

How was the Incident Identified:	Compliance Audit September 2017
Incident Description:	<ul style="list-style-type: none"> Carrier provided during a compliance review to state partner an altered and or required document i.e. Annual DOT Vehicle Inspection
APPROACH TO COMPLIANCE	
Corrective Action:	<p style="text-align: center;"><u>BASIC SPECIFIC REMEDIES:</u></p> <p style="text-align: center;">U & M Logistics LLC. will complete the following Corrective Action(s):</p> <p style="text-align: center;">Carrier has taken necessary steps to make improvements with regard to its management team as well as those responsible for the timely and accurate recordkeeping practices and management of such records</p>
Roles and Responsibilities:	Ratnager Singh will be ultimately responsible for the compliance in regard to CFR Parts 390 / 396. and William Knapp General Manager will be responsible for carrying out the procedures outlined in this CAP and the SMP. William Knapp General Manager will be directly responsible for ensuring that all required paperwork will maintained in accordance with the rules and regulations as well as ensure the authenticity of such records.
Actions taken by carrier to ensure violation(s) do not reoccur:	<p>U & M Logistics LLC. has taken the following steps as a Corrective Action to ensure that violations in this area do not re-occur.</p> <ol style="list-style-type: none"> Carrier has hired a new General Manager William Knapp to ensure direct oversight for all recordkeeping processes as well as all record procurement to ensure its authenticity and proper processing.

	<ol style="list-style-type: none"> 2. Carrier has ceased its business in using the repair shop that performed the Annual DOT Vehicle Inspection on the vehicle in question during the audit review. 3. Carrier will be using other commercial garages to provide all current and future Annual DOT Vehicle Inspection reports on vehicles it operates 4. Carrier has signed on with Ryder Truck Leasing set to begin in January 2018 for a Full-Service lease. All vehicle inspections can and will be verified by leasing company as well as carrier. 5. Carrier will ensure that all Annual DOT Vehicle Inspections reports will be able to be verifiable and proven to be accurate and ensure its authenticity. 6. Carrier owner has removed himself as the controlling person and has designated other individuals to manage and control proper recordkeeping. Carrier views this as a "Under new management" move for the company to better ensure the success of the carrier's safety program.
Approval of Approach:	Ratnager Singh / Owner of U & M Logistics LLC., has approved these corrective actions written herein and in the Safety Management Plan, Subpart B Violations Response report.
Notes	
Special Notes	
CONCLUSION AND NEXT STEPS	
	U & M Logistics LLC. has remedied the issues and violations discovered during the September 2017 compliance review and new programs and policies will abate any future violations.
Approvals and Certification of Compliance:	
Formal Review of Status:	NA

CORRECTIVE ACTION PLAN (CAP)
Part B Corrective Action

GENERAL INFORMATION					
Deficiency Stage:	<p align="center"><u>Controlled Substance and Alcohol BASIC Breakdown</u></p> <p>U & M Logistics LLC is not following the FMCSR's pertaining to the controlled substance and alcohol testing required for full and part time drivers. U & M Logistics LLC owner Ratnager Singh must learn the regulations and administer the program correctly or hire someone who understands the regulations to administer or assist with the program. U & M Logistics LLC did not have anyone trained for reasonable suspicion or supervisory testing requirements.</p>				
Incident Number:	Deficiency item # 5	Failure Number:	382.301(a)		
		CFR Ref #			
Failure Description:	<ul style="list-style-type: none"> Using a driver before the motor carrier has received a negative pre-employment controlled substance test result. 				
How and why violations were allowed to be committed:	<p>Carrier failed to provide adequate management and control procedures to ensure compliance with Parts 382</p> <p>Carrier failed to ensure that the drivers it employs have received a negative drug screen result prior to being dispatched.</p>				
Corrective Action Completed	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA	Re-Test Case Number, if applicable:	NA	Date of Incident Correction Re-Test:	NA

INCIDENT	
How was the Incident Identified:	Compliance Audit September 27, 2017
Incident Description:	<ul style="list-style-type: none"> ▪ Hector Muniz did not have negative Drug Screen Results prior to operating a CMV for Carrier
APPROACH TO COMPLIANCE	
Corrective Action:	<p>BASIC SPECIFIC REMEDIES:</p> <p style="text-align: center;">U & M Logistics LLC will do the following:</p> <p>Implement Safety Improvement Practices: U & M Logistics LLC will perform the following recommended practices related to Communication and Training.</p> <ul style="list-style-type: none"> • Carrier will ensure that it has in place a trained individual who will directly manage the carrier's drug and alcohol program and knows how to process driver qualifications and to receive a negative pre-employment drug screen prior to dispatching any drivers • Carrier will ensure that all drivers have received a negative drug screen result prior to being dispatched by carrier. • Safety Program Administrator will directly be responsible for clearing any driver for dispatch and will not do so until a negative drug screen for pre-employment has been received. • Convey expectations to all applicable staff for adhering to controlled substance and alcohol regulations and to company policies and procedures, and for executing responsibilities by providing new-hire and refresher training. • Establish communication channels such as newsletters and/or meetings

	<p>focused on resolving conflicts: for example, for drivers, between testing requirements and lifestyle decisions with regard to controlled substance and alcohol abuse or misuse.</p> <ul style="list-style-type: none">• Encourage disclosure of personal problems with controlled substances and alcohol within a safe environment by having an open-door policy with management or using an Employee Assistance Program (EAP). An EAP enables drivers to alert management of concerns about other personnel and to seek help for their own substance abuse and/or alcohol problems.• After selection of drivers for random testing, the program coordinator will send confidential correspondence to whoever is informing the selected drivers, noting the selection date, selected names, proper notification procedure, testing location, and when test results need to be completed.• Drivers will be reminded that refusal to take the test will be equivalent to a positive result.• Ensure that managers and supervisors regularly communicate and demonstrate their ongoing commitment to abiding by regulations and company policies regarding controlled-substance and alcohol use.• Communicate the carrier's Controlled Substances and Alcohol BASIC percentile to all staff and explain to them individually what they can do to help improve compliance.• Provide new-hire and refresher training, to all drivers, managers, other designated personnel, and the designated employer representative (DER), on controlled-substance and alcohol regulations and related company policies and procedures, including those pertaining to prohibited behavior; testing protocols and monitoring, for example: on grounds of "reasonable suspicion"; the consequences of a positive test result; referral to a Substance Abuse Professional (SAP); and confidentiality requirements in relation to recordkeeping.• Ensure that personnel in safety-sensitive positions receive required training
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	<p>on the importance of responsible lifestyle behaviors and personal choices regarding controlled-substance and alcohol use.</p> <ul style="list-style-type: none"> • Train all staff who are required to monitor and track controlled-substance and alcohol compliance on the appropriate company policies, including those related to discipline and incentives. • Ensure that drivers are trained on driver Out-of-Service (OOS) rules, their responsibility in adhering to them, and the carrier's procedures for reporting OOS violations and communicating appropriately with other personnel. • Reinforce training about controlled-substance and alcohol policies, procedures, and responsibilities to drivers, controlled-substance and alcohol-testing personnel, and other employees, using job aids, post-training testing, and/or refresher training. • Encourage informal feedback among all involved with the testing so that they can help each other to improve. • Provide hiring officials with guidance on how best to attract, screen, and qualify applicants who are most likely to adhere to controlled-substance and alcohol-use regulations and related company policies and procedures. • Specifically provide training for a designated employer representative in relation to required to the 60 minutes of Controlled Substance and Alcohol Abuse and 60 minutes of Reasonable Suspicion Training as required by 49 CFR Parts 382.603 <p>Seek Outside Resources: Carrier will seek Outside Safety Resources in order to improve compliance within areas of Parts 382 of the FMCR's .</p>
<p>Roles and Responsibilities:</p>	<p>Ratnager Singh will be ultimately responsible for the compliance U & M Logistics LLC in regard to CFR Parts 382. U & M Logistics LLC has retained the services of Safeline Consulting LLC to implement an Alcohol and Drug Policy format that will ensure compliance on by the company, company officials and supervisors, and its drivers. Although U & M Logistics LLC has retained the</p>

	<p>third party vendor Safeline Consulting LLC to enact, implement a written policy, and perform required training for supervisors and company drivers. Gurpartap Singh will complete the required Controlled Substance Training (Minimum 60 minutes) and the Reasonable Suspicion Training (minimum 60 minutes), in order to comply with CFR Part 382. Ratnager Singh designated Gurpartap Singh as the U & M Logistics LLC D.E.R. as stated in compliance with CFR Parts 382.107(4). This is to ensure higher level of oversight into compliance relating to Parts 382.</p> <p>U & M Logistics LLC will also use MedTox Laboratories as a Third Party Administrator providing all Alcohol and Drug Screens and maintaining all Federal Chain of Custody for the purpose of MIS reporting data, regardless of where any testing may be performed.</p> <p>U & M Logistics LLC will also use a Third Party if necessary for the use of a Substance Abuse Program for any employees found in violation of Parts 382.</p>
<p>Interim Activities (until compliance is reached):</p>	<p>U & M Logistics LLC has retained the services of third party compliance vendor Safeline Consulting LLC to implement the following:</p> <ol style="list-style-type: none"> 1. Carrier has hired a new Safety Manager to directly manage and control the carriers drug and alcohol program as well as manage and control the release of any new hired driver by means of receiving a negative drug screen result with driver qualification 2. All Drivers employed by carrier have received a negative drug screen result. 3. Prepare and draft a Safety Management Plan in response to listed Subpart B Violations and discoveries made during a September 2017 Compliance Audit. 4. Draft a Written Alcohol and Drug Policy in accordance with 49 CFR Parts 382. Attached with a Receipt for this policy by each individual driver. 5. Provide Training to all drivers', applicable dispatchers, supervisors, and Alcohol and Drug with regard to 49 CFR Parts 382. 6. Schedule Annual Drivers Safety Meetings which will cover areas of 49 CFR Parts 382. 7. Created Training Format for any New Hire and Existing Drivers of U & M Logistics LLC to cover 49 CFR Parts 382. Including Training and Orientation of what their responsibilities are identifying "Out of Service" violations, Post Accident Testing, Alcohol and Drug misuse.

	8. Gurpartap Singh has completed required training in accordance with Controlled Substance Training (Minimum 60 minutes) and the Reasonable Suspicion Training (minimum 60 minutes), in order to comply with 49 CFR Parts 382. Gurpartap Singh was designated as the U & M Logistics LLC D.E.R. as stated in compliance with 49 CFR Parts 382.107(4).
Approval of Approach:	Ratnager Singh / Owner of U & M Logistics LLC, has approved these corrective actions written herein and in the Safety Management Plan, Subpart B Violations Response report, and the newly created U & M Logistics LLC Motor Carrier Safety Policy Manual.
Notes	
Special Notes	
CONCLUSION AND NEXT STEPS	
	U & M Logistics LLC has remedied the issues and violations discovered during the September 2017 compliance and new programs and policies will abate any future violations.
Approvals and Certification of Compliance:	
Formal Review of Status:	NA

CORRECTIVE ACTION PLAN (CAP)
Part B Corrective Action

GENERAL INFORMATION					
Overview of Violation(s):	<p><u>Driver Fitness and Qualification</u></p> <p>U & M Logistics LLC. failed to maintain inquiries into driver's driving record in driver's qualification file. MVR or Driver Record.</p>				
Incident Number:	Deficiency item # 6	Failure Number:	391.51(b)(2)		
		CFR Ref #			
Failure Description:	<ul style="list-style-type: none"> Failed to procure drivers driving record report as reported from each driver licensed state. 				
Description of why violation was allowed to occur:	Carrier relied on MVR's pulled by insurance company in order to ensure that each driver hired by carrier possessed a valid license for the operation of the CMV and review of each driving record was left to the insurance company as well. Carrier failed in meeting their requirements to fulfill their obligation of compliance to 391.51(b)(2).				
Corrective Action Completed	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA	Re-Test Case Number, if applicable:	NA	Date of Incident Correction Re-Test:	NA
INCIDENT					
How was the Incident Identified:	Compliance Audit September 2017				

<p>Incident Description:</p>	<ul style="list-style-type: none"> Carrier did not and was not pulling MVR's on its driver upon hiring and therefore did not keep records of MVR's in driver's qualification files.
<p>APPROACH TO COMPLIANCE</p>	
<p>Corrective Action:</p>	<p style="text-align: center;"><u>BASIC SPECIFIC REMEDIES:</u></p> <p style="text-align: center;">U & M Logistics LLC. Has Completed the following Corrective Action(s):</p> <p>Implement Safety Improvement Practices: U & M Logistics LLC. has performed the following recommended practices related to proper Hiring and Qualification of its Drivers.</p> <ul style="list-style-type: none"> Carrier has opened their own account through an independent service provider which provides Driving Records for Employers. Carrier has since pulled an MVR (driving record) on each current and active driver. Carrier has implemented new policies of procuring driving records, which require the carrier to obtain upon hiring and once a year for annual review of drivers. Carrier will keep record of each drivers driving record for a period of 5 years (<i>exceeding recordkeeping requirements</i>) in a limited and controlled access, ready for inspection, and within the driver's qualification file. Carrier has sought outside safety resources to ensure understanding of the rules and regulations and how they apply to the carrier's operations.

<p>Roles and Responsibilities:</p>	<p>Ratnager Singh will be ultimately responsible for the compliance in regards to CFR Parts 391.51(b)(2). U & M Logistics LLC. has retained the services of Safeline Consulting INC to implement New Hiring Procedures and New Record Retention Procedures which require compliance on part of the carrier as prescribed in 49 CFR 391. Safety Program Administrator Gurpartap Singh will directly responsible for the processing of all Driver Qualification Records including the procurement of Driving records as required by parts 391.51(b)(2)</p>
<p>Actions taken by carrier to ensure violation(s) do not reoccur:</p>	<p>U & M Logistics LLC. has taken the following steps as a Corrective Action to ensure that violations in this area do not re-occur.</p> <ol style="list-style-type: none"> 1. Carrier has purchased a service through Compass Driving Records via Transunion (<i>Independent Vendor</i>), services which provide U & M Logistics LLC the ability to procure driving records on any active driver or driver applicant when so chosen by the carrier and required by the carriers newly established policies. 2. Carrier has implemented new policies for hiring procedures and for annual review process for its drivers driving record for the previous 12 months.
<p>Approval of Approach:</p>	<p>Gurvinder Singh / Owner of U & M Logistics LLC., has approved these corrective actions written herein and in the Safety Management Plan, Subpart B Violations Response report, and the newly created U & M Logistics LLC. Motor Carrier Safety Policy Manual.</p>
<p>Notes</p>	
<p>Special Notes</p>	<p>See attached supporting documents Items as found in the appendix</p>
	<p>Carrier has pulled MVR's on all active drivers. See appendix for supporting documentation.</p>

CONCLUSION AND NEXT STEPS	
	U & M Logistics LLC has remedied the issues and violations discovered during the September 2017 compliance review and new programs and policies will abate any future violations.
Approvals and Certification of Compliance:	Attached: Membership to Compass Driving Records via Transunion
Formal Review of Status:	NA

CORRECTIVE ACTION PLAN (CAP)
Part B Corrective Action

GENERAL INFORMATION					
Overview of Violation(s):	<p align="center"><u>Driver Fitness and Qualification</u></p> <p>U & M Logistics LLC. Driver Qualification File Failure – Medically Qualified Drivers</p>				
Incident Number:	Deficiency item # 7	Failure Number:	391.51(b)(7)		
		CFR Ref #			
Failure Description:	<ul style="list-style-type: none"> Failed to maintain medical examiners certificate in driver's qualification file. 				
Description of why violation was allowed to occur:	<ul style="list-style-type: none"> Carrier failed to maintain proper driver qualification files Carrier failed to provide driver qualification process to ensure compliance with Part 391. Carrier did not have proper management or control measures in place to ensure compliance with Part 391 Carrier did not ensure to its fullest capability that all drivers who operate CMV have on file a current Driver Physical Medical Certificate. 				
Corrective Action Completed	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA	Re-Test Case Number, if applicable:	NA	Date of Incident Correction Re-Test:	NA
INCIDENT					

How was the Incident Identified:	Compliance Audit September 2017
Incident Description:	<ul style="list-style-type: none"> Carrier did not provide a medical examiners certificate for Linda Evans in her driver qualification file.
APPROACH TO COMPLIANCE	
Corrective Action:	<p style="text-align: center;"><u>BASIC SPECIFIC REMEDIES:</u></p> <p style="text-align: center;">U & M Logistics LLC. Has Completed the following Corrective Action(s):</p> <p style="text-align: center;">Implement Safety Improvement Practices: U & M Logistics LLC. has performed the following recommended practices related to proper Hiring and Qualification of its Drivers.</p> <ul style="list-style-type: none"> Carrier has adopted new Driver Qualification process through its new established DOT Safety Policy Manual which meets and or exceeds the requirement of Part 391 Driver Qualifications. Carrier has employed new experienced individuals who will control and manage the driver qualification process and ensure that each driver has in its driver qualification file, copy of their current DOT Physical medical certificate. All DOT Physicals accepted by carrier will only be approved through medical practitioners who are registered through the FMCSA national Registry. Carrier will keep record of each drivers Medical Certificate for a period of 5 years (<i>exceeding recordkeeping requirements</i>) in a limited and controlled access, ready for inspection, and within the drivers qualification file.

	<ul style="list-style-type: none"> Carrier has sought outside safety resources to ensure understanding of the rules and regulations and how they apply to the carrier's operations.
Roles and Responsibilities:	Ratnager Singh will be ultimately responsible for the compliance in regard to CFR Parts 391.51(b)(7). U & M Logistics LLC. has retained the services of Safeline Consulting INC to implement New Hiring Procedures and New Record Retention Procedures which require compliance on part of the carrier as prescribed in 49 CFR 391.
Actions taken by carrier to ensure violation(s) do not reoccur:	<p>U & M Logistics LLC. has taken the following steps as a Corrective Action to ensure that violations in this area do not re-occur.</p> <ol style="list-style-type: none"> Carrier has created new hiring policies and procedures to ensure compliance in this section. Carrier has hired experienced individuals to implement and carry out the duties as prescribed within the carrier's DOT Safety Policy and in accordance with the rules and regulations in Part 391. Carrier has on record current driver DOT Physical Medical Certificates
Approval of Approach:	Gurvinder Singh / Owner of U & M Logistics LLC., has approved these corrective actions written herein and in the Safety Management Plan, Subpart B Violations Response report, and the newly created U & M Logistics LLC. Motor Carrier Safety Policy Manual.
Notes	
Special Notes	See attached supporting documents

CONCLUSION AND NEXT STEPS	
	U & M Logistics LLC has remedied the issues and violations discovered during the September 2017 compliance review and new programs and policies will abate any future violations.
Approvals and Certification of Compliance:	
Formal Review of Status:	NA

CORRECTIVE ACTION PLAN (CAP)
Part B Corrective Action

GENERAL INFORMATION

Overview of Violation(s):	<p><u>False Report of Record of Duty Status</u> U & M Logistics LLC Failure to require proper retention of drivers RODS.</p>				
Incident Number:	Deficiency item # 8 & 10	Failure Number: CFR Ref #	395.8(a)(2)(ii)		
Failure Description:	<ul style="list-style-type: none"> Carrier failed to require its driver to forward within 13 days of completion the original of the record of duty status as per Part 395.8 				
Description of why violation was allowed to occur:	<ul style="list-style-type: none"> Carrier did not ensure to collect original copies of RODS from all of its drivers as prescribed by the FMCSR and or did not take meaningful action against drivers who failed to return to carrier RODS within 13 days each completed RODS. Carrier Failed to provide adequate management control measures to ensure compliance with Part 395. Carrier failed with proper oversight and direct management with regard to the receiving and retention of all drivers RODS and to be collected within 13 days of completion. 				
Corrective Action Completed	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA	Re-Test Case Number, if applicable:	NA	Date of Incident Correction Re-Test:	NA
INCIDENT					
How was the Incident	Compliance Audit September 2017				

Identified:	
Incident Description:	<ul style="list-style-type: none"> • Rafael Zea Trip Date 7-5-2017 ROD is missing • Rafael Zea Trip Date 7-1-2017 Rod is missing
APPROACH TO COMPLIANCE	
Corrective Action:	<p style="text-align: center;"><u>BASIC SPECIFIC REMEDIES:</u></p> <p>U & M Logistics LLC. will complete the following Corrective Action(s):</p> <p>Implement Safety Improvement Practices that will have meaningful action and provide management control measures that prevent future violations in 49 CFR 395.</p> <ul style="list-style-type: none"> • Carrier has established a policy that requires that original copy of RODS be returned to carrier within 13 days of completion. • Carrier has purchased a new ELD system through Teletrac. This will provide immediate retention of all RODS by all drivers and thereby making this violation impossible to repeat in the future. • Any paper logs that are completed due to failure with ELD system will be required to be returned with 7 days of completion which exceeds the requirements of Part 395. • Carrier has hired new experienced designated individual who manage and oversee compliance in this section. • Carrier has created a new hiring process for new hires that require new applicants to undergo orientation training that includes Log Book Training. • Carrier has provided handout information and has communicated with all driver and dispatch staff.

	<ul style="list-style-type: none"> Carrier has created disciplinary action procedures to be followed by drivers, dispatchers, and managers who violate the rules and regulations in relation to Part 395. Some disciplinary actions that may be carried out could be remedial Hours of Service and Log Book Training for a driver, dispatcher, and or manager.
<p>Roles and Responsibilities:</p>	<p>Gurpartap Singh will be responsible for the compliance in regard to CFR Parts 395.8(e). Gurpartap Singh has received thorough hours of service and log book auditing training.</p> <p>U & M Logistics LLC. has retained the services of Safeline Consulting LLC to implement a Policy and Procedure manual titled "U & M Logistics LLC. DOT Safety Policy Manual" with a driver issued handbook. The Policies outlined within this handbook cover all areas relating to the procedural steps necessary to remain compliant to this rule.</p>
<p>Actions taken by carrier to ensure violation(s) do not reoccur:</p>	<p>U & M Logistics LLC. has taken the following steps as a Corrective Action to ensure that violations in this area do not re-occur.</p> <ol style="list-style-type: none"> Carrier has provided training to its drivers, and dispatchers in the applicable areas of 395 hours of service. Carrier has provided training to its manager responsible for Log Auditing to inspect missing RODS Carrier has created new policies which include meaningful actions to be taken against any personnel who violate the Hours of Service Rules and or Failure to return to carrier their RODS i.e. Logs. Carrier is working on a Driver incentive program to award those drivers who do not violate company rules and policies as well as the rules and regulations governed by the FMCSA. This proposed incentive program may include, but not limited to: Monetary awards, Company Jacket or other Company award material(s), Gift Cards to select shopping centers, and possibly larger awards for extra Paid Time Off from Work awards.
<p>Approval of Approach:</p>	<p>Ratnager Singh / Owner of U & M Logistics LLC., has approved these corrective actions written herein</p>

	and in the Safety Management Plan, Subpart B Violations Response report, and the newly created U & M Logistics LLC. Motor Carrier Safety Policy Manual.
Notes	
Special Notes	
CONCLUSION AND NEXT STEPS	
	U & M Logistics LLC. has remedied the issues and violations discovered during the September 2017 compliance review and new programs and policies will abate any future violations.
Approvals and Certification of Compliance:	
Formal Review of Status:	NA

CORRECTIVE ACTION PLAN (CAP)
Part B Corrective Action

GENERAL INFORMATION					
Deficiency Stage:	<p align="center"><u>Hours of Service / Record of Duty Status</u></p> <p>U & M Logistics LLC did not maintain or preserve all drivers' record of duty status for a period of at least 6 months.</p>				
Incident Number:	Deficiency item # 9	Failure Number:	395.8(k)(1)		
		CFR Ref #			
Failure Description:	<ul style="list-style-type: none"> #7. Failing to preserve driver's record of duty status for 6 months. 				
Requirement not met:	<p>Carrier did not ensure to collect original copies of RODS from all of its drivers as prescribed by the FMCSR and or did not take meaningful action against drivers who failed to return to carrier RODS within 13 days each completed RODS.</p>				
Corrective Action Completed	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA	Re-Test Case Number, if applicable:	NA	Date of Incident Correction Re-Test:	NA
INCIDENT					

How was the Incident Identified:	Compliance Audit September 2017
Incident Description:	<ul style="list-style-type: none"> Linda Evans – Carrier failed to provide requested supporting documents for the month of July 2017. On 07/17/2017 logged having a BOL # of 1548461/62
APPROACH TO COMPLIANCE	
Corrective Action:	<p>BASIC SPECIFIC REMEDIES:</p> <p style="text-align: center;">U & M Logistics LLC will do the following:</p> <p>Implement Safety Improvement Practices that focus on Training and communication with Drivers in relation to Drivers Hours of Service regulations, Driver Fatigue, Proper steps to complete the daily log book and understanding of how to accurately complete a drivers log book.</p> <p style="text-align: center;">The following are a list of items the carrier will follow to improve safety compliance in this factor:</p> <ul style="list-style-type: none"> Define and document roles and responsibilities of managers and supervisors for monitoring compliance with Hours-of-Service (HOS) policies. Ensure that managers are responsible for reviewing Records of Duty Status (RODS) for accuracy and for disciplining those who falsify their logs. Assign responsibility for making sure that all Records of Duty Status (RODS) are collected and stored for six months. Prior to accepting shipments , ensure that dispatchers are responsible for mapping out routes, asking drivers how many hours they have driven recently, and verifying that the route can be completed without breaking Hours-of-Service (HOS) regulations. Ensure that drivers are responsible for informing the carrier when they

are sick and not fatigued.

- Keeping accurate Records of Duty Status (RODS), and planning their route so that it can be completed efficiently within Hours-of-Service (HOS) rules.
- Define and document roles and responsibilities of drivers and dispatchers as they pertain to Hours-of-Service (HOS) policies and procedures.
- Instruct Drivers on the terms of Off Duty and On Duty time so as to understand and identify how to properly log and record accurate duty status.
- Instruct and communicate to Drivers and Supervisors the risk of violating parts 395 of the FMCSR's . Risk of Violation with penalty as well as safety risk attributed to fatigued driving leading to accident causation.
- Improve recordkeeping practices in relation to retention of drivers log books and their correlating supporting documents i.e. Bills of Ladings, Toll Receipts etc.
- Implement an effective process for monitoring, tracking, and evaluating all drivers' compliance with Hours-of-Service (HOS) regulations and company policies.
- Promptly review all Records of Duty Status {RODS} for Hours-of-Service (HOS) violations and falsification. Look for discrepancies by comparing driver logs with their "check-in" calls and other supporting documents.
- Document all findings of fatigue-related noncompliance with regulations and/or company policies.
- Systematically check to see if drivers and dispatchers are regularly communicating about Hours-of-Service (HOS) availability and driver-fatigue level.
- Maintain roadside inspection, Records of Duty Status (RODS), supporting documents, dispatch schedules, and communication records to help evaluate the performance of all staff (drivers, dispatchers, and managers) involved in Hours of Service {HOS} and the effectiveness of compliance with HOS policies, procedures,

	<p>and regulations.</p> <ul style="list-style-type: none"> • Regularly evaluate the company's fatigue-related inspection results via the Federal Motor Carrier Safety Administration's (FMCSA) website. Assess violations for process breakdowns and how to remedy them. • Implement a system for keeping accurate records of employees' Hours-of-Service (HOS) training needs and completed training, via software, a checklist in the driver's file, and/or another appropriate method. • Evaluate personnel log clerks, payroll, dispatchers, and third-party safety consultants) who are monitoring drivers' Records of Duty Status (RODS) for accuracy; for whether they are applying performance standards fairly, consistently, and equitably; and for whether they are documenting evaluations. • Deployment of Electronic On-board Recorders (EOBRs) to monitor and track Hours-of-Service (HOS) violations and ensure that RODS are retained by carrier as required by the FMCSR. • Will monitor and track any fatigue-related issues, always assess whether an issue is individual or represents a systemic breakdown in the Safety Management Processes {Policies and Procedures, Roles and Responsibilities, etc.}. <p>Seek Outside Resources: Carrier will seek Outside Safety Resources in order to improve compliance within areas of Parts 395 using Safety Consultants i.e. Safeline Consulting to perform Driver and supervisor training with relation to Parts 395 of FMCSR's.</p>
Roles and	Ratnager Singh will be ultimately responsible for the compliance U & M Logistics LLC in regards

<p>Responsibilities:</p>	<p>to CFR Parts 395. U & M Logistics LLC has retained the services of Safeline Consulting LLC to create and implement a DOT Safety Policy Manual format that will ensure compliance on by the company, company officials and supervisors, and its drivers. Although U & M Logistics LLC has retained the third party vendor Safeline Consulting LLC to enact, implement a written policy, and perform required recordkeeping practices and required training for supervisors and company drivers, oversight will be the responsibility of Ratnager Singh. Gurpartap Singh will be responsible for daily, weekly, and monthly log auditing as well as completing the recordkeeping task involved with RODS. Ratanager Singh and William Knapp will provide oversight as prescribed by the company's Safety Management Plan.</p>
<p>Interim Activities (until compliance is reached):</p>	<p>U & M Logistics LLC has retained the services of third party compliance vendor Safeline Consulting LLC to implement the following:</p> <ol style="list-style-type: none"> 1. Prepare and draft a Safety Management Plan in response to listed Subpart B Violations and discoveries made during a September 2017 Compliance Audit. 2. Draft a Written Safety Policy addressing rules and regulations pertaining to 49 CFR Parts 395. Attached with a Receipt for this policy by each individual driver. 3. Provide Training to all drivers', applicable dispatchers, supervisors, with regard to 49 CFR Parts 395. 4. Schedule Annual Drivers Safety Meetings which will cover areas of 49 CFR Parts 395. 5. Created Training Format for any New Hire and Existing Drivers of U & M Logistics LLC to cover 49 CFR Parts 395. Including Training and Orientation of Hours of Service and Record of Duty Status and what their responsibilities are individually. 6. Carrier has purchased ELD System through Teletrac in order better track and make record of all required RODS and their supporting documentation.

Approval of Approach:	Ratnager Singh / Owner of U & M Logistics LLC, has approved these corrective actions written herein and in the Safety Management Plan, Subpart B Violations Response report, and the newly created U & M Logistics LLC Motor Carrier Safety Policy Manual.
Notes	
Special Notes	
CONCLUSION AND NEXT STEPS	
	U & M Logistics LLC has remedied the issues and violations discovered during the September 2017 compliance review and new programs and policies will abate any future violations.
Approvals and Certification of Compliance:	
Formal Review of Status:	NA

CORRECTIVE ACTION PLAN (CAP)
Part B Corrective Action

GENERAL INFORMATION					
Overview of Violation(s):	<p align="center"><u>Post Accident Controlled Testing</u></p> <p>U & M Logistics LLC. was cited during the compliance review for not completing Post Alcohol Testing in accordance with the FMCSR per 49 CFR 382.303(a).</p>				
Incident Number:	Deficiency item # 11	Failure Number:	382.303(a)		
		CFR Ref #			
Failure Description:	<ul style="list-style-type: none"> Failing to require Post Alcohol Testing 49 CFR 382.303(a). 				
Description of why violation was allowed to occur:	<p>During the compliance review, the inspector cited carrier for violation in this area for not completing a Post Accident Alcohol Tests on its driver Ajaipal Dhillon.</p> <p>This violation was allowed to happen due to failures on part of management to implement a viable Drug and Alcohol program that put forth control measures to ensure compliance in this area.</p> <p>Carrier failed to have in place a comprehensive Drug and Alcohol program which spells out the proper procedures for testing under 49 CFR 382.303 (a)</p>				
Corrective Action Completed	<input type="checkbox"/> YES <input type="checkbox"/> NO <input checked="" type="checkbox"/> NA	Re-Test Case Number, if applicable:	NA	Date of Incident Correction Re-Test:	NA
INCIDENT					

<p>How was the Incident Identified:</p>	<p>Compliance Audit September 2017</p>
<p>Incident Description:</p>	<ul style="list-style-type: none"> • Ajaipal Dhillon was cited for failing to driver his CMV at a safe speed. • Citation was issued due to the cause of an accident which occurred on or about June 18, 2017. • In accordance with the rules prescribed in this section, carrier should have conducted a post accident Alcohol test.
<p>APPROACH TO COMPLIANCE</p>	
<p>Corrective Action:</p>	<p style="text-align: center;"><u>BASIC SPECIFIC REMEDIES:</u></p> <p style="text-align: center;">U & M Logistics LLC. will adhere to the Rules and Regulations of 49 CFR 382.303 (a):</p> <p style="text-align: center;">Carrier will continue to adhere to the rules and regulations as prescribed by 49 CFR 382.303(a) and will continue to provide management control measures that prevent any violations in this area.</p> <ul style="list-style-type: none"> • Carrier has updated its Accident Investigation and Tracking Policies which reflect proper steps to be taken in order to remain compliant in this section. Steps in this area outline the steps to determine whether or not Post Alcohol Testing should be administered and / or can be administered as a result of an accident. • Carrier will continue to provide training to its drivers in the areas of 382 of the FMCSR in order to

	<p>educate the driver force of the rule standards which require testing in accordance to 382.303(a).</p> <ul style="list-style-type: none"> • Carrier will continue to ensure that its safety team upholds the steps necessary to determine if Post Accident Testing will be required in the event an accident does occur, and carrier will continue to ensure that any Post Accident Alcohol testing be completed when required. • Carrier will continue to provide its driver's the tools necessary to complete a Post Accident Report at the scene and protocols when involved in accident • Carrier will also continue to provide training for all its drivers whether new hires or existing drivers in the areas of Accident Prevention and Causation measures in order to eliminate or reduce the number of accidents incurred by carrier and to promote safer public highways and a safer work environment for its drivers. • Carrier has issued a new DOT Safety Policy Manual and specifically a new Regulated Drug and Alcohol Testing Program within this DOT Safety Policy. This policy meets and or exceeds the requirements put forth by the FMCSR's. • Carrier has also created and issued Driver communication material including a Driver copy of the carrier's Drug and Alcohol program and requirements. • Carrier has hired a new Safety Manager who will have direct supervision over the carrier's Drug and Alcohol program and required testing. • U & M Logistics LLC. has retained the services of Safeline Consulting LLC to implement a Policy and Procedure manual titled "U & M Logistics LLC. DOT Safety Policy Manual" with a driver issued handbook. The Policies outlined within this handbook cover all areas relating to the procedural steps necessary to remain compliant to this rule.
<p>Roles and Responsibilities:</p>	<p>Gurpartap Singh will be responsible for the compliance in regard to CFR Parts 382.303(a). Gurpartap Singh has received thorough D.E.R. / Supervisor Drug and Alcohol training as well as reasonable suspicion training.</p>

<p>Actions taken by carrier to ensure violation(s) do not reoccur:</p>	<ol style="list-style-type: none"> 1. Carrier has provided training to its drivers and safety managers in the applicable areas of 382. Drug and Alcohol, by means of hands on training classes, informative handouts, and new policies in this area in order to enhance carries ability to remain compliant in this area. 2. Carrier has implemented new policy standards that meet or exceeds the requirement as prescribed by the FMCSR's and 3. Carrier has hired a new safety manager who has undergone proper training in this section to ensure that violations such as these do not happen again in the future if an even so arises. 4. Carrier has also retained the services of an outside safety consulting firm to provide guidance and assistance with regard to the requirements of 49 CFR 382.303(a)
<p>Approval of Approach:</p>	<p>Ratnager Singh / Owner of U & M Logistics LLC., has approved these corrective actions written herein and in the Safety Management Plan, Subpart B Violations Response report, and the newly created U & M Logistics LLC. Motor Carrier Safety Policy Manual.</p>
<p>Notes</p>	
<p>Special Notes</p>	<p>See Appendix for Supporting Documentation for this Correction Action.</p>
<p>CONCLUSION AND NEXT STEPS</p>	
	<p>U & M Logistics LLC. states that it has taken necessary steps to prevent future violations of 49 CFR 382.303(a) and other preventive measures since the compliance review to ensure that no violation in this area will occur in the future.</p>
<p>Approvals and Certification of Compliance:</p>	<p>All aspects of this rule have been addressed and corrected to abate any future violations. Certification for Gurpartap Singh; completion of the required Supervisor Training and Reasonable suspicion training as well as completion of an additional Drug and Alcohol Supervisor training for DER has been completed for Gurpartap Singh</p>
<p>Formal Review of Status:</p>	<p>NA</p>

CORRECTIVE ACTION PLAN (CAP)
Part B Corrective Action

GENERAL INFORMATION					
Overview of Violation(s):	<p><u>Post Accident Controlled Testing</u></p> <p>U & M Logistics LLC. was cited during the compliance review for not completing Post Controlled Substance Testing in accordance with the FMCSR per 49 CFR 382.303(b).</p>				
Incident Number:	Deficiency item # 12	Failure Number:	382.303(b)		
		CFR Ref #			
Failure Description:	<ul style="list-style-type: none"> Failing to require Post Controlled Substance Testing 49 CFR 382.303(b). 				
Description of why violation was allowed to occur:	<p>During the compliance review, the inspector cited carrier for violation in this area for not completing a Post Accident Controlled Substance Tests on its driver Ajaipal Dhillon.</p> <p>This violation was allowed to happen due to failures on part of management to implement a viable Drug and Alcohol program that put forth control measures to ensure compliance in this area.</p> <p>Carrier failed to have in place a comprehensive Drug and Alcohol program which spells out the proper procedures for testing under 49 CFR 382.303 (b)</p>				
Corrective Action Completed	<input type="checkbox"/> YES <input type="checkbox"/> NO <input checked="" type="checkbox"/> NA	Re-Test Case Number, if applicable:	NA	Date of Incident Correction Re-Test:	NA

INCIDENT	
How was the Incident Identified:	Compliance Audit September 2017
Incident Description:	<ul style="list-style-type: none"> • Ajaipal Dhillon was cited for failing to driver his CMV at a safe speed. • Citation was issued due to the cause of an accident which occurred on or about June 18, 2017. • In accordance with the rules prescribed in this section, carrier should have conducted a post accident controlled substance test.
APPROACH TO COMPLIANCE	
Corrective Action:	<p style="text-align: center;"><u>BASIC SPECIFIC REMEDIES:</u></p> <p style="text-align: center;">U & M Logistics LLC. will adhere to the Rules and Regulations of 49 CFR 382.303 (b):</p> <p style="text-align: center;">Carrier will continue to adhere to the rules and regulations as prescribed by 49 CFR 382.303(b) and will continue to provide management control measures that prevent any violations in this area.</p> <ul style="list-style-type: none"> • Carrier has updated its Accident Investigation and Tracking Policies which reflect proper steps to be taken in order to remain compliant in this section. Steps in this area outline the steps to determine whether or not Post Controlled Substance Testing should be administered and / or can be administered as a result of an accident.

	<ul style="list-style-type: none"> • Carrier will continue to provide training to its drivers in the areas of 382 of the FMCSR in order to educate the driver force of the rule standards which require testing in accordance to 382.303(b). • Carrier will continue to ensure that its safety team upholds the steps necessary to determine if Post Accident Testing will be required in the event an accident does occur, and carrier will continue to ensure that any Post Accident Controlled Substance testing be completed when required. • Carrier will continue to provide its driver's the tools necessary to complete a Post Accident Report at the scene and protocols when involved in accident • Carrier will also continue to provide training for all its drivers whether new hires or existing drivers in the areas of Accident Prevention and Causation measures in order to eliminate or reduce the number of accidents incurred by carrier and to promote safer public highways and a safer work environment for its drivers. • Carrier has issued a new DOT Safety Policy Manual and specifically a new Regulated Drug and Alcohol Testing Program within this DOT Safety Policy. This policy meets and or exceeds the requirements put forth by the FMCSR's. • Carrier has also created and issued Driver communication material including a Driver copy of the carrier's Drug and Alcohol program and requirements. • Carrier has hired a new Safety Manager who will have direct supervision over the carrier's Drug and Alcohol program and required testing. • U & M Logistics LLC. has retained the services of Safeline Consulting LLC to implement a Policy and Procedure manual titled "U & M Logistics LLC. DOT Safety Policy Manual" with a driver issued handbook. The Policies outlined within this handbook cover all areas relating to the procedural steps necessary to remain compliant to this rule.
<p>Roles and Responsibilities:</p>	<p>Gurpartap Singh will be responsible for the compliance in regard to CFR Parts 382.303(b). Gurpartap Singh has received thorough D.E.R. / Supervisor Drug and Alcohol training as well as reasonable suspicion training.</p>

Actions taken by carrier to ensure violation(s) do not reoccur:	<ol style="list-style-type: none"> 1. Carrier has provided training to its drivers and safety managers in the applicable areas of 382. Drug and Alcohol, by means of hands on training classes, informative handouts, and new policies in this area in order to enhance carries ability to remain compliant in this area. 2. Carrier has implemented new policy standards that meet or exceeds the requirement as prescribed by the FMCSR's and 3. Carrier has hired a new safety manager who has undergone proper training in this section to ensure that violations such as these do not happen again in the future if an even so arises. 4. Carrier has also retained the services of an outside safety consulting firm to provide guidance and assistance with regard to the requirements of 49 CFR 382.303(b)
Approval of Approach:	Ratnager Singh / Owner of U & M Logistics LLC., has approved these corrective actions written herein and in the Safety Management Plan, Subpart B Violations Response report, and the newly created U & M Logistics LLC. Motor Carrier Safety Policy Manual.
Notes	
Special Notes	See Appendix for Supporting Documentation for this Correction Action.
CONCLUSION AND NEXT STEPS	
	U & M Logistics LLC. states that it has taken necessary steps to prevent future violations of 49 CFR 382.303(b) and other preventive measures since the compliance review to ensure that no violation in this area will occur in the future.
Approvals and Certification of Compliance:	All aspects of this rule have been addressed and corrected to abate any future violations. Certification for Gurpartap Singh; completion of the required Supervisor Training and Reasonable suspicion training as well as completion of an additional Drug and Alcohol Supervisor training for DER has been completed for Gurpartap Singh
Formal Review of Status:	NA

CORRECTIVE ACTION PLAN (CAP)
 Part B Corrective Action

GENERAL INFORMATION

Overview of Violation(s):	<p align="center"><u>Controlled Substance and Alcohol BASIC Breakdown</u></p> <p>U & M Logistics LLC. has failed to implement the proper Random Drug and Alcohol testing program for its drivers.</p>		
Incident Number:	Deficiency item # 13	Failure Number:	382.305(i)(2)
Failure Description:	<ul style="list-style-type: none"> Failing to ensure that each driver subject to random alcohol and controlled substance testing has an equal chance of being selected each time selections are made. 		
Description of why violation was allowed to occur:	<p>U & M Logistics LLC was cited for a violation for removing a driver from the Random Pool list in order to conceal a driver existence as an active driver for the company.</p> <p>Carrier states that it had not listed the driver on the Random pool list because the driver never actively ran for the carrier.</p> <p>However, carrier also identifies failures on its part for mismanagement of its regulated drug and alcohol program and therefore results in issues and violations of 49 CFR 382.305(i)(2)</p>		

Corrective Action Completed	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA	Re-Test Case Number, if applicable:	NA	Date of Incident Correction Re-Test:	NA
INCIDENT					
How was the Incident Identified:	Compliance Audit September 2017				
Incident Description:	<ul style="list-style-type: none"> Carrier failed to implement a viable Random Drug and Alcohol program in accordance with 49 CFR 382.305(i)(2) in order to provide adequate management and control measures to ensure compliance in this section. Driver applicant James Pidgeon was not added to the active driver list and the active random list. Driver was not an active driver for carrier. However, carrier identifies its failure to implement a regulated drug and alcohol program to ensure compliance in this section. 				
APPROACH TO COMPLIANCE					
Corrective Action:	<p style="text-align: center;"><u>BASIC SPECIFIC REMEDIES:</u></p> <p style="text-align: center;">U & M Logistics LLC. Has Completed the following Corrective Action(s):</p> <p>Implement Safety Improvement Practices: U & M Logistics LLC. has performed the following recommended practices related to proper Random Controlled Substance and Alcohol Testing of its Drivers.</p> <ul style="list-style-type: none"> Carrier has in place a Random Controlled Substance and Alcohol Testing Program in 				