DOT audit checklist

The six sets of records an FMCSA auditor asks for, in a new entrant safety audit or a compliance investigation.

CARRIER / USDOT # _____ CHECKED BY _____ DATE _____

1. Driver qualification files PART 391

- [ ] **A complete DQ file for every driver** application, MVRs, road test, medical certification — §391.51
- [ ] **Yearly items current for each driver** annual MVR, review note, unexpired medical certificate — §391.25

2. Hours of service PART 395

- [ ] **6 months of logs and supporting documents** fuel receipts, bills of lading, dispatch records — §395.8(k)
- [ ] **A registered ELD in every truck that needs one** check the device is not on FMCSA's revoked list — §395.8(a)(1)
- [ ] **ELD papers in each cab** instruction sheet, malfunction sheet, 8 days of blank paper logs — §395.22(h)

3. Drug and alcohol program PART 382

- [ ] **Every CDL driver in a random testing pool** — §382.305
- [ ] **Negative pre-employment test for each driver** before the first safety-sensitive work — §382.301
- [ ] **Clearinghouse: full query at hire, limited query yearly** — §382.701
- [ ] **Supervisor training** 60 minutes on alcohol and 60 on drugs for each supervisor — §382.603

4. Vehicle maintenance PART 396

- [ ] **A file for each truck and trailer** identification, inspection and maintenance schedule, repair records — §396.3
- [ ] **Annual inspection on file for each vehicle** — §396.17
- [ ] **Driver inspection reports with defects repaired and signed off** kept 3 months — §396.11

5. Accident register §390.15

- [ ] **Every DOT-recordable crash of the last 3 years** with copies of the crash reports — §390.15(b)

6. Insurance and registration

- [ ] **Minimum liability coverage on file** $750,000 for general freight in trucks of 10,001 lb or more — §387.9
- [ ] **MCS-150 updated in the last 24 months** — §390.19
- [ ] **UCR paid for the current year** — 49 U.S.C. 14504a

> **Automatic fail for new carriers:** 16 listed violations fail a new entrant safety audit on their own, such as no drug and alcohol program, using an unqualified or medically unqualified driver, or no insurance (§385.321). The full list: iftax.org/dot-audit-checklist

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