Mock D.O.T. Audit Checklist
How to Prepare For A DOT Safety Audit

**DOT** has just informed you that you are about to have a safety audit. Are you prepared? Do you know what records will be reviewed or requested?

**Who** can be audited?

The U.S. Department of Transportation (DOT) regularly audits motor carriers to ensure they comply with regulations. Attention to detail and thorough record keeping are the keys to making sure that your business passes each and every safety audit by DOT.

**Types of DOT Audits:** (Typically occur with no advance notice.)

1. **Compliance Review** – An on-site examination to determine a motor carrier’s safety fitness. Covers the full spectrum of compliance areas.


3. **Hazardous Materials Review** – A very thorough review of requirements associated with transporting hazardous materials, such as policies, training, shipping papers, placards, markings and labeling of containers.

4. **New Entrant** – Safety Audits usually occur within the first three to six months after a new entrant begins operating under its USDOT number.

Check your performance by completing the DOT compliance checklist listed below and view the chart for required documentation needed for each type of audit.
DOT Compliance Policy & Procedures Questionnaire

1. Can the company produce a current copy of the Federal Motor Carrier Safety Regulations (FMCSR)?

2. Can the company produce a current copy of the Hazardous Materials Regulations?

3. Can the company produce a current MCS-90 with the required limit of insurance coverage as noted?

4. Can the company produce a current accident register?

5. Does the company have a progressive disciplinary action system for drivers in place?

6. Does the company have written hiring policies (criteria) that are followed on all new hires and re-hires?

7. Have all commercial motor vehicles (power units) been marked with company name and USDOT Number?

8. Is there a system that will ensure driver’s medical certificates (physicals) are current?

9. Is there a system to ensure all CDL licenses remain current and valid?

10. Does the company require all drivers to report violations in a timely manner, and do driver qualification files reflect documentation of these moving violations?

11. Do driver qualification files reflect a valid documented review of the driver’s certificate of violations annually?

12. Do driver qualification files reflect record of a valid road test or documentation of the equivalent of a road test?

13. Can the company produce complete and accurate driver qualification files for all drivers?
14. Do driver qualification files show a complete and accurate investigation of past employment history of all drivers?

15. Are Motor Vehicle Records (MVRs) obtained on all new and re-hired drivers?

16. Does the company have a written program and policy in place for drug and alcohol testing?

17. Can the company produce the past calendar year summary of all tests, with disposition of the driver that tested positive?

18. Are all supervisors, who may be required to have a driver tested under reasonable suspicion, given the one hour each of training for drug and alcohol recognition?

19. Does the company provide drug and alcohol training materials and information with a signed receipt from the driver in the qualification file?

20. Do all drivers hold valid CDL licenses with the proper endorsements based on the vehicle size and commodity transported?

21. Can the company produce a copy of a pre-employment drug test for all drivers that possess a CDL?

22. Can the company produce copies of the past year random drug and alcohol test results?

23. Does the driver qualification file reflect instruction to drivers regarding their notification of convictions for moving violations within 30 days to the employer?

24. Does the company have a system to recognize drivers that should be disqualified, which results in the driver’s removal from service and subsequent reinstatement?

25. Can the company produce six months of completed driver logs for all drivers?

26. Are driver’s logs checked for accuracy by using independent documents or software systems?
27. Does the company have a system in place to effectively control hours of service?

28. Does the company comply with 2013 EOBR and Final Rulings?

29. Does the company have a written disciplinary action policy addressing non-compliance with hours of service?

30. Does the company require new drivers to provide their past seven days of on duty status time?

31. Can the company produce 14 months of valid annual inspections for all operating commercial motor vehicle equipment, both tractors and trailers?

32. Can the company produce 90 days of valid copies of post-trip inspection reports for each commercial motor vehicle?

33. Can the company produce maintenance records for all equipment?

34. Can the company produce a current DOT security plan?

35. Can the company produce a current copy of the Hazardous Material Registration?

36. Are all employees that affect the safe transportation of a hazardous material trained on Hazardous Materials with documentation maintained on file?

37. Are Hazardous Materials shipping papers properly prepared and retained for the specified period of 375 days?

If your company can truthfully answer all of the above questions, you are well on your way to a successful USDOT Safety Audit.

The following grid and checklist will further help you prepare for a safety audit, providing you with the information you will need to pass.
## Types of DOT Audits & Required Documentation

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<tr>
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<th>Compliance Review</th>
<th>Security</th>
<th>Hazardous Materials</th>
<th>New Entrant</th>
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<tbody>
<tr>
<td>Shipping Documents</td>
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<tr>
<td>Driver Qualifications</td>
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<td>X²</td>
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<td>Hours of Service</td>
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<td>X²</td>
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<tr>
<td>DVIR &amp; Maintenance</td>
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<tr>
<td>Accident Register</td>
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<tr>
<td>Placarding</td>
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<tr>
<td>HazMat Registration</td>
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</tbody>
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1 = Full audit verifying historical, current and systematic compliance.

2 = Small sample to demonstrate understanding of compliance.
Compliance Review Checklist

- Confidential Information needed for Compliance Review (see attached).

**Office Records**

- Drug and alcohol Company Policy and testing records
- Site specific security plan with assessment (Drivers should sign and update annually)
- Driver Qualification Files which include the following requirements found in the Code of Federal Regulations, Sections 382.401, 40.333 and 391.53:
  - Application for employment
  - Fair Credit Reporting Statement
  - Request for check of driving record (every year)
  - Request for Information – Previous employers
  - Request and consent from previous employers on Drug and Alcohol testing
  - Driver’s safety performance history
  - Road Test (performed by certified CDL holder)
  - Medical Examination Report (Every 2 years) or waiver (if applicable)
  - Driver’s Certificate of Violations / Annual COV
  - Annual review of driving record
  - Driver’s certification of driver’s license
  - Driver’s receipt – driver’s handbook
  - Driver’s receipt – drug and alcohol policy
  - Drug Test – Pre-Employment and random
  - Copy of current driver license
  - Copy of current medical card
  - Hazardous Materials (Hazmat) endorsement and test (if applicable)
  - Driver’s mandatory notification of violations (out of state violations)
  - Inquiries to State Agencies
Company Policies

- Alcohol and Substance abuse policies
- Driver’s Handbook and policy
- Driver’s handbook, Towing and Recovery policy (if applicable)
- Company’s security plan
- False Logs Policy

List of active employees and their hire date

Proof of Insurance (MSC-90)

Driver Logs or time cards for past 6 months

Driver’s vehicle inspection records (DVIR) for past 6 months

Vehicle Maintenance files showing vehicle identification, maintenance schedule and photos, Unit Number, tire size, Vin Number, Make, Model and Year

Vehicle Annual Inspections – 14 months or 2 reports from last inspection

Cargo tank records including manufacturer’s certificate of origin ("birth certificate"), tank test and inspection paperwork

Hazmat driver training records and program


Driver’s log or time sheets for the 100 mile exemption

Paperwork for annual vehicle inspections.

Keep duplicates of everything required to be in vehicle in the office!

Accident Register – maintain for at least 3 years from date of accident

Hazmat Companies Information (if applicable). Make sure all certifications and re-certifications are current.

- Federal Hazardous Registration
- HM-126 Training test and certificate (driver’s and office personnel) every 2 years
- HM-232 Driver security training and certificate and re-certification every 2 years
- Vehicle – visual, annual tank test records

Quarterly Drug and Alcohol Consortium Test Results
Propane Companies – All Hazmat Information Plus:

- HM225A Training for each driver
- Monthly hose inspections (minimum 12 months)
- Vehicle – visual, annual tank test records
- Unique hose identification numbers on all hoses
- Remote shut off testing at 150 feet away every morning
- DOT certificate of compliance for each bobtail and pipe drawing

**Inside Vehicle**

- Proper Shipping papers with emergency response information
- Emergency response telephone number
- Hazmat registration
- Driver’s daily vehicle inspection report (DVIR)
- Driver’s daily log book (DDL) or eLog access
- Vehicle Registration & Proof of Insurance
- Proof of For-Hire authority, if applicable
- Proof of annual vehicle inspection (windshield sticker)
- 10 BC fire extinguisher
- Spare fuses
- Bi-Directional reflective triangles

**On the Vehicle**

- USDOT Number
- Company name, city and state on doors (large enough to read 50’ away)
- Legible placards on all four sides of the vehicle
- Correct Markings (ID Numbers)
- On the cargo tank, up to date testing marks.
- Specification Plate if you haul gasoline.
In the Driver’s Possession (Wallet)

- A current CDL with appropriate endorsements
- Current medical certificate
- Trip information including:
  - Trip Number
  - Shipping Documents
  - Bills of Lading
  - Hours of Service Logs
  - Daily Inspection Reports (Signed)
- Emergency contact names and phone numbers
- HOS Visor Card

It is very important that each and every person in the company adhere to the guidelines, rules and regulations as set forth by FMCSA and DOT. Continuing the effort to remain compliant will go a long way if and when a DOT safety audit is encountered.

The greater the preparation, the more likely your company is to pass an audit. It’s much better to take the time to ensure your documentation is complete and up to date before you are caught off guard. The fines that DOT are now able to impose are much greater and not worth it!

Properly training each member of your organization will help everyone stay on top of compliance.
Confidential Information Needed For Compliance Review

Date: ___/___/_____  

Full Corporate Name: ____________________________________________________________  

Principle Office Address: __________________________________________________________  

Mailing Address: ___________________________________________________________________________________  

State and Date of Incorporation: _______________________________________________________  

Telephone Number: (___)____-____  

Telephone Number: (___)____-____  

Federal Taxpayer I.D. Number: _____________________________  

ICC/MC Number: _____________________________________  

USDOT Number: __________________________  

Gross Revenue Preceding Year: $__________________  

Ending Fiscal Year Date: ___/___/_____  

Officers of Corporation (Name and Title)  

1. ____________________________________________________________  

2. ____________________________________________________________  

3. ____________________________________________________________  

Other Office Locations: (Use Reverse Side if Needed)  

_________________________________________________________________________________  

_________________________________________________________________________________  

_________________________________________________________________________________  

Total Commercial Miles Driven (Previous Year): ________________________________  

<table>
<thead>
<tr>
<th>Equipment</th>
<th>Owned</th>
<th>Leased</th>
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<tbody>
<tr>
<td>Number of Trucks</td>
<td>____</td>
<td>____</td>
</tr>
<tr>
<td>Number of Tractors</td>
<td>____</td>
<td>____</td>
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<tr>
<td>Number of Trailers</td>
<td>____</td>
<td>____</td>
</tr>
<tr>
<td>Number of HM Cargo Tank Trucks</td>
<td>____</td>
<td>____</td>
</tr>
</tbody>
</table>

Total Number of Drivers: ____________  

Total Number of CDL Drivers: ____________  

Other Information Required: MCS-90 Insurance Endorsement Form & ALL HM Registrations.