Minimizing Risk
Through DOT Compliance,
Screening & Safety

Presented by:
Tony Cardamone, Vice President of Sales & Marketing
Overview: Today’s Topics

- Drug Testing Programs DOT/ NON-DOT
- DOT Supervisor Training
- Medical Examinations
- Hire the Right People: Pre-Employment Screening
- Driver Qualification Files
- CSA Scores & Review
- Motor Vehicle Records
Companies need to protect themselves from:

- Bad Employees
- The Government
- Themselves
Drug and Alcohol Testing

- Pre-Employment
- Random
- Post Accident
- Reasonable Suspicion
Creating a D & A Policy
Policies should contain..

- Statement of Purpose – Safety! Safety! Safety!
- Definitions, Interpretation & Guidance
- Application of Policy – Who Can be Tested
- When Testing May Occur
- How is Testing to be Conducted
- Prohibited Conduct
Continued…

- Consequences of Prohibited Conduct including Discipline
- Referral, Evaluation & Treatment
- Employee Rights, Confidentiality, Education & Training
- Disclaimer of Employment
DOT Regulations

- Rule, 49 CFR Part 40
- (50/10) The US DOT requires that:
  - 50% of your Drivers are selected for Random Drug Testing
  - 10% of your drivers are selected for Alcohol each year.
Program Administration

- Due to volume of work Safety Managers are asked to handle on a daily basis, Concorde has developed a web-based system, SMART, that allows you to view test results, print reports, and run year-end Audits on your driver pools right from your computer.

  - Program Oversight
  - MIS Reports
  - Results Reporting
  - Software
Drug & Alcohol Record Keeping

Testing Activity

Customer: Concorde, Inc
Reason for test: All
Test results: Any
Period: Collected from 1/1/2013 to 2/28/2013

<table>
<thead>
<tr>
<th>Reason for Test</th>
<th>Totals</th>
<th>Negatives</th>
<th>Negative Dilute</th>
<th>Positives</th>
<th>Refusals</th>
<th>Cancelled</th>
<th>Recollection Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>All</td>
<td>12</td>
<td>10</td>
<td></td>
<td>3</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Random</td>
<td>13</td>
<td>10</td>
<td></td>
<td>3</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Location: CONCORDE BLIND ACCOUNT - ATN

<table>
<thead>
<tr>
<th>Collection Date</th>
<th>Reported Date</th>
<th>Chain of Custody</th>
<th>Donor Name</th>
<th>SSN/ID</th>
<th>Test Result</th>
<th>Reason for Test</th>
<th>Testing Authority</th>
<th>Request Change</th>
<th>LOV COC</th>
</tr>
</thead>
<tbody>
<tr>
<td>02/01/2013</td>
<td>02/12/2013</td>
<td>116525320</td>
<td>SPECIMEN, BLIND</td>
<td>****4111</td>
<td>Positive</td>
<td>Urine Random</td>
<td>FMCSA Submit Forms</td>
<td></td>
<td></td>
</tr>
<tr>
<td>02/01/2013</td>
<td>02/06/2013</td>
<td>116525319</td>
<td>SPECIMEN, BLIND</td>
<td>****2030</td>
<td>Positive</td>
<td>Urine Random</td>
<td>FMCSA Submit Forms</td>
<td></td>
<td></td>
</tr>
<tr>
<td>02/01/2013</td>
<td>02/19/2013</td>
<td>116525318</td>
<td>SPECIMEN, BLIND</td>
<td>****2010</td>
<td>Positive</td>
<td>Urine Random</td>
<td>FMCSA Submit Forms</td>
<td></td>
<td></td>
</tr>
<tr>
<td>02/01/2013</td>
<td>02/04/2013</td>
<td>116525321</td>
<td>SPECIMEN, BLIND</td>
<td>****2100 Negative</td>
<td>Positive</td>
<td>Urine Random</td>
<td>FMCSA Submit Forms</td>
<td></td>
<td></td>
</tr>
<tr>
<td>02/01/2013</td>
<td>02/06/2013</td>
<td>116525322</td>
<td>SPECIMEN, BLIND</td>
<td>****2111 Negative</td>
<td>Positive</td>
<td>Urine Random</td>
<td>FMCSA Submit Forms</td>
<td></td>
<td></td>
</tr>
<tr>
<td>02/01/2013</td>
<td>02/02/2013</td>
<td>116525323</td>
<td>SPECIMEN, BLIND</td>
<td>****2000 Negative</td>
<td>Positive</td>
<td>Urine Random</td>
<td>FMCSA Submit Forms</td>
<td></td>
<td></td>
</tr>
<tr>
<td>02/01/2013</td>
<td>02/04/2013</td>
<td>116525324</td>
<td>SPECIMEN, BLIND</td>
<td>****2012 Negative</td>
<td>Positive</td>
<td>Urine Random</td>
<td>FMCSA Submit Forms</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
NON-DOT Testing
Keep a drug and Alcohol Free Work Place

- Review (or development) of a Company substance abuse policy.
- Launch of a drug-free workplace program.
- Implementation of drug testing procedures (collection locations, specimen type, panel-type, results reporting, and training to name a few)
The Federal Government requires employers to ensure that CDL driver supervisors receive at least 60 minutes of training on alcohol misuse and 60 minutes of training on controlled substance abuse.

- **Session Topics and Issues**
  - Determining reasonable suspicion.
  - Recognizing warning signs of substance abuse.
  - Understanding of DOT requirements.
  - Techniques for handling confrontation.
  - Defense against grievances.
  - Learning how to avoid the "traps" that could get a supervisor in trouble.
Medical Examinations
The US Department of Transportation has modified the method by which DOT regulated drivers under FMCSA obtain their medical qualifications: beginning in 2014, drivers/employers must use: **CERTIFIED physicians, physician assistants, and/or nurse practitioners to complete medical examinations**

- Compliance date is May 21, 2014
- See 49 CFR Parts 350, 390, and 391
Visiting the DOT Website

The National Registry of Certified Medical Examiners (National Registry) is a new Federal Motor Carrier Safety Administration (FMCSA) program. All commercial drivers whose current medical certificate expires on or after May 21, 2014, at expiration of that certificate must be examined by a medical professional listed on the National Registry of Certified Medical Examiners. Only medical examiners that have completed training and successfully passed a test on FMCSA’s physical qualification standards will be listed on the National Registry.
Ordering Certified Medical Examinations through DQ-it

Click Order Exams
Human eyes will check for accuracy including:

- Verify Doctor is on the DOT list the day of the exam
- Certified Medical Examiner Signature
- Checked boxes and missing data such as BP, Pulse, etc.
- Driver signature
- Missing or inaccurate dates
- Check examination against DOT medical standards
- Return exams with errors to medical provider for correction or completion
- Follow up
- Store (or not store) long form medical review
Capability Exams

Can the employee safely do the job?
Pre-Employment Screening

Driver Qualification File Management
Pre-Employment Screening

- Minimize Negligent Hiring/Retention Claims
- Save Time and Money Resulting from Wrong Hires
- Safer Workplace – Minimize Workplace Violence
- Minimize Sexual Harassment
- Make Employment Decisions on Fact, Not Guesses
- Individuals with Something to Hide May Be Less Likely to Apply
Types of Searches

- Address & Social Security Number Verification
- Credit Reports
- Motor Vehicle Services
- Pre-Employment Screening Program (PSP)
- Multi-Jurisdictional Criminal Database + Sex Offender Registry Search
- Statewide Criminal
- County Criminal
- Federal Criminal

Driver Qualification File Management
Types of Searches Continued

- Employment Verification
- Education / Degree Verification
- Professional License Check
- Professional Reference

- I-9 Compliance Service E-Verify
- Workers Compensation Search
- Consent Based Social Security Validation (CBSV)
Legal Requirements – FCRA

Requirements and Forms:

- Agreement between CRA and Employer
- Authorization and Disclosure
- Pre-Adverse Action Notice
- Final Adverse Action Notice
- Federal Consumer Financial Protection Bureau
  Summary of Rights
Recommendations

- Finish Screening Before Hiring
- Decide Level Of Screening For Each Job
- Review All Job Application Info Carefully
- Get Written Authorization To Check All Application Data
- Check All Application Data
- Establish Disqualification Criteria
- Consult Employment Counsel When In Doubt
Driver Qualification File Management
Driver Qualification File

- **Required Documents**

  - **Driver History Investigation**
    - Fair Credit Reporting Act Authorization form (FCRA)
    - Investigation of Prior Employment

  - **Driver Qualification File 391.5**
    - Application for employment
    - Certificate of Road Test
    - Driver’s Annual Certificate of Violations
    - Supervisor’s Annual Review
    - Driver’s License
    - Initial Motor Vehicle Record
    - Medical Examiner’s Certificate
    - Motor Vehicle Record
Driver Qualification File

- Other Commonly Stored Files
  - Drug & Alcohol
    - Drug & Alcohol Policy Receipt
    - Pre-Employment Drug Test Result
  - Other Documents
    - Certificate of Compliance with single Driver’s License
    - Initial Statement of On-Duty Hours
    - Receipt of FMCSR
Methods of Tracking Documents
Desktop Storage Method
Manila Folders and Filing Cabinet Method
Electronic Document Storage
Electronic DQ File Storage

Driver File

Benny Boarderline
Employee
600-11-0226
Site 1
5 Chestnut St
Philadelphia, PA 80809
Phone: (468) 565-5555

Order MVR

You can easily submit driver document updates by scanning the documents to Adobe PDF files and uploading them directly to the driver's profile. If you cannot submit PDF files, you can print automatic Fax Cover Sheets and send us the pages via your fax machine. If this is a new driver submission choose that option. Please select which option applies to the documents you have.

Upload It
Click Here

Email It
Click Here

Fax It
Click Here

New Driver
Click Here

CSA HISTORY

EXPIRED ITEMS
Drivers Annual Certificate of Violations
Overdue: 453 days / Expires: 1 Sep 2011

Medical Examiners Certificate
Overdue: 186 days / Expires: 16 Jun 2012

Motor Vehicle Record
Overdue: 134 days / Expires: 18 Aug 2012

Supervisors Annual Review
Overdue: 463 days / Expires: 1 Sep 2011

MISSING & PROBLEM DOCUMENTS
Certificate of Road Test
Missing Item

Initial MVR
Missing Item

Drug & Alcohol Policy Acknow.
Missing Item

Driver History Investigation

Driver Qualification File Management
Document Report Generation
Manual Search Methods
Electronic Report Generation

Select Report Type

- Expiration Report
- 15 days - Urgent Reminder
- 30 days - Reminder
- 60 days - First notice
- Past Due Items + 15 days (Urgent Reminder)
- Past Due Items + 30 days (Reminder)
- Past Due Items + 60 days (First notice)
- Create as Microsoft Excel Spreadsheet
- Include all sub-companies in the hierarchy

Select Site and Generate Report

Select Company from the List

Submit
# Document Expiration Report

## Employees of Site 1 with Past Due Items

<table>
<thead>
<tr>
<th>Employee</th>
<th>SSN</th>
<th>Item</th>
<th>Item Status</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Boarderline, Benny</td>
<td>*<strong>-</strong>-0026</td>
<td>Driver Annual Certificate of Violations</td>
<td>Document Present</td>
<td>9/1/2011</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Medical Examiners Certificate</td>
<td>Document Present</td>
<td>6/15/2012</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Motor Vehicle Record</td>
<td>Document Present</td>
<td>8/15/2012</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Supervisors Annual Review</td>
<td>Document Present</td>
<td>9/1/2011</td>
</tr>
<tr>
<td>Notsomuch, Nick</td>
<td>*<strong>-</strong>-0024</td>
<td>Driver Annual Certificate of Violations</td>
<td>Empty</td>
<td>2/10/2011</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Drivers License</td>
<td>Empty</td>
<td>2/10/2011</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Medical Examiners Certificate</td>
<td>Document Present</td>
<td>5/15/2011</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Motor Vehicle Record</td>
<td>Document Present</td>
<td>9/1/2011</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Supervisors Annual Review</td>
<td>Empty</td>
<td>2/10/2011</td>
</tr>
</tbody>
</table>
Audit Preparation
Document Archive
Audit Preparation
Electronic Audit Preparation
Temporary User

Welcome: AmandaBlase

Fri - Jan 18, 2013

DQ-IT is now MOBILE on your smart phone... Click to watch the Overview.

Generate Employee Login

User Generated Successfully

User Name 32913478173
Password 78QZ78CC

This User Name And Password Is Valid For ONE Login Time Only.

Please Record This User Name And Password At This Time.
Electronic Document Storage

- Off-Site Backup. (Off Your Site)
- Secure Data Center
- Redundant Server Components
- Back Up To Disk and Tape
- Off-Site Backup (Off Our Site).
Compliance Safety Accountability
What is CSA?

- CSA is a new FMCSA safety program to improve large truck and bus safety and ultimately prevent crashes, injuries, and fatalities.

- New enforcement and compliance model that allows FMCSA and its State Partners to contact more carriers earlier in order to address safety deficiencies before crashes occur.

- The program establishes a new nationwide system for making the roads safer for motor carriers.

- CSA affects carriers subject to the Federal Motor Carrier Safety Regulations (FMCSRs), carriers transporting passengers or cargo in interstate commerce, and carriers of hazardous materials in intrastate commerce, but may also include carriers whose State requires that they obtain a U.S. DOT Number.
The Safety Measurement System (SMS) evaluates the safety of individual motor carriers by considering all safety-based roadside inspection violations, not just out-of-service violations, as well as State-reported crashes, using 24 months of performance data.

Safety matters
Let’s Get Down to the BASICS

- **Unsafe Driving:** Operation of commercial motor vehicles (CMVs) by drivers in a dangerous or careless manner. Example: Speeding and improper lane change.

- **Hours-of-Service:** Operation by CMVs who are ill, fatigued, or in noncompliance with HOS regulations. View FMCSR PARTS 392 and 395.

- **Driver Fitness:** Operation of CMVs by drivers who are unfit to operate due to lack of training, experience, or medical qualifications. Example: Failure to have a valid and appropriate Driver’s License.

- **Controlled Substances/Alcohol:** Operation of CMVs by drivers who are impaired due to alcohol, illegal drugs, and misuse of prescription or over-the-counter medications. Further information view FMCSR Parts 382 and 392)
BASICS continued

- **Vehicle Maintenance:** Failure to properly maintain a CMV and prevent shifting loads. Example: brakes, lights, and other mechanicals defect's. View FMCSR Parts 392, 393, and 396.


- **Crash Indicator:** Histories or patterns of high crash involvement, including frequency and severity. It is based on information from State-reported crashes.
CSA Research and Review at the FMCSA Website
Electronic Filtering of CSA Data
CSA History – Driver Level

Driver Qualification File Management
# CSA Scores – Company Wide

![Image of CSA Scores dashboard]

**Click for Advanced Details**

<table>
<thead>
<tr>
<th>DOT Name</th>
<th>DOT #</th>
<th>Unsafe Driving</th>
<th>HOS Compliance</th>
<th>Driver Fitness</th>
<th>Controlled Substances</th>
<th>Vehicle Maintenance</th>
<th>HM Compliance</th>
<th>Crash Indicator</th>
<th>Total Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Demo DOT</td>
<td>101002</td>
<td>32.5%</td>
<td>18.8%</td>
<td>26.3%</td>
<td>14.8%</td>
<td>45.7%</td>
<td>81.0%</td>
<td>40.4%</td>
<td></td>
</tr>
</tbody>
</table>

**Inscriptions/Crashes with Violations & Points**

<table>
<thead>
<tr>
<th>DOT Name</th>
<th>DOT #</th>
<th>Unsafe Driving</th>
<th>HOS Compliance</th>
<th>Driver Fitness</th>
<th>Controlled Substances</th>
<th>Vehicle Maintenance</th>
<th>HM Compliance</th>
<th>Crash Indicator</th>
<th>Total Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Demo DOT</td>
<td>101002</td>
<td>1 I 3</td>
<td>1 I 5</td>
<td>44</td>
<td>3 I 6</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Features**

- CSA Compliance Scores
- DOT Name
- DOT #
- Unsafe Driving (BASICs Thresholds)
- HOS Compliance (65%)
- Driver Fitness (85%)
- Controlled Substances (80%)
- Vehicle Maintenance (80%)
- HM Compliance (80%)
- Crash Indicator (65%)

**Advanced Details**

- Click to watch the Overview

**DQ-it**

**Driver Qualification File Management**
MVRs

- Pre-Employment
- DOT Annual
- MVR Monitoring
The “Phone in MVR Order” Method.
The “Logging In” Method.
One Click Electronic MVR Ordering

Click

Driver File

Nick Notsomuch
Employee
000-11-0024
Site 1
1 Walnut St
Philadelphia, PA 29999
Phone: (308) 666-9999

You can easily submit driver document updates by scanning the documents to Adobe PDF files and uploading them directly to the driver's profile. If you cannot submit PDF files, you can print automatic Fax Cover Sheets and send us the pages via your fax machine. If this is a new driver submission choose that option. Please select which option applies to the documents you have.

Upload It
Click Here

Email It
Click Here

Fax It
Click Here

New Driver
Click Here
Questions and Answers
Further Questions or Inquiries Please reach me at:
Office: (215) 523-8898
Cell: (610) 999-5555
Tony@concorde2000.com