



Parts by BASIC Tables

This job aid pertains to **100% States**.

This job aid provides guidance for selecting the appropriate CFR Part (full or subpart) that should be examined during an Onsite Focused or Offsite Investigation depending on which Behavior Analysis and Safety Improvement Category (BASIC) is being investigated. The tables provide information on the applicable parts and subparts along with additional information on when each is required or should be considered based on investigative findings.

1. Unsafe Driving BASIC
2. Hours-of-Service (HOS) Compliance BASIC
3. Driver Fitness BASIC
4. Controlled Substances/Alcohol BASIC
5. Vehicle Maintenance BASIC
6. Hazardous Materials (HM) Compliance BASIC



Parts by BASIC Tables

<ul style="list-style-type: none"> • review of full part ⊗ review of specific regulations within a part (relevant regulations are indicated by the number below the symbol, e.g., .21, .23 etc.) 	<h1 style="margin: 0;">Unsafe Driving BASIC</h1>	
Safety		
40 – Drug & Alcohol Testing		
380 – Special Training	•	LCV and Entry Level Driver Training Requirements – Required if motor carrier has drivers subject to training requirements.
382 – Drug & Alcohol Testing		
383 – Commercial Driver’s License	⊗ Part of CAIR	Required as part of the CAIR process. Perform CDLIS checks in accordance with policy memo.
390 – FMCSR General	⊗ .3, .15, .23, .25	390.3 – General Applicability – ensures drivers are subject to regulations – Required 390.15 – accident register – Required if Crash BASIC Investigation is performed. 390.23/25 – relief – Required if a carrier is claiming relief. Confirm emergency declaration.
391 – Driver Qualifications	⊗	A review of driver qualification regulations should be considered if there is evidence on the profile that might show a link between driver qualification issues and unsafe driving behaviors. Examination and sampling of the driver qualification file is not required unless the investigator has reason to believe that there is a relationship between the two. Example: a medical examiner’s certificate and long form (if available) may be useful to check when drivers have committed multiple lane change, reckless driving, improper turning, or following too close violations cited on the Carrier SMS to see if there is a related medical issue related to the Unsafe Driving violations.
392 – Driving of Motor Vehicles	•	A review of the profile is required for evidence of unsafe driving practices. Review CDLIS checks and other related background information to address unsafe driving practices. Use “1 of 1” violation citation logic. 392.9a(a) Authority – Required as part of the CAIR process
393 – Vehicle Parts and Accessories		
395 – HOS		
396 – Vehicle Maintenance		
Hazardous Materials		
107 – HM Program Procedures (Registration)		
171 – HM General		
172 – HM Table / Communication		
173 – Shipper Requirements		
177 – Carriage by Highway	⊗ .810, .816, .823	177.810 – Vehicular Tunnels – Required if carrier transports quantities of HM that are prohibited from being transported through tunnels 177.823 – Movement of motor vehicles in emergency situations – Required if HM carrier 177.816 Training Requirements – Required if HM carrier
178 – Package Specifications		
180 – Package Quality and Maintenance		
397 – HM Driving and Parking	⊗ .2, .3, .5, .19, .67	A review of the 397.2 and 397.3 is required if the carrier transports Placardable HM: 397.2 – Compliance with the Federal Motor Carrier Safety Regulations 397.3 – State and local laws, ordinances and regulations A review of 397.5 and 397.19 is required if the motor carrier transports 1.1 1.2, or 1.3 Explosives 397.5 – Attendance and surveillance of motor vehicles 397.19 – Instructions and Documents 397.67 – Motor carrier responsibility for routing – Required if route controlled HM operation
Other		
325 – Noise Emission		
387 – Financial Responsibility	⊗ As applicable	Required as part of CAIR process as applicable to the commodity transported or motor carrier operation type.
398 – Transporting Migrant Workers	⊗ .3, .4	398.3 – Qualification of drivers and operators. Required if motor carrier transports migrant workers. 398.4 – driving of motor vehicles – Required if motor carrier transports migrant workers.
399 – Employee Health and Safety		

Parts by BASIC Tables

<ul style="list-style-type: none"> • review of full part ⊗ review of specific regulations within a part (relevant regulations are indicated by the number below the symbol, e.g., .21, .23 etc.) 	<h2 style="margin: 0;">Hours-of-Service (HOS) Compliance BASIC</h2>	
Safety		
40 – Drug & Alcohol Testing		
380 – Special Training	⊗ .503(b), .505, .513	380.503(b) – Entry Level Driver Training Requirements – Required if motor carrier has drivers subject to training requirements. 380.505 – Proof of Training – Required if motor carrier has drivers subject to entry-level driver training. 380.513 – Training Certificate – Required if motor carrier has drivers subject to entry-level driver training.
382 – Drug & Alcohol Testing		
383 – Commercial Driver’s License	⊗ Part of CAIR	Required as part of the CAIR process. Perform CDLIS checks in accordance with policy memo.
390 – FMCSR General	⊗ .3, .15, .23, .25	390.3 – General Applicability– ensures drivers are subject to regulations – Required 390.15 – accident register – Required if Crash BASIC Investigation is performed. 390.23/25 – relief – Required if a carrier is claiming relief. Confirm emergency declaration or emergency condition.
391 – Driver Qualifications	⊗ .21, .41, .43	391.21 – Application for Employment – Consideration in those cases where multiple employers may be contributing to the HOS Compliance BASIC 391.41 – Physical qualifications of drivers – Consideration in those cases where physical qualifications may be impacting the HOS Compliance BASIC 391.43 – Medical Exam – Consideration in those cases where physical qualifications may be impacting the HOS Compliance BASIC The investigator is not required to sample in these areas of consideration. The purpose is to have some other investigative options and documents to examine to better identify process breakdowns. Sampling in accordance with the Driver Fitness BASIC is not required since it is not the BASIC under investigation. If the investigator does choose to sample in these partial areas, the sample should be consistent with the BASIC under investigation, in this case, the HOS Compliance BASIC. <u>Example:</u> A review of 391.21 would be conducted if the investigator had reason to believe the driver had driven for another motor carrier by discovering a recent inspection in DSMS or other related evidence. In this case, the investigator might want to examine the employment application for that particular driver.
392 – Driving of Motor Vehicles	⊗ .3, .6, .9a(a)	392.3 – Ill and fatigued driver – Consideration when ill and fatigued driving is evident on the profile. Investigator should examine if violations may be related to a medical issue. 392.6 – Schedules to conform with speed limits – useful check when drivers are recording HOS activities that could not be completed in conformance with speed limits within the HOS examination – Required 392.9a(a) Authority – Required as part of the CAIR process
393 – Vehicle Parts and Accessories		
395 – HOS	•	Required: HOS Compliance BASIC
396 – Vehicle Maintenance		
Hazardous Materials		
107 – HM Program Procedures (Registration)		
171 – HM General		
172 – HM Table / Communication		
173 – Shipper Requirements		
177 – Carriage by Highway		
178 – Package Specifications		
180 – Package Quality and Maintenance		
397 – HM Driving and Parking		
Other		
325 – Noise Emission		
387 – Financial Responsibility	⊗ As applicable	Required as part of CAIR process as applicable to the commodity transported or motor carrier operation type.
398 – Transporting Migrant Workers	⊗.6	398.6 – HOS of drivers – Required if motor carrier transports migrant workers.
399 – Employee Health and Safety		



Parts by BASIC Tables

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Safety		
40 – Drug & Alcohol Testing		
380 – Special Training	●	LCV and Entry Level Driver Training Requirements – Required if motor carrier has drivers subject to Part 380 training requirements.
382 – Drug & Alcohol Testing		
383 – Commercial Driver’s License	●	Required: Driver Fitness BASIC and part of the CAIR process. Perform CDLIS checks in accordance with CDLIS policy memo.
390 – FMCSR General	⊗ .3, .15, .23, .25	390.3 – General Applicability– ensures drivers are subject to regulations – Required 390.15 – accident register – Required if Crash BASIC Investigation is performed. 390.23/25 – relief – Required if a carrier is claiming relief. Confirm emergency declaration or emergency condition.
391 – Driver Qualifications	●	Required: Driver Fitness BASIC
392 – Driving of Motor Vehicles	⊗ .3, .9a(a)	392.3 – Ill and fatigued driver – Consideration when ill and fatigued driving is evident on the profile. Investigator should examine if violations may be related to a medical issue. 392.9a(a) Authority – Required as part of the CAIR process
393 – Vehicle Parts and Accessories		
395 – HOS		
396 – Vehicle Maintenance		
Hazardous Materials		
107 – HM Program Procedures (Registration)		
171 – HM General		
172 – HM Table / Communication	⊗ .704	172.704 – Training Records – Required if HM carrier
173 – Shipper Requirements		
177 – Carriage by Highway	⊗ .816	177.816 – Training Requirements – Required if HM carrier
178 – Package Specifications		
180 – Package Quality and Maintenance		
397 – HM Driving and Parking		
Other		
325 – Noise Emission		
387 – Financial Responsibility	⊗ As applicable	Required as part of CAIR process as applicable to the commodity transported or motor carrier operation type.
398 – Transporting Migrant Workers	⊗ .3	398.3 – Qualification of drivers and operators. Required if motor carrier transports migrant workers.
399 – Employee Health and Safety		

Parts by BASIC Tables

<ul style="list-style-type: none"> ● review of full part ⊗ review of specific regulations within a part (relevant regulations are indicated by the number below the symbol, e.g., .21, .23 etc.) 	<h2 style="margin: 0;">Controlled Substances/Alcohol BASIC</h2>	
Safety		
40 – Drug & Alcohol Testing	●	Required: Controlled Substances and Alcohol BASIC
380 – Special Training		
382 – Drug & Alcohol Testing	●	Required: Controlled Substances and Alcohol BASIC
383 – Commercial Driver’s License	⊗ Part of CAIR	Required as part of the CAIR process. Perform CDLIS checks in accordance with policy memo.
390 – FMCSR General	⊗ .15	390.15 – accident register – Required to determine which crashes required post-accident controlled substance and alcohol testing. Additionally, Required if Crash BASIC Investigation is performed.
391 – Driver Qualifications	⊗ .23(d-m), .41-.45	391.23 (d-m) – Controlled Substance and Alcohol Program driver background checks and carrier responsibilities – Required 391.41, .43, .45 – Physical qualification for drivers, specific to controlled substances and alcohol issues. Required if driver tested positive.
392 – Driving of Motor Vehicles	⊗ .9a(a)	392.9a(a) Authority – Required as part of the CAIR process
393 – Vehicle Parts and Accessories		
395 – HOS		
396 – Vehicle Maintenance		
Hazardous Materials		
107 – HM Program Procedures (Registration)		
171 – HM General		
172 – HM Table / Communication		
173 – Shipper Requirements		
177 – Carriage by Highway		
178 – Package Specifications		
180 – Package Quality and Maintenance		
397 – HM Driving and Parking		
Other		
325 – Noise Emission		
387 – Financial Responsibility	⊗ As applicable	Required as part of CAIR process as applicable to the commodity transported or motor carrier operation type.
398 – Transporting Migrant Workers		
399 – Employee Health and Safety		



Parts by BASIC Tables

<ul style="list-style-type: none"> • review of full part ⊗ review of specific regulations within a part (relevant regulations are indicated by the number below the symbol, e.g., .21, .23 etc.) 	<h1 style="margin: 0;">Vehicle Maintenance BASIC</h1>	
Safety		
40 – Drug & Alcohol Testing		
380 – Special Training		
382 – Drug & Alcohol Testing		
383 – Commercial Driver’s License	⊗ Part of CAIR	Required as part of the CAIR process. Perform CDLIS checks in accordance with policy memo.
390 – FMCSR General	⊗ .3, .15, .21, .23, .25	390.3 – General Applicability – ensures drivers are subject to regulations – Required 390.15 – accident register – Required if Crash BASIC Investigation is performed. 390.21 – Ensure vehicles are properly marked. Check if vehicle inspections are conducted or if vehicle is observed during Vehicle Maintenance investigation. – Consideration when present on profile 390.23/25 – relief – Required if a carrier is claiming relief. Confirm emergency declaration.
391 – Driver Qualifications	⊗ .13	391.13 – Responsibilities of drivers – Consideration when the profile shows evidence of cargo issues related to knowledge and application of the cargo securement rules (393.100-.136). Use “1 of 1” violation citation logic.
392 – Driving of Motor Vehicles	⊗ .2, .9, .62, .9a(a)	392.2 – applicable operating rules – Consideration when the profile shows evidence of 392.2 Cargo-Related violations. Use “1 of 1” violation citation logic. 392.9 – inspection of cargo – Consideration when the profile shows evidence of 392.2 Cargo-Related violations. Use “1 of 1” violation citation logic. 392.62 – Safe operation or buses – Consideration when evidence of violation exists on the profile. 392.9a(a) Authority – Required as part of the CAIR process
393 – Vehicle Parts and Accessories	•	Required: Vehicle Maintenance BASIC – 393 violations noted on the carrier profile may be used as evidence when considering the “1 of 1” violation citation logic for 396.3(a)(1) or 392.2. 393.100-.136 Consideration when the profile shows evidence of cargo-related issues. Use “1 of 1” violation citation logic.
395 – HOS		
396 – Vehicle Maintenance	•	Required: Vehicle Maintenance BASIC 396.3(a) Inspection, repair, and maintenance – Consideration when profile shows evidence that may be related to the maintenance of load securement devices. Use “1 of 1” violation citation logic.
Hazardous Materials		
107 – HM Program Procedures (Registration)		
171 – HM General		
172 – HM Table / Communication		
173 – Shipper Requirements		
177 – Carriage by Highway		
178 – Package Specifications		
180 – Package Quality and Maintenance		
397 – HM Driving and Parking		
Other		
325 – Noise Emission		
387 – Financial Responsibility	⊗ As applicable	Required as part of CAIR process as applicable to the commodity transported or motor carrier operation type.
398 – Transporting Migrant Workers	⊗ .4	398.4 – driving of motor vehicles – Required if motor carrier transports migrant workers.
399 – Employee Health and Safety		

Parts by BASIC Tables

Hazardous Materials (HM) Compliance BASIC

• review of full part
 ⊗ review of specific regulations within a part (relevant regulations are indicated by the number below the symbol, e.g., .21, .23 etc.)

**Note: Parts 40, 325, 380, 382, 390, 391, 393, 395, 396, 398, and 399 are not examined during a focused investigation of the HM Compliance BASIC and therefore are not included in this table.

Safety		
383 – Commercial Driver’s License	⊗ /Part of CAIR	Required as part of the CAIR process. Perform CDLIS checks in accordance with policy memo.
392 – Driving of Motor Vehicles	⊗ .2	392.2 – applicable operating rules – required if State or local routing laws are applicable to the motor carrier under investigation. Use “1 of 1” violation citation logic.
Hazardous Materials		
107 – HM Program Procedures (Registration)	⊗ .101 - .405 .501 - .504 .601 - .620	107.101 - 107.405, required if carrier/shipper is a party to a special permit 107.501 - 107.504, required if carrier meets any Cargo Tank registration requirements 107.601 - 107.620, required if person meets any of the HM registration criteria found in 107.601
171 – HM General	⊗ .1, .2, .15, .16	171.1 – Applicability of Hazardous Materials Regulations (HMR) – Required to verify applicability of regulations. 171.2 – General requirements - Required 171.15 – immediate notice of certain hazardous material incidents – required if carrier/shipper was involved in an incident that required immediate notice. Refer to criteria in 171.15(b). 171.16 – detailed hazardous material incident reports – required if carrier has incidents meetings detailed reporting criteria
172 – HM Table / Communication	⊗ .200 – .205 .300 –.338 .400 –.450 .500 –.560 .600 –.606 .700 –.704 .800 –.822	172.200 - 172.205, Shipping Paper Requirements – required as applicable to each proper shipping name or class/division of hazardous material transported or shipped. 172.300 - 172.338, Marking Requirements – required for each proper shipping name or class/division of non-bulk and bulk packages requiring marking in accordance with Subpart D or Part 172. 172.400 - 172.450, Labeling Requirements – required as applicable to each proper shipping name or class/division of hazardous material being transported or shipped requiring labels in accordance with Subpart E of Part 172. 172.500 - 172.560, Placarding Requirements – required for each proper shipping name or class/division of hazardous material being transported or shipped requiring Placarding in accordance with Subpart F of Part 172. 172.600 - 172.606, Emergency Response Requirements – required for each proper shipping name or class/division of hazardous material required to have emergency response information. 172.700 - 172.704, Training Requirements – required for hazardous material employees as defined by Subpart H of Part 172, check all requirements in Subpart H. 172.800 - 172.822, Security Plan Requirements – required for hazardous material transporters and shippers that are required to have a security plan in accordance with Subpart I or Part 172.
173 – Shipper Requirements	•	Required for each proper shipping name or class/division of hazardous materials transported or shipped in accordance with Part 173.
177 – Carriage by Highway	•	177.800 - 177.823, general information and regulations – as applicable to the hazardous materials being transported. 177.834 – 177.843, loading and unloading – as applicable to the hazardous materials listed in Subpart B of Part 177. 177.848, Segregation and Separation of hazardous Materials – required if carrier transports Class 1 materials or a combination of hazardous materials requiring separation or materials are forbidden to be transported in the same transport vehicle in accordance with Subpart C of Part 177. 177.854, Vehicles and shipments in transit – as applicable and investigative evidence reveals. 177.870, Regulations applying to hazardous material on motor vehicles carrying passengers for hire – required if for hire passenger. Carrier also transports hazardous material for each proper shipping name or class/division of hazardous material transported by a for hire passenger carrier.
178 – Package Specifications	•	As applicable to the hazardous material packaging, Required if motor carrier is also a package manufacturer, cargo tank manufacturer or cargo tank owner
180 – Package Quality and Maintenance	•	Qualification and Maintenance of packaging – cylinders, IBC’s and Cargo Tanks. Required if motor carrier is a cargo tank or IBC owner, tester, inspector, or manufacturer
385 – Safety Fitness Procedures	⊗ .401 - .423	385.401 – 385.423, Hazardous Materials Safety Permits – as applicable to carriers transporting designated quantities of hazardous materials per 385.403
397 – HM Driving and Parking	•	Driving and Parking rules – as applicable to the hazardous material investigation.
Other		
387 – Financial Responsibility	⊗ As applicable	Required as part of CAIR process as applicable to the commodity transported or motor carrier operation type.

