

Documents to Request during an Investigation

There are many sources of data and information that can help present a picture of a motor carrier both before and during an investigation, in addition to revealing specific violations. Documents kept by the carrier can provide insight on a carrier's safety management processes. This job aid lists documents by Behavior Analysis and Safety Improvement Category (BASIC) that a Safety Investigator (SI) may request from the carrier and review to help in determining safety management process breakdowns. Documents that the carrier is required to maintain are in **bold**. This is not a complete list and the documentation available may vary from carrier to carrier and from State to State.

UNSAFE DRIVING	HOURS-OF-SERVICE (HOS) COMPLIANCE	VEHICLE MAINTENANCE
<ul style="list-style-type: none"> • Dispatch records • Bills of lading • Accident reports and records • Roadside inspection reports and records of other roadside violations • Written seatbelt policy • Motor Vehicle Records (MVRs) • Driver qualification (DQ) files • Driver road test records (sometimes) • Driver handbook • Training policy • Training materials • Training records and certificates 	<ul style="list-style-type: none"> • Records of Duty Status (RODS) • Payroll documents • Dispatch records • Bills of lading • Medical certificates • Carrier's HOS disciplinary policy • Carrier's records of driver HOS violations (from internal reviews) • Contract agreements • Leasing agreements • Toll road receipts and supporting documents • Accident reports and records • Fueling records with time/dates • Medical qualification files • Documents to verify other employment • DQ files • Training materials 	<ul style="list-style-type: none"> • Roadside inspection reports and records of other roadside violations • Annual vehicle inspection reports • Pre-trip inspection reports • Driver Vehicle Inspection Reports • Equipment repair receipts • Accident reports and records • Incident records of near misses, breakdowns, and delays associated with cargo loading and securement tasks; signed inspection reports • Position descriptions of managers, drivers, dispatchers, and purchasing/parts inventory agents • Medical referrals and certificates • Written company maintenance policy • Company safety program and policies • Policy/procedures for: <ul style="list-style-type: none"> ○ Cargo loading, securement, and handling ○ Incorporating and communicating shipper/receiver time and delivery requirements with cargo securement requirements ○ Prioritizing and sequencing of packaging, marking, labeling, placarding, and inspection tasks ○ Requiring and defining timely submittal of inspection reports • Driver handbook • Vehicle maintenance files • Out-of-service vehicle maintenance review file • MVRs (maintenance records, dispatch records' vehicle list, equipment list) • DQ files

Documents to Request from Carrier

This job aid pertains to 100% States.

CONTROLLED SUBSTANCES AND ALCOHOL	DRIVER FITNESS	HAZARDOUS MATERIALS (HM) COMPLIANCE
<ul style="list-style-type: none"> • Records of Commercial Driver’s License (CDL) checks • Dispatch records • Passenger complaint log • Previous employer responses to new applicant inquiries • Records of the designated employer representative (DER) • Employment application forms • References for, credentials of third parties • Agreements with third parties, including consortium population sampling criteria • List of drivers removed due to substance abuse and alcohol history or for personal DUIs • Test reporting process • Testing records (from previous year) • For each test type: selection criteria, eligibility pool list, statistical lab summary • List of labs, collection facilities • Substance Abuse Professional (SAP) letters, follow-up testing plan, test results • List of individuals with access to test results • Return-to-duty documents (SAP qualification documentation, SAP letters, follow-up testing plan, test results from plan, return-to-duty test results) • Accident reports and records • Program Manager and prior employee personnel records, position descriptions • Disclosure requests from previous employers, and release forms • DER position description • Copy of disciplinary program • Performance evaluations in DQ file, or personnel file • Organizational chart • Hiring and retention policy • Medical qualification files • Insurance policy, records, list of drivers covered 	<ul style="list-style-type: none"> • Roadside inspection reports and records of other roadside violations • Payroll documents • Bills of lading • Employment application forms • Endorsements for cargo tank, double/triple combinations • Accident reports and records • Documents missing from DQ files • Medical qualification files • Insurance company violation records • DQ files, including those drivers requiring special endorsements • DQ files, suspended CDLs, and update procedures • List of annual driver-reported violations • List of all drivers and drivers terminated; list of all vehicles; shipping papers • Medical referrals • File for tracking medical card expiration dates • Special proficiency evaluations • Copy of incentives/ reward/ recognition program; award records; carrier equipment list • Copy of disciplinary program; disciplinary records • Performance evaluations in DQ file • Safety compliance policy and procedures • Policy for drivers to report violations • Policy on document retention and recordkeeping and driver on-board possession • Vehicle list by CDL requirements • Driver assignment and dispatch policy and records • Passenger complaint log • MVRs (for last 3 years) 	<ul style="list-style-type: none"> • Cargo tank inspection, testing and repair/replacement records • Shipping papers • HAZMAT waste manifests • Types/classes of HAZMAT and packaging used • HM registration forms, certificates, incident reports (Pipeline and Hazardous Materials Safety Administration) • Part 397 receipts • Communication plan and log per Part 385 • Emergency response telephone number contract information • Policy/procedures for addressing transportation regulatory requirements (registration, recordkeeping, packaging, securement, marking, labeling, placarding, reporting, documentation, security, and emergency response) • Written procedures on specific HAZMAT handling process (e.g., how to check packaging requirements) • Emergency response information • Security plan • Checklists or spreadsheets to track compliance with HAZMAT handling regulations and company policies • Procedures, job aids, and system instructions for accessing and using data for HAZMAT compliance • Procedures for testing and inspecting cargo tanks and associated records • Procedures for re-qualifying or re-testing cylinders, intermediate bulk containers, portable tanks, or cargo tanks • Package closure instructions • EX numbers for explosives • Material Safety Data Sheet • MC331: emergency discharge instructions; smart hoses tests; remote device tests • MVRs (maintenance records, dispatch records, vehicle list, equipment list)



Documents to Request from Carrier

This job aid pertains to 100% States.

CONTROLLED SUBSTANCES AND ALCOHOL	DRIVER FITNESS	HM COMPLIANCE
<ul style="list-style-type: none"> • Substance abuse and alcohol records and testing and implementation policies • Policy for safeguarding and disclosure of test results • Driver MVRs • DQ files • Training materials, certificates, attendance records for drivers, supervisors, managers, and service agents (<i>training drivers in the effects of drugs and alcohol on their health, work, and personal life; reasonable suspicion testing training undergone by the carrier's DER</i>) • Training materials to support recruiting • Tool to track employee training 	<ul style="list-style-type: none"> • Training materials for drivers and other staff on qualifications and fitness responsibilities and procedure • Training records and certificates • Training requirements tracking document • For employees with HAZMAT endorsements – HAZMAT training records, and outline of the HAZMAT training materials used • Training policy, materials and records • Trainer qualifications and training documents • Documents on entry-level driver training (since 2006), including certification for 4 categories 	<ul style="list-style-type: none"> • HM Safety Permit (FMCSA) • Special HM Safety Permits • Position descriptions for all personnel with HAZMAT handling functions • Recruitment material for apprentice-level HAZMAT employees • Employee safety performance reward and recognition program • HAZMAT employee training files • Training materials (<i>documents, job aids, sign-in sheets, on-the-job training aids, training records, certificates, apprenticeship program documents</i>)

Other documents that the SI may request during an investigation – not specific to a BASIC	
<ul style="list-style-type: none"> • Employment application forms (completed) • Previous employer checks • Company yearly tax summary • Training records • Written company safety policy/program information • Insurance records • Complaint log 	<ul style="list-style-type: none"> • Written incentive policy • Company income statement • Company balance sheet • Written hiring policy • Written performance plan and review policy • Written promotion policy • Employee handbook

