

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

We're
all in for
safety.

INSTRUCTIONS

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

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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#:	User ID:
U.S. DOT# PIN:	Password:
SUBMIT	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>

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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's a navigation bar with the SMS logo and links to A&I, CSA, SMS, CARRIER HOME, ADVANCED SEARCH, TOOLS, and HELP CENTER. Below the navigation bar, a welcome message is displayed. A blue box highlights the 'Document Upload Required' notification, which includes the investigation due date (1/19/2019) and a link to upload documents. To the right of this box, a 'Take Action' button is visible. Below the notification box, there's a section for 'U.S. DOT#' with fields for Address, Number of Vehicles, Number of Drivers, and Number of Inspections. To the right of this section, there are three columns of links and information: 'Dive right into your data' (View full SMS results, Review the Behavior Analysis and Safety Improvement Categories (BASICS), Watch Investigation Video), 'Learn how you can improve your data' (Understand FMCSA regulations, How safety Management Cycles Build Safety Cultures), and 'Understand your SMS results' (BASICS at Alert, Your [XXX] BASIC has a score of [XXX], The threshold for this BASIC is [XXX], Review More Details available below, or click here to see full SMS results, Receive a warning Letter?, Improve your safety performance).

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Upload Documents

Consent Agreement

Document Upload

Document History

CHOOSE YOUR UPLOAD METHOD

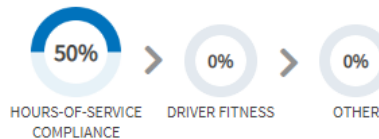
Upload documents by selecting your preferred method of **fax** or **upload**. If you **do not have** a requested document, you can indicate you do not have it by selecting "Do Not Have" and providing a detailed explanation. If you are required to provide Records of Duty Status, an Electronic Logging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



Download Template

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



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 indicate you do not 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.

*Note: If you fax your documents, you must use the fax cover sheet, provided when you click the "Fax" button. Fax cover sheets contain bar codes that will automatically assign the fax to the document requested.

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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.



REVIEW/REPLACE

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 Offsite Investigation may subject you to prosecution for violation of Federal law punishable by a fine of not more than \$10,000 or imprisonment of not more than 5 years, or both (18 United States Code 1001).

☐ 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

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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."

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

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

Investigation
Due Date: 1/19/2019
Document Requiring Revision

U.S. DOT#:
Address:
Number of Vehicles:
Number of Drivers:
Number of Inspections:

Dive right into your data
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Watch Investigation Video

Learn how you can improve your data
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Understand your SMS results
■ BASICS at Alert
• Your [000] BASIC has a score of [000]
• The threshold for this BASIC is [000]
■ Review More Details available below, or click here to see full SMS results
■ Receive a warning Letter?
• Improve your safety performance

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