

	<p>accordance with 49 CFR 382.305.</p> <ul style="list-style-type: none"> <li>• Carrier has sought outside safety resources to ensure understanding of the rules and regulations and how they apply to the carrier's operations.</li> <li>• Carrier has sought outside Safety resources to assist with the management and practice of its Random Controlled Substance and Alcohol Testing Program.</li> <li>• Carrier will continue to ensure that no gaps and or cancellation of a Random testing program will occur.</li> <li>• Carrier will ensure that all required test are completed in accordance with 49 CFR Parts 382.</li> <li>• Carrier has and will continue to ensure that the 3<sup>rd</sup> Party Administrator of its Random Alcohol and Controlled Substance program receive a current and accurate driver selection list in.</li> <li>• Carrier will monitor the selection list from the 3<sup>rd</sup> Party Administrator's office to ensure that submitted drivers to the selection list are current and accurate.</li> <li>• Carrier will ensure that the 3<sup>rd</sup> Party consortium Administrator will provide biannual summary reports in accordance with 40.111.</li> <li>• Carrier has implemented new drug and alcohol policies and procedures to be followed when active drivers are hired and when listed as active drivers for carrier.</li> <li>• Carrier has also hired a new safety manager that will be managing the carriers drug and alcohol program to ensure compliance</li> </ul>
<p><b>Roles and Responsibilities:</b></p>	<p>Ratnager Singh will be ultimately responsible for the compliance in regard to CFR Parts 382.305. U &amp; M Logistics LLC. has retained the services of Safeline Consulting LLC to implement an Alcohol and Drug Policy format that will ensure compliance by the company, company officials and supervisors, and its drivers.</p> <p>Gurpartap Singh will serve as company D.E.R. as part of his daily Safety Program</p>

	<p>Administrators roles and responsibilities. Gurpartap Singh will be responsible to receive the training in part 382 to ensure compliance.</p> <p>U &amp; M Logistics LLC. will also use MedTox Laboratories Inc as a Consortium Third Party Administrator providing all Random Alcohol Tests and Drug Screens as well as the selection process for such test.</p> <p>Carrier will ensure to maintain and receive all Federal Chain of Custody forms for test performed and all results forms.</p>
<p><b>Actions taken by carrier to ensure violation(s) do not reoccur:</b></p>	<p>U &amp; 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"> <li>1. Carrier has in place a Random Controlled Substance and Alcohol Testing program in accordance with 49 CFR 382.305</li> <li>2. Carrier will undergo training in all areas of 49 CFR 382.305 to establish better understanding of the rules and regulations and carrier's responsibilities.</li> <li>3. Carrier will utilize outside safety resources to assist with the management of its Random Testing program to ensure that:             <ul style="list-style-type: none"> <li>• Program established will remain in effect at all times</li> <li>• All Random Testing is administered and completed</li> <li>• Ensure that its active drivers that are subject to random drug and alcohol testing is current and accurate</li> <li>• Carrier will ensure that each driver to be tested for any regulated controlled substance or alcohol test only report to the approved location to ensure that they added to the random selection list upon hiring.</li> <li>• Carrier will monitor that the 3<sup>rd</sup> Party Administrator has made its selection list of driver's subject to testing requirements matches what the carrier has on file as its current driver list.</li> <li>• Maintain records of Random program and completed testing throughout each year.</li> </ul> </li> </ol>

<b>Approval of Approach:</b>	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.
<b>Notes</b>	
<b>Special Notes</b>	Please see attached U & M Logistics LLC Safety policy manual under section for Drug and Alcohol
<b>CONCLUSION AND NEXT STEPS</b>	
<b>Approvals and Certification of Compliance:</b>	Attached Certificate of instruction for managing carrier drug and alcohol program Appendix
<b>Formal Review of Status:</b>	NA

**CORRECTIVE ACTION PLAN (CAP)**  
Part B Corrective Action

**GENERAL INFORMATION**

<b>Deficiency Stage:</b>	<p><b><u>Controlled Substance and Alcohol BASIC Breakdown</u></b> U &amp; M Logistics LLC Failing to provide adequate written policies in order to establish structure and proper control measures for its Drug and Alcohol program.</p>				
<b>Incident Number:</b>	Deficiency item # 14	<b>Failure Number:</b>	382.601(b)		
<b>Failure Description:</b>	<ul style="list-style-type: none"> <li>Failing to provide written policies explaining requirements of part 382 and employer's drug and alcohol program policies</li> </ul>				
<b>Why and how was violation permitted to happen:</b>	<ul style="list-style-type: none"> <li>Carrier failed to provide its staff and drivers written policies with regard to the requirements and responsibilities ensuring compliance with CFR Parts 382</li> </ul>				
<b>Corrective Action Completed</b>	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA	<b>Re-Test Case Number, if applicable:</b>	NA	<b>Date of Incident Correction Re-Test:</b>	NA
<b>INCIDENT</b>					
<b>How was the Incident Identified:</b>	Compliance Audit September 27, 2017				

<b>Incident Description:</b>	<ul style="list-style-type: none"> <li>Abdull Smith 07/10/2017 U &amp; M Logistics LLC did not provide any written policy or educational materials or any drug and alcohol program policies to any of their drivers.</li> </ul>
<b>APPROACH TO COMPLIANCE</b>	
<b>Corrective Action:</b>	<p style="text-align: center;"><b>BASIC SPECIFIC REMEDIES:</b></p> <p style="text-align: center;"><b>U &amp; M Logistics LLC will do the following:</b></p> <p>Implement Safety Improvement Practices: U &amp; M Logistics LLC will perform the following recommended practices related to Communication and Training .</p> <ul style="list-style-type: none"> <li>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.</li> <li>Establish communication channels such as newsletters and/or meetings focused on resolving conflicts: for example, for drivers, between testing requirements and lifestyle decisions with regard to controlled substance and alcohol abuse or misuse.</li> <li>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.</li> <li>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.</li> <li>Drivers will be reminded that refusal to take the test will be equivalent to a</li> </ul>

	<p>positive result.</p> <ul style="list-style-type: none"><li>• 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.</li><li>• 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.</li><li>• 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.</li><li>• Ensure that personnel in safety-sensitive positions receive required training on the importance of responsible lifestyle behaviors and personal choices regarding controlled-substance and alcohol use.</li><li>• 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.</li><li>• 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.</li><li>• 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.</li><li>• Encourage informal feedback among all involved with the testing so that they</li></ul>
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	<p>can help each other to improve.</p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• 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</li> </ul> <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><b>Roles and Responsibilities:</b></p>	<p>Ratnager Singh will be ultimately responsible for the compliance U &amp; M Logistics LLC in regard to CFR Parts 382. U &amp; 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 &amp; M Logistics LLC has retained the 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 &amp; 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 &amp; 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 &amp; 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><b>Interim Activities (until compliance is reached):</b></p>	<p>U &amp; 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"> <li>1. Prepare and draft a Safety Management Plan in response to listed Subpart B Violations and discoveries made during a September 2017 Compliance Audit.</li> <li>2. 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.</li> <li>3. Provide Training to all drivers', applicable dispatchers, supervisors, and Alcohol and Drug with regard to 49 CFR Parts 382.</li> <li>4. Schedule Annual Drivers Safety Meetings which will cover areas of 49 CFR Parts 382.</li> <li>5. Created Training Format for any New Hire and Existing Drivers of U &amp; 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.</li> <li>6. 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 &amp; M Logistics LLC D.E.R. as stated in compliance with 49 CFR Parts 382.107(4).</li> </ol>
<p><b>Approval of Approach:</b></p>	<p>Ratnager Singh / Owner of U &amp; 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 &amp; M Logistics LLC Motor Carrier Safety Policy Manual.</p>
<p><b>Notes</b></p>	
<p><b>Special Notes</b></p>	

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.
<b>Approvals and Certification of Compliance:</b>	
<b>Formal Review of Status:</b>	NA

**CORRECTIVE ACTION PLAN (CAP)**  
Part B Corrective Action

**GENERAL INFORMATION**

<b>Deficiency Stage:</b>	<p><b><u>Controlled Substance and Alcohol BASIC Breakdown</u></b> U &amp; M Logistics LLC failed to provide a Designated Employer Representative or individual who has received the required training as prescribed in Part 382.</p>				
<b>Incident Number:</b>	Deficiency item # 15	<b>Failure Number:</b>	382.603		
<b>Failure Description:</b>	<ul style="list-style-type: none"> <li>Failing to ensure person designated to determine that drivers undergo reasonable suspicion testing receive 60 minutes training for alcohol and/or 60 minutes of training for controlled substances</li> </ul>				
<b>How and Why carrier committed violation discovered:</b>	<ul style="list-style-type: none"> <li>Carrier failed to provide an individual with the required training as prescribed in this section for supervisor training in drug and alcohol and with reasonable suspicion</li> <li>Carrier did not ensure that an individual maintained management and control with regard to its drug and alcohol program and take responsibility for this role along with the required training</li> </ul>				
<b>Corrective Action Completed</b>	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA	<b>Re-Test Case Number, if applicable:</b>	NA	<b>Date of Incident Correction Re-Test:</b>	NA
<b>INCIDENT</b>					

<b>How was the Incident Identified:</b>	Compliance Audit September 27, 2017
<b>Incident Description:</b>	<ul style="list-style-type: none"> <li>Carrier could not provide documentation on who completed the required supervisory training in Drug and Alcohol / Reasonable suspicion training.</li> </ul>
<b>APPROACH TO COMPLIANCE</b>	
<b>Corrective Action:</b>	<p><b>BASIC SPECIFIC REMEDIES:</b></p> <p style="text-align: center;"><b>U &amp; M Logistics LLC will do the following:</b></p> <p>Implement Safety Improvement Practices: U &amp; M Logistics LLC will perform the following recommended practices related to Communication and Training .</p> <ul style="list-style-type: none"> <li>Carrier has hired a new safety manager who will manage the carrier's drug and alcohol program and enforce the policies established in the new DOT Safety Policy Manual.</li> <li>Carrier will provide means to provide the required Reasonable Suspicion and Drug and Alcohol Supervisory training course.</li> <li>Carrier will ensure that it have in place at all times a designated person who has completed the required training course.</li> <li>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</li> </ul> <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><b>Roles and Responsibilities:</b></p>	<p>Ratnager Singh will be ultimately responsible for the compliance U &amp; M Logistics LLC in regard to CFR Parts 382. U &amp; 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 &amp; M Logistics LLC has retained the 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 &amp; 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 &amp; 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 &amp; 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><b>Interim Activities (until compliance is reached):</b></p>	<p>U &amp; 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"> <li>1. Prepare and draft a Safety Management Plan in response to listed Subpart B Violations and discoveries made during a September 2017 Compliance Audit.</li> <li>2. 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.</li> <li>3. Provide Training to all drivers', applicable dispatchers, supervisors, and Alcohol and Drug with regard to 49 CFR Parts 382.</li> <li>4. Schedule Annual Drivers Safety Meetings which will cover areas of 49 CFR Parts 382.</li> <li>5. Created Training Format for any New Hire and Existing Drivers of U &amp; 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.</li> </ol>

	6. 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).
<b>Approval of Approach:</b>	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.
<b>Notes</b>	
<b>Special Notes</b>	
<b>CONCLUSION AND NEXT STEPS</b>	
	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.
<b>Approvals and Certification of Compliance:</b>	
<b>Formal Review of Status:</b>	NA

**CORRECTIVE ACTION PLAN (CAP)**  
Part B Corrective Action

**GENERAL INFORMATION**

<b>Deficiency Stage:</b>	<u><b>Recordable Accident Register</b></u>				
U & M Logistics LLC. did not maintain an accident register in the form and manner prescribed by 49 CFR Parts 390.15(b)(1)					
<b>Incident Number:</b>	Deficiency item # 16	<b>Failure Number:</b>	390.15(b)(1)		
		<b>CFR Ref #</b>			
<b>Failure Description:</b>	<ul style="list-style-type: none"> <li>Failing to keep an accident register in the form and manner prescribed</li> </ul>				
<b>Requirement not met:</b>	Carrier found not in compliance with CFR Parts 390 – No Accident register maintained as required in the proper form and manner				
<b>Corrective Action Completed</b>	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA	<b>Re-Test Case Number, if applicable:</b>	NA	<b>Date of Incident Correction Re-Test:</b>	NA
<b>INCIDENT</b>					
<b>How was the Incident Identified:</b>	Compliance Audit September 2017				

<b>Incident Description:</b>	<ul style="list-style-type: none"> <li>On 6-18-17 Ajaipal Dhillon – Carrier failed to list crash on carriers Accident Register.</li> </ul>
<b>APPROACH TO COMPLIANCE</b>	
<b>Corrective Action:</b>	<p><b>BASIC SPECIFIC REMEDIES:</b></p> <p style="text-align: center;"><b>U &amp; M Logistics LLC. will do the following:</b></p> <p>Implement Safety Improvement Practices related to Communication and Training, Improved Recordkeeping Practices, and Record Creation in accordance with the rules and regulations of the FMCSR's.</p> <ul style="list-style-type: none"> <li>Carrier will maintain an accident register for each accident and will maintain the accident register on file for a period of no less than three years from the date of the accident.</li> <li>Carrier will maintain an Accident Register in the proper form and manner as prescribed by the rules and regulations in accordance with the FMCSR's/</li> </ul>
<b>Roles and Responsibilities:</b>	<p>Ratnager Singh will be ultimately responsible for the compliance U &amp; M Logistics LLC. in regards to CFR Parts 390. William Knapp and Gurpartap Singh will be Directly responsible for ensuring that an accident register is maintained on file for each recordable accident for no less than three years after the date of each accident incurred and that each accident will be recorded in the proper forma and manner prescribed in accordance with 49 CFR 390.15(b)(1). Gurpartap Singh and William Knapp will be responsible for processing the accident registers and make ready for review for Ratnager Singh.</p>

<b>Interim Activities (until compliance is reached):</b>	U & M Logistics LLC. has retained the services of third party compliance vendor Safeline Consulting LLC to implement the following: 1. Carrier has prepared accident registers for years 2015, 2016, 2017.
<b>Approval of Approach:</b>	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.
<b>Notes</b>	
<b>Special Notes</b>	
<b>CONCLUSION AND NEXT STEPS</b>	
	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.
<b>Approvals and Certification of Compliance:</b>	

<b>Formal Review of Status:</b>	NA
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**CORRECTIVE ACTION PLAN (CAP)**  
 Part B Corrective Action

**GENERAL INFORMATION**

<p><b>Overview of Violation(s):</b></p>	<p style="text-align: center;"><u><b>Unsafe Driving BASIC Category</b></u></p> <p>U &amp; M Logistics LLC. demonstrated that it does not have a system and or program that ensures that responsible personnel are monitoring and addressing violations that are committed during roadside inspections and or maintaining proper and required permitting applications.</p>		
<p><b>Incident Number:</b></p>	<p>Deficiency item # 17</p>	<p><b>Failure Number:</b></p>	<p>392.2</p>
<p><b>Failure Description:</b></p>	<p><b>CFR Ref #</b></p> <ul style="list-style-type: none"> <li>• Operating a motor vehicle not in accordance with the laws, ordinances, and regulations of the jurisdiction in which it is being operated.</li> <li>• Carrier's IFTA required filings had not been completed and therefore their IFTA account had been suspended.</li> </ul>		
<p><b>Description of why violation was allowed to occur:</b></p>	<p>Carrier was late in filing their required quarterly IFTA filings in accordance with the rules and regulations as prescribed by 49 CFR 392.2 and by its state partners.</p>		

<b>Corrective Action Completed</b>	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA	<b>Re-Test Case Number, if applicable:</b>	NA	<b>Date of Incident Correction Re-Test:</b>	NA
<b>INCIDENT</b>					
<b>How was the Incident Identified:</b>	Compliance Audit September 2017				
<b>Incident Description:</b>	<ul style="list-style-type: none"> <li>• Carrier failed to file its IFTA filings as required and therefore their account was suspended.</li> <li>• Carrier IFTA has been revoked since 06/22/2017 for failing tax return information with the state.</li> <li>• After being notified by state partner, carrier continued to operate vehicles on public highways.</li> <li>• Carrier was unaware that there was a suspension with regard to their IFTA account and was not aware that their accounting team had failed to submit the proper filings.</li> </ul>				
<b>APPROACH TO COMPLIANCE</b>					
<b>Corrective Action:</b>	<p style="text-align: center;"><b><u>BASIC SPECIFIC REMEDIES:</u></b></p> <p>U &amp; M Logistics LLC. will complete the following Corrective Action(s):</p> <p>Carrier has taken necessary steps to make improvements with regard to its management team as well as those responsible for the timely and accurate filings of its required IFTA filings each quarter.</p>				

<b>Roles and Responsibilities:</b>	Ratnager Singh will be ultimately responsible for the compliance in regard to CFR Parts 392.2. 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 IFTA filings have been made in a timely manner and that all permitting is current and up to date for the operation of U & M Logistics LLC
<b>Actions taken by carrier to ensure violation(s) do not reoccur:</b>	<p>U &amp; 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"> <li>1. Carrier has hired a new General Manager William Knapp to ensure direct oversight for all permitting compliance as well as required filings.</li> <li>2. Carrier has made changes with regard to its accounting team that would be responsible for making the required filings.</li> <li>3. Carrier has made all applicable filings and IFTA account is now active.</li> </ol>
<b>Approval of Approach:</b>	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.
<b>Notes</b>	
<b>Special Notes</b>	

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.
<b>Approvals and Certification of Compliance:</b>	
<b>Formal Review of Status:</b>	NA

**CORRECTIVE ACTION PLAN (CAP)**  
 Part B Corrective Action

**GENERAL INFORMATION**

<p><b>Overview of Violation(s):</b></p>	<p align="center"><b><u>Hours of Service 14<sup>th</sup> Hour Rule</u></b></p> <p>U &amp; M Logistics LLC. has drivers who have violated the 14<sup>th</sup> hours of service rule, whereas carrier failed to provide adequate training and or control measures to its drivers to prevent these type violations to occur.</p>		
<p><b>Incident Number:</b></p>	<p>Deficiency item # 18 / 19</p>	<p><b>Failure Number:</b></p>	<p>395.3(a)(2)</p>
<p><b>Failure Description:</b></p>	<p><b>CFR Ref #</b></p> <ul style="list-style-type: none"> <li>Requiring or permitting a property carrying commercial motor vehicle driver to drive after the end of the 14<sup>th</sup> hour of coming on duty.</li> </ul>		
<p><b>Description of why violation was allowed to occur:</b></p>	<p>Carrier did not have in place a viable log auditing program to check drivers daily log books for hours of service violations such as the 14<sup>th</sup> hour rule.</p> <p>Carrier did not provide adequate training to its drivers, dispatchers, and managers in the hours of service rules.</p> <p>Carrier did not communicate with its drivers by means of policies or procedures carrier rules that prohibited hours of service violations.</p> <p>Carrier did not provide meaningful action against drivers who violate the hours of service rules.</p>		

<b>Corrective Action Completed</b>	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA	<b>Re-Test Case Number, if applicable:</b>	NA	<b>Date of Incident Correction Re-Test:</b>	NA
<b>INCIDENT</b>					
<b>How was the Incident Identified:</b>	Compliance Audit September 2017				
<b>Incident Description:</b>	<ul style="list-style-type: none"> <li>• During the focused compliance review, carrier was discovered to have 1 / 124, 14-hour rule violations.</li> <li>• Linda Evans Drove in violation from 20:45-21:15 on trip date 7/13/2017 beyond the 14<sup>th</sup> hour.</li> </ul>				
<b>APPROACH TO COMPLIANCE</b>					
<b>Corrective Action:</b>	<p style="text-align: center;"><b><u>BASIC SPECIFIC REMEDIES:</u></b></p> <p>U &amp; 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 hours of service rule violations.</p> <ul style="list-style-type: none"> <li>• Carrier has established a policy that prohibits dispatchers from assigning a load to drivers without hours available to complete the load on time.</li> <li>• Carrier has created policies stating that drivers may not violate the Hours-of-Service rules or else</li> </ul>				

	<p>otherwise face disciplinary action including but not limited to termination of employment.</p> <ul style="list-style-type: none"> <li>• Carrier is working on new control measures by means of new technologies that will require drivers to report their available hours to dispatch at all times.</li> <li>• Carrier has provided Hours of Service Training to its drivers that involved extensive classroom training and testing.</li> <li>• Carrier has created a new hiring process for new hires that require new applicants to undergo orientation training that includes Hours of Service training.</li> <li>• Carrier has provided handout information and has communicated with all driver and dispatch staff that violations of Hours of Service will not be tolerated by carrier.</li> <li>• Carrier has provided training to its Safety Program Administrator in Log Book Auditing and understanding of the hours of Service rules and regulations.</li> <li>• Carrier is pursuing new avenues of advanced technologies to eliminate any future violations of the hours of service rules by installing Electronic Logging Systems in all its trucks over the next month. New Electronic Logging Systems will require more driver training and cost of installation.</li> <li>• Carrier has created disciplinary action procedures to be followed by drivers, dispatchers, and managers who violate the hours of service rules. 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.</li> </ul>
<p><b>Roles and Responsibilities:</b></p>	<p>Gurpartap Singh will be responsible for the compliance in regard to CFR Parts 395.3(a)(2). Gurpartap Singh has received thorough hours of service and log book auditing training.</p> <p>U &amp; M Logistics LLC. has retained the services of Safeline Consulting LLC to implement a Policy and Procedure manual titled "U &amp; 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><b>Actions taken by carrier to ensure violation(s) do not reoccur:</b></p>	<p>U &amp; 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"> <li>1. Carrier has provided training to its drivers, and dispatchers in the applicable areas of 395 hours of service.</li> <li>2. Carrier has provided training to its manager responsible for Log Auditing to inspect each driver log for violations of the 14<sup>th</sup> hour rule.</li> <li>3. Carrier has created new policies which outline the prohibition of violating the 14<sup>th</sup> hour rule.</li> <li>4. Carrier has created new policies which include meaningful actions to be taken against any personnel who violate the Hours of Service Rules.</li> <li>5. Carrier has established a new hire orientation program that provides training to all new hires to ensure understanding of the hours of service rules by each driver.</li> <li>6. 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.</li> </ol>
<p><b>Approval of Approach:</b></p>	<p>Ratnager Singh / Owner of U &amp; 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 &amp; M Logistics LLC. Motor Carrier Safety Policy Manual.</p>
<p><b>Notes</b></p>	
<p><b>Special Notes</b></p>	

<b>CONCLUSION AND NEXT STEPS</b>	
	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.
<b>Approvals and Certification of Compliance:</b>	
<b>Formal Review of Status:</b>	NA

**CORRECTIVE ACTION PLAN (CAP)**  
Part B Corrective Action

**GENERAL INFORMATION**

<b>Overview of Violation(s):</b>	<u><b>30 Minute Break Rule – Driver Log Books</b></u>				
<b>Incident Number:</b>	Deficiency item # 20 / 21	<b>Failure Number:</b>	395.3(a)(3)(ii)		
<b>Failure Description:</b>	<ul style="list-style-type: none"> <li>Failing to ensure commercial motor vehicle drivers log 30 – minute breaks on their RODS.</li> </ul>				
<b>Description of why violation was allowed to occur:</b>	<p>Carrier did not provide adequate training or ensure the drivers employed by carrier took the required 30 Off Duty break after being on duty for eight consecutive hours before driving again.</p> <p>Carrier did not communicate with its drivers by means of policies or procedures requirements on taking the required 30 minute Off Duty Break.</p> <p>Carrier did not provide meaningful action against drivers who violate form and manner rules prescribed in the FMCSR.</p>				
<b>Corrective Action Completed</b>	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA	<b>Re-Test Case Number, if applicable:</b>	NA	<b>Date of Incident Correction Re-Test:</b>	NA
<b>INCIDENT</b>					
<b>How was the Incident Identified:</b>	Compliance Audit September 2017				

<p><b>Incident Description:</b></p>	<ul style="list-style-type: none"> <li>• During the focused compliance review, carrier was discovered to have 2 out of 124 checked, 30 Minute break rule violations.</li> <li>• Example: Linda Evans Trip Date 07/15/2017 drove in violation between 10:30 and 12:15.</li> </ul>
<p><b>APPROACH TO COMPLIANCE</b></p>	
<p><b>Corrective Action:</b></p>	<p style="text-align: center;"><u><b>BASIC SPECIFIC REMEDIES:</b></u></p> <p>U &amp; 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 Hours of Service i.e. 30 Minute break rule Violations.</p> <ul style="list-style-type: none"> <li>• Carrier has established a policy that requires driver to complete each daily log as prescribed by the FMCSR.</li> <li>• Carrier has created policies stating that drivers who violate this rule will be subject to disciplinary action, remedial log book training, including but not limited to termination of employment</li> <li>• Carrier has provided detailed Log Book training to its drivers, demonstrating the requirements of taking a 30 minute Off Duty Break.</li> <li>• Carrier has created a new hiring process for new hires that require new applicants to undergo orientation training that includes Hours of Service and Log Book Training.</li> <li>• Carrier has provided training to its Safety Program Administrator in Hours of Service, Log Book Auditing and understanding of the Form and Manner rules as prescribed.</li> <li>• Carrier is pursuing new avenues of advanced technologies to eliminate any future violations of the hours of service rules by installing Electronic Logging Systems in all its trucks over the next</li> </ul>

	<p>month. New Electronic Logging Systems will require more driver training and cost of installation. This new Electronic Logging System will be provided by Teletrac.</p> <ul style="list-style-type: none"> <li>Carrier has created disciplinary action procedures to be followed by drivers, dispatchers, and managers who violate the hours of service rules. 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. Other more extensive disciplinary actions may result in termination of employment from carrier for a driver, dispatcher, and or manager.</li> </ul>
<p><b>Roles and Responsibilities:</b></p>	<p>Gurpartap Singh will be responsible for the compliance in regard to CFR Parts 395.3(a)(3)(ii). Gurpartap Singh has received thorough hours of service and log book auditing training.</p> <p>U &amp; M Logistics LLC. has retained the services of Safeline Consulting LLC to implement a Policy and Procedure manual titled "U &amp; 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><b>Actions taken by carrier to ensure violation(s) do not reoccur:</b></p>	<p>U &amp; 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"> <li>Carrier has provided training to its drivers and dispatchers in the applicable areas of 395 hours of service by means of hands on training classes and purchased handouts from JJ Keller and Safeline Consulting.</li> <li>Carrier has provided training to its manager responsible for Log Auditing to inspect each driver log for Hours of Service Violations including the 30 Minute Break Rule Violations.</li> <li>Carrier has created new policies which outline the prohibition of violating the Hours of Service Rules prescribed by the FMCSR.</li> <li>Carrier has created new policies which include meaningful actions to be taken against any personnel who violate the Hours of Service rules prescribed.</li> <li>Carrier has established a new hire orientation program that provides training to all new hires to ensure understanding of the hours of service rules by each driver.</li> </ol>

	<p>6. 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>
<b>Approval of Approach:</b>	<p>Ratnager Singh / Owner of U &amp; 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 &amp; M Logistics LLC. Motor Carrier Safety Policy Manual.</p>
<b>Notes</b>	
<b>Special Notes</b>	<p>See Appendix for Supporting Documentation for this Correction Action. U &amp; M Logistics LLC has issued Hours of Service Training and has now set up a new Driver Training and Orientation Program in order to properly train its drivers in the areas of Hours of Service Rules and Regulations.</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.
<b>Approvals and Certification of Compliance:</b>	
<b>Formal Review of Status:</b>	NA

**CORRECTIVE ACTION PLAN (CAP)**  
Part B Corrective Action

**GENERAL INFORMATION**

<p><b>Overview of Violation(s):</b></p>	<p align="center"><b><u>False Report of Record of Duty Status</u></b></p> <p>U &amp; M Logistics LLC. drivers who have submitted False Reports of Record of Duty Status. Whereas carrier failed to provide adequate training and or control measures to its drivers to prevent these type violations to occur.</p>		
<p><b>Incident Number:</b></p>	<p>Deficiency item # 22 &amp; 23</p>	<p><b>Failure Number:</b></p>	<p>395.8(e)</p>
<p><b>Failure Description:</b></p>	<p><b>CFR Ref #</b></p> <ul style="list-style-type: none"> <li>• Driver submitted inaccurate record of duty status report - False logs did not match supporting documentation.</li> <li>• State Partner discovered inaccurate and or False Logs for driver Rafael Zea</li> </ul>		
<p><b>Description of why violation was allowed to occur:</b></p>	<p>Carrier did not have in place a viable log auditing program to check drivers daily log books for Falsified Log Books up against supporting documentation such as Fuel Reports from Fuel Card Vendors, Scale Tickets, Bills of Ladings, and or other acceptable means to support the entries made by each driver on their record of duty status.</p> <p>Carrier did not communicate with its drivers by means of policies or procedures carrier rules that prohibit false entries on a driver's daily log book.</p> <p>Carrier did not provide meaningful action against drivers who violate 49 CFR 395.8(e) / False Logs.</p>		

<b>Corrective Action Completed</b>	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA	<b>Re-Test Case Number, if applicable:</b>	NA	<b>Date of Incident Correction Re-Test:</b>	NA
<b>INCIDENT</b>					
<b>How was the Incident Identified:</b>	Compliance Audit September 2017				
<b>Incident Description:</b>	<ul style="list-style-type: none"> <li>• During the focused compliance review, carrier was discovered to have 7 out of 124 checked, False Report of Record of Duty Status.</li> <li>• Example: Rafael Zea on Trip Date 07/11/2017.</li> </ul>				
<b>APPROACH TO COMPLIANCE</b>					
<b>Corrective Action:</b>	<p style="text-align: center;"><b><u>BASIC SPECIFIC REMEDIES:</u></b></p> <p>U &amp; 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 Falsification of Drivers Daily Logs – RODS.</p> <ul style="list-style-type: none"> <li>• Carrier has established a policy that prohibits drivers from making false entries on the Record of Duty Status report.</li> <li>• Carrier has created policies stating that drivers may not Falsify their RODS or else otherwise face disciplinary action including but not limited to termination of employment.</li> <li>• Carrier has provided instruction to its responsible personnel for log auditing on how to cross</li> </ul>				

	<p>reference supporting documentation to verify accuracy of driver log books.</p> <ul style="list-style-type: none"> <li>• Carrier has provided Log Book Training to its drivers that involved explanation of how to accurately make entries into their log book and the consequences of falsifying their Record of Duty Status reports.</li> <li>• Carrier has created a new hiring process for new hires that require new applicants to undergo orientation training that includes Log Book Training and prohibited false logs.</li> <li>• Carrier has provided handout information and has communicated with all driver and dispatch staff that False Log violations will not be tolerated by carrier.</li> <li>• Carrier is pursuing new avenues of advanced technologies to eliminate any future false log violations by installing Electronic Logging Systems in all its trucks over the next month. New Electronic Logging Systems will require more driver training and cost of installation.</li> <li>• Carrier has created disciplinary action procedures to be followed by drivers, dispatchers, and managers who violate the rules and regulations in relation to false logs. 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.</li> </ul>
<p><b>Roles and Responsibilities:</b></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 &amp; M Logistics LLC. has retained the services of Safeline Consulting LLC to implement a Policy and Procedure manual titled "U &amp; 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><b>Actions taken by carrier to ensure violation(s) do not reoccur:</b></p>	<p>U &amp; 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"> <li>1. Carrier has provided training to its drivers, and dispatchers in the applicable areas of 395 hours of service.</li> </ol>

	<ol style="list-style-type: none"> <li>2. Carrier has provided training to its manager responsible for Log Auditing to inspect each driver log falsifications and how to use proper supporting documentation to verify driver's entries.</li> <li>3. Carrier has created new policies which outline the prohibition of falsifying their RODS.</li> <li>4. Carrier has created new policies which include meaningful actions to be taken against any personnel who violate the Hours of Service Rules and or False Logs.</li> <li>5. Carrier has established a new hire orientation program that provides training to all new hires to ensure understanding of the hours of service rules by each driver and prohibited false entries on their Record of Duty Status report.</li> <li>6. Carrier has begun cross referencing Fuel Reports from its vendors, Bills of Ladings, Route submissions and Trip Reports up against driver's logs turned in to carrier.</li> <li>7. 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.</li> </ol>
<b>Approval of Approach:</b>	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.
<b>Notes</b>	
<b>Special Notes</b>	See Log Summaries found in Appendix.

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.
<b>Approvals and Certification of Compliance:</b>	See Appendix for supporting documentation
<b>Formal Review of Status:</b>	NA

CORRECTIVE ACTION PLAN (CAP)  
Part B Corrective Action

GENERAL INFORMATION

<p><b>Overview of Violation(s):</b></p>	<p align="center"><b><u>False Report of Record of Duty Status</u></b></p> <p>U &amp; M Logistics LLC. Cited for making or permitting a driver to make, a false report regarding record of duty status. Whereas carrier failed to provide adequate training and or control measures to its drivers to prevent these type violations to occur.</p>		
<p><b>Incident Number:</b></p>	<p>Deficiency item # 24 &amp; 25</p>	<p><b>Failure Number:</b></p>	<p>395.8(e)(1)</p>
<p><b>Failure Description:</b></p>	<p><b>CFR Ref #</b></p> <ul style="list-style-type: none"> <li>Carrier failed to provide adequate control and management measures to prevent False record of Duty status of its drivers.</li> </ul>		
<p><b>Description of why violation was allowed to occur:</b></p>	<p>Carrier failed to provide adequate management procedures to provide control measures to prevent falsification of driver RODS.</p> <p>Carrier did not have in place a viable log auditing program to check drivers daily log books for Falsified Log Books up against supporting documentation such as Fuel Reports from Fuel Card Vendors, Scale Tickets, Bills of Ladings, and or other acceptable means to support the entries made by each driver on their record of duty status.</p> <p>Carrier did not communicate with its drivers by means of policies or procedures carrier rules that prohibit false entries on a driver's daily log book.</p> <p>Carrier did not provide meaningful action against drivers who violate 49 CFR 395.8(e)(1) / Permitting False Logs.</p>		