Most tire violations have a severity of 8.)*
- Coupling device defects (3)
- Wipers not functioning (1)
- Speedometer inoperative (3)
- Suspension system defects (7)
- No warning devices (2)
- Oil or grease leak (3)
- Operating a vehicle that has been declared out of service (10)
- Operating a commercial motor vehicle not annually inspected (4)

- **Cargo Related BASIC**

*Tell drivers the violation severity weightings used in this BASIC are 1, 2, 7 and 10. In the discussion, be sure to mention that the severity weighting in this BASIC is increased by 2 if the vehicle was placed out of service.*

- No package orientation arrows when required (4)
- Intermediate bulk container not secured (10)  
*(NOTE: All improper securement violations are given a severity weighting of 10.)*
- Accepting and transporting hazardous materials not properly prepared (2)
- No proper shipping papers for hazardous materials shipment (3)
- Hazardous materials not secured (10)
- Driver's view or movement obscured by cargo (10)
- No flag on a projecting load (4)
- No or improper load securement (10)

- Failure to prevent cargo shifting (10)
- Damaged securement device (10)
- Hazardous materials routing violation (1)

- **Crash Indicator BASIC**

*Remind drivers of the severity weighting process for crashes (see page 6 for an explanation).*

- Tow away only accident (1)
- Injury with release of hazardous materials (3)

## 2. Time weighting violations and crashes.

It will be well worth each driver’s time for you to explain the process of “time weighting” violations and crashes. Make sure to mention that this is done to reward or punish carriers and drivers by placing more value on recent activities (or lack of activities). Using a chalkboard, whiteboard, or poster board, draw the table below to explain time weighting.

### Driver Time Weighting:

If the event took place...	The time weighting is...
Within the last 12 months	3
12 to 24 months ago	2
24 to 36 months ago	1

### Carrier Time Weighting:

If the event took place...	The time weighting is...
Within the last 6 months	3
6 to 12 months ago	2
12 months to 24 months ago	1

## 3. Determine total value for violations.

To determine the total value for each violation, multiply the total severity weighting by the time weighting. Use various examples from above or the examples provided below to guide the discussion. Please note that the examples use the **carrier time weighting** so that you can use actual FMCSA data for your company to support the examples.

1. A driver is placed out of service for an over hours violation in the last six months. The total value of the violation would be:

Severity weighting 7  
 + Out-of-service 2  
**Total severity weighting = 9**

**Time weighting = 3** (occurred in last six months)

**Total severity weighting (9) x Time weighting (3) = a total value of 27**  
 in the Fatigued Driving BASIC.

2. A driver receives a violation on an inspection report for an inoperative clearance light in the last six months. The total value of the violation would be:

Severity weighting 2  
+ Out-of-service 0 (not an out-of-service violation)  
**Total severity weighting = 2**

**Time weighting = 3** (occurred in last six months)

**Total severity weighting (2) x Time weighting (3) = a total value of 6**  
in the Vehicle Maintenance BASIC.

3. A driver received a violation for failure to exercise caution for hazardous conditions 9 months ago. The total value of the violation would be:

Severity weighting 5  
+ Out-of-service 0 (not an out-of-service violation)  
**Total severity weighting = 5**

**Time weighting = 2** (occurred between 6 and 12 months ago)

**Total severity weighting (5) x Time weighting (2) = a total value of 10**  
in the Unsafe Driving BASIC.

4. A driver received a violation for unsecured cargo 20 months ago. The total value of the violation would be:

Severity weighting 10  
+ Out-of-service 2  
**Total severity weighting = 12**

**Time weighting = 1** (occurred more than 12 months ago)

**Total severity weighting (12) x Time weighting (1) = a total value of 12**  
in the Cargo Related BASIC.

Following these examples, reinforce how “time weighting” changes the “value” of a violation. As an example of this, change the time weighting in the last example to reflect a violation in the last six months (rather than 20 months ago), as follows:

5. A driver received a violation for unsecured cargo in the last six months. The total value of the violation would be:

Severity weighting 10  
+ Out-of-service 2  
**Total severity weighting = 12**

**Time weighting = 3** (occurred in the last six months)

**Total severity weighting (12) x Time weighting (3) = a total value of 36**  
in the Cargo Related BASIC.

**NOTE: Make sure that drivers understand that *they* (as well as their carrier) are being scored. There is a carrier Safety Measurement System (SMS) and a driver SMS.**

Upon completion of this exercise, clarify that *all* violations are used by the CSA 2010 program to determine compliance. Therefore, all violations are to be avoided (a good inspection is one with no violations). However, due to the severity weighting of violations in the Safety Measurement System, the “high value” violations must be avoided at all costs. Review the “high value” violations in each BASIC, which are listed in the Driver Handbook.

<b>ACTIVITY: Discuss how BASIC Measures and BASIC Scores are determined</b>
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Explain that there are two different scoring systems within CSA 2010, one for drivers and one for carriers. The “BASIC Measure” and “BASIC Score” calculation for each is slightly different.

**For drivers:**

*NOTE: It may be helpful to diagram these formulas on a chalkboard, whiteboard, or poster board to clarify how this process works within CSA 2010.*

**How CSA 2010 determines a driver’s Unsafe Driving, Controlled Substances and Alcohol, and Crash Indicator BASIC Scores:**

- BASIC Measure = Total of violation or crash values in each BASIC
- BASIC Score = Percentile rank

All violation values in each of these BASICs are totaled, and this total is the driver’s BASIC Measure in each BASIC within the CSA 2010 system.

All drivers’ BASIC Measures in these BASICs are then compared to one another and a percentile rank is assigned within the CSA 2010 Safety Measurement System (SMS). The driver with the highest BASIC Measure will be 100, and the lowest 0, and all others drivers will be in between. This percentile rank is the driver’s BASIC Score.

**How CSA 2010 determines a driver’s Fatigued Driving, Driver Fitness, Vehicle Maintenance, and Cargo Related BASIC Scores:**

- BASIC Measure = Total of violation values/Total of relevant time weighted inspections
- BASIC Score = Percentile rank in peer group (peer group based on number of inspections)

The total of all violation values in each BASIC is divided by the total of all relevant time weighted inspections to determine the BASIC Measure.

In the Safety Measurement System (SMS) within CSA 2010, drivers are then compared to other drivers in “peer groups” (also referred to as “safety event groups”), based on the number of relevant inspections, and the drivers are assigned a percentile ranking inside the peer group. The driver with the highest BASIC Measure in the peer group will be 100, and the lowest 0, and all others in the peer group will be in between. This percentile ranking in the peer group is the driver’s BASIC Score.

*NOTE: The “relevant time weighted inspections” are driver inspections in the driver-related BASICs (Fatigued Driving and Driver Fitness) and vehicle inspections in the vehicle-related BASICs (Vehicle Maintenance and Cargo Related) that have been “time weighted” using the same time weighting tables shown on page 12. All inspections (including inspections with no violations) are time weighted and used in the Safety Measurement System (SMS).*

**Driver BASIC Measures and BASIC Scores will be confidential. Carriers and others will not be able to view driver BASIC Measures and BASIC Scores. These will only be available to FMCSA investigators and auditors.**

**For carriers:**

*NOTE: It may also be helpful, if time allows, to diagram these formulas on a chalkboard, whiteboard, or poster board to clarify how the process for carriers works differently than the process for drivers.*

**How CSA 2010 determines a carrier’s Unsafe Driving and Crash Indicator BASIC Scores:**

- BASIC Measure = Total of violation values/Reported number of power units x a utilization factor
- BASIC Score = Percentile ranking inside their peer group (peer group based on number of power units)

All violation and crash values for these BASICs are totaled and divided by the number of power units the carrier has reported to the FMCSA and a utilization factor, and the result is the BASIC Measure for these BASICs within the CSA 2010 system.

In the Safety Measurement System (SMS) within CSA 2010, carriers are then compared to other carriers in peer groups (also referred to as “safety event groups”), based on the number of inspections with an unsafe driving violation placed in the Unsafe Driving BASIC, and the number of crashes the carrier has been involved in during the past two years in the Crash BASIC. Carriers are then assigned percentile rankings inside their peer groups. The carrier with the highest BASIC Measure will be 100, and the lowest 0, and all others in the peer group will be in between. This percentile ranking in the peer group is the carrier’s BASIC Score.

**How CSA 2010 determines a carrier’s Fatigued Driving, Driver Fitness, Controlled Substances and Alcohol, Vehicle Maintenance, and Cargo Related BASIC Scores:**

- BASIC Measure = Total of violation values/Total of relevant time weighted inspections
- BASIC Score = Percentile rank in peer group (peer group based on number of inspections)

The total of all values in each BASIC is divided by the total of all relevant time weighted inspections to determine the BASIC Measure.

*NOTE: The “relevant time weighted inspections” are driver inspections in the driver-related BASICs (Fatigued Driving, Driver Fitness and Controlled Substances and Alcohol) and vehicle inspections in the vehicle-related BASICs (Vehicle Maintenance and Cargo Related) that have been time weighted using the same time weighting tables shown on page 12.*

Carriers are divided into peer groups, based on the number of relevant inspections they have undergone. Carriers are then compared to each other in their respective peer group using the same process discussed above to arrive at a BASIC Score.

**An important summary point:** While the driver and carrier BASIC Measure and BASIC Score systems are complicated and slightly different, the end result is the same. The BASIC Scores are simply a comparison of the driver's or carrier's safety performance to the safety performance of their peers.

<b>ACTIVITY: Discuss Safety Evaluation and Intervention processes</b>
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The Safety Evaluation process involves comparing carriers and drivers against predetermined “thresholds.” Carriers are subject to the following interventions if they have a BASIC Score that is above the “intervention threshold.” The intervention threshold is set based on the type of carrier (passenger carriers have the lowest intervention threshold, followed by hazardous materials carriers, and property carriers have the highest intervention threshold). List these interventions on a chalkboard, white board, or poster board:

- Warning letter
- Increased roadside enforcement
- Focused off-site investigation
- Focused on-site investigation
- Comprehensive review
- Cooperative safety plan
- Notice of violation
- Notice of claim, penalty and settlement agreement (*NOTE: Penalties are fines.*)

Explain that the interventions are not applied in steps. The exact intervention will depend on how far over the “intervention threshold” the carrier was, and what the carrier's intervention history has been.

<b><i>SPECIAL NOTE:</i></b> <i>One intervention that will be developed in the future is a Safety Evaluation called “Unfit.” Receiving the proposed “Unfit Determination” would require the carrier to immediately submit documentation to the FMCSA detailing how they intend to correct the safety deficiencies. If the carrier either does not submit documentation, or submits documentation and cannot get the deficiencies corrected, the carrier would be told to cease operations. The “Unfit Determination” would be reserved for carriers in the high 90th percentile (i.e., the “worst of the worst”).</i>
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Keep in mind that the “Unfit Determination” will require the FMCSA to pass new rules related to the “rating” of carriers and their auditing processes. As the rulemaking process can take anywhere from one to three years, this intervention is not anticipated to be in use until sometime in 2011. In the meantime, carriers that “fail” the Safety Evaluation (carriers that in the future would receive the “Unfit Determination”) will be subjected to the harshest intervention available.



***NOTE:** The driver evaluation and intervention systems have not been discussed at length by the FMCSA at this point. The FMCSA has stated that they would be using Notices of Violations and Notices of Claims (fines) when they encounter a driver with a high score. They will also be using driver scores as part of their “selection criteria” when selecting drivers for auditing during carrier interventions. In the future they could develop a driver evaluation and a complete driver intervention system (this would require rulemaking and cooperation of the states, as the states are the entity that issues licenses to drivers).*

<b>ACTIVITY: End the session with discussion of how to get favorable outcomes</b>
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To end the training session, discuss with your drivers what they can do to keep their BASIC Scores low, and therefore, their carrier’s BASIC Scores low. Guide the discussion and use a chalkboard, white board, or poster board to list the following as drivers bring them up:

- **Avoid roadside inspections violations** (especially high severity violations) by:
  - Driving legally and safely.
  - Knowing and understanding the safety regulations.
  - Keeping their log current and staying under the hours-of-service limits.
  - Keeping their driver qualifications current (driver’s license, medical card, etc.).
  - Inspecting the vehicle before operating, whenever parked, and at the end of the workday and immediately addressing any problems found.
  - Securing all cargo.
- **Avoid operating when fatigued, ill, or under the influence.**
- **Avoid accidents by driving compliantly, safely, and defensively.**



**CSA 2010: A Driver's Guide**  
**DVD/Quiz Answer Key**

1. **CSA 2010 stands for \_\_\_\_\_.**
  - A. Cooperative Safety Agreement 2010
  - B. Comprehensive Self Audit 2010
  - C. Comprehensive Safety Analysis 2010**
  - D. Cumulative Safety Analysis 2010
  
2. **Under the Safety Measurement component of CSA 2010, there are \_\_\_\_\_ BASICs, or Behavioral Analysis Safety Improvement Categories?**
  - A. Four
  - B. Five
  - C. Six
  - D. Seven**
  
3. **True or False? All violations will be severity weighted and time weighted.**
  - A. True**
  - B. False
  
4. **Data from roadside inspections and the resulting violations stay in the driver's database in CSA 2010 for:**
  - A. 12 months
  - B. 24 months
  - C. 36 months**
  - D. 48 months
  
5. **True or False? A normalizing factor is used to create a level comparison in the CSA 2010 system with other carriers and drivers.**
  - A. True**
  - B. False

6. When scores are entered into the database as part of the Safety Measurement System and compared to other drivers and carriers to determine any actions to be taken by the FMCA, this is called \_\_\_\_\_.
- A. Percentile ranking
  - B. Peer comparison**
  - C. Intervention
  - D. Severity weighting
7. True or False? FMCSA interventions apply only to carriers.
- A. True
  - B. False**
8. Which intervention requires a carrier to provide requested records to investigators when the carrier has a poor BASIC Score?
- A. A Focused Off-site Investigation**
  - B. A Focused On-site Investigation
  - C. A Comprehensive On-site Investigation
  - D. None of the above
9. True or False? You can appeal bad data or the outcome of an intervention.
- A. True**
  - B. False
10. How can you ensure that your CSA 2010 BASIC Scores are positive and that you're not on the receiving end of one of the FMCSA's intervention procedures?
- A. Have roadside inspections with no violations
  - B. Avoid high point violations
  - C. Reduce the number of crashes you're involved in
  - D. All of the above**