

(iii) Any quantity of certain poison inhalation hazard materials (Zone A or B).

(4) Being involved in, through action or omission, two or more hazardous materials reportable incidents as described under 49 CFR 171.15 or 171.16, involving hazardous materials other than those listed above.

(5) Using a driver who tests positive for controlled substances or alcohol or who refuses to submit to required controlled substances or alcohol tests.

(6) Operating a commercial motor vehicle without the levels of financial responsibility required under part 387 of this subchapter.

(7) Having a driver or vehicle out-of-service rate of 50 percent or more based upon at least three inspections occurring within a consecutive 90-day period.

(b) If a new entrant that commits any of the actions listed in paragraph (a) of this section:

(1) Has not had a safety audit or compliance review, FMCSA will schedule the new entrant for a safety audit as soon as practicable.

(2) Has had a safety audit or compliance review, FMCSA will send the new entrant a notice advising it to submit evidence of corrective action within 30 days of the service date of the notice.

(c) FMCSA may schedule a compliance review of a new entrant that commits any of the actions listed in paragraph (a) of this section at any time if it determines the violation warrants a thorough review of the new entrant's operation.

(d) Failure to respond within 30 days of the notice to an Agency demand for a written response demonstrating corrective action will result in the revocation of the new entrant's registration.

[73 FR 76488, Dec. 16, 2008]

**§ 385.309 What is the purpose of the safety audit?**

The purpose of a safety audit is to:

(a) Provide educational and technical assistance to the new entrant; and

(b) Gather safety data needed to make an assessment of the new entrant's safety performance and adequacy of its basic safety management controls.

**§ 385.311 What will the safety audit consist of?**

The safety audit will consist of a review of the new entrant's safety management systems and a sample of required records to assess compliance with the FMCSRs, applicable HMRS and related record-keeping requirements as specified in appendix A of this part. The areas for review include, but are not limited to, the following:

(a) Driver qualification;

(b) Driver duty status;

(c) Vehicle maintenance;

(d) Accident register; and

(e) Controlled substances and alcohol use and testing requirements.

**§ 385.313 Who will conduct the safety audit?**

An individual certified under the FMCSA regulations to perform safety audits will conduct the safety audit.

**§ 385.315 Where will the safety audit be conducted?**

The safety audit will generally be conducted at the new entrant's business premises.

**§ 385.317 Will a safety audit result in a safety fitness determination by the FMCSA?**

A safety audit will not result in a safety fitness determination. Safety fitness determinations follow completion of a compliance review.

**§ 385.319 What happens after completion of the safety audit?**

(a) Upon completion of the safety audit, the auditor will review the findings with the new entrant.

(b) *Pass*. If FMCSA determines the safety audit discloses the new entrant has adequate basic safety management controls, the Agency will provide the new entrant written notice as soon as practicable, but not later than 45 days after completion of the safety audit, that it has adequate basic safety management controls. The new entrant's safety performance will continue to be closely monitored for the remainder of the 18-month period of new entrant registration.

(c) *Fail*. If FMCSA determines the safety audit discloses the new entrant's basic safety management controls are

§ 385.321

49 CFR Ch. III (10–1–10 Edition)

inadequate, the Agency will provide the new entrant written notice, as soon as practicable, but not later than 45 days after the completion of the safety audit, that its USDOT new entrant registration will be revoked and its operations placed out-of-service unless it takes the actions specified in the notice to remedy its safety management practices.

(1) *60-day corrective action requirement.* All new entrants, except those specified in paragraph (c)(2) of this section, must take the specified actions to remedy inadequate safety management practices within 60 days of the date of the notice.

(2) *45-day corrective action requirement.* The new entrants listed below must take the specified actions to remedy inadequate safety management practices within 45 days of the date of the notice:

(i) A new entrant that transports passengers in a CMV designed or used to transport between 9 and 15 passengers (including the driver) for direct compensation.

(ii) A new entrant that transports passengers in a CMV designed or used

to transport more than 15 passengers (including the driver).

(iii) A new entrant that transports hazardous materials in a CMV as defined in paragraph (4) of the definition of a “Commercial Motor Vehicle” in § 390.5 of this subchapter.

[73 FR 76489, Dec. 16, 2008]

**§ 385.321 What failures of safety management practices disclosed by the safety audit will result in a notice to a new entrant that its USDOT new entrant registration will be revoked?**

(a) *General.* The failures of safety management practices consist of a lack of basic safety management controls as described in Appendix A of this part or failure to comply with one or more of the regulations set forth in paragraph (b) of this section and will result in a notice to a new entrant that its USDOT new entrant registration will be revoked.

(b) *Automatic failure of the audit.* A new entrant will automatically fail a safety audit if found in violation of any one of the following 16 regulations:

TABLE TO § 385.321—VIOLATIONS THAT WILL RESULT IN AUTOMATIC FAILURE OF THE NEW ENTRANT SAFETY AUDIT

| Violation   | Guidelines for determining automatic failure of the safety audit                               |
|---|--|
| 1. § 382.115(a)/§ 382.115(b)—Failing to implement an alcohol and/or controlled substances testing program (domestic and foreign motor carriers, respectively).  | Single occurrence.   |
| 2. § 382.201—Using a driver known to have an alcohol content of 0.04 or greater to perform a safety-sensitive function.   | Single occurrence.   |
| 3. § 382.211—Using a driver who has refused to submit to an alcohol or controlled substances test required under part 382.  | Single occurrence.   |
| 4. § 382.215—Using a driver known to have tested positive for a controlled substance.   | Single occurrence.   |
| 5. § 382.305—Failing to implement a random controlled substances and/or alcohol testing program.  | Single occurrence.   |
| 6. § 383.3(a)/§ 383.23(a)—Knowingly using a driver who does not possess a valid CDL.  | Single occurrence.   |
| 7. § 383.37(a)—Knowingly allowing, requiring, permitting, or authorizing an employee with a commercial driver’s license which is suspended, revoked, or canceled by a State or who is disqualified to operate a commercial motor vehicle. | Single occurrence.   |
| 8. § 383.51(a)—Knowingly allowing, requiring, permitting, or authorizing a driver to drive who is disqualified to drive a commercial motor vehicle.   | Single occurrence. This violation refers to a driver operating a CMV as defined under § 383.5. |
| 9. § 387.7(a)—Operating a motor vehicle without having in effect the required minimum levels of financial responsibility coverage.  | Single occurrence.   |
| 10. § 387.31(a)—Operating a passenger carrying vehicle without having in effect the required minimum levels of financial responsibility.  | Single occurrence.   |
| 11. § 391.15(a)—Knowingly using a disqualified driver .....   | Single occurrence.   |
| 12. § 391.11(b)(4)—Knowingly using a physically unqualified driver .....  | Single occurrence. This violation refers to a driver operating a CMV as defined under § 390.5. |
| 13. § 395.8(a)—Failing to require a driver to make a record of duty status.   | Requires a violation threshold (51% or more of examined records) to trigger automatic failure. |
| 14. § 396.9(c)(2)—Requiring or permitting the operation of a commercial motor vehicle declared “out-of-service” before repairs are made.  | Single occurrence.   |