

# Safety & Compliance Solutions for Mergers & Acquisitions

Consulting Services | Managed Services | Cloud Solutions | Training | Products & Supplies



# Meeting Regulatory Requirements for M&A Success

In today's complex mergers and acquisitions landscape, ensuring success means meeting every regulatory requirement — and J. J. Keller & Associates, Inc. is the trusted partner that helps growing companies stay confidently compliant every step of the way.



## DOT (Department of Transportation)

M&A considerations in this area include:

- Consolidating DOT numbers and retitling vehicles
- Centralizing driver qualification files and managing drug and alcohol testing
- Integrating fleet policies and procedures

## OSHA (Occupational Safety and Health Administration)

M&A considerations in this area include:

- Making sure acquired facilities meet OSHA standards
- Reviewing and updating safety training, hazard communication and PPE programs
- Maintaining accurate OSHA 300 logs and incident records for all employees

## EPA (Environmental Protection Agency)

M&A considerations in this area include:

- Conduct Phase 1 Environmental Site Assessments to identify liabilities
- Ensure compliance with hazardous waste, air and water regulations
- Maintaining chemical inventories and safety data sheets

## DOL (Department of Labor)

M&A considerations in this area include:

- Review employee classifications and payroll practices
- Audit I-9 forms and FMLA policies
- Ensure compliance with federal and state labor laws

# Building a Safety Culture While Building Your Business

Mergers and acquisitions often bring together organizations with different approaches to workplace safety, which can lead to **costly accidents and other business disruptions**. To ensure a smooth transition, we'll help you follow these seven steps:

### 1. Assess Existing Safety Cultures

Evaluate the safety practices, training programs and employee attitudes in both organizations to identify strengths and weaknesses.

### 2. Create a Shared Safety Vision

Develop and communicate a unified safety mission that reflects the values of the new organization.

### 3. Get Leadership Engaged

Ensure that leaders from both legacy organizations actively support and model the new safety standards.

### 4. Standardize Policies & Procedures

Combine the best elements of each company's safety protocols into a single, consistent set of policies and procedures.

### 5. Deliver Comprehensive Training

Provide thorough training on the new safety standards using a variety of formats to ensure understanding and engagement.

### 6. Encourage Open Communication

Foster a culture where employees feel safe reporting incidents, near misses or suggestions.

### 7. Monitor and Improve

Continuously track safety performance through audits, incident reports, and employee feedback to identify trends and make improvements.

# Solid Support for a Successful M&A



During times of transition, a clear and steady safety and compliance plan means stronger risk protection and better bottom-line performance. **Our extensive infrastructure of regulatory expertise, systems and security makes this possible, from M&A strategy to full execution.**

- J. J. Keller established in 1953
  - Serves transportation, industrial, manufacturing, construction, utility, energy, healthcare and education industries
  - 500,000+ active clients
  - 90% of Fortune 1000 companies
  - Strong focus on data & corporate governance
  - Daily monitoring of 300+ regulatory agencies
  - Debt free
  - Privately owned
- J. J. Keller Certified Management Systems:
    - ♦ **ISO 9001:2015** Quality Management Standard (for high-security seals), certificate issued by DQS, Inc.
    - ♦ **ISO 14001:2015** Environmental Management Standard, certificate issued by DQS, Inc.
    - ♦ **ISO 27001:2022** Information Security Management Standard, certificate issued by SGS North America
    - ♦ **ISO 45001:2018** Occupational Health & Safety Management Standard, certificate issued by DQS, Inc.
  - Certifying Organizations:
    - ♦ PCI DSS (Payment Card Industry Data Security Standards)
    - ♦ SOC 2<sup>®</sup> (Service Organization Control)

## Our Experts Are Your Experts

When you partner with J. J. Keller, you **get access to 150+ consultants and subject-matter experts** who are recognized industry specialists with decades of technical and real-world experience to guide you through your M&A and answer every question you have.

- Gain expertise to be sure your company doesn't have compliance or policy gaps
- Reduce risk of violations, accidents, injuries and related legal litigation
- Reduce costs by allowing staff to focus on your core business
- Go above regulatory minimums to show that safety is a priority at your company
- Improve business flexibility as we scale up or down to meet your company's changing needs
- Receive audit support, including providing guidance and gathering documentation
- Understand the nuances of the requirements, so you always know exactly what's needed for your business
- Leverage technology and security protocols to access and protect your information
- Save time required by your staff to ensure safety and compliance

*"Our J. J. Keller consultant put together a binder so there is a monthly approach to events and safety committee meetings. It basically breaks the regulatory requirements down over twelve months and gives you a plan to get it done."*

**Norm Forest**  
Chief Executive Officer  
Dymotech Corp

# Facility Safety & Compliance Solutions



During a merger or acquisition, ensuring safety and compliance across all facilities isn't just a regulatory requirement, it's a strategic imperative. J. J. Keller solutions and support can help identify and mitigate your facility risks that could delay integration or lead to costly violations.

## Consulting Services

- › Phase I Environmental Site Assessment  
Prior to any real estate transactions, our consultants will assess the property to satisfy EPA's Comprehensive Environmental Response, Compensation, Liability Act (CERCLA).
- › Capital Project Execution  
We can identify which permits are required to complete the investment in a new asset and work with your schedule to ensure regulatory approvals are obtained in a timely manner.
- › Compliance Audits & Assessments  
These consultant-led services help you conduct due diligence in identifying risks in multiple areas of workplace compliance, concluding with a summary of our findings and action items.
- › Compliance Matrix  
Gain a snapshot of all the OSHA and/or EPA regulatory requirements that apply to your facilities, along with details for maintaining compliance.

## Managed Services

- › Chemical Management Service  
Save time, ensure compliance and protect workers with the only solution that pairs advisor-supported services with a centralized digital safety data sheet (SDS) database, empowering your organization to easily manage the chemicals at your facilities.

## Cloud Solutions

- › Safety Management Suite  
Get a full suite of DIY resources to manage your changing business needs, including tools for chemical management, written safety plans, incident tracking and more.
- › Compliance Network  
It's the premier online source for safety and compliance knowledge, offering a rich selection of content personalized for the types of facilities you operate.

## Products & Supplies

- › Keep your workplace safe and compliant with our extensive line of facility signage, labor law posters, lockout/tagout devices, and more.

*"It's worthwhile to invest in making safety a business priority and I wished we had reached out to J. J. Keller much sooner. The value you receive from J. J. Keller matches what you are promised."*

Carrie Leising  
Owner  
MCL Leising

# Vehicle Safety & Compliance Solutions



Managing the compliance of commercial motor vehicles (CMVs) is critical when operations are changing hands. J. J. Keller makes sure your vehicles meet all requirements — from titles to registration, taxes and more — so your business is ready to move forward without interruption.

## Managed Services

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- › **Vehicle Title & Registration**  
Our Compliance Advisors will obtain or remove the titles and registrations of both your newly acquired and existing vehicles.
- › **USDOT/MC Number**  
Our specialists will obtain or consolidate the required USDOT or MC numbers for all of your vehicles that operate in interstate commerce.
- › **Vehicle Tax & Licensing**  
We'll make sure your company is compliant with all motor carrier tax and registration requirements and state IFTA and IRP requirements.
- › **Base Plate Renewal Service**  
We can get your new CMVs plated quickly, renew your base plates as needed and ensure they're always up-to-date and accurate.
- › **Process Agent BOC-3 Filing**  
If you're a for-hire interstate motor carrier, our team will help you submit your BOC-3 form and establish agents in the appropriate states.
- › **Unified Carrier Registration (UCR)**  
Have your initial UCR filing and annual UCR renewals handled for all of your vehicles that operate in interstate travel.
- › **Vehicle Legalization & Advisory Services**  
Get expert advisement and assistance regarding fuel taxes, interstate authority, titles, and registration of your CMVs.
- › **PHMSA Registration**  
If any of your vehicles transport a placardable amount of hazardous materials, we'll complete this required paperwork on your behalf.
- › **Trip Permitting**  
Quickly obtain oversize/overweight, fuel, trip and mileage permits with our 24/7 live help or convenient online ordering system.

## Consulting Services

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- › **FMCSA Compliance Needs Assessment**  
We'll assess the vehicles you use, cargo you haul, types of travel you do and industry you're in to provide guidance for establishing a DOT safety & compliance program.

## Cloud Solutions

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- › **Encompass® Fleet Safety & Compliance Platform**  
Provides real-time management of vehicle compliance, including inspections, maintenance, and fuel taxes. Pair it with our ELDs for vehicle tracking and performance oversight.
- › **FleetMentor® System**  
Access regulatory information and web-based tools for maintaining vehicle safety and compliance, from inspection recordkeeping to maintenance alerts, policies and more.
- › **2290online**  
Easily and accurately file your Heavy Vehicle Use Tax (HVUT) for each vehicle over 55,000 lbs. using our IRS-authorized online application.

## Products & Supplies

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- › Keep your vehicles safe and in compliance with a full selection of vehicle markings, placards and security seals.

# Employee/Driver Safety & Compliance Solutions



Protecting your workforce is essential for maintaining safety and trust during times of change. J. J. Keller can help your employees and professional drivers stay protected and in compliance through high-impact training, recordkeeping management and much more.

## Consulting Services

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- › **Consultant-Led Training**  
Our consultants provide in-person, interactive training on safety and compliance topics spanning DOT, OSHA, EPA and DOL.
- › **Human Resource Compliance Program**  
As your company absorbs new employees during your M&A, get ongoing HR support and a customized plan for mitigating employment law risk.
- › **Safe & Smart® Driver Training**  
This hands-on, configurable training delivered by veteran instructors uses multiple training methods to reduce the risk of accidents for CDL and non-CDL drivers.

## Cloud Solutions

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- › **Encompass® Fleet Safety & Compliance Platform**  
It offers best-in-class management of driver hiring, drug & alcohol testing, MVRs, and driver qualification and training. Dash cameras and vehicle trackers also available. Pair it with our ELDs for automated hours-of-service compliance
- › **FleetMentor® System**  
Get educational resources and web-based tools for researching DOT regulations, managing driver qualification, delivering training, creating policies and more.
- › **VideoProtects® Fleet Camera System**  
Identify and correct risky driving behaviors across all of your company drivers with AI-powered dash cams paired with corrective action training and a driver coaching workflow.

## Products & Supplies

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- › Keep your workers safe with our full selection of SAFEGEAR® PPE, employee handbooks, log books and forms, first aid kits and more.

## Managed Services

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- › **Driver Qualification File Management**  
We'll audit and manage all required documentation for your CMV drivers in compliance with Part 391, and we can also manage files for your non-regulated drivers.
- › **Driver Qualification File Audit**  
This comprehensive audit provides a baseline compliance level for future benchmarking and includes a custom report of our findings.
- › **MVR Monitoring**  
Get year-round monitoring of your drivers' motor vehicle records (MVRs) and notifications of high-risk behaviors for immediate remediation.
- › **DOT Drug & Alcohol Program Management**  
Handles the detailed tasks required to comply with Parts 40 and 382, from generating random selections to processing results and establishing testing pools.
- › **CSA Performance Suite**  
Proactively manage your fleet's CSA scores with our actionable dashboard that lets you pinpoint violations and negative trends quickly.
- › **Hours of Service Management**  
Receive expert compliance guidance based on the data we aggregate from your vehicles' onboard technology, driver logs and time sheets.

## Training

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- › Whether you prefer e-learning courses, streaming video, virtual reality or classroom training, J. J. Keller® Training can help reduce accidents and injuries, lower workers' compensation costs, and protect your company's reputation as it grows.

# Your Full-Service Safety & Compliance Partner



Company mergers and acquisitions bring great opportunity for success, but also for significant complexity and risk — especially when it comes to **maintaining safety and compliance across newly integrated facilities, fleet vehicles and workforces.**

At J. J. Keller, we can help you through every step of the process — from due diligence to post-merger compliance — with our **end-to-end suite of solutions that cover all aspects of your company, from transportation to health & safety, environmental and human resources.** We'll partner with you to seamlessly unify your safety and compliance efforts, ensure continuity and empower you to move forward with confidence and control.

## Consulting Services

Get regulatory expertise at your site and tailored to your needs. Our veteran consultants go to your locations, identify compliance gaps, recommend corrective actions, review your files, and help improve management practices.

## Managed Services

Hand off your toughest regulatory tasks to our skilled and tenured Compliance Advisors. These specialists provide a tangible return on investment by eliminating internal costs and ensuring ongoing compliance.

## Training

Keep your employees informed of regulations and industry topics with training backed by the compliance experts. Our programs feature engaging content, real-life scenarios, and compelling adult learning methods.

## Cloud Solutions

Take control of compliance with our secure online solutions. Intuitive dashboards keep staff alerted to tasks that need attention and provide world-class regulatory content to support your core areas of compliance.

## Products & Supplies

No matter how complex your safety and compliance challenges are, turn to us for an unmatched selection of products to help safeguard your workers and reduce risk.

*"What J. J. Keller brings to the table is the peace of mind that if we're ever going to get audited by the Federal Motor Carrier Safety Administration ... **we know that we can take a deep breath and say we're fine.**"*

*Dee Padilla  
Corporate DOT Manager  
PAR Western Line Contractors*



# Helping You Navigate Your Merger or Acquisition Every Step of the Way

➤ At J. J. Keller, we care about helping you manage safety & compliance wherever your new facilities are located in the United States or Canada, and no matter how big your company grows. That's why we work tirelessly, every day, to help companies reduce their risk and achieve their growth goals. And we're here for you, too, so you don't have to figure it out on your own.

Rely on us to handle the regulatory details quickly, correctly and with your company's long-term success in mind.



## J. J. Keller's Purpose

We help ensure safer workplaces and highways, so your employees thrive and return home each day to the families who love them.



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