

Certification Standards & Requirements for Tractor-Trailer Driver Finishing Programs



Spring, 2000

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PREFACE

This publication is made available in the interest of truck safety and the advancement of tractor-trailer driver training.

The driver finishing standards are the product of the collective wisdom of more than 200 motor carrier safety personnel, drivers, insurance executives, and educators teaching in the field of tractor-trailer operations, curriculum, and safety. The standards represent the touchstones that a tractor-trailer driver finishing program should contain and against which any such program may be judged. However, the absence of any particular performance element(s) and/or criterion (criteria) from a training program should not necessarily signify a deficiency in that program, as each program must be considered individually.

The standards and requirements for program certification attached hereto are the official policy of the Professional Truck Driver Institute (PTDI) and serve as the criteria by which PTDI evaluates the training programs of organizations seeking certification. The standards specified in this document must be met before PTDI approves of and issues its certification to a driver finishing training program.

The contents of this publication do not represent official policy of any governmental or quasi-governmental agency. PTDI expressly disclaims any and all liability for the content, use, and application of the skill and program certification standards, and makes no representation or warranty as to the fitness of any individual who has been trained in accordance with the standards or procedures detailed herein.

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Spring, 2000

CERTIFICATION STANDARDS AND REQUIREMENTS FOR TRACTOR-TRAILER DRIVER FINISHING PROGRAMS

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Note: The *Certification Standards and Requirements for Tractor-Trailer Driver Finishing Programs* is one of two sets of standards for use by finishing programs. The other is entitled *Skill Standards for Professional Solo Tractor-Trailer Drivers*.

PROFESSIONAL TRUCK DRIVER INSTITUTE

VOLUNTARY CERTIFICATION: POLICIES AND PROCEDURES FOR TRACTOR-TRAILER DRIVER FINISHING PROGRAMS

PURPOSE

The PTDI works to advance tractor-trailer driver training, proficiency, safety, and professionalism by promoting high-quality truck driver training programs and by verifying and publicly attesting to their quality.

Voluntary certification is the PTDI process that grants public recognition to institutions such as trucking firms whose programs for training and finishing tractor-trailer drivers meet or exceed established qualifications and criteria, as determined through initial and periodic evaluation by the PTDI. Certification is voluntary in that organizations request evaluation of their programs for PTDI certification.

The purposes of the certification process are to provide a professional judgment of program quality, to encourage continuing program improvement, and to increase industry use of tractor-trailer driver training and tractor-trailer driver finishing programs.

PTDI certification of tractor-trailer driver finishing training programs is intended to do the following:

- Verify quality
- Promote improvement
- Assure employers, potential enrollees/employees, governmental agencies and offices, the trucking industry, insurance providers, safety advocates, official bodies, and the public of the quality of *specific* training programs.

DEFINITIONS

A tractor-trailer **driver finishing training program** is defined as all the operations designed to provide qualified entry-level drivers with a program of instruction in the safe and responsible operation of tractor-trailer vehicles that enables them to advance to solo drivers. Each program is evaluated and certified separately.

Tractor-trailer driver finishing training should be capably and responsibly managed; offer a well-organized and up-to-date training program; be conducted by qualified instructional personnel; use effective instructional materials, equipment, and methods requiring active involvement of learners; and use a well defined system for (1) assessing outcomes and achievements of stated objectives, and (2) improving instruction.

Organization refers to any entity that provides a program of training and testing for finishing drivers.

Program of Instruction refers to a training program instructional intent, content, methods, and materials.

Certification is the process of initially confirming that the minimum standards of the PTDI have been met or exceeded.

Recertification is the PTDI process of officially reconfirming that the minimum standards of the PTDI have been met or exceeded.

The **PTDI certifies entry-level tractor-trailer driver training courses and driver finishing programs** of study throughout the United States, Canada, and Mexico, and may certify programs in other countries. Organizations are eligible for program certification without regard to their organizational form, sources of financial support, size of enrollment, or percentage of total effort dedicated to truck driver training.

ELIGIBILITY

To qualify as an applicant for PTDI driver finishing program certification, an organization and its program or programs of instruction must comply with the following:

- Have successfully operated tractor-trailer driver finishing training programs for at least one uninterrupted year immediately prior to the date of application for certification.
- Express the amount of training offered in hours and other clearly defined quantitative units of measurement that can be converted easily to hours.
- Express expected driver trainee outcomes as competency-based performance criteria.
- Use an identified staff of individuals who are actively involved in training.
- Have completed at least one group or cohort of new drivers through the program for which they are seeking certification.
- Have a satisfactory safety rating from the Department of Transportation or its Canadian/Mexican equivalent.
- New driver trainees in the tractor-trailer driver finishing program to be certified must be graduates of PTDI-certified tractor-trailer driving training courses.

GENERAL PROGRAM POLICY

1. The periods of certification and recertification are graduated with initial certification lasting for three years; the Certification Committee will determine the period of renewal thereafter.
2. A brief annual report is required during the certification and recertification periods. The report must address modifications to the program including items such as changes in program content and hours, enrollment numbers, safety rating, and changes in staffing.
3. Each program is evaluated within its own context and not in comparison with other programs.
4. Each site that conducts a program is considered an individual entity and the fee schedule applies. Program control functions such as records, supervision, and staff development activities define a "site." Programs conducted at separate locations or branches are separate entities and are inspected and charged separately, depending on the resolution of program control functions.
5. The certification process on-site evaluation uses peer review. The on-site team consists of a team leader from a carrier and a PTDI staff person.
6. All records and documents used in the application must be available to the site-visit team. Program administrators, some trainers, and some driver trainees also must be available.
7. The application process and records review is conducted by the PTDI Certification Committee. The Certification Committee meets three times a year, or as needed, to deal with program applications and certification program policy.
8. Certification includes factors as expressed in the accompanying standards.
9. The review process involves analysis of program content and length.
10. The burden of proof lies with the applicant to provide documentation and information. Information within documents must be consistent across the standards.
11. Programs denied certification by the PTDI Certification Committee have the right to request reconsideration of the Certification Committee's decision. The process is explained elsewhere in these materials in Appendix D: Rules and Procedures.
12. Initial certification and recertification involve a self-evaluation process and documentation prior to a site visit. The self-study consists of questions that can be answered by narratives and/or existing documentation. Applicants are expected to answer the questions, indicate the sources of documentation, and provide all the information to the on-site evaluation team.
13. All master documentation should be compiled in one location and in a categorized way for the on-site evaluation team to use.
14. Certification can be withdrawn at any time when the PTDI Certification Committee has reason to believe, based on site review, complaints, or other information, that a carrier is not in compliance with one or more of the certification requirements of PTDI. Procedures are explained in the Rules and Procedures section of this document.

FEE SCHEDULE
PTDI TRACTOR-TRAILER DRIVER FINISHING PROGRAM
CERTIFICATION AND RECERTIFICATION

All fees are non-refundable

INITIAL CERTIFICATION

The certification fee is payable in three (3) stages

(1) Initial Application Fee (due with the application)	\$ 550
(2) Review of Self Evaluation Report (due with the SER) <i>(includes ongoing consultation)</i>	1,100
(3) On-site Visit (includes costs of on-site team; due after on-site visit) Due before the Certification Committee meeting)	<div style="border-top: 1px solid black; display: inline-block; width: 100%;">1,645</div>
	\$3,295

INITIAL CERTIFICATION AT ADDITIONAL PERMANENT LOCATION

Available to schools under common ownership of school that has a PTDI-certified course at another permanent location

Application Fee (\$550), SER Review & Ongoing Support (\$500), On-site Visit (\$1,200)	<div style="border-top: 1px solid black; display: inline-block; width: 100%;">2,250</div>
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ANNUAL CERTIFICATION FEE

Due each year on anniversary date of certification (Main site)	\$ 750
Due each year on anniversary date of certification (Each additional site)	500
Late fee (per site)	50

RECERTIFICATION

An annual certification fee is due with the annual report each year. There is no recertification fee.

FEE FOR CERTIFYING A SECOND COURSE

Whether submitted with initial course or subsequently	\$ 250
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FEE FOR SUBSTANTIVE CHANGE TO COURSE

Normally change will be reviewed without an on-site visit If on-site visit is required, school will pay on-site expense	\$ 250
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RANDOM AUDITS

Cost is included in Annual Fee

CERTIFICATE/SEAL OF ATTAINMENT SUSTAINING FEE

Required purchase from PTDI & required to be issued to school to each graduate who completed requirements of PTDI-certified course	2.30 ea.
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SHOW CAUSE OR APPEAL

No fee; expenses are responsibility of school.

STEPS IN THE PTDI CERTIFICATION/RECERTIFICATION PROCESS

- Carrier reviews “Certification Standards & Requirements for Tractor-Trailer Driver Finishing Programs” and “Skill Standards for Professional Solo Tractor-Trailer Drivers.”
- Carrier requests application package.
- PTDI sends carrier:
 - Confirmation Form
 - Application for Certification
 - Verification of Eligibility Form
 - Steps in PTDI Certification and Recertification Process
 - Fee Schedule
 - Standards, if extra set is needed
- Upon receipt of above completed forms and fees from the carrier, PTDI sends carrier
 - Instructions for completing Self-Evaluation Report (SER)
 - Blank copy of the SER forms
- The carrier forms a committee that will conduct the self-evaluation of the tractor-trailer driver finishing program based on PTDI standards.
- After completing the SER according to the “Instructions for Completing Self-Evaluation Report (SER),” the carrier submits three to five sets (as requested) of the materials in tabbed binders to PTDI.
- PTDI reviews the self-evaluation reports to determine whether the program qualifies for the on-site evaluation. PTDI may request clarification or additional materials.
- The one-day on-site evaluation is conducted by a Team Leader and a PTDI staff member. The program is reviewed for compliance with the standards as expressed in this document. If the program does not meet the minimum standards, the carrier will be notified of recommended improvements.
- Results of the on-site evaluation are reviewed by the Certification Committee, which meets three times a year, or as needed. The Certification Committee reviews results of the on-site visit and documented corrections. The Certification Committee’s options are to certify, deny or defer certification.
- If the program meets the requirements, the program is certified for three years. The Certification Committee will determine the period for renewal thereafter.

ON-SITE EVALUATION/INITIAL CERTIFICATION

In its review, the on-site evaluation team for **initial certification** will review the identical items as indicated on the tractor-trailer driver finishing program Self-Evaluation Report (SER.)

It is essential that the team members have access to all the information and reference materials necessary to complete the evaluation of each standard. **It is highly recommended that reference materials be organized and labeled according to each standard.** When documentation for a particular standard also applies to another, it may be cross-referenced; e.g., the documentation might be under Standard 2.1, then “documentation” for Standard 3.3 might say “See Standard 2.1.”

The on-site evaluation should be conducted while training is occurring. Team members will tour classrooms as well as talk to trainers and driver trainees. They will need to evaluate the lesson plans, instructional materials, and equipment. The on-site team will make every effort to conduct its evaluation with as little disruption as possible. However, several driver finishing trainers and driver trainees must be available during the site visit.

In addition, the on-site evaluation team will conduct a survey of program completers. Please prepare a list of individuals who have completed the program within the last two years and who might be contacted briefly.

Upon completion of the on-site evaluation, the team will share its impressions of general strengths and recommendations for improvement with the applicant. The team will not be able to indicate whether or not the program will be certified. The PTDI office will notify program officials as designated by the carrier after all evaluation materials have been reviewed and the PTDI Certification Committee has made a determination regarding certification.

RECERTIFICATION PROCESS

The recertification process uses a general process of self-evaluation and site visit similar to the original certification process. The self-evaluation then can deal with changes that have occurred during the period of the initial certification.

PROFESSIONAL TRUCK DRIVER INSTITUTE TRACTOR-TRAILER DRIVER FINISHING PROGRAM CERTIFICATION STANDARDS

Please note that all standards apply to the entire program being certified.

STANDARD 1 – ADMINISTRATION

Standard 1.1

Truth in Recruiting and Promotional Materials

The tractor-trailer driver finishing program is accurately and clearly defined and explained in promotional materials. Information accurately reflects the way the program operates and the outcomes it produces. Obligations are well defined.

Standard 1.2

Chain of Command

The organizational framework, as it relates to the tractor-trailer driver finishing program, is clearly defined. A current organizational chart clearly shows responsibility for instruction and administration as well as coordination with other departments in the organization.

Standard 1.3

Administrative Institutional Support

Helpful support from top levels of management should be demonstrated. Indicators of support include but are not limited to the following: staff in-service training and policy to enable its use; provision of appropriate facilities; up-to-date equipment and training materials; support of driver finishing trainer decisions; appropriate buffers to business side of the operation; and a driver liaison to help deal with problems.

Standard 1.4

Program Goals

The program is guided by corporate policies as outlined in the organizational goals and mission statement.

Standard 1.5

Administrative Qualifications

The tractor-trailer driver finishing program is planned, administered, and directed by persons with appropriate administrative skills and especially tractor-trailer driver finishing program experience. Professional and support personnel possess a combination of education and experience that qualifies them for their assignments.

Standard 1.6

Driver Trainee Eligibility

Tractor-trailer driver finishing programs should have clear, written hiring and program eligibility requirements (minimum driver qualifications) that are followed. Driver trainee eligibility requirements must include graduation from a PTDI-certified tractor-trailer driving program.

Standard 1.7

Written Policies

Written policies are in place for governing the tractor-trailer driver finishing program. Policies regarding trainee safety, liability, and rules; coordination with operations; each department's responsibilities; evaluation; and pay, benefits, and a grievance procedure (employee policies) should be written, followed, and provided to new drivers, trainers, recruiters, and organizations that produce candidates for the program.

STANDARD 2 – TRAINERS

Standard 2.1

Driver Finishing Trainer Qualifications

Driver finishing instructional personnel possess education and experience that clearly qualify them for their assignments. At a minimum, driver finishing trainers must have the following qualifications:

- a. Meet minimum hiring criteria for drivers and trainers for the company;
- b. Know and comply with company procedures for operations, safety, and training;
- c. Have credibility and a good reputation within the company;
- d. Where truck driving competency is required, have a minimum of one year of experience as a licensed, successful tractor-trailer driver with a good driving record; have experience in all four seasons of operation; meet state requirements, carrier and/or company policy; meet all federal or provincial motor carrier safety regulations, safety code, and other federal (or state/provincial) requirements; and have a state or provincial license and other permit, if applicable;
- e. Have evidence of having completed a meaningful train-the-trainer program of at least 24 hours to master required skills and knowledge. Content must include at least 16 hours of teaching skills such as communication (such as listening skills and conflict resolution) and presentation skills (such as coaching, mentoring, demonstration skills). This content must be taught in face-to-face settings. Eight (8) of the 24 hours may be company-specific information or additional trainer skills deemed critical by the company. Distance learning technologies may be used to deliver up to 8 hours of non-interactive content such as company policy. Distance learning is not approved for the interactive content of communication and presentation skills. Administrative controls must be in place to ensure that the distance learning instruction takes place; occurs in a timely manner (within 10 days of other training); is used by trainers; is mastered by participants; and assures that the person who participates actually is the specific trainee when credit is assigned. Administrative controls must include records of material use/participation; indications of individual participant time engagement; and records of individual mastery (test scores or other comparable information.) Usually a monitored or proctored setting will be required to provide assurance, both of participation/engagement with the materials and of the testing/skills master;
- f. Have a state or provincial license and other permit, if applicable;
- g. Have passed any appropriate trainer exams.

(part E revised 1/19/01)

Standard 2.2

Driver Finishing Trainer Staff Development and Supervision

Driver finishing trainers participate in a regular staff development program or activities and are recertified or requalified at least every two years; further, there is a written policy to ensure use of staff development activities. Trainers are carefully supervised and systematically evaluated during each training cycle (or other appropriate program-specific unit of time) to ensure high-quality training.

STANDARD 3 - TRAINING VEHICLES

Standard 3.1

Condition of Vehicles

All vehicles (a) are in good mechanical condition; (b) meet safety requirements -- all applicable federal, provincial, and state regulations; (c) are equipped with occupant restraint systems for all occupants; (d) contain operational emergency equipment including safety devices in bunks; and (e) are appropriate to the use made of the vehicle (for example, sleeping).

STANDARD 4 - TRAINING CONTENT AND PRACTICE

Standard 4.1

Instructional Content

Instruction must be divided into driving and non-driving aspects. Classroom instruction occurs in a non-vehicle environment and is composed of non-driving units of instruction that cover information about the trucking firm and operating a tractor-trailer safely and properly as a first seat driver. Instruction covers the subject areas identified by the PTDI professional solo tractor-trailer driver skill standards. Classroom instruction is supported by appropriate visual and instructional aids such as slides, films, videotapes, displays, textbooks and written instructional materials, models, charts, and mock-ups. Road instruction is supported with appropriate written materials. Simulators and computer-assisted instruction activities are welcome as long as they are not used in place of road instruction, coaching, and driving.

Standard 4.2

Program Outline and Objectives

A general program outline clearly identifies units of instruction including their broad purpose and general content. It is provided to all participants and is available to other interested parties. The program is composed of units of instruction within the overall outline that cover the knowledge and skills required to operate a tractor-trailer safely and properly as a first-seat driver. Units are designed around a combination of performance, knowledge, and skill objectives, although not every unit necessarily will have some of each.

Performance objectives specify what driver trainees can do at the conclusion of instruction and are tied directly to the PTDI skill standards.

Knowledge objectives describe what driver trainees know at the conclusion of instruction and are tied directly to the PTDI skill standards.

Skill objectives describe the level of performance driver trainees must master and demonstrate at the conclusion of instruction and are tied directly to the PTDI skill standards.

Standard 4.3

Instructional Time

The total hours of classroom, lab and road instruction received by each driver trainee is a minimum of 240 hours spread over at least four (minimum) to six (recommended) weeks. At least 200 of those 240 hours must be on the road as behind-the-wheel time, and a minimum of 100 hours of the 240 hours must be behind the wheel with the trainer in the second seat. The ratio of new driver to driver trainer for on-the-road time is 1 to 1.

Standard 4.4

Print Materials

Printed training materials are appropriate to their intended use during instruction or preparation for training; fit conditions of use (e.g., classroom or in vehicle); are appropriate to the ability level of driver trainees; are provided to each driver trainee; contain information in use in industry today; and cover critical subjects and topics.

Standard 4.5

Multimedia Materials

Materials are up to date and accurate, and they fit into instruction.

Standard 4.6

Classroom Conditions

The classroom learning environment is safe, sanitary, and comfortable, with adequate furnishings, light, temperature, ventilation, and space. The new-driver-trainee-to-driver-finishing-trainer ratio during classroom and laboratory instruction averages one trainer for not more than each group of 30 trainees (1:30) over the year and never exceeds one trainer for 36 trainees.

Standard 4.7

Classroom, Lab, and Range Lesson Plans

Driver finishing trainers follow modular lesson plans for class, lab, and range (if applicable) to ensure quality, consistency, and uniformity of instruction. Specific outlines or plans are used to guide each session. They should include content, key points, objectives, evaluation activities, and opportunities to practice or use information.

Standard 4.8

Road Instruction

Behind-the-wheel (BTW) instruction is conducted under various roadway, traffic, and weather conditions that satisfy objectives. Night-driving principles must be taught and used.

Standard 4.9

Road Lesson Plans

Driver finishing trainers conducting road or street instruction use modular BTW lesson outlines or guides that list specific responsibilities for conducting street instruction. The guides must at least indicate content to be taught, how the trainer will ensure mastery of information, and any relevant materials that will be used in instruction.

Standard 4.10

Life-on-the-Road Content

The over-the-road management content topics like managing fatigue, controlling diet, getting exercise, staying in touch with families, and dealing with emergencies are built into task sheets and taught.

STANDARD 5 - EVALUATION AND TESTING

Standard 5.1

Classroom and Lab Tests

Written tests and performance assessments are used to test a sample of knowledge objectives for each unit of instruction. Test questions are phrased so that new drivers possessing the information can answer correctly.

Standard 5.2

Road Tests and Driver Evaluation

Road or on-the-street tests are used and are based upon and assess the objectives of this part of the training. They use routes and conditions that permit a broad range of observation. Results are recorded on an examination checklist. Weekly evaluations are used and provided. Results are discussed with the new driver/trainee; written evaluations are provided and signed by trainer and trainee; and documentation of having performed the evaluations and having provided direct feedback is maintained and available.

Standard 5.3

Tractor-Trailer Driver Finishing Program Evaluation

New driver trainees' critiques of the program and of their trainer will be collected, analyzed and used in program planning.

STANDARD 6 - RECORDS

Standard 6.1

In-Training Data

An "in-training" file is maintained for each driver trainee. The file must contain, but is not limited to, training records, test results, unit completion, and progress information such as achievement of objectives. Records are updated regularly and kept secure.

Standard 6.2

Permanent Records

Records of completers are kept for three years and securely maintained and protected against fire and other perils.

Standard 6.3

Behind-the-Wheel Time Records

Each driver trainee keeps a “driver duty status record” or other appropriate document of time acknowledged by both the driver trainee and driver finishing trainer during the program. The record must denote separately drive time and supervised drive time as well as on-duty non-driving time.

Standard 6.4

DAC Reporting

Where appropriate, the carrier will enter new entry-level drivers into the DAC system at time of hire and remove them at time of departure.

STANDARD 7 - OUTCOMES AND PLANNING

Standard 7.1

Program Follow-Up

A follow-up system is used to determine how well the new drivers perform as first-seat drivers at work. The follow-up system should produce data on and ensure useful information about needed additions and deletions to instruction and equipment. The information also should note reasons for non-employment.

**APPENDIX A:
PTDI APPLICATION FOR
INITIAL CERTIFICATION OR RECERTIFICATION**

Date _____

Carrier Name (as to be shown on lists, etc.) _____

Mailing Address _____

City _____ State _____ Zip _____

Physical Address (& Zip) _____

Driver Finishing Program Director (Mr./Ms.) _____ Title _____

Contact Person (during certification process) _____ Title _____

Telephone _____ Fax _____

Toll-Free _____ e-mail _____

President/C.E.O (Mr./Ms.) _____ Title _____

Additional Information for President/CEO if different from carrier address:

Full Address _____

Phone _____

Fax _____

NOTE: Program Evaluation Report (PER) will be sent to carrier director with copy to president/CEO.

Applicant is applying for:

Initial certification _____

Recertification _____

Questions

1. Date carrier was established: _____
2. Date driver finishing training was initiated: _____ Date first class or group was completed: _____
3. Number of driver trainees currently involved in *total* driver finishing program: _____
4. Number of driver trainees currently involved in driving finishing program being submitted? _____
5. Total length of driver finishing program being submitted? Hours _____ Weeks _____
6. Total number of classroom instruction hours excluding breaks? _____
7. Number of behind-the-wheel hours on the road of the program being submitted? _____
8. Number of driver trainee behind-the-wheel hours on the road with driver finishing trainer in the second seat?

9. Number of driver trainees who completed the program in the last 12 months from the program(s) submitted:

(continued)

Our program is currently licensed, authorized, or approved by (if applicable):

Government agency _____

Phone _____ Effective date _____ Expiration date _____

Our program is currently accredited or certified by (if applicable):

Agency or Institution Accreditation/Certification Date of Expiration

(list one)

* * * * *

In applying for certification, we understand a \$250 application fee and a \$500 certification fee must accompany the application. (NOTE: The \$500 is waived for recertifications.) Further, if the application is not accepted, it is understood the \$500 certification fee will be refunded but the application fee of \$250 will be used by PTDI to cover administrative costs of application review and processing. If reapplication is made within 12 months, however, our initial \$250 fee will be credited for the purpose of reapplication.

This application is made in full understanding and agreement with the various financial requirements upon applicants for certification as contained in the Estimated Cost for PTDI Certification and Recertification schedule attached.

The information contained in this application is correct to the best of our knowledge. We agree to make no promotional use of our application prior to granting of certification by the PTDI.

In signing this application, we specifically authorize the PTDI to publish information indicating that our program(s) has been certified. If the program(s) is not certified, we hereby authorize PTDI to state, only upon inquiry, that the organization applied for certification of its program(s), that certification was not granted, and the date of decision. PTDI may not disclose any other information regarding our organization.

PRESIDENT/CEO _____

Title _____

Signature _____

RETURN TO: Professional Truck Driver Institute
555 E. Braddock Road
Alexandria, VA 22314

FOR ADDITIONAL INFORMATION, CALL (703) 647-7015.

**APPENDIX B:
PROFESSIONAL TRUCK DRIVER INSTITUTE
VERIFICATION OF ELIGIBILITY**

I hereby certify that the (name of training organization) _____

(address) _____

meets the eligibility requirements for PTDI certification as indicated below:

1. Has successfully operated tractor-trailer driver finishing training programs for at least one uninterrupted year immediately prior to the date of application for certification.
2. Expresses the amount of training offered in hours and other clearly defined quantitative units of measurement that can be converted easily to hours.
3. Expresses expected driver trainee outcomes as competency-based performance criteria.
4. Uses an identified staff of individuals who are actively involved in training.
5. Has completed at least one group or cohort of new drivers through the program for which it is seeking certification.
6. Has a satisfactory safety rating from the Department of Transportation or its Canadian/Mexican equivalent.
7. Hires new driver trainees in the tractor-trailer driver finishing program to be certified who are graduates of PTDI-certified tractor-trailer driving training courses.

ORGANIZATIONAL OFFICIAL: _____

Print or Type Name

Title

Signature

Date

TO: PTDI
555 E. Braddock Rd.
Alexandria, VA 22314

Telephone: 703-647-7015; Fax 703-836-6610

APPENDIX C:

PROFESSIONAL TRUCK DRIVER INSTITUTE, INC.

RULES AND PROCEDURES FOR NOTICE OF CERTIFICATION COMMITTEE DECISION, EFFECTIVE DATE, APPEALS, SHOW CAUSE, AND COMPLAINTS

Part 1 - NOTICE of CERTIFICATION COMMITTEE DECISION

Notification of a decision of the Certification Committee shall be transmitted in writing to the applicant within thirty (30) calendar days following the close of the Certification Committee meeting at which the applicant's course was considered. If the Certification Committee's action is to deny or withdraw certification, the notification shall advise the school of its right to appeal the decision pursuant to these rules, and of the right to a hearing.

As used in these Rules and Procedures, the term "certification" means, as appropriate, "initial certification" and "recertification".

Part 2 - EFFECTIVE DATE

Any decision of the Certification Committee shall be effective fifteen (15) days following receipt by the school of the official written notification of the Certification Committee's action.

If the decision of the Certification Committee is one to deny or withdraw certification, and if the school in fact files a timely notice of appeal with the Chair of the Certification Committee, then that decision shall not become effective until the effective date of the Appeal Panel's final decision disposing of the school's appeal. Appeal Panel decisions become effective on the date that written notice of the decision is received by the school.

A certified course that is the subject of a decision to deny or withdraw certification shall remain and be carried on any PTDI-published list of certified courses pending exhaustion of the appeal process and until or after, as appropriate, the effective date of the Appeal Panel's final decision. A certified course that is the subject of a decision to defer certification shall remain and be carried on any PTDI-published list of certified courses pending a final decision by the Certification Committee.

Part 3 - RULES OF PROCEDURE for APPEAL

3.1 Scope

All schools which are denied course certification; which have a course certification withdrawn; or which otherwise are expressly granted the right to appeal herein, shall be entitled to appeal the decision of the Certification Committee according to the procedures herein.

3.2 Notification Procedures

Notices of Certification Committee or Appeal Panel actions, and any notices of appeal, shall be sent by U.S. Postal Service certified mail, return receipt requested; courier; express delivery service; or by any other means that assigns an individual identification number and is capable of being traced during or after transit.

3.3 Exclusive Remedy

The appeal procedure provided herein is the exclusive remedy by which a school may redress what it believes is an adverse, erroneous, mistaken, or incorrect decision of the Certification Committee. Absent the granting of a petition for a

variance, the Certification Committee will not act upon or address petitions for reconsideration, reinstatement, or other such relief. If a school's appeal is denied, its recourse for relief is to wait six (6) months to reapply for certification.

Decisions rendered by the Appeal Panel are final and binding for the applicable term of six months. Decisions on appeal are not subject to review, modification, or suspension by the members, staff, or Board of PTDI.

3.4 Basis for Appeal

(a) A school that is adversely affected by a Certification Committee decision may appeal such decision if it has reason to believe:

- (i) That the decision was erroneous as a matter of fact or law;
- (ii) That there has been an oversight or omission in the Certification Committee's decisionmaking process;
- (iii) That the decision was arbitrary and capricious; or
- (iv) That it is already in compliance with PTDI's Standards and Requirements for Course Certification.

(b) The burden of proof of compliance shall in all cases rest with the school.

3.5 Appeal Procedure

(a) Any school that so desires may, within fifteen (15) days of the date upon which it receives notice of a Certification Committee decision, notify the Chair of the Certification Committee in writing (1) that it is appealing the Certification Committee's decision, and (2) whether it wishes to appear at an appeals hearing to offer oral testimony or argument.

(b) The notice of appeal shall further set forth (3) the names, titles, and addresses of all individuals or counsel, respectively, who will appear on behalf of the school or testify or argue on its behalf.

(c) The notice of appeal shall further set forth in detail (4) the grounds for appeal, described in Subsection 3.4 above, which the school intends to pursue, and (5) the specific reasons why it is appealing.

(d) Any such notice of appeal not filed within the fifteen (15)-day appeal period provided above shall constitute waiver of a school's rights to appeal of, and hearing on, the respective Certification Committee's decision.

(e) The appeal will be heard at the earliest practical time.

3.6 Standard of Review on Appeal

On appeal, the school has the burden of proving that the Certification Committee's decision was erroneous, not supported by the evidence of record, or was otherwise arbitrary and capricious.

3.7 Appeal Document

(a) Within twenty (20) days after filing its written notice of appeal of the Certification Committee's decision, the school shall submit five (5) copies of an Appeal Document to the Chair of the Appeal Panel. The Appeal Document shall set forth in detail all of the facts and arguments which the school believes supports a reversal or modification of the Certification Committee's adverse certification decision. The statements shall be accompanied by all documents and other materials upon which the school relies to support its appeal.

(b) Failure of a school to timely submit an Appeal Document after filing a notice of appeal constitutes a waiver of its rights to further challenge the Certification Committee's decision.

3.8 Appeal Review Procedures

(a) The Chair of the Appeal Panel shall assemble and distribute to Appeal Panel members the complete record of the certification proceeding, including but not limited to the school's application, site visit report and recommendation, Notice of Appeal, Appeal Document, and other relevant documents.

(b) An Appeal Panel shall review the proceeding and, if reserved by the school, hear oral testimony or argument. The Appeal Panel shall grant the appeal after the school proves conclusively that as of the time of the Certification Committee's decision, it met PTDI's Standards and Requirements for Course Certification, and any other applicable PTDI qualification criteria.

(c) The Appeal Panel shall be composed of a minimum of three individuals; two who shall be Certification Committeers and one other person who shall be an educational team leader who was not involved in the original review and is not a member of the Certification Committee or the PTDI Board of Directors. The Panel shall appoint one of their number to act as Chair. The decision of the Appeal Panel shall be unanimous.

(d) In order to effect action on any matter under the jurisdiction of the Appeal Panel, all Panel members or their designated alternates must be present. A decision represents the action of the Appeal Panel after it has received the vote of two-thirds of the Panel members.

(e) The Appeal Panel is empowered, upon a proper showing, to grant the school's appeal and order such other and further relief as may be necessary to effect its decision, e.g., it may reverse the Certification Committee's decision to withdraw or deny certification. The Appeal Panel's decision is binding upon the Certification Committee, and shall be conveyed to the appellant school as soon as is practicable after the appeal is heard.

3.9 Appeal Hearing Procedures

(a) The Chair of the Appeal Panel shall commence the hearing with an opening statement describing the applicable standard of review and the procedures to be followed at the hearing.

(b) The school appealing the Certification Committee's decision may offer oral argument in support of its position. Generally a period of forty-five (45) minutes should be allocated for an appeal presentation. The Chair has the discretion to grant additional time.

(c) Any member of the Appeal Panel may pose questions of the school's representative(s) at any time during the oral argument. Nothing in these rules shall prevent any Panel member from inquiring into any issue relative to the school's compliance with PTDI standards and other certification requirements.

3.10 Appeal Decision

Following its receipt of testimony and argument at an appeal hearing, the Appeal Panel shall issue a written decision stating its decision and fully setting forth all of the reasons therefor. The decision shall be issued within thirty (30) days of the conclusion of the appeal hearing. The Chair of the Appeal Panel shall direct notice of the Committee's decision to the school's designated representative, who shall subsequently receive a written copy of the Appeal Panel's decision. The Appeal Panel shall take one or more of the following decisions with respect to the appeal:

(a) Affirm the Certification Committee's decision in its entirety or in all material respects.

(b) Reverse the Certification Committee's decision on the grounds that:

(i) The Certification Committee's decision was clearly erroneous;

(ii) The Certification Committee's decision was not based upon the evidence of record;

(iii) The Certification Committee's decision was arbitrary and capricious;

(iv) The school's compliance with PTDI's Standards and Requirements for Course Certification and other applicable standards has been conclusively established.

(c) Reverse the Certification Committee's decision on any of the foregoing grounds and impose stipulations to be met concurrently with certification.

Any decision of the Appeal Panel is final and not subject to appeal, reconsideration, arbitration, or further review by any state or federal court.

3.11 Expenses of Appeal

(a) The expenses incurred in the development and presentation of an appeal shall be wholly borne by the school filing and prosecuting the appeal, including payment of any appeal fee that may be prescribed.

(b) Expenses incurred in convening the Appeal Panel, distributing the Appeal Document and remaining portions of the record, and conducting the appeal hearing, shall be incurred by PTDI.

Part 4 – SHOW CAUSE PROCEEDINGS

4.1 Scope

A course certification may be withdrawn, revoked, amended, made subject to stipulations, or made subject to the submission of reports at any time, following due diligence, that PTDI has a reasonable basis to believe that the course or institution offering the course is not in compliance with one or more of the certification requirements of PTDI. Due diligence consists of conducting an on-site review of the course facilities, investigating a properly-documented complaint, or investigation of other information that comes to its attention.

Following the invocation of these procedures, a school may avert immediate withdrawal, revocation, or amendment of a course certification, or the imposition of stipulations or reporting requirements, if it timely acknowledges the show cause invocation and if it supplies substantial evidence of an intent to correct or remedy any noted deficiencies in its compliance, as more specifically described below.

A certified course that is the subject of a show cause order shall remain and be carried on any PTDI-published list of certified courses pending exhaustion of the show cause procedure and until or after, as appropriate, the effective date of the final disposition, if any, by the Certification Committee or the Appeal Panel.

4.2 Notification Procedures

Notices of Certification Committee actions, including notices invoking a show cause proceeding, shall be sent by U.S. Postal Service certified mail, return receipt requested; courier; express delivery service; or by any other means that assigns an individual identification number and is capable of being traced during or after dispatch.

4.3 Initiation of Show Cause Proceeding

(a) Where the Certification Committee has reason(s) to believe that a certified course no longer complies with PTDI's Standards and Requirements for Course Certification, or has failed to comply with any other order or requirement of the Certification Committee, it shall order the course provider to show cause why its certification should not be, as appropriate, withdrawn, revoked, amended, or made subject to stipulation or reporting. The Certification Committee may invoke a show cause proceeding

(1) on its own motion; (2) following an on-site inspection; (3) following investigation of a properly-documented complaint; as defined below, and (4) following investigation of other information that comes to its attention. The Certification Committee, between Certification Committee meetings, may authorize the conduct of on-site visits and the investigation of complaints.

(b) Any show cause proceeding that is initiated shall be reduced to writing, and the order invoking the show cause proceeding shall promptly be sent to the president or chief executive officer of the school which is the subject of the order. The show cause order shall (i) state fully the reason(s) why the proceeding was invoked; (ii) identify the particular standard(s) and requirement(s) with which it is alleged the school or course provider is not in compliance, or the administrative or other requirements that the school has failed to observe; (iii) recite the evidence suggesting or indicating that the school may not be in compliance with the Certification Committee's requirements; (iv) advise the school of its obligations in the show cause proceedings; and (v) specify the date by which the school must respond to the order to avert adverse action.

(c) The show cause order may direct the school to submit specific documents or materials to the Certification Committee and may allow the school to submit to an additional on-site evaluation to gather facts and evidence pertinent to the issues raised in the order. Such evaluation and documentation shall be at the school's expense, unless otherwise specifically ordered by the Certification Committee.

(d) The decision to issue a show cause order is not appealable under Part 3 or under any other Part of these Rules; however, the Certification Committee's decision on and disposition of the show cause order is expressly intended to be appealable pursuant to Part 3 of these Rules.

4.4 Response to Show Cause Order

(a) Any school that so desires may, within twenty-one (21) days from the date of its receipt of a show cause order, notify the Chair of the Certification Committee in writing of its response to the show cause order. The response shall, at a minimum, indicate the school's intent to respond to the show-cause order, and any intent to appear before the Certification Committee to offer oral testimony or argument.

(b) Within twenty-one (21) days of receipt of an administrative show cause order, a school may submit to the Chair of the Certification Committee evidence of its compliance with the noted deficiency(ies), which compliance may include evidence of corrective action taken to remedy prior noncompliance.

(c) Appropriate documentation to support a response to a show cause order, and which demonstrates that the school is in compliance with PTDI's Standards and Requirements for Course Certification and any other Certification Committee orders or requirements cited in the show cause order, may be submitted to the Chair of the Certification Committee at any time, but no less than thirty (30) days prior to the meeting of the Certification Committee at which the show cause order is to be heard. Documentation must also state the names, titles, and addresses of all individuals or counsel, respectively, who will appear on behalf of the school or testify or argue on its behalf.

(d) Failure of a school to timely submit any documentation in response to a show cause order after filing a notice of its intent to respond constitutes a waiver of its rights to further challenge the show cause order.

(e) Appearances before the Certification Committee are limited to forty-five (45) minutes. Parties appearing before the Certification Committee may not introduce new evidence or documentation that has not previously been submitted.

(f) A transcript of a hearing before the Certification Committee on a show cause order shall be furnished at the expense of the party challenging the order provided that party notifies PTDI, at least twenty-one (21) days in advance of the Certification Committee meeting at which the show cause order is to be heard, of its desire to have the proceedings recorded and transcribed. PTDI reserves the right to have the show cause proceedings recorded and transcribed.

4.5 Standard of Review

In opposing a show cause order, the school has the burden of proving that the Certification Committee's decision to

invoke the show cause procedure was erroneous, not supported by the evidence of record, or was otherwise arbitrary and capricious.

4.6 Decision on Show Cause Order

(a) After expiration of the time limit for submission of a response to the show cause order, or for a hearing on the show cause order, or for the adoption of any additional requirements placed on a school relative to a show cause order, the Certification Committee may take any of the following actions:

- (i) Rescind the show cause order and order no change in the school's certification status;
- (ii) Defer action on the show cause order pending the development of additional facts or the conduct of further proceedings;
- (iii) Continue the school's certification with stipulations or with recommendations for improvement;
- (iv) Withdraw or revoke the school's or course's certification;
- (v) Require the school to submit to an early renewal of certification;
- (vi) Order the school to submit progress reports documenting its efforts to become compliant or remain compliant with the applicable Standards and Requirements for Course Certification, or other orders and requirements; and
- (vii) Issue such other or further order, or impose such other or further requirement, which it believes is necessary, proper, fair, and equitable to preserve the integrity of the PTDI program, including ordering future appearance(s) before the Certification Committee.

(b) A decision on the show cause order must receive a vote of a majority of members of the Certification Committee in order for the decision to represent the decision of the Certification Committee.

(c) Following its receipt of evidence and any testimony and argument at an oral hearing, the Certification Committee shall issue a written decision on a show cause order, stating its decision and fully setting forth all of the reasons therefor. The decision shall be issued within thirty (30) days of the due date for the receipt of all documentation or, in the event of an oral hearing, within thirty (30) days after the conclusion of the hearing. Notice of the Certification Committee's decision shall be transmitted from the Chair of the Certification Committee directly to the school's designated representative, who shall subsequently receive a written copy of the decision.

(d) Any decision of the Certification Committee finally disposing of a show cause order shall be appealable pursuant to Part 3 of these Rules, and any notice of decision on a show cause order, issued pursuant to Section 4.6(c), shall contain notice that the decision carries the right to appeal, including the right to an oral hearing. Decisions by the Certification Committee are not subject to review, modification, or suspension by the members, staff, or Board of PTDI.

4.7 Expenses of Show Cause Proceeding

(a) The expenses incurred in responding to a show cause order, including but not limited to preparation of documentation and transcription, plus any show cause expense fee that may be prescribed, shall be wholly borne by the school or course provider responding to the show cause order.

(b) Expenses incurred in convening the Certification Committee, distributing the school's documentation, and conducting the show cause hearing, shall be incurred by PTDI.

Part 5 – COMPLAINTS

- (a) PTDI remains committed to ensuring that the quality and integrity of its course curriculum, and the

standards and requirements for course certification, are unimpeachable. In order to help safeguard the high training and course certification standards for the industry and the public, PTDI will receive and investigate complaints including but not limited to those relating to a particular school or course provider's curriculum, student skill standards, and standards and requirements for course certification.

(b) Before a complaint about a school or its compliance can trigger an investigation that may include a site visit, (i) the complaint must be in writing and signed by an identifiable individual, with contact information (e.g., name, address, and telephone number); (ii) the Complainant must detail the efforts made to have the school or course provider address and resolve his complaint(s), and must at a minimum provide the date(s) and identity(ies) of those individuals at the school with whom he or she has dealt, and provide a copy of the school's response, if any; (iii) the complaint must be reviewed by the Certification Committee to determine that it is material and not frivolous; (iv) the school shall receive a copy of the complaint; (v) the school shall be given an opportunity to respond to the complaint; and (vi) the school's response must be received by the Certification Committee within twenty-one (21) days.

(c) Where the investigation of the validity of a complaint, against schools with a certified course(s) and those schools applying for course certification, involves a site visit, the site visit (i) shall be conducted by at least two PTDI representatives; (ii) need not involve the original or a previous site-visit team; and (iii) shall have access to information developed by the original site-visit team. If in the course of investigation of a complaint other areas of noncompliance are found, the Certification Committee may initiate other action as appropriate against the school or course provider.

Part 6 – APPLICABILITY

These Rules and Procedures shall apply where a course for which certification is being sought, or against which a show cause proceeding has been initiated, is a course providing entry level tractor-trailer driver instruction, and where a course or program provides tractor-trailer driver finishing training. If the latter, (a) the word "carrier" may be substituted for the word "school"; (b) the term "Standards and Requirements for Tractor-Trailer Driver Finishing Program Certification" may supplant the term "Standards and Requirements for Course Certification"; and (c) the rules and procedures shall in all other respects be read to apply to carriers and others operating a tractor-trailer driver finishing program.

m/certification standards
r/appeal&showcoz.ptd
rev. 9/10/99

Part 6 added 4/2000

Fee Schedule rev. 10/03

**APPENDIX D:
SUGGESTED DRIVER FINISHER SKILLS,
KNOWLEDGE, AND ATTRIBUTES SET***

1. Use/demonstrate effective coaching skills.
2. Model appropriate driving skills and behaviors.
3. Reinforce appropriate behavior.
4. Evaluate and correct constructively appropriate driver trainee behavior.
5. Evaluate driver performance fairly and consistently.
6. Use variety of teaching techniques including reflective teaching skills.
7. Identify individual trainee's needs.
8. Use criteria to know when trainee completes program.
9. Manage stress on job as well as road and work demands.
10. Serve as a mentor.
11. Complete paper work on time and accurately.
12. Listen closely and understand meaning in conversation.
13. Encourage/inspire trainee activity and outcomes.
14. Respond appropriately in conversation.
15. Ask questions effectively.
16. Plan programs and projects.
17. Demonstrate how to work constructively with dispatchers.
18. Keep your word.
19. Present a professional appearance.
20. Treat trainees with respect.
21. Deal with customers appropriately.
22. Exercise patience with trainees.
23. Demonstrate appropriate personal hygiene.
24. Show pride in work.
25. Demonstrate enthusiasm in work and desire to train.
26. Follow rules, regulations, and directions.
27. Use ability to say, "I don't know."
28. Focus on safety first.
29. Demonstrate loyal company perspective.
30. Complete what you begin.
31. Understand the learning process of adults.
32. Have company-specific knowledge about policy, emergencies, equipment, cargo, and consequences.
33. Know all regulations and laws.
34. Have knowledge of trucking industry.
35. Know norms of behavior and tricks of life on the road.
36. Know and explain how to deal with family issues while on the road.

*This list was derived through structured interviews with 25 high-performing tractor-trailer driver finishing trainers. It is intended as a suggested starting point for preparing instructional materials for training tractor-trailer driver finishing trainers.