CONCORDE
INC.

Minimizing Risk Through DOT Compliance, Screening & Safety

Presented by:
Tony Cardamone, *Vice President of Sales & Marketing*

CONCORDE INC.
COMPLIANCE | SCREENING | SAFETY

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

DQ-it + CSA

Driver Qualification File Management

National Waste & Recycling Association℠
Collect. Recycle. Innovate.
Member Savings Program Participant

Companies need to protect themselves from:

- Bad Employees
- The Government
- Themselves

Drug and Alcohol Testing

- Pre-Employment
- Random
- Post Accident
- Reasonable Suspicion

COMPLIANCE | SCREENING | SAFETY

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

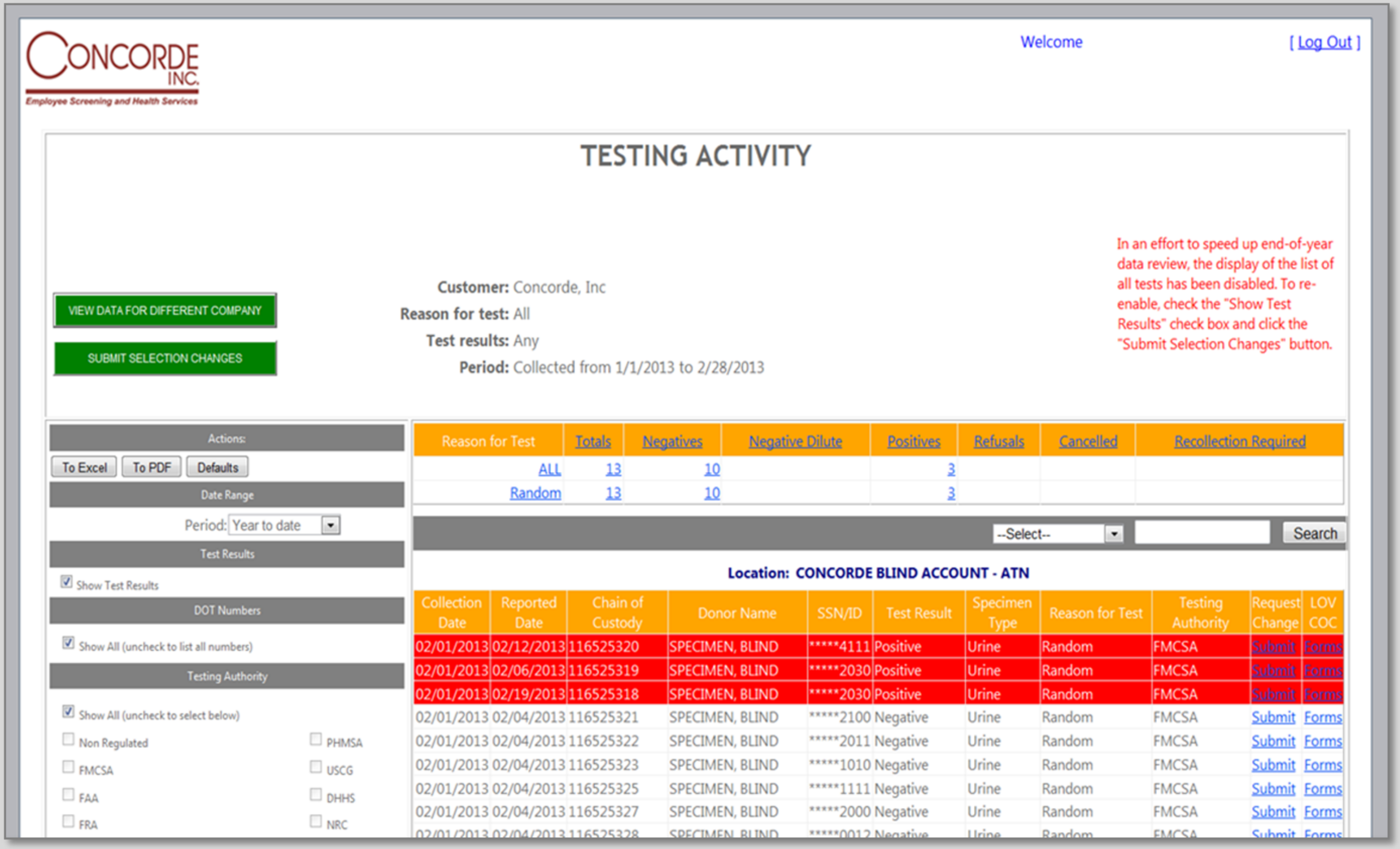
DOT Regulations

- 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

In an effort to speed up end-of-year data review, the display of the list of all tests has been disabled. To re-enable, check the "Show Test Results" check box and click the "Submit Selection Changes" button.

Date Range

Period: Year to date

Test Results

☑ Show Test Results

DOT Numbers

☑ Show All (uncheck to list all numbers)

Testing Authority

☑ Show All (uncheck to select below)

☐ Non Regulated ☐ PHMSA
☐ FMCSA ☐ USCG
☐ FAA ☐ DHHS
☐ FRA ☐ NRC

Reason for Test	Totals	Negatives	Negative Dilute	Positives	Refusals	Cancelled	Recollection Required
ALL	13	10		3			
Random	13	10		3			

Location: CONCORDE BLIND ACCOUNT - ATN

Collection Date	Reported Date	Chain of Custody	Donor Name	SSN/ID	Test Result	Specimen Type	Reason for Test	Testing Authority	Request Change	LOV COC
02/01/2013	02/12/2013	116525320	SPECIMEN, BLIND	*****4111	Positive	Urine	Random	FMCSA	Submit	Forms
02/01/2013	02/06/2013	116525319	SPECIMEN, BLIND	*****2030	Positive	Urine	Random	FMCSA	Submit	Forms
02/01/2013	02/19/2013	116525318	SPECIMEN, BLIND	*****2030	Positive	Urine	Random	FMCSA	Submit	Forms
02/01/2013	02/04/2013	116525321	SPECIMEN, BLIND	*****2100	Negative	Urine	Random	FMCSA	Submit	Forms
02/01/2013	02/04/2013	116525322	SPECIMEN, BLIND	*****2011	Negative	Urine	Random	FMCSA	Submit	Forms
02/01/2013	02/04/2013	116525323	SPECIMEN, BLIND	*****1010	Negative	Urine	Random	FMCSA	Submit	Forms
02/01/2013	02/04/2013	116525325	SPECIMEN, BLIND	*****1111	Negative	Urine	Random	FMCSA	Submit	Forms
02/01/2013	02/04/2013	116525327	SPECIMEN, BLIND	*****2000	Negative	Urine	Random	FMCSA	Submit	Forms
02/01/2013	02/04/2013	116525328	SPECIMEN, BLIND	*****0012	Negative	Urine	Random	FMCSA	Submit	Forms

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)

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DOT Supervisor Training

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Driver Qualification File Management

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DOT Supervisor Training

- 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.

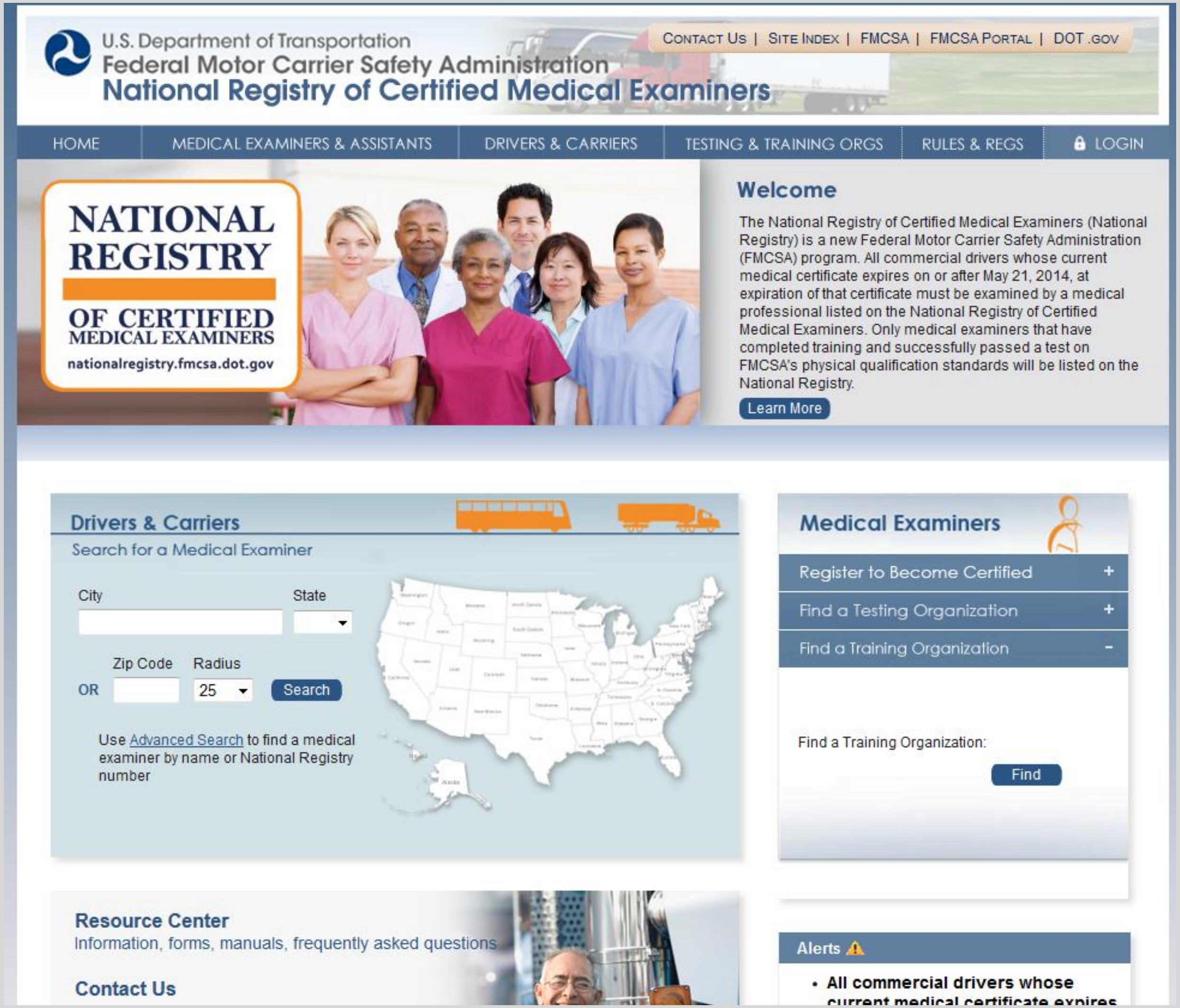
Medical Examinations

DOT – CME Regulation

- 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


U.S. Department of Transportation
Federal Motor Carrier Safety Administration
National Registry of Certified Medical Examiners
Contact Us | Site Index | FMCSA | FMCSA Portal | DOT .gov
HOME
MEDICAL EXAMINERS & ASSISTANTS
DRIVERS & CARRIERS
TESTING & TRAINING ORGS
RULES & REGS
LOGIN
NATIONAL REGISTRY
OF CERTIFIED MEDICAL EXAMINERS
nationalregistry.fmcsa.dot.gov

Welcome

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.

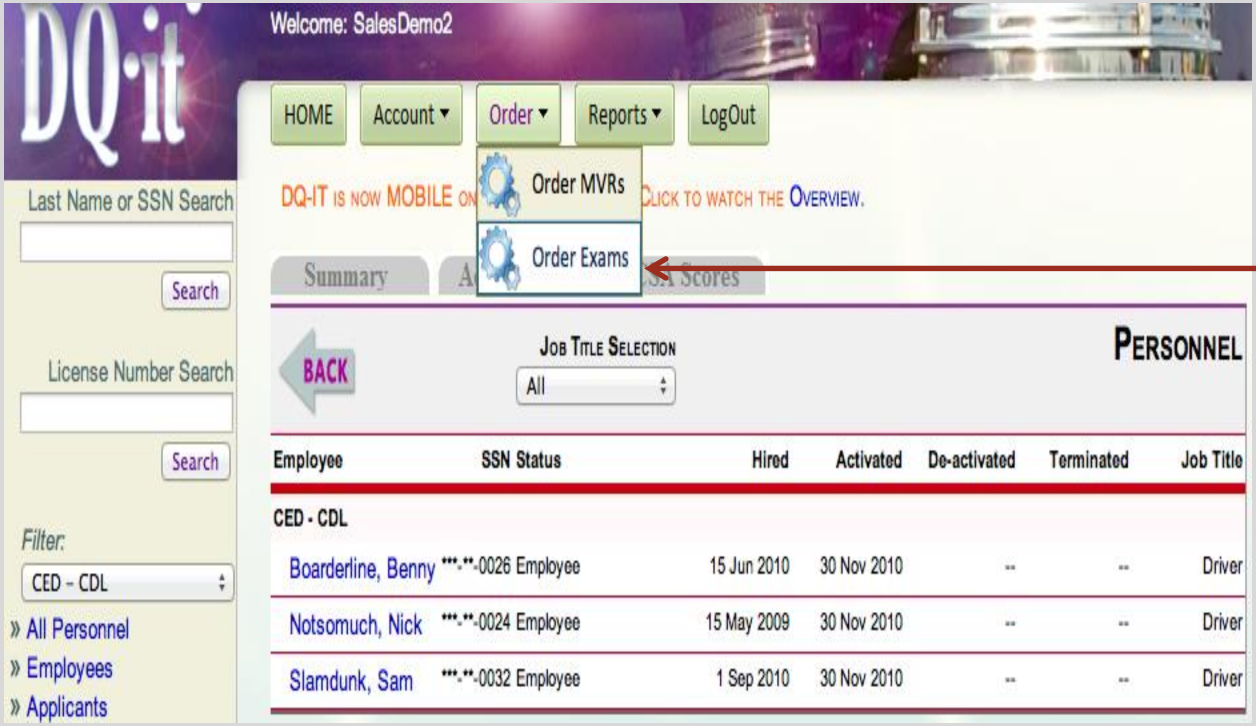
Learn More
Drivers & Carriers
Search for a Medical Examiner
City
State
OR
Zip Code
Radius
25
Search

Use Advanced Search to find a medical examiner by name or National Registry number

Medical Examiners
Register to Become Certified +
Find a Testing Organization +
Find a Training Organization -
Find a Training Organization:
Find
Resource Center
Information, forms, manuals, frequently asked questions
Contact Us
Alerts

- All commercial drivers whose current medical certificate expires

Ordering Certified Medical Examinations through DQ-it


DQ·it
Welcome: SalesDemo2
HOME
Account ▾
Order ▾
Reports ▾
LogOut
Order MVRs
Order Exams
Last Name or SSN Search
Search
License Number Search
Search
DQ-IT IS NOW MOBILE ON
CLICK TO WATCH THE OVERVIEW.
Summary
A
SA Scores
BACK
JOB TITLE SELECTION
All
PERSONNEL
Filter:
CED - CDL
» All Personnel
» Employees
» Applicants

Employee	SSN	Status	Hired	Activated	De-activated	Terminated	Job Title
CED - CDL							
Boarderline, Benny	***-**-0026	Employee	15 Jun 2010	30 Nov 2010	--	--	Driver
Notsomuch, Nick	***-**-0024	Employee	15 May 2009	30 Nov 2010	--	--	Driver
Slamdunk, Sam	***-**-0032	Employee	1 Sep 2010	30 Nov 2010	--	--	Driver

Click Order Exams

Quality Assurance Review

- 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?

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Pre-Employment Screening

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Driver Qualification File Management

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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

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

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Methods of Tracking Documents

Desktop Storage Method

Manila Folders and Filing Cabinet Method

Various NMR Tech
M2 Tetramer
Protein NMR
Manuscripts
SAMPLE PREP + ANALYSIS
Sample Prep
PAPERS REPRINTS

Electronic Document Storage

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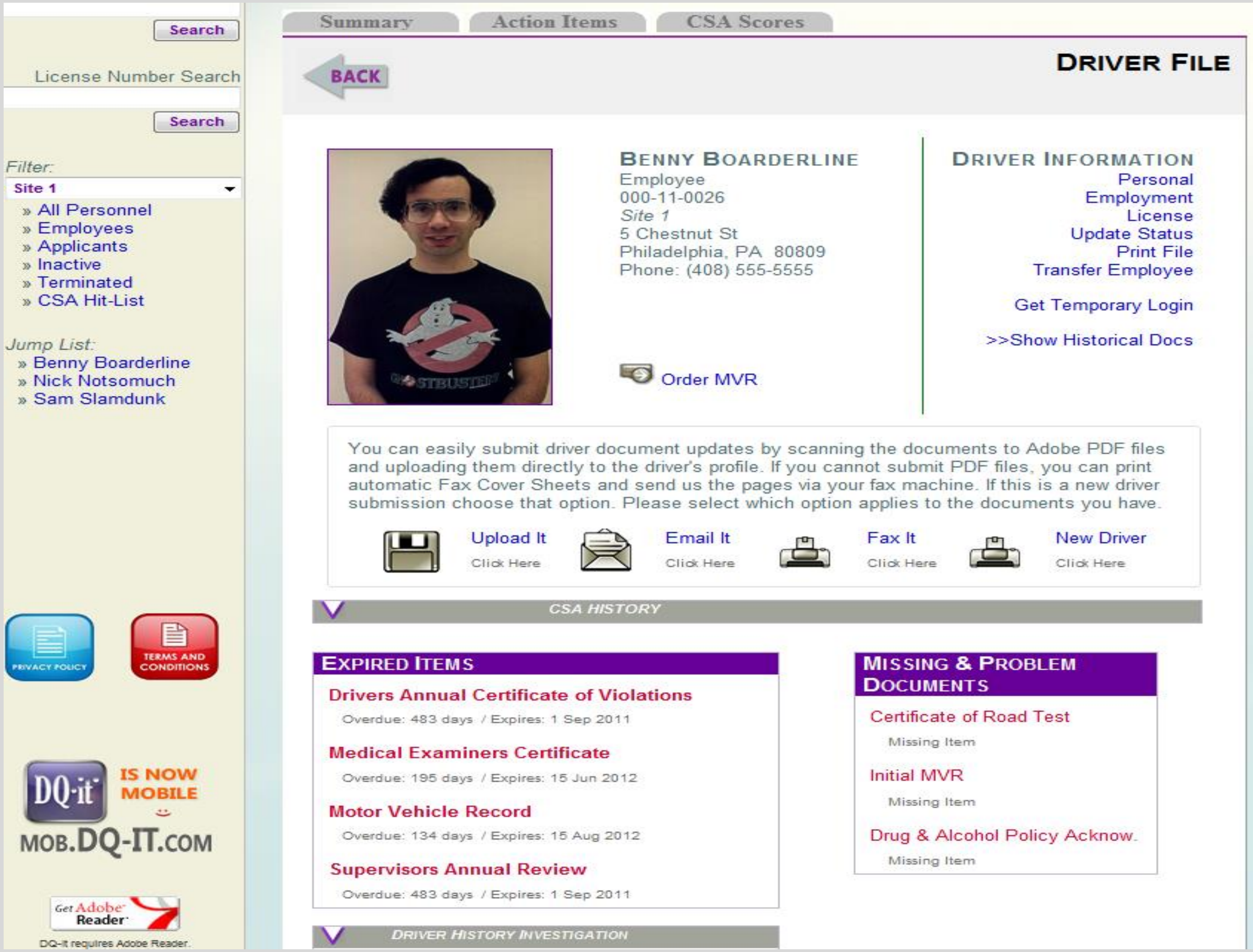
Electronic DQ File Storage


Search
License Number Search
Search
Filter:
Site 1
» All Personnel
» Employees
» Applicants
» Inactive
» Terminated
» CSA Hit-List
Jump List:
» Benny Boarderline
» Nick Notsomuch
» Sam Slamdunk
PRIVACY POLICY
TERMS AND CONDITIONS
DQ-it IS NOW MOBILE
MOB.DQ-IT.COM
Get Adobe Reader
DQ-it requires Adobe Reader.
Summary
Action Items
CSA Scores
BACK
DRIVER FILE
Order MVR
DRIVER INFORMATION
Personal
Employment
License
Update Status
Print File
Transfer Employee
Get Temporary Login
>>Show Historical Docs
Upload It
Click Here
Email It
Click Here
Fax It
Click Here
New Driver
Click Here
CSA HISTORY
DRIVER HISTORY INVESTIGATION

BENNY BOARDERLINE
Employee
000-11-0026
Site 1
5 Chestnut St
Philadelphia, PA 80809
Phone: (408) 555-5555

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.

EXPIRED ITEMS

Drivers Annual Certificate of Violations
Overdue: 483 days / Expires: 1 Sep 2011

Medical Examiners Certificate
Overdue: 195 days / Expires: 15 Jun 2012

Motor Vehicle Record
Overdue: 134 days / Expires: 15 Aug 2012

Supervisors Annual Review
Overdue: 483 days / Expires: 1 Sep 2011

MISSING & PROBLEM DOCUMENTS

Certificate of Road Test
Missing Item

Initial MVR
Missing Item

Drug & Alcohol Policy Acknow.
Missing Item

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Driver Qualification File Management

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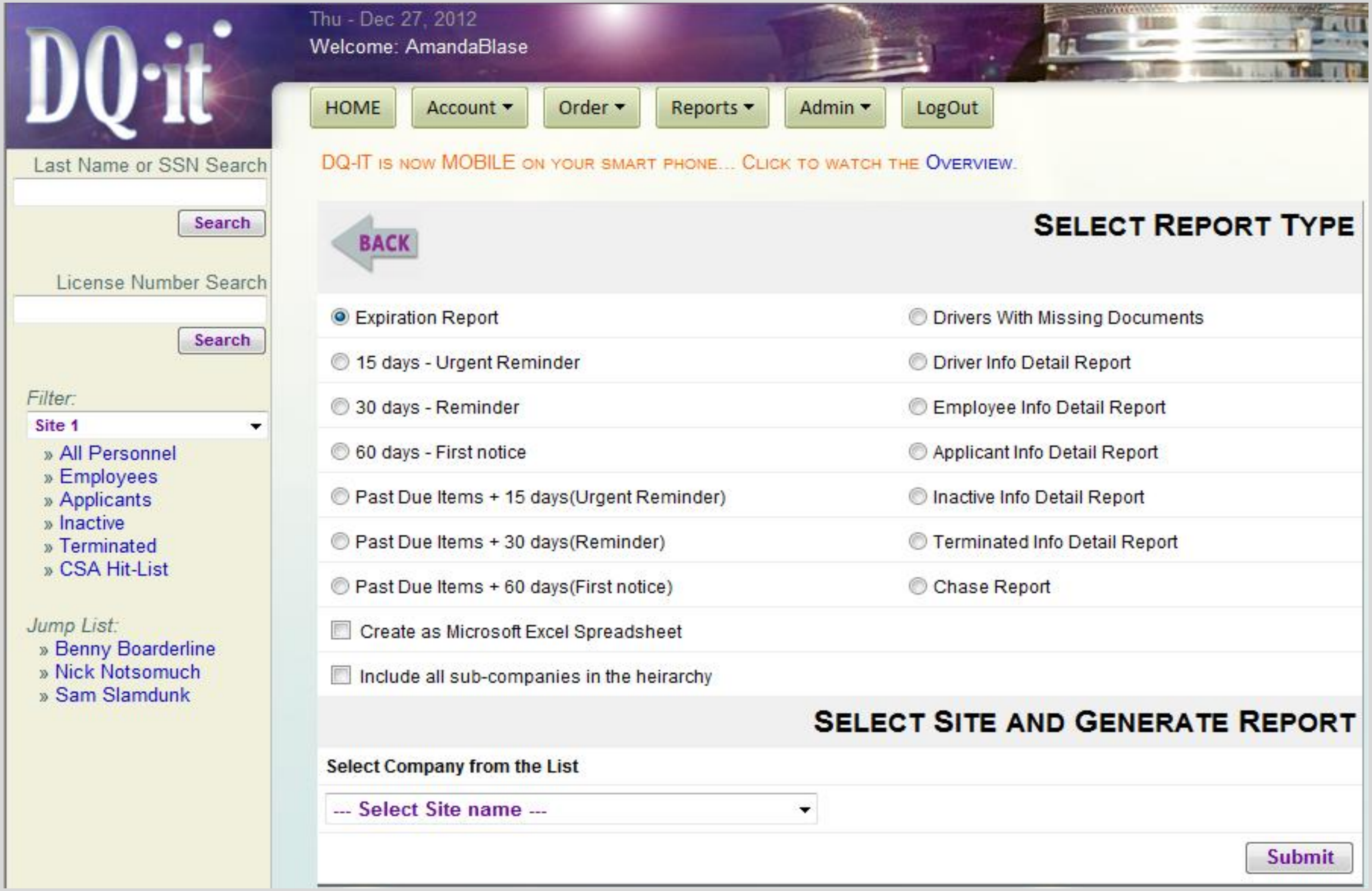
Document Report Generation

Manual Search Methods

Electronic Report Generation



Thu - Dec 27, 2012
Welcome: AmandaBlase

DQ-IT IS NOW MOBILE ON YOUR SMART PHONE... CLICK TO WATCH THE OVERVIEW.

Last Name or SSN Search

License Number Search

Filter:
Site 1
» All Personnel
» Employees
» Applicants
» Inactive
» Terminated
» CSA Hit-List

Jump List:
» Benny Boarderline
» Nick Notsomuch
» Sam Slamdunk

SELECT REPORT TYPE

● Expiration Report	○ Drivers With Missing Documents
○ 15 days - Urgent Reminder	○ Driver Info Detail Report
○ 30 days - Reminder	○ Employee Info Detail Report
○ 60 days - First notice	○ Applicant Info Detail Report
○ Past Due Items + 15 days(Urgent Reminder)	○ Inactive Info Detail Report
○ Past Due Items + 30 days(Reminder)	○ Terminated Info Detail Report
○ Past Due Items + 60 days(First notice)	○ Chase Report

☐ Create as Microsoft Excel Spreadsheet

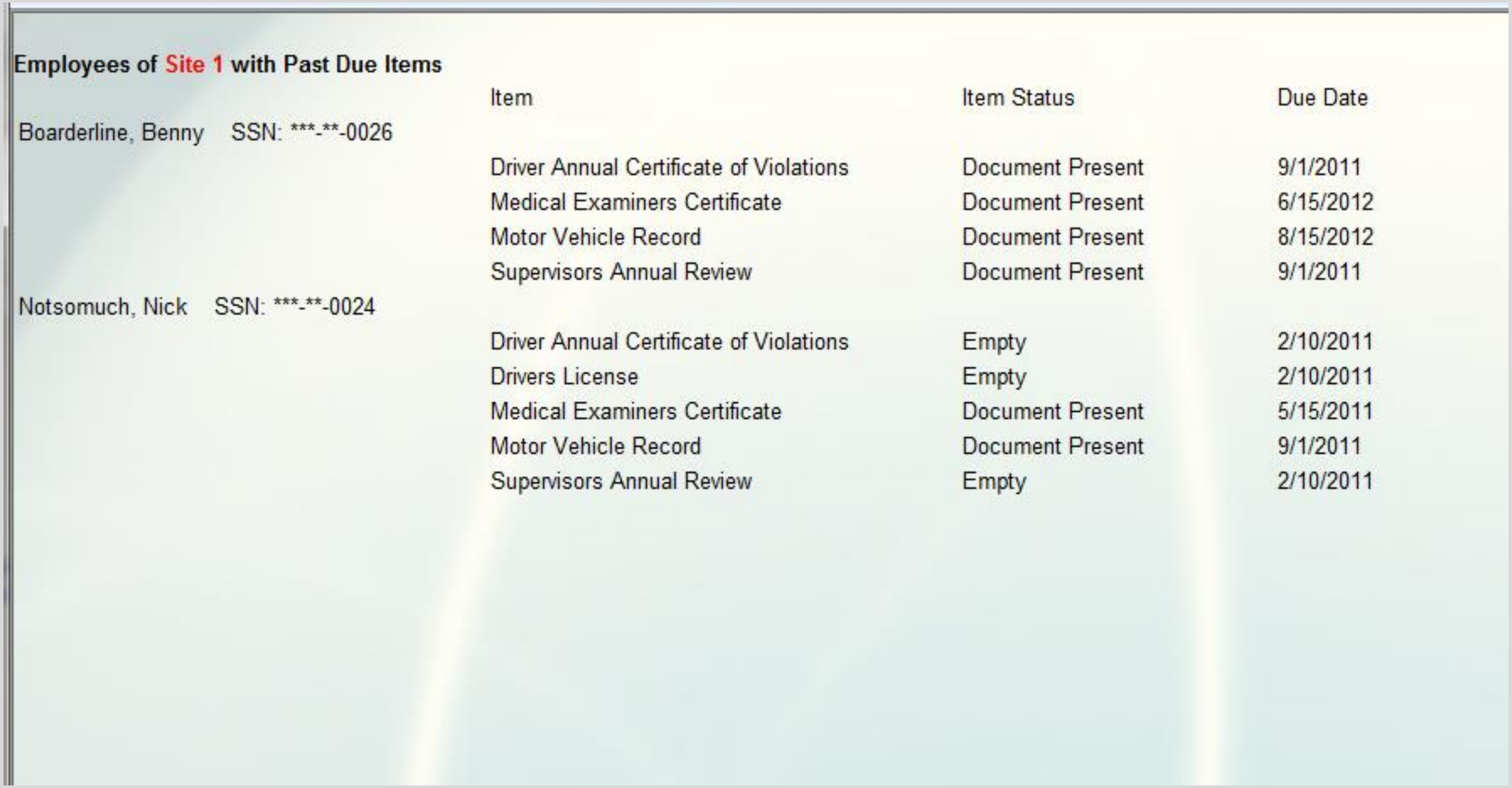
☐ Include all sub-companies in the heirarchy

SELECT SITE AND GENERATE REPORT

Select Company from the List

--- Select Site name ---

Document Expiration Report



Employees of Site 1 with Past Due Items

	Item	Item Status	Due Date
Boarderline, Benny SSN: ***-**-0026			
	Driver Annual Certificate of Violations	Document Present	9/1/2011
	Medical Examiners Certificate	Document Present	6/15/2012
	Motor Vehicle Record	Document Present	8/15/2012
	Supervisors Annual Review	Document Present	9/1/2011
Notsomuch, Nick SSN: ***-**-0024			
	Driver Annual Certificate of Violations	Empty	2/10/2011
	Drivers License	Empty	2/10/2011
	Medical Examiners Certificate	Document Present	5/15/2011
	Motor Vehicle Record	Document Present	9/1/2011
	Supervisors Annual Review	Empty	2/10/2011

Audit Preparation

Document Archive

Audit Preparation

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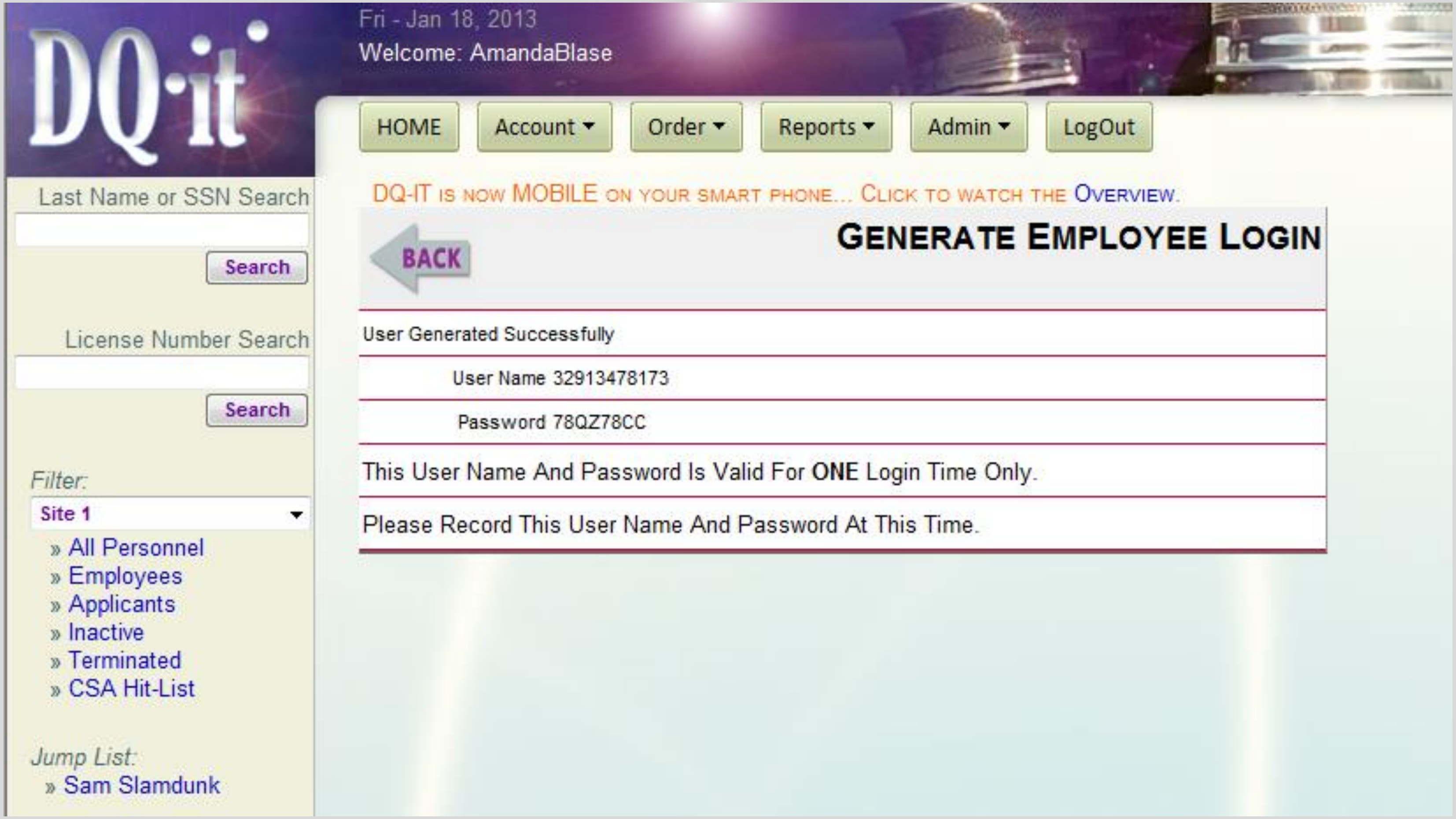
Electronic Audit Preparation

Temporary User



DQ·it
HOME
Account
Order
Reports
Admin
LogOut
Last Name or SSN Search
Search
License Number Search
Search
Filter:
Site 1
» All Personnel
» Employees
» Applicants
» Inactive
» Terminated
» CSA Hit-List
Jump List:
» Sam Slamdunk
BACK

Fri - Jan 18, 2013
Welcome: AmandaBlase

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

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- Off-Site Backup. (Off Your Site)
- Secure Data Center
- Redundant Server Components
- Back Up To Disk and Tape
- Off-Site Backup (Off Our Site).

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Compliance **S**afety **A**ccountability

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Driver Qualification File Management

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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.

Safety Measurement System

- 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 FMSCR Parts 392, 393, and 396.
- **Hazardous Materials (HM) Compliance:** Unsafe handling of hazadous materials (HM) Example: leaking containers, improper placarding, improperly packed HM. FMCSR Part 397 and U.S. DOT HM Regulations Parts 171, 172, 173, 177, 178, 179 & 180.
- **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

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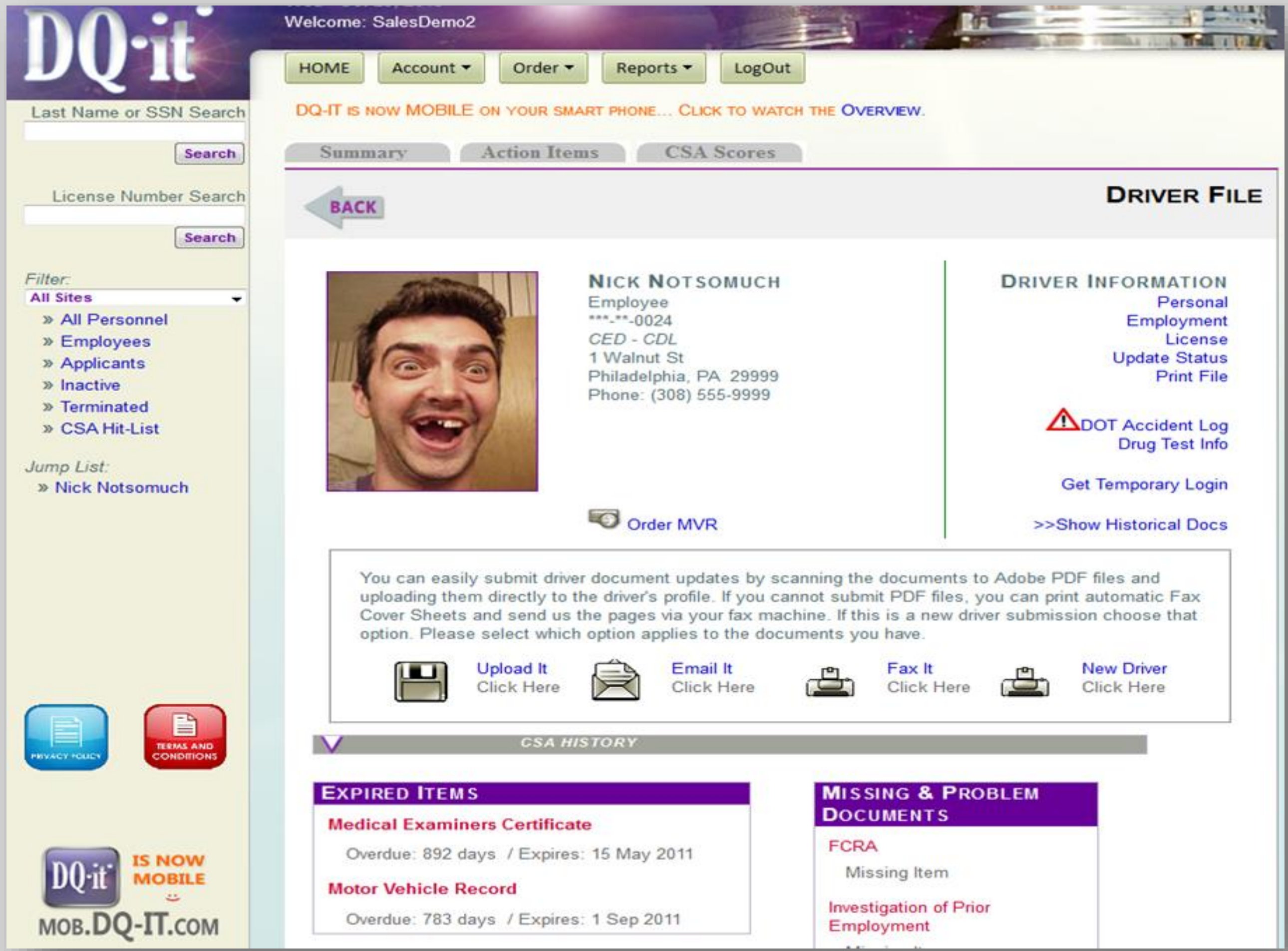
Electronic Filtering of CSA Data

CSA History – Driver Level


DQ-it
HOME
Account
Order
Reports
LogOut
Summary
Action Items
CSA Scores
BACK
Search
Search
Upload It
Email It
Fax It
New Driver
Click Here
Privacy Policy
Terms and Conditions
DQ-it IS NOW MOBILE
MOB.DQ-IT.COM

Welcome: SalesDemo2

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

Last Name or SSN Search

License Number Search

Filter:
All Sites
» All Personnel
» Employees
» Applicants
» Inactive
» Terminated
» CSA Hit-List

Jump List:
» Nick Notsomuch

DRIVER FILE

NICK NOTSOMUCH
Employee
***-**-0024
CED - CDL
1 Walnut St
Philadelphia, PA 29999
Phone: (308) 555-9999

Order MVR

DRIVER INFORMATION
Personal
Employment
License
Update Status
Print File

DOT Accident Log
Drug Test Info

Get Temporary Login

\>>Show Historical Docs

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.

CSA HISTORY

EXPIRED ITEMS

Medical Examiners Certificate
Overdue: 892 days / Expires: 15 May 2011

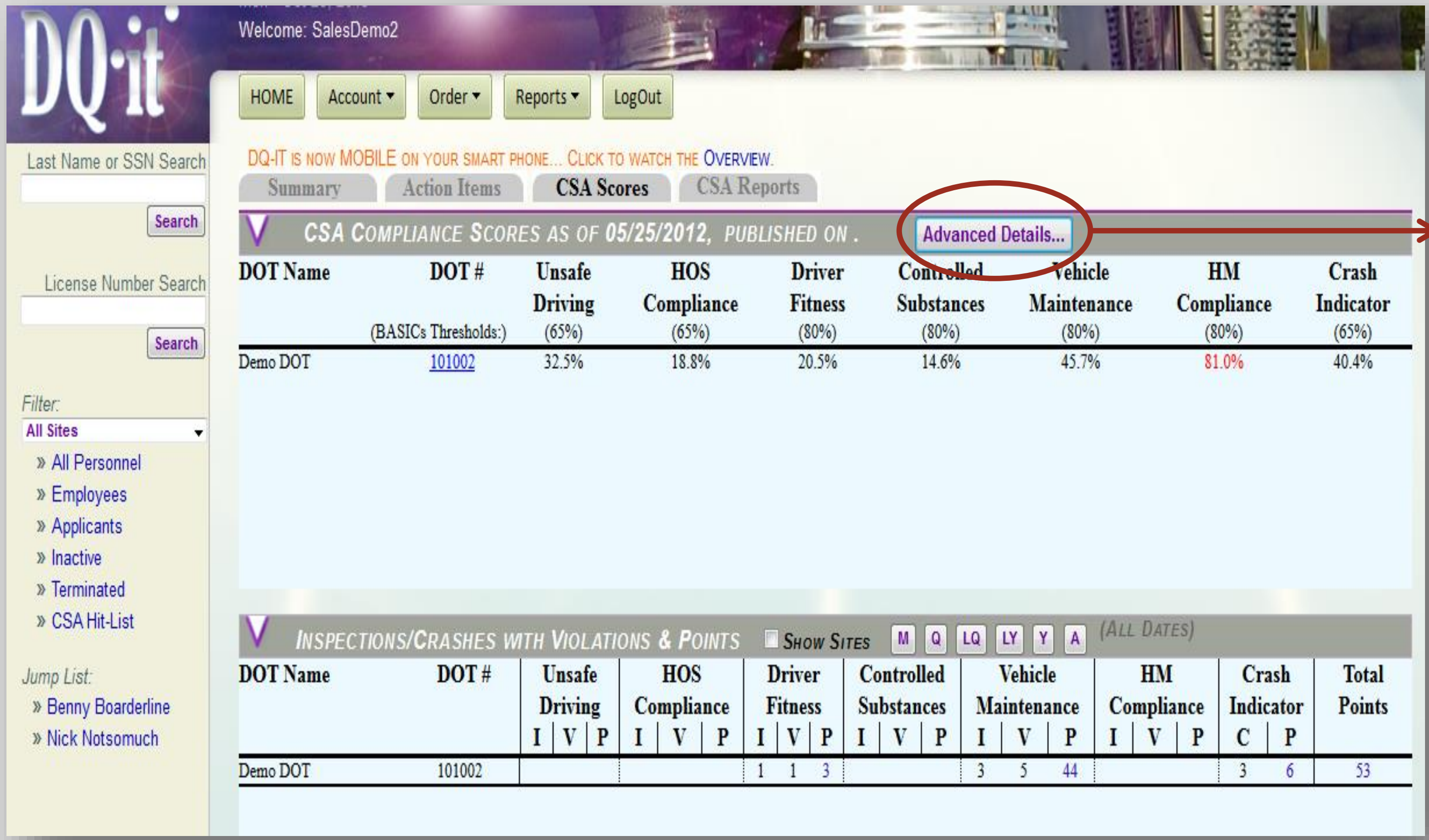
Motor Vehicle Record
Overdue: 783 days / Expires: 1 Sep 2011

MISSING & PROBLEM DOCUMENTS

FCRA
Missing Item

Investigation of Prior Employment

CSA Scores – Company Wide


DQ·it
Welcome: SalesDemo2
HOME
Account ▾
Order ▾
Reports ▾
LogOut
Last Name or SSN Search
Search
License Number Search
Search
Filter:
All Sites
» All Personnel
» Employees
» Applicants
» Inactive
» Terminated
» CSA Hit-List
Jump List:
» Benny Boarderline
» Nick Notsomuch
Summary
Action Items
CSA Scores
CSA Reports
Advanced Details...
☐ Show Sites
M
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A

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CSA Compliance Scores as of 05/25/2012, published on .

DOT Name	DOT #	Unsafe Driving	HOS Compliance	Driver Fitness	Controlled Substances	Vehicle Maintenance	HM Compliance	Crash Indicator
	(BASICs Thresholds:)	(65%)	(65%)	(80%)	(80%)	(80%)	(80%)	(65%)
Demo DOT	101002	32.5%	18.8%	20.5%	14.6%	45.7%	81.0%	40.4%

Inspections/Crashes with Violations & Points (All Dates)

DOT Name	DOT #	Unsafe Driving			HOS Compliance			Driver Fitness			Controlled Substances			Vehicle Maintenance			HM Compliance			Crash Indicator		Total Points
		I	V	P	I	V	P	I	V	P	I	V	P	I	V	P	I	V	P	C	P	
Demo DOT	101002							1	1	3				3	5	44				3	6	53

Click for Advanced Details

MVRs

- Pre-Employment
- DOT Annual
- MVR Monitoring

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The “Phone in MVR Order” Method.

+ CSA

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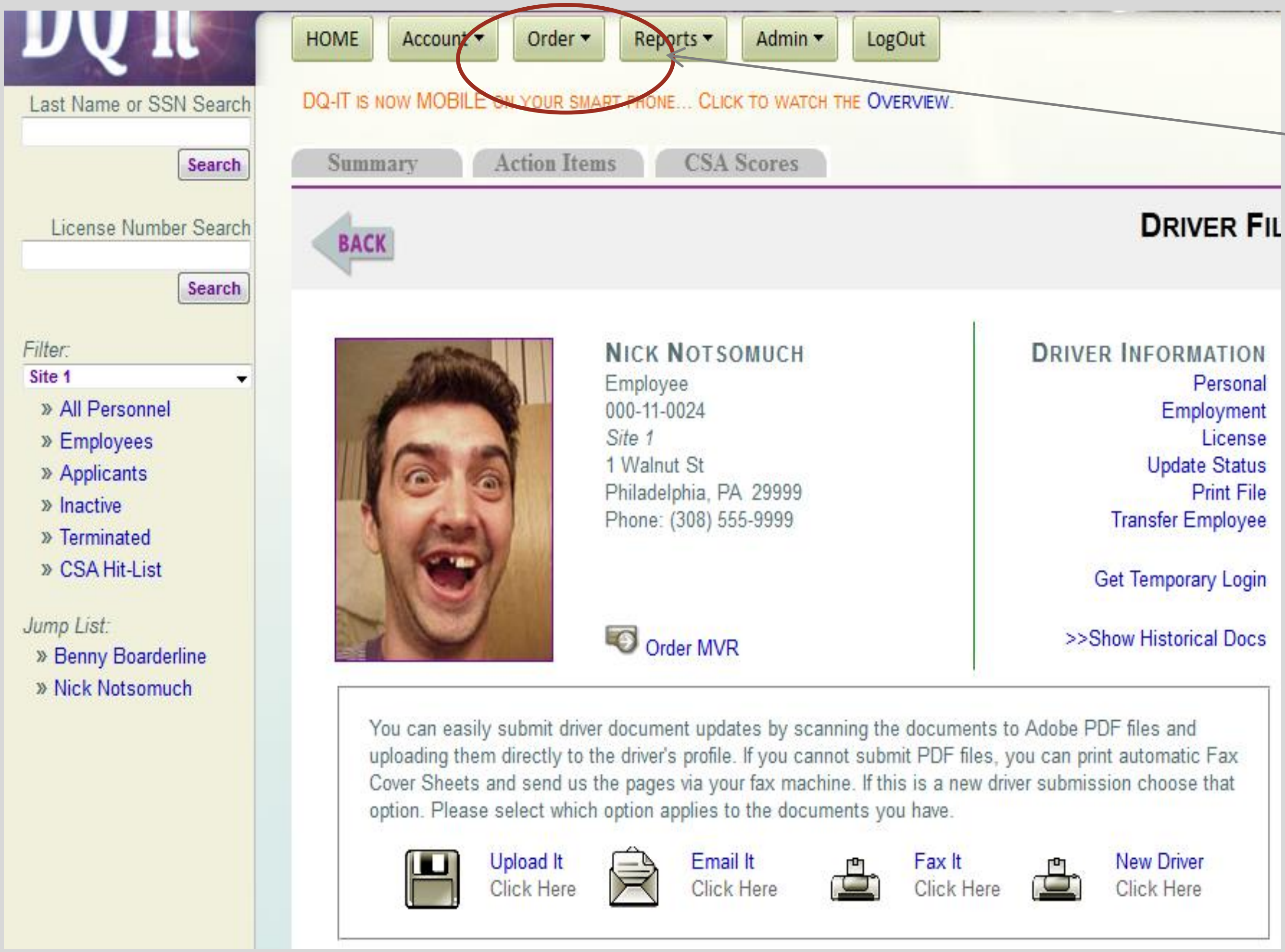
The "Logging In" Method.

One Click Electronic MVR Ordering


DQ it
HOME
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Order ▾
Reports ▾
Admin ▾
LogOut
Last Name or SSN Search
Search
License Number Search
Search
Summary
Action Items
CSA Scores
BACK
DRIVER FIL
Filter:
Site 1
» All Personnel
» Employees
» Applicants
» Inactive
» Terminated
» CSA Hit-List
Jump List:
» Benny Boarderline
» Nick Notsomuch
DRIVER INFORMATION
Personal
Employment
License
Update Status
Print File
Transfer Employee
Get Temporary Login
>>Show Historical Docs
Order MVR
Upload It
Click Here
Email It
Click Here
Fax It
Click Here
New Driver
Click Here

DQ-IT IS NOW MOBILE ON YOUR SMART PHONE... CLICK TO WATCH THE OVERVIEW.

NICK NOTSOMUCH
Employee
000-11-0024
Site 1
1 Walnut St
Philadelphia, PA 29999
Phone: (308) 555-9999

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Click

+ CSA

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Questions and Answers

CONCORDE INC.
COMPLIANCE | SCREENING | SAFETY

THANK YOU

Further Questions or Inquiries Please reach me at:

Office: (215) 523-8898

Cell: (610) 999-5555

Tony@concorde2000.com