

# DOT Audit Checklist

<b>General Program</b>		
<b>Question</b>	<b>Yes</b>	<b>No</b>
Can the company produce a current copy of the Federal Motor Company Safety Regulations (FMCSR's)?		
Can the company produce a current copy of the Hazardous Material Regulations? (If applicable)		
Is at least one responsible person familiar with the FMCSR's?		
Does one member of management have responsibility for overall compliance with the FMCSR's?		
Does the person with "Safety" responsibility have the sole authority to hire drivers?		
Does the "safety" person have authority to terminate drivers?		
Does the company have a person with overall compliance responsibility for HM regulations? (If applicable)		
Does the company have a written driver safety-training program?		
Does the company have any safety incentives/reward programs?		
Does the company review its safety compliance periodically?		
Have company employees attended any "outside" safety seminars over the past two years?		

<b>Financial Responsibility</b>		
<b>Question</b>	<b>Yes</b>	<b>No</b>
Can the company produce a current MSC 90 with the required limit of insurance coverage noted?		

<b>Accident Recordkeeping</b>		
<b>Question</b>	<b>Yes</b>	<b>No</b>
Can the company explain the definition of a "recordable" accident?		
Can the company define "Disabling Damage" in connection with a "recordable" accident?		
Can the company produce a current accident register?		
Does the company determine preventability of an accident?		
Does the company have a progressive disciplinary action system for drivers involved in accidents?		

# Qualification of Driver's and Driver Qualification Files

Question	Yes	No
Does the company have written hiring policies (criteria) that one followed are followed on all new hires?		
Are these policies more stringent than those in 391?		
Is there a system that will ensure drivers' medicals are current?		
Does the company verify that the Physician is knowledgeable in the completion of the medical exam forms?		
Do medicals show accurate information within the guidelines of 391.41?		
Is there a system to ensure all CDL and endorsements remain current and valid?		
Does the company require all drivers to report and does the file reflect documentation of these moving violations annually?		
Do the files reflect a valid documented review of the driver's certificate of violations, annually?		
Do the files reflect record of a valid road test or documentation of the equivalent of a road test?		
Can the company list all documents required to be in the driver qualification file?		
Can the company produce a complete and accurate driver qualification file at random?		
Do the files show a complete and accurate investigation of past employment history of drivers?		
Are Motor Vehicle Records (MVR's) obtained on all new drivers and compared to the written hiring criteria?		

<b>Drug and Alcohol Regulations</b>		
<b>Question</b>	<b>Yes</b>	<b>No</b>
Does the company have a written program and policy in place for drugs and alcohol testing?		
Can the company produce the past calendar year summary of all tests, with disposition of the driver that tested positive?		
Are all supervisors, who may be required to have a driver tested under reasonable suspicion, given one hour each of training for drug and alcohol recognition?		
Does the company investigate, during the hiring process all confirmed positive drug tests, all 0.04 alcohol, or refusal to test for the previous two years?		
Does the company provide the training materials and information prescribed in this section with a signed receipt from the driver in file?		

<b>Commercial Drivers License</b>		
<b>Question</b>	<b>Yes</b>	<b>No</b>
Do all drivers hold valid CDL licenses as vehicle size and commodity transported requires by each state?		
Do the files reflect instruction to drivers regarding notification of convictions for moving violations within 30 days to both state and employer?		
Is the company familiar with the disqualification of drivers as noted in this section?		

## Logs and Hours Of Service

<b>Question</b>	<b>Yes</b>	<b>No</b>
<b>Can the company explain the hour of service limitations?</b>		
<b>Can the company produce six months of completed driver logs on all drivers?</b>		
<b>Are drivers required to maintain a recap of their total hours of service?</b>		
<b>Are dispatchers aware of the driver's available hours prior to assigning a trip?</b>		
<b>Are drivers' logs checked for accuracy by using independent (Fuel, Tolls) documents?</b>		
<b>Does the company utilize the 100 air-mile exception and are their time cards or records in file to document this?</b>		
<b>Does the company have a system in place to effectively control hours of service?</b>		
<b>Does the company have a written disciplinary action policy addressing noncompliance with hours of service?</b>		
<b>Does the company have a system to monitor speed driven by drivers?</b>		

<b>Hazardous Materials</b>		
<b>Question</b>	<b>Yes</b>	<b>No</b>
Can the company explain the attendance requirements for Hazardous Materials? (If applicable)		
Can the company explain the parking rules for vehicles containing HM? (If applicable)		
Has the company explained the smoking prohibitions for HM to all drivers? (If applicable)		
Are all drivers trained as directed by HM-126F and files documented? (If applicable)		
Are HM shipping papers properly prepared?		
Can the company explain and have drivers been trained in the accessibility requirements for shipping papers? (If applicable)		
Can the company explain what constitutes a placard load? (If applicable)		
Can company explain the proper procedure for reporting a HM spill or release? (If applicable)		

<b>Vehicle Maintenance, Inspection &amp; Repair</b>		
<b>Question</b>	<b>Yes</b>	<b>No</b>
Can the company produce a valid annual inspection for all operating equipment?		
Does the company have a written maintenance policy?		
Can the company produce maintenance records for all equipment?		
Are drivers trained in the proper completion of pre and post-trip inspections?		

