



**Driver Qualification File  
Alcohol & Drug Testing  
Driver Investigation History**

# **INSTRUCTION BOOK**

**A Training Tool  
For  
United States  
Department of Transportation Compliance**

**Contains Example Forms:**

- **Driver Qualification**
- **Confidential Alcohol & Drug**
- **Confidential Driver Investigation History**



**J. J. Keller**  
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# Instruction Book

## Table of Contents

i	Table of Contents
ii	Introduction
<b>1</b>	<b>Driver Qualification File Front Cover (848) (Rev. 11/16)</b>
2	Checklist For Qualification of New Drivers (50641, 865) (Rev. 12/15)
3-6	Driver's Application For Employment (691) (Rev. 11/16)
7	Request For Check of Driving Record (506540, 732) (Rev. 10/15)
8-11	Medical Examination Report (47375) (Rev. 10/16)
12	Medical Examiner's Certificate (47379) (Rev. 10/16)
13	Medical Examiner National Registry Verification (27033) (Rev. 10/15)
14-15	Record of Road Test (13-F) (Rev. 5/02)
16	Certification of Road Test Pocket Card (6B-C) (Rev. 7/14)
17	Certification of Compliance with Driver License Requirements (1617, 1619) (Rev. 5/13)
18	Certification of Violations/Annual Review of Driving Record (3685, 3686) (Rev. 11/08)
19	Driver Statement of On-Duty Hours - Newly Hired (3687, 3688) (Rev. 3/09)
20	Driver Statement of On-Duty Hours (3689, 3690)* (Rev. 2/09)
21	Driver Qualification & Identification Certificate (7B-C) (Rev. 3/17)
22-23	Record of Disqualification - Part 383 (1644)* (Rev. 10/10)
24-25	Employment Eligibility Verification - I-9 (50306)
<b>26</b>	<b>Confidential Alcohol &amp; Drug File Front Cover (3268) (Rev. 9/15)</b>
27	Previous Pre-Employment Employee Alcohol and Drug Test Statement (886-F, 886-FS-C2) (Rev. 7/03)
28	Previous Employer Alcohol & Drug Test Information (6827) (Rev. 7/13)
29	Alcohol and/or Drug Test Notification (3048) (Rev. 10/13)
30	Federal Drug Testing Custody and Control Form (6520) (Rev. 1/16)
31	U.S. Department of Transportation (DOT) Alcohol Testing Form (570-FS-C3) (Rev. 6/11)
32	Observed Behavior Reasonable Suspicion Record (7218) (Rev. 9/12)
<b>33</b>	<b>Confidential Driver Investigation History File (9725) (Rev. 10/13)</b>
34	Blank
35-36	Safety Performance History Records Request (9652, 9620) (Rev. 9/13)
37	Request For Information – From Previous Employer (17-F, 17-FS-C2)* (Rev. 7/07)
38	Notes

\*Forms are not included in a file packet. They are available separately.

A complete list of file packets available are listed inside the back cover. The forms and the format varies depending on the file packet selected.

# Instruction Book

## Introduction

The Federal Motor Carrier Safety Regulations, promulgated by the U. S. Department of Transportation, contain provisions requiring the use of qualified drivers to operate property- and passenger-carrying motor vehicles in interstate and foreign commerce, with few exceptions. In addition, for a number of practical and economic reasons, it is in the best interests of a motor carrier to use such drivers.

A qualified and dependable driver is an asset to the motor carrier through his or her expeditious and safe delivery of shipments to their destination. Remember, you are entrusting a driver or team of drivers with a very expensive piece of equipment as well as the cargo, whether it is property or passengers.

Today's high costs of operation do not allow a great deal of margin for loss. An accident, even though you have insurance coverage, results in losses. The amount of time that equipment and/or a driver is out of operation results in a loss of transport capacity, if nothing else, but quite often it also results in increased insurance rates. Although increased insurance rates may not be considered a loss, they certainly have an effect on overall profit margins. Statistics show qualified and dependable drivers have fewer accidents, and although it may not be measurable in dollars and cents, there is value generated by such drivers in good customer relations and other intangibles. Therefore, remember, driver qualification is not just a matter of compliance with the regulations, it is also to your advantage.

This Instruction Book has been designed to be an easy reference tool for both drivers and carriers to comply with regulations in Parts 40, 382, 391, and 395. It contains the forms required when hiring and qualifying a DOT driver, in an easy-to-use color-coded format.

Use the KEY below to determine what each color means.

KEY:

Blue = Driver Completes

Red = Company Official Completes

Green = Medical Examiner or Collector Completes

Black = Information Only



**For Department of Transportation Compliance**

# DQF

- Driver Qualification File Contents Sheet
- Check Sheet for Driver Qualification Forms
- Driver's Application for Employment
- Request for Check of Driving Record
- Medical Examination Report
- Medical Examiner Certificate
- Medical Examiner National Registry Verification
- Record and Certification of Road Test
- Violation and Review Record
- Certificate of Compliance with Driver License Requirements
- Driver's Statement of On-Duty Hours - New Hire
- Certification of Road Test Pocket Card
- Driver Qualification and ID Certificate
- Employment Eligibility Verification I-9

DATE OF HIRE

According to Section 391.51(a): “Each motor carrier shall maintain a driver qualification file for each driver it employs.”

## RECORD RETENTION

1. Driver's Application for Employment (Section 391.21). **Retain for 3 years after driver's employment with motor carrier ceases.**
2. State agencies' responses concerning the driver's 3-year driving record pursuant to Section 391.23. **Retain for 3 years after driver's employment with motor carrier ceases.**
3. The Record of Road Test form and Certificate of Road Test (Section 391.31(g)). NOTE: In lieu of the road test and certificate, a copy of the commercial driver's license or certificate may be acceptable as equivalent to the driver's road test (Section 391.33). **Retain for 3 years after driver's employment with motor carrier ceases.**
4. Driver's Medical Examiner Certificate (Section 391.43(h)). **May be removed after 3 years from execution date for non-CDL drivers, or after 15 days for CDL drivers pursuant to Section 391.51(b)(7)(ii).**
5. State agencies' responses concerning the driver's annual driving record pursuant to Section 391.25, or pursuant to Section 391.51(b)(7)(ii) as proof of a CDL driver's medical certification. **May be removed after 3 years from execution date.**
6. Certification of Violations/Review of Driving Record (Sections 391.25 and 391.27). **May be removed after 3 years from execution date.**
7. Documentation of any state or federal medical variance (if applicable) (Section 391.49). **May be removed after 3 years from execution date.**
8. Medical Examiner National Registry Verification pursuant to Section 391.23(m). **May be removed after 3 years from execution date.**

NOTE: Drug and alcohol forms required by Part 382 and Part 40 are NOT included in this file because they are subject to stricter recordkeeping controls under Section 382.401 and Section 40.333. Please see Section 382.401 for those requirements.

Past employers' responses concerning the driver's employment required by Section 391.23 are not included in this file because the driver's safety performance history must be maintained in a secure location with controlled access. See Section 391.53 for those requirements.

  
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848 (Rev. 11/16)

## CHECKLIST FOR QUALIFICATION OF NEW DRIVERS

NAME OF DRIVER: Chris Smith ID NO.: 123-45-6789

ADDRESS: 2424 W. Avenue Milwaukee WI 12345  
(Number and Street) (City) (State) (Zip Code)

INSTRUCTIONS TO CARRIER: The following checklist is intended to help the motor carrier obtain all of the documents required by the Federal Motor Carrier Safety Regulations. Record the information to acknowledge receipt of the documents. Alcohol and controlled substance and safety performance history information must be maintained in a confidential file.

	Date Request Forwarded	Date Document Returned	Document Approved Date	Signature
1. Driver's Application for Employment (691)	<u>10-05-16</u>	<u>10-05-16</u>	<u>10-05-16</u>	<u>Pat Jones</u>
2. Request for Check of Driving Record (732 or 506540) (List state agencies written to)				
<u>Wisconsin</u>	<u>10-05-16</u>	<u>10-19-16</u>	<u>10-19-16</u>	<u>Pat Jones</u>
<u>Kentucky</u>	<u>10-05-16</u>	<u>10-21-16</u>	<u>10-21-16</u>	<u>Pat Jones</u>
3. Medical Examiner's Certificate (26521 or 47379) <small>NOTE: 26521 cannot be used after April 20, 2016</small>	<u>10-13-16</u>	<u>10-13-16</u>	<u>10-13-16</u>	<u>Pat Jones</u>
4. Medical Examiner National Registry Verification (27033 or 27034)	<u>10-13-16</u>	<u>10-13-16</u>	<u>10-13-16</u>	<u>Pat Jones</u>
5. Record and Certification of Road Test (13-F)	<u>10-19-16</u>	<u>10-19-16</u>	<u>10-19-16</u>	<u>Pat Jones</u>
*6. Certification of Compliance with Driver License Requirements (1617)	<u>10-05-16</u>	<u>10-05-16</u>	<u>10-05-16</u>	<u>Pat Jones</u>
7. Driver's Statement of On-Duty Hours (3687 or 3688) <small>(retain for 6 months with hours-of-service documents)</small>	<u>10-22-16</u>	<u>10-22-16</u>	<u>10-22-16</u>	<u>Pat Jones</u>
8. Entry-Level Driver Training Certificate (664-FS-A2) <small>(if using an Entry-Level Driver)</small>	<u>—</u>	<u>—</u>	<u>—</u>	<u>—</u>
9. Longer Combination Vehicles Driver Certification <small>(if using the driver to operate Longer Combination Vehicles)</small>	<u>—</u>	<u>—</u>	<u>—</u>	<u>—</u>
*10. Employment Eligibility Verification I-9 (30129) OTHER DOCUMENTS				
11. _____				

### ALCOHOL AND CONTROLLED SUBSTANCES TESTING

(NOTE: THESE DOCUMENTS MUST BE MAINTAINED IN A SECURE LOCATION WITH CONTROLLED ACCESS)

1. Pre-employment test - controlled substances (Employer copy of Chain of Custody Form and Test Result)	<u>10-09-16</u>	<u>10-15-16</u>	<u>10-13-16</u>	<u>Pat Jones</u>
2. Certificate of receipt - company drug and alcohol policy (6793)	<u>10-19-16</u>	<u>10-19-16</u>	<u>10-19-16</u>	<u>Pat Jones</u>
3. Previous Pre-Employment Employee Alcohol and Drug Test Statement (6801 or 6802) OTHER DOCUMENTS	<u>10-05-16</u>	<u>10-05-16</u>	<u>10-05-16</u>	<u>Pat Jones</u>
4. _____				
5. _____				

### SAFETY PERFORMANCE HISTORY

(NOTE: THESE DOCUMENTS MUST BE MAINTAINED IN A SECURE LOCATION WITH CONTROLLED ACCESS)

1. Safety Performance History Records Request (9620 or 9652) <u>ABC Company</u>	<u>10-05-16</u>	<u>10-14-16</u>	<u>10-14-16</u>	<u>Pat Jones</u>
2. OTHER DOCUMENTS <u>Feed Company safety history</u>	<u>10-05-16</u>	<u>10-17-16</u>	<u>10-17-16</u>	<u>Pat Jones</u>

\*Not required by DOT. May be retained in personnel file.

# DQF FINDER

	Confidential DQF All-In-One—Packet	Confidential DQF All-In-One—Packet	Confidential DQF All-In-One—Packet	Confidential A & D And Driver Investigation History File Packet	Confidential Alcohol & Drug File Packet	Confidential Driver Investigation History File Packet	DQF Packet	DQF Packet	DQF Packet
	9645/20-F-P	9647/47-F-P	9649/740-F-P	9650/856-F-P	3268/451-F	9725/860-F-P	848/20-F	1242/47-F	3879/740-F
<b>Driver Qualification Forms</b>									
Additional Employment History Information		•							
Driver's Application For Employment	•	•	•				•	•	•
Certification of Road Test	•	•	•				•	•	•
Certification of Compliance with Driver License Requirements Pocket Card	•	•	•				•	•	•
Checklist For Qualification of New Drivers	•	•	•				•		•
Driver Qualification File Contents Sheet	•	•	•				•	•	•
Driver Qualification & Identification Pocket Card	•	•	•				•		•
Driver's Record Card		•						•	
Driver's Statement of On-Duty Hours — New Hire	•		•				•	•	•
Employee Eligibility Verification (Form I-9)	•	•	•				•	•	•
Medical Examination Report	•	•	•				•	•	•
Medical Examiner's Certificate	•	•	•				•	•	•
Medical Examiner National Registry Verification	•	•	•				•	•	•
Record of Road Test	•	•	•				•	•	•
Certification of Violations/Annual Review of Driving Record	•	•	•				•	•	•
Request For Check of Driving Record	•	•	•				•	•	•
<b>Alcohol &amp; Drug Forms</b>									
Alcohol & Drug Employee's Certified Receipt	•	•	•	•	•				
Alcohol & Drug Records Request	•	•	•	•	•				
Alcohol and/or Drug Test Notification	•	•	•	•	•				
Drug Test Results	•	•	•	•	•				
Federal Drug Testing Custody and Control Form	•	•	•	•	•				
Observed Behavior Reasonable Suspicion Record	•	•	•	•	•				
Previous Employer Alcohol & Drug Test Information					•				
Previous Pre-Employment Employee Alcohol and Drug Test Statement	•	•	•	•	•				
U.S. Department of Transportation (DOT) Alcohol Testing Form	•	•	•	•	•				
<b>Safety Performance History Forms</b>									
Previous Employee Safety Performance History	•	•	•	•		•			
Safety Performance History Records Request	•	•	•	•		•			



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