



Transportation Development Group LLC
2023 E. Sims Way, Ste 372, Port Townsend, WA 98368
1-800-949-4834 www.dgtraining.com

DOT/FAA Inspection Preparedness Checklist

Most important – if the DOT or FAA shows up at your door, see if you can meet them in a conference room and determine the purpose of their visit. Ask them if it would be possible to schedule for another time if you don't have the proper personnel (i.e. management) present to attend the meeting. Be cooperative yet ask if they can present their questions to you and give you time to respond after you've gathered the proper personnel, documentation and answers to their questions. Contact your corporate attorney for assistance and call us, at 1-800-949-4834. Here are some of the things that a DOT or FAA Inspector may review:

Registration (49CFR 107.601)

Are you required to register with the DOT as a hazmat shipper, or carrier?

- Do you ever prepare a bill of lading or DG cert for a shipment of hazmat that weighs more than 1000 pounds gross weight and requires placards? If you have to placard the truck you have to register with DOT as a forwarder, carrier or as a shipper.
- Do you ever ship any quantity of 1.1, 1.2, 1.3, 2.3, 4.3 (other than LTD QTY of 4.3), 5.2 (Type B temperature control), 6.1 Zone A or B, or Radioactive Yellow III. If you are a forwarder or carrier, do you ever inspect or review paperwork for a shipment that meets one of these two criteria above?
- Do you meet any other criteria in 49 CFR 107.601?

If the answer is "yes" to any of these questions above you MUST register with the DOT and pay an annual fee. This is for SHIPPERS as well as forwarders, airlines and other carriers. Some registrants may also be required to create and keep on file a written hazmat security plan and provide special security plan training for employees.

Training (49 CFR Part 172, Subpart H)

General

- Have you identified all your "hazmat employees"
- Are your employees properly trained for their job category (i.e. picker, packer or forklift operator may only need the lowest level of DOT certification, a driver would need more than that and a "shipper" who signs the docs would need the most training).

Hazmat Employee Quick List – Who has to be Trained

- Anyone who physically handles outbound hazmat shipments (forklift operators, packers, warehouse workers). Forwarders, carriers, aircraft ground handlers must train both inbound & outbound employees.
- Anyone who prepares or inspects shipping papers or packages for hazmat shipment.
- Anyone who could directly effect the safety of a hazmat shipment in transportation or someone responsible for hazmat safety.

Record keeping

- Do you have records for the last 3 years (and 90 days) ?
- Employee's name
- Name and address of trainer
- Training completion date and copy of the exam
- Description, copy or location of a copy of the training materials
- Certification that the employee is trained and tested as required by 49 CFR



Transportation Development Group LLC
2023 E. Sims Way, Ste 372, Port Townsend, WA 98368
1-800-949-4834 www.dgtraining.com

Training Content (49 CFR 172.704)

General Awareness Training

- Overview of hazard classes
- Overview of documentation, marking and labeling requirements
- Overview of regulations (i.e. 49 CFR)

Safety Training

- How to use the DOT North American Emergency Response Guidebook
- Safety Training appropriate for their job function (i.e. OSHA and other required training)
- Training in your company's safety policies and procedures

Security Training

- Training according to your company's Hazmat Security Plan (if you are required to have one)
- General Awareness Hazmat Security Training

Function Specific Training

- All training required for that employee to perform their job function

All Training

- Do you have enough certified employees so that if someone calls in sick, you will be able to ship that day?

Forwarders, Carriers and other intermediaries

- Is everyone who accepts general cargo from shippers trained at least at a hazmat "recognition" level (not required for forwarders [yet] but recommended)?
- If you are a "will-not carry hazmat" forwarder or carrier are your people trained to reject shipments?

Storage

- Is there a designated hazmat storage area? (Not required but a good idea.)
- Is that area in an appropriate location? (i.e. away from equipment traffic, sources of spark/flame, or otherwise protected?)
- Is there adequate security? How do you know? Have you performed a risk assessment?
- Is there a hazmat segregation chart posted nearby? (Not required but a good idea.)
- Is access restricted to hazmat area? (Not required but a good idea.)

Hazmat Shipping Papers

- Do you retain copies of the hazmat shipping papers for 2 years (shipper [1 year for carriers])?
- Are the shipping papers in order (proper sequence of information, legible, correct, signed)?

Packagings

- If using UN specification packagings, do you have instructions on their proper assembly and closure?
- Have the inner packagings you're using been tested with your outer packaging?

Miscellaneous

- Do you have a current copy of the regulations for each mode of transport (recommended but not required)?