

**MVD COMPLIANCE PROGRAM
CDLE PROVIDER INSPECTION
CHECKLIST**

Provider Date: _____
Authorization #: _____
Contact Name: _____

Inspection Date: _____
Inspector Number: _____
Phone Number: _____

1. Pre-Inspection Work:

- Review prior compliance inspection reports to identify corrective action has been taken on prior findings
 Yes No
- Review insurance information through DataLink and CSTIMS to verify that coverage has not expired
 Yes No
- Reference(s):
 - Contract Section 9 General Insurance Requirements

Note: Insurance generally only applies to commercial business. School districts and government entities are generally self-insured and exempt from this requirement.

- Review bond information through DataLink and CSTIMS to verify that coverage has not expired
 Yes No
- Reference(s):
 - Contract Section 10 Bond
 - CFR 383.75 (v): Require the third party tester to initiate and maintain a bond in an amount determined by the. **Exception:** *A third party tester that is a government entity is not required to maintain a bond.*
 - AAC R17-7-201: refers back to A.R.S. 28-5104 and says the bond must be in a minimum of \$100,000.00

Note: Generally applies to commercial business ONLY as school districts and government entities are generally self-insured and exempt from this requirement; HOWEVER, commercial business may be exempt if they own 100+ vehicles. You may check the providers' initial application to verify if exemption was requested.

Comments:

2. Contract Review:

- Request to view the providers Commercial Driver License Examination Authorization Agreement (contract) and/or Joint Letter of Renewal (JLR) Yes No
- Reference(s):
 - CFR 383.75 (ix): Require the third party tester to maintain copies of the following records at its principal place of business: (C) A copy of the current third party agreement
 - Contract 12.2.3: A copy of the current Agreement
- Determine that the agreement /JLR is signed, current and properly completed Yes No
- Contract was signed on _____ (verify if current in office)
- Reference(s):
 - CFR 383.75 (ix): Require the third party tester to maintain copies of the following records at its principal place of business: (C) A copy of the current third party agreement
 - Contract 12.2.3: A copy of the current Agreement

Comments:

3. Third Party Testing Site Records/Safeguarding:

- Does the ATP limit access to CDL applicant files and safeguard pre-numbered forms such as un-issued, issued, or voided score sheets Yes No
 - Reference(s):
 - Contract 1.18: "Secure Location" means a pre-approved restricted area designated specifically for certified individuals who pass the criminal records check, to access the Department's application(s) pursuant to this agreement
 - AAC R17-7-204 (C): Until returned to the Department, an authorized third party shall retain the following records at an established place of business or at the principal place of business:
 1. All logs and copies of completed, issued, or voided accountable inventory;
 2. All unused accountable inventory; and
 3. All other paper and electronic records, including all supporting documents, relating to the activities provided by the authorized third party
- Is the ATP aware of records retention requirements and does the ATP keep a minimum of 36 months' worth of records on file Yes No
 - Reference(s):
 - Contract 12.1: The Provider shall retain in a secure location at the principal place of business all books, papers, data, and accounting records kept manually or electronically relating to this Agreement for a period of three (3) years.
- Confirm that the ATP has procedures to prevent document loss or access by unauthorized personnel Yes No
 - Reference(s):
 - Contract 13.1: The Provider shall provide a secure location in which to maintain all accountable inventories, including CDL Demonstration Test Scoresheets and all forms used to track and account for each activity the Provider is authorized by the Department to perform. The documents include but are not limited to, copies of all applications, demonstration examinations performed, and CDL demonstration Test Scoresheets (with the name and certification number of the individual examiner), as well as all records documenting receipt of fees. All Providers' copies of issued accountable forms shall be held for a period of three years. Stocks of unused accountable forms shall be retained until used, or returned to the department on request

Comments:

4. Signage/Advertisement:

- Physically locate the ATP Provider license. Determine that the certificate is not expired and matches the approved certifications on file Yes No
 - Reference(s):
 - Contract 12.2.1: A copy of the state certificate authorizing the provider to administer a CDL skills testing program for the classes and types of commercial motor vehicles listed;
 - Contract 20.1: The department shall issue a certificate to the provider for each certified individual employed or contracted by the provider. This certificate shall be prominently displayed in the place of business along with the authorization to operate the business

- Physically locate the ATP Providers site license(s). Determine that the certificate(s) are not expired and match the approved addresses on file Yes No
 - Reference(s):
 - Contract 12.1: The provider shall retain in a secure location at the principal place of business all books, papers, and accounting records kept manually or electronically relating to this Agreement for a period of three (3) years. The provider understands and agrees that ownership of all records relating to this Agreement resides exclusively with the Department.
 - Contract 15.1: When being used for Commercial Driver License Examination purposes, each provider location must be used exclusively for activities authorized by the Department and shall meet all requirements of state law, local ordinances and the accessibility requirements of the Americans with Disabilities Act of 1990 (ADA) [42 U.S.C. §§ 12101 et.seq.], as further set forth in Section 8.2 and Section 8.3. The Department may require proof of compliance with local zoning ordinances.
 - Policy 17.5.1 (J): An Authorized Third Party Commercial Driver License Examiner must obtain permission before changing skills test routes or skills test sites and adding another activity
- Physically locate the ATP Providers examiner license(s). Determine that the certificate(s) are not expired and match the approved certifications on file Yes No
 - Reference(s):
 - Contract 12.2.2: A copy of each Examiner’s State certificate certifying that the third party examiner is qualified to administer CDL skills tests for the classes and types of commercial motor vehicles listed;
 - Contract 20.1: The department shall issue a certificate to the provider for each certified individual employed or contracted by the provider. This certificate shall be prominently displayed in the place of business along with the authorization to operate the business
- The provider must display the departments Title 6 poster in an area accessible to employees/applicants Yes No
 - Reference(s):
 - Contract 8.2.(B.2.): Provide public notification of its compliance with Title VI by displaying the departments Title VI “Notice to the Public” poster
- The provider must display the departments ADA compliance poster in an area accessible to employees/applicants Yes No
 - Reference(s):
 - Contract 8.3.(B.10.): Provide public notice of its compliance with the ADA by displaying ADOT’s ADA “Notice to the Public” poster as soon as such poster is available and disseminated to the Provider by the department
- If the Provider is open to the public:
 - The Provider must display the departments Authorized Third Party Provider sign Yes No
 - Reference(s):
 - Contract 22.2(a): Advertisements may include language stating that the provider is “authorized” or “certified” by MVD, ADOT or the State
 - A.A.C. R17-7-204 (L): An authorized third party that is open to the public shall post at each place of business the sign required by A.R.S. 58-5101 (J), and a sign provided by the department that states the business: (1.) Is a Department-authorized third-party provider, and (2.) May charge the customer a convenience fee when applicable.
 - The Provider must display its hours of operation Yes No
 - Reference(s):
 - Contract 15.2: Every Provider designated as “Open to the Public” providing Department-authorized activities must post its office hours in a conspicuous place clearly visible to the public within that location and be open to the public during such posted hours... Post a conspicuously-located sign in each of the providers locations that informs customers how to file a complaint or concern with the Department

- The Provider must display its complaint process Yes No
 - Reference(s):
 - Contract 15.2: Every Provider designated as “Open to the Public” providing Department-authorized activities must post its office hours in a conspicuous place clearly visible to the public within that location and be open to the public during such posted hours... Post a conspicuously-located sign in each of the providers locations that informs customers how to file a complaint or concern with the Department
- The Provider must display its fees Yes No
 - Reference(s):
 - Policy 17.5.1(O): Each Authorized Third Party Commercial Driver License Examiner providing services to the general public shall post a sign in a conspicuous location in each Authorized Third Party Facility displaying the amount charged for each transaction performed by the Authorized Third Party and the amount charged by the division for the same transaction

Comments:

5. Scoresheet and Supporting Documents Review:

- Reconcile the number of issued and unissued CDL score sheets to CSTIMS records Yes No
 - Reference(s):
 - AAC R17-7-204 (C) Until returned to the Department, an authorized third party shall retain the following records at an established place of business or at the principal place of business:
 1. All logs and copies of completed, issued, or voided accountable inventory;
 2. All unused accountable inventory; and
 3. All other paper and electronic records, including all supporting documents, relating to the activities provided by the authorized third party
- Perform a sample review of the applicant files. Each file should include both sides of the CDL application, copy of the CDL Permit, copy of the Driver’s License (both sides) and the existence of a CDL Demonstration Score Sheet (must be the original, not a copy) Yes No
 - Reference(s):
 - Contract 12.2.4: A copy of each completed “CDL Demonstration Test Score sheet” with a copy of the entire CDL permit application, driver license, and CDL permit, for the individual examined. These documents are to be retained for three (3) years
- Perform a detailed review of the sampled CDL score sheets for proper preparation, completeness and accuracy Yes No
 - Reference(s):
 - Per Section 8 of the Arizona CDL Examiner Manual: Applicant’s name, License Number, Authorization Number, Certification Number, Test Site, Applicant’s signature, Examiner Name, Class, Endorsements, Restrictions, Test Date, Etc.
- Determine that Provider keep a file on all active examiners. This file is to include a copy of each examiners:
 - Training Records Yes No
 - Reference(s):
 - CFR 383.75 (ix) Require the third party tester to maintain copies of the following records at its principal place of business: (F) A copy of each third party examiner's training record.
 - Contract 12.2.6: A copy of each examiners training record
 - Copy of the examiners original 39 mo. MVR Yes No

- Reference(s):
 - A.A.C R17-7-301 (A) (11.): The applicants driving record for the 39 months before the application date, which must be dated within 30 days of the application date
 - Contract 20.2: To maintain certification to perform the activities authorized hereunder, both the provider and certified examiner must at all times; (a) be in good standing with the department as defined in A.A.C. R17-7-101; (b) all other application requirements set forth in A.A.C. R17-7-301, 303, 603, and 604.
- Copy of the examiners driver license (front and back) showing all restrictions and endorsements Yes No
 - Reference(s):
 - Contract 20.2: To maintain certification to perform the activities authorized hereunder, both the provider and certified examiner must at all times; (a) be in good standing with the department as defined in A.A.C. R17-7-101; (b) all other application requirements set forth in A.A.C. R17-7-301, 303, 603, and 604.
- Copy of the examiners current medical card Yes No
 - Reference(s):
 - Contract 20.2: To maintain certification to perform the activities authorized hereunder, both the provider and certified examiner must at all times; (a) be in good standing with the department as defined in A.A.C. R17-7-101; (b) all other application requirements set forth in A.A.C. R17-7-301, 303, 603, and 604.

Comments:

6. Road Test Review/Basic Control Skills Course Review:

- Obtain copies of the road test route(s) (road route, narrative/maneuver listing & road test map) and determine that they are the same as versions approved by CDLE Yes No
 - Reference(s):
 - CFR 383.75 (ix) Require the third party tester to maintain copies of the following records at its principal place of business: (E) A copy of the third party tester's State-approved road test route(s)
 - Contract 12.2.5: A copy of the Providers state approved road test route(s)
 - Policy 17.5.1 (J) An Authorized Third Party Commercial Driver License Examiner must obtain permission before changing skill test routes or test sites and adding another activity
 - Contract 11.5 The Provider shall not conduct any examination nor change an approved road skills examination route or test track without obtaining prior written approval from the department
- Physically inspect and measure the sites Basic Control Skills Course(s). Make sure that the course is set up as if there was an exam taking place. Confirm with the provider that the vehicle is being measured when performing the parallel park maneuver. If a vehicle is available, ask the responsible party to measure the vehicle. Use the Track Checklist in the CDL compliance folder to record results Yes No
 - Reference(s):
 - Contract 11.5 The Provider shall not conduct any examination nor change an approved road skills examination route or test track without obtaining prior written approval from the department

Comments: