



DOT Audit Readiness Checklist

A field-tested, plain-English self-audit across the five areas an FMCSA safety audit or compliance review actually examines. Print it, walk your files against it, and check the boxes you can prove today. Every unchecked box is exposure — the kind that turns one crash into a nuclear verdict and a routine audit into a conditional rating.

How to use it: Check a box only if you could hand an auditor the record in under 48 hours. Fewer than most boxes checked in any single section is where you start.

1 Driver Qualification Files

49 CFR Part 391

- ☐ A Driver Qualification (DQ) file exists for every current driver
- ☐ Each file has the signed employment application (3-year history, accidents, violations)
- ☐ Motor Vehicle Record (MVR) pulled at hire and re-pulled every 12 months
- ☐ Annual review of driving record on file, signed by a company official
- ☐ Valid CDL / license copy and, where required, a road test certificate or equivalent
- ☐ Current DOT medical examiner's certificate on file, with expiration tracked
- ☐ Safety Performance History requests to prior DOT employers documented (Part 40 / 391.23)

2**Hours of Service & ELD***49 CFR Part 395*

- ☐ All drivers run a registered, compliant ELD (or a documented valid exemption)
- ☐ Logs are reviewed for form-and-manner, missing, and violation flags
- ☐ Supporting documents (fuel, tolls, dispatch, BOL) retained to verify duty status
- ☐ Unassigned drive time is reviewed and reconciled, not ignored
- ☐ Records of Duty Status and supporting docs retained for at least 6 months
- ☐ A process exists to coach and correct drivers on repeat HOS violations

3**Drug & Alcohol Program***49 CFR Part 382 & Part 40*

- ☐ Enrolled in a DOT random testing consortium/pool with a written company policy
- ☐ Pre-employment drug test with a verified negative before first dispatch
- ☐ FMCSA Clearinghouse full query at hire and limited query annually per driver
- ☐ Random testing hitting the current federal minimum rates, documented
- ☐ Post-accident, reasonable-suspicion, and return-to-duty procedures in place
- ☐ Supervisor reasonable-suspicion training (60 min drug + 60 min alcohol) documented

4**Vehicle Maintenance & Inspections***49 CFR Part 396*

- ☐ A maintenance file per vehicle: identification, service, and repair history
- ☐ Annual (periodic) DOT inspection record on file for each vehicle and trailer
- ☐ Driver Vehicle Inspection Reports (DVIRs) collected and defects repaired before dispatch
- ☐ Records show a preventive-maintenance schedule that is actually followed
- ☐ Roadside inspection reports retained and defects certified as corrected

- ☐ MCS-150 biennial update filed and current (USDOT number active)
- ☐ Operating authority (MC) and BOC-3 process agent filings active where required
- ☐ Proof of required liability insurance on file and filed with FMCSA
- ☐ Accident register maintained for the most recent 3 years (390.15)
- ☐ Company records organized and retrievable within 48 hours of an audit request

Unchecked boxes worth talking about?

That is exactly the conversation we have every day. Synergy Safety Group closes these gaps before an auditor, a plaintiff's attorney, or an insurer finds them. Book a no-pressure review and we'll tell you where you actually stand.

Book a strategy session: getsynergysolutions.com/meetings/jonstanley · 303-594-6990