

New entrant safety audit checklist

Every document a DOT auditor asks for in a new entrant safety audit, with the rule behind each one. Items marked Automatic failure fail the audit on their own (49 CFR 385.321(b)).

Drug & alcohol

- ☐ Are you enrolled in a DOT drug and alcohol testing program with a random testing pool?
§ 382.115 **AUTOMATIC FAILURE**
- ☐ Did every driver pass a pre-employment drug test before their first dispatch?
§ 382.301
- ☐ Have you run a full Clearinghouse query at hire and an annual query for every driver, including yourself?
§ 382.701

Licensing

- ☐ Does every driver hold a valid, current CDL for the class and endorsements of the vehicle they operate?
§ 383.3 / § 383.23(a) **AUTOMATIC FAILURE**

Insurance

- ☐ Is your required liability coverage active, at the correct minimum, with filings on record?
§ 387.7(a) **AUTOMATIC FAILURE**

Driver qualification

- ☐ Is every driver's medical certification current, checked against the actual date on the certificate?
§ 391.45 **AUTOMATIC FAILURE**
- ☐ Do you have a complete driver qualification file for every driver, including yourself if you drive?
§ 391.51
- ☐ Have you pulled an annual MVR and documented your review of it for each driver in the last 12 months?
§ 391.25

Hours of service

- ☐ Can you produce records of duty status for the past six months?
§ 395.8(a)

Vehicle

- ☐ Does every vehicle have a periodic inspection completed within the last 12 months, documented?
§ 396.17
- ☐ Do you keep maintenance and repair records for each vehicle you have controlled for 30 days or more?
§ 396.3
- ☐ Can you confirm you have never operated a vehicle after it was declared out of service, without the violation being corrected?
§ 396.9(c)(2) **AUTOMATIC FAILURE**

Registration

- ☐ Is your MCS-150 biennial update current?
§ 390.19T

What goes in a driver qualification file (49 CFR 391.51(b))

One file per driver, including yourself if you drive under your own authority.

- ☐ The employment application
- ☐ A motor vehicle record from each state that licensed the driver in the past 3 years

- ☐ A road test certificate, or an accepted CDL in place of one
- ☐ An annual motor vehicle record
- ☐ A dated note of your review of that record
- ☐ The medical examiner's certificate (or the CDLIS record for CDL holders)
- ☐ A note verifying the examiner on the National Registry
- ☐ An SPE certificate or medical exemption, where one applies

Clearinghouse query results are required under Part 382 rather than listed in 391.51(b), and are normally kept with your drug and alcohol records.