

NOTE: The following guidance supersedes the current CAPRI software and eFOTM guidance

FMCSA Parts	Questions	Commercial Zone Carrier Applying for Long Haul Authority	New Applicant for Long Haul Authority Not Operating Yet
Factor 1			
Part 387 Acute Verification Element 3	General #1 Does the carrier have required minimum levels of financial responsibility in effect?	Answer Yes or No (If No – Go Back and Re-Validate 5 Mandatory Elements in Phase I)	Answer Yes or No (If No - Go Back and Re-Validate 5 Mandatory Elements in Phase I)
Part 387 Critical Verification Element 3	General #2 Does the carrier have required evidence of financial responsibility?	Answer Yes or No (Part 379 Appendix A Category F requires retention "until expiration, plus 1 year")	Not Applicable
Part 390	General #3 Can the carrier provide a complete accident register of recordable accidents?	Answer Yes or No (If Crash in US or occurred on a trip to or from the US) otherwise Not Applicable	Not Applicable
Part 390 Critical	General #4 Does the carrier have copies of all accident reports required by States or other government entities or insurers?	Answer Yes or No (If Crash in US or occurred on a trip to or from the US) otherwise Not Applicable	Not Applicable
Part 390	General #5 Is the carrier knowledgeable of the FMCSRs/HMRs?	Answer Yes or No	Answer Yes or No
Part 390	General #6 Does the carrier know the CMV marking requirements?	Answer Yes or No	Answer Yes or No
Factor 2			
Part 391	Driver Qualification Sampling and Scanning Guidance	Review a driver qualification file for every driver the motor carrier uses or intends to use to operate CMVs (10,001 lb. GVW or more) in the U.S.	Scan a copy of the driver information list into EDMS
Part 391 Critical Verification Element 5	Driver #1 Does the carrier maintain complete driver qualification files?	Answer Yes or No (If No – Go Back and Re-Validate 5 Mandatory Elements in Phase I)	Answer Yes or No (If No - Go Back and Re-Validate 5 Mandatory Elements in Phase I)

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Part 391 Acute Verification Element 5	Driver #2 Is the carrier using physically qualified drivers?	Answer Yes or No (If No – Go Back and Re-Validate 5 Mandatory Elements in Phase I)	Not Applicable
Part 391 Critical	Driver #3 Does available evidence indicate the motor carrier has used a driver without a medical certificate or with an expired certificate?	Answer Yes or No	Not Applicable
Part 391 Acute Verification Element 5	Driver #4 Is the carrier using any disqualified drivers?	Answer Yes or No (If Yes – Go Back and Re-Validate 5 Mandatory Elements in Phase I)	Not Applicable
Part 391 Critical	Driver #5 Does the carrier maintain driving and employment history inquiry data in DQ files?	Answer Yes or No	Not Applicable
Part 382	Controlled Substances and Alcohol Use and Testing Sampling and Scanning Guidance	Review the driver list to ensure every driver the motor carrier uses, or intends to use to operate CMVs (26,001 lb. GVW or more) in the U.S. is enrolled in the company testing program	Scan a copy of the documents presented to show compliance into EDMS
Part 382 Acute Verification Element 1	Driver #6 Has the carrier implemented an alcohol and/or controlled substances testing program?	If Applicable - Answer Yes or No (If No – Go Back and Re-Validate 5 Mandatory Elements in Phase I)	Answer Yes or No (If No – Go Back and Re-Validate 5 Mandatory Elements in Phase I)
Part 382 Acute	Driver #7 Has the carrier used drivers who have used controlled substances?	If Applicable - Answer Yes or No	Not Applicable
Part 382 Acute	Driver #8 Has the carrier used a driver who tested positive for a controlled substance?	If Applicable - Answer Yes or No	Not Applicable
Part 382 Acute	Driver #9 Has the carrier used a driver known to have an alcohol concentration of .04 or greater?	If Applicable - Answer Yes or No	Not Applicable

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Part 382 Acute	Driver #10 Has the carrier used a driver found to have an alcohol concentration of .02 or greater but less than .04 within 24 hours of being tested?	If Applicable - Answer Yes or No	Not Applicable
Part 382 Critical	Driver #11 Has the carrier ensured that drivers have undergone testing for alcohol and controlled substance prior to performing a safety sensitive function?	If Applicable - Answer Yes or No Enter Not Applicable if no drivers hired within past 365 days	Not Applicable
Part 382 Critical	Driver #12 Has the carrier conducted post accident testing on drivers for alcohol and/or controlled substances?	If Applicable - Answer Yes or No (If Crash in US or occurred on a trip to or from the US)	Not Applicable
Part 382 Acute Verification Element 1	Driver #13 Has the carrier implemented a random testing program?	If Applicable - Answer Yes or No (If No - Go Back and Re-Validate 5 Mandatory Elements in Phase I)	If Applicable Answer Yes or No (If No - Go Back and Re-Validate 5 Mandatory Elements in Phase I)
Part 382 Critical	Driver #14 Has the carrier conducted random alcohol testing at an annual rate of not less than the applicable annual rate of the average number of driver positions?	If Applicable - Answer Yes or No (otherwise Not Applicable)	Not Applicable
Part 382 Critical	Driver #15 Has the carrier conducted random controlled substance testing at an annual rate of not less than the applicable annual rate of the average number of driver positions?	If Applicable - Answer Yes or No (otherwise Not Applicable)	Not Applicable
Part 382	Driver #16 Has the carrier conducted return-to-duty tests on employees returning to safety-sensitive functions?	If Applicable - Answer Yes or No (otherwise Not Applicable)	Not Applicable
Part 382	Driver #17 Is the carrier conducting follow-up testing as directed by the Substance Abuse Professional?	If Applicable - Answer Yes or No (otherwise Not Applicable)	Not Applicable
Part 382 Acute	Driver #18 Has the carrier used a driver who has refused to submit to an alcohol or controlled substances test required under Part 382?	If Applicable - Answer Yes or No (otherwise Not Applicable)	Not Applicable

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Part 382	Driver #19 Has the carrier used a Substance Abuse Professional (SAP) as required by 49 CFR Part 40, Subpart O?	If Applicable - Answer Yes or No (Not Applicable)	Not Applicable
Part 383	Commercial Drivers License Sampling and Scanning Guidance	Review the driver list to ensure every driver the motor carrier uses, or intends to use to operate CMVs (26,001 lb. GVW or more) in the U.S. possess a valid and appropriate license	Scan a copy of every commercial driver license/Licencia de Federal maintained by the motor carrier into EDMS
Part 383 Critical	Driver #20 Has a driver operated a CMV without a current operating license, or a license, which has not been properly classed or endorsed?	If Applicable - Answer Yes or No (If Yes – Go Back and Re-Validate 5 Mandatory Elements in Phase I)	If Applicable
Part 383 Acute Verification Element 5	Driver #21 Has the motor carrier allowed its driver whose CDL has been suspended, revoked, or canceled by a state, have lost the right to operate a CMV in a state, or have been disqualified from operating a CMV?	If Applicable - Answer Yes or No (If Yes – Go Back and Re-Validate 5 Mandatory Elements in Phase I)	If Applicable
Part 383 Acute	Driver #22 Has the motor carrier knowingly allowed, required, permitted or authorized the driver to drive who is disqualified to drive a CMV?	If Applicable - Answer Yes or No (If Yes – Go Back and Re-Validate 5 Mandatory Elements in Phase I)	If Applicable
Factor 3			
Part 395	Drivers Hours of Service Sampling and Scanning Guidance	Review one month of records of duty status/time cards for every driver the motor carrier intends to operate CMVs (10,001 lb. GVW or more) in the U.S.	Scan a copy of 8 days of records of duty status/time cards to show compliance with HOS
Part 395 Critical	Operational #1 Does the carrier require drivers to make a record of duty status?	Answer Yes or No* (If Time Cards are used properly, Not Applicable)	Answer Yes or No* (If you verify evidence of Records of Duty Status to be used, mark Yes) (If Time Cards are to be used, Not Applicable)

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Part 395 Critical	Operational #2 Does the carrier require drivers to submit RODS within 13 days?	Answer Yes or No* (If No to Operations Q #1, or Time Cards are used properly, Not Applicable)	Answer Yes or No* (If you verify evidence of Records of Duty Status to be used and turned in within 13 days, mark Yes) (If Time Cards are to be used, Not Applicable)
Part 395 Critical	Operational #3 Can the carrier produce RODS and supporting documents for selected drivers?	Answer Yes or No* (If No to Operations Q #1, or Time Cards are used properly, Not Applicable)	Answer Yes or No* (If No to Operations Q #1, or Time Cards are used properly, Not Applicable)
Part 395 Critical	Operational #4 Has the carrier allowed driver(s) to exceed the 11 hour rule? (Property)	Answer Yes* or No (If Time Cards are used properly, Not Applicable)	Not Applicable
Part 395 Critical	Operational #5 Has the carrier allowed driver(s) to exceed the 14 hour rule? (Property)	Answer Yes* or No (If Time Cards are used properly, Not Applicable)	Not Applicable
Part 395 Critical	Operational #6 Has the carrier allowed driver(s) to driver after having been on duty more than 60 hours in 7 consecutive days? (Property)	Answer Yes* or No (Not Applicable, if carrier operates 70 hours in 8 days)	Not Applicable
Part 395 Critical	Operational #7 Has the carrier allowed driver(s) to drive after having been on duty more than 70 hours in 8 consecutive days? (Property)	Answer Yes* or No (Not Applicable, if carrier operates 60 hours in 7 days)	Not Applicable
Part 395 Critical	Operational #8 Has the carrier allowed driver(s) to exceed the 10 hour rule? (PASSENGER)	If Applicable, Answer Yes* or No (If Time Cards are used properly or Not Passenger Carrier, Not Applicable)	Not Applicable
Part 395 Critical	Operational #9 Has the carrier allowed drivers to exceed the 15 hour rule? (PASSENGER)	If Applicable, Answer Yes* or No (If Time Cards are used properly or Not Passenger Carrier, Not Applicable)	Not Applicable
Part 395 Critical	Operational #10 Has the carrier allowed driver(s) to driver after having been on duty more than 60 hours in 7 consecutive days? (PASSENGER)	If Applicable, Answer Yes* or No (Not Applicable, if carrier operates 70 hours in 8 days or Not a Passenger Carrier)	Not Applicable

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Part 395 Critical	Operational #11 Has the carrier allowed driver(s) to drive after having been on duty more than 70 hours in 8 consecutive days? (PASSENGER)	If Applicable, Answer Yes* or No (Not Applicable, if carrier operates 60 hours in 7 days or Not a Passenger Carrier)	Not Applicable
Part 395 Critical	Operational #12 Does available evidence indicate a selected driver has prepared false RODs?	Answer Yes* or No (If Time Cards are used properly, Not Applicable)	Not Applicable
Part 395	Operational #13 Does the carrier adhere to a disciplinary policy for non-compliance with Part 395?	Answer Yes or No	Answer Yes or No
Part 395	Operational #14 Does the carrier record HOS on 100-mile radius drivers?	Answer Yes or No* (If Record of Duty Status are used, Not Applicable)	Answer Yes or No* (If you verify evidence of Time Cards to be used, mark Yes) (If Records of Duty Status are to be used, Not Applicable)
Part 395 NOTE:	If 3 or more Critical questions reflect non compliance in PASA Phase II, the motor carrier may not have demonstrated a system of compliance with hours-of-service requirements as required in PASA Phase I. (Go Back and Re-Validate 5 Mandatory Elements in Phase I)		
Part 392	Driving of Commercial Motor Vehicles Sampling and Scanning Guidance	Review <u>every driver</u> the motor carrier uses or intends to use to operate CMVs (10,001 lb. GVW or more) in the U.S. to ensure the motor carrier is aware of Part 392 requirements	
Part 392 Critical	Operational #15 Does the motor carrier ensure drivers operate CMVs in accordance with the laws, ordinances and regulations of the jurisdiction in which they are operating?	Answer Yes or No	Not Applicable
Part 392 Critical	Operational #16 Does the motor carrier ensure drivers are not permitted to drive a vehicle without the cargo properly distributed and adequately secured?	Answer Yes or No	Not Applicable
Part 392 Acute	Operational #17 Have any drivers operated a CMV while under the influence of, or in possession of, narcotic drugs, amphetamines, or any other substances capable of rendering the drivers incapable of safely operating motor vehicles?	Answer Yes or No	Not Applicable

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Part 392 Acute	Operational #18 Have any drivers operated a CMV while under the influence of, or in possession of, intoxicating beverages?	Answer Yes or No	Not Applicable
Part 392 Acute	Operational #19 Have drivers operated CMVs within 4 hours of consuming alcohol?	Answer Yes or No	Not Applicable
Factor 4			
Part 396	Inspection Repair and Maintenance Sampling and Scanning Guidance	Review a maintenance file for <u>every vehicle</u> the motor carrier operates or intends to operate CMVs (10,001 lb. GVW or more) in the U.S.	Scan a copy of the vehicle information list, a complete maintenance file and a Daily Vehicle Inspection Report into EDMS
Part 396 Critical Verification Element 4	Maintenance #1 Can the carrier produce maintenance files for requested vehicle(s)?	Answer Yes or No (If No - Go Back and Re-Validate 5 Mandatory Elements in Phase I)	Answer Yes or No (If No - Go Back and Re-Validate 5 Mandatory Elements in Phase I)
Part 396 Critical Verification Element 4	Maintenance #2 Can the motor carrier produce evidence of periodic (annual) inspections for selected vehicles?	Answer Yes or No (If No - Go Back and Re-Validate 5 Mandatory Elements in Phase I)	Answer Yes or No (If No - Go Back and Re-Validate 5 Mandatory Elements in Phase I)
Part 396 Critical	Maintenance #3 Does the motor carrier require driver(s) to complete DVIRs?	Answer Yes or No (Not Applicable-if motor carriers meets exceptions in 396.11(d))	Answer Yes or No (If you verify evidence of DVIR to be used, mark Yes) (Not Applicable-if motor carriers meets exceptions in 396.11(d))
Part 396 Acute	Maintenance #4 Does the carrier ensure OOS defects listed by the driver in the DVIRs are corrected before the vehicle is re-dispatched?	Answer Yes or No (Not Applicable-if motor carriers meets exceptions in 396.11(d))	Not Applicable
Part 396 Acute	Maintenance #5 Does the carrier ensure vehicles that have been declared OOS do not operate before repairs have been made?	Answer Yes or No (Not Applicable-if motor carriers has had no vehicles placed OOS in last 12 months)	Not Applicable
Part 396	Maintenance #6	Answer Yes or No	Answer Yes or No

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	Is the carrier using qualified inspectors (mechanics) & maintaining evidence of the inspector qualifications?		
Part 396	Maintenance #7 Can the carrier explain its systematic periodic maintenance program?	Answer Yes or No	Answer Yes or No
Factor 5			
Part 107	Hazardous Materials #1 Is the carrier registered with the PHMSA, and do they have copies of its registrations for the previous 3 years?	Answer Yes or No	Not Applicable
Part 171 Critical	Hazardous Materials #2 Does the carrier promptly report HM incidents immediately requiring immediate telephone notification to the appropriate authorities?	Answer Yes or No	Not Applicable
Part 171 Critical	Hazardous Materials #3 Does the carrier file HM incident reports when required?	Answer Yes or No	Not Applicable
Part 172	Hazardous Materials #4 Does the carrier provide HM training for its drivers	Answer Yes or No	Not Applicable
Part 177 Critical	Hazardous Materials #5 Does the HM training material cover the required minimum elements?	Answer Yes or No	Not Applicable
Part 177 Critical	Hazardous Materials #6 Are the shipping papers used by the carrier properly prepared?	Answer Yes or No	Not Applicable
Part 177 Critical	Hazardous Materials #7 Does the carrier ensure the driver maintains proper accessibility for shipping papers during transportation of HM?	Answer Yes or No	Not Applicable
Part 177 Acute	Hazardous Materials #8 Does the carrier transport packages bearing poison label in the same vehicle with any foodstuffs, food for humans or feed for animals?	Answer Yes or No	Not Applicable
Part 177	Hazardous Materials #9	Answer Yes or No	Not Applicable

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	Is the carrier aware that some HM may not be transported in the same vehicle with other HM?		
Part 180 Critical	Hazardous Materials #10 Has the carrier transported a shipment of HM in cargo tank that has not been inspected or tested in accordance with 180.407?	Answer Yes or No	Not Applicable
Part 180 Critical	Hazardous Materials #11 Are all of the cargo tanks used to transport HM periodically tested and inspected in accordance with 180.407?	Answer Yes or No	Not Applicable
Part 180 Critical	Hazardous Materials #12 Are HM cargo tanks that have passed required inspections and testing marked in accordance with 180.407?	Answer Yes or No	Not Applicable
Part 180 Critical	Hazardous Materials #13 Has the carrier retained all of the manufacturer's data report certificates and related papers as required?	Answer Yes or No	Not Applicable
Part 397 Acute	Hazardous Materials #14 Does the carrier ensure that drivers operating vehicles containing Division 1.1, 1.2, 1.3 (Explosive) materials are attended at all times?	Answer Yes or No	Not Applicable
Part 397 Critical	Hazardous Materials #15 Has the carrier's driver parked a vehicle containing Division 1.1, 1.2, 1.3 (Explosive) materials within 5 feet of the traveled portion of a highway or street?	Answer Yes or No	Not Applicable
Part 397 Critical	Hazardous Materials #16 Has the carrier's driver parked a vehicle containing other than Division 1.1, 1.2, 1.3 (Explosive) materials within 5 feet of the traveled portion of a highway or street?	Answer Yes or No	Not Applicable
Part 397 Critical	Hazardous Material #17 Has the carrier or its drivers permitted anyone to smoke within 25 feet of a vehicle containing the following materials: Class 1.2 (only Div 2.1) 3, 4, (only Div 4.1, 4.2) and 5?	Answer Yes or No	Not Applicable

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Part 397 Critical	Hazardous Material #18 Has the carrier furnished all drivers transporting Division 1.1, 1.2, 1.3 (Explosive) material a copy of the rules of Part 397 and/or emergency response instructions?	Answer Yes or No	Not Applicable
Part 397 Critical	Hazardous Materials #19 Does the carrier have a system to ensure all drivers transporting highway route controlled quantities of Class 7 (Radioactive) material or Division 1.1, 1.2, 1.3 (Explosive) material have a written route plan?	Answer Yes or No	Not Applicable
Other			
Part 375	Other #1 Does the carrier participate in an arbitration program?	Answer Yes or No	Not Applicable
13702	Other #2 Does the carrier assess shipper freight charges based upon published tariffs?	Answer Yes or No	Not Applicable
Part 375	Other #3 Does the carrier provide reasonably accurate estimates of moving charges?	Answer Yes or No	Not Applicable
Part 375	Other #4 Has the carrier avoided "hostage freight" or other predatory practices?	Answer Yes or No	Not Applicable
Part 387	Other #5 Does the HHG carrier have sufficient levels of public liability and cargo insurance?	Answer Yes or No	Not Applicable
13901	Other #6 Does the carrier have interstate authority?	Answer Yes or No	Not Applicable