

Name of Assessor: Mark Johnson.VP, Safety & Compliance  
Company being Assessed: Liquid Transport Corp Corporate Office  
Date of Assessment: 3/6/2009

# MOTOR CARRIER ASSESSMENT PROTOCOL

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### 1. Assessment Information

|  |  |
|--|--|
| Assessment Date:   | <b>3/6/09</b>  |
| Last Assessment Date:  | <b>5/02/05; 6/01/06; 4/6/07</b>  |
| Motor Carrier Name:  | <b>LIQUID TRANSPORT CORP</b>   |
| ICC or US DOT M/C Identification Number:                     | <b>119226</b>  |
| Headquarters address:  | <b>8470 ALLISON POINTE</b>   |
| Phone and Fax Numbers/email:                                 | <b>Telephone: 317-841-4200</b>   |
|  | <b>Fax: 317-841-8506 T&amp;D</b>   |
|  | <b>E-mail: MJohnson@LiquidTransport.com</b>  |
| Site(s) locations assessed:                                  | <b>Corporate Office</b>  |
| Main activities of site(s) assessed:                         | <b>Administrative</b>  |
| Number of employees at site(s) assessed:                     | <b>51</b>  |
| Assessor(s) (name/company):                                  | <b>Mark Johnson, VP, Safety &amp; Compliance</b>   |
| Persons interviewed during this assessment (name and title): | <b>K. Lewis, President; K. Roycraft, VP, Operations, M. Johnson, VP, Safety &amp; Compliance; J. Wharton, Director, Traffic &amp; Pricing.</b> |

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## 2. Motor Carrier Profile

| QUESTION |  | YES  | NO        |
|----------|--|--|-----------|
| 1.       | Are practices/policies uniform throughout company facilities?  | <b>XX</b>  |           |
| 2.       | Type of carrier/operation:   | <input checked="" type="checkbox"/> For Hire <input type="checkbox"/> Private <input checked="" type="checkbox"/> Interstate<br><input type="checkbox"/> Broker <input checked="" type="checkbox"/> Dryage <input checked="" type="checkbox"/> Intrastate<br><input type="checkbox"/> Common <input checked="" type="checkbox"/> Contract <input checked="" type="checkbox"/> Mexican/Canadian |           |
| 3.       | Does the company have all state and local permits required for the areas it transports through?  | <b>Yes</b>   |           |
| 4.       | Specific activities of the company. Please check the appropriate box:  |  |           |
|          | <input checked="" type="checkbox"/> Truckload  | <input type="checkbox"/> Direct delivery   |           |
|          | <input type="checkbox"/> Less than truckload   | <input type="checkbox"/> Inter-line delivery   |           |
|          | <input checked="" type="checkbox"/> Bulk - liquid Cargo Tank   | <input checked="" type="checkbox"/> Bulk - dry Hopper Tanks  |           |
|          | <input checked="" type="checkbox"/> Intermodal Portable Tanks  | <input type="checkbox"/> Other (specify)   |           |
| 5.       | Please note: FHWA recordable accidents per million miles as of (date:) Yr end 2006: Total DOT Incident-.039; Preventable DOT: 0.16 ("accident" is defined in 49 CFR 390.5) |  |           |
| 6.       | What is the driver turnover for those with one year or less of service? 34%.   |  |           |
| 7.       | What is the driver turnover for those with greater than one year of service? 16%.  |  |           |
| 8.       | What percentage of drivers have been added to the company workforce in the past year? 28%.   |  |           |
| 9.       | What is the company's current DOT Safety Rating? Satisfactory  |  |           |
| 10.      | Can the company carry all hazard class and division chemicals?<br>List class and division company transports: 3, 6, 8, 9   |  | <b>No</b> |
| 11.      | Is the company a American Chemistry Council Responsible Care Partner:  | <b>Yes</b>   |           |
| 11a.     | If yes, please indicate year the company became a Partner: 1998. RCMS Certified 12/07  |  |           |
| 11b.     | Who is the company's Responsible Care Coordinator: (name/title/phone number): Mark Johnson, V.P., Safety & Compliance 317- 841-4200.                                       |  |           |
| 12.      | Is the company a member or partner of any other transportation and/or distribution safety domestic or international organization committed to continuous improvement?      | <b>Yes</b>   |           |
| 12a.     | If yes, list all organizations: National Tank Carriers Assoc; ACC, as a Responsible Care Partner.; ATA; Indiana Motor Truck Assoc.   |  |           |
| 13.      | Does the company have a written safety policy?   | <b>Yes</b>   |           |
| 13a.     | Is it signed by an officer of the company?   | <b>Yes</b>   |           |
| 14.      | Please list (name and title) the key contacts for the following:   |  |           |

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|      |   |
|------|---|
| 14a. | Safety Manager: Mark Johnson, V.P.-Safety<br>To whom does this person report? President   |
| 14b. | Training/Security/Quality: Mark Johnson, V.P.-Safety  |
| 14c. | Employee Health & Safety: Mark Johnson, V.P.-Safety   |
| 14d. | Hazardous Materials: Mark Johnson, V.P.-Safety  |
| 14e. | Risk Management: Mark Johnson, V.P.-Safety  |
| 14f. | Security: Mark Johnson, V.P.-Safety   |
| 15.  | Please provide a copy of your motor carrier profile or copies of the following, if available, in an appendix:                                       |
| 15a. | Current (within 2 years) FHWA Motor Carrier Safety Profile (Safer Snapshot)   |
| 15b. | Form MSC-90 "Endorsement(s) for Motor Carrier Policies of Insurance for Public Liability Under Sections 29 and 30 of the Motor Carrier Act of 1980" |
| 15c. | Form MSC-82 "Motor Carrier Surety Bond for Public Liability Under Section 30 of the Motor Carrier Act of 1980"                                      |
| 15d. | A written decision, order, or authorization by the FHWA authorizing a highway carrier to self insure, and the amount of the insurance               |
| 15e. | Environmental Insurance Coverage (attach a copy of the certificate if the company has this insurance <i>coverage</i> )                              |
| 15f. | Civil <i>Forfeitures and</i> warnings issued in last two (2) years  |

### 3. Management Commitment

| QUESTION                            |     |   | YES | NO | N/A |
|-------------------------------------|-----|---|-----|----|-----|
| <b>A. Management Responsibility</b> |     |   |     |    |     |
| 1.                                  |     | Does the motor carrier have written policies and procedures reflecting management's active commitment to: |     |    |     |
|                                     | 1.1 | Safe Operations?  | X   |    |     |
|                                     | 1.2 | Regulatory Compliance?  | X   |    |     |
|                                     | 1.3 | Responsible Care' (if a partner company)?   | X   |    |     |
|                                     | 1.4 | Security?   | X   |    |     |
| 2.                                  |     | Is there a company organization chart?  | X   |    |     |
| 3.                                  |     | Are responsibilities for the roles clearly defined in a job description or equivalent?                    | X   |    |     |
| <b>B. Corrective Action</b>         |     |   |     |    |     |
| 1.                                  |     | Does management hold regular review meetings on safety?   | X   |    |     |
|                                     | 1.1 | Are deficiencies by report or audit discussed and action plans to rectify them implemented?               | X   |    |     |
| 2.                                  |     | Is there a system in place for reporting non-conformance with respect to:                                 |     |    |     |
|                                     | 2.1 | Accidents?  | X   |    |     |
|                                     | 2.2 | Incidents?  | X   |    |     |
|                                     | 2.3 | Damage?   | X   |    |     |
|                                     | 2.4 | Potential Hazards?  | X   |    |     |
|                                     | 2.5 | Spills?   | X   |    |     |
|                                     | 2.6 | Security Plan?  | X   |    |     |
| 3.                                  |     | Is there a system in place for reporting non-conformance with respect to:                                 |     |    |     |
|                                     | 3.1 | Operational Practices?  | X   |    |     |
|                                     | 3.2 | Employee Health and Safety Regulations?   | X   |    |     |
|                                     | 3.3 | Transportation Regulations?   | X   |    |     |
|                                     | 3.4 | Environmental Regulations?  | X   |    |     |
|                                     | 3.5 | Security Regulations?   | X   |    |     |
| 4.                                  |     | Regarding incident reporting procedures:  |     |    |     |
|                                     | 4.1 | Is there a written reporting procedure?   | X   |    |     |
|                                     | 4.2 | Are all incidents reported to management?   | X   |    |     |

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|                           |     |  |   |  |  |
|---------------------------|-----|--|---|--|--|
|                           | 4.3 | Is each report subject to an investigation to determine the root cause of the non-conformance?                 | X |  |  |
| 5.                        |     | Are DOT 5800.1 reports completed and submitted as required by regulation?                                      | X |  |  |
|                           | 5.1 | Does the carrier report any chemical release regardless of size of the release?                                | X |  |  |
|                           | 5.2 | Is there a system in place to notify the shipper in the event of an accident or incident?                      | X |  |  |
| 6.                        |     | Is there a policy to assign an investigator to analyze chemical distribution incidents?                        | X |  |  |
|                           | 6.1 | Is there a length of time in which the analysis must be complete?  | X |  |  |
| 7.                        |     | Are incident trends reported to management?  | X |  |  |
|                           | 7.1 | If yes, how often:   | X |  |  |
|                           | 7.2 | Is there a written procedure for follow-up action on investigation recommendations with the responsible party? | X |  |  |
|                           | 7.3 | Is effectiveness of corrective action documented?  | X |  |  |
| 8.                        |     | Is there a process in place to report:   |   |  |  |
|                           | 8.1 | Security incidents?  | X |  |  |
|                           | 8.2 | Security threats?  | X |  |  |
| <b>C. Driver Training</b> |     |  |   |  |  |
| 1.                        |     | Does a written policy on trainer qualifications exist?   | X |  |  |
|                           | 1.1 | Does the company have a list of internal trainers?   | X |  |  |
|                           | 1.2 | Does the policy apply to third party trainers?   | X |  |  |
|                           | 1.3 | Does the company have a list of third party trainers?  | X |  |  |
| 2.                        |     | Has an evaluation been made of all activities to identify training needs?                                      | X |  |  |
|                           | 2.1 | Is this evaluation updated at least annually?  | X |  |  |
|                           | 2.2 | Does the evaluation identify needs that are mandated by regulation?  | X |  |  |
|                           | 2.3 | Does the evaluation identify needs that are critical to safety?  | X |  |  |
|                           | 2.4 | Does the evaluation identify needs that are critical to security?  | X |  |  |
|                           | 2.5 | Does the evaluation identify needs which are recommended by investigators?                                     | X |  |  |
| 3.                        |     | Are training records maintained as required by regulation?   | X |  |  |
| 4.                        |     | Is the company in compliance with the DOT hazardous materials training requirements?                           | X |  |  |
| 5.                        |     | Do managers and supervisors receive formal training in the following areas:                                    |   |  |  |
|                           | 5.1 | Management responsibility?   | X |  |  |

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|                             |      |  |   |  |  |
|-----------------------------|------|--|---|--|--|
|                             | 5.2  | Reporting, investigating and analysis?   | X |  |  |
|                             | 5.3  | Promotion of safety and quality attitudes?   | X |  |  |
|                             | 5.4  | Auditing?  | X |  |  |
|                             | 5.5  | Occupational health and safety and applicable regulations?   | X |  |  |
|                             | 5.6  | Environmental protection and applicable regulations?   | X |  |  |
|                             | 5.7  | Transportation regulations?  | X |  |  |
|                             | 5.8  | Security regulations?  | X |  |  |
|                             | 5.9  | Quality manual, procedures and standards?  | X |  |  |
|                             | 5.10 | Emergency Procedures?  | X |  |  |
|                             | 5.11 | Customer relationships?  | X |  |  |
|                             | 5.12 | Operations?  | X |  |  |
|                             | 5.13 | Maintenance?   | X |  |  |
|                             | 5.14 | Terminal inspections?  | X |  |  |
|                             | 5.15 | Administration?  | X |  |  |
|                             | 5.16 | Personnel?   | X |  |  |
|                             | 5.17 | First Aid? Selected personnel.   | X |  |  |
|                             | 5.18 | Security plans?  | X |  |  |
|                             | 5.19 | Security threat and incident reporting?  | X |  |  |
|                             | 5.20 | Security procedures?   | X |  |  |
| <b>D. Driver Management</b> |      |  |   |  |  |
| 1.                          |      | Is there a written policy for driver qualification and disqualification?                           | X |  |  |
|                             | 1.1  | Is your policy consistent with regulations?  | X |  |  |
| 2.                          |      | Is there a written policy regarding driver background checks and verification of this information? | X |  |  |
| 3.                          |      | Are criminal background checks conducted?  | X |  |  |
| 4.                          |      | Is employment status verified?   | X |  |  |
| 5.                          |      | Are immigration papers on file and properly documented for employees who are not U.S. citizens?    | X |  |  |
| 6.                          |      | Are driver qualification files maintained?   | X |  |  |
| 7.                          |      | Does the carrier have a policy concerning drugs and alcoholic?                                     | X |  |  |



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|     |      |   |   |  |  |
|-----|------|---|---|--|--|
| 8.  |      | Is pre-employment drug testing done?  | X |  |  |
| 9.  |      | Is random drug testing performed?   | X |  |  |
| 10. |      | Are drivers involved in a vehicle accident/incident subject to mandatory drug testing?  | X |  |  |
| 11. |      | In addition to a commercial driver's license with the proper endorsements, are drivers required to carry two forms of identification? | X |  |  |
|     | 11.1 | How many forms of identification contain a photo?: <b>Two (2)</b>   |   |  |  |

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### 4. Regulatory Compliance

| QUESTION                                      |      |   | YES  | NO | N/A |
|---|------|---|--|----|-----|
| <b>A. Responsibility and Auditing</b>         |      |   |  |    |     |
| 1.  |      | Does the company have Material Safety Data Sheets (MSDSs) on file for products transported?   | X  |    |     |
| 2.  |      | Are all drivers trained on:   |  |    |     |
|   | 2.1  | Pre-loading cargo acceptance?   | X  |    |     |
|   | 2.2  | Product compatibility?  | X  |    |     |
|   | 2.3  | Emergency procedures communication (North American Emergency Response Guide, Transportation Emergency Management Card, or other means)?                 | X  |    |     |
|   | 2.4  | Marking?  |  | X  |     |
|   | 2.5  | Labeling?   |  | X  |     |
|   | 2.6  | Placarding?   | X  |    |     |
|   | 2.7  | Securement method for transit?  | X  |    |     |
|   | 2.8  | En-route security?  | X  |    |     |
| 3.  |      | Is there a written procedure for auditing the site for safety?  | X  |    |     |
| 4.  |      | Is there a written procedure for auditing the site for security?  | X  |    |     |
| 5.  |      | Is there a written procedure for auditing the site for regulatory compliance?   | X  |    |     |
| 6.  |      | Do those who carry out the internal audits have training in auditing and evaluation techniques?   | X  |    |     |
|   | 6.1  | Are qualified personnel used where specific background/education is required?   | X  |    |     |
| 7.  |      | For those elements included in the audit plan, are action plans developed and corrective actions taken when revealed as necessary by an internal audit? | X  |    |     |
| 8.  |      | Are audit action plans reviewed regularly to determine progress?  | X  |    |     |
| 9.  |      | Are copies of the completed audit and recommendations given directly to management?   | X  |    |     |
| 10.   |      | Are third party compliance auditing contractors utilized?   |  | X  |     |
|   | 10.1 | Is a list (including telephone numbers) of the contractors available?   | n/a  |    |     |
|   | 10.2 | Is a copy of the most recent site audit available?  | n/a  |    |     |
| 11.   |      | Is a procedure in place to handle a FHWA inspector audit?   | X  |    |     |
| <b>B. Emergency Preparedness and Response</b> |      |   |  |    |     |
| 1.  |      | In the event of a chemical distribution incident, does the site have its own response personnel and mediation equipment?                                | X- We have trained responders on staff. Act as liaisons in support of contract response teams. |    |     |
|   | 1.1  | If YES, to what qualification and under what regulation are site response personnel trained (NFPA 472 & competency level, etc.)?                        |  |    |     |

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|  |     |  |   |                                   |  |
|--|-----|--|---|-----------------------------------|--|
|  | 1.2 | If a third party contractor is utilized, has the company conducted an assessment of the contractor's operations?   | X |                                   |  |
| 2.   |     | Is there a 24-hour on call person for emergency response?  | X |                                   |  |
| 3.   |     | Is 24-hour phone coverage for emergency response provided by a third party (e.g. CHEMTREC)?                        | X |                                   |  |
|  | 3.1 | If yes, please list the third party: CHEMTREC  |   |                                   |  |
| 4.   |     | Is there a written emergency response plan for chemical distribution incidents (on-site and off-site)?             | X |                                   |  |
| 5.   |     | Are individual responsibilities clearly defined in the plan?   | X |                                   |  |
|  | 5.1 | Are drivers trained to respond in the event of a release?  | X |                                   |  |
|  | 5.2 | Is a copy of the driver training course curriculum available?  | X |                                   |  |
| 6.   |     | Does the company participate in the TRANSCAEO (TRANSPortation Community Awareness and Emergency Response) program? | X |                                   |  |
|  | 6.1 | Does the company participate in TRANSCAERO programs along its major transportation routes?                         | X |                                   |  |
|  | 6.2 | Does the company participate in training exercises along its transportation routes?                                | X |                                   |  |
|  | 6.3 | Does the company communicate with the public on the risks of chemical transportation along its major routes?       |   | In concert with customer programs |  |
| <b>C. Environmental Waste Management (Complete this section only if your company hauls hazardous waste.)</b> |     |  |   |                                   |  |
| 1.   |     | Does staff include persons licensed and/or certified in environmental protection and/or waste disposal?            | X |                                   |  |
| 2.   |     | Are there arrangements with local environmental regulatory agencies for disposal of washings and sump contents?    | X |                                   |  |
| 3.   |     | Are waste manifests maintained?  | X |                                   |  |
| 4.   |     | Is there documentation of waste treatment activities and quantities?   | X |                                   |  |
| 5.   |     | Are wastes disposed of on-site covered by permits?   | X |                                   |  |
| 6.   |     | Are wastes disposed of off-site covered by contract/letter of agreement?   | X |                                   |  |
| 7.   |     | If YES to number 6, does the contract/letter of agreement specify the method of                                    |   |                                   |  |
|  | 7.1 | Disposal?  | X |                                   |  |
|  | 7.2 | Liabilities?   | X |                                   |  |
|  | 7.3 | Responsibilities?  | X |                                   |  |
| 8.   |     | Are water discharges monitored for hazardous and non-hazardous pollutants?   | X |                                   |  |
| 9.   |     | Are water discharges and pollution measurements documented?  | X |                                   |  |
| <b>D. Employee Security Training</b>   |     |  |   |                                   |  |
| 1.   |     | Is security awareness training provided to all hazmat employees?   | X |                                   |  |
|  | 1.1 | Does the training include company's security plan?   | X |                                   |  |

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### 5. Operational Practices

| QUESTION                             |      |   | YES   | NO | N/A |
|--------------------------------------|------|---|---|----|-----|
| <b>A. Operating Procedures</b>       |      |   |   |    |     |
| 1.                                   |      | Does the company have documented job descriptions for operations personnel (including drivers)? | X   |    |     |
| 2.                                   |      | Are operating procedures reviewed at least annually?  | X   |    |     |
|                                      | 2.1  | Are records kept of the review?   | X   |    |     |
| 3.                                   |      | Do the company's operating procedures cover:  |   |    |     |
|                                      | 3.1  | Loading & Unloading?  | X   |    |     |
|                                      | 3.2  | Product compatibility in multi-loads?   | X   |    |     |
|                                      | 3.3  | Product compatibility after different cargo?  | X   |    |     |
|                                      | 3.4  | Cleaning methods for tank, valves, hoses?   | X   |    |     |
|                                      | 3.5  | Inspection methods for trailer, tank, valves, hoses?  | X   |    |     |
|                                      | 3.6  | Cargo acceptance prior to loading?  | X   |    |     |
|                                      | 3.7  | Weighing, Bridge Laws, and compliance?  | X   |    |     |
|                                      | 3.8  | Sampling methods?   |   |    | X   |
|                                      | 3.9  | Decontamination methods for container/cargo compartment?  |   |    | X   |
|                                      | 3.10 | Fumigation methods for container/cargo compartment?   |   |    | X   |
|                                      | 3.11 | Inspection of container/cargo compartment for safety and cleanliness?                           | X   |    |     |
|                                      | 3.12 | Load/Container securement?  | X   |    |     |
|                                      | 3.13 | a) Blocking and bracing?  | X   |    |     |
|                                      | 3.14 | b) Sealing and locking?   | X   |    |     |
|                                      | 3.15 | Product segregation?  | X   |    |     |
|                                      | 3.16 | Accidents: Vehicles & Shipments?  | X   |    |     |
|                                      | 3.17 | Shipping Papers?  | X   |    |     |
|                                      | 3.18 | Anti-theft devices?   | TERMINAL SPECIFIC TRAINING                              |    |     |
|                                      | 3.19 | Anti-tampering devices?   |   | X  |     |
| <b>B. Receipt and Delivery Rules</b> |      |   |   |    |     |
| 1.                                   |      | Is route criteria for appropriate truckload and bulk agreed to in advance with the shipper?     | Where required by customer with cost sharing agreement. |    |     |

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|                                 |     |  |   |                                       |     |
|---------------------------------|-----|--|---|---------------------------------------|-----|
| 2.                              |     | Does the company utilize a Risk Management Process for route assessment?   |   | Where required by customer.           |     |
|                                 | 2.1 | If YES, please list the company representative (with phone number) that implements this process: Jim Wharton, Director-Traffic and Pricing. 371-842 4200                                       |   |                                       |     |
| 3.                              |     | Are records of route assessments available?  |   | Proprietary                           |     |
| 4.                              |     | Have measures to reduce risk(s) been implemented?  | X |                                       |     |
|                                 | 4.1 | Are records of these actions available?  |   | Proprietary                           |     |
| 5.                              |     | Is en-route security included in the company's security plan?  | X |                                       |     |
| 6.                              |     | Does the company have a means of monitoring shipments en-route?  | X |                                       |     |
| 7.                              |     | Does the company have a means to contact drivers en-route?   | X |                                       |     |
| 8.                              |     | Does the company have a way to track when a shipment is delivered?   | X |                                       |     |
| 9.                              |     | Are guidelines in place to secure equipment during breaks and layovers?  | X |                                       |     |
| 10.                             |     | Are security items for storage-in-transit verified?  |   |                                       | N/A |
| 11.                             |     | Does the carrier have a policy regarding safe locations?   | X |                                       |     |
| 12.                             |     | Does the carrier have the capability to provide security escorts?  | X | Possible with cost sharing agreement. |     |
| 13.                             |     | Does the carrier have the capability to provide driver teams?  | X |                                       |     |
| <b>C. Loading and Unloading</b> |     |  |   |                                       |     |
| 1.                              |     | Are there documented procedures defining responsibility for company personnel on loading and unloading chemical packages?  | X |                                       |     |
| 2.                              |     | Are there documented procedures defining responsibility for drivers on loading and unloading chemical packages?  | X |                                       |     |
| 3.                              |     | Are there documented procedures defining responsibility for customers/receivers on loading and unloading chemical packages?  | X |                                       |     |
| 4.                              |     | Are there documented procedures defining responsibility for the taking of samples during loading and unloading of chemical packages?   | X |                                       |     |
| <b>D. Third Parties</b>         |     |  |   |                                       |     |
| 1.                              |     | Do you use third parties to move freight?  | X |                                       |     |
|                                 | 1.1 | If YES, explain the process you use to qualify these third parties in the appendix. <b>Cost, insurance, driver qualifications, and quality are analyzed. Safety performs an on-site audit.</b> |   |                                       |     |
| <b>E. Security</b>              |     |  |   |                                       |     |
| 1.                              |     | Is there a security policy signed by management that emphasizes the importance of protecting people, property, and the operational practices against loss by intentional destruction or theft? | X |                                       |     |
| 2.                              |     | Is a risk-based security plan in place?  | X |                                       |     |
|                                 | 2.1 | Is the security plan regularly reviewed?   | X |                                       |     |
|                                 | 2.2 | Does the security plan provide for security when the terminal site is not open?  | X |                                       |     |
| 3.                              |     | Are inspections of facilities and operations made periodically to verify compliance with security plan?  | X |                                       |     |

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|     |      |  |   |  |  |
|-----|------|--|---|--|--|
| 4.  |      | Are checklists used in the security inspections?   | X |  |  |
| 5.  |      | Are the results of security inspection written and reported to management?               | X |  |  |
| 6.  |      | Are security inspection reports maintained?  | X |  |  |
| 7.  |      | Is there a process to control access to terminal sites?                                  | X |  |  |
| 8.  |      | Is there a process to restrict employees from unauthorized areas?                        | X |  |  |
| 9.  |      | Is there a process or method in place to identify employees and visitors?                | X |  |  |
| 10. |      | Has the company addressed perimeter fencing and surveillance lighting at terminal sites? | X |  |  |
| 11. |      | Does the company have document control processes in place?                               | X |  |  |
| 12. |      | Does the company have cyber security control processes in place?                         | X |  |  |
| 13. |      | Is there a plan to monitor tractor and trailer inventory at terminal sites?              | X |  |  |
| 14. |      | Is there a procedure to report:  |   |  |  |
|     | 14.1 | Overages?  | X |  |  |
|     | 14.2 | Shortages?   | X |  |  |
|     | 14.3 | Suspicious packages?   | X |  |  |

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### 6. Terminal Inspection

| QUESTION                                    |     |  | YES             | NO | N/A |
|---|-----|--|-----------------|----|-----|
| <b>A. Operating Procedures</b>              |     |  |                 |    |     |
| 1.  |     | Is there a terminal inspection policy signed by management which emphasizes the importance of safety, security, regulatory compliance, housekeeping and operational practices? | X               |    |     |
| 2.  |     | Are terminal inspection reports available for review?  | Proprietar<br>y |    |     |
| <b>B. Tank Cleaning and Decontamination</b> |     |  |                 |    |     |
| 1.  |     | Do you have a process to qualify cleaning facilities?  | X               |    |     |
| 2.  |     | Does that process involve use of the NTTC Tank Truck Cleaning Audit Form?  | X               |    |     |
| 3.  |     | Do you have a "HEEL" management program?   | X               |    |     |
| 4.  |     | Do you have a confined space/tank entry program?   | X               |    |     |
| 5.  |     | Does the carrier verify that tank cleaning facilities have completed a risk based security plan?   | X               |    |     |
|   | 5.1 | Does the carrier verify that the security plan is reviewed periodically?   | X               |    |     |
| 6.  |     | Does the carrier verify that tank cleaning facilities have a process to control access?  | X               |    |     |

## 7. Vehicle Inspection and Maintenance

| QUESTION                                  |      |   | YES   | NO | N/A |
|---|------|---|---|----|-----|
| <b>A. Operating Procedures</b>            |      |   |   |    |     |
| 1.  |      | Is there a documented inspection and preventive maintenance program on safety and appearance for:                       |   |    |     |
|   | 1.1  | Bulk Tank valves?   | X   |    |     |
|   | 1.2  | Emergency shutoff?  | X   |    |     |
|   | 1.3  | Gaskets?  | X   |    |     |
|   | 1.4  | Seals?  | X   |    |     |
|   | 1.5  | Pressure relief?  | X   |    |     |
|   | 1.6  | Transfer hoses?   | X   |    |     |
|   | 1.7  | Pumps?  | X   |    |     |
|   | 1.8  | Compressors?  | X   |    |     |
|   | 1.9  | Bulk Tank chassis?  | X   |    |     |
|   | 1.10 | Tractor Units?  | X   |    |     |
|   | 1.11 | Trailer/Freight Container chassis?  | X   |    |     |
|   | 1.12 | Trailer/Freight Container Box?  | X   |    |     |
|   | 1.13 | Load securement system?   | X   |    |     |
| <b>B. Transport Equipment Inspections</b> |      |   |   |    |     |
| 1.  |      | Is there documentation that inspections of transport equipment have been conducted according to applicable regulations? | X   |    |     |
| 2.  |      | Are maintenance records available which include details of repairs?   | X   |    |     |
| 3.  |      | Is there a written procedure in place for:  |   |    |     |
|   | 3.1  | Monitoring service?   | X   |    |     |
|   | 3.2  | Preventing transport equipment going into service with deficiencies?  | X   |    |     |
| 4.  |      | Is any measuring equipment used identified with valid calibration certificates and/or stickers?                         | X   |    |     |
| 5.  |      | Does the company have the capability to provide:  |   |    |     |
|   | 5.1  | Tamper-resistant cable locks on cargo compartment hatches and valves?   | <b>When required by customer for specific products.</b> |    |     |
|   | 5.2  | Numbered seals on cargo compartment openings?   |   |    |     |
|   | 5.3  | Monitors or sensors to detect a breach of the cargo container?  |   | X  |     |



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|    |     |  |  |          |  |
|----|-----|--|--|----------|--|
|    | 5.4 | Cargo container inspection and screening?                                  | <b>X</b>   |          |  |
|    | 5.5 | Engine starting control systems?   |  | <b>X</b> |  |
|    | 5.6 | Kingpin lock on tank trailers?   | <b>Use Glad Hand Locks for specific products</b> |          |  |
| 6. |     | Does the company have the capability to match the driver, truck and cargo? | <b>X</b>   |          |  |

### 8. Occupational Health

| QUESTION                                |  | YES | NO | N/A |
|---|--|-----|----|-----|
| <b>A. Control of Health Hazards</b>     |  |     |    |     |
| 1.                                      | Have all tasks been examined to identify and evaluate occupational health hazards?   | X   |    |     |
| 2.                                      | Have OSHA (or employee) Job Safety Analysis forms been filled out?   | X   |    |     |
| 3.                                      | Are prevention measures being used to manage potential health hazards?   | X   |    |     |
| 4.                                      | Is there a documented procedure requiring a written report for occupational injuries?  | X   |    |     |
| 5.                                      | Is there a documented procedure requiring a written report for potential health hazards?   | X   |    |     |
| 6.                                      | Is a review carried out on the health hazards of any new chemical to be transported before the first load is accepted?                         | X   |    |     |
| 6.1                                     | If YES to number 6, who in the company is responsible for conducting this review (name/phone #):<br>Kevin Roycraft; Mark Johnson -317-842-4200 |     |    |     |
| <b>B. Personal Protective Equipment</b> |  |     |    |     |
| 1.                                      | Is specialized equipment used for transporting extremely hazardous products provided to drivers?   | X   |    |     |
| 2.                                      | Are drivers given mitigation equipment, tools, and supplies for first response operational level when driving:                                 |     | X  |     |
| 2.1                                     | Bulk Tanks?  |     |    |     |
| 2.2                                     | Truck and Container loads?   |     |    |     |
| <b>C. First Aid</b>                     |  |     |    |     |
| 1.                                      | Are there first aid treatment locations at terminal sites?   |     | X  |     |
| 2.                                      | Is there a procedure for obtaining medical attention?  | X   |    |     |
| 2.1                                     | Is it reviewed with a medical source at least annually?  | X   |    |     |

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## 9. Appendix

The CMA member or Responsible Care<sup>®</sup> Partner should add to the appendix any additional questions that are not covered in this protocol that the company believes are necessary to ask of a carrier. Those might include product-specific questions, business-related questions, etc. These questions should be provided to the carrier at the same time the carrier is requested to fill out this protocol. Also to be inserted in the appendix are the MCMIS, permit copies, and other documents specifically requested under the protocol.

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## 10. Comments

The assessor may include any additional comments here.