

Waste Management of Washington, Inc.

Safety Management Plan

WUTC Audit



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Waste Management of Washington, Inc. Safety Management Plan

Company Overview

Waste Management of Washington, Inc. (WM WA) is an interstate, private motor carrier that hauls garbage, refuse and trash. Its USDOT # is 1967746, and its principle place of business is 720 4th Ave, Suite 400, Kirkland WA 98034. The company's primary contact is Mr. Tom Jacques, Director, DOT Compliance, who can be reached at (281)386-5238 or tjacques@wm.com.

Summary of Violations

During the WUTC audit of Waste Management of Washington, Inc., which was conducted during April – August of 2021, 11 sites were inspected. The inspection resulted in 18 violations; both description and proposed corrective actions are detailed below. It is worth noting, that many of the DQ file findings were issues that arose during the transition from eScreen to Foley, our new 3rd Party file administrator- March/April of 2020. Also, notable, several of the violation occurred during a world-wide pandemic, where license and med card extensions were in place.

Overall, Waste Management of WA, Inc. received Satisfactory Fitness Ratings on all factors audited (5 factors), and an overall Satisfactory rating. Waste Management of Washington's Recordable Accident rate of .38 is substantially lower than the industry average of 1.7.

Corrective Actions

1) 382.401(a) - Failing to maintain records in a secure location with controlled access.

Violation Description: According to the report, The Company failed to keep records in a secure location with controlled access at the Marysville, WA and Kennewick, WA site locations.

Corrective Action: Waste Management of Washington Inc. will ensure that all records and documents covered by 382.401(a) will always be stored and located in a secure office or cabinet, with controlled access to records. This policy was distributed to all WM of WA managers on 8/18/21 and was followed up with a conversation by the Area Safety Director on the same day. Exhibit 1 is a copy of the policy reminder that was distributed.



2) 382.601(b) - Failing to provide to employees a written policy on misuse of alcohol and controlled substances that meets the requirements of 382.601(b) 1-12.

Violation Description: The carrier failed to provide employees with a complete alcohol and controlled substances policy. The policy is missing the effects of drugs and alcohol and does not include the required Clearinghouse information as required by 382.601(b)(12).

Corrective Action(s): Waste Management of Washington's Drug and Alcohol Policy has been updated to include the following: 1) Information concerning the effects of alcohol and controlled substances use on an individual's health, work, and personal life; signs and symptoms of an alcohol or a controlled substances problem (the driver's or a co-worker's); and available methods of intervening when an alcohol or a controlled substances problem is suspected, including confrontation, referral to any employee assistance program and/or referral to management, 2) The requirement that personal information collected and maintained under this part shall be reported to the Clearinghouse. Exhibit 2 shows the 2 portions that have been added to our existing policy.

3) 383.23(a) - Operating a commercial motor vehicle without a valid commercial driver's license.

Violation Description: On March 8, 2021, [REDACTED] was stopped and inspected (WAA027000618) and issued a 383.23(a)(2) violation for operating a commercial motor vehicle without a commercial driver's license. The driver had a current medical card at the time of the stop expiring on May 19, 2021, however the driver failed to self-certify his medical certificate with the department of licensing and his CDL was downgraded/invalid at the time of the inspection.

Corrective Action: Waste Management of Washington has partnered with our new vendor, Foley to identify all invalid or downgraded Commercial Driver's Licenses. Automated alerts are now in place to identify Medical Examiner's Certificates (MEC) that have not been certified with Department of Licensing (DOL) (inconsistent expiration dates with Med Card).



4) 391.21(a) Using a driver who has not completed and furnished an employment application.

Violation Description: The report found eight (8) drivers who were missing information on their employment application

- [REDACTED] and [REDACTED] - Description of violation: No employment application was provided in the driver qualification file for review.
- [REDACTED] and [REDACTED] - Description of violation: Driver application for employment missing 10 years of employment history as required by 391.21(b)(11).
- [REDACTED] - Description of violation: Re-hire date for this driver was May 9, 2014, no employment application was provided in the driver qualification file for review.
- [REDACTED] - Description of violation: Employment application missing social security number (391.21(b)(2) and driver's license (391.21(b)(5) information, no addendum found.
- [REDACTED] - Description of violation: Employment application missing previous employer contact information and reason for leaving as required by 391.21(b)(11).

Corrective Action: Waste Management's New Hire Process was updated, and applications cannot progress until a 10-year background has been uploaded (Cisive Background Check). 3rd Party Vendor, Foley, will now audit all applications and reject any application if it is missing any of the required information outlined in 391.21(a), as an additional safeguard.

5) 391.23(a)(1)- Failing to investigate driver's background.

Violation Description: The report found four (4) drivers who were missing an MVR within 30 days of hire date

- [REDACTED]

Corrective Action(s): The current practice, working with our new vendor, Foley new employees hired automatically have a Motor Vehicle Record (MVR) produced prior to hire date. The system will not allow the applicant to proceed (anyone driving a commercial motor vehicle). This will ensure that in all drivers hired have an MVR on file.



6) 391.23(c)- Failing to investigate driver's background.

Violation Description: - Driver was hired on May 30, 2017 and the driver's previous employment background investigation was conducted on July 5, 2017, which is beyond 30 days of when employment began.

Corrective Action(s): WM's new hire process requires a past employer check to be completed within 30 days post hire date. WM's Vendor, Cisive has a trigger in place to complete the process prior to 30-day requirement. On the hire date, our vendor is alerted to start the process. WM has a process in place to track outstanding requests.

7) 391.45(a)- Using a driver not medically examined and certified.

Violation Description: - Carrier allowed this driver to drive a commercial motor vehicle on a total of seven (7) occasions without a valid medical examiners certificate (MEC) on November 4, 5, 13, 18 and 19, 2020 and on March 11, 2021. Driver did not have a MEC and only obtained their initial one on April 23, 2021.

Corrective Action(s): All Washington site managers have been re-trained on WUTC regulations and are operating in full compliance of 391.45(a). Exhibit 3a and 3b contain response from both site managers that they have been trained and understand the requirements of the rule.



8) 391.51(b)(2)- Failing to maintain inquiries into driver's driving record in driver's qualification file.

Violation Description:

- - Carrier failed maintain an initial driving record from time of hire. No driving records are on file for this driver hired on July 29, 2019. The first MVR obtained by the carrier was dated May 8, 2021 after this investigation began.
- - Carrier failed maintain an initial driving record from time of hire. No driving records are on file for this driver promoted to a driving position on October 14, 2020. The first MVR obtained by the carrier was dated April 29, 2021 after this investigation began.

Corrective Action(s): The current practice, working with our new vendor, Foley, new employees hired automatically have an MVR produced prior to hire date. The system will not allow the applicant to proceed (anyone driving a commercial motor vehicle). This will ensure that in all drivers hired have an MVR on file. In addition, District Teams have been re-trained on process of the promotion; current employees elevated to CMV position shall have an MVR run within 30 days operating CMV. A tracking system is now in place that will monitor all drivers for complete Driver Qualification (DQ) files.

9) 391.51(b)(3)- Failing to maintain road test certificate in driver's qualification file or copy of license or certificate the motor carrier accepted as equivalent.

Violation Description:

- - Carrier failed to maintain a road test certificate or copy of CDL license as equivalent.
- and - Carrier failed to maintain a road test certificate for these non-CDL drivers.

Corrective Action(s): Since the eScreen / Foley conversion, Waste Management of Washington is notified via electronic alert when Driver's DQ file is incomplete, including missing a road test. In addition, we have retrained all Washington Districts on the requirement of road tests in driver's DQ File, and a copy of the approved road test was distributed. Exhibit 4 is a copy of the road test.



10) 391.51(b)(4)- Failing to maintain the responses of each State agency to the annual driver record inquiry required by 391.25(a)

Violation Description:

- - Carrier failed to maintain the annual driver abstract in the driver qualification file for calendar year 2019.
- - Carrier failed to maintain the annual driver abstract in the driver qualification file for calendar year 2020.

Corrective Action(s): Foley now has a process in place that will automatically pull an MVR 11 months from previous MVR, removing the opportunity for human error. Additionally, the system will alert the District team that a new MVR is available for review. All Washington sites have been re-trained on WUTC regulations and are operating in full compliance of 391.45(a). Site Managers understand the process for promoting drivers into CMV driving positions, including DQ file requirements.

11) 391.51(b)(5)- Failing to maintain a note relating to the annual review of the driver's driving record as required by 391.25(c)(2).

Violation Description: - Carrier failed to maintain a note relating to the review of the driver's abstract for the abstract inquiry pulled by the carrier on April 15, 2021.

Corrective Action(s): After the MVR is produced, which is automatically pulled 11 months from the prior MVR date, managers are alerted to complete the annual review process in Foley's System. All managers in Washington will be receive Annual Review Training. The training will be conducted by the Director of DOT Compliance, within the next 60 days.



12) 391.51(b)(6)- Failing to maintain a list or certificate relating to violations of motor vehicle laws and ordinances required by 391.27.

Violation Description:

- Carrier failed to maintain a list or certificate relating to the violations of motor vehicle laws in the driver qualification file for calendar year 2020 for the following drivers:
 - - Carrier failed to maintain a list or certificate relating to the violations of motor vehicle laws in the driver qualification file for the current 2021 annual review dated March 23, 2021.
 - - Carrier failed to maintain a list or certificate relating to the violations of motor vehicle laws in the driver qualification file for calendar year 2020 and the current 2021 annual review dated April 12, 2021.
 - - Carrier failed to maintain a list or certificate relating to the violations of motor vehicle laws in the driver qualification file for calendar year 2019.
 - - Carrier failed to maintain a list or certificate relating to the violations of motor vehicle laws in the driver qualification file for the annual review dated March 2, 2021.
 - - Carrier failed to maintain a list or certificate relating to the violations of motor vehicle laws in the driver qualification file for the current 2021 abstract inquiry obtained by the carrier on April 15, 2021.

Corrective Action(s): 30 days prior to the MVR being produced, Managers are alerted by Foley to obtain a list of violations from drivers. All managers in Washington will be receiving Annual Review Training. The training will be conducted by the Director of DOT Compliance within the next 60 days.



13) 391.51(b)(9)- Failing to place a note related to the verification of the medical examiner's listing on the National Registry of Certified Medical Examiners required by 391.23(m) in driver disqualification file(s).

Violation Description: - Carrier failed to maintain or place a note relating to the verification of the medical examiners listing on the National Registry of Medical Examiners.

Corrective Action(s): Our vendor has a process in place to pull the National Registry of Medical Examiners information for a new medical card as a part of the initial medical review process and post it to the DOT file. The medical card is not released to the file until this process is completed.

14) 391.53(a)- Failing to maintain records relating to the investigation into the safety performance history of a new or prospective driver pursuant to paragraphs (d) and (e) of §391.23

Violation Description:

- - Carrier failed to maintain safety performance history investigation records for the following DOT regulated previous employers: Mr. M LLC, Biddix (FedEx), Frontier Building Supply.
- - Carrier failed to maintain safety performance history investigation records for this driver, the form on file was blank with no information provided for review.

Corrective Action(s): The new hire process requires a past employer check to be initiated during application process and complete within 30 days post hire date. The background vender (Cisive) has a trigger in place to complete the process prior to 30 days post hire. WM has a process in place to track outstanding requests.



- 15) 391.53(b)(1)- Failing to maintain in Driver Investigation History file a copy of the driver's written authorization for the motor carrier to seek information about a driver's alcohol and controlled substances history as required under 391.23(d).**

Violation Description: - No driver written authorization for this driver was in the driver qualification file for review.

Corrective Action(s): Our background check vendor, Cisive, has a process in place to send over the Release of Information specific to each DOT regulated employer to the DQ File vendor, Foley, upon completion of the I-9 which is within 3 business days of hire. There is a process in place to ensure that the I-9s are correctly completed to allow for that automation to Foley.

- 16) 395.3(b)(2)- Requiring or permitting a property-carrying commercial motor vehicle driver to drive after having been on duty 70 hours in 8 consecutive days.**

Violation Description: On March 7, 2021, driver [REDACTED] drove after having been on duty 70 hours in 8 consecutive days and did not have a valid 34 hour reset. Violations occurred on March 7, 2021 at 8:20 a.m., March 9, 2021 at 4:15 a.m., March 10, 2021 at 4:00 a.m., March 11, 2021 at 4:30 a.m., March 12, 2021 at 5:15 a.m., March 13, 2021 at 5:35 a.m., March 14, 2021 at 5:40 a.m., March 21, 2021 at 11:00 a.m., March 22, 2021 at 3:30 p.m., March 24, 2021 at 5:00 a.m., March 25, 2021 at 4:35 a.m., March 26, 2021 at 5:00 a.m. and March 27, 2021 at 5:00 a.m.

Corrective Action(s): Driver who violated HOS rules was disciplined and re-trained on hours of service rules. The RM responsible for approving the driver's hours was disciplined and retrained on hours of service rules. In addition, all Washington District and Route Managers were retrained on June 23rd, 2021 on current Hours of Service rules and how to use Kronos reports to identify drivers who are at risk of hours of service violations.



17) 396.11(a)(3)(ii)- Failing to certify that repairs were made or were not necessary.

Violation Description: Carrier failed to certify if repairs were made or not necessary. Violations also occurred on February 20, March 8, April 1, 29 and 30, 2021.

Corrective Action(s): In the next 60 days, Technicians will be re-trained on the electronic delivery vehicle inspection report (eDVIR) process and document; completing all required information including indicating / checking the box when no repairs are needed or non-safety related items.

18) 396.17(a)- Using a commercial motor vehicle not periodically inspected.

Violation Description:

- Vehicle: VIN 1FDWE35P36DB07625 Unit # 632443- Description of violation: Carrier used a commercial motor vehicle not periodically inspected; no proof of an annual inspection was on file for review.
- Vehicle: VIN 3FRWF65H85V109060 Unit # 633391- Description of violation: Carrier used a commercial motor vehicle not periodically inspected from August 2019 until December 2020.
- VIN 1FVHC5DX6HHJD9528 Unit # 415545- Description of violation: Carrier used a commercial motor vehicle not periodically inspected; no proof of an annual inspection was on file for review.
- VIN 1NPCLK0X3LD686618 Unit #417054- Description of violation: Carrier used a commercial motor vehicle not periodically inspected from January 1, 2021 through January 12, 2021. The previous annual inspection for this unit expired in December 2020 and the unit was not annually inspected again until January 12, 2021.

Corrective Action(s): Two of the identified vehicles in violation were support vehicles. The Fleet operations have reviewed the process of putting ALL WM vehicles into the COMPASS system (fleet tracking system), including the in-service date, to ensure that an automatic annual and PMIs are being generated.



19) 396.21(a)(6)- The qualified inspector failed to certify the periodic annual inspection.

Violation Description: VIN 5VCACRCE6LC232972 Unit # 106668 & VIN 5VCACSCE5KC230037 Unit # 266245- Description of violation: The periodic annual inspection was not certified by the mechanic.

Corrective Action(s): In the next 60 days, Technicians will be re-trained on the annual inspection document; completing all required information and ensuring document is signed and dated.



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We believe all the corrective actions outlined in this Safety Management Plan address the items identified in the compliance review. The corrective actions should reinforce Waste Management's commitment to safety and full regulatory compliance.

Certification

Waste Management of Washington, Inc. certifies that it is committed to safety and will operate in compliance with the Federal Motor Carrier Safety Regulations.

A handwritten signature in cursive script, appearing to read 'Tom Jacques', written over a horizontal line.

Tom Jacques,
Director, DOT Compliance
Waste Management of Washington, Inc.

Exhibit 1 – Record Storage Policy

Retention of D and A records



Ginter, Gerald

To: ● Rutledge, Robert; ● McMahon, Jeff; ● Eichhorn, Robert; ● Pellecchia, Joseph; ● Alvarado, Aaron; ● Hall, Robert; ● Kazen, Curt; ● Shea, Jason; ● Slack, Michael; ● Barcnas, Jeffrey;
○ Bradburn, Trace; ● Granado III, Jesse

Cc: ● Winston, Adam; ● Paden, Matthew; ○ Apostolos, James; ● Ward, Megan; ○ Olsen, Audrey; ● Hunt, Sarah

Reply

Reply All

Forward



Wed 8/18/2021 7:20 AM

§ 382.401 Retention of records.

(a) **General requirement.** Each [employer](#) shall maintain records of its [alcohol](#) misuse and [controlled substances](#) use prevention programs as provided in this section. The records shall be maintained in a secure location with controlled access.

All,

One of the findings in our recent WUTC audit was related to the retention and storage of Drug and Alcohol program documents and records. They are to be stored and maintained in a secure location at all times. There should be limited and controlled access to these files; only those who manage the D and A program.

Please ensure that all of your D and A documents and records are either locked in a cabinet or location that cannot be accessed by unauthorized employees.

Please verify by returning a reply to this email that your site's records are secure and access is controlled.

Thanks,
Jerry

Exhibit 2 – Information re Effects of Alcohol and Controlled Substance Use



Substance Abuse Policy for Company Candidates and Employees

Appendix B Update August 2021

Information Concerning the Effects of Alcohol and Drug Use on an Individual's Health, Work and Personal Life

The impact of drug use and alcohol misuse in the workplace is more than just causing harm to the health and safety of the affected individual. Drug use and alcohol misuse decrease an individual's performance and the performance of co-workers who rely on him/her. Impaired judgment, carelessness, and lack of coordination cause more accidents, which put the safety and lives of the affected individual and co-workers at risk. Co-workers may become frustrated trying to help the affected individual by covering up, taking on additional work, or lending him/her money. The result of this frustration can be decreased morale and distrust as co-workers become tired of trying to help and supervisors become suspicious of increased absenteeism, tardiness, lowered job efficiencies, etc.

Alcohol and its Effects

Alcohol is a legal substance that is widely used and, unfortunately, misused. While it is important for your safety, the safety of your co-workers and the general public to continue to be very concerned about the significant dangers of controlled substances, the abuse of alcohol has a major impact on the safety of those individuals as well. The most common substance found in drivers of commercial vehicles involved in fatal accidents is alcohol (the second most prevalent substance is marijuana).

The significance of alcohol misuse among the American population is borne out by statistics:

- It is estimated that 3-10% of all Americans have an alcohol related problem, depending upon how alcoholism is defined.
- 25% of all hospital admissions in the United States are related to alcohol misuse.
- 2-3% of the driving population is legally drunk at any one time. This rate doubles at night and on weekends.
- 40% of family court cases involve an alcohol problem.
- 2/3 of all homicides are committed by people who drink prior to the crime.
- More than 60% of burns, 40% of falls, 69% of boating accidents, and 76% of private aircraft accidents are alcohol related

Alcohol abusers are costing companies, health care organizations and the general public tens of thousands of dollars each year in poor quality products, health care costs, workers compensation costs, and unemployment costs. More importantly, these abusers are costing innocent lives.

The National Institute on Alcohol Abuse and Alcoholism has estimated that 50% of the people with job performance problems suffer from alcohol-related problems. The rationale underlying an employer's approach to alcohol abuse in the workplace is that any alcohol abuser, even one in the early stages of abuse, will tend to exhibit a pattern of deteriorating job performance that will eventually effect not only the abuser, but his or her co-workers, and the general public.

Unless detected early on, alcohol use in the workplace can lead to a series of costly and potentially dangerous situations, including:

- Absenteeism – Tardiness and excessive use of sick time.
- Lower Productivity – Studies have shown that an alcohol abuser works at only two-thirds of his/her

actual work potential.

- **Poor Work Quality** – Shoddy work, rework and material waste may be evident. For drivers it means decreased mental and physical agility and concentration.
- **Poor Morale** – Chronic alcohol misuse often creates wide mood swings, anxiety, depression, and anger. Non-drinking co-workers often see alcohol users as poor team workers and safety hazards.
- **Increased Number of Accidents and Near Misses** – Impaired individuals are 3-6 times more likely to be involved in on-the-job accidents or near miss incidents. A person who is legally intoxicated is six times more likely to have an accident than a sober person is.
- **Equipment Problems Due to Negligence** – Alcohol misuse often leads to inadequate maintenance of machinery or equipment because the driver has lost interest or is hoping their equipment will not work to avoid working themselves.

Controlled Substances and Their Effects

Substance abuse is a national problem that negatively impacts every American. It not only affects individual users and their families, but it also presents new and increasing dangers in the workplace. One in six working Americans has a drug related problem. Employees who use controlled substances are 33% less productive, 500% more likely to be involved in an on-the-job accident, 500% more likely to file a worker's compensation claim, 250% more likely to have an absence exceeding eight days, significantly more likely to be involved in employee theft, and 360% more likely to injure themselves or another person in the workplace.

As with alcohol abuse, drug use can lead to a series of costly and potentially dangerous problems in the workplace, including:

- **Absenteeism** – Tardiness and excessive use of sick leave.
- **Staff Turnover** – Substance-abusing employees have disorganized lives. Many quit rather than face detection. Others transfer or are fired because of poor or unsafe performance.
- **Lower Productivity and Work Quality** – As with alcohol abusers, substance-abusing employees perform at about two-thirds of their actual work potential. Shoddy work, rework and material waste may be evident. For drivers, decreased mental and physical agility and concentration causes increased cargo damage or passenger complaints, missed schedules, incomplete or lost shipments and more traffic accidents.
- **Equipment Breakdown** – Again, substance-abusing employees often do not maintain their equipment, either because they have lost interest in their job, or look forward to having equipment declared out of service as a means of avoiding work.
- **Poor Morale** – Chronic substance abusers create the same atmosphere as alcohol abusers in the workplace. Non-drug using employees often view them as poor team workers and a hazard to the safety of others.
- **Increased Accidents and Near Misses** – Substance abusers are 3.6 times more likely to be involved in an accident. Even small quantities of controlled substances in the system can cause a deterioration of alertness, clear-mindedness, and reaction time.

Exhibit 3a – Confirmation of Understanding

We understand and have made corrections to avoid this in the future.

Thanks, Curt

Curt Kazen

District Manager

Wenatchee / Kennewick
ckazen@wm.com

T: 509-655-0337
739 N. Wenatchee Ave
Wenatchee, Wa. 98801

Access WM 24/7 with [MyWM](#)



From: Ginter, Gerald <gginter@wm.com>
Sent: Wednesday, August 18, 2021 1:24 PM
To: McMahon, Jeff <jmcmaho@wm.com>; Kazen, Curt <ckazen@wm.com>
Cc: Hunt, Sarah <shunt6@wm.com>
Subject: WUTC Corrective Action Plan

Jeff and Curt,

This is a follow up email, related to the phone conversations we just had. During the recent WUTC Inspection, a violation of 391.45a was identified. This rule requires that anyone driving a commercial vehicle in the state of WA is required to have a DQ file, including a valid Medical Examiner’s Certificate. Part of the corrective action plan is to retrain your District’s team on this requirement. Please respond to this email that your team understands and has implemented this requirement.

Thanks,
Jerry

7 STATE	Primary: 391.45(a) Secondary: 391.11(a) CFR Equivalent: 391.45(a)	Discovered 2	Checked 80	Drivers/Vehicles	
				In Violation 2	Checked 80

Description

Using a driver not medically examined and certified.

Driver: Amanda Driesen

Trip Date: November 2, 2020

Description of violation: Carrier allowed this driver to drive a commercial motor vehicle on a total of seven occasions without a valid medical examiners certificate (MEC) on November 4, 5, 13, 18 and 19, 2020 and on March 11, 2021. Driver did not have a MEC and only obtained their initial one on April 23, 2021.

Also in violation:

Driver: Lester Rano

Trip Date: October 14, 2020

Description of violation: Carrier allowed this driver to drive a commercial motor vehicle on a total of 99 occasions without a valid medical examiners certificate (MEC) on October 15, 16, 19, 20, 21, 22, 23, 26, 27, 28, 29, 2020; November 2, 3, 4, 5, 6, 9, 10, 11, 12, 13, 14, 16, 17, 18, 19, 20, 21, 23, 24, 25, 27, 28, 30, 2020; December 1, 2, 3, 4, 7, 8, 9, 10, 11, 14, 15, 16, 17, 18, 21, 22, 23, 24, 2020; January 25, 26, 27, 28, 2021; February 1, 2, 10, 11, 12, 16, 17, 19, 22, 23, 24, 25, 26, 2021; March 1, 2, 3, 4, 5, 9, 10, 11, 12, 15, 16, 17, 18, 19, 22, 23, 24, 25, 26, 29, 30, 31, 2021; April 1, 2, 5, 6, 7, 8, 9, 2021. The carrier states the driver was pulled from driving on April 9, 2021. Driver did not have a MEC and only obtained their initial one on April 23, 2021.

Exhibit 3b – Confirmation of Understanding

From: McMahon, Jeff <jmcmaho@wm.com>
Sent: Wednesday, August 18, 2021 3:44 PM
To: Ginter, Gerald <gginter@wm.com>
Cc: Kazen, Curt <ckazen@wm.com>; Hunt, Sarah <shunt6@wm.com>
Subject: Re: WUTC Corrective Action Plan

Jerry

The North Sound team has been trained and understands that all employees moving to new positions will need DM approval for all proper paperwork, training, and DQ files if needed.

Jeff

Sent from my iPhone

From: Ginter, Gerald <gginter@wm.com>
Sent: Wednesday, August 18, 2021 1:24 PM
To: McMahon, Jeff <jmcmaho@wm.com>; Kazen, Curt <ckazen@wm.com>
Cc: Hunt, Sarah <shunt6@wm.com>
Subject: WUTC Corrective Action Plan

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Also in violation:

Driver: Lester Rano

Trip Date: October 14, 2020

Description of violation: Carrier allowed this driver to drive a commercial motor vehicle on a total of 99 occasions without a valid medical examiners certificate (MEC) on October 15, 16, 19, 20, 21, 22, 23, 26, 27, 28, 29, 2020; November 2, 3, 4, 5, 6, 9, 10, 11, 12, 13, 14, 16, 17, 18, 19, 20, 21, 23, 24, 25, 27, 28, 30, 2020; December 1, 2, 3, 4, 7, 8, 9, 10, 11, 14, 15, 16, 17, 18, 21, 22, 23, 24, 2020; January 25, 26, 27, 28, 2021; February 1, 2, 10, 11, 12, 16, 17, 19, 22, 23, 24, 25, 26, 2021; March 1, 2, 3, 4, 5, 9, 10, 11, 12, 15, 16, 17, 18, 19, 22, 23, 24, 25, 26, 29, 30, 31, 2021; April 1, 2, 5, 6, 7, 8, 9, 2021. The carrier states the driver was pulled from driving on April 9, 2021. Driver did not have a MEC and only obtained their initial one on April 23, 2021.

Exhibit 4 – Certificate of Road Test

CERTIFICATE OF ROAD TEST



Complete before letting an applicant drive for you.

**IN LIEU OF A ROAD TEST, THE FOLLOWING DOCUMENTS
HAVE BEEN PRESENTED, VERIFIED, AND ACCEPTED**

1) A valid Commercial Driver's License as defined in **49CFR 383.5**, but not including double/triple trailer or tank vehicle endorsements, which was issued to operate specific categories of Commercial Motor Vehicles and which, under the laws of that State, licensed the driver after the successful completion of a road test in a Commercial Motor Vehicle of the type the Motor Carrier intends to assign the driver.

OR

2) A copy of a valid Certificate of Driver's Road Test that was issued to the driver within the last three years.

Driver Name (Print): _____

I certify that one of the documents defined above is being retained as part of this driver's qualification file.

Name of Authorizing Individual: _____ Title: _____

Signature: _____ Date: _____

RECORD OF ROAD TEST

Motor Carrier: _____
Address: _____

Driver's Name: _____
Address: _____

The operations below are the skills required by **49 CFR part 391.31** to be tested while operating the type of Commercial Motor Vehicle the driver's employer intends to assign to this driver. Please assess the level of skill and competence the driver exhibits performing each of the following operations:

1. THE PRE-TRIP EQUIPMENT INSPECTION

Comments:	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Needs Training <input type="checkbox"/> Unsatisfactory
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2. COUPLING AND UNCOUPLING OF COMBINATION UNITS (IF APPLICABLE)

Comments:	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Needs Training <input type="checkbox"/> Unsatisfactory
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3. PLACING THE COMMERCIAL MOTOR VEHICLE IN OPERATION

Comments:	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Needs Training <input type="checkbox"/> Unsatisfactory
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4. USE OF THE COMMERCIAL MOTOR VEHICLE'S CONTROLS AND EMERGENCY EQUIPMENT

Comments:	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Needs Training <input type="checkbox"/> Unsatisfactory
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DQF 3 - CERTIFICATE OF ROAD TEST

Retain for 3 years after ceasing duties

CERTIFICATE OF ROAD TEST

5. OPERATING THE COMMERCIAL MOTOR VEHICLE IN TRAFFIC AND WHILE PASSING OTHER MOTOR VEHICLES

Comments:

- Satisfactory
 Needs Training
 Unsatisfactory

6. TURNING THE COMMERCIAL MOTOR VEHICLE

Comments:

- Satisfactory
 Needs Training
 Unsatisfactory

7. BRAKING, AND SLOWING THE COMMERCIAL MOTOR VEHICLE BY MEANS OTHER THAN BRAKING

Comments:

- Satisfactory
 Needs Training
 Unsatisfactory

8. BACKING AND PARKING THE COMMERCIAL MOTOR VEHICLE

Comments:

- Satisfactory
 Needs Training
 Unsatisfactory

9. OTHER

Comments:

- Satisfactory
 Needs Training
 Unsatisfactory

Duration of Road Test: Hours _____ Miles _____

Name of Examiner (please print)

Date

Signature

Driver's Name:

Social Security Number:

Operator's or Chauffeur's License No.:

State:

Type of power unit:

Type of trailer(s):

If passenger carrier, type of bus:

This is to certify that the above-named driver was given a road test under my supervision on ___/___/___ consisting of approximately _____ miles of driving.

It is my considered opinion that this driver possesses sufficient driving skill to operate safely the type of commercial motor vehicle listed above.

Signature of Examiner:

Title:

Organization of Examiner:

Address of Examiner:

City:

State:

Zip Code: