



NORTH RISK PARTNERS™

DOT Audit Violations: What You Need to Know

November 2019

Tom Deutsch

Director of Fleet Safety & Compliance Services
Integrated Loss Control, Inc.

Program Overview

- MCS-90 Does it pertain to you?
- Driver Qualification Violations
- Systematic Maintenance Program Violations
- Hours of Service Local and Electronic Log Violations
- Drug and Alcohol Testing Violations.



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Part 387- Insurance

MCS 90

- **Freight:**--\$750,000 - \$5,000,000, depending on commodities transported; \$300,000 for non-hazardous freight moved only in vehicles weighing under 10,001 lbs.



MCS 90

FORM MCS 90 06 17

**ENDORSEMENT FOR
MOTOR CARRIER POLICIES OF INSURANCE FOR PUBLIC LIABILITY
UNDER SECTIONS 29 and 30 OF THE MOTOR CARRIER ACT OF 1980**

**SCHEDULE OF LIMITS
Public Liability**

	Type of Carriage	Commodity Transported	Minimum Insurance
(1)	For-hire (In interstate or foreign commerce, with a gross vehicle weight rating of 10,000 or more pounds).	Property (nonhazardous).	\$ 750,000
(2)	For-hire and Private (In interstate, foreign, or intrastate commerce, with a gross vehicle weight rating of 10,000 or more pounds).	Hazardous substances, as defined in 49 CFR 171.8, transported in cargo tanks, portable tanks, or hopper-type vehicles with capacities in excess of 3,500 water gallons; or in bulk Division 1.1, 1.2, and 1.3 materials; Division 2.3, Hazard Zone A, or Division 6.1, Packing Group I, Hazard Zone A material; in bulk Division 2.1 or 2.2; or highway route controlled quantities of a Class 7 material as defined in 49 CFR 173.403.	5,000,000
(3)	For-hire and Private (In interstate or foreign commerce, in any quantity; or in intrastate commerce, in bulk only; with a gross vehicle weight rating of 10,000 or more pounds).	Oil listed in 49 CFR 172.101; hazardous waste, hazardous materials and hazardous substances defined in 49 CFR 171.8 and listed in 49 CFR 172.101, but not mentioned in (2) above or (4) below.	1,000,000
(4)	For-hire and Private (In interstate or foreign commerce, with a gross vehicle weight rating of less than 10,000 pounds).	Any quantity of Division 1.1, 1.2, or 1.3 material; any quantity of a Division 2.3, Hazard Zone A, or Division 6.1, Packing Group I, Hazard Zone A material; or highway route controlled quantities of a Class 7 material as defined in 49 CFR 173.403.	5,000,000



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Qualification Files

1. Employment Application/DOT Application
2. Inquiries to Previous Employers Past 3 years
3. Original State Driving Record
4. Driver's Road Test
5. Medical Exam Certificate (3 Yrs)
6. Medical Waiver (if issued)
7. Verification of National Register
8. Verification of Self Certification
9. Copy of Drivers License (both sides)
10. Annual Driver's Certification of Violations (Driving Record)
11. Annual Review of Driving Record (3Yrs)
12. Drug & Alcohol Clearinghouse Annual Review



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National Registry Certification

National Registry Certification

MaryLynn Saande

Doctor of Chiropractic, Doctor, National

Registry #: 8831007499

Certification Date: 8/2/2013

0.7 Miles

Saande Chiropractic LLC

Employer: Saande Chiropractic LLC

1300 Vermillion Street, Hastings , MN, 55033

651-438-3737 , Fax: 651-438-0046

Hours of Operation: Monday - Friday 9 to 5

No Website | Email | Get Directions



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Driver License Search

Driver License Search Results 2/11/2016 8:42:19 AM

DL Number	Class	Type	Class D Status	Commercial Status
N156879858295	A	1	VALID	VALID
Endorsements	Restrictions	DL Issued	DL Expiration	
P X T	NONE	4/1/2014	4/1/2018	
CDL Self Certification	CDL Medical Certificate Status	CDL Medical Certificate Expiration Date	Waiver Expiration Date	
NON-EXEMPT INTERSTATE	CERTIFIED	2/3/2018	NONE	

Messages 2/11/2016 8:42:19 AM

The information provided is accurate for this day only.
 Pending action and record updates may change status nightly.
 If you need additional information please contact us.

By E-Mail:

[DVS Help](#)

By Phone:

For general driver's license information: (651) 297-3298

For driver's license revocations and suspensions: (651) 296-2025



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Systematic Maintenance

Part 396.3

Vehicle Maintenance File :

- Vehicle ID including company number, make, year, serial number and tire size
- Nature and due date of inspection & maintenance operations to be performed. (Tracking System)
- A record of inspections, repairs & maintenance
- A record of test on push out windows & emergency exists on busses



Drug and Alcohol

Violations

- Reasonable Suspicion Training Not Complete
- Not testing at the correct random rate (25% Drug 10% Alcohol)
- Post accident testing not being done correctly



Post Accident Testing-When?

- Fatality
- Injury & Citation
- Disabled Vehicle & Citation
- 8 & 32 hour rules



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Drug & Alcohol Clearinghouse

January 7th 2020 the new Drug and Alcohol Clearinghouse begins.

Join us November 21st for a webinar on how to comply with this new rule.



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Developed and Presented by: Integrated Loss
Control, Inc.

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Hours of Service Compliance

Local

- Audit to see that you have time slips or cards for hours worked.
- Audit to see that the drivers don't work over 12 hours.
- Make sure drivers are off for a complete 10 hours between work shifts.



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Violations?



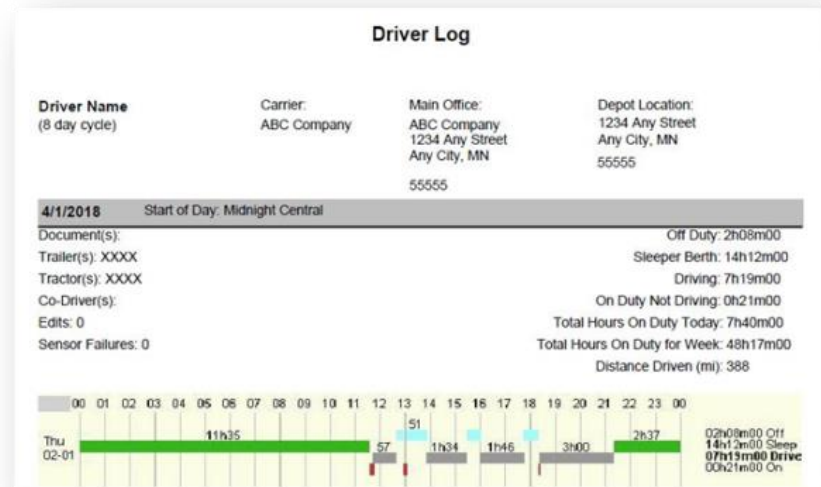
What violations are ELD users receiving for hours of service and falsification violations?



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ELD Violations

- Do you have an ELD or AOB RD system – December deadline is upon us.
- Unassigned miles are required to be accounted for.
- Personal Conveyance misuse.
- Audit for Falsification
- Yard Moves – are they necessary?
- Required Paperwork in Trucks



Audit process to avoid ELD violations

- Audit
 - Audit against fuel, dispatch records, bills of lading and other supporting documents to see that the correct status is being used.
 - Assign unassigned miles.
 - Audit for personal conveyance misuse.



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What can you do reduce these violations?

- Keep your qualification files organized and complete
- Track your files for any expirations
- Put a tracking program in place to maintain equipment
- Audit your hours of service program
- Train management to know the D&A rules so you can stay compliant



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End of Training

Thank you for your participation



Any Questions?