

DOT Audit Checklist

Can You answer all theses questions in full, you should be able to answer all these questions. ABC 3rd Party Testing can help you get the Compliance assistance you need!

General Responsibility

Question	Yes	No
Can your company produce a current copy of the Federal Motor Company Safety Regulations (FMCSR's)?		
Can your company produce a current copy of the Hazardous Material Regulations? (If applicable)		
Is at least one responsible person familiar with the FMCSA's safety regulations?		
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)	NA	
Does the company have a written driver safety-training program? (If yes, please attach)		
Does the company have any safety incentives/reward programs?		
Does the company review its safety compliance periodically? Explain how in comments.		

Have company employees attended any "outside" safety seminars over the past two years? (Please note in comments).		
---	--	--

Financial Responsibility

Question	Yes	No
Can the company produce a current MSC 90 with the required limit of insurance coverage noted?		

Accident Recordkeeping

Question	Yes	No
Can the company explain the definition of a "recordable" accident? See Below		
Can the company define "Disabling Damage" in connection with a "recordable" accident?		
Can the company produce a current accident register? (keep for 3 years)		
Does the company determine preventability of accident? Company investigates each accident as to do fault of incident with all necessary paperwork as in citations, driver statements and witness statements		
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? (If yes, please attach)		
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 Chauffeur licenses 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? (See Ex. 2)		
Can the company produce a complete and accurate driver qualification file at random? (See Ex. 3)		
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?		

Drug and Alcohol Regulations

Question	Yes	No
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? (If no, explain)		
Does the company provide the training materials and information prescribed in this section with a signed receipt from the driver in file?		

Commercial Drivers License

Question	Yes	No
Do all drivers hold valid CDL licenses as vehicle size and commodity transported requires?		

Logs and Hours Of Service

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

Vehicle Maintenance, Inspection and Repair

Question	Yes	No
Can the company produce a valid annual inspection for all operating equipment, both tractors and trailers?		
Does the company have a written maintenance policy and procedure?		
Can the company produce maintenance records for all equipment?		
Are drivers trained in the proper completion of pre and post-trip inspections?		