

ILLCC COMPLIANCE AUDIT CHECKLIST

Compliance audits may include, but are not limited to, these items:

Part I: Documentation Pertaining to Shippers

SHIPMENT OR MOVE FILES

1. Does the carrier have a shipment or move file for each shipment, containing the Bill of Lading, Estimate, Inventory (if applicable), and all supporting documentation?
2. Are shipment/move files kept in numeric (rather than alphabetical) order? (Bills of Lading must be numbered consecutively.)
3. Does the carrier provide to each shipper a copy of the IllCC's Consumer Guide? (*You may be required to show your supply of brochures to the auditor.*)

BILLS OF LADING (1457.600)

1. Does the BOL show at the top of the first page the name of the carrier as it appears on the Commission license?
2. Does the BOL show the address and telephone number of the carrier below the carrier's name?
3. Does the BOL show on the first page the carrier's IllCC license number?
4. Does the BOL identify on the first page the name, address and telephone number of the shipper?
5. Does the BOL show the address(es) where the goods are to be picked up and delivered?
6. If different from the shipper, does the BOL show the name, address & telephone number of the person to be contacted regarding delay or other problems with the shipment?
7. Does the BOL show the:
 - Agreed pickup date?
 - Actual pickup date?
 - Agreed delivery date?
8. Does the BOL show all units used to calculate freight charges (i.e. pieces of equipment, personnel, hours, weight & distance)?
9. Does the BOL show start and end times for hourly rated services?
10. Does the BOL show the total charges for the shipment?
11. Did the shipper sign and date the BOL?
12. Did the shipper complete and sign the valuation portion of the BOL?
 - If the shipper agrees to limit the carrier's liability to 30 cents per pound per article, did the shipper write the specific and complete words "30 cents per pound per article" in the space provided?
 - If the shipper elects to pay for declared value coverage, did the shipper write the declared value in the space provided?
 - (Remember replacement cost valuation is not lawful in Illinois. An insurance policy is required.)
13. Are all blanks on the BOL completed?
14. Are the BOL's consecutively numbered in a pre-printed series?
15. Is a copy of the BOL in the file for each move?

ESTIMATES (1457.610)

16. Was a written estimate given to each shipper before any service was provided by the carrier?
17. Was the estimate form used by the carrier approved by the Commission?
18. Does the estimate form state at the top of the first page that it is an "Estimate of Charges"?
19. Does the estimate show at the top of the first page the name of the carrier as it appears on the Commission license?
20. Does the estimate show the address and telephone number of the carrier below the carrier's name?
21. Does the estimate show on the first page the carrier's IllCC license number?

22. Does the estimate identify on the first page the:
 - Name of the shipper?
 - Name of the receiver (if different from the shipper)?
 - Address at which the household goods are to be picked up?
 - Address at which the household goods are to be delivered?
23. Does the estimate show the number of pieces of equipment and personnel to be used?
24. Does the estimate show the estimated number of hours for hourly rated shipments?
25. Does the estimate show the estimated weight and distance for weight or distance rated shipments?
26. Does the estimate include a description of any accessorial services (i.e. packing, unpacking, valuation, storage, warehouse handling and other services) and the estimated charges for such services?
27. Does the estimate show the estimated total cost for all services?
28. Are all blanks on the written estimate completed?
29. Is the estimate signed and dated by the estimator? (If possible and to avoid later controversies, get shipper signature, too, but that is not mandatory under the regulations.)
30. Is a copy of the estimate in the file for each shipment/move?

INVENTORY FORMS

31. Is an inventory prepared for each weight-distance move? (*origin and destination are 35 or more miles apart, except wholly within the area covered by the counties of Cook, DuPage, Kane, Kendall, Lake, McHenry, and Will*)

TARIFFS AND RATES

32. Does the carrier have tariffs on file with the IILCC?
33. Did the carrier charge any rates which are not in its tariffs?
34. Did the carrier charge more (overcharge) than the rate in the carrier's tariff?
35. Did the carrier charge less (discount) than the rate in the carrier's tariff?
36. Did the carrier use the mileage guide prescribed in its tariffs to calculate mileage rates?
37. Does the carrier participate in a fuel surcharge; and if so, was the surcharge applied properly?

AGENCY MOVES (Remember: brokering HHG shipments is illegal in Illinois.)

38. If the carrier is a van line agent and handled moves booked by another agent, is the agency agreement on file with the IILCC?
39. If the carrier is a van line agent and another agent handled moves booked by the carrier, is the agency agreement on file with the IILCC?
40. Does the bill of lading reflect the name of the carrier (and not the name of another agent who booked the move)?
41. Does the bill of lading reflect the tariff rates of the carrier (and not the rates of the van line or another carrier who booked the move)?

CLAIMS (1457.300 thru 495)

42. Does the carrier have a claim file for each claim of loss of or damage to freight, damage to property, undercharge or overcharge (including claims made orally or in writing by the shipper or a third party and claims reported by carrier personnel)?
43. Did the carrier assign a claim file number to each claim?
44. Are the claim files consecutively numbered?
45. Is the claim file number on all subsequent documents received by or issued by the carrier in relation to the claim?
46. Did the carrier enter the date the claim was received on the written claim (or carrier's record of an oral claim)?

47. Did the carrier send a letter to the shipper/third party acknowledging each claim within 30 days from receipt of claim? (Acknowledgement must be in writing, not by telephone or in person.)
48. Does each acknowledgment letter contain:
 - The name, address & telephone number and IllCC license number of the carrier?
 - The name and address of the shipper/third party?
 - The date the claim was received by the carrier?
 - Any documentation the shipper /third party is required to provide and the time within which it must be provided?
 - A statement that the claim is declined or an offer to pay or settle the claim, or that the carrier will dispose of the claim within 120 days from receipt thereof?
49. Did the carrier dispose of the claim within 120 days from receipt?
50. Are claim files cross-referenced to BOL's?
51. Is a copy of the BOL in the file for each claim?
52. Is the claim file number written on the BOL for the shipment?
53. Does the carrier have a claims log listing all claims received by the carrier?
54. Does the carrier purport to impose any limitation on its liability in violation of applicable law?
55. Is the name of the carrier as it appears on its IllCC license and its IllCC license number on all correspondence with the shipper/third party?
56. OVERCHARGE CLAIMS: Was disposition of overcharge claims within 60 days as required?

Part II: Documentation Pertaining to Operations

ADVERTISEMENTS

57. Does the carrier advertise any services it is not authorized to provide?
58. Do carrier advertisements contain any provisions contrary to IllCC regulations?
59. Do all advertisements (including telephone books, internet websites, flyers, newspaper ads, direct mail) contain the carrier's IllCC number and carrier's name as it appears on the IllCC license?
60. Do advertisements of rates contain the caveats required by 92 Ill. Adm. Code 1457.90:
"EFFECTIVE (date), SUBJECT TO CHANGE. ACTUAL CHARGES GOVERNED BY APPLICABLE TARIFFS PUBLISHED AND ON FILE WITH IllCC, THIS ADVERTISEMENT NOTWITHSTANDING."

ANNUAL REPORT (1457.530)

61. Did the carrier timely file each IllCC annual report? (Due May 15 each year.)

CARRIER IDENTIFICATION (1457.800) (Also includes daily rental trucks)

62. Does each vehicle operated by the carrier display on both sides of the cab the name of the carrier as it appears on the IllCC license?
63. Does each vehicle operated by the carrier display on both sides of the cab the IllCC license number of the carrier?
64. Does each vehicle operated by the carrier display any name other than the name of the carrier?
65. Does this carrier identification meet the specifications in Section 1457.800?

DOCUMENTS IN VEHICLES (Also includes daily rental trucks)

66. Does each vehicle operated by the carrier carry a copy of the carrier's IllCC authority in the cab?
67. Does each vehicle operated by the carrier carry in the cab a copy of a current IllCC cab card issued to the carrier?

68. Does each vehicle operated by the carrier which is not owned by the carrier carry a copy of a lease on file with the IllCC authority in the cab?

EQUIPMENT LEASES (1456.900 thru 970)

69. Does the carrier have leases on file with the IllCC for all equipment used by but not owned by the carrier?
70. Equipment owned by an affiliated company of the carrier must be leased to the carrier. *(Same is true if the equipment's title is in the name of an individual and is used by the company corporation, even if equipment owner is majority stockholder.)*

FINANCIAL RECORDS (1457.500 THRU 520)

71. Are carrier financial records kept in accordance with Generally Accepted Accounting Principles (GAAP)?
72. Are carrier accounting records kept in compliance with IllCC regulations?
73. Are entries in carrier accounting records supported by appropriate documentation?
74. Are carrier's accounting records kept on a calendar year basis?

FORM OF PAYMENT

75. Does the carrier accept standard forms of payment? *(Cash, certified check, money order)*
76. Are all payments made and recorded in the name of the carrier as it appears on the IllCC license?

INSURANCE (1457.100 thru 160)

77. Did the carrier maintain proof of liability (form E), cargo (form H) and workers compensation insurance on file with the IllCC?
78. If at any time liability or cargo or workers compensation insurance lapsed, did the carrier cease operations under its IllCC license?
79. If the carrier holds itself out to provide, or provides, any additional insurance to the shipper, is the carrier licensed as a broker by the Illinois Director of Insurance?

OTHER LICENSES

80. If the carrier holds itself out to provide interstate transportation, does the carrier hold an FMCSA authority?
81. If the carrier holds itself out to provide storage, does the carrier hold a warehouse license from the IllCC?
82. If the carrier operates in interstate commerce (even in interstate exempt zones), is carrier registered under UCR? (In Illinois, carriers may register for UCR with the IllCC.)

SCOPE OF AUTHORITY

83. Were all moves performed by the carrier within the scope of its authority?

STORAGE (1457.630)

84. Does the file contain an inventory for each stored shipment?
85. Does the file contain weight tickets for each stored shipment?
86. Does the file contain a statement signed by the shipper from which it can be determined whether the shipment is storage-in-transit or permanent storage?

SUSPENSION OR REVOCATION OF ILLCC LICENSE

87. If at any time the license issued to the carrier was suspended or revoked by the IllCC, did the carrier cease operations?