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**Carolina Main-Line LLC**

**Employee Manual**

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#

# Financial Responsibility

## Policy

CAROLINA MAIN-LINE LLC intends to fully comply with the provisions of Part 387 of the Federal Motor Carrier Safety Regulations (FMCSR) that prescribe minimum levels of financial responsibility for motor carriers.

As stated by the Federal Motor Carrier Safety Administration, “the purpose of these regulations is to create additional incentives to motor carriers to maintain and operate their vehicles in a safe manner and to assure that motor carriers maintain an appropriate level of financial responsibility for motor vehicles operated on public highways”. CAROLINA MAIN-LINE LLC subscribes to these goals in its financial responsibility policies and procedures.

##

## Responsibility

This policy applies to all portions of CAROLINA MAIN-LINE LLC’s operations – interstate, foreign, and intrastate commerce.

This includes all CAROLINA MAIN-LINE LLC vehicles transporting hazardous materials, hazardous substances, or hazardous wastes, as well as all vehicles hauling non-hazardous material. It is the responsibility of CAROLINA MAIN-LINE LLC to always assure full compliance with these requirements.

## Procedures

CAROLINA MAIN-LINE LLC must have at least the minimum levels of financial responsibility as specified in Sec. 387.9 of the FMCSR. CAROLINA MAIN-LINE LLC will prepare all required documents and forward them to Maurice DeBerry for approval. All insurance policies, surety bonds, and endorsements required by the regulations will remain in effect continuously until terminated either by the CAROLINA MAIN-LINE LLC or by the insurer.

CAROLINA MAIN-LINE LLC will monitor all policies, bonds, and endorsements to ensure that they remain in effect until such time as CAROLINA MAIN-LINE LLC terminates them.

\*See Forms Library for schedule of minimum levels of financial responsibility\*

##

## Forms

Endorsements for policies of insurance:

\*See Forms Library for form MCS-90 and Form MCS-82 along with related definitions, explanations, and instructions\*

**IRP/IFTA Record Keeping Procedures**

***Policy***

It is the policy of CAROLINA MAIN-LINE LLC that all IRP/IFTA record keeping will be done by CAROLINA MAIN-LINE LLC and that all questions pertaining to IRP and IFTA should be directed to them. All permitting, licensing, and adherence to insurance requirements will also be taken care of by CAROLINA MAIN-LINE LLC.

## Responsibility

The dispatcher/supervisor is responsible for making sure that every driver checks their vehicle’s paperwork thoroughly before dispatch and that any permit, insurance, IRP, IFTA, or licensing issues be taken care of immediately.

CAROLINA MAIN-LINE LLC will monitor the files (permit book) of each vehicle and will assure proper renewal of necessary items as well as proper reporting of figures and documentation pertaining to IRP and IFTA in a timely manner to avoid expiration and/or penalty.

##

## Procedure

When a new driver is added to the fleet, the dispatcher will instruct the driver to review their assigned vehicle’s permit book and identify any potential problems such as permits expiring, out of date documents, etc.

Any discrepancies in the driver’s permit book will be brought to the attention of the owner immediately and will be corrected before the driver is allowed to leave under dispatch.

As part of the orientation process, the owner will review the needs and process for mileage recording, and proper paperwork completion as it pertains to IRP and IFTA requirements.

If a driver does not adhere to the necessary requirements for miles documentation and reporting, as required for proper IRP and IFTA processing, the driver will be brought into the terminal and will receive further training.

Repeated, blatant violation of this policy could result in reprimand to the driver up to, and including, termination of employment as improper reporting of information pertaining to IRP and IFTA could result in substantial fines for CAROLINA MAIN-LINE LLC.

# Movement of Non-Company Vehicles

## Policy

On occasion, CAROLINA MAIN-LINE LLC drivers may be required to move equipment that is not owned by CAROLINA MAIN-LINE LLC. If this should happen, the actions listed below should be followed closely to ensure safe and legal transportation of the equipment.

## Responsibility

It is the dispatcher’s responsibility to determine whether the movement of non-company equipment is necessary and if so, to inform the driver as to the specific rules and regulations that must be followed.

##

## Procedure

If a non-company piece of equipment is to be moved at any time, the dispatcher will inform the driver of the following prior to dispatch:

* Check and verify that the registration is present in the vehicle, that it is current, and that the correct plate is mounted securely on the vehicle.
* If the equipment is a trailer, and it is preloaded, verify that the freight on-board matches the paperwork received from the shipper and that all freight is loaded according to load and security requirements.
* If the trailer is empty, make sure that it is clean and free of dunnage or other debris.

If any discrepancies are found during the inspection process outlined above, the driver should contact their dispatcher immediately to inform them of this and to receive further instructions.

Once any CAROLINA MAIN-LINE LLC driver has determined the condition of the non-company equipment and is ready to move it, the driver should treat that equipment in the same way as company-owned equipment and should abide by all pertinent rules and regulations.

#

# Open Door Policy

**Policy**

CAROLINA MAIN-LINE LLC cares about its employees and values their continued input toward the improved operation of the company. Some of our best ideas and suggestions have come from our current employees and we promote this continued open exchange of ideas through a strong Open-Door policy.

Every manager will be accessible to all employees without fear of retribution or negative actions by their direct supervisors.

Should any employee desire to discuss pertinent, business-related issues with any member of management, they may contact that member directly to arrange a mutually convenient time to meet.

## Responsibility

It is the responsibility of each member of management to make themselves accessible to employees whenever their schedule allows, and to act on all discussions with employees in a way that promotes continued success and professionalism within CAROLINA MAIN-LINE LLC.

##

## Procedure

The members of management will schedule the requested meeting, discuss the areas of concern with the employee, and take further action if they feel that it is necessary.

No employee will be coerced or threatened if they choose to meet with upper management. All management will keep the specific content of such meetings in the strictest confidence to assure the well-being of the employee.

#

# Return-to-Work from Leave or Illness

## Policy

CAROLINA MAIN-LINE LLC has a high commitment to safety and injury prevention on the job. However, there may be times that injuries occur at the workplace or while a driver is on the road. In these instances, it is important that everyone follows the injury reporting procedures CAROLINA MAIN-LINE LLC has established.

##

## Responsibility

These procedures are intended to ensure that an injured employee receives the proper medical attention as promptly as possible and that we can fully comply with workers’ compensation regulations.

In addition, CAROLINA MAIN-LINE LLC has established a return-to-work program for those employees recovering from illnesses or injuries. The return-to-work program allows employees with physical limitations from injuries or illnesses to have their job duties modified, or to perform alternate duties based on their physical abilities/limitations, until they can perform their regular jobs again.

##

## Procedures

### **Minor injuries**

All employees are required to report any injury that occurs on the job no matter how minor it may seem. Some examples of minor injuries would include: a small cut, falling down a short set of stairs, or a back strain that occurred while loading or unloading cargo.

Such injuries should be reported to the employee’s immediate supervisor or a representative from human resources as soon as possible, but no later than 24 hours after the occurrence.

When an injury is reported, the employee’s immediate supervisor or a human resources representative is responsible for interviewing the involved employee and making a written report of the facts surrounding the injury. The involved employee and any witnesses are required to cooperate in the questioning in a truthful and straightforward manner. The employee may be instructed to seek medical attention if deemed necessary.

While injuries do occasionally happen, injuries that occur due to horseplay, misconduct, or inappropriate behavior will result in discipline for the involved employees. However, we do stress, CAROLINA MAIN-LINE LLC's first concern is its employees’ safety, and no employee should be afraid of reporting an injury no matter how it occurred. Injured employees who were following company safety regulations are exempt from retaliation against the injured employee from any supervisor or co-worker.

Injuries that originally seem minor can evolve into larger medical problems – therefore it is crucial that CAROLINA MAIN-LINE LLC has documentation of the original incident so that we may properly handle any worker’s compensation claims or other issues that arise from the injury in a fair and timely manner.

Additionally, multiple minor accidents or injuries can be a signal to the company that our safety practices in a particular area need improvement or that our employees need additional safety training.

Because CAROLINA MAIN-LINE LLC considers injury reporting so important, employees who ignore these rules on reporting injuries will be subject to disciplinary procedures.

###

### **Serious injuries**

When an employee is more seriously injured on the job, the priority is to make sure they receive the proper medical attention. Some examples of more serious injuries would include a broken limb, severe bleeding, or an injury rendering the person unconscious.

If the injury does not necessitate emergency medical attention, but does require prompt attention from a medical professional, the injured employee should notify their immediate supervisor or a human resources representative. The employee will be allowed to go to the hospital/clinic or transportation will be arranged if the employee is unable to drive.

If the injury requires emergency medical attention, either the injured person, a fellow employee, or a bystander should call 911.

If the injury requires immediate emergency medical attention, either the injured person or a fellow employee should call the in-company emergency number, 980-280-8729. If a serious injury happens on the road the driver should seek appropriate medical attention at the nearest hospital first. As soon as possible, the driver must contact CAROLINA MAIN-LINE LLC themselves. If they cannot do this, they should instruct a responsible individual to do.

CAROLINA MAIN-LINE LLC has personnel on staff trained in CPR and first aid. If the injury happens on-site, those staff members will respond to the situation and contact additional medical help if necessary.

Fellow employees and bystanders should only perform actions that are immediately necessary to save the person’s life or actions that can be performed with zero risk of aggravating the medical problem or causing further injury.

\*UNDER NO CIRCUMSTANCES SHOULD EMPLOYEES OR OTHER PERSONNEL TRY TO EXECUTE CPR OR MEDICAL AID THAT THEY ARE NOT TRAINED TO PERFORM.

Once the injury or accident situation is medically under control, CAROLINA MAIN-LINE LLC will follow the same procedures for documenting the injury as explained in the minor injuries section of this policy.

##

## Return-to-Work Program

CAROLINA MAIN-LINE LLC has a return-to-work program for employees recovering from illness or injury sustained on the job or away from work. Employees who have physical limitations from an injury or illness will have their job duties modified, or will perform alternate duties, until they are able to perform their regular jobs again.

The return-to-work program has several objectives. First, CAROLINA MAIN-LINE LLC's goal is to help its employees. The return-to-work program allows employees to get back on the job more quickly after an illness or injury.

Secondly, CAROLINA MAIN-LINE LLC also benefits from the return-to-work program. An employee who continues to work, even in a restricted capacity, allows the company to continue utilizing the employee’s skills and keeps up productivity.

Employees who were injured on the job and are receiving worker’s compensation benefits will be required, if able, to participate in the return-to-work program. Participation in the return-to-work program is optional, but highly encouraged, for employees who became ill or injured away from the job.

##

## Return-to-Work Procedures

If an employee cannot perform their regular job duties because of injury or illness, the employee should remain in contact with their immediate supervisor and/or a representative of human resources at a minimum of once per week. If the employee cannot work at all due to injury or illness, they should contact the company on a regular basis (once per week) to keep the company up to date on their status.

When the time is appropriate for the person to resume some form of work, as determined by the company, the employee, and the medical professional treating the employee, the company will request that a medical professional complete a return-to-work statement. The statement should summarize the employee’s current physical abilities and what physical tasks the employee should not perform.

CAROLINA MAIN-LINE LLC has or will prepare written job descriptions outlining the work tasks each employee performs. A recovering employee is encouraged to take a job description to his or her medical professional to help the treatment provider better understand the employee’s job and prepare a more thorough return-to-work statement.

Once completed, the return-to-work statement should be sent to the Human Resource Department and responsible personnel will forward the statement to CAROLINA MAIN-LINE LLC’s insurance company and the employee’s supervisor.

CAROLINA MAIN-LINE LLC does have the option of requiring the injured/ill employee to see a qualified medical professional specified by the company. CAROLINA MAIN-LINE LLC may request this for the initial return-to-work examination/statement or anytime during the employee’s recovery.

##

## Return-to-Work Duties

Based on the medical professional’s return-to-work statement, a return-to-work program representative and the employee’s supervisor will determine what regular job duties the employee can perform, what job duties the employee can perform with some modifications, or if the employee should be given alternate duties. A returning employee’s temporary job duties may be a combination of regular, modified, and alternate duties.

While the assigned work may be considered “light” in terms of its physical demands if required, all returning employees will be asked to perform tasks that are necessary and meaningful to CAROLINA MAIN-LINE LLC's operations.

### **In the case of a driver in the return-to-work program**

CAROLINA MAIN-LINE LLC will first assess the driver’s return-to-work statement and determine if the company has driving duties the employee could continue to perform within his or her restrictions. If continued driving is not an option, CAROLINA MAIN-LINE LLC will try to assign alternate duties that are driving-related and utilize the employee’s specialized knowledge and skills. This could include, for example, duties in dispatch, log auditing, or the training of other drivers. If this is not a workable option, the driver will be assigned other duties at CAROLINA MAIN-LINE LLC's facility.

Returning employees who have concerns about their return-to-work duties should consult their immediate supervisors, a human resources representative or their medical professionals. Under no circumstances will employees be assigned tasks, or allowed to do tasks, that do not meet the approval of a medical professional.

Because the return-to-work program is intended to be a transition back to an employee’s original job, employees in the return-to-work program will not be allowed to keep their alternative job duties after they have recovered.

### **Periodic Re-Evaluation**

Employees in the return-to-work program must be re-evaluated by a qualified medical professional every [\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_]or on a schedule agreed to by the employee, medical professional, and human resources representative. After each evaluation, the medical professional should prepare a written statement concerning the employee’s physical progress. The employee will submit this statement to CAROLINA MAIN-LINE LLC. As the employee’s recovery continues, job tasks may be reassigned to match the employee’s increased ability. When the medical evaluation indicates the employee can resume their original job, the employee will do so.

As a federal requirement, the driver may be required to obtain a new DOT physical stating that they are cleared to operate a commercial vehicle per DOT guidelines before being allowed to drive again.

#

# Unsafe Equipment or Working Conditions

## Policy

CAROLINA MAIN-LINE LLC believes in providing a safe workplace for all its employees, whether at the terminal or on the road.

No employee will be required to perform unsafe work acts, work in unsafe working conditions, or to use unsafe equipment.

##

## Responsibility

It is each employee’s responsibility to monitor the working conditions and equipment around them and to notify management immediately if an unsafe situation arises.

It is the responsibility of all management personnel to immediately act on any unsafe condition that is brought to their attention, and to provide guidance in relation to the situation or equipment at hand to assure the continued safety of all employees.

## Procedure

If an unsafe situation arises or the expectation of using unsafe equipment by an employee is presented, the employee should contact their supervisor immediately for further instructions.

If a driver comes into an unsafe working condition or is expected to use unsafe equipment for loading, unloading, etc., they should immediately stop what they are doing and contact their dispatcher to receive further instructions.

The dispatcher will then contact the worksite and plan to have the condition corrected or to use alternative means or equipment to complete the loading and/or unloading process.

No employee is expected to operate in an unsafe manner or operate unsafe equipment to satisfy a customer’s needs or desires.

# Use and/or Replacement of Company Equipment and Use of Non-company Equipment.

## Policy

CAROLINA MAIN-LINE LLC believes that it is important for all drivers to be properly equipped to do their job in a safe and productive manner. It is the policy of CAROLINA MAIN-LINE LLC to provide each driver with the equipment it deems necessary for the driver to do this. This equipment will be of the size, type, make, and condition determined by CAROLINA MAIN-LINE LLC to be adequate for each driver to do his/her job and subject to change at any time.

##

## Responsibility

It is the responsibility of the owner to determine what is needed by the driver at orientation and to provide those items, based on the equipment list created by the Director of Operations for CAROLINA MAIN-LINE LLC.

## Procedures

The following is the list of equipment that each driver must have prior to dispatch:

* ELD
* Straps
* Toolbox
* Pre-Pass and Dashboard Camera

Prior to dispatch of the first load, will review this list with the driver and issue to them all necessary equipment. They will also have the driver sign an equipment receipt form, which will be kept in the driver’s personnel file.

The owner will train each driver on proper use of company equipment as necessary and will document said training in the driver’s personnel file.

All drivers will use and maintain the said equipment per CAROLINA MAIN-LINE LLC guidelines and will notify the Director of Operations immediately if equipment is damaged or stolen.

Upon notification by the driver, the owner will determine how damaged or stolen equipment is to be replaced and whether the driver will be charged for this replacement, based on an evaluation of the circumstances related to the individual situation.

Drivers are not allowed to use their own personal equipment in lieu of the company’s issued equipment without expressed written consent of the Director of Operations.

# Equipment Receipt Form

Maurice DeBerry did provide to \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ the following equipment for use in their employment with CAROLINA MAIN-LINE LLC. It is understood by both driver and company that this equipment will be returned to CAROLINA MAIN-LINE LLC at the time of the driver’s termination of employment with CAROLINA MAIN-LINE LLC. If said equipment is not returned or is not in a condition deemed acceptable due to abuse or neglect (other than normal wear and tear), the driver will be charged for the replacement of this equipment. The replacement cost will be that of the actual cost charged to CAROLINA MAIN-LINE LLC by the equipment manufacturer or vendor.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_

**Maurice DeBerry Employee’s Signature Date**

#

# Equipment Training Form

I \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_did provide all necessary training on company issued equipment to \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ on \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ did express to me that they understood this training, its purpose and intent, and that they further understand their responsibilities to CAROLINA MAIN-LINE LLC pertaining to the maintenance, care, and use of said equipment.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_

**Driver Signature Employee Signature Date**

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# Driver’s Licensing

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## Policy

National Safety Code Standard 1, Single Driver License Concept, prohibits drivers from holding more than one valid driver’s license. National Safety Code Standard 4 requires drivers to be at least 18 years of age.

Drivers employed by CAROLINA MAIN-LINE LLC may only hold one driver’s license issued by one jurisdiction only and must be at least 18 years old to operate CAROLINA MAIN-LINE LLC commercial vehicles.

##

## Responsibility

Director of Operations is responsible for verifying that drivers employed by CAROLINA MAIN-LINE LLC hold a single driver license in class A valid to operate CAROLINA MAIN-LINE LLC's vehicles.

##

## Procedures

To prove that a driver only holds one license, a driver must provide the following to Director of Operations:

* Written documentation of all his/her driver’s licenses previously held.
* Written proof of his/her current valid driver’s license, including the license’s jurisdiction.
* A copy of his/her current driving abstract.

Annually, drivers must provide a copy of the current abstract or provide CAROLINA MAIN-LINE LLC with permission to obtain a current driver abstract. Drivers will be notified by Maurice DeBerry when a current abstract is required.

Further qualification procedures outside of driver licensing will be outlined in the Driver Qualification and Hiring Policies.

# Driver Qualification and Hiring

## Policy

CAROLINA MAIN-LINE LLC believes that our employees are our most valuable assets, and that the success of the company is determined by the quality of its employees. Because of these beliefs, the personnel selections of the company are extremely important. The company is committed to hiring only the best and most qualified available drivers. To help carry out this commitment, CAROLINA MAIN-LINE LLC has implemented the following driver qualification procedures.

##

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## Responsibility

All driver recruiters, safety managers, and others involved in the hiring process must be familiar with and apply all hiring standards set forth in this policy.

Each candidate must be compared against the criteria set forth with no variations. Based on this policy, each candidate must be treated equally and consistently by the parties involved in the selection and screening of driver applicants.

##

## Procedures

CAROLINA MAIN-LINE LLC's driver hiring qualification standards and procedures have been developed to help ensure that drivers who share CAROLINA MAIN-LINE LLC's values and goals of operating in a safe, legal, and professional manner.

North Carolina has adopted a minimum age requirement of 18 years old to operate a commercial motor vehicle.

CAROLINA MAIN-LINE LLC's hiring standards require all driver applicants have a minimum of two years of verifiable driving experience.

CAROLINA MAIN-LINE LLC's hiring standards require that only those driver applicants with 2 or fewer chargeable or preventable motor vehicle accidents within the past 5 years will be considered for employment. Because of CAROLINA MAIN-LINE LLC's commitment to safety, the company will not consider driver applicants who fail to meet the above standard.

CAROLINA MAIN-LINE LLC's hiring standards also require that only those driver applicants with three or fewer violations of motor vehicle laws (other than violations involving parking only) within the past 5 years will be considered for employment. An applicant who has incurred more violations than the above standard has demonstrated a pattern of unsafe driving behavior which CAROLINA MAIN-LINE LLC finds unacceptable in any prospective driver associate.

CAROLINA MAIN-LINE LLC will not consider a driver applicant for employment if convicted of any offense involving the operation of a motor vehicle while impaired by alcohol.

CAROLINA MAIN-LINE LLC will only consider a driver applicant for employment who has been convicted of an offense involving the operation of a motor vehicle while impaired by alcohol only if the applicant has had no similar incidents within the past five years.

CAROLINA MAIN-LINE LLC will not consider a driver applicant for employment if convicted of any careless or reckless driving of a motor vehicle offense within the past five years. Drivers convicted of operating a motor vehicle with willful or blatant disregard for the safety of persons or property are unsafe by the company. This kind of behavior is unacceptable in any prospective CAROLINA MAIN-LINE LLC driver.

CAROLINA MAIN-LINE LLC will not consider any driver applicant for employment who has been convicted of a criminal offense involving a commercial vehicle, including operating while under the influence of a controlled substance, transporting a controlled substance, or any other felony involving the use of a commercial motor vehicle.

Driver applicants must provide written disclosures as to their accidents and convictions so that the items listed above can be verified. The written disclosures are to be provided to the Director of Operations.

Driver applicants will also be required, because of experience, training, or both, to be able to safely operate a CAROLINA MAIN-LINE LLC vehicle and determine and execute proper cargo security procedures.

##

## Road test and certificate

CAROLINA MAIN-LINE LLC requires all driver applicants to successfully complete a road test examination conducted by Certified Truck Driving School prior to an offer of employment. The road test examination shall be performed in the type of vehicle the driver will operate for the company. The company’s road test examination will be a minimum of 50 kilometers in length, and cover the following areas:

* A complete pre-trip inspection
* Placing the vehicle in operation
* Using the vehicle's controls and emergency equipment
* Driving in traffic and passing other vehicles (if safely feasible)
* Turning
* Braking, and slowing by means other than braking Backing and parking.
* Other slow-moving operations
* Safe coupling and uncoupling procedures of a combination tractor and trailer

CAROLINA MAIN-LINE LLC is required to provide a record of the road test examination form on which the driver's skill in each operation listed above is to be rated. The form is to be signed by the company official conducting the test. The original of this record will be recorded and placed in the driver's qualification file.

Upon successful completion of the road test examination, the CAROLINA MAIN-LINE LLC official who administered the test will complete a certificate of road test. A copy of the certificate will be given to the driver, and the original will be placed in the driver's qualification file, written examination, and certificate.

CAROLINA MAIN-LINE LLC driver applicants are required under company policy to pass a written examination on the applicable safety regulations with a score of 80% correct or better. A company Written Examination form will be used, and the applicant may refer to a copy of North Carolina’s applicable motor carrier regulations which will be provided by the company. The examiner giving the written test will complete a Certificate of Written Examination form for each driver applicant passing the exam. The form will be placed in the driver's personnel file along with the actual test.

#

# Driver Qualification Files

## Policy

CAROLINA MAIN-LINE LLC must ensure that all drivers are properly qualified to operate CAROLINA MAIN-LINE LLC's vehicles. Records of drivers’ qualifications will be kept in their personnel files. CAROLINA MAIN-LINE LLC will also keep driver qualification files on leased drivers operating under CAROLINA MAIN-LINE LLC's safety certificate.

## Responsibility

Director of Operations is responsible for maintaining and updating CAROLINA MAIN-LINE LLC's driver qualification files.

## Procedures

The following items will be kept on each driver employed by CAROLINA MAIN-LINE LLC or operating under CAROLINA MAIN-LINE LLC's safety certificate:

Driver’s name, date of birth, and driver license number

* Current license class and status
* Current driver abstract issued within the past 12 months.
* Air brake endorsement qualification
* Transportation of dangerous goods certificate
* Extended combinations certificate
* A copy of the driver’s road test and written examination
* Certificates/Records of completed training.
* All traffic offences and criminal driving offences for which the driver was convicted over the past two years; and
* All reportable accidents involving NSC vehicles, in which the driver was involved over the past two years.

Items will be updated within the driver’s qualification file as warranted.

Driver qualification files will be kept for the duration of the driver's employment and for 1 year thereafter. Records will be kept at CAROLINA MAIN-LINE LLC's principal place of business or at a regional or terminal location.

## Periodic Review of DQ Files

Every year, driver qualification files will be reviewed for completeness and accuracy.

To ensure all records within a driver’s driver qualification file are up-to-date, CAROLINA MAIN-LINE LLC has implemented an alert system. The alert system consists of reaching out to Transportation Compliance Service, LLC to ensure files are done in a proper manner.

#

# Driver Training

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## Policy

CAROLINA MAIN-LINE LLC believes that driver training is key to ensuring drivers understand their responsibilities. Drivers will be trained on the following topics upon employment and periodically thereafter.

##

## Responsibility

Director of Operations is responsible for administering applicable training to new hires. The Director of Operations will also provide periodic retraining as specified on the training schedule.

##

## Procedures

Drivers will be trained in the following areas (at a minimum):

#

### **Hours-of-service**

CAROLINA MAIN-LINE LLC expects all drivers’ associates to know and comply with the hours-of-service regulations. Therefore, as part of the company's policy, all new drivers, regardless of experience, will be trained and tested in the Commercial Vehicle Driver’s Hours of Service Regulations.

### **Pre-Trip Inspections and Inspection Reports**

CAROLINA MAIN-LINE LLC is committed to a strong vehicle inspection program. As part of the company's driver orientation policy, all new driver associates, regardless of experience, will be trained in daily pre-trip vehicle inspection procedures. These procedures include instructions on how to perform pre-trip inspections, on-the-road inspections, and how to prepare company vehicle inspection report forms.

#

# Cargo Securement

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## Policy

Proper cargo securement practices are essential to the prevention of damaged cargo and accidents caused by unsecured freight. CAROLINA MAIN-LINE LLC is committed to ensuring all freight is secured according to National Safety Code Standard 10, Cargo Securement.

##

## Responsibility

It is the responsibility of Director of Operations to ensure that all drivers have been properly trained in the handling and securing of freight.

It is the responsibility of all drivers to load and secure all freight properly according to National Safety Code Standard 10, Cargo Securement.

Director of Operations is responsible for posting North Carolina’s cargo security regulations and/or the National Safety Code Standard 10, Cargo Securement, in a conspicuous place. The regulations and/or standard will be posted on site. Director of Operations must also provide drivers with access to the Canadian Council of Motor Transport Administrator’s (CCMTA’s) Cargo Securement Interpretation Guide. The guide is available from the CAROLINA MAIN-LINE office.

##

## Procedures

Drivers must:

* Inspect the vehicle to confirm that the vehicle’s tailgate, tailboard, doors, tarpaulins and spare tire, and other equipment used in its operation, are secured.
* Ensure that the cargo does not interfere with the driver’s ability to drive the vehicle safely.
* Ensure that the cargo does not interfere with the free exit of a person from the cab or driver’s compartment of the vehicle.

The driver of a vehicle must inspect the vehicle’s cargo and the cargo securement systems used and make necessary adjustments:

* Before driving the vehicle
* Not more than 80 kilometers from the point where the cargo was loaded.

The driver of a vehicle must re-inspect the vehicle’s cargo and the cargo securement systems used and make necessary adjustments to the cargo or cargo securement system as necessary, including adding more securing devices, at the earliest of the following:

* There is a change of duty status of the driver,
* The vehicle has been driven for three hours, or
* The vehicle has been driven for 240 kilometers.

If the cargo is sealed in a vehicle and the driver has been ordered not to open it to inspect the cargo or if the vehicle is loaded in a manner that makes the cargo, or portions of the cargo, inaccessible, then the driver is not required to inspect the cargo and cargo securement systems as required above.

#

# Training Records

Upon completion of the training listed above, a record of the training will be placed in the driver’s driver qualification file.

##

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## Periodic Retraining/Evaluation

Drivers will be required to attend quarterly safety meetings where refresher of various safety topics will be covered. Drivers will also be periodically retrained in all areas listed above.

Annually, drivers will be required to demonstrate their in-cab driving skills according to the on- road evaluation performed when the driver was first hired by CAROLINA MAIN-LINE LLC.

#

# Hours of Service – Property-Carrying Vehicles

##

## Policy

CAROLINA MAIN-LINE LLC is committed to strictly following the hours-of-service regulations for property-carrying vehicles. Department of Transportation (DOT) regulations require all motor carriers and drivers to follow the hours-of-service requirements. Our hours-of-service procedures will help avoid DOT penalties and reduce driver fatigue.

##

## Responsibility

Drivers are expected to know and apply the property-carrying vehicle hours-of-service rules. They should familiarize themselves with company-specific policies that are in addition to these rules. Any disregard for these hours-of-service rules and/or company-issued policies will result in disciplinary actions by the company.

Drivers are expected to monitor their on-duty/off-duty time and know their availability. They have a certain level of responsibility for safety compliance, in addition to those who dispatch them and those who audit the hours-of-service records.

A driver is expected to approach a supervisor if he or she has questions about the hours-of- service rules and/or company-issued policies. Any hours-of-service violations resulting from a misunderstanding of the rules may result in refresher retraining.

Drivers are expected to use their best judgment if feeling ill or fatigued. Even if they have available hours under the rules, they must not begin or continue with a shift.

Safety and operations personnel must not allow a driver to violate the hours-of-service rules and/or company-issued policies. Supervisory personnel must not allow a driver to operate a commercial motor vehicle if he or she is ill or fatigued, despite having available hours available under the rules.

##

## Procedures

### 11-hour driving rule

A driver cannot drive for more than 11 hours following 10 consecutive hours off duty. All time spent at the driving controls of a commercial motor vehicle is considered driving time.

###

### 14-hour on-duty rule

A driver cannot drive after the 14th consecutive hour after coming on duty. After the 14th hour, a driver cannot drive again until he/she has 10 consecutive hours of rest.

### Rest-break rule

A driver cannot drive if more than 8 hours have passed since the end of the driver's last off-duty or sleeper-berth period of at least 30 minutes.

###

### Short-haul drivers

* A short-haul driver may be exempt from the 14-hour rule periodically, under the following conditions:
* The driver must have returned to their normal work reporting location and been released from duty at that location for the previous five duty tours the driver has worked.
* The driver must return to the normal work reporting location and be released from duty within 16 hours after coming on duty following 10 consecutive hours off duty.
* The driver must not have taken this exemption within the previous 7 consecutive days, except when he/she has begun a new 7 or 8-consecutive-day period with a valid 34- hour restart.

### Adverse driving conditions

A driver who encounters adverse driving conditions and, because of those conditions, cannot safely complete their run within the 11-hour maximum driving time may drive for an additional 2 hours to complete the run.

Adverse driving conditions mean snow, sleet, fog, or unusual road and traffic conditions which were not apparent to the person dispatching the run at the time it started.

A driver may not drive:

* for more than 13 hours following 10 consecutive hours off duty
* if more than 8 hours have passed since the end of his/her last off-duty or sleeper-berth period of at least 30 minutes.
* after they have been on duty after the end of the 14th hour after coming on duty, following 10 consecutive hours off duty.

Adverse driving conditions do not include loading or unloading delays or conditions that were apparent before the run was dispatched.

###

### Sleeper berth

The sleeper berth can be used to accumulate required off-duty time, if the driver follows prescribed guidelines. A driver can accumulate the required 10 hours of off-duty time by either:

* Spending 10 consecutive hours in the sleeper berth
* Combining time in the sleeper berth with other off-duty time to get 10 hours off, if all10 hours are consecutive.
* Obtaining 10 non-consecutive hours off duty using two separate rest periods, with one being at least 8 consecutive hours in the sleeper berth and the other being at least 2 consecutive hours either off duty, in the sleeper berth, or any combination of the two.

When using the final option, once a driver has obtained the two required rest periods, the driver does not have 11 and 14 hours available. Available hours are calculated by counting forward from the end of the first rest period and subtracting driving time from 11 and all time (excluding any 8-hour sleeper-berth periods) from 14.

The following example describes how the sleeper berth can be used effectively by a driving team. Driver A is behind the wheel for 8 hours, then goes into the sleeper berth for 8 hours while Driver B (who has been in the sleeper berth) gets behind the wheel. After 8 hours in the sleeper berth, Driver A drives for another 3 hours then goes back into the sleeper berth for 3 hours. At that point, Driver A’s 10-hour off-duty requirement has been satisfied in two blocks of time and he/she can return to driving for 8 hours.

This method can be used continually if the driver has driving time available under the 60/70-hour rule.

Drivers can also record up to 2 hours riding in the passenger seat of a moving property-carrying vehicle as “off duty,” provided the 2 hours is immediately before or after spending at least 8 consecutive hours in a sleeper berth. This off-duty time, along with the sleeper-berth time, can be excluded from the 14-hour calculation.

### 60-hour/7-day limit

CAROLINA MAIN-LINE LLC follows the 60-hour/7-day schedule. A driver cannot drive after having been on duty for 60 hours in any 7 consecutive days.

### 34-Hour Restart:

Any period of 7 consecutive days may end with the beginning of an off-duty period of 34 or more consecutive hours. Upon completion of the 34-consecutive hours off duty, the driver’s hours worked for the previous 7 days goes to “0” and the driver has a full 60 hours available.

### 70-hour/8-day limit

CAROLINA MAIN-LINE LLC follows the 70-hour/8-day schedule. A driver cannot drive after having been on-duty for 70 hours in any 8 consecutive days.

### 34-Hour Rest*art:*

Any period of 8 consecutive days may be ended with the beginning of an off-duty period of 34 or more consecutive hours. Upon completion of the 34-consecutive hours off duty, the driver’s hours worked for the previous 8 days goes to “0” and the driver has a full 70 hours available.

### Driver

The 60-hour/7-day limit and 70-hour/8-day limit does not apply to a driver-salesperson whose total driving time does not exceed 40 hours in any period of 7 consecutive days.

A driver-salesperson is defined as a private carrier employee who sells goods, services, or the use of goods, and delivers them via a commercial motor vehicle. The driver-salesperson must perform these duties within a 100-mile radius of the location where he/she reports for duty and must not spend more than 50 percent of his/her on-duty hours driving.

The term selling goods includes all cases of solicitation or obtaining of reorders or new accounts. It may also include other selling or merchandising activities.

###

### Ground water well drilling operations

When the driver of a commercial motor vehicle, who is used primarily in the transportation and operation of a groundwater well drilling rig, is off duty for at least 24 consecutive hours, the period of 7 or 8 days ends at the beginning of the off-duty time. The clock "restarts" when the driver goes on duty again.

#### Construction materials and equipment

When the driver of a commercial motor vehicle, who is used primarily in the transportation of construction materials and equipment, is off duty for at least 24 consecutive hours, the period of 7 or 8 days ends at the beginning of the off-duty time. The clock "restarts" when the driver goes on duty again. This exception does not apply if the vehicle is carrying a placard able amount of hazardous materials.

### Utility service vehicles

The hours-of-service rules do not apply to drivers of "utility service vehicles" (see Sec. 390.5).

### Agricultural operations

The hours-of-service regulations do not apply during the state's planting and harvesting periods to drivers transporting:

* Agricultural commodities from their source, within a 150 air-mile radius of that location
* Farm supplies for agricultural purposes, within a 150 air-mile radius
* a wholesale or retail distribution point to a farm or other location where the farm supplies are intended to be used; or
* a wholesale distribution point to a retail distribution point.

The planting and harvesting season are [\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_]in North Carolina.

### **Motion picture production vehicles**

A driver providing transportation to or from a theatrical or television motion picture production site is exempt from the 11 and 14-hour rules if all the following criteria are met:

* The driver operates within a 100 air-mile radius of the location where the driver reports to and is released from work, i.e., the normal work-reporting location.
* The driver does not drive more than 10 hours following 8 consecutive hours off duty.
* The driver does not drive for any period after having been on duty 15 hours following 8 consecutive hours off duty.

### **Vehicles containing Division 1.1, 1.2, or 1.3 Explosives.**

A driver required to be in attendance on a vehicle containing Division 1.1, 1.2, or 1.3 explosives must always remain “on duty” while performing attendance functions or any other work (Sec. 397.5). The driver may use 30 minutes or more of attendance time to meet the requirement for a rest break every 8 hours if no other work is performed during the break. The rest break must be recorded as “on duty” time with a remark or note used to indicate the period used to satisfy the 30-minute rest-break requirement.

### **Ready-mixed concrete delivery vehicles**

A driver of a ready-mixed concrete delivery vehicle may use 30 minutes or more of time spent while waiting with the vehicle at a job site or terminal to meet the requirement for a 30-minute rest break if the driver performs no other work during the break.

### **Vehicles transporting livestock or bees**

The requirement for a 30-minute rest break does not apply to a driver engaged in the interstate transportation of livestock or bees by commercial motor vehicle if the livestock or bees are on the vehicle.

#### **Railroad signal employees**

The hours-of-service rules do not apply to railroad signal employees while regulated by the Federal Railroad Administration and who operate commercial motor vehicles, are engaged in installing, repairing, or maintaining signal systems, and are employed by a railroad carrier or a contractor or subcontractor to a railroad carrier.

### **Hi-rail vehicles.**

For the driver of a hi-rail vehicle, time in transportation to or from a duty assignment can be excluded from hours-of-service limits if it does not exceed 2 hours per calendar day or 30 hours per calendar month and is fully accounted for in the driver’s time records.

### **Covered farm vehicles.**

The hours-of-service rules do not apply to drivers of “covered farm vehicles” (see Sec. 390.5).

### **Pipeline welding trucks**

The hours-of-service rules do not apply to drivers of “pipeline welding trucks” (see Sec. 390.38).

## On-duty time

All the time, from the time a driver begins to work or is required to be in readiness to work until the time they are relieved from work and all work responsibility is considered on-duty time. Work for any entity, regardless of whether the employer is a carrier, is considered on-duty time. On- duty time includes the following:

* All time at a plant, terminal, facility, or other property, of a motor carrier or shipper, or on any public property, waiting to be dispatched, unless the driver has been relieved from duty by the motor carrier. All time inspecting, servicing, or conditioning any commercial motor vehicle at any time.
* All driving time.
* All time, other than driving time, in or upon any commercial motor vehicle except time spent resting in a sleeper berth, time spent resting in or on a parked vehicle, and up to 2 hours spent riding in the passenger seat of a moving property-carrying vehicle immediately before or after spending at least 8 consecutive hours in a sleeper berth.
* All time loading or unloading a commercial motor vehicle, supervising, or assisting in the loading or unloading, attending a commercial motor vehicle being loaded or unloaded, remaining in readiness to operate the commercial motor vehicle, or in giving or receiving receipts for shipments loaded or unloaded.
* All time repairing, obtaining assistance, or remaining in attendance upon a disabled commercial motor vehicle.
* All time spent providing a breath sample or urine specimen, including travel time to and from the collection site, to comply with alcohol and drug testing requirements.
* Performing any other work in the capacity, employ or service of a motor carrier.
* Performing any compensated work for a person who is not a motor carrier.

### **Meal stops exception.**

A driver may record meal and other routine stops as 'off-duty ‘time if both of the following criteria are met:

* CAROLINA MAIN-LINE LLC relieves the driver of all duty and responsibility for the care and custody of the vehicle, its accessories, and any cargo or passengers it may be carrying for the duration of the stop, the driver must be at liberty to pursue activities of their own choosing and to leave the premises where the vehicle is situated.

### **100 air-mile radius exception**

A driver is not required to create a log or use an AOBRD/ELD, or comply with the 30- minute break requirement if the following criteria are met:

* The driver operates within a 100-air-mile radius of the normal work reporting location.
* The driver, except a driver salesperson, returns to their work reporting location and is released from work within 12 consecutive hours (or 14 consecutive hours for any driver of a ready-mixed concrete delivery vehicle)
* At least 10 consecutive hours off duty separate each 12 hours on duty.
* The driver does not drive more than 11 hours following 10 hours off duty.

Drivers claiming this exception must comply with the 60/70-hour limit.

CAROLINA MAIN-LINE LLC must maintain the driver's time records for 6 months showing the time the driver reports for duty each day, the time the driver is released from duty each day, the total number of hours the driver is on duty each day, and the total time for the preceding 7 days for drivers used the first time or intermittently.

One hundred air-miles are equivalent to 115.08 statute miles.

### **Non-CDL-driver short-haul exception**

A driver is not required to create a log or use an AOBRD/ELD, or comply with the 30- minute break requirement, and is exempt from the 14-hour limit, if the following criteria are met:

* The driver is not required to carry a commercial driver's license (CDL)
* The driver stays within a 150-air-mile radius of the normal work reporting location.
* The driver returns to that work reporting location at the end of each duty tour.
* The driver does not drive after the 14th hour after coming on duty on 5 days of any period of 7 consecutive days, or after the 16th hour after coming on duty on 2 days of any period of 7 consecutive days (a valid 34-hour restart may be used to begin a new 7-consecutive-day period).

Drivers claiming this exemption must comply with the 10-hour off-duty rule, the 11-hour driving rule, and the 60/70-hour limit, and must not use the 100-air-mile radius exception, the sleeper-berth option, or the 16-hour short-haul exception.

CAROLINA MAIN-LINE LLC must maintain time records for 6 months showing the time the driver reports for duty each day, the total number of hours the driver is on duty each day, and the time the driver is released from duty each day (and the total time for the preceding 7 days for drivers used for the first time or intermittently).

150 air miles are equivalent to 172.6 statute miles.

###

### **Fatigued drivers**

Drivers are prohibited from operating a commercial motor vehicle if they are ill or fatigued, even if they have available hours under the hours-of-service rules. In a case of grave emergency where the hazard to occupants of the commercial motor vehicle or other users of the highway would be increased by compliance with this section, the driver may continue to operate the commercial motor vehicle to the nearest place at which that hazard is removed. This is in accordance with 49 CFR §392.3.

#

# Hours-of-Service Auditing - Property-Carrying Vehicles

##

## Policy

CAROLINA MAIN-LINE LLC is committed to always operating in a safe and legal manner. The submission of accurate, true, neat, and legible daily logs and accurate and true electronic logs (e-logs) is an integral part of this commitment. CAROLINA MAIN-LINE LLC has established a zero-tolerance standard for log and hours-of-service violations. The company will audit driver's logs and e-log records to ensure compliance with the Federal Motor Carrier Safety Regulations, Part 395, as applicable to drivers of property-carrying vehicles. Continual noncompliance with hours-of-service regulations will not be tolerated at CAROLINA MAIN-LINE LLC.

##

##

## Responsibility

Each driver is expected to always operate in a safe and legal manner, which includes the submission of accurate, true, neat, and legible daily logs and e-logs. Each driver must understand and apply all hours-of-service rules.

All logs and e-logs forwarded to Maurice DeBerry must be audited consistently by the department. All errors must be addressed by management. All drivers must be treated equally and fairly in respect to discipline and rewards.

##

## Procedures

CAROLINA MAIN-LINE LLC's auditing procedures consist of four steps.

1. All drivers are expected to submit accurate, true, neat, and legible daily logs and accurate and true e-logs in a timely manner.
2. Daily logs and e-logs will be forwarded to CAROLINA MAIN-LINE LLC's owner for audit and review.
3. Drivers will be given feedback and/or corrective action will be suggested based on results of log audits.
4. Recognition will be given to drivers who submit zero-defect logs.

##

## Log submission

CAROLINA MAIN-LINE LLC requires all drivers to submit daily logs (paper and electronic) in a timely manner.

Before submission of logs (paper and electronic), drivers are expected to check them for completeness, accuracy, and legibility.

Any corrections to the record before submission must be made by the driver only.

##

## Auditing

After submission by drivers, logs (paper and electronic) will be forwarded to CAROLINA MAIN-LINE LLC's owner for auditing. All drivers’ logs (paper and electronic) will be retained by the company for a period of six months (Secs. 395.8k and 395.22i).

Paper logs will be audited for form and manner violations, hours-of-service limits violations, grid and recap violations, and log falsification.

Form and manner violations indicate carelessness on the driver's part. This kind of violation can easily be avoided by following CAROLINA MAIN-LINE LLC's log submission procedure of checking each log for completeness before submission. Form and manner violations include:

* *Log Missing:* Drivers shall submit a log for each day, except that two or more consecutive off duty days may be on one sheet.
* *Date Missing/Duplicate Logs:* Each log must be dated and there must be only one log for each day.
* *Miles Driven Missing:* Total actual miles driven in the 24-hour period must be entered.
* *Name of Carrier Missing/In Error:* CAROLINA MAIN-LINE LLC must be entered.
* *Vehicle/Trailer Numbers Missing:* Unit numbers of all CAROLINA MAIN-LINE LLC vehicles operated in the 24-hour period must be entered.
* *Driver's Signature Missing/In Error:* The driver must sign their full legal name on each daily log sheet.
* *Co-Driver Name Missing:* The driver must enter the first name, initial and complete last name of their co-driver if operating as a team.
* *Main Office Address:* Enter full city and state abbreviated.
* *Missing Shipping Document/In Error:* The driver must show a shipping document number for each trip in the 24-hour period.
* *Pre-trip Inspection/Tire Check Improperly Noted:* Drivers shall identify locations when a change in duty status occurs.
* *Different Log for Same Day:* Each log graph can carry only one set of information.

Electronic logs will be audited for form and manner, hours-of-service violations, unassigned driving time, and edits.

If unassigned driving time is determined to belong to a specific driver, the unassigned time is to be assigned to the driver and compliance with the hours-of-service limits reviewed. The driver is then to be questioned as to what caused the unassigned driving time and counseled on methods to be used to prevent future unassigned driving time.

Edits will be audited for legitimacy. Legitimate edits are edits that corrected for an error or omission made by a driver. Illegitimate edits are ones made that created a false record. Examples would be changing correctly recorded on-duty time to off duty to eliminate a violation or to create more hours available.

Hours-of-service limits violations, specifically violations of the 8, 11, 14, and 60/70-hour limits, are more serious than form and manner violations. Operating in violation of the limits can cause fatigue, which jeopardizes the safety of the driver and the general motoring public. Hours-of- service violations include:

* *11-Hour Violation:* After 10 consecutive hours off duty, a driver may not drive more than 11 hours. *14-Hour Violation:* A driver must not drive after the 14th consecutive hour after coming on duty following 10 consecutive hours off duty.
* *Rest-Break Violation*: A driver must not drive if more than 8 hours have passed since the end of the driver's last off-duty or sleeper-berth period of at least 30 minutes.
* *Violation of 60/70 Hour Rule:* Drivers may not drive after being on duty for 60 hours in any 7, or 70 hours in any 8 consecutive day period.

In addition, if the driver is using a paper log, the following grid and recap violations apply:

* *Stop/Start Location Not the Same:* The starting location on a log must be the same as the ending location on the previous log.
* *Hours Missing/In Error:* Drivers must record total hours used at the end of each line of the graph. The hours added together must equal 24.
* *Over Maximum Average MPH:* Drivers must not average over the company or posted speed limit.
* *Graph Incomplete/In Error:* A driver must account for all time on the graph. Drivers must show a complete continuous line for each 24-hour period. Overlapping of time is not permitted.
* *No Driving Time for Miles Driven:* There must be time shown on line 3 when driving miles are entered.
* *Change in Duty Status Missing/Remarks Error:* Enter full city and state abbreviation for each duty status change.

Falsification shows a complete disregard of CAROLINA MAIN-LINE LLC’s policy and federal regulations.

This type of violation is looked at very seriously by the company. Falsification occurs when the times and locations on a paper log do not agree with supporting documentation, such as scale tickets, toll receipts, loading and unloading times as noted on shipping papers, etc. Falsification also occurs when the driver records time as off duty when a supporting document shows that the driver was involved in an on-duty activity.

To locate falsification, CAROLINA MAIN-LINE LLC will audit driver logs (paper and electronic) for accuracy using supporting documents.

##

## Feedback corrective action

All violations will be brought to a driver's attention as soon as possible.

Maurice DeBerry will be responsible for reviewing the violation(s) with the driver. This review will consist of an explanation of any violations and how to prevent re-occurrence.

The driver can request, or the driver's supervisor can recommend, hours-of-service remedial training at any time. Drivers in need of additional hours-of-service training will be referred to CAROLINA MAIN-LINE LLC's Safety Department for scheduling.

Drivers with repeated or excessive hours-of-service violations will be subject to the following corrective action schedule. However, CAROLINA MAIN-LINE LLC reserves the right to impose more stringent consequences based on circumstances and the severity of violations.

Situations will be judged on a case-by-case basis before the phased corrective action described below is initiated.

***Phase 1***

A verbal warning will be issued to drivers who incur one (1) or more form and manner violations in a given month.

A verbal warning will be issued to drivers who incur one (1) or more hours-of-service violations in a given month.

A verbal warning will be issued to drivers with 1 or more falsifications in a given month.

A verbal warning will be issued to drivers who incur any combination of violations totaling one (1) or more in each month.

Drivers in Phase 1 status will be placed on probation for a 30-day period.

The driver will be taken off Phase 1 status after the probationary period has expired and the unacceptable behavior has been corrected. Drivers with excessive violations will be placed in Phase 2 of CAROLINA MAIN-LINE LLC's corrective action program. All verbal warnings must be fully documented, and a record placed in the driver's file. All verbal warning entries must include the date and time issued and signatures of the driver's supervisor and/or Safety Department representative.

***Phase 2***

A written warning will be issued to drivers who incur one (1) or more form and manner violations while in Phase 1 probationary status.

A written warning will be issued to drivers who incur one (1) or more hours-of-service violations while in Phase 1 probationary status.

A written warning will be issued to drivers who incur 1 or more falsifications while in Phase 1 probationary status.

A written warning will be issued to drivers who incur any combination of violations totaling one (1) or more while in Phase 1 probationary status.

Drivers in Phase 2 status will be placed on probation for a 30-day period.

Drivers placed in Phase 2 status are demonstrating a continuing pattern of behavior contrary to CAROLINA MAIN-LINE LLC policy and federal regulations. Drivers in Phase 2 shall be scheduled for mandatory remedial hours-of-service training. A copy of the written warning and record of remedial training must be placed in the driver's file. Drivers with continuing excessive violations will be placed in Phase 3. All written warning entries must include the date and time issued and the signatures of the driver, supervisor, and/or Safety Department representative.

***Phase 3***

A final written warning will be issued to drivers who incur one (1) or more form and manner violations while in Phase 2 probationary status.

A final written warning will be issued to drivers who incur one (1) or more hours-of-service violations while in Phase 2 probationary status.

A final written warning will be issued to drivers who incur one (1) or more falsifications while in Phase 2 probationary status.

A final written warning will be issued to drivers who incur any combination of violations totaling one (1) or more while in Phase 2 probationary status.

Phase 3 is the final stage of CAROLINA MAIN-LINE LLC's corrective action program. Drivers who reach this stage are demonstrating inability or unwillingness to conform to the company's hours-of-service policy and federal regulations. Drivers in Phase 3 face disciplinary action including suspension and possible termination of employment. A copy of the final written warning will be placed in the driver's file. All final written warning entries must include the date and time issued and the signatures of the driver, supervisor, and/or Safety Department representative.

##

##

## Recognition

Drivers who demonstrate the ability to consistently submit accurate, true, neat, and legible logs will be recognized for their superior efforts.

#

# Sample warning letter

To: Employee Name Address

Re: Hours-of-service warning letter

Dear Driver:

On \_\_\_\_\_\_\_\_\_\_, you were given a verbal warning and placed in Phase 1 of CAROLINA MAIN-LINE LLC's corrective action program for excessive hours-of-service violations for the month of . You were informed verbally that your performance in this area was not meeting company standards. CAROLINA MAIN-LINE LLC has a zero-tolerance standard for hours-of- service violations.

A review of the most recent audit of your hours-of-service records shows little or no improvement. Therefore, I have no alternative but to issue this written warning letter.

Per company policy, I am placing you in Phase 2 of CAROLINA MAIN-LINE LLC's corrective action program.

This includes a \_\_\_\_\_\_\_\_day probationary period. During this time, your daily records will be closely monitored. In addition, I am scheduling you for mandatory remedial hours-of-service training with our Safety Department. I will inform you of the date and time of this training.

Continued unacceptable hours-of-service performance while you are in this probationary period will result in further corrective action according to company policy. If you have any questions regarding this matter, please contact me or Diana Rowan, Director of Safety.

Performance record to date:

\_\_\_\_\_ Form and manner violations since \_\_\_\_\_

\_\_\_\_\_ Hours-of-service violations since \_\_\_\_\_

\_\_\_\_\_ Falsifications since \_\_\_\_\_

\_\_\_\_\_ Total recorded violations since \_\_\_\_\_\_

Sincerely,

###

#

# \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

# Maurice DeBerry Employee’s Signature Date

**Sample Recognition Letter**

Dear \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_,

I want to congratulate you on your achievement of submitting error and violation-free hours-of- service records for the second consecutive month. I can see by your efforts that you take a great deal of pride in your work. Your efforts have not gone unnoticed.

Submitting daily hours-of-service records is an important and difficult part of your job. The fact that you have submitted perfect records for the second month in a row attest to your attention to detail and professionalism as a driver for CAROLINA MAIN-LINE LLC. You are to be recognized for this accomplishment.

A copy of this letter will be placed in your permanent file and a copy will be provided to Human Resource Department.

Please come and see me next time you are in the office. I would like to ask you for some pointers and suggestions I might pass on to drivers who are having difficulty in this area.

Again, thank you for your efforts and good work. I look forward to writing you more of these letters.

Sincerely,

Maurice DeBerry

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Employee’s Signature Date**

#

# Driver Logs

# Policy

CAROLINA MAIN-LINE LLC is strongly committed to full compliance with the current federal hours-of-service regulations, including daily logging requirements.

A major element of individual compliance with the hours-of-service regulations is regular completion of the company's specified log form.

CAROLINA MAIN-LINE LLC requires use of ELD provided by Drivers should use only the forms provided by CAROLINA MAIN-LINE LLC to keep track of their time. The following you will find guidelines on what CAROLINA MAIN-LINE LLC expects in completion of the required documents.

##

## Responsibilities

Drivers are expected to know and apply both logging procedures under the federal regulations and company policy. Infringements will result in corrective actions up to termination.

Dispatchers and managers will be expected to instruct and correct drivers on the proper completion of a driver log.

##

## Procedures

The regulations allow for an exemption to the daily log keeping requirements if a driver can meet all the following conditions:

* The driver operates a commercial vehicle within a radius of 160 kilometers of the home terminal.
* The driver returns to the home terminal each day to begin a minimum of eight consecutive hours of off-duty time.
* The motor carrier maintains accurate and legible records showing, for each day, the driver's duty status and elected cycle, the hour at which each duty status begins and ends, and the total number of hours spent in each status; and
* The driver is not driving under an hours-of-service permit.

Drivers making use of the 160-kilometer exemption on certain days must shift back to providing a standard log document for any day when they do not meet the exemption requirements.

While it is CAROLINA MAIN-LINE LLC's responsibility for maintaining driver duty status records under the regulations, drivers help complete the process by filling out a record of duty status log or time record.

##

## Using the Log Grid

Drivers subject to daily logging requirements must complete a daily log.

Time on the grid is entered in one of four different duty statuses. Following is a description of each of the types of duty statuses:

* **Off duty:** A driver may log off duty when he/she is relieved of responsibility for his/her job.
* **Sleeper berth:** Drivers may log time on this line that they spend in a sleeper berth which meets the requirements in Schedule 1 of the federal hours of service regulation.
* **Driving**: A driver must log on this line all time spent at the "driving controls of a commercial motor vehicle in operation".
* **On Duty (Not Driving):** All other time when the driver is working or is in the vehicle and not in the sleeper or driving must be logged on line 4.

On-duty time means the period that begins when a driver begins work or is required by the motor carrier to be available to work, except where the driver is waiting to be assigned to work, and ends when the driver stops work or is relieved of responsibility by the motor carrier, and includes driving time and time spent by the driver:

* Inspecting, servicing, repairing, conditioning, or starting a commercial vehicle
* Traveling in a commercial vehicle as a co-driver, when the time is not spent in the sleeper berth,
* Participating in the loading or unloading of a commercial vehicle.
* Inspecting or checking the load of a commercial vehicle
* Waiting for a commercial vehicle to be serviced, loaded, unloaded or dispatched; Waiting for a commercial vehicle or its load to be inspected.
* Waiting at an en-route point because of an accident or other unplanned occurrence or situation.
* Resting in or occupying a commercial vehicle for any other purpose, except
	+ Time counted as off-duty time when traveling as a passenger, Time spent in a sleeper berth,
	+ Time spent in a stationary commercial vehicle to satisfy the off-duty requirements (for example, in the sleeper berth), and
	+ Time spent in a stationary commercial vehicle that is in addition to the daily off- duty requirements; and
	+ Performing any work for any motor carrier.

The following 14 items must appear on any log:

* The graph grid with a "Remarks"
* Section Date
* Driver’s cycle (70 hours/7 days; 120 hours/14 days)
* Starting odometer readings for all vehicles operated by the driver in the day
* Ending odometer readings for all vehicles operated by the driver in the day
* Total distance driving on the 24-hour period covered by the log
* Truck/tractor and trailer plate numbers or unit numbers
* Carrier’s name and principal place of business address (P.O. Boxes not allowed)
* Driver’s home terminal name and address
* Driver's name printed
* Driver’s signature/certification
* The log’s start time if other than midnight (most commonly midnight or noon, but any other time can be chosen by the carrier for a particular terminal to use on their logs)
* Co-driver’s name, if applicable
* Total hours in each duty status (at the end of the grid)

The following items are also required under certain circumstances:

* If the driver is deferring off-duty time, a note in the “Remarks” section on whether he/she is operating under day one or day two of that time.
* If the driver uses the vehicle for personal use, the driver must provide the starting and ending odometer readings for the personal use (up to 75 kilometers per day)
* If the driver does not have a daily log for the previous day, then he/she must provide in the “Remarks” section a record of the previous 14 days on-duty hours and off-duty hours.

When you begin to fill out your log, some items can be immediately entered, with the rest being filled in as your day progresses. To begin, fill in the following:

* The date (generally located at top left of the form)
* Principle place of business name and address (this may already be preprinted on the log form you are using)
* Home terminal name and address (again this may be preprinted on your form; if it's not, the city name must be written out in full, but the state can be abbreviated)
* Truck or tractor and trailer plate numbers or unit numbers (generally located at the top of the form)
* Co-driver's name, if applicable
* Starting odometer reading
* The cycle you’re following.

Drivers have several specific responsibilities under the regulations when it comes to keeping their log. Entries:

* Must be current to the last change of duty status. Must be legible and in the driver's own handwriting.
* Should include all the required 14 items as described elsewhere in this procedure (and the additional three optional items, if applicable).
* Should be made using the time standard in effect at the driver's home terminal.
* For multiple days off or vacations can be consolidated onto a single log form if the inclusive dates are clearly shown.
* Always double check your calculations and math before you hand in a log.

Once you have completed a daily log, you are required to submit the original directly or forward it by mail within 20 days.

If a driver cannot submit logs on schedule, they should contact the Director of Operations for guidance. Logs should be submitted to the Director of Operations.

A driver must have the current day’s log, current to the last change of duty status, plus the logs for the previous 14 consecutive days in their possession. They must be able to produce these documents if requested to do so by a law enforcement official or inspector. Drivers must also retain supporting documents (i.e., toll receipts, fuel receipts, etc.).

Logs will be retained (along with all supporting documents) at the company site for six months from date of receipt.

# Hours of Service Rules

##

## Policy

CAROLINA MAIN-LINE LLC is committed to strictly following the hours-of-service regulations. National Safety Code Standard 9, Hours of Service, and Transport Canada’s Commercial Vehicle Drivers Hours of Service Regulations require all inter provincial motor carriers and drivers to follow the hours-of-service requirements (Note: Standard 9 is not yet current to new regulations effective 1/1/2007).

Our hours-of-service procedures will help avoid penalties and reduce driver fatigue.

##

## Responsibility

Drivers are expected to know and apply the hours-of-service rules. They should familiarize themselves with company-specific policies that are in addition to these rules. Any disregard for these hours-of-service rules and/or company-issued policies will result in disciplinary actions by the company.

Drivers are expected to monitor their on-duty/off-duty time and know their availability. They have a certain level of responsibility for safety compliance, in addition to those who dispatch them and those who audit the logs.

A driver is expected to approach a supervisor if they have questions about the hours-of- service rules and/or company-issued policies. Any hours-of-service violations resulting from a misunderstanding of the rules may result in refresher retraining.

Drivers are expected to use their best judgment if feeling ill or fatigued. Even if they have available hours under the rules, they must not begin or continue with a shift.

Safety and operations personnel must not allow a driver to violate the hours-of-service rules and/or company-issued policies. Supervisory personnel must not allow a driver to operate a commercial motor vehicle if he or she is ill or fatigued, despite having available hours available under the rules.

##

## Procedures

\*The following procedures are for drivers south of the 60th parallel.

###

### 13-hour driving rule, day and work shift.

A driver cannot drive more than 13 hours in a day (except if operating under the deferral rules).

A driver cannot drive for more than 13 hours in a work shift. All time spent at the driving controls of a commercial motor vehicle is considered driving time.

After the 13th hour of driving, a driver cannot drive again until he/she has at least 8 consecutive hours of rest.

###

### 13-hour on-duty rule, day and work shift

A driver cannot drive after the 14th hour on duty in a day (except if operating under the deferral rule).

A driver cannot drive after the 14th consecutive hour in the work shift. After the 14th hour, a driver cannot drive again until they have at least 8 consecutive hours of rest.

### 16-hour elapsed time rule (Work shift limits)

A driver cannot drive after the 16th hour into the work shift.

## Off duty rules

To drive again, a driver must obtain at least eight consecutive hours of off-duty time after accumulating 13 hours driving in a day or work shift, 14 hours on duty in a day or work shift, or after 16 hours elapsed time.

A driver must obtain at least 10 hours of off-duty time in a day. Off-duty time other than the mandatory eight consecutive hours must be distributed throughout the day in blocks of no less than 30 minutes.

A driver may not use part of an eight consecutive hour period as the additional two hours of off- duty time and as the restart of driving and on-duty time.

##

## Deferring off-duty time

Drivers may defer up to two hours of off-duty time to the following day if the:

* Off-duty time deferred is not part of the mandatory eight consecutive hours of off-duty time.
* Total off-duty time taken in the two days is at least 20 hours.
* Off-duty time deferred is added to the eight consecutive hours of off-duty time taken in the second day.
* Total driving time in the two days does not exceed 26 hours and
* Driver notes in the "Remarks" section of the daily log whether he/she is driving under day one or day two of the deferral.

Note that drivers must obtain eight consecutive hours of off-duty time on day one to use the deferral. Questions and directions for proper deferral procedures must be directed to the Director of Operations.

## Sleeper berth

The sleeper berth can be used to accumulate required off-duty time, as long as the driver follows prescribed guidelines. A driver can accumulate the required hours of off-duty time by either:

* Spending consecutive hours in the sleeper berth
* Combining time in the sleeper berth with other off-duty time to get the required time off duty, as long as the hours are consecutive; or
* Obtaining sleeper berth time in two separate periods (referred to as a split sleeper).

## Single driver split sleepers

Single drivers may meet the required off-duty time by splitting the required off duty time into two sleeper berth periods if:

* Neither period of off-duty time is shorter than two hours
* The total of the two periods of off-duty time is at least 10 hours.
* The total driving time in the periods immediately before and after each of the periods of off-duty time does not exceed 13 hours.
* The elapsed time in the periods immediately before and after each of the periods of off- duty time does not include any driving time after the 16th hour after the driver comes on- duty.
* None of the daily off-duty time is deferred to the next day; and
* The total of the on-duty time in the periods immediately before and after each of the periods of off-duty time does not include any driving time after the 14th hour.

Questions and directions for proper single driver split sleeper procedures must be directed to the Director of Operations.

##

## Team driver split sleepers

A team of drivers may meet the required off-duty time by splitting the required off duty time into two sleeper berth periods if:

* Neither period of off-duty time is shorter than 4 hours
* The total of the 2 periods of off-duty time is at least 8 hours.
* The total driving time in the periods immediately before and after each of the periods of off-duty time does not exceed 13 hours.
* The elapsed time in the periods immediately before and after each of the periods of off- duty time does not include any driving time after the 16th hour after the driver comes on duty.
* None of the daily off-duty time is deferred to the next day; and
* The total of the on-duty time in the periods immediately before and after each of the periods of off-duty time does not include any driving time after the 14th hour.

Questions and directions for proper team driver split sleeper procedures must be directed to the Director of Operations.

# Adverse driving conditions

The driving time, on-duty time, and off-duty time rules do not apply to a driver who, in an emergency, requires more driving time to reach a destination that provides safety for the occupants of the commercial vehicle and for other users of the road or the security of the commercial vehicle and its load.

A driver who encounters adverse driving conditions while operating the vehicle during a trip may extend the permitted 13 hours of driving time and reduce the two hours of daily off-duty time by the amount of time needed to complete the trip if:

* The driving, on-duty and elapsed time in the elected cycle is not extended more than 2 hours; The driver still takes the required eight consecutive hours of off- duty time; and
* The trip could have been completed under normal driving conditions without the reduction.

##

## 70-hour/7-day cycle (Cycle 1)

CAROLINA MAIN-LINE LLC follows the 70-hour/7-day cycle (Cycle 1). A driver cannot drive after having been on duty for 70 hours in any 7 consecutive days.

**36-Hour Restart**: Any period of 7 consecutive days will end with the beginning of any off-duty period of 36 or more consecutive hours.

All drivers, regardless of cycle, must have taken at least 24 consecutive hours of off-duty time in the preceding 14 days.

### **120-hour/14-day cycle (Cycle 2)**

CAROLINA MAIN-LINE LLC follows the 120-hour/14-day cycle (Cycle 2). A driver cannot drive after accumulating 12 hours on-duty time in any 14 consecutive days

70 hours of on-duty time without having taken at least 24 consecutive hours of off-duty time.

**Hour Restart**: Any period of 14 consecutive days will end with the beginning of any off-duty period of 72 or more consecutive hours.

All drivers, regardless of cycle, must have taken at least 24 consecutive hours of off-duty time in the preceding 14 days.

## On-duty time

On-duty time means the period that begins when a driver begins work or is required by the motor carrier to be available to work, except where the driver is waiting to be assigned to work, and ends when the driver stops work or is relieved of responsibility by the motor carrier, and includes driving time and time spent by the driver:

* Inspecting, servicing, repairing, conditioning, or starting a commercial vehicle
* Traveling in a commercial vehicle as a co-driver when the time is not spent in the sleeper berth.
* Participating in the loading or unloading of a commercial vehicle
* Inspecting or checking the load of a commercial vehicle
* Waiting for a commercial vehicle to be serviced, loaded, unloaded, or dispatched.
* Waiting for a commercial vehicle or its load to be inspected
* Waiting at an in-route point because of an accident or other unplanned occurrence or situation
* Resting in or occupying a commercial vehicle for any other purpose, except
	+ Time counted as off-duty time when traveling as a passenger, Time spent in a sleeper berth,
	+ Time spent in a stationary commercial vehicle to satisfy the off-duty requirements (for example, in the sleeper berth), and
	+ Time spent in a stationary commercial vehicle that is in addition to the daily off- duty requirements; and
* Performing any work for any motor carrier.

#

# Log Auditing and Review

## Policy

CAROLINA MAIN-LINE LLC is committed to always operating in a safe and legal manner. The submission of accurate, true, neat, and legible daily logs is an integral part of this commitment.

The company will audit drivers’ logs to ensure compliance with the Commercial Vehicle Drivers Hours of Service Regulations.

##

## Responsibility

Each driver is expected to always operate in a safe and legal manner, which includes the submission of accurate, true, neat, and legible daily logs. Each driver must understand and apply all hours-of-service rules.

All logs forwarded to the Director of Operations must be audited consistently by the department. All errors must be addressed by management.

##

## Procedures

Drivers must submit their daily logs within 20 days of completion. The Director of Operations will check logs for accuracy, completeness, and compliant hours of service. Procedures to audit logs will include the following:

* Check to ensure that the driver has filled in the necessary line items on the log. For example, his/her name, cycle, principal place of business and home terminal name and address, starting/ending odometer readings, etc.
* Ensure duty status totals are entered to the right of the log grid and that when added together, they equal 24 hours.
* Ensure “Remarks” notations are properly documented (“City, Province/State” or highway location).
* Check hours of service limits:
	+ First, check the daily requirements (10 hours off duty and no driving after the 13th hour driving or 14th hour on duty)
	+ Then, check the work shift requirements (no driving after the 13th hour driving, 14th hour on duty, or 16th hour elapsed time)
	+ If the driver deferred time, ensure that there are notations in the “Remarks” area and that the driver meets all of the requirements for a deferral.
	+ If the driver used a split sleeper, ensure both periods of off-duty time are spent in the sleeper and that the driver complied with the split sleeper rules for single drivers or team drivers.
	+ Make sure the driver has 24 consecutive hours off duty in the past 14 days.
	+ Check the driver’s cycle limits (70 hours/7 days or 120 hours/14 days).
* Compare supporting documents with the log entries.
* Ensure total distance driven is compliant your company’s average kilometers/hour.

Drivers with frequent violations of hours of service or who fail to complete hours of service logs properly will be subject to retraining and/or disciplinary action as necessary.

#

# Equipment Maintenance and Inspection

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# Annual Vehicle Inspection

##

## Policy

CAROLINA MAIN-LINE LLC is committed to following an annual commercial vehicle inspection program. Department of Transportation (DOT) regulations require commercial motor vehicles to undergo a thorough inspection at least annually. All equipment items not meeting the minimum standards must be repaired before the vehicle is put back into service. Our annual inspection procedure will help avoid DOT penalties and provide support for a quality inspection and maintenance program.

##

## Responsibility

The Director of Operations shall be responsible for knowing the information contained in the Annual Vehicle Inspection Policy. All questions surrounding forms, recordkeeping, or procedures should be addressed to the Director of Operations.

##

## Annual Vehicle Inspection Procedure

All vehicles subject to CAROLINA MAIN-LINE LLC's control must be inspected at least annually. This includes each vehicle in a combination. For example, for a tractor semitrailer or full trailer combination, the tractor, semitrailer, and the full trailer (including converter dolly) must each be inspected.

### Inspector qualifications

Only inspectors qualified under Sec. 396.19 of the FMCSRs can perform an annual inspection. The regulations require that an individual who performs annual inspections be qualified as follows:

* Understands the inspection criteria in Part 393 and Appendix G
* Knows and has mastered the methods, procedures, tools, and equipment used in performing an inspection.
* Has training or experience under one of the following:
* A state or federally sponsored training program or a certificate from a state or Canadian province qualifying the person to perform inspections, or training or experience totaling 1 year, which may include appropriate training in a manufacturer sponsored or commercial training program; experience as a mechanic or inspector in a motor carrier maintenance program, commercial garage, fleet leasing program, etc.; or
* Experience as a commercial vehicle inspector for a state, provincial, or federal government.

Documentation of the inspector's qualifications must be retained for as long as the inspector is performing inspections for the motor carrier and for one year thereafter.

The following individuals are authorized to perform annual inspections for the company: [\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_]

### Vehicle inspection criteria

The components that are to be inspected are listed in Appendix G to the Federal Motor Carrier Safety Regulations. They include:

* Brake system
* Coupling devices
* Exhaust system
* Fuel system
* Lighting devices
* Safe loading
* Steering mechanism
* Suspension
* Frame
* Tires
* Wheels and rims
* Windshield glazing
* Windshield wipers

Each of these major component areas has subsidiary components that must be inspected as part of the annual vehicle inspection.

In addition, any equipment items not meeting minimum standards must be repaired before the vehicle can be put back in service.

### Annual inspection documentation

The qualified inspector performing the inspection must prepare a report that includes the following information:

* The inspector's name,
* The name of the motor carrier operating the vehicle,
* The date of the inspection,
* Vehicle identification,
* A list of the components inspected and designation of any components not meeting inspection standards, and
* Certification that the inspection is accurate, complete, and that it complies with the regulations.

The original or a copy of the annual vehicle inspection report will be retained. The inspection report will be retained for 14 months.

Annual inspection reports will be obtained for vehicles that the Company wishes to use but did not perform the last annual inspection.

### Documentation on vehicle

A copy of the annual inspection report must be carried on the vehicle. An annual inspection sticker must be affixed to the vehicle.

The annual inspection sticker shall be placed on the power units in the following location: [\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_]. The sticker shall be placed on the trailers and auxiliary equipment in the following locations: [\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_].

**Contingency plan for Out-of-Service vehicle**

If an assigned vehicle is put out of service (OOS) during the course of an annual inspection, the following procedure shall be implemented:

* The qualified inspector shall notify the Director of Operations upon discovery of the vehicle defect. The notification will include a detailed description of the defect, and an accurate estimate of when the defect will be corrected.
* The Director of Operations will be responsible for informing the driver of the OOS vehicle and assign a temporary vehicle if necessary.

A temporary vehicle will be assigned if the delay in repairing the OOS vehicle will cause a service failure or excessive downtime for the driver.

#

# Driver Vehicle Inspections

## Policy

CAROLINA MAIN-LINE LLC is committed to following a strong daily inspection program. Department of Transportation (DOT) regulations require commercial motor vehicles to be inspected every day they are operated. Our daily inspection procedures will help avoid DOT penalties and provide a sound basis for a good inspection and maintenance program. Daily inspection of vehicles will help prevent small problems from becoming big problems.

## Responsibility

All drivers, mechanics, supervisors, and other employees must know and apply the driver vehicle inspection procedures. Any disregard for inspection procedures may result in discipline. Drivers must only operate commercial vehicles that have been inspected and deemed safe. No one shall encourage or coerce drivers to violate these safety standards.

##

## Procedures

### Driver Pre-trip Inspection

Each driver must be satisfied that the equipment is in proper working condition prior to operating a vehicle. This includes the following equipment:

* Service brakes, including trailer brake connections.
* Parking (hand) brake
* Steering mechanism
* Lighting devices and reflectors
* Tires
* Horn
* Windshield wipers
* Rear vision mirrors
* Wheels and rims
* 23Coupling devices
* Emergency equipment

Each driver must also be satisfied that cargo is properly distributed and secured. The vehicle's cargo or other objects must not obscure the driver's view or interfere with the driver's movement.

The driver will also review the last completed Driver's Vehicle Inspection Report (if and when such a report was required) to verify that any needed repairs were made to the vehicle. If an authorized signature certifies that defects were corrected or that correction was unnecessary, the driver shall sign the third signature line of the form. If the defects noted were not acknowledged by an authorized signature, the driver shall not drive the vehicle until the defects are handled appropriately.

Unless the driver has been ordered not to inspect the cargo or inspection is impractical, the driver must examine the cargo and its load securing devices within the first 50 miles of the trip and make any necessary adjustments.

Once on the road, the driver must reexamine their vehicle and cargo:

* at each change of duty status,
* after driving for 3 hours; or
* after driving for 150 miles, whichever occurs first.

If a problem is found, the driver will either have the necessary repairs or adjustments made prior to operating the vehicle, or safely travel to the nearest repair facility. (See Vehicle Breakdown and Road Repair Procedure)

###

### Driver post-trip inspection report

When a driver is done operating a vehicle for the day (including any trailers), they must inspect the vehicle and report any safety-related defects or deficiencies so repairs can be made before the vehicle is driven again.

Drivers of property-carrying vehicles must prepare and submit an inspection report only if there are defects or deficiencies to report.

CAROLINA MAIN-LINE LLC will use an inspection report form that has an original and one copy. A sample of the inspection report form to be used is attached.

The vehicle must be identified on the report. The regulations require that any defects in the following equipment items be noted:

* Service brakes including trailer brake connections.
* Parking (hand) brake
* Steering mechanism
* Lighting devices and reflectors
* Tires
* Horn
* Windshield wipers
* Rear vision mirrors
* Coupling devices
* Wheels and rims
* Emergency equipment

The driver must also note any other defects that would affect the safe operation of the vehicle or result in its mechanical breakdown. The report must also indicate if no defects are found. The driver must sign the report.

**Defects**

When a driver reports safety related problems, they submit all copies to Maurice DeBerry. They will sign the report indicating that repairs have been made (or are not required to be made). The vehicle inspection report must be signed by the next driver to operate the vehicle.

The original copy of the inspection report and certification of repairs will be retained at company address. The original of the inspection report will be filed by month and year.

The original copies of inspection reports on which no defects were noted will be retained for 90 days. The original copies of inspection reports on which defects were noted, and the certification of repairs, will be retained for 90 days.

# Roadside Inspections

## Policy

Roadside inspections are a fact of life for drivers of commercial motor vehicles. Department of Transportation (DOT) regulations authorize special agents (law enforcement officers) to enter and perform inspections upon a motor carrier's vehicles in operations. It is CAROLINA MAIN-LINE LLC's policy to cooperate fully with law enforcement officers during roadside inspections.

## Responsibility

CAROLINA MAIN-LINE LLC expects its drivers to behave in a professional and courteous manner when asked to participate in a roadside inspection. Directions given by the inspection official should be followed. Failure to comply with the procedures set forth below may result in disciplinary action. Drivers are expected to report the inspection results in accordance with the regulations and company policy. All driver-related violations will be reviewed for possible discipline actions. The Director of Transportation will be expected to follow through with any necessary vehicle repairs or driver corrections and return the report in accordance with the regulations.

##

## Procedures

When a driver is approached to undergo a roadside inspection, they must go immediately to the area designated by the inspection officer. If the driver believes that the designated area is unsafe for the driver and/or the inspection officer, the driver shall state his/her concern to the inspection officer in a courteous and professional manner. Once the inspection is underway, the driver shall follow the directions given by the officer and act appropriately.

### **Roadside inspection results**

The results of the roadside inspection must be reported to CAROLINA MAIN-LINE LLC during the driver's next scheduled check-in call if the inspection was passed with no violations.

If a violation was noted on the inspection the driver is to notify Director of Operations of the inspection and the violation(s) before the end of the next business day.

The driver must turn in the inspection report to CAROLINA MAIN-LINE LLC upon arrival. If the driver is not scheduled to arrive at a terminal location within the next 24 hours, the report must be mailed to CAROLINA MAIN-LINE LLC.

If the vehicle or driver is placed out of service, the driver must call in immediately so CAROLINA MAIN-LINE LLC can notify the customer of any delays that may result, and the Director of Operations can coordinate the return of the vehicle and/or driver to service.

A vehicle that is placed out of service cannot be operated until all repairs required by the out-of- service notice have been completed. A driver may be placed out of service if the driver does not meet qualification requirements or has violated the hours-of-service rules. A driver placed out of service must not resume driving until the out-of-service condition is rectified.

### **Responsibility for citations and fines**

***Equipment-related citations***

Drivers shall not be held responsible for the citation if the defect could not have been detected during a reasonable and proper pre-trip or post-trip inspection, or if the defect developed while in transit after a proper vehicle inspection was conducted by the driver.

***Oversize/overweight citation***

Drivers are responsible to make certain that all loaded vehicles are within legal weight limits for both axle and total gross weight. Drivers may be held responsible for overweight citations if the fine was due to driver negligence or failure to follow established scaling procedures.

***Driver citations***

A driver who receives a citation for being found to be in violation of the hours-of-service regulations during the course of a roadside inspection shall be responsible for the citation. A driver who receives any other type of driver citation will be responsible for the fine if it was due to driver negligence.

***Note****:* Fines levied on a driver for infractions of local, state, or federal regulations are his/her responsibility, even if the vehicle involved in the situation is a company vehicle.

#

# CAROLINA MAIN-LINE LLC's disposition of report

Upon receipt of a roadside inspection report, CAROLINA MAIN-LINE LLC will plan to correct any defects still outstanding.

Within 15 days of the inspection, CAROLINA MAIN-LINE LLC must certify that all defects have been corrected by completing the “Signature of Carrier Official, Title, and Date Signed" portions of the inspection report form. The form will then be mailed to the issuing agency at the address indicated on the form.

The driver will be notified when defects have been corrected. Roadside inspection reports will be analyzed for ways to reduce the number of violations and lower the out-of-service rate.

A copy of the roadside inspection report will be retained at company address for 12 months minimum.

#

# Safe Mounting and Dismounting of Equipment

##

## Policy

CAROLINA MAIN-LINE LLC is committed to maintaining a safe working environment for all its employees. It is the policy of CAROLINA MAIN-LINE LLC that all appropriate employees be trained in and follow safe practices concerning the process of getting into and out of a tractor cab and trailer and on and off the loading docks. These seemingly simple tasks rank as the most consistently dangerous things that drivers are required to do on the job.

## Responsibility

CAROLINA MAIN-LINE LLC has the responsibility to present driver safety topics to prevent injury during the entrance and exit from power units, etc. as addressed in 49 CFR Part 399, *Employee Safety and Health Standards*.

\_\_\_\_\_\_\_\_\_\_\_\_ will also be instructed on how to safely mount and dismount from equipment.

All drivers are expected to abide by the safety expectations placed upon them, and all supervisors will be required to correct and discipline any drivers or \_\_\_\_\_\_\_\_\_\_who have a disregard for workplace safety.

##

## Procedures

The carrier is required, according to §399.207, *Truck and truck-tractor access requirements*, to provide and maintain the necessary equipment to accomplish safe mounting and dismounting from vehicles and trailers.

Any person entering or exiting the cab or accessing the rear portion of a high-profile cab over engine (COE) truck or truck-tractor will be afforded sufficient steps and handholds, and/or deck plates to allow the user to have at least 3 limbs in contact with the truck or truck-tractor at any time. This applies to intermediate positions as well as transition between intermediate positions. To allow for changes in climbing sequence, the step design must include, as a minimum, one intermediate step of sufficient size to accommodate two feet.

### ***Rules for mounting equipment (three-point contact)***

When drivers are ready to get into a cab or trailer, they shall be certain that both of their hands are free. If an employee has any items in his/her hands, he/she must reach up and put them in the cab first.

Drivers will be required to know and apply the following three-point contact principle:

* Grasp with both hands.
* Put weight on one foot and climb with the other foot.
* Grasp with one hand.
* Reach with the other hand and have both feet planted securely.
* Be certain to use the correct footholds. They shall never use a tire or a wheel hub as a foothold. These surfaces are likely to be slippery, and there is no good traction on a rounded surface.

Shoes or boots must have good traction. Excellent traction makes a significant difference in climbing power. Surfaces that employees will be stepping on will either be ribbed or have a textured protection cover to make them as secure as possible.

## Trailers and docks

Drivers shall look for firm grasp points or handholds. If the trailer has steps or other access aids, they must be sure to use them when entering.

Employees shall never “do the splits” when attempting to get into a trailer. That means putting one leg all the way up into the trailer while the other one is still on the ground. This maneuver can easily overstretch oneself and cause painful muscle spasms.

Getting onto a dock from ground level presents the same kind of challenge. Employees shall look for steps or other access aids whenever it is possible.

***Inside the trailer***

Once employees get inside the trailer, they must keep their eyes open and watch their steps as they move around. They should be alert for protruding nails, cracks or gouges in the floor, or pieces of flooring that may stick up and cause a tripping hazard.

A flashlight must be available in the cab or at the loading dock to aid in finding one’s way around in the dark trailer.

###

### **Rules for dismounting or exiting equipment.**

Drivers must never jump off any piece of equipment or dock. It only takes a moment to fracture an ankle. Spraining or breaking an ankle or other bone can happen literally in an instant if an employee does not land just right.

Drivers must remember and apply the three-point contact rule when getting out of the cab. They must exit from the cab with their bodies facing the vehicle, so they can keep a good grip on the handholds and easily use the steps.

In respect to trailers and docks, drivers shall check for stairs or other methods of exit.

If all else fails, employees should jump off the trailer using the following principles:

* *Never* jump off a trailer from a standing position. From that height, one can very easily become injured.
* Squat down and jump off with their bodies facing the trailer.
* Try to pivot their bodies and keep a handhold until they have landed safely on the ground. Use the same method to get off a dock if there are no stairs.
* Check for any visible hazards before “launching” themselves.

Try to keep as much contact as they can with the trailer while they are getting down.

#

# Vehicle Breakdown and Road Repair

## Policy

The goal of CAROLINA MAIN-LINE LLC is to minimize on the road equipment breakdowns by having strong vehicle inspection and preventive maintenance programs in place. As part of its overall driver support system, CAROLINA MAIN-LINE LLC is committed to providing drivers with expedient and reliable breakdown and road repair service in the event of equipment failure.

When an equipment breakdown does occur, the safety of the driver and the general motoring public is top priority, but the needs of our customers must also be considered. CAROLINA MAIN-LINE LLC has implemented the following vehicle breakdown and road repair procedures that all drivers will be trained in and are expected to follow.

##

## Responsibility

Drivers, dispatchers, and the maintenance department must know and apply the following procedures. They must not take on roles outside of the scope of this policy. They must only address mechanical problems that are within the realm of knowledge or authorization.

##

## Procedures

CAROLINA MAIN-LINE LLC's vehicle breakdown procedures have been developed to ensure the safety of our drivers and the motoring public, securement of the equipment and its cargo, timely customer notification of any shipment delay, and facilitation of expedient equipment repair. All CAROLINA MAIN-LINE LLC drivers are expected to follow these procedures in the event of a breakdown.

Before beginning any work assignment or trip, the driver should perform a complete pre-trip inspection on all assigned equipment. That means the driver will check service brakes, brake hose connections, parking brake, steering, all lights and reflectors, tires, horn, windshield wipers, all mirrors, and coupling devices for road readiness.

The driver is required to make certain that the vehicle is equipped with the required emergency gear. All CAROLINA MAIN-LINE LLC vehicles, leased vehicles, or vehicles contracted by the company, will be equipped with a fully charged fire extinguisher, fuses, and warning signals. If any of these items is missing or needs to be charged, the driver must get the situation corrected immediately. Drivers should not begin any trip or work assignment unless the vehicle has all the required emergency gear.

In the event of a minor vehicle breakdown, drivers are authorized by the company to perform some small repairs. The company defines minor breakdowns as those that simply require replacing a headlamp, a fuse, a trailer reflector, etc.

All CAROLINA MAIN-LINE LLC vehicles must carry the spare parts necessary for quick and efficient repairs of minor breakdowns. This includes items like fuses, headlamps, fuel and oil filters, spare flasher light bulbs, trailer reflectors, etc. Drivers should see their supervisor or maintenance personnel to obtain adequate vehicle spare parts inventory for their needs.

###

### **When a breakdown occurs**

When an equipment breakdown occurs that requires road repair assistance, the following procedures must be implemented:

* Safely stop and secure the vehicle. No CAROLINA MAIN-LINE LLC vehicle should be left unattended until the parking brake has been properly set, and the driver is confident the vehicle is secure from moving. If a breakdown occurs while the vehicle is in motion, the driver should activate the emergency hazard warning signal flashers, and park as far out of traffic as possible.
* Safely place the warning devices as prescribed in Sec. 392.22 within 10 minutes of the breakdown. Once these warning devices have been placed, the driver should deactivate the emergency hazard warning signal flashers.
* After the vehicle has been secured and the warning devices put in place, the driver should communicate the vehicle's breakdown. When signaling for assistance, the driver should give the exact location information of the vehicle, including road or highway route number, nearest mile marker or exit, and direction of travel. The driver should be as specific as possible and should also provide a suggested diagnosis of the cause of the breakdown. If the cause is a blown tire, the driver should have tire size and location information available.
* When signaling a breakdown through CAROLINA MAIN-LINE LLC's satellite communications system, the driver should stay with the vehicle for updates and instructions. Dispatch operations are responsible for contacting the driver with updates on pending road repairs.
* Once the breakdown has been reported to dispatch, the driver's call will be forwarded to the Maintenance Department. CAROLINA MAIN-LINE LLC's Maintenance Department will determine the appropriate course of action. If a road service call is necessary, the Maintenance Department will locate and contact a repair vendor to facilitate repairs.
* Once repairs have been made, the driver shall notify dispatch, turn on the emergency hazard warning flashers, and safely remove the warning devices.
* All paperwork for the repairs will be forwarded to the Maintenance Department where it will be on file in that unit's maintenance file for a period 12 months from date of receipt.

### **After hours breakdowns**

During certain hours, no CAROLINA MAIN-LINE LLC personnel will be on duty. In the event of a vehicle breakdown during these hours, drivers should use the following procedure:

1. [\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_]

As a reminder to drivers, CAROLINA MAIN-LINE LLC's normal business hours of operation are [\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_]

###

### **CAROLINA MAIN-LINE LLC breakdown responsibilities**

Driver's responsibilities when a breakdown happens include:

* Safely stopping and securing the vehicle and load,
* Safely placing the warning devices,
* Diagnosing and calling in the breakdown,
* Notifying dispatch when repairs have been made,
* Safely removing the warning devices, and
* Forwarding all repair paperwork to the Maintenance Department.

Dispatch operations responsibilities when a breakdown happens include:

* Forwarding the driver's call to maintenance,
* Notifying the customer of any delays,
* Following up with maintenance to ensure repairs are being made, Keeping the driver updated, and
* Rescheduling any customer appointments when driver is moving again.

Maintenance Department's responsibilities when a breakdown happens include:

* Determining the nature of the breakdown and best course of action,
* Locating, contacting, and dispatching a vendor to facilitate repairs,
* Taking care of all billing, and
* Obtaining all repair records to be kept on file.

## CAROLINA MAIN-LINE LLC breakdown resource number(s)

If a breakdown occurs during normal business hours, drivers are instructed to contact their immediate supervisor for assistance.

If the immediate supervisor cannot be reached, 980-280-8729 should be used as an alternate number for reporting breakdowns that occur during normal business hours.

For breakdowns that occur after normal business hours or on weekends, drivers should use 704-280-2047.

CAROLINA MAIN-LINE LLC's Driver Road Repair Assistance number is 704-280-2047.

#

# Vehicle Maintenance

##

## Policy

Systematic maintenance of equipment is an essential element of our transport operation. Part 396 of the Federal Motor Carrier Safety Regulations (FMCSRs) requires motor carriers to "inspect, repair and maintain all motor vehicles" under their control. Even if there were no federal regulations in place, however, it makes excellent business sense to have an organized maintenance program in operation. At CAROLINA MAIN-LINE LLC, it is our policy to keep all company transportation equipment maintained and in safe and efficient operating condition.

It is further the policy of CAROLINA MAIN-LINE LLC to use the "preventive maintenance" approach with our transport equipment. The specifics of that approach will be detailed in the procedures to follow.

## Responsibility

Drivers are responsible for knowing the mechanical condition of their vehicles at all times, and for operating those vehicles correctly and efficiently. The maintenance department is responsible for providing safe and drivable vehicles to CAROLINA MAIN-LINE LLC drivers.

## Procedures

Sec. 396.3(b) of the FMCSRs specifies required vehicle records that must be kept on each vehicle controlled for 30 consecutive days or more by a motor carrier. These records include:

* a vehicle identification including a company number (if so marked),
* make,
* serial number,
* year, and
* tire size.

If the vehicle is not owned by CAROLINA MAIN-LINE LLC, this record should indicate the name of the owner/supplier of the vehicle. The record must also contain a way to indicate the nature and due date of any inspection and maintenance operations to be performed on the vehicle, and a record of any inspections, repairs, and maintenance performed on the vehicle in question, including dates performed and specifics on the nature of the operations.

CAROLINA MAIN-LINE LLC keeps maintenance records on file for no longer than a period of 90 days.

CAROLINA MAIN-LINE LLC will maintain a complete record of each vehicle in its fleet as a matter of course. That record will include basic vehicle information, along with a listing of repair orders, procedures performed, dates of maintenance, and additional vehicle information.

CAROLINA MAIN-LINE LLC will keep each vehicle subject to its control properly lubricated, and free of oil and grease leaks, per the provisions of the FMCSRs.

CAROLINA MAIN-LINE LLC operates an in-house maintenance shop which has full-service capabilities for most routine maintenance jobs. Large or specialized maintenance jobs will be dealt with on a case-by-case basis.

Because CAROLINA MAIN-LINE LLC outsources some maintenance capabilities, it must contract its maintenance out to outside vendors.

##

## Brake inspectors

CAROLINA MAIN-LINE LLC employees who are responsible for inspections, maintenance, repairs, or service to the brakes must be qualified in accordance with Sec. 396.25.

CAROLINA MAIN-LINE LLC will ensure that a brake inspector employed by us:

* understands the brake service or inspection task to be performed.
* knows and has mastered the methods, procedures, tools, and equipment used in inspecting and servicing brakes and has training or experience under one of the following:
	+ has successfully completed a state or federally sponsored apprenticeship or training program or has a certificate from a state or Canadian province qualifying the person to perform brake work, or
	+ has training or experience totaling 1 year, which may include appropriate training in a manufacturer sponsored or commercial training program, or experience performing brake maintenance or inspection in a motor carrier maintenance program, commercial garage, fleet leasing program, etc.

Drivers who have passed the air brake knowledge and skills test for a commercial driver's license (CDL) are considered qualified to inspect air brakes, but not to adjust or repair them without meeting the other qualification requirements listed above.

Documentation of the brake inspector's qualifications must be retained for as long as the employee is responsible for brake-related work and for one year thereafter.

A qualified licensed inspector is to be a qualified brake inspector at CAROLINA MAIN-LINE LLC.

Preventive maintenance (PM) is an attitude and a commitment by CAROLINA MAIN-LINE LLC to get the most out of transport equipment by investing in its maintenance on a regular basis, according to a planned schedule.

The PM philosophy that CAROLINA MAIN-LINE LLC has adopted as company policy is widely used in the transportation industry.

Our PM policy reflects a very modern attitude of conservation and of wise asset utilization.

Without a doubt, it also saves money for a company that is committed to its principles. The PM philosophy would say: "if it's scheduled to be replaced, replace it whether or not it has failed."

Maintenance is part of the cost of doing business, and every fleet has a major investment in its equipment. Whether or not that equipment operates efficiently and reliably has a major impact on corporate profitability. Making certain that equipment operates well is where preventive maintenance comes into the picture. CAROLINA MAIN-LINE LLC has implemented a PM program because of the positive impact it has in the following areas:

* PM is a major factor in promoting highway safety: A well-maintained truck is a safer truck.
* PM alerts all personnel to potentially hazardous conditions, e.g., equipment failure. It also facilitates record keeping. Safer trucks promote high driver morale, are involved in fewer accidents, create a favorable public image for CAROLINA MAIN-LINE LLC and the trucking industry in general, have fewer breakdowns and delays, and may play a role in determining better insurance rates. PM prolongs useful life of equipment: Narrow profit margins mean that transportation companies need equipment that continues to run economically and well as it ages. Component replacement in older vehicles is more difficult to schedule, so PM and its careful monitoring of vehicles is a big help.
* PM reduces unscheduled downtime: An idle truck is not making any money for CAROLINA MAIN-LINE LLC. Anything that minimizes unscheduled downtime in a fleet makes the equipment more productive. Drivers don't have to wait for vehicles to get out of the shop, and customers are happy because service is more reliable. Vehicle and personnel utilization are both improved when companies are able to balance workloads.
* PM reduces unscheduled repairs and the higher cost related to them: In an in-house shop, parts inventory can be kept lower if component replacement is planned as part of an overall PM schedule. The fewer times vehicles have to be repaired on the road, the better the bottom line for CAROLINA MAIN-LINE LLC.

In summary, a good preventive maintenance program lowers repair frequency and lowers overall maintenance cost.

The service portion of PM is scheduled maintenance. CAROLINA MAIN-LINE LLC vehicles will be given PM according to the following schedule:

* Every 25,000 miles

At CAROLINA MAIN-LINE LLC, compliance with the PM program is the responsibility of The Director of Operations.

Drivers will receive training on vehicle inspection procedures including how to prepare and submit a driver vehicle inspection report (DVIR). CAROLINA MAIN-LINE LLC views its drivers as the first line of defense in preventing serious maintenance problems. We expect drivers to spot developing problem situations before they get to the "breakdown" point. This on the road expertise of drivers should work together with the in-shop expertise of the maintenance department.

Communication is key between drivers and the maintenance department. Some basic guidelines should help drivers contribute the most information possible to the CAROLINA MAIN-LINE LLC preventive maintenance program.

Drivers are expected to do complete and careful pre-trip and post-trip inspections of their vehicles. Drivers are expected to treat company vehicles as their own. Observable vehicle abuse will not be tolerated. Discovery of unauthorized modifications or tampering with any company vehicle will be reported to Maurice DeBerry. Drivers are expected to report any problems they find accurately and in detail. Problems should be reported promptly.

CAROLINA MAIN-LINE LLC is not responsible for loss or damage to personal effects left in vehicles prior to maintenance work being performed.

On the road, drivers are expected to spot and report potential maintenance problems:

* LISTEN for unusual or abnormal equipment sounds. Thumps, rattles, squeaks, bumps, squeals, and hisses all can signal the beginning of trouble. If things don't sound right, they should be reported to maintenance.
* SMELL for unusual odors that may signal trouble. Burning rubber, insulation, wood, scorched fabric or hot oil or other fluid can all mean problems. Diagnosis can be made early with a good sense of smell.
* FEEL changes in the vehicle's response. Steering, braking, shifting, and other handling operations all have unique "feels" in a particular vehicle. If the vehicle doesn't seem to behave the way it should, it should be reported promptly. Little problems cost much less to fix and cause less downtime.
* OBSERVE the equipment carefully when you make your required routine inspections. Defects in wiring, lights, cables, tires, splash guards, locks, air lines, coupling devices, fifth wheels, tarps and fasteners, landing gear, brakes and various accessories should all be carefully noted and reported to the maintenance department.

If a CAROLINA MAIN-LINE LLC driver has an unexpected breakdown while on the road, they should stay calm and use common sense. Report the problem and follow prescribed procedures.

If a CAROLINA MAIN-LINE LLC vehicle is put out of service during a roadside inspection, the driver must notify his/her driver supervisor as soon as possible to receive instructions.

CAROLINA MAIN-LINE LLC strictly forbids the operation of an out-of-service vehicle until the required repairs are completed. A driver who violates this policy will be subject to disciplinary action.

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# Drivers and Driving

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# Company Speed Limit

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## Policy

Company speed limits are established to promote safety and to reduce the cost of fuel and maintenance for the company. CAROLINA MAIN-LINE LLC believes that having an established speed limit of five miles/per hour under for all company vehicles and drivers promotes safe vehicle operation, reduced fuel consumption, and reduced maintenance costs.

##

## Responsibility

It is the responsibility of all employees, drivers, and management to assure that this speed limit is always adhered to.

In the case of varying posted speed limits lower than five miles/per hour under, it is the driver’s responsibility to adhere to the lower posted speed limit.

## Procedures

Prior to dispatching a driver on a load, the owner will determine if the driver can make the trip on time while abiding by CAROLINA MAIN-LINE LLC's company mandated speed limit of five miles/per hour under. If it is determined that the driver cannot complete the trip without violating this policy, the trip will be removed from the driver and another trip will be assigned.

Once a driver receives a dispatch, they will immediately plan their route and verify that it can be completed on time while abiding by CAROLINA MAIN-LINE LLC's speed policy. If the driver feels that they cannot complete the run accordingly, they will notify the Owner immediately for further instructions.

Any supervisor found instructing a driver to knowingly violate the speed limit policy of CAROLINA MAIN-LINE LLC, by coercing them to take a load which cannot be completed per these guidelines, will be in violation of this policy and will be subject to disciplinary action up to and including termination.

Any driver knowingly accepting a load that will put them in violation of CAROLINA MAIN-LINE LLC's speed limit policy in order to deliver the load on time, will also be subject to disciplinary action up to and including termination.

All personnel should adjust their driving, accordingly, based on weather and road conditions.

#

# Moving Violations

##

## Policy

It is the policy of CAROLINA MAIN-LINE LLC that all moving violations incurred by any company driver or independent contractor leased to CAROLINA MAIN-LINE LLC are the responsibility of the driver or independent contractor.

CAROLINA MAIN-LINE LLC does not condone actions that would warrant any type of moving violation and continuous issuance of moving violations to any particular drive or independent contractor will result in disciplinary action up to and including termination of employment with CAROLINA MAIN-LINE LLC.

***Responsibility***

It is the responsibility of the owner to maintain current driving records on all company drivers and independent contractors leased to CAROLINA MAIN-LINE LLC.

The owner is expected to score the drivers’ records in an objective manner by using a weighted system to measure the severity of each offense. The drivers must be treated in the same manner for similar offenses.

The Owner must discipline any infractions of this policy, including hiding offense until the annual Motor Vehicle Record (MVR).

All driving personnel must be aware of their responsibility to drive safely and to report any moving violations. They are responsible to know the standards set forth by the company and any ramifications.

It is the responsibility of each and every driver to inform the company owner within 24 hours of the issuance of any moving violation.

Any attempt by a driver to hide an offense by ignoring the reporting procedures may result in discipline up to termination.

##

## Procedures

### Driver applicant’s driving record

***Requesting MVRs***

CAROLINA MAIN-LINE LLC will request an MVR for the driver applicants, including leased drivers, being considered for employment after CAROLINA MAIN-LINE LLC has received the completed and signed employment application.

During orientation, as part of the pre-hire process, the owner will obtain a current driving record on each driver to establish driving status and to create a benchmark for future comparison and evaluation.

An MVR will be requested from every state the applicant has been licensed in for the past seven years.

If an MVR request from a former state of residency comes back indicating “no record found,” the MVR request will be placed in the driver's qualification file (if hired) as verification that CAROLINA MAIN-LINE LLC attempted to obtain the information.

### Reviewing MVRs

CAROLINA MAIN-LINE LLC will review all MVR information to determine if driver applicant meets company hiring standards regarding driving records and will compare the MVR against the employment application to check for completeness and accuracy.

CAROLINA MAIN-LINE LLC expects its drivers to operate in a safe, legal, and professional manner at all times. Drivers convicted of moving traffic violations jeopardize their livelihood and CAROLINA MAIN-LINE LLC's safety standards.

All drivers for CAROLINA MAIN-LINE LLC are expected to maintain an acceptable driving record. Moving traffic violations include speeding, improper lane changes, driving too fast for conditions, following too close, failure to yield, etc. They do not include parking or equipment violations.

Applicants must have no more than points assessed (from company scoring formula) based on convictions for moving traffic violations within years. The points assessed are based on company policy, not state licensing criteria.

### **Existing driver’s driving history**

***Requesting MVRs***

CAROLINA MAIN-LINE LLC will review all MVR information to determine if a current company driver or independent contractor leased to CAROLINA MAIN-LINE LLC meets company safety standards regarding driving records and will compare the MVR against the list of violations required under §391.27 for completeness and accuracy.

An MVR will be requested from every state the applicant has been licensed in in the past seven years.

***Reviewing MVRs***

CAROLINA MAIN-LINE LLC expects its drivers to operate in a safe, legal, and professional manner at all times. Drivers convicted of moving traffic violations jeopardize their livelihood and CAROLINA MAIN-LINE LLC's safety standards. All drivers for CAROLINA MAIN-LINE LLC are expected to maintain an acceptable driving record.

Moving traffic violations include speeding, improper lane changes, driving too fast for road conditions, following too close, failure to yield, etc. They do not include parking or equipment violations.

\*See ANNEX A at end of Document.

* Company drivers including drivers leased to the company, are expected to meet the following guidelines:
* Drivers who have between 0 and points assessed (from company scoring formula) based on convictions for moving traffic violations within years are considered to have a **satisfactory** driving record. The points assessed are based on company policy, not state licensing criteria.
* Drivers who have between and points assessed (from company scoring formula) based on convictions for moving traffic violations within years are considered to have an **unsatisfactory** driving record. The points assessed are based on company policy, not state licensing criteria. These drivers will have the following disciplinary action:
* Drivers who have between \_\_\_\_\_\_ and \_\_\_\_\_\_\_points assessed (from company scoring formula) based on convictions for moving traffic violations within \_\_\_\_\_years are considered **disqualified** from driving a company commercial motor vehicle. The points assessed are based on company policy, not state licensing criteria.

Any driver who is disqualified from driving a commercial vehicle under Sec.383.51(c) or Sec. 391.15 for serious traffic violations (or any driver that is disqualified for any other reason) will not be allowed to drive a company vehicle.

#

# Notifying employer

Should any driver or independent contractor leased to CAROLINA MAIN-LINE LLC receive a moving violation they must contact the dispatcher or Owner within 24 hours of the issuance of the violation.

The driver must then send a photocopy of the violation directly to the office and proceed according to the instructions on the citation. If arrangements need to be made for a future court appearance relating to a specific violation issued, the driver must inform the dispatcher of this as well.

If re-routing is necessary to accommodate a court appearance by a driver in relation to a moving violation issued while driving for CAROLINA MAIN-LINE LLC, the dispatcher will make every reasonable effort to accommodate this. If re-routing for this purpose is not possible, the dispatcher will inform the driver of this as soon as possible.

Should the issuance of a moving violation result in any additional action being taken against a driver’s license, such as suspension, the driver will inform CAROLINA MAIN-LINE LLC as soon as this is determined and what date the action is expected to go into effect.

***Traffic convictions associated with a DOT accident.***

Drivers must notify the company’s Designated Employer Representative (DER), Maurice DeBerry, immediately of any moving violation issued at the scene of an accident or issued within 32 hours after the accident occurred.

This is to ensure that the DOT drug and/or alcohol testing is conducted if the citation occurs within the time frames outlined in§382.303.

A failure to report the citation will result in the following disciplinary actions:

* [\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_]

#

# Prohibited Driving Practice

***Policy***

Illegal, unsafe, and unprofessional driving practices are all considered to be “prohibited” driving practices and will not be condoned by CAROLINA MAIN-LINE LLC at any time.

Any driver observed performing this type of driving will be subject to disciplinary action up to and including termination of employment with CAROLINA MAIN-LINE LLC.

A list of prohibited driving practices is included in the “procedure” section of this policy.

***Responsibility***

It is the responsibility of every driver to operate their equipment in a safe, professional, and legal manner always. It is also the responsibility of every driver to know and understand all local, state, and federal regulations pertaining to the operation of commercial motor vehicles wherever they are.

***Procedure***

All CAROLINA MAIN-LINE LLC drivers will always operate their company equipment in a safe and professional manner and will abide by all applicable rules and regulations. This also applies to all independent contractors leased to CAROLINA MAIN-LINE LLC.

Below is a list of some of the actions that are considered by CAROLINA MAIN-LINE LLC to be “prohibited driving practices” and will result in disciplinary action. This list is a representation only and does not constitute a complete list of all actions that CAROLINA MAIN-LINE LLC may consider to be “prohibited driving practices.”

* Speeding
* Aggressive lane change Tailgating
* Over-speed on exit and entrance ramps Lack of turn signal use
* Excessive speed in curves
* Excessive speed for road or weather conditions
* Attempting to go around railroad crossings that are signaling an approaching train Not stopping at any railroad crossing while transporting hazardous materials.
* Any action that can be viewed as “road rage.”

As stated above, this is not an all-inclusive list as other actions may be “prohibited driving practices” should the situation warrant.

Any report of a company driver or independent contractor driving in an aggressive manner or performing any of the above-listed actions will be investigated. If the driver is in fact found to be in direct violation of this policy, they will be brought to the terminal for discussion and possible re-training with the company owner.

If continued actions of this type are observed and documented, the driver will be subject to disciplinary action including termination of employment with CAROLINA MAIN-LINE LLC.

#

# Use of Electronic Equipment While Driving Policy

***Policy***

It is the policy of CAROLINA MAIN-LINE LLC that no employee will use any type of handheld electronic device while operating a company vehicle or while driving their personal vehicle on company business.

This includes, but is not limited to, cell phones, laptops, QUALCOMM, GPS systems, and calculators.

***Responsibility***

It is the responsibility of the company owner to inform each employee of this policy during new-hire orientation.

It is the responsibility of all management and supervisory staff to always assure compliance with this policy by all employees.

***Procedure***

CAROLINA MAIN-LINE LLC will inform each employee at time of hire as to the requirements of CAROLINA MAIN-LINE LLC pertaining to this policy. The owner will note the time and date that this policy is reviewed with each employee, in their employee file.

Any employee found violating this policy will be subject to disciplinary action up to and including termination.

Any ticket received by a driver, for the illegal use of a cell phone or electronic device, will be the responsibility of the driver and must be reported to the company owner within 24 hours of its issuance.

# Driver Customer Service

##

## Policy

CAROLINA MAIN-LINE LLC is committed to providing the highest quality transportation services, emphasizing safety and on-time performance. This commitment includes meeting our customers' service requirements, representing their interests consistently with honesty and integrity, and continually improving the quality of the service we provide.

The success of CAROLINA MAIN-LINE LLC is based largely on the success and satisfaction of our customers. Without them, we will fail as a transportation company.

## Responsibility

CAROLINA MAIN-LINE LLC realizes that meeting this commitment will only be achieved through our employees. Drivers play a vital role in our quality customer service effort and are encouraged and expected to make positive contributions in delivering excellence to our customers.

It is the responsibility of all drivers to know and understand the customer service policies of CAROLINA MAIN-LINE LLC and to always promote the quality standards of the CAROLINA MAIN-LINE LLC.

It is the responsibility of the owner to review this policy and associated procedures with all drivers and to assure that they are understood and adhered too.

##

## Procedures

CAROLINA MAIN-LINE LLC is committed to meeting our customers' expectations through our drivers delivering perfect service. CAROLINA MAIN-LINE LLC defines perfect service as picking up the right quantity of the right product at the right time at the right location, delivering it on time to the right location with no cargo damage or loss, and processing all paperwork and billing information in a timely and accurate manner.

The CAROLINA MAIN-LINE LLC driver customer service procedures have been developed around the following goals:

* Establish minimum customer service standards.
* Define customer service nonconformance (service failure) events.
* Establish procedures for drivers arriving early or late for customer pickup and delivery.
* Establish reporting and communication standards for customer service nonconformance events.
* Establish customer service nonconformance recording procedures.
* Provide corrective action and continual improvement procedures for customer service nonconformance events.
* Establish expectations around submitting paperwork and shipping papers. Establish minimum driver conduct and appearance standards.

### **Customer Service Standards**

CAROLINA MAIN-LINE LLC is committed to our customers, and aspires to be recognized by its customers, employees, and vendors as an integral part of their success. CAROLINA MAIN-LINE LLC realizes that excellent customer service just doesn't happen. It requires hard work and dedication from everyone, and involves the alignment of all our policies, procedures, and systems within the organization.

With this in mind, the company has developed the following customer service standards which all CAROLINA MAIN-LINE LLC employees are expected to know and adhere to. These standards include:

* Learn our customers' goals and requirements, and, when appropriate, adopt their service standards as our own.
* Empower drivers to do whatever it takes to service our customers, but especially to satisfy an unhappy customer.
* Treat all customers with respect and professionalism and provide the highest level of personal service.
* Respond courteously and quickly to customer requests for information regarding shipment status.
* Provide substantive reasons to customer inquiries regarding service nonconformance events in an honest and up-front manner.
* Foster an environment of continual improvement in the way we service our customers.

#

# Definition of Service Nonconformance (service failure)

CAROLINA MAIN-LINE LLC defines a customer service nonconformance event as any time a customer's requirements for a given shipment or service request have not been met. These requirements may include but are not limited to not meeting on time pickup and delivery schedules, cargo security and securement issues (cargo claims), driver appearance and conduct standards, internal miscommunication, and timely and accurate paperwork and billing.

#

# Customers' Service Schedules

A measurement of CAROLINA MAIN-LINE LLC's overall quality of customer service is our ability to pick up and deliver on time according to our customers' schedules and specifications. The following guidelines have been established for pickup and delivery.

## Early Pickup and Delivery Guidelines

* In the case of a specific pick up or delivery appointment, drivers are expected to arrive no earlier than 30 minutes before the scheduled appointment. Drivers wishing to arrive earlier must contact their immediate supervisor at least 24 hours prior to arrival at the customer.
* In the event a driver can legally arrive earlier than the scheduled appointment, the driver may request to have the shipment's appointment advanced. Requests to move up a scheduled pick up or delivery appointment are dependent on the customer’s schedule and must be made through the driver's immediate supervisor.
* Drivers shall not contact a customer directly for the purpose of rescheduling a load or unload appointment. The driver’s supervisor will be the only one contacting the customer for this purpose.

## Late Pickup and Delivery Guidelines

* In the event that a scheduled pick-up or delivery appointment cannot be met due to delay causing a late pick up or delivery situation, the driver must notify their immediate supervisor.
* Timely reporting of delays is essential so the company can notify the customer and take appropriate corrective action or reschedule the shipment if necessary.
* Drivers shall not contact a customer directly for the purpose of rescheduling a late load or unload appointment. Rescheduling of load or unload appointments due to delay are to be made by the driver's immediate supervisor only.

##

## Reporting Service Nonconformance Events

When reporting a late pick-up or delivery situation, drivers are expected to provide the following information:

* current location
* reason for delay
* current hours of service status
* estimated time of arrival

##

## Recording Service Nonconformance Events

CAROLINA MAIN-LINE LLC is committed to continually improving the quality of the service we provide. An important part of our continual improvement effort is recording each service nonconformance event by reason, and then taking corrective measures to ensure a similar event does not reoccur.

All service nonconformance events will be recorded by reason as follows:

* Internal communication related (**IR**) - customer service nonconformance was caused by a communications failure or defect in a work process within our operation.
* Weather-related (**WR**) - customer service nonconformance was caused by delays due to adverse weather conditions experienced by the driver.
* Shipper-related (**SR**) - customer service nonconformance was caused by delays or difficulties experienced at the shipper or point of load origin that the driver or CAROLINA MAIN-LINE LLC had no direct control over.
* Consignee/stop-off-related (**CR**) - customer service nonconformance was caused by delays or difficulties experienced at the load's destination or stop-off that the driver or CAROLINA MAIN-LINE LLC had no direct control over.
* Equipment-related (**ER**) - customer service nonconformance was caused by an equipment failure or breakdown.
* Driver-related (**DR**) - customer service nonconformance was caused by the driver. Driver-related causes include, but are not limited to, leaving late, poor trip planning or poor execution of a proper trip plan, misreporting or misrepresenting available hours of service, failure to keep record of duty status current, or failure to follow proper loading and unloading procedures.

The owner will be responsible for recording and reporting service nonconformance events to Diana Rowan by the end of each business day.

## Corrective Action for Driver-Related Nonconformance Events

CAROLINA MAIN-LINE LLC driver supervisors are required to discuss all driver-related nonconformance events with the involved driver. This discussion will consist of a review of the service failure, and how to prevent reoccurrence.

The driver can request, or the driver's supervisor can recommend, trip planning refresher training at any time. Drivers in need of additional trip planning training will be referred to CAROLINA MAIN-LINE LLC's Safety Department for scheduling.

Drivers who are responsible for a service nonconformance event will be subject to the following corrective action schedule.

###

### **Phase 1**

A verbal warning will be issued to a driver who incurs a driver-related service nonconformance event and the driver will be placed in Phase 1 of the corrective action program.

All verbal warning entries must include date and time issued, an overview of the nonconformance event, and signatures of the driver and the driver's supervisor. All verbal warnings must be documented and placed in the driver's file.

Drivers in a Phase 1 status will be evaluated for a 45-day period. The driver will be taken off Phase 1 status after the evaluation period has expired, and if no additional driver related service failures have occurred.

Drivers who are responsible for any additional service failures while in Phase 1 will be placed in Phase 2 of the corrective action program.

### **Phase 2**

A written warning will be issued to drivers who incur any additional driver-related service failures while in a Phase 1 status. All written warning entries must include date and time issued, an overview of the nonconformance event, and the signatures of the driver and the driver's supervisor.

Drivers in a Phase 2 status will be evaluated for a 30-day period. Drivers placed in Phase 2 are demonstrating a pattern of behavior contrary to CAROLINA MAIN-LINE LLC's customer service commitment. Drivers in Phase 2 shall be scheduled for mandatory trip planning training.

A copy of the written warning and record of training will be placed in the driver's file. Drivers who are responsible for additional service failures while in Phase 2 will be placed in Phase 3 of the corrective action program.

The driver will be taken off Phase 2 status after the evaluation period has expired, assuming no additional driver related service failures have occurred.

### **Phase 3**

A final written warning will be issued to drivers who incur any driver-related service failures while in the Phase 2 evaluation period.

Phase 3 is the final stage of the customer service corrective action program. Drivers who reach this stage demonstrate an inability or unwillingness to service our customers according to CAROLINA MAIN-LINE LLC's standards. Drivers in Phase 3 face disciplinary action including suspension and possible termination of employment. A copy of the final written warning will be placed in the driver's file, and appropriate disciplinary action will be determined based on the situation.

## Paperwork

Drivers are responsible for the accuracy and timely submission of bills of lading and other shipment paperwork. To ensure this, CAROLINA MAIN-LINE LLC has established the following procedures:

* At the shipment's point of origin, drivers are required to make sure the bill of lading and other paperwork matches the actual loaded cargo and is signed by a responsible shipping party. CAROLINA MAIN-LINE LLC does not consider any shipment to be complete until the paperwork associated with that shipment (specifically the bill of lading) is signed by the responsible consignee or receiving party.
* Drivers transporting hazardous materials are required to make sure shipping papers are checked for content, containers of hazardous material are labeled correctly, emergency response information is listed on the paperwork and is carried in the vehicle, and placards are provided by the shipper.
* All paperwork will be forwarded to CAROLINA MAIN-LINE LLC within 24 hours of delivery, via email

#

# Driver Conduct and Appearance Standards

All drivers for CAROLINA MAIN-LINE LLC are expected to dress, look, and act like professionals. Maintaining a positive and professional image is extremely important. Our drivers are our most visible company representative to the public and to our customers and need to maintain the highest personal appearance and conduct standards.

Drivers for CAROLINA MAIN-LINE LLC are expected to follow all customer policies and procedures and abide by all plant safety rules while at customer locations. CAROLINA MAIN-LINE LLC drivers are also expected to be courteous, cooperative, and respectful always while at customer locations, and should expect the same treatment in return.

If a conflict does arise at a customer location, drivers are not expected to resolve the issue themselves. In these situations, drivers are to contact their supervisor immediately for assistance in resolving the conflict.

# Maintenance and Periodic Inspection (NSC Std 11)

# Periodic Commercial Motor Vehicle Inspections

## Policy

CAROLINA MAIN-LINE LLC is committed to following a periodic commercial vehicle inspection program. The National Safety Code Standard 11, Part B, requires commercial motor vehicles greater than 4,500 kilograms to undergo a thorough inspection at least annually. Some jurisdictions require inspections every six months and there may be different minimum weight thresholds among the jurisdictions.

All equipment items not meeting the minimum standards must be repaired before the vehicle is put back into service. Our annual inspection procedure will help avoid penalties and provide support for a good inspection and maintenance program.

## Responsibility

Maurice DeBerry shall be responsible for knowing the information contained in the Periodic Commercial Vehicle Inspection Policy. All questions surrounding forms, record keeping, or procedures should be addressed to Maurice DeBerry.

## Procedures

All vehicles subject to CAROLINA MAIN-LINE LLC's control must be inspected at least annually. This includes each vehicle in a combination. For example, for a tractor semitrailer or full trailer combination, the tractor, semitrailer, and the full trailer (including converter dolly) must each be inspected.

###

### **Inspector Qualifications**

Inspections must be performed by an authorized inspector at government inspection facilities or government-approved facilities. Contact Maurice DeBerry for more information on approved facilities.

### **Vehicle Inspection Criteria**

The components that are to be inspected are listed in National Safety Code Standard 11, Part B. They include:

* Power train,
* Suspension,
* Hydraulic brakes,
* Air brakes, Steering,
* Instruments and auxiliary equipment,
* Lamps,
* Electrical system,
* Body,
* Tires and wheels, and
* Couplers and hitches.

Each of these major component areas has subsidiary components that must be inspected as part of the annual vehicle inspection.

Any equipment items not meeting minimum standards must be repaired before the vehicle can be put back in service.

### **Periodic Vehicle Inspection Documentation**

The qualified inspector performing the inspection will prepare a report that includes the following information:

* The inspector's name,
* The name of the motor carrier operating the vehicle, The date of the inspection,
* Vehicle identification,
* A list of the components inspected and designation of any components not meeting inspection standards, and
* Certification that the inspection is accurate, complete, and that it complies with the regulations.

The original or a copy of the annual vehicle inspection report will be retained CAROLINA MAIN-LINE LLC Company Location. According to NSC Standard 11, Part B, the inspection report will be retained for four (4) years no less than two (2).

### **Documentation on Vehicle**

A copy of the annual inspection report must be carried on the vehicle. An annual inspection sticker must be affixed to the vehicle. If necessary, sticker shall be used.

The sticker shall be placed on the power units on the left-hand corner of the windshield or in a conspicuous position on the left-hand side of the cab.

The sticker shall be placed on the trailers and auxiliary equipment on the left-hand side as close as practicable to the front of the equipment.

###

### **Contingency plan for Out-of-Service Vehicle**

If an assigned vehicle is put out of service (OOS) during the course of a periodic inspection, the following procedure shall be implemented:

* The qualified inspector shall notify the Director of Operations upon discovery of the vehicle defect. The notification will include a detailed description of the defect, and an accurate estimate of when the defect will be corrected.
* The Director of Operations will be responsible to inform the driver of the OOS vehicle and assign a temporary vehicle if necessary.

A temporary vehicle will be assigned if the delay in repairing the OOS vehicle causes a service failure or excessive down time for the driver.

#

# Other Operating Policies (NSC)

# Accident Investigation and Reporting

## Policy

CAROLINA MAIN-LINE LLC will keep an accident register. CAROLINA MAIN-LINE LLC will also keep track of corrective actions. They are detailed in the following set of procedures.

CAROLINA MAIN-LINE LLC's policy is to fully investigate any accident involving company personnel and vehicles.

CAROLINA MAIN-LINE LLC believes strongly that accident investigation begins right at the scene. That means certain driver responsibilities must be carried out at the scene of an accident. Additional company procedures involved in accident investigation are described below.

CAROLINA MAIN-LINE LLC's policy is that drivers who leave the scene of an accident (without permission) may be subject to disciplinary action.

## Responsibility

Drivers are expected to know and apply the procedures set forth in this policy.

The Director of Operations must be familiar with this policy in order to train drivers and walk them through the steps in the event of an accident.

The Director of Operations is expected to know and apply all company accident investigation procedures as details of the incident are documented and evaluated.

##

## Procedures

### **Accident Reporting**

Depending on the severity of the accident, drivers for CAROLINA MAIN-LINE LLC will be expected to follow the procedures listed below:

* Dealing with immediate problems
* Stop Immediately
* Prevent another accident,
* Help any people who are injured and Notify law enforcement personnel.
* Gather and report accident information:
* Document the incident, and
* Report to the company.

Before communicating an accident, drivers for CAROLINA MAIN-LINE LLC are expected to gather the following information and details:

* Exact time and location of the accident,
* Estimate of the injuries (if any) and/or damage to vehicle(s) and property involved,
* A location and/or phone number where you can be reached for further information and instructions,
* Names and addresses of all persons involved in the accident,
* Names and addresses of all insurance companies involved, and
* Make, model, and license numbers of all vehicles involved in the accident.

Drivers will be required to fill out any forms the company provides for him/her to use at the scene of an accident.

### **Accident Investigation and Review**

The Director of Operations will interview the driver involved in the accident within 1 day (if possible). The Director of Operations will ask the driver for more details on the accident including:

* Road conditions,
* Weather conditions,
* Hours of service and last time of the driver’s rest/sleep,
* Description of route and whether the driver has been on this route in the past,
* Speed at which the driver was traveling, and

After initial contact with the driver of the vehicle involved in an accident, the company will determine the level of official involvement that needs to happen in the specific instance.

CAROLINA MAIN-LINE LLC contracts with [\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_] to handle complex accident investigations, according to the CAROLINA MAIN-LINE LLC procedures to be described below.

* [\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_]

After a detailed investigation is completed, accident reconstruction may be attempted in some cases, if deemed necessary by the Director of Operations.

After the accident evaluation is completed, the Director of Operations will create a report of recommendations on how to prevent accidents of the same nature in the future. Drivers, dispatchers, will be retrained on the applicable area(s) if necessary.

Maurice DeBerry is responsible for keeping records of all accidents involving CAROLINA MAIN-LINE LLC vehicles and drivers. Records will be kept on all accidents for 2 years.

# Insurance

##

## Policy

CAROLINA MAIN-LINE LLC requires the minimum levels of insurance to operate legally.

##

## Responsibility

Management is responsible for obtaining and maintaining proper insurance coverage.

##

## Procedures

In the federal “Motor Carrier Safety Fitness Certificate Regulations”, extra-provincial truck undertakings are required to hold the following minimum liability insurance coverage to cover bodily injury or death of any person or loss of or damage to property of other persons, other than cargo:

* $1,000,000 for each motor vehicle; and
* $2,000,000 for each motor vehicle used to transport dangerous goods

CAROLINA MAIN-LINE LLC will hold liability insurance coverage as stated above.

# General Safety Responsibilities for the Driver

##

## Policy

The driver responsibilities outlined below are designed to provide the driver with information and guidance on a wide range of issues affecting motor carrier safety. The responsibilities outlined below are not all inclusive, but instead are intended to provide drivers with basic information necessary to comply with company policies and procedures, and therefore to be successful at the company.

##

## Responsibility

Drivers must follow the safety-related driving procedures listed below. Where drivers violate these procedures, disciplinary action will result.

##

## Procedures

### **Seat Belts**

Drivers are required to wear seat belts at all times when operating CAROLINA MAIN-LINE LLC's vehicles.

### **Speed Limits**

Drivers must obey posted speed limits at all times. If hazardous conditions warrant, drivers must adjust speed accordingly.

Any driver violates this speed limit policy or who knowingly accepts a load that will put them in violation of CAROLINA MAIN-LINE LLC's speed limit policy in order to deliver the load on time, will be subject to disciplinary action up to and including termination.

### **Fueling**

Prior to fueling, drivers must turn off the engine, check the fuel tank for leaks, and ensure the tank is securely fastened to the vehicle.

During fueling, drivers are prohibited from:

* Smoking
* Using electronic devices
* Leaving the pump unattended, and
* Overfilling the tank
* When finished fueling, drivers must replace the fuel tank cap.

####

### **Vehicle Size and Weight**

CAROLINA MAIN-LINE LLC requires all vehicles to be operated within the legal size and weight requirements.

Prior to operating a CAROLINA MAIN-LINE LLC vehicle, drivers must ensure the vehicle is within the jurisdiction’s legal size and weight limits.

If a CAROLINA MAIN-LINE LLC vehicle is found to be oversize/overweight, the driver will notify the Owner for help in obtaining the necessary permit(s).

###

### **Defensive Driving**

All Drivers must adhere to the following defensive driving techniques:

* Avoid other vehicles.

### **Backing**

Backing is an extremely hazardous maneuver. If you are backing with the assistance of a guide, the ultimate responsibility for the safety of the backing maneuver remains with the driver.

### **Passing**

Failure to pass safely indicates faulty judgment on your part as a defensive driver, and failure to consider one or more of the factors that need to be checked:

* Is there enough room ahead?
* Is there adequate space to move back into your lane of traffic after passing?
* Have you signaled your intentions?

**Encroaching on other traffic lanes**

Observant defensive drivers will not usually get trapped when other drivers change lanes abruptly. In the same manner, entrapment in merging traffic can be successfully avoided by a good defensive driver with a little preplanning and willingness to yield. Blind spots are not valid excuses for this kind of accident - allowances must be made in areas of limited sight distance.

### **Turning**

Turning, like passing, is a dangerous maneuver, and demands special care and an observant eye from you as a defensive driver. You should be aware of other vehicles in your path, and of the complete configuration of the turn you are about to undertake.

**Pedestrians**

As a sensible defensive driver, always assume that if there is a pedestrian (or small vehicle of some sort) involved in a situation, slowing down is your best defense. Be certain to give people and small vehicles the benefit of the doubt.

### **Extreme weather and road conditions**

Bad weather and other road hazards place special stress upon any defensive driver. The best rule in any kind of bad weather or extreme road condition is to get off the road safely and as soon as possible. If you absolutely must continue, slowing way down and increasing the following distance are your best defenses, along with increased awareness. All CAROLINA MAIN-LINE LLC drivers will be educated on the dangers of, and the company's expectations for, driving in extreme weather and road conditions.

A CAROLINA MAIN-LINE LLC expectation that applies to all the situations described below is that you (as a driver) are required to contact your immediate supervisor or night dispatch in the event a delay caused by weather or other road conditions will affect pick up or delivery schedules.

### **Snow**

CAROLINA MAIN-LINE LLC drivers will receive training in fundamental safety procedures for driving in snowy conditions. Snow, depending on the type and severity, can present a variety of dangerous conditions. Because of this, the following procedures have been developed for this defensive driving policy:

* Wet snow. if there is enough of this type of snow to cover the roadway, it will form a slick path.
* Light, powdery snow presents few problems since it is quickly blown off the road surface.
* You should reduce speed and increase the following distance.
* Determining the correct speed and safe following distance will be left to your best judgment.
* Heavier, slushy snow can affect vehicle control. If snow becomes hard packed it can cause an ice hazard on the road surface. Again, you should reduce speed and increase the following distance.

Determining the correct speed and safe following distance will be left to your best judgment. All slow maneuvers such as starting out, steering, backing, and turning should be done smoothly and with extreme care to minimize skids and slides.

* Falling or blowing snow can greatly reduce visibility. In addition, falling and blowing snow can CAROLINA MAIN-LINE LLC drivers will also be educated on the dangers of "snow hypnosis".
* In extreme conditions, chains may be necessary. Enter tire chain procedures Drivers will receive training in fundamental safety procedures for driving on icy roads. All CAROLINA MAIN-LINE LLC drivers need to be aware of changes in road surface conditions that may affect the vehicle's traction. To help our drivers, CAROLINA MAIN-LINE LLC has developed the following procedures for driving on icy roads for this defensive driving policy:
* As with all extreme weather conditions, if you must continue, the safest techniques to employ are to reduce speed and increase your following distance. But of these two, increasing the following distance is by far the most important. Depending on the temperature and road conditions, stopping distance (distance needed to come to a complete stop) on icy roads can increase four to ten times versus stopping from the same speed on a dry road.
* CAROLINA MAIN-LINE LLC drivers will be educated on the dangers of "black ice". Black ice forms when temperatures drop rapidly and any moisture on the road surface freezes into a smooth, almost transparent layer of ice. What makes black ice particularly dangerous is that you may not realize you are on it until it's too late. Determining the correct speed and safe following distance will be left to your best judgment.
* Bridges and overpasses are other areas to which you should give special attention. Ice will tend to form first on bridges and overpasses because cold air circulates both above and below these structures causing the temperature to drop more rapidly than on normal roads. Any moisture on the road surface of a bridge or overpass will freeze quicker and harder than elsewhere on the road. Extreme caution and a reduction in speed should be used by all CAROLINA MAIN-LINE LLC drivers while traveling over bridges and overpasses.

### **Road construction**

CAROLINA MAIN-LINE LLC realizes that chances are good that from time to time our drivers will be faced with having to drive on roadways that are being repaired or under construction. Road construction presents several hazards. Because of this, our drivers are expected to approach road construction work zones the same way they would any adverse driving situation and follow these procedures:

* You should reduce speed and maintain a safe following distance.
* You should drive at or under all special or reduced posted speed limits while traveling through road construction work zones. Safe following distance will be left to your best judgment.
* You should be constantly aware of your immediate surroundings, anticipate the possible actions of other motorists, and expect sudden stops.
* You should watch for construction workers or vehicles crossing the roadway.
* You should use the lane furthest from a construction zone when possible.
* You should avoid sudden lane changes and use headlights and four-way flashers when traveling through construction zones.

### **Road hazards**

CAROLINA MAIN-LINE LLC drivers should be aware of the potential danger of encountering various types of road hazards including:

* Soft shoulders or severe pavement drop-offs that can cause rollover type accidents.
* Road debris such as tire recaps, metal, or lumber can cause severe damage to tires, tire rims, electrical systems, and brake lines. You should be aware of the road ahead to identify potential road debris early and take safe and appropriate avoidance maneuvers.

### **Underpasses**

Hitting a bridge, underpass, or viaduct is a danger you should be constantly aware of. This type of accident, often referred to as "topping" a trailer, is always preventable. CAROLINA MAIN-LINE LLC drivers need to be aware that the posted height of an underpass is not always accurate. Re-paving and packed snow can reduce the clearance of an overpass enough to cause a problem. In addition, an empty trailer will ride higher than when it is loaded. You should make thorough trip plans. When in doubt of the clearance of an underpass, you should get out of your vehicle and make a visual inspection or find an alternate route.

### **Fixed objects and special intersections**

A good defensive driver will observe items in the area around the vehicle that might cause problems. Checking to be certain there is adequate clearance is the primary thing to watch. In the areas of driveways, alleyways, or plant entrances, the effective defensive driver will analyze the situation carefully, slow down, sound a warning when appropriate, and be ready to yield to the other driver involved.

### **Following distance**

Tailgating is probably the single most common complaint lodged by the general driving public against truck drivers. Here are some specific following distance guidelines:

* Use a 3-second interval at speeds up to 65 kph
* Use a 4-second interval at any speed over 70 kph
* Add extra time in bad weather or poor road conditions; and
* Add extra following distance if you are being tailgated.

### **Curves and Turns**

The biggest thing to remember in successfully negotiating curves and turns is to slow down. That way you will be able to make any needed adjustments in steering, etc. as required.

#

# Profiles and Safety Ratings (NSC Std 7, 14)

#

# Safety Fitness Certificate/Carrier Profile/Safety Rating

##

## Policy

CAROLINA MAIN-LINE LLC operates under the authority of North Carolina’s safety fitness certificate. By operating under the authority of the certificate, CAROLINA MAIN-LINE LLC agrees to comply with all applicable motor safety regulations and the National Safety Code standards. North Carolina tracks CAROLINA MAIN-LINE LLC's safety performance on our carrier profile.

CAROLINA MAIN-LINE LLC will update our carrier profile (for name changes, address changes, etc.) according to North Carolina’s requirements.

##

## Responsibility

Maurice DeBerry is CAROLINA MAIN-LINE LLC's personnel responsible for the carrier profile.

##

## Procedures

Maurice DeBerry must ensure that a copy of CAROLINA MAIN-LINE LLC's safety fitness certificate is present in each vehicle operating under the certificate, including leased vehicles.

Maurice DeBerry must renew the safety fitness certificate within one week.

Maurice DeBerry must monitor CAROLINA MAIN-LINE LLC's carrier profile at least annually. While violations, contraventions, convictions, and accidents should be kept to a minimum at our company, if the profile indicates that one or more area(s) of safety compliance have been compromised, then Maurice DeBerry must take immediate action to address those safety issues.

If errors/discrepancies are found on our carrier profile, Maurice DeBerry must follow North Carolina’s procedures for correcting those errors/discrepancies as soon as possible.

traveling through road construction work zones. Safe following distance will be left to your best judgment.

* You should be constantly aware of your immediate surroundings, anticipate the possible actions of other motorists, and expect sudden stops.
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###

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#

# DOT Drug and Alcohol Policy

## Policy

CAROLINA MAIN-LINE LLC is dedicated to the health and safety of our drivers. Drug and/or alcohol use may pose a serious threat to driver health and safety. Therefore, it is the policy of CAROLINA MAIN-LINE LLC to prevent the use of drugs and abuse of alcohol from having an adverse effect on our drivers.

The serious impact of drug use and alcohol abuse has been recognized by the federal government. The Federal Motor Carrier Safety Administration (FMCSA) has issued regulations which require the company to implement an alcohol and controlled substances testing program.

The purpose of the FMCSA-issued regulations is to establish programs designed to help prevent accidents and injuries resulting from the misuse of alcohol or use of controlled substances by drivers of commercial motor vehicles.

The company will comply with these regulations and is committed to maintaining a drug-free workplace.

It is the policy of CAROLINA MAIN-LINE LLC that the use, sale, purchase, transfer, possession, or presence in one's system of any controlled substance (except medically prescribed drugs) by any driver while on the company premises, engaged in company business, operating company equipment, or while under the authority of CAROLINA MAIN-LINE LLC is strictly prohibited. Disciplinary action will be taken as necessary. Neither this policy nor any of its terms are intended to create a contract of employment or contain the terms of any contract of employment. The company retains the sole right to change, amend, or modify any term or provision of this policy without notice. This policy is effective upon hiring and will supersede all prior policies and statements relating to alcohol or drugs.

## Responsibility

In accordance with 49 CFR §382.601(a), each employer shall provide educational materials that explain the requirements in Part 382 and the employer's policies and procedures with respect to meeting these requirements. The employer shall ensure that a copy of these materials is distributed to each driver prior to the start of alcohol and controlled substances testing under this part and to each driver subsequently hired or transferred into a safety-sensitive function position (i.e., operating a commercial motor vehicle as defined in §382.107 requiring a CDL).

Each driver hired or transferring into a safety-sensitive function is responsible for reviewing the content of the information presented to drivers. Each driver is responsible for asking questions about the procedures if the content is unclear to him/her. Drivers may pose follow-up questions about the content of this policy and procedures to company Owner.

##

## Drugs and Alcohol Procedures

### **Regulatory Requirements**

All drivers who operate commercial motor vehicles that require a commercial driver's license under 49 CFR Part 383 are subject to the FMCSA's drug and alcohol regulations, 49 CFR Part 382.

### **Non-Regulatory Requirements**

The Federal Motor Carrier Safety Regulations (FMCSRs) set the minimum requirements for testing. The company's policy in certain instances may be more stringent. This policy will clearly define what is mandated by the FMCSRs and what company procedure is.

### **Who is Responsible?**

It is the company's responsibility to provide testing for the driver that is in compliance with all federal and state laws and regulations, and within the provisions of this policy.

The company will retain all records related to testing and the testing process in a secure and confidential matter.

CAROLINA MAIN-LINE LLC's alcohol and drug program administrator who is designated to monitor, facilitate, and answer questions pertaining to these procedures is:

Location provided by Transportation Compliance Service LLC. Administrator will be the at discretion of clinic.

**Transportation Compliance Service phone number: 866-389-9342.**

The driver is responsible for complying with the requirements set forth in this policy. The driver will not use, have possession of, abuse, or have the presence of alcohol or any controlled substance in excess of regulation-established threshold levels while on duty. The driver will not use alcohol within 4 hours of performing a “safety-sensitive” function, while performing a “safety-sensitive” function, or immediately after performing a “safety-sensitive” function. The driver must submit to alcohol and controlled substances tests administered under Part 382.

All supervisors must make every effort to be aware of a driver's condition at all times the driver is in the service of the company. The supervisor must be able to make reasonable suspicion observations to determine if the driver is impaired in some way and be prepared to implement the requirements of this policy if necessary.

# Definitions

When implementing and interpreting the drug and alcohol policies and procedures required by the FMCSA, as well as the policies and procedures required by the company, the following definitions apply:

***Actual knowledge***means actual knowledge by an employer that a driver has used alcohol or controlled substances based on the employer's direct observation of the driver, information provided by the driver's previous employer(s), a traffic citation for driving a CMV while under the influence of alcohol or a controlled substance, or a driver's admission of alcohol or controlled substance use under the provisions of Sec. 382.121. Direct observation as used in this definition means observation of alcohol or controlled substance use and does not include observation of driver behavior or physical characteristics sufficient to warrant reasonable suspicion testing under Sec. 382.307.

***Adulterated specimen***means a specimen that has been altered, as evidenced by test results showing either a substance that is not a normal constituent for that type of specimen or showing an abnormal concentration of an endogenous substance.

***Alcohol***means e intoxicating agent in beverage alcohol, ethyl alcohol, or other low molecular weight alcohols including methyl and isopropyl alcohol.

***Alcohol concentration***(or content) means the alcohol in a volume of breath expressed in terms of grams of alcohol per 210 liters of breath as indicated by an evidential breath test.

***Alcohol screening device***(ASD) means a breath or saliva device, other than an EBT, that is approved by the National Highway Traffic Safety Administration (NHTSA) and appears on ODAPC’s webpage for “Approved Screening Devices to Measure Alcohol in Bodily Fluids” because it conforms to the model specifications from NHTSA.

***Alcohol use***means the consumption of any beverage, liquid mixture, or preparation, including any medication, containing alcohol.

***Aliquot***means a fractional part of a specimen used for testing. It is taken as a sample representing the whole specimen.

***Breath Alcohol Technician***(or BAT) means an individual who instructs and assists individuals in the alcohol testing process and operates an evidential breath testing device (EBT).

***Collection site***means a place designated by the company, where individuals present themselves for the purpose of providing a urine specimen for a drug test.

***Commercial motor vehicle***means a motor vehicle or combination of motor vehicles used in commerce to transport passengers or property if the motor vehicle:

* Has a gross combination weight rating of 26,001 or more pounds (11,794 or more kilograms) inclusive of a towed unit with a gross vehicle weight rating of more than 10,000 pounds (4,536 kilograms); or
* Has a gross vehicle weight rating of 11,794 or more kilograms (26,001 or more pounds); or Is designed to transport 16 or more passengers, including the driver; or
* Is of any size and is used in the transportation of materials found to be hazardous for the purposes of the Hazardous Materials Transportation Act and which require the motor vehicle to be placarded under the Hazardous Materials Regulations (49 CFR Part 172, subpart F)

***Confirmatory drug test***means a second analytical procedure to identify the presence of a specific drug or metabolite which is independent of the initial test and which uses a different technique and chemical principle from that of the initial test in order to ensure reliability and accuracy. (Gas chromatography/mass spectrometry (GC/MS) is the only authorized confirmation method for cocaine, marijuana, opiates, amphetamines, and phencyclidine).

***Confirmatory validity test***means a second analytical procedure performed on a different aliquot of the original specimen to identify and quantify the presence of a specific drug or drug metabolite.

***Consortium/Third-party administrator (C/TPA****)* is a service agent that provides or coordinates the provision of a variety of drug and alcohol testing services for the company. C/TPAs typically perform administrative tasks concerning the operation of the company's drug and alcohol testing programs. This term includes, but is not limited to, groups of employers who join to administer, as a single entity, the DOT drug and alcohol testing programs of its members. C/TPAs are not “employers.”

***Controlled substances***mean those substances identified in 49 CFR, Section 40.85. In accordance with FMCSA rules, urinalyses will be conducted to detect the presence of the following substances:

* Marijuana metabolites
* Cocaine metabolites
* Amphetamines
* Opioids
* Phencyclidine (PCP).

Detection levels requiring the determination of a positive result shall be in accordance with the guidelines adopted by the FMCSA in accordance with the requirements established in 49 CFR, Section 40.87.

\*See ANNEX B at end of document.

1For grouped analytes (i.e., two or more analytes that are in the same drug class and have the same initial test cutoff):

***Immunoassay*:** The test must be calibrated with one analyte from the group identified as the target analyte. The cross-reactivity of the immunoassay to the other analyte(s) within the group must be 80 percent or greater; if not, separate immunoassays must be used for the analytes within the group.

***Alternate technology***: Either one analyte or all analytes from the group must be used for calibration, depending on the technology. At least one analyte within the group must have a concentration equal to or greater than the initial test cutoff or, alternatively, the sum of the analytes present (i.e., equal to or greater than the laboratory’s validated limit of quantification) must be equal to or greater than the initial test cutoff.

2An immunoassay must be calibrated with the target analyte,

Δ-9-tetrahydrocannabinol-9-carboxylic acid (THCA).

**3*Alternate technology (THCA and Benzoylecgonine****)*: When using an alternate technology initial test for the specific target analytes of THCA and Benzoylecgonine, the laboratory must use the same cutoff for the initial and confirmatory tests (i.e., 15 ng/mL for THCA and 100ng/mL for Benzoylecgonine). 4Methylenedioxymethamphetamine (MDMA). 5Methylenedioxyamphetamine (MDA).

***Designated employer representative (DER****)* is an individual identified by the employer as able to receive communications and test results from service agents and who is authorized to take immediate actions to remove drivers from safety-sensitive duties and to make required decisions in the testing and evaluation processes. The individual must be an employee of the company. Service agents cannot serve as DERs.

***Dilute specimen***means a urine specimen with creatinine and specific gravity values that are lower than expected for human urine.

***Direct observation***means the observer must request the employee to raise his or her shirt, blouse, or dress/skirt, as appropriate, above the waist; and lower clothing and underpants to show, by turning around, that he/she does not have a prosthetic device. After observer has determined that the employee does not have such a device, he/she may permit the employee to return clothing to its proper position for observed urination.

***Disabling damage***means damage that precludes departure of a motor vehicle from the scene of the accident in its usual manner in daylight after simple repairs.

***Inclusions****.* Damage to motor vehicles that could have been driven but would have been further damaged if so driven.

***Exclusions.*** Damage which can be remedied temporarily at the scene of the accident without special tools or parts.

* Tire disablement without other damage even if no spare tire is available.
* Headlight or taillight damage.
* Damage to turn signals, horn, or windshield wipers which make them inoperative.

***Driver*** means any person who operates a commercial motor vehicle. This includes, but is not limited to full time, regularly employed drivers; casual, intermittent or occasional drivers; leased drivers and independent, owner-operator contractors who are either directly employed by or under lease to an employer or who operates a commercial motor vehicle at the direction of or with the consent of an employer.

***Drug***means any substance (other than alcohol) that is a controlled substance as defined in this policy and 49 CFR Part 40.

***Evidential breath testing device (EBT****)* means a device that is approved by the National Highway Traffic Safety Administration (NHTSA) for the evidential testing of breath at the .02 and .04 alcohol concentrations and appears on ODAPC’s web page for “Approved Evidential Breath Measurement Devices’ because it conforms with the model specifications available from NHTSA.

***FMCSA***means Federal Motor Carrier Safety Administration, U.S. Department of Transportation.

***Initial drug test***(also known as a “Screening drug test”) means the test used to differentiate a negative specimen from one that requires further testing for drugs or drug metabolites.

***Initial specimen validity test***means the first test used to determine if a urine specimen is adulterated, diluted, substituted, or invalid.

***Invalid result***means the result reported by an HHS-certified laboratory in accordance with the criteria established by HHS Mandatory Guidelines when a positive, negative, adulterated, or substituted result cannot be established for a specific drug or specimen validity test.

***Laboratory*** means any U.S. laboratory certified by HHS under the National Laboratory Certification Program as meeting the minimum standards of Subpart C of the HHS Mandatory Guidelines for Federal Workplace Drug Testing Programs; or, in the case of foreign laboratories, a laboratory approved for participation by DOT under Part 40.

***Licensed medical practitioner***means a person who is licensed, certified, and/or registered, in accordance with applicable federal, state, local, or foreign laws and regulations, to prescribe controlled substances and other drugs.

***Medical Review Officer (MRO****)* is a person who is a licensed physician (Doctor of Medicine or Osteopathy) and who is responsible for receiving and reviewing laboratory results generated by the company's drug testing program and evaluating medical explanations for certain drug test results.

***Negative result***means the result reported by an HHS-certified laboratory to an MRO when a specimen contains no drug, or the concentration of the drug is less than the cutoff concentration for the drug or drug class and the specimen is a valid specimen.

***Non-negative specimen***means a urine specimen that is reported as adulterated, substituted, and positive (for drug(s) or drug metabolite(s)), and/or invalid.

***Oxidizing adulterant***means a substance that acts alone or in combination with other substances to oxidize drugs or drug metabolites to prevent the detection of the drug or drug metabolites or affects the reagents in either the initial or confirmatory drug test.

***Performing (a safety-sensitive function)***means a driver is considered to be performing a safety- sensitive function during any period in which he or she is actually performing, ready to perform, or immediately available to perform any safety-sensitive functions.

***Positive result***means the result reported by an HHS-certified laboratory when a specimen contains a drug or drug metabolite equal to or greater than the cutoff concentrations.

***Prescription medications***means the use (by a driver) of legally prescribed medications issued by a licensed health care professional familiar with the driver's work-related responsibilities.

***Refuse to submit***(to an alcohol or controlled substances test) means that a driver:

* Fails to appear for any test (except pre-employment) within a reasonable time, as determined by the company, consistent with applicable DOT regulations, after being directed to do so by the company. This includes the failure of a driver (including an owner-operator) to appear for a test when called by a C/TPA.
* Fails to remain at the testing site until the testing is complete (except pre- employment if the driver leaves before the testing process begins).
* Fails to provide a urine specimen for any DOT required drug test (except pre- employment if the driver leaves before the testing process begins);
* In the case of a directly observed or monitored collection in a drug test, fails to permit the observation or monitoring of the driver's provision of the specimen.
* Fails to provide a sufficient amount of urine when directed, and it has been determined, through a required medical evaluation, that there was no adequate medical explanation for the failure.
* Fails or declines to take a second test the employer or collector has directed the driver to take.
* Fails to undergo a medical examination or evaluation, as directed by the MRO as part of the verification process, or as directed by the DER (In the case of a pre- employment drug test, the employee is deemed to have refused to test on this basis only if the pre-employment test is conducted following a contingent offer of employment);
* Fails to cooperate with any part of the testing process (e.g., refuse to empty pockets when directed by the collector, behave in a confrontational way that disrupts the collection process, fail to wash hands after being directed to do so by the collector).
* For an observed collection, fails to follow the observer’s instructions to raise his/her clothing above the waist, lower clothing and underpants, and to turn around to permit the observer to determine if he/she has any type of prosthetic or other device that could be used to interfere with the collection process.
* Possesses or wears a prosthetic or other device that could be used to interfere with the collection process.
* Admits to the collector or MRO that he/she adulterated or substituted the specimen.
* Is reported by the MRO as having a verified adulterated or substituted test result.

***Safety-sensitive function***means all time from the time a driver begins to work or is required to be in readiness to work until the time he/she is relieved from work and all responsibility for performing work. Safety-sensitive functions include:

* All the time at an employer or shipper plant, terminal, facility, or other property, or on any public property, waiting to be dispatched, unless the driver has been relieved from duty by the company.
* All-time inspecting equipment as required by Secs. 392.7 and 392.8 or otherwise inspecting, servicing, or conditioning any commercial motor vehicle at any time.
* All time spent at the driving controls of a commercial motor vehicle in operation.
* All time, other than driving time, in or upon any commercial motor vehicle, except time spent resting in a sleeper berth (a berth conforming to the requirements of Sec. 393.76);
* All time loading or unloading a vehicle, supervising, or assisting in the loading or unloading, attending a vehicle being loaded or unloaded, remaining in readiness to operate the vehicle, or in giving or receiving receipts for shipments loaded or unloaded; and
* All time repairing, obtaining assistance, or remaining in attendance upon a disabled vehicle.

***Screening test technician (STT****)* is a person who instructs and assists employees in the alcohol testing process and operates an alcohol screening device (ASD).

***Split specimen collection***means a collection in which the urine collected is divided into two separate specimen bottles, the primary specimen (Bottle A) and the split specimen (Bottle B).

***Stand-down***means the practice of temporarily removing a driver from the performance of safety- sensitive functions based only on a report from a laboratory to the MRO of a confirmed positive drug test for a drug or drug metabolite, an adulterated test, or a substituted test, before the MRO has completed verification of the test results.

***Substance abuse professional (SAP****)* is a person who evaluates employees who have violated a DOT drug and alcohol regulation and makes recommendations concerning education, treatment, follow-up testing, and aftercare. A SAP must be:

* A licensed physician (Doctor of Medicine or Osteopathy).
* A licensed or certified social worker.
* A licensed or certified psychologist.
* A licensed or certified employee assistance professional.
* A state-licensed or certified marriage and family therapist; or
* A drug and alcohol counselor certified by an organization listed at [https://www.transportation.gov/odapc/sa](http://www.transportation.gov/odapc/sap)p.

***Substituted specimen***means a urine specimen with creatinine and specific gravity values that are so diminished or so divergent that they are not consistent with normal human urine.

##

## Alcohol Prohibitions

Part 382, Subpart B, prohibits any alcohol misuse that could affect performance of safety- sensitive functions.

* This alcohol prohibition includes:
* Use while performing safety-sensitive functions.
* Use during the 4 hours before performing safety-sensitive functions.
* Reporting for duty or remaining on duty to perform safety-sensitive functions with an alcohol concentration of 0.04 or greater.
* Use of alcohol for up to 8 hours following an accident or until the driver undergoes a post-accident test; or
* Refusal to take a required test.

**NOTE:** Per FMCSA regulation (Sec. 382.505), a driver found to have an alcohol concentration of 0.02 or greater but less than 0.04 shall not perform, nor be permitted to perform, safety-sensitive functions until the start of the driver's next regularly scheduled duty period, but not less than 24 hours following administration of the test.

Part 382, Subpart B, prohibits any drug use that could affect the performance of safety- sensitive functions. This drug prohibition includes:

* Use of any drug, except when administered to a driver by, or under the instructions of, a licensed medical practitioner, who has advised the driver that the substance will not affect the driver's ability to safely operate a commercial motor vehicle. (The use of marijuana under any state statute is not a legitimate medical explanation. Under federal law, the use of marijuana or any
	+ ***Schedule I***drug does not have a legitimate medical use in the United States
	+ Testing positive for drugs
	+ Refusing to take a required test.

All drivers will inform their supervisor of any therapeutic drug use prior to performing a safety-sensitive function. They may be required to present written evidence from a health care professional which describes the effects such medications may have on the driver's ability to perform his/her tasks.

##

## Conditions for Employment

A driver applicant who has refused a drug or alcohol test, failed a random, reasonable suspicion, post-accident, return-to-duty, follow-up alcohol test, or tested positive for controlled substances will be considered for employment with CAROLINA MAIN-LINE LLC if the following conditions are met:

* [\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_]

A driver applicant who has tested positive for drugs during a DOT pre-employment test will be considered for employment if the following conditions are met:

* [\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_]

##

## Circumstances for Testing

##

## Pre-employment §382.301

In accordance with §382.301, all driver applicants will be required to submit to and pass a urine drug test as a condition of employment.

Each driver applicant will be asked whether he/she has tested positive, or refused to test, on any DOT pre-employment drug test administered by an employer to which the driver applicant applied for, but did not obtain, safety-sensitive transportation work during the past 2 years.

If the driver applicant admits that he/she has tested positive, or refused to test, on any DOT pre-employment test, the driver applicant may not perform any safety-sensitive functions for the company until and unless the driver applicant documents successful completion of the return-to-duty process.

Job applicants, who are denied employment because of a positive test under another motor carrier or under CAROLINA MAIN-LINE LLC's DOT pre-employment testing, may reapply for employment after \_\_\_\_\_\_\_\_\_. The DOT return-to-duty process must be completed prior to operating CAROLINA MAIN-LINE LLC's commercial motor vehicles.

Driver applicant drug testing shall follow the collection, chain-of-custody, and reporting procedures set forth in 49 CFR Part 40.

An employee of CAROLINA MAIN-LINE LLC transferring to a safety-sensitive driving position is also subject to and must pass a urine drug test as a condition of the transfer.

If the employee transferring into a safety-sensitive function does not pass their DOT pre- employment drug screen, they hired for employment.

CAROLINA MAIN-LINE LLC will not require a pre-employment drug test if the following conditions are met:

* The driver has participated in a drug testing program meeting the requirements of Part 382 within the previous 30 days.
* While participating in this program the driver must have either been tested for controlled substances in the previous 6 months, or participated in a random drug testing program for the previous 12 months; and
* No prior employer of the driver has a record of violations of any DOT controlled- substance-use rule for the driver in the previous 6 months.

CAROLINA MAIN-LINE LLC must contact the previous employer's testing program prior to using the driver and obtain the following information:

* The name and address of the program (usually the driver's prior and/or current employer).
* Verification that the driver participates or participated in the program.
* Verification that the program conforms with the required procedures set forth in 49 CFR Part 40.
* Verification that the driver is qualified under this rule, including that the driver has not refused to submit to an alcohol or drug test.
* The date the driver was last tested for alcohol or drugs; and
* The results of any drug or alcohol test administered in the previous 6 months, and any violations of the alcohol misuse or drug use rules.

A pre-employment alcohol test will be conducted after the company has made a contingent offer of employment or transfer, subject to the individual passing the pre-employment alcohol test. All pre-employment alcohol tests will follow the alcohol testing procedures outlined in 49 CFR Part 40.

The pre-employment alcohol test will be conducted before the first performance of safety- sensitive functions. An individual may not begin performing safety-sensitive functions until he/she has received a test result that indicates an alcohol concentration of less than 0.04.

##

## Reasonable Suspicion Testing (Sec. 382.307)

If the driver's supervisor or another company official designated to supervise drivers believes a driver is under the influence of alcohol or drugs, the driver will be required to undergo a drug and/or alcohol test.

The basis for this decision will be specific, contemporaneous, articulable observations concerning the appearance, behavior, speech, or body odors of the driver.

The driver's supervisor or another company official will immediately remove the driver from any and all safety-sensitive functions and take the driver or make arrangements for the driver to be taken to a testing facility.

The person who makes the determination that reasonable suspicion exists to conduct an alcohol test may not administer the alcohol test. Per FMCSA regulation, reasonable suspicion alcohol testing is only authorized if the observations are made during, just preceding, or after the driver is performing a safety-sensitive function.

Per FMCSA regulation, if the driver tests 0.02 or greater, but less than 0.04, for alcohol the driver will be removed from all safety-sensitive functions, including driving a commercial motor vehicle, until the start of the driver's next regularly scheduled duty period, but not less than 24 hours following administration of the test.

If an alcohol test is not administered within two hours following a reasonable suspicion determination, the program administrator will prepare and maintain a record stating the reasons why the test was not administered within 2 hours.

If the test was not administered within 8 hours after a reasonable suspicion determination, all attempts to administer the test shall cease. A record of why the test was not administered must be prepared and maintained.

A written record of the observations leading to an alcohol or controlled substance reasonable suspicion test, signed by the supervisor or company official who made the observation, will be completed within 24 hours of the observed behavior or before the results of the alcohol or controlled substances test are released, whichever is first.

A driver awaiting the results of a reasonable suspicion drug test will be allowed to drive.

##

## Post-Accident Testing (Sec. 382.303)

Drivers are to notify Maurice DeBerry as soon as possible if they are involved in an accident.

According to FMCSA regulations (Sec. 382.303), if the accident involved the following, the driver will be tested for drugs and alcohol as soon as possible following the accident:

* A fatality,
* Bodily injury with immediate medical treatment away from the scene and the driver received a citation, or
* Disabling damage to any motor vehicle requiring tow away and the driver received a citation.

The driver must remain readily available for testing. If the driver isn't readily available for alcohol and drug testing, he/she may be deemed as refusing to submit to testing. A driver involved in an accident may not consume alcohol for 8 hours or until testing is completed.

If the alcohol test is not administered within 2 hours following the accident Maurice DeBerry will prepare a report and maintain a record stating, why the test was not administered within two hours.

If the alcohol test is not administered within 8 hours following the accident, all attempts to administer the test will cease. A report and record of why the test was not administered will be prepared and maintained.

The drug test must be administered within 32 hours of the accident. If the test could not be administered within 32 hours, all attempts to test the driver will cease.

Maurice DeBerry will prepare and maintain a record stating the reasons why the test was not administered within the allotted time frame.

##

## Random Testing (Sec. 382.305)

CAROLINA MAIN-LINE LLC will conduct random testing for all drivers as follows. CAROLINA MAIN-LINE LLC will use a company-wide selection process based on a scientifically valid method, prescribed by FMCSA regulations.

CAROLINA MAIN-LINE LLC will use a consortium. The consortium will use a selection process based on a scientifically valid method, prescribed by FMCSA regulations.

Transportation Compliance Service will administer the random testing program, maintaining all pertinent records on random tests administered.

At least 10 percent of the consortium's average number of driver positions will be tested for alcohol each year. At least 25 percent of the consortium's average number of driver positions will be tested for drugs each year.

The random testing will be spread reasonably throughout the calendar year. All random alcohol and drug tests will be unannounced, with each driver having an equal chance of being tested each time selections are made.

A driver may only be tested for alcohol while they are performing a safety-sensitive function, just before performing a safety-sensitive function, or just after completing a safety- sensitive function.

Once notified that he/she has been randomly selected for testing, the driver must proceed immediately to the assigned collection site.

##

## Return-to-Duty Testing (Sec. 382.309)

After failing an alcohol test, a driver must undergo a return-to-duty test prior to performing a safety- sensitive function. The test result must indicate a breath alcohol concentration of less than 0.02.

After testing positive for a controlled substance, a driver must undergo a return-to-duty test *under direct observation* prior to performing a safety-sensitive function. The test must indicate a verified negative result for drug use.

##

## Follow-Up Testing (Sec. 382.311)

Following the driver's violation of Part 382, Subpart B, the driver will be subject to follow- up testing. Follow-up testing will be unannounced. The number and frequency of such follow-up testing will be directed by the SAP and consist of at least six tests in the first 12 months. Follow-up testing may be done for up to 60 months. Follow-up drug tests must be conducted *under direct observation*.

##

## Refusal to Submit

According to Sec. 382.211, a driver may not refuse to submit to a post-accident, random, reasonable suspicion, or follow-up alcohol or controlled substances test required by the regulations. A driver who refuses to submit to such tests may not perform or continue to perform safety-sensitive functions and must be evaluated by a substance abuse professional as if the driver tested positive for drugs or failed an alcohol test.

Refusal to submit includes failing to provide adequate breath or urine sample for alcohol or drug testing and any conduct that obstructs the testing process. This includes adulteration or substitution of a urine sample.

##

## Dilute Specimen

If the MRO informs the company that a positive drug test was diluted, CAROLINA MAIN-LINE LLC will simply treat the test as a verified positive test. The company will not direct the employee to take another test based on the fact that the specimen was diluted. This is in accordance with §40.197.

If the MRO directs the company to conduct a recollection under direct observation (i.e., because the creatinine concentration of the specimen was equal to or greater than 2mg/dL, but less than or equal to 5 mg/dL (see §40.155(c)), CAROLINA MAIN-LINE LLC will do so *immediately*.

The employee is given the minimum possible advance notice that he or she must go to the collection site;

The result of the retest taken under §40.197(b), and not a prior test, is accepted as the test result of record;

* If the result of the retest taken under §40.197(b) is also negative and dilute, Masonic Hauling will not make the employee take an additional test because the result was dilute. Provided, however, that if the MRO directs Masonic Hauling to conduct a recollection under direct observation under §40.197(b)(1), the company must immediately do so.
* If the employee declines to take a test as directed in accordance with §40.197(b), the employee has refused the test for purposes of Part 40 and DOT agency regulations.
* If the creatinine concentration of the dilute specimen is greater than 5 mg/dL, CAROLINA MAIN-LINE LLC has elected to include the optional retest provision in its company policy. CAROLINA MAIN-LINE LLC will direct the employee to take another test immediately under company policy in accordance with §40.197. Such recollections will not be collected under direct observation, unless there is another basis for use of direct observation (see § 40.67 (b) and (c)).

The following provisions apply to all retests that CAROLINA MAIN-LINE LLC sends the driver for under company policy:

* The employee is given the minimum possible advance notice that he or she must go to the collection site.
* The result of the retest taken under §40.197(b), and not a prior test, is accepted as the test result of record.
* If the result of the retest taken under §40.197(b) is also negative and dilute, CAROLINA MAIN-LINE LLC will not make the employee take an additional test because the result was dilute. Provided, however, that if the MRO directs CAROLINA MAIN-LINE LLC to conduct a recollection under direct observation under §40.197(b)(1), the company must immediately do so. If the employee declines to take a test as directed in accordance with §40.197(b), the employee has refused the test for purposes of Part 40 and DOT agency regulations.
* CAROLINA MAIN-LINE LLC will conduct retests for the following DOT Required tests:

When the laboratory reports that the test result is an invalid result, the MRO must:

Contact the employee and inform the employee that the specimen was invalid. In contacting the employee, he/she uses the procedures set forth in §40.131.

After explaining the limits of disclosure (see §§40.135(d) and 40.327), the MRO must determine if the employee has a medical explanation for the invalid result. They must inquire about the medications the employee may have taken. If the employee gives an explanation that is acceptable, the MRO must:

* Place a check mark in the “Test Cancelled” box (Step 6) on Copy 2 of the CCF and enter “Invalid Result” and “direct observation collection not required” on the “Remarks” line.
* Report to the DER that the test is cancelled, the reason for cancellation, and that no further action is required unless a negative test result is required (i.e., pre-employment, return-to- duty, or follow-up tests). If a negative test result is required and the medical explanation concerns a situation in which the employee has a permanent or long-term medical condition that precludes him or her from providing a valid specimen, the MRO must follow the procedures outlined at §40.160 for determining if there is clinical evidence that the individual is an illicit drug user.
* If the medical evaluation reveals no clinical evidence of drug use, the MRO must report this to the employer as a negative test result with written notations regarding the medical examination. The report must also state why the medical examination was required (i.e., either the basis for the determination that a permanent or long-term medical condition exists or because the recollection under direct observation resulted in another invalid result for the same reason, as appropriate) and for the determination that no signs and symptoms of drug use exist.
* If the medical evaluation reveals clinical evidence of drug use, the MRO must report the result to the employer as a cancelled test with written notations regarding the results of the medical examination. The report must also state why the medical examination was required (i.e., either the basis for the determination that a permanent or long-term medical condition exists or because the recollection under direct observation resulted in another invalid result for the same reason, as appropriate) and state the reason for the determination that signs and symptoms of drug use exist. Because this is a cancelled test, it does not serve the purpose of an actual negative test result *(i.e., the employer is not authorized to allow the employee to begin or resume performing safety- sensitive functions because a negative test result is needed for that purpose)*.

If the employee does not give a reasonable explanation, the MRO:

Places a check mark in the “Test Cancelled” and enters “Invalid Result” and “direct observation collection required” on the “Remarks” line.

Reports to the DER that the test is cancelled, the reason for cancellation, and that a second collection must take place immediately under direct observation.

Instructs the employer to ensure that the employee has the minimum possible advance notice that he or she must go to the collection site.

If the employee admits to the MRO that he or she tampered with the specimen, the result is reported as a refusal to be tested. If the employee admits to the MRO that he or she used drugs, the test is cancelled with the reason noted (invalid) and the DER is notified of the admission. The DER has actual knowledge of a violation, and the occurrence is treated the same as a positive result.

When the test result is invalid because pH is greater than or equal to 9.0 but less than or equal to 9.5 and the employee has no other medical explanation for the pH, the MRO should consider whether there is evidence of elapsed time and increased temperature that could account for the pH value. The MRO:

* Is authorized to consider the temperature conditions that were likely to have existed between the time of collection and transportation of the specimen to the laboratory, and the length of time between the specimen collection, and arrival at the laboratory.
* May talk with the collection site and laboratory to discuss time and temperature issues, including any pertinent information regarding specimen storage.
* If the MRO determines that time and temperature:
	+ Accounting for the pH value, he or she must cancel the test and take no further action.
	+ If a failing to account for the pH value, he or she must cancel the test and direct another collection under direct observation, as provided at paragraph §40.159(a)(5).

## Alcohol Testing Procedures

Alcohol testing will be conducted at licensed alcohol testing center by a qualified breath alcohol technician (BAT) or screening test technician (STT), according to 49 CFR Part 40 procedures. Only products on the conforming products list (approved by the National Highway Traffic Safety Administration (NHTSA) and Part 40 requirements will be utilized for testing under this policy.

The testing will be performed in a private setting. Only authorized personnel will have access and are the only individuals who can see or hear the test results.

When the driver arrives at the testing site, the BAT or STT will ask for identification. The driver may ask the BAT or STT for identification.

The BAT or STT will then explain the testing procedure to the driver. The BAT or STT may only supervise one test at a time and may not leave the testing site while the test is in progress.

A screening test is performed first. When a breath testing device is used, the mouthpiece of the breath testing device must be sealed before use and opened in the driver's presence. Then the mouthpiece is inserted into the breath testing device.

The driver must blow forcefully into the mouthpiece of the testing device for at least 6 seconds or until an adequate amount of breath has been obtained.

Once the test is completed, the BAT must show the driver the results. The results may be printed on a form generated by the breath testing device or may be displayed on the breath testing device. If the breath testing device does not print results and test information, the BAT is to record the displayed result, test number, testing device, serial number of the testing device, and time on the alcohol testing form. If the breath testing device prints results, but not directly onto the form, the BAT must affix the printout to the alcohol testing form in the designated space.

When an alcohol screening device (ASD) is used, the screening test technician (STT) must check the device's expiration date and show it to the driver. A device may not be used after its expiration date. The STT will open an individually wrapped or sealed package containing the device in front of the driver and he/she will be asked to place the device in his/her mouth and use it in the manner described by the device's manufacturer.

If the driver declines to use the device, or in a case where the device doesn't activate, the STT must insert the device in the driver's mouth and use it in the manner described by the device's manufacturer. The STT must wear single-use examination gloves and must change the gloves following each test.

When the device is removed from the driver's mouth, the STT must follow the manufacturer's instructions to ensure the device is activated.

If the procedures listed above can't be successfully completed, the device must be discarded, and a new test must be conducted using a new device. Again, the driver will be offered the choice of using the new device or having the STT use the device for the test.

If the new test can't be successfully completed, the driver will be directed to immediately take a screening test using an evidential breath testing device (EBT).

The result displayed on the device must be read within 15 minutes of the test. The STT must show the driver the device and its reading and enter the result on the ATF.

If the reading on the EBT or ASD is less than 0.02, both the driver and the BAT or STT must sign and date the result form. The form will then be confidentially forwarded to the company's designated employer representative (DER).

If the reading on the EBT or ASD is 0.02 or more, a confirmation test must be performed. An EBT must be used for all confirmation tests. The test must be performed after 15 minutes have elapsed, but within 30 minutes of the first test. The BAT will ask the driver not to eat, drink, belch, or put anything into his/her mouth. These steps are intended to prevent the buildup of mouth alcohol, which could lead to an artificially high result.

A new, sealed mouthpiece must be used for the new test. The calibration of the EBT must be checked. All of this must be done in the driver's presence. If the results of the confirmation test and screening test are not the same, the confirmation test will be used.

Refusal to complete and sign the alcohol testing form or refusal to provide breath or saliva will be considered a failed test, and the driver will be removed from all safety-sensitive functions until the matter is resolved.

##

## Drug Testing Procedures

Drug testing will be conducted at decided location. Specimen collection will be conducted in accordance with 49 CFR Part 40 and any applicable state law. The collection procedures have been designed to ensure the security and integrity of the specimen provided by each driver. The procedures will strictly follow federal chain of custody guidelines.

A drug testing custody and control form (CCF) will be used to document the chain of custody from the time the specimen is collected at the testing facility until it is tested at the laboratory.

A collection kit meeting the requirements of Part 40, Appendix A must be used for the drug test.

The collection of specimens must be conducted in a suitable location and must contain all necessary personnel, materials, equipment, facilities, and supervision to provide for collection, security, and temporary storage and transportation of the specimen to a certified laboratory.

When the driver arrives at the collection site, the collection site employee will ask for identification. The driver may ask the collection site person for identification.

The driver will be asked to remove all unnecessary outer garments (coat, jacket) and secure all personal belongings. The driver may keep their wallet.

The driver will then wash and dry their hands. After washing hands, the driver must remain in the presence of the collection site person and may not have access to fountains, faucets, soap dispensers, or other materials that could adulterate the specimen.

The collection site person will select, or allow the driver to select, an individually wrapped or sealed container from the collection kit materials. Either the collection site person or the driver, with both individuals present, must unwrap or break the seal of the collection container. The seal on the specimen bottle may not be broken at this time. Only the collection container may be taken into the room used for urination.

The driver is then instructed to provide his/her specimen in a room that allows for privacy.

The specimen must consist of at least 45 mL of urine. Within 4 minutes after obtaining the specimen, the collection site person will measure its temperature. The acceptable temperature range is 90 to 100 degrees Fahrenheit. If the specimen temperature is outside the acceptable range, the collector must note this on the CCF and must immediately conduct a new collection using direct observation procedures outlined in Sec. 40.67. Both specimens must be sent to the lab for testing. The collector must notify both the DER and collection site supervisor that the collection took place under direct observation and the reason for doing so.

The collection site person will also inspect the specimen for color and look for signs of contamination or tampering. If there are signs of contamination or tampering, the collector must immediately conduct a new collection using direct observation procedures outlined in Sec. 40.67. Both specimens must be sent to the lab for testing. The collector must notify both the DER and collection site supervisor that the collection took place under direct observation and the reason for doing so.

The 45mL sample provided must be split into a primary specimen of 30 mL and a second specimen (used as the split) of 15 mL. The collection site person must place and secure the lids on the bottles, place tamper-evident bottle seals over the lids and down the sides of the bottles and write the date on the tamper-evident seals. The driver then initials the tamper- evident bottle seals to certify that the bottles contain specimens he/she provided. All of this must be done in front of the driver.

All identifying information must be entered on the CCF by the collection site person.

The CCF must be signed by the collection site person, certifying collection was accomplished in accordance with the instructions provided. The driver must also sign this form indicating the specimen was his/hers.

The collector is responsible for placing and securing the specimen bottles and a copy of the CCF into an appropriate pouch or plastic bag.

At this point, the driver may leave the collection site.

The collection site must forward the specimens to the lab as quickly as possible, within 24 hours or during the next business day.

##

## Laboratory Analysis

As required by FMCSA regulations, only a laboratory certified by the Department of Health and Human Services (DHSS) to perform urinalysis for the presence of controlled substances will be retained by CAROLINA MAIN-LINE LLC. The laboratory will be required to maintain strict compliance with federally- approved chain-of-custody procedures, quality control, maintenance, and scientific analytical methodologies.

All specimens are required to undergo an initial screening followed by confirmation of all positive screen results.

### **Results**

According to FMCSA regulation, the laboratory must report all test results directly to CAROLINA MAIN-LINE LLC's medical review officer (MRO). All test results must be transmitted to the MRO in a timely manner, preferably the same day that the review by the certifying scientist is completed. All results must be reported.

The MRO is responsible for reviewing and interpreting all confirmed positive, adulterated, substituted, or invalid drug test results. The MRO must determine whether alternate medical explanations could account for the test results. The MRO must also give the driver who has a positive, adulterated, substituted, or invalid drug test an opportunity to discuss the results prior to making a final determination. After the decision is made, the MRO must notify the DER.

If the MRO, after making and documenting all reasonable efforts, is unable to contact a tested driver, the MRO shall contact the DER instructing him/her to contact the driver. The DER will arrange for the driver to contact the MRO before going on duty.

The MRO may verify a positive, adulterated, or substituted specimen without having communicated with the driver about the test results if:

* The driver expressly declines the opportunity to discuss the results of the test;
* Neither the MRO or DER has been able to make contact with the driver for 10 days; or Within 72 hours after a documented contact by the DER instructing the driver to contact the MRO, the driver has not done so.
* The MRO may verify an invalid test result as cancelled (with instructions to recollect immediately under direct observation) without interviewing the employee, as provided at §40.159 if:
	+ The driver expressly declines the opportunity to discuss the test with the MRO.
	+ The DER has successfully made and documented a contact with the driver and instructed the driver to contact the MRO and more than 72 hours have passed since the time the DER contacted the driver; or
	+ Neither the MRO nor the DER, after making and documenting all reasonable efforts, has been able to contact the driver within ten days of the date on which the MRO received the confirmed invalid test result from the laboratory.

***Prescription drug use****.* When a prohibited drug is detected in a urine specimen, the MRO will verify it is a legally prescribed, non-Schedule I drug and declare the test negative. The MRO will instruct the employee that he or she has 5 days from the reported negative result to speak with the prescribing physician about getting another prescription that does not make the employee medically unqualified or pose a safety risk.

If the MRO believes there is a medical qualification issue or safety risk — after the 5 days expire or the issue is not resolved after the driver speaks with the prescribing physician — the MRO will report the possible medical disqualification in accordance with Section 40.327.

Section 40.327(b) indicates the third parties to whom the MRO is authorized to provide information include the employer, a physician or other health care provider responsible for determining the medical qualifications of the employee under the Federal Motor Carrier Safety Regulations, a Substance Abuse Professional evaluating the employee as part of the return to duty process, a DOT agency, or the National Transportation Safety Board in the course of an accident investigation.

###

### **Split Sample**

As required by FMCSA regulations, the MRO must notify each driver who has a positive, adulterated, or substituted drug test result that he/she has 72 hours to request the test of the split specimen. If the driver requests the testing of the split, the MRO must direct (in writing) the lab to provide the split specimen to another certified laboratory for analysis. There is no split specimen testing for an invalid result.

CAROLINA MAIN-LINE will pay for the testing of the split specimen.

If the analysis of the split specimen fails to reconfirm the results of the primary specimen, or if the split specimen is unavailable, inadequate for testing, or unstable, the MRO must cancel the test and report the cancellation and the reasons for it to the DER and the driver.

### **Specimen Retention**

Long-term frozen storage will ensure that positive urine specimens will be available for any necessary retest. CAROLINA MAIN-LINE LLC's designated drug testing laboratory will retain all confirmed positive specimens for at least 1 year in the original labeled specimen bottle.

## Confidentiality/Record keeping.

All driver alcohol and controlled substance test records are considered confidential (Sec. 382.401). For the purpose of this policy/procedure, confidential record keeping is defined as records maintained in a secure manner, under lock and key, accessible only to the program administrator. If the program administrator is unavailable, Maurice DeBerry will have access to the alcohol and controlled substance records. Driver alcohol and controlled substance test records will only be released in the following situations:

* To the driver, upon his/her written request.
* Upon request of a DOT agency with regulatory authority over CAROLINA MAIN-LINE LLC; upon request of state or local officials with regulatory authority over CAROLINA MAIN-LINE LLC*.*
* Upon request by the United States Secretary of Transportation.
* Upon request by the National Transportation Safety Board (NTSB) as part of an accident investigation.
* Upon request by subsequent employers upon receipt of a written request by a covered driver; In a lawsuit, grievance, or other proceeding if it was initiated by or on behalf of the complainant and arising from results of the tests; or
* Upon written consent by the driver authorizing the release to a specified individual. All records will be retained for the time period required in Sec. 382.401.

#

## Supervisor Training

According to FMCSA regulation, all employees of CAROLINA MAIN-LINE LLC designated to supervise drivers will receive training on this program. The training will include at least 60 minutes on alcohol misuse and 60 minutes on drug use. The training content will include the physical, behavioral, speech, and performance indicators of probable alcohol misuse and drug use. The training allows supervisors to determine reasonable suspicion that a driver is under the influence of alcohol or drugs.

##

## Referral, Evaluation, and Treatment (Sec. 382.605)

According to FMCSA regulation, a list of substance abuse professionals will be provided to all drivers who fail an alcohol test or test positive for drugs.

The alcohol and drug program administrator will be responsible for designating the appropriate substance abuse professional (SAP) who, in conjunction with the driver's physician, will diagnose the problem and recommend treatment. In the event a driver violates Part 382, CAROLINA MAIN-LINE LLC will identify (at that time of the violation) who they prefer to contract with for SAP services. The employee will pay for the evaluation by the SAP and any treatment required.

According to FMCSA regulations, prior to returning to duty for CAROLINA MAIN-LINE LLC, a driver must be evaluated by a SAP and must complete the treatment recommended by the SAP. Successful completion of a return-to-duty test and all follow-up tests is mandatory. Both return-to-duty tests and follow-up tests must be conducted under direct observation.

A driver who fails to complete an evaluation by the SAP, treatment recommended by the SAP, a return-to-duty test, or a follow-up test will be terminated.

**Self-Identification Program**

CAROLINA MAIN-LINE LLC will not take disciplinary action against a driver who makes a voluntary admission of alcohol misuse or controlled substance use if:

* The admission is in accordance with the company's voluntary self-identification program.
* The driver does not self-identify in order to avoid Part 382 testing.
* The driver makes the admission of alcohol misuse or controlled substances use prior to performing a safety-sensitive function; and
* The driver does not perform a safety-sensitive function until the company is satisfied that the driver has been evaluated and has successfully completed education or treatment requirements in accordance with the self-identification program guidelines

The driver will be allowed to return to safety-sensitive duties upon successful completion of an education or treatment program, as determined by a drug and alcohol abuse evaluation expert. Also, the driver must undergo:

* A return-to-duty test with a result indicating an alcohol concentration of less than 0.02; and/or A return-to-duty controlled substances test with a verified negative test result.

#

# Discipline

The company may not stand-down a driver before the MRO has completed his/her verification process unless the company has applied for and has received an FMCSA-issued waiver.

According to FMCSA regulation, no person who has failed an alcohol or drug test, or refused to test, will be allowed to perform safety-sensitive functions until the referral, evaluation, and treatment requirements have been complied with. The following company disciplinary measures apply to all reasonable suspicion, post-accident, and random tests.

##

## Controlled Substance Positive Test Result

Upon notification that a driver has a drug test result of positive, adulterated, or substituted, the driver will be given the option of requesting a test of the split sample within 72 hours. If the driver has requested a test of the split sample, the driver will be until the results of a split sample test are obtained.

If the driver doesn't request a split sample test or the split sample test confirms the initial positive, adulterated, or substituted drug test result, the driver will be terminated.

If the split sample testing disputed the initial test results or if the initial test results are designated invalid, the driver will be reinstated.

##

## Refusal to Test

A driver's refusal to test for alcohol or controlled substances will be considered a positive test result. Adulteration or tampering with a urine or breath sample is considered conduct that obstructs the testing process and is considered a refusal to test. A driver whose conduct is considered a refusal to test will be terminated.

##

## Failed Alcohol Test Result

Upon notification that a driver has failed an alcohol test (0.04% BAC or greater), the driver will be terminated.

Upon notification that a driver tested 0.02% BAC or greater, but less than 0.04% BAC in initial and confirmatory tests for alcohol, the driver will be will be retained and fined.

ANNEX A:

|  |  |
| --- | --- |
| **Conviction/Incident** | **Assessed Points** |
| Not wearing a seatbelt |  |
| Speeding <15 mph over posted speed limit |  |
| Improper backing |  |
| Driving too fast for conditions |  |
| Improper lane usage |  |
| Speeding ≥15 over posted speed limit |  |
| Passing a stopped school bus |  |
| Failure to yield |  |
| Speeding in construction zone |  |
| Following too close |  |
| Failure to follow traffic control device |  |
| Improper lane change |  |
| Any accident where in wrong or assessed points |  |
| Driving while intoxicated (DWI) or Driving Under the Influence (DUI) |  |
| Reckless driving |  |
| Driving too fast for conditions |  |
| Improper lane usage |  |
| Speeding ≥15 over posted speed limit |  |
| Passing a stopped school bus |  |
| Failure to yield |  |
| Speeding in construction zone |  |
| Following too close |  |
| Failure to follow traffic control device |  |
| Improper lane change |  |
| Any accident where in wrong or assessed points |  |
| Driving while intoxicated (DWI) or Driving Under the Influence (DUI) |  |
| Reckless driving |  |
| Endangering other |  |
| Hit and run |  |
| License suspension for moving violation |  |
| License suspension for improper equipment, tags, or vehicle registration |  |
| License suspension for failure to pay fine |  |
| License suspension for expired physical (applicable only to certain states) |  |
|  |  |
|  |  |

ANNEX B:

|  |  |  |  |
| --- | --- | --- | --- |
| **Initial test analyte** | **Initial test****cutoff 1** | **Confirmatory test analyte** | **Confirmatory test cutoff concentration** |
| Marijuana metabolites(THCA)2 | 50ng/mL3 | THCA | 15 ng/mL |
| Cocaine metabolite (Benzoylecgonine) | 150ng/mL3 | Benzoylecgonine | 100 ng/mL |
| Codeine/Morphine | 2000ng/mL | CodeineMorphine | 2000 ng/mL2000 ng/mL |
| Hydrocodone/Hydromorphone  | 300ng/mL | HydrocodoneHydromorphone | 100 ng/mL100 ng/mL |
| Oxycodone/Oxymorphone | 100ng/mL | OxycodoneOxymorphone | 100 ng/mL100 ng/mL |
| 6–Acetyl morphine | 10ng/mL | 6-Acetylmorphine | 10 ng/mL |
| Phencyclidine | 25ng/mL | Phencyclidine | 25 ng/mL |
| Amphetamine/Methamphetamine | 500ng/mL | AmphetamineMethamphetamine | 250 ng/mL250 ng/mL |
| MDMA4/MDA5 | 500ng/mL | MDMAMDA | 250 ng/mL250 ng/mL |