

**AMERICAN CHEMISTRY COUNCIL**

**MOTOR CARRIER ASSESSMENT**  
**PROTOCOL**

**January 2016**



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## Legal Notice

The American Chemistry Council in conjunction with the American Trucking Associations and National Tank Truck Carriers, Inc., developed this document as a tool to help companies evaluate the safety fitness and regulatory compliance of motor carrier companies and to provide feedback and suggestions for improvement to the motor carrier companies.

While the information obtained from assessments using this document may be used to arrive at decisions concerning motor carrier safety, any shippers, motor carrier company representatives (hereafter referred to as “representative”), or any other people or organizations relying on this document or its results do so at their own risk. Neither the Council nor its employees accept responsibility for the accuracy or completeness of the information obtained through the use of this protocol.

In evaluating a motor carrier company, it is necessary to rely on the accuracy of information provided by that company. The conclusions reached about a company by the user of this document could be different if any of this information is determined to be false, incomplete, or inaccurate. It is the responsibility of the user of this document to determine which motor carrier company it uses. This determination is not made by the Council.

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# **Introduction**

## **Background**

Members of the American Chemistry Council adopted Responsible Care® as an obligation of membership in November 1988. This chemical industry initiative aims to continuously improve health, safety, security and environmental performance and responsiveness to public concerns about the industry. To do this, all ACC member companies and Responsible Care® partners are required to implement a Responsible Care® Management System, which, among other items, calls for shippers to assess their carriers' health, safety, security and environmental management capability and performance, and to work with them to achieve improvement in their respective practices. This Protocol can be used to help companies, both members and Partners, meet their Responsible Care® obligations.

The Motor Carrier Assessment Protocol was originally issued in January 1994. In the 1994 edition, the document contained separate protocols for a motor carriers headquarters and terminal operations. In October 1998, the headquarters and terminal protocols were combined into one protocol and shortened. This revision, completed in April 2004, contains additional security related questions.

## **Assessor Guidance**

This Protocol is designed to be used to help companies assess the safety, security and quality performance of a motor carrier. Differing from typical assessments, the protocol is not an assessment to a specific standard. Some questions in the Protocol refer to compliance to regulatory standards and some questions address the effectiveness of the management operation system of the company. Effective systems are the mechanism through which consistent compliance is achieved. Consistent compliance, in turn, produces higher safety and quality performance.

This Protocol is intended to evaluate the existence and documentation of the management and operations system. This includes policies and procedures governing safety, security and quality issues and regulatory compliance. At the headquarters level, all reference to policy and procedures require documented evidence.

This Protocol is a non-scoring objective assessment to be used as a means of data collection. Most of the questions are to be answered either "yes," "no" or "not applicable." Because some questions are designed for the purpose of information gathering, it should be noted that a "no" answer does not necessarily denote non-conformance.

Objective evidence should be collected to support "yes" and "no" answers to questions. This evidence may be collected through interviews, examination of documents and observation of activities and conditions in the areas of concern. Information gathered through interviews should be tested by acquiring the same information from other independent sources, such as records and physical observations.

These assessments, unlike others, require no formal report be issued. Therefore, it is of particular importance that the assessor use judgment to answer each question in a manner that will provide the user information equivalent in a formal report. In situations where the actual response is not fully "yes" or fully "no," the assessor should select "no" as the answer. If the carrier wants to make comments about a new program that is not fully implemented, that the carrier may include those comments in the comment section of the Protocol.

These assessment results indicate the present-time status (or “snapshot”) of the company. However, through periodic assessment over a period of time, it may be possible to determine existing or developing trends within a company’s system. This information gives shippers insight into the scope and effectiveness of the carrier’s corporate system, its policies on safety, security and quality matters, as well as its performance on regulatory compliance. It is desirable for carriers to improve on a continual basis. What is considered an acceptable risk by a shipper this year, may not be an acceptable risk next year.

The purpose the American Chemistry Council holds in putting forth this document is the desire for continuous improvement addressing safety, environmental, security and quality performance. Therefore, the assessor should keep in mind that this should be a very proactive assessment and add growth to the safety, security and quality processes by sharing professional/technical knowledge, if questioned, with the carrier during the assessment.

Name of Assessor: Self Assessment  
Company being Assessed: Quality Carriers, Inc.  
Date of Assessment: January 6<sup>th</sup>, 2017

## **1. Assessment Information**

Assessment Date: 1-6-2017

Last Assessment Date: 1-12-2016

Motor Carrier Name Quality Carriers, Inc.

ICC or US DOT M/C  
Identification Number MC127840 US DOT 076600

Headquarters address: 4041 Park Oaks Blvd.  
Tampa, FL 33610

Phone and Fax Numbers/email: Telephone: 800.282.2031  
Fax: 813.630.9837  
E-mail: msorine@qualitydistribution.com

Site(s) locations assessed: Corporate Profile

Main activities of site(s) assessed: \_\_\_\_\_  
\_\_\_\_\_

Number of employees at site(s) assessed: \_\_\_\_\_

Assessor(s) (name/company): Self Audit  
\_\_\_\_\_

Persons Interviewed during  
this assessment (name and title): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## 2. Motor Carrier Profile

1. Are practices/policies uniform throughout company facilities?  yes  no
  
2. Type of carrier/operation:  For Hire  Private  Interstate  
 Broker  Dryage  Intrastate  
 Common  Contract  Mexican/Canadian
  
3. Does the company have all state and local permits required for the areas it transports through?  Yes  No
  
4. Specific activities of the company. Please check the appropriate box:  
 Truck load  Direct delivery  
 Less than truckload  Inter-line delivery  
 Bulk - liquid Cargo Tank  Bulk - dry Hopper Tanks  
 Intermodal Portable Tanks  
 Other (specify) \_\_\_\_\_
  
5. Please note: FHWA recordable Accidents per million miles as of 12/31/16 .47  
("accident" is defined in 49 CFR 390.5)
  
6. What is the driver turnover for those with one year or less of service? 66%
  
7. What is the driver turnover for those with greater than one year of service? 34 %
  
8. What percentage of drivers has been added to the company workforce in the past year? 2.4%
  
9. What is the company's current DOT Safety Rating? Satisfactory
  
10. Can the company carry all hazard class and division chemicals?  Yes  No  
List class and division company transports: 1.5, 2.1, 2.1 LPG, 2.1 (Methane), 2.2, 2.2A, 2.3A, 2.3B, 2.3C, 2.3D, Class 3, Class 3A, Class 3B, COM LIQ, 4.1, 4.2, 4.3, 5.1, 5.2, 6.1A, 6.1B, 6.1 Poison, Class 8, 8A, 8B, Class 9, Elevated Temp. Mat., Marine Pollutants, Hazardous Sub (RQ), Haz Waste, ORM
  
11. Is the company an American Chemistry Council Responsible Care<sup>®</sup> Partner:  Yes  No
  - 11a. If yes, please indicate year the company became a Partner: 1995
  - 11b. Who is the company's Responsible Care<sup>®</sup> Coordinator: (name/title/phone number):  
Cynthia Harvey, CSP, CHMM, Director of Safety & Training (610.864.4105)

12. Is the company a member or partner of any other transportation and/or distribution safety domestic or international organization committed to continuous improvement? (x) Yes ( ) No

12a. If yes, list all organizations: Responsible Care Partner, FTA, ATA, CVSA, ASSE, NSC, TPAT/FAST Certified

13. Does the company have a written safety policy? (x) Yes ( ) No

13a. Is it signed by an officer of the company? (x) Yes ( ) No

14. Please list (name and title) the key contacts for the following:

14a. Safety Manager: Mark Sorine, Vice President of Enterprise Risk, Safety and Security  
To whom does this person report? John Wilson, Senior VP, General Counsel

14b. Training: Bruce Gacsal, Director of Security and Training

14c. Employee Health & Safety: Mark Sorine, Vice President of Enterprise Risk, Safety and Security

14d. Hazardous Materials: Mark Sorine, Vice President of Enterprise Risk, Safety and Security

14e. Risk Management: Mark Sorine, Vice President of Enterprise Risk, Safety and Security

14f. Security: Bruce Gacsal, Director of Security & Training

15. Please provide a copy of your motor carrier profile or copies of the following, if available, in an appendix:

15a. Current (within 2 years) FHWA Motor Carrier Safety Profile (Safer Snapshot)

15b. Form MSC-90 "Endorsement(s) for Motor Carrier Policies of Insurance for Public Liability Under Sections 29 and 30 of the Motor Carrier Act of 1980"

15c. Form MSC-82 "Motor Carrier Surety Bond for Public Liability Under Section 30 of the Motor Carrier Act of 1980"

15d. A written decision, order, or authorization by the FHWA authorizing a highway carrier to self-insure, and the amount of the insurance

15e. Environmental Insurance Coverage (attach a copy of the certificate if the company has this insurance coverage)

15f. Civil Forfeitures and warnings issued in last two (2) years



### 3. Management Commitment

	<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
<b>A.</b>	<b>Management Responsibility</b>			
1.	Does the motor carrier have written policies and procedures reflecting management's active commitment to:			
1.1	Safe Operations?	<u>X</u>	<u>          </u>	<u>          </u>
1.2	Regulatory Compliance?	<u>X</u>	<u>          </u>	<u>          </u>
1.3	Responsible Care® (if a partner company)?	<u>X</u>	<u>          </u>	<u>          </u>
1.4	Security?	<u>X</u>	<u>          </u>	<u>          </u>
2.	Is there a company organization chart?	<u>X</u>	<u>          </u>	<u>          </u>
3.	Are responsibilities for the roles clearly defined in a job description or equivalent?	<u>X</u>	<u>          </u>	<u>          </u>
<b>B.</b>	<b>Corrective Action</b>			
1.	Does management hold regular review meetings on safety?	<u>X</u>	<u>          </u>	<u>          </u>
1.1	Are deficiencies by report or audit discussed and action plans to rectify them implemented?	<u>X</u>	<u>          </u>	<u>          </u>
2.	Is there a system in place for reporting non-conformance with respect to:			
2.1	Accidents?	<u>X</u>	<u>          </u>	<u>          </u>
2.2	Incidents?	<u>X</u>	<u>          </u>	<u>          </u>
2.3	Damage?	<u>X</u>	<u>          </u>	<u>          </u>
2.4	Potential Hazards?	<u>X</u>	<u>          </u>	<u>          </u>
2.5	Spills?	<u>X</u>	<u>          </u>	<u>          </u>
2.6	Security Plan?	<u>X</u>	<u>          </u>	<u>          </u>
3.	Is there a system in place for reporting non-conformance with respect to:			
3.1	Operational Practices?	<u>X</u>	<u>          </u>	<u>          </u>
3.2	Employee Health and Safety Regulations?	<u>X</u>	<u>          </u>	<u>          </u>
3.3	Transportation Regulations?	<u>X</u>	<u>          </u>	<u>          </u>
3.4	Environmental Regulations?	<u>X</u>	<u>          </u>	<u>          </u>
3.5	Security Regulations?	<u>X</u>	<u>          </u>	<u>          </u>

<b><u>QUESTION</u></b>		<b><u>YES</u></b>	<b><u>NO</u></b>	<b><u>N/A</u></b>
4.	Regarding incident reporting procedures:			
4.1	Is there a written reporting procedure?	<u>X</u>	<u>          </u>	<u>          </u>
4.2	Are all incidents reported to management?	<u>X</u>	<u>          </u>	<u>          </u>
4.3	Is each report subject to an investigation to determine the root cause of the non-conformance?	<u>X</u>	<u>          </u>	<u>          </u>
5.	Are DOT 5800.1 reports completed and submitted as required by regulation?	<u>X</u>	<u>          </u>	<u>          </u>
5.1	Does the carrier report any chemical release regardless of size of the release?	<u>X</u>	<u>          </u>	<u>          </u>
5.2	Is there a system in place to notify the shipper in the event of an accident or incident?	<u>X</u>	<u>          </u>	<u>          </u>
6.	Is there a policy to assign an investigator to analyze chemical distribution incidents?	<u>X</u>	<u>          </u>	<u>          </u>
6.1	Is there a length of time in which the analysis must be complete?	<u>X</u>	<u>          </u>	<u>          </u>
7.	Are incident trends reported to management?	<u>X</u>	<u>          </u>	<u>          </u>
7.1	If yes, how often: <b><u>daily and monthly</u></b>	daily	<u>          </u>	<u>          </u>
7.2	Is there a written procedure for follow-up action on investigation recommendations with the responsible party?	<u>X</u>	<u>          </u>	<u>          </u>
7.3	Is effectiveness of corrective action documented?	<u>X</u>	<u>          </u>	<u>          </u>
8.	Is there a process in place to report:			
8.1	Security incidents?	<u>X</u>	<u>          </u>	<u>          </u>
8.2	Security threats?	<u>X</u>	<u>          </u>	<u>          </u>
<b>C. Driver Training</b>				
1.	Does a written policy on trainer qualifications exist?	<u>X</u>	<u>          </u>	<u>          </u>
1.1	Does the company have a list of internal trainers?	<u>X</u>	<u>          </u>	<u>          </u>
1.2	Does the policy apply to third party trainers?	<u>          </u>	<u>          </u>	<u>X</u>
1.3	Does the company have a list of third party trainers?	<u>          </u>	<u>          </u>	<u>X</u>
2.	Has an evaluation been made of all activities to identify training needs?	<u>X</u>	<u>          </u>	<u>          </u>
2.1	Is this evaluation updated at least annually?	<u>X</u>	<u>          </u>	<u>          </u>
2.2	Does the evaluation identify needs which are mandated by regulation?	<u>X</u>	<u>          </u>	<u>          </u>
2.3	Does the evaluation identify needs which are critical to safety?	<u>X</u>	<u>          </u>	<u>          </u>
2.4	Does the evaluation identify needs which are critical to security?	<u>X</u>	<u>          </u>	<u>          </u>

<b><u>QUESTION</u></b>		<b><u>YES</u></b>	<b><u>NO</u></b>	<b><u>N/A</u></b>
2.5	Does the evaluation identify needs which are recommended by investigators?	<u>X</u>	<u>          </u>	<u>          </u>
3.	Are training records maintained as required by regulation?	<u>X</u>	<u>          </u>	<u>          </u>
4.	Is the company in compliance with the DOT hazardous materials training requirements?	<u>X</u>	<u>          </u>	<u>          </u>
5.	Do managers and supervisors receive formal training in the following areas:			
5.1	Management responsibility?	<u>X</u>	<u>          </u>	<u>          </u>
5.2	Reporting, investigating and analysis?	<u>X</u>	<u>          </u>	<u>          </u>
5.3	Promotion of safety and quality attitudes?	<u>X</u>	<u>          </u>	<u>          </u>
5.4	Auditing?	<u>X</u>	<u>          </u>	<u>          </u>
5.5	Occupational health and safety and applicable regulations?	<u>X</u>	<u>          </u>	<u>          </u>
5.6	Environmental protection and applicable regulations?	<u>X</u>	<u>          </u>	<u>          </u>
5.7	Transportation regulations?	<u>X</u>	<u>          </u>	<u>          </u>
5.8	Security regulations?	<u>X</u>	<u>          </u>	<u>          </u>
5.9	Quality manual, procedures and standards?	<u>X</u>	<u>          </u>	<u>          </u>
5.10	Emergency Procedures?	<u>X</u>	<u>          </u>	<u>          </u>
5.11	Customer relationships?	<u>X</u>	<u>          </u>	<u>          </u>
5.12	Operations?	<u>X</u>	<u>          </u>	<u>          </u>
5.13	Maintenance?	<u>X</u>	<u>          </u>	<u>          </u>
5.14	Terminal inspections?	<u>X</u>	<u>          </u>	<u>          </u>
5.15	Administration?	<u>X</u>	<u>          </u>	<u>          </u>
5.16	Personnel?	<u>X</u>	<u>          </u>	<u>          </u>
5.17	First Aid?	<u>          </u>	<u>X</u>	<u>          </u>
5.18	Security plans?	<u>X</u>	<u>          </u>	<u>          </u>
5.19	Security threat and incident reporting?	<u>X</u>	<u>          </u>	<u>          </u>
5.20	Security procedures?	<u>X</u>	<u>          </u>	<u>          </u>

<u>QUESTION</u>		<u>YES</u>	<u>NO</u>	<u>N/A</u>
<b>D. Driver Management</b>				
1.	Is there a written policy for driver qualification and disqualification?	<u>X</u>	<u>          </u>	<u>          </u>
1.1	Is your policy consistent with regulations?	<u>X</u>	<u>          </u>	<u>          </u>
2.	Is there a written policy regarding driver background checks and verification of this information?	<u>X</u>	<u>          </u>	<u>          </u>
3.	Are criminal background checks conducted?	<u>X</u>	<u>          </u>	<u>          </u>
4.	Is employment status verified?	<u>X</u>	<u>          </u>	<u>          </u>
5.	Are immigration papers on file and properly documented for employees who are not U.S. citizens?	<u>X</u>	<u>          </u>	<u>          </u>
6.	Are driver qualification files maintained?	<u>X</u>	<u>          </u>	<u>          </u>
7.	Does the carrier have a policy concerning drugs and alcohol?	<u>X</u>	<u>          </u>	<u>          </u>
8.	Is pre-employment drug testing done?	<u>X</u>	<u>          </u>	<u>          </u>
9.	Is random drug testing performed?	<u>X</u>	<u>          </u>	<u>          </u>
10.	Are drivers involved in a vehicle accident/incident subject to mandatory drug testing?	<u>X</u>	<u>          </u>	<u>          </u>
11.	In addition to a commercial driver's license with the proper endorsements, are drivers required to carry two forms of identification?	<u>X</u>	<u>          </u>	<u>          </u>
11.1	How many forms of identification contain a photo? <b><u>THREE</u></b>			

## 4. Regulatory Compliance

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
<b>A. Responsibility and Auditing</b>			
1. Does the company have Material Safety Data Sheets (MSDSs) on file for products transported?	<u>X</u>		
2. Are all drivers trained on:			
2.1 Pre-loading cargo acceptance?	<u>X</u>		
2.2 Product compatibility?	<u>X</u>		
2.3 Emergency procedures communication (North American Emergency Response Guide, Transportation Emergency Management Card, or other means)?	<u>X</u>		
2.4 Marking?	<u>X</u>		
2.5 Labeling?	<u>X</u>		
2.6 Placarding?	<u>X</u>		
2.7 Securement method for transit?	<u>X</u>		
2.8 En-route security?	<u>X</u>		
3. Is there a written procedure for auditing the site for safety?	<u>X</u>		
4. Is there a written procedure for auditing the site for security?	<u>X</u>		
5. Is there a written procedure for auditing the site for regulatory compliance?	<u>X</u>		
6. Do those who carry out the internal audits have training in auditing and evaluation techniques?	<u>X</u>		
6.1 Are qualified personnel used where specific background/education is required?	<u>X</u>		
7. For those elements included in the audit plan, are action plans developed and corrective actions taken when revealed as necessary by an internal audit?	<u>X</u>		
8. Are audit action plans reviewed regularly to determine progress?	<u>X</u>		
9. Are copies of the completed audit and recommendations given directly to management?	<u>X</u>		
10. Are third party compliance auditing contractors utilized?	<u>X</u>		
10.1 Is a list (including telephone numbers) of the contractors available?	<u>X</u>		
10.2 Is a copy of the most recent site audit available?	<u>X</u>		
11. Is a procedure in place to handle a FHWA inspector audit?	<u>X</u>		

<u>QUESTION</u>		<u>YES</u>	<u>NO</u>	<u>N/A</u>
<b>B. Emergency Preparedness and Response</b>				
1.	In the event of a chemical distribution incident, does the site have its own response personnel and mediation equipment?	—	<u>X</u>	—
1.1	If YES, to what qualification and under what regulation is site response personnel trained (NFPA 472 & competency level, etc.)? _____ _____			
1.2	If a third party contractor is utilized, has the company conducted an assessment of the contractor's operations?	<u>X</u>	—	—
2.	Is there a 24 hour on call person for emergency response?	<u>X</u>	—	—
3.	Is 24 hour phone coverage for emergency response provided by a third party (e.g. CHEMTREC®)?	—	<u>X</u>	—
3.1	If yes, please list the third party: _____			
4.	Is there a written emergency response plan for chemical distribution incidents (on-site and off-site)?	<u>X</u>	—	—
5.	Are individual responsibilities clearly defined in the plan?	<u>X</u>	—	—
5.1	Are drivers trained to respond in the event of a release?	—	<u>X</u>	—
5.2	Is a copy of the driver training course curriculum available?	—	—	<u>X</u>
6.	Does the company participate in the TRANSCAER® (TRANSPortation Community Awareness and Emergency Response) program?	<u>X</u>	—	—
6.1	Does the company participate in TRANSCAER® programs along its major transportation routes?	<u>X</u>	—	—
6.2	Does the company participate in training exercises along its transportation routes?	<u>X</u>	—	—
6.3	Does the company communicate with the public on the risks of chemical transportation along its major routes?	—	<u>X</u>	—

<u>QUESTION</u>		<u>YES</u>	<u>NO</u>	<u>N/A</u>
<b>C. Environmental Waste Management</b> <b>(Complete this section only if your company hauls hazardous waste)</b>				
1.	Does staff include persons licensed and/or certified in environmental protection and/or waste disposal?	<u>X</u>	<u>          </u>	<u>          </u>
2.	Are there arrangements with local environmental regulatory agencies for disposal of washings and sump contents?	<u>          </u>	<u>          </u>	<u>X</u>
3.	Are waste manifests maintained?	<u>X</u>	<u>          </u>	<u>          </u>
4.	Is there documentation of waste treatment activities and quantities?	<u>          </u>	<u>          </u>	<u>X</u>
5.	Are wastes disposed of on-site covered by permits?	<u>          </u>	<u>          </u>	<u>X</u>
6.	Are wastes disposed of off-site covered by contract/letter of agreement?	<u>          </u>	<u>          </u>	<u>X</u>
7.	If YES to number 6, does the contract/letter of agreement specify the method of:			
7.1	Disposal?	<u>          </u>	<u>          </u>	<u>X</u>
7.2	Liabilities?	<u>          </u>	<u>          </u>	<u>X</u>
7.3	Responsibilities?	<u>          </u>	<u>          </u>	<u>X</u>
8.	Are water discharges monitored for hazardous and non-hazardous pollutants?	<u>          </u>	<u>          </u>	<u>X</u>
9.	Are water discharges and pollution measurements documented?	<u>          </u>	<u>          </u>	<u>X</u>
<b>D. Employee Security Training</b>				
1.	Is security awareness training provided to all hazmat employees?	<u>X</u>	<u>          </u>	<u>          </u>
1.1	Does the training include company's security plan?	<u>X</u>	<u>          </u>	<u>          </u>

## 5. Operational Practices

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
<b>A. Operating Procedures</b>			
1. Does the company have documented job descriptions for operations personnel (including drivers)?	<u>X</u>	<u>      </u>	<u>      </u>
2. Are operating procedures reviewed at least annually?	<u>X</u>	<u>      </u>	<u>      </u>
2.1 Are records kept of the review?	<u>X</u>	<u>      </u>	<u>      </u>
3. Do the company's operating procedures cover:			
3.1 Loading & Unloading?	<u>X</u>	<u>      </u>	<u>      </u>
3.2 Product compatibility in multiloads?	<u>X</u>	<u>      </u>	<u>      </u>
3.3 Product compatibility after different cargo?	<u>X</u>	<u>      </u>	<u>      </u>
3.4 Cleaning methods for tank, valves, hoses?	<u>X</u>	<u>      </u>	<u>      </u>
3.5 Inspection methods for trailer, tank, valves, hoses?	<u>X</u>	<u>      </u>	<u>      </u>
3.6 Cargo acceptance prior to loading?	<u>X</u>	<u>      </u>	<u>      </u>
3.7 Weighing, Bridge Laws, and compliance?	<u>X</u>	<u>      </u>	<u>      </u>
3.8 Sampling methods?	<u>X</u>	<u>      </u>	<u>      </u>
3.9 Decontamination methods for container/cargo compartment?	<u>      </u>	<u>X</u>	<u>      </u>
3.10 Fumigation methods for container/cargo compartment?	<u>      </u>	<u>X</u>	<u>      </u>
3.11 Inspection of container/cargo compartment for safety and cleanliness?	<u>X</u>	<u>      </u>	<u>      </u>
3.12 Load/Container securement?	<u>X</u>	<u>      </u>	<u>      </u>
a) Blocking and bracing?	<u>X</u>	<u>      </u>	<u>      </u>
b) Sealing and locking?	<u>X</u>	<u>      </u>	<u>      </u>
3.15 Product segregation?	<u>X</u>	<u>      </u>	<u>      </u>
3.16 Accidents: Vehicles & Shipments?	<u>X</u>	<u>      </u>	<u>      </u>
3.17 Shipping Papers?	<u>X</u>	<u>      </u>	<u>      </u>
3.18 Anti-theft devices?	<u>X</u>	<u>      </u>	<u>      </u>
3.19 Anti-tampering devices?	<u>X</u>	<u>      </u>	<u>      </u>
<b>B. Receipt and Delivery Routes</b>			
1. Is route criteria for appropriate truckload and bulk agreed to in advance with the shipper?	<u>X</u>	<u>      </u>	<u>      </u>



**QUESTION**

		<u>YES</u>	<u>NO</u>	<u>N/A</u>
2.	Does the company utilize a Risk Management Process for route assessment?	<u>X</u>	<u>          </u>	<u>          </u>
2.1	If YES, please list the company representative (with phone number) that implements this process: <u>Vice President of Safety &amp; Security</u>			
3.	Are records of route assessments available?	<u>          </u>	<u>X</u>	<u>          </u>
4.	Have measures to reduce risk(s) been implemented?	<u>X</u>	<u>          </u>	<u>          </u>
4.1	Are records of these actions available?	<u>X</u>	<u>          </u>	<u>          </u>
5.	Is en-route security included in the company's security plan?	<u>X</u>	<u>          </u>	<u>          </u>
6.	Does the company have a means of monitoring shipments en-route?	<u>X</u>	<u>          </u>	<u>          </u>
7.	Does the company have a means to contact drivers en-route?	<u>X</u>	<u>          </u>	<u>          </u>
8.	Does the company have a way to track when a shipment is delivered?	<u>X</u>	<u>          </u>	<u>          </u>
9.	Are guidelines in place to secure equipment during breaks and layovers?	<u>X</u>	<u>          </u>	<u>          </u>
10.	Are security items for storage-in-transit verified?	<u>X</u>	<u>          </u>	<u>          </u>
11.	Does the carrier have a policy regarding safe locations?	<u>X</u>	<u>          </u>	<u>          </u>
12.	Does the carrier have the capability to provide security escorts?	<u>X</u>	<u>          </u>	<u>          </u>
13.	Does the carrier have the capability to provide driver teams?	<u>X</u>	<u>          </u>	<u>          </u>
<b>C. Loading and Unloading</b>				
1.	Are there documented procedures defining responsibility for company personnel on loading and unloading chemical packages?	<u>X</u>	<u>          </u>	<u>          </u>
2.	Are there documented procedures defining responsibility for drivers on loading and unloading chemical packages?	<u>X</u>	<u>          </u>	<u>          </u>
3.	Are there documented procedures defining responsibility for customers/receivers on loading and unloading chemical packages?	<u>X</u>	<u>          </u>	<u>          </u>
4.	Are there documented procedures defining responsibility for the taking of samples during loading and unloading of chemical packages?	<u>X</u>	<u>          </u>	<u>          </u>
<b>D. Third Parties</b>				
1.	Do you use third parties to move freight?	<u>X</u>	<u>          </u>	<u>          </u>
1.1	If YES, explain the process you use to qualify these third parties in the appendix.			
<b>E. Security</b>				
1.	Is there a security policy signed by management which emphasizes the importance of protecting people, property, and the operational practices against loss by intentional destruction or theft?	<u>X</u>	<u>          </u>	<u>          </u>

**QUESTION**

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		<u>YES</u>	<u>NO</u>	<u>N/A</u>
2.	Is a risk-based security plan in place?	<u>X</u>	<u>          </u>	<u>          </u>
2.1	Is the security plan regularly reviewed?	<u>X</u>	<u>          </u>	<u>          </u>
2.2	Does the security plan provide for security when the terminal site is not open?	<u>X</u>	<u>          </u>	<u>          </u>
3.	Are inspections of facilities and operations made periodically to verify compliance with security plan?	<u>X</u>	<u>          </u>	<u>          </u>
4.	Are checklists used in the security inspections?	<u>X</u>	<u>          </u>	<u>          </u>
5.	Are the results of security inspection written and reported to management?	<u>X</u>	<u>          </u>	<u>          </u>
6.	Are security inspection reports maintained?	<u>X</u>	<u>          </u>	<u>          </u>
7.	Is there a process to control access to terminal sites?	<u>X</u>	<u>          </u>	<u>          </u>
8.	Is there a process to restrict employees from unauthorized areas?	<u>X</u>	<u>          </u>	<u>          </u>
9.	Is there a process or method in place to identify employees and visitors?	<u>X</u>	<u>          </u>	<u>          </u>
10.	Has the company addressed perimeter fencing and surveillance lighting at terminal sites?	<u>X</u>	<u>          </u>	<u>          </u>
11.	Does the company have document control processes in place?	<u>X</u>	<u>          </u>	<u>          </u>
12.	Does the company have cyber security control processes in place?	<u>X</u>	<u>          </u>	<u>          </u>
13.	Is there a plan to monitor tractor and trailer inventory at terminal sites?	<u>X</u>	<u>          </u>	<u>          </u>
14.	Is there a procedure to report:			
14.1	Overages?	<u>X</u>	<u>          </u>	<u>          </u>
14.2	Shortages?	<u>X</u>	<u>          </u>	<u>          </u>
14.3	Suspicious packages?	<u>X</u>	<u>          </u>	<u>          </u>

## 6. Terminal Inspection

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
<b>A. Buildings, Grounds and Fixed Equipment</b>			
1. Is there a terminal inspection policy signed by management which emphasizes the importance of safety, security, regulatory compliance, housekeeping and operational practices?	<u>X</u>	<u>      </u>	<u>      </u>
2. Are terminal inspection reports available for review?	<u>X</u>	<u>      </u>	<u>      </u>
<b>B. Tank Cleaning and Decontamination</b> (Complete this section only if your company utilizes bulk equipment)			
1. Do you have a process to qualify cleaning facilities?	<u>X</u>	<u>      </u>	<u>      </u>
2. Does that process involve use of the NTTC Tank Truck Cleaning Audit Form?	<u>      </u>	<u>X</u>	<u>      </u>
3. Do you have a "HEEL" management program?	<u>X</u>	<u>      </u>	<u>      </u>
4. Do you have a confined space/tank entry program?	<u>      </u>	<u>      </u>	<u>X</u>
5. Does the carrier verify that tank cleaning facilities have completed a risk based security plan?	<u>      </u>	<u>X</u>	<u>      </u>
5.1 Does the carrier verify that the security plan is reviewed periodically?	<u>      </u>	<u>X</u>	<u>      </u>
6. Does the carrier verify that tank cleaning facilities have a process to control access?	<u>X</u>	<u>      </u>	<u>      </u>

## 7. Vehicle Inspection and Maintenance

<u>QUESTION</u>		<u>YES</u>	<u>NO</u>	<u>N/A</u>
<b>A. Transport Equipment Maintenance</b>				
1.	Is there a documented inspection and preventive maintenance program on safety and appearance for:			
1.1	Bulk Tank valves?	<u>X</u>		
1.2	Emergency shutoff?	<u>X</u>		
1.3	Gaskets?	<u>X</u>		
1.4	Seals?	<u>X</u>		
1.5	Pressure relief?	<u>X</u>		
1.6	Transfer hoses?	<u>X</u>		
1.7	Pumps?	<u>X</u>		
1.8	Compressors?	<u>X</u>		
1.9	Bulk Tank chassis?	<u>X</u>		
1.10	Tractor Units?	<u>X</u>		
1.11	Trailer/Freight Container chassis?	<u>X</u>		
1.12	Trailer/Freight Container Box?	<u>X</u>		
1.13	Load securement system?	<u>X</u>		
<b>B. Transport Equipment Inspections</b>				
1.	Is there documentation that inspections of transport equipment have been conducted according to applicable regulations?	<u>X</u>		
2.	Are maintenance records available which include details of repairs?	<u>X</u>		
3.	Is there a written procedure in place for:			
3.1	Monitoring service?	<u>X</u>		
3.2	Preventing transport equipment going into service with deficiencies?	<u>X</u>		
4.	Is any measuring equipment used identified with valid calibration certificates and/or stickers?	<u>X</u>		
5.	Does the company have the capability to provide:			
5.1	Tamper-resistant cable locks on cargo compartment hatches and valves?	<u>X</u>		
5.2	Numbered seals on cargo compartment openings?	<u>X</u>		

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<b><u>QUESTION</u></b>		<b><u>YES</u></b>	<b><u>NO</u></b>	<b><u>N/A</u></b>
5.3	Monitors or sensors to detect a breach of the cargo container?	<u>          </u>	<u>  X  </u>	<u>          </u>
5.4	Cargo container inspection and screening?	<u>  X  </u>	<u>          </u>	<u>          </u>
5.5	Engine starting control systems?	<u>          </u>	<u>  X  </u>	<u>          </u>
5.6	Kingpin lock on tank trailers?	<u>  X  </u>	<u>          </u>	<u>          </u>
6.	Does the company have the capability to match the driver, truck and cargo?	<u>  X  </u>	<u>          </u>	<u>          </u>

## 8. Occupational Health

<u>QUESTION</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
<b>A. Control of Health Hazards</b>			
1. Have all tasks been examined to identify and evaluate occupational health hazards?	<u>X</u>	<u>      </u>	<u>      </u>
2. Have OSHA (or employee) Job Safety Analysis forms been filled out?	<u>      </u>	<u>X</u>	<u>      </u>
3. Are prevention measures being used to manage potential health hazards?	<u>X</u>	<u>      </u>	<u>      </u>
4. Is there a documented procedure requiring a written report for occupational injuries?	<u>X</u>	<u>      </u>	<u>      </u>
5. Is there a documented procedure requiring a written report for potential health hazards?	<u>      </u>	<u>X</u>	<u>      </u>
6. Is a review carried out on the health hazards of any new chemical to be transported before the first load is accepted?	<u>X</u>	<u>      </u>	<u>      </u>
6.1 If YES to number 6, who in the company is responsible for conducting this review (name/phone #): <u>Cynthia Harvey-Director of Safety and Rob Smale – Director Environmental Services</u>			
<b>B. Personal Protective Equipment</b>			
1. Is specialized equipment used for transporting extremely hazardous products provided to drivers?	<u>X</u>	<u>      </u>	<u>      </u>
2. Are drivers given mitigation equipment, tools, and supplies for first response operational level when driving:			
2.1 Bulk Tanks?	<u>X</u>	<u>      </u>	<u>      </u>
2.2 Truck and Container loads?	<u>X</u>	<u>      </u>	<u>      </u>
<b>C. First Aid</b>			
1. Are there first aid treatment locations at terminal sites?	<u>X</u>	<u>      </u>	<u>      </u>
2. Is there a procedure for obtaining medical attention?	<u>X</u>	<u>      </u>	<u>      </u>
2.1 Is it reviewed with a medical source at least annually?	<u>      </u>	<u>X</u>	<u>      </u>

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## **9. Appendix**

The American Chemistry Council member or Responsible Care<sup>®</sup> Partner should add to the appendix any additional questions that are not covered in this protocol that the company believes are necessary to ask of a carrier. These might include product-specific questions, business-related questions, etc. These questions should be provided to the carrier at the same time the carrier is requested to fill out this protocol. Also to be inserted in the appendix are the MCMIS, permit copies, and other documents or information specifically requested under the protocol, or other information the carrier would like to include.

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## **10. Comments**

The assessor may include any additional comments here.