Department of Energy

Motor Carrier Evaluation Program

Educational Presentation for the

Nevada Site Specific Advisory Board (NSSAB)

Presented By: Randy Dillon

Date: May 18, 2016
Learning Objectives

- Provide understanding of:
  - Department of Energy (DOE) Motor Carrier Evaluation Program (MCEP)
  - Implementation process and requirements
  - Graded approach to and criteria for the screening, evaluation, acceptance, and ongoing monitoring of commercial carriers
  - Roles and Responsibilities - HQ, Field, Contractors
Background

- MCEP developed circa 1990
- Originated at the Hanford Site
- Prompted by Transportation Deregulation under the Motor Carrier Act of 1980
  - The Motor Carrier Act allowed many new carriers to enter into transporting hazardous materials and wastes
  - More competition required increased efficiency and cost-cutting (e.g., less maintenance, older equipment)
  - Carriers took on more risks associated with competition
DOE recognized that risks associated with competition was a detriment to safety

DOE shippers needed to be more careful in the selection of motor carriers for transporting hazardous materials and wastes

MCEP developed to
  - Define criteria and methodology needed to identify quality motor carriers
MCEP At-A-Glance

- Establishes the framework to evaluate commercial carriers to safely transport certain radioactive and hazardous materials in furtherance of DOE’s mission.

- MCEP uses a graded approach to carrier evaluation based on meeting applicable regulations; complexity and shipments’ inherent risks; and frequency and utilization of the carrier.

MCEP Plan:

- Volume I: Programmatic Processes and Procedures
- Volume II: Checklists and Tools
- Technical collaboration; SMEs; sharing of operating experience; Lessons Learned; consistency; transparency; cost savings
• DOE Management ultimately responsible and accountable for the safe transport of shipments.

• MCEP provides DOE line management and operating contractors a transparent and technically defensible basis to exercise due diligence in selecting and acquiring the services of for-hire commercial motor carriers.

• Process uses evaluators who must be appropriately qualified and trained.

• Ongoing monitoring is fundamental for maintaining MCEP eligibility requirements.
Key elements in DOE effective hazardous and radioactive material shipping program

- Integrity of packages
- Strict adherence to regulations and procedures
- Trained personnel
- Complete management support
- Use of the best commercial carriers
OBJECTIVE: provide and monitor metrics on the quality and capability of for-hire motor carriers, drivers, and vehicles available for transporting DOE radioactive materials and hazardous wastes.

PROGRAM APPLICABILITY:

- **Tier 1** - Carriers transporting hazardous materials requiring Hazardous Materials Safety Permit (49 CFR Part 385, Subpart E), or Hazardous Materials Security Plan (49 CFR Part 172, Subpart I);

- **Tier 2** - Carriers transporting Type A or Type B Class 7 (radioactive) materials; or transporting Truckload (TL) quantities of low-level or mixed waste shipped as low-specific-activity/surface-contaminated-object; or

- **Tier 3** - Carriers transporting any quantity of hazardous material requiring an EPA Uniform Hazardous Waste Manifest
MCEP Objective and Applicability (Cont.)

- MCEP does **not** apply to carriers transporting non-hazardous materials

- MCEP provides requirements, roles and responsibilities, and processes to assure that motor carriers transporting radioactive materials and hazardous wastes are evaluated for:
  1. Safety
  2. Financial Status
  3. Security
  4. Compliance with DOT Federal Motor Carrier Safety and Hazardous Material Regulations, and
  5. DOE policies and practices
## Key Requirements, Policies and Orders

<table>
<thead>
<tr>
<th>Policy</th>
<th>Description</th>
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<tbody>
<tr>
<td>10 CFR Part 71</td>
<td>Packaging and Transportation of Radioactive Material</td>
</tr>
<tr>
<td>40 CFR Part 263</td>
<td>Standards Applicable to Transporters of Hazardous Waste</td>
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<tr>
<td>41 CFR Part 109-40</td>
<td>Transportation and Traffic Management</td>
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<tr>
<td>48 CFR Subpart 9.4</td>
<td>Federal Acquisition Regulation, Debarment, Suspension, and Ineligibility</td>
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<tr>
<td>49 CFR Parts 40 and 350-399</td>
<td>Federal Motor Carrier Safety Regulations</td>
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<td>49 CFR Parts 100-180</td>
<td>Hazardous Materials Regulations</td>
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<tr>
<td>DOE O 460.2A</td>
<td>Departmental Materials Transportation and Packaging Management</td>
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# MCEP Three-Step Process

The Department of Energy Motor Carrier Evaluation Program follows a three-step process involving: 1) Initial Safety Screening, 2) Onsite Evaluation, 3) Monitoring & Actions

<table>
<thead>
<tr>
<th>Initial Safety Screening</th>
<th>Onsite Evaluation(^{(1)}) /Offsite Review</th>
<th>Monitoring &amp; Actions</th>
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<tbody>
<tr>
<td>▪ Site Office identifies need for motor carrier not currently on MCEP list</td>
<td>▪ Review Carrier Policies, Procedures, and Records, such as</td>
<td>▪ Review FMCSA SMS</td>
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<tr>
<td>▪ Needs evaluation submitted to DOE Site Office and Headquarters</td>
<td>i. Carrier Quality Assurance Program</td>
<td>SAFER, Safety Net, DOT Volpe</td>
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<tr>
<td>▪ If additional carrier needed, initial screening of carrier begins</td>
<td>ii. Carrier History</td>
<td>Monitor monthly, and issue status report quarterly</td>
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<td>▪ Review FMCSA Behavior Analysis and Safety Improvement Categories (BASIC) Safety Measurement System (SMS)</td>
<td>iii. Emergency Response Procedure/Plan</td>
<td>Provide updates more frequently, as needed</td>
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<td>i. Unsafe Driving</td>
<td>iv. Safety and Security Plans</td>
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<td>ii. Hours of Service</td>
<td>v. Training</td>
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<td>iii. Driver Fitness</td>
<td>vi. Drug and Alcohol Program and Testing</td>
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<td>iv. Controlled Substances and Alcohol</td>
<td>▪ Review Financial Stability</td>
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<td>v. Vehicle Maintenance</td>
<td>i. Asset-to-Liability Ratio</td>
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<td>vi. Hazardous Material Compliance</td>
<td>ii. Operating Ratio</td>
<td></td>
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<td>vii. Crash Indicator</td>
<td>▪ Onsite Evaluation</td>
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<tr>
<td>viii. Carrier Initial Safety Screening Criteria</td>
<td>▪ Vehicle Maintenance</td>
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<td>a) Motor carrier must have a satisfactory DOT Motor Carrier Safety Rating, or</td>
<td>▪ Drivers Logs</td>
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<td>b) It is unrated, and its safety status, published monthly in the FMCSA SMS must not exceed the thresholds — currently the HazMat intervention thresholds</td>
<td>▪ Driver Qualifications</td>
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<td>ix. SAFER, Safety Net, DOT Volpe</td>
<td>▪ Verify Capabilities</td>
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<td>a) Operating Status</td>
<td>▪ Interview Carrier Staff</td>
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<td>b) Safety Rating</td>
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<td>c) Authorized Commodity</td>
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<td>d) Insurance</td>
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<td>e) HazMat Safety Permit</td>
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<td>x. Carrier Profile - DOE form (DOT#, POCs, equip, etc.)</td>
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<td>xi. Additional documents (Operating Authorities, MCS-90 and Acord Form, DOT HazMat Safety Permit)</td>
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<td>xii. Financial Information</td>
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Outcomes and Actions

- Remains or Placed on MCEP list
- Placed on Caution Status (Watch List)
- Re-Evaluate
- Placed on Non-Use Status
- Placed on Temporary Non-Use Status, if MCEP requirement/criteria not met
- Inactive Status, if not used in past 3 years
- Suspension (Never implemented)
- Debarment (Never implemented)

1) Onsite Evaluations are very similar to DOT Onsite Compliance Reviews
Minimum Required Evaluations and Documents

**Tier 1**
- Onsite evaluation visit
- Performed by: DOE MCEP Program Manager for National MCEP carriers and Field/Site Offices for Local MCEP carriers

**Tier 2**
- Offsite review (validation of records and documents)
- Performed by: DOE MCEP Program Manager for National MCEP carriers and Field/Site Offices for Local MCEP carriers

**Tier 3**
- Offsite review (validation of records and documents)
- Performed by: Field/Site Offices or the Prime Contractor, as applicable

**Documents**
- All Tier 2 items; all Tier 3 items
- FMCSA HMSP; Hazardous Materials Security Plan; and MCEP Vol II checklists and tables applicable to onsite evaluation
- All Tier 3 items; Dun and Bradstreet report; enforcement history; and MCEP Plan, Vol II Document request list
- Operating authority; insurance, safety rating; if applicable; PHMSA registration, if applicable; FMCSA SMS status; and EPA number if hauling manifested waste
# Roles and Responsibilities of Key MCEP Evaluation Members

<table>
<thead>
<tr>
<th>Function</th>
<th>Duties / Responsibilities</th>
<th>Federal or Contractor Employee</th>
<th>Appointed by</th>
</tr>
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<tbody>
<tr>
<td><strong>DOE MCEP Program Manager</strong></td>
<td>Manages and administers the MECP. Ensures evaluation teams have appropriate composition and skill set. <strong>Updates and distribute the Evaluated Carrier List and Monitoring Spreadsheet</strong></td>
<td>Federal</td>
<td>EM/Office of Packaging and Transportation</td>
</tr>
<tr>
<td><strong>Site Transportation Manager / Transportation POC</strong></td>
<td>Manages/Directs site or major contractor transportation services. Oversight of transportation activities.</td>
<td>Federal or Contractor may serve as a Transportation Specialist.</td>
<td>Local Site Office or Contractor</td>
</tr>
<tr>
<td><strong>Evaluation Team Leader</strong></td>
<td>Conducts initial carrier evaluations; initiates contact with carriers; ensures that documentation received from carriers is accurate; ensures that information submitted to DOE is distributed; and evaluates information about carrier performance metrics.</td>
<td>Federal or Contractor (If Contractor, a Federal employee with manage the Team)</td>
<td>By the DOE MCEP Program Manager for an evaluation of a National carrier. By the DOE Site Office Management for a local evaluation.</td>
</tr>
<tr>
<td><strong>Evaluation Team Member</strong></td>
<td>Participate in the initial evaluation, the onsite evaluation, offsite review, or any monitoring stage.</td>
<td>Federal or Contractor SME</td>
<td>By the DOE MCEP Program Manager for an evaluation of a National carrier. For a local evaluation by the DOE Site Office Management in coordination with the DOE MCEP Program Manager.</td>
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Evaluator Qualifications and Training

DOE MCEP Program Manager

- Selects and validates the training and qualification of Evaluation Team Members.

- **Minimum required training and/or demonstrated experience and proficiency for evaluators:**
  - DOE MCEP Evaluator Training offered by DOE OPT;
  - Commercial Motor Vehicle Periodic Inspection and Maintenance, a three-day course offered by the DOT Transportation Safety Institute;
  - Motor Carrier Safety Compliance, a five-day course offered by the DOT Transportation Safety Institute; and
  - DOT Motor Carrier Safety Compliance Hours of Service Refresher, a one-day course offered by the DOT Transportation Safety Institute.
Evaluator Qualifications and Training (Cont.)

- **Evaluators** should possess formal training, or demonstrate competence and practical experience in:
  - Techniques of examining, questioning, evaluating, and reporting evaluation data.
  - Managing evaluations, including planning, organizing, communicating, and directing evaluations when designated as Team Leads.

- **Prospective evaluators** must complete and submit an Evaluation Team Member Qualification Form (Volume II, Appendix 18) to the DOE MCEP Program Manager to assess the candidate’s qualifications.
DOE believes it is imperative that the carrier be viewed as a responsible partner in the process of transporting hazardous materials.

DOE also endorses the development of strong working relationships between the shippers of hazardous materials and the carriers they use.