

# CHECKLIST | DOT NEW ENTRANT SAFETY AUDIT

Provided by Cartier Agency, Inc.

Date:

Review conducted by:

New entrants looking to conduct interstate operations within the United States need to pass a safety audit before being legally registered with the US Department of Transportation (DOT).

Use the following chart to make sure you have all the documentation necessary to pass your safety audit.

## 1. PART 387—INSURANCE

- |                          |                                                                           |
|--------------------------|---------------------------------------------------------------------------|
| <input type="checkbox"/> | MCS-90 on file to show proof of insurance; MCS-90B for passenger carriers |
|--------------------------|---------------------------------------------------------------------------|

## 2. PART 390—GENERAL REQUIREMENTS

- |                          |                                                                                                                                                                                                                                                                                                                  |
|--------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | Access to current copy of FMCSRs                                                                                                                                                                                                                                                                                 |
| <input type="checkbox"/> | DOT number displayed on vehicle                                                                                                                                                                                                                                                                                  |
| <input type="checkbox"/> | Accident register (for previous 12-month period) and accident reports for recordable accidents (retained for past three years) involving the following: <ol style="list-style-type: none"><li>1. Fatalities</li><li>2. Injuries treated away from the scene</li><li>3. Towaway due to disabling damage</li></ol> |

## 3. PART 391—DRIVER QUALIFICATION FILE

- |                          |                                                              |
|--------------------------|--------------------------------------------------------------|
| <input type="checkbox"/> | Driver application, completely and accurately filled out     |
| <input type="checkbox"/> | Ten-year employment history for CDL drivers                  |
| <input type="checkbox"/> | Previous employer history (past three years)                 |
| <input type="checkbox"/> | Previous employer drug and alcohol check (past two years)    |
| <input type="checkbox"/> | Current medical card/certificate                             |
| <input type="checkbox"/> | Copy of CDL or road test for non-CDL drivers                 |
| <input type="checkbox"/> | Annual driving record from state agency (three-year history) |
| <input type="checkbox"/> | Annual review of driving record                              |
| <input type="checkbox"/> | Annual certification of violations, completed by driver      |

## 4. PART 382—ALCOHOL AND CONTROLLED SUBSTANCES TESTING

- |                          |                                                                                       |
|--------------------------|---------------------------------------------------------------------------------------|
| <input type="checkbox"/> | Pre-employment—must have negative results before driving (controlled substances only) |
|--------------------------|---------------------------------------------------------------------------------------|

*This resource is merely a guideline. It is not meant to be exhaustive nor be construed as legal advice. It does not address all potential compliance issues with federal, state, local OSHA or any other regulatory agency standards. Consult legal counsel to address possible compliance requirements. © 2013, 2019 Zywave, Inc. All rights reserved.*

<input type="checkbox"/>	Random program—test drivers at a minimum annual percentage rate of 10% of the number of drivers for alcohol testing, and 50% for controlled substances testing. Provide annual and semi-annual summaries.
<input type="checkbox"/>	Post-accident—must be alcohol-tested if citation received within eight hours of crash and must be drug tested if received within 32 hours of crash. Include statement on file of why tests were late or not conducted. After eight hours, cease all testing attempts for alcohol. After 32 hours, cease all attempts for drug testing.
<input type="checkbox"/>	Reasonable suspicion—training for supervisors, with 60 minutes for controlled substances and 60 minutes for alcohol
<input type="checkbox"/>	Return to duty—must have negative result before driving again if driver receives positive test result
<input type="checkbox"/>	Follow-up—minimum of six tests must be conducted in the first 12 months, and the driver may also be subject to follow-up tests during the 48 months of safety-sensitive duty following the first 12-month period
<input type="checkbox"/>	Referrals—required to provide two if driver is terminated for positive test result
<input type="checkbox"/>	Recordkeeping requirements—maintain records of alcohol misuse and controlled substances use prevention programs in a secure location with controlled access. If requested by the FMCSA, records must be made available within two business days. Keep records of positive results and refusals for five years; records of collection for two years; negative/canceled drug tests and alcohol tests <0.02 for one year

**5. PART 395—RECORDS OF DUTY STATUS**

<input type="checkbox"/>	Last six months of logbooks and supporting documents on file
<input type="checkbox"/>	11-hour, 14-hour, 60/70-hour rule, false logs and 11 required entries on log sheets
<input type="checkbox"/>	150 air-mile radius drivers must have six months of time records showing the following: <ul style="list-style-type: none"> <li>• Report and release times</li> <li>• Total hours worked (must be 14 hours or fewer)</li> <li>• Must be off duty for minimum of 10 hours</li> </ul>
<input type="checkbox"/>	150 air-mile radius drivers (non-CDL) must have six months of time records showing the following: <ul style="list-style-type: none"> <li>• Report and release times</li> <li>• Total hours worked (maximum 11 hours driving)</li> <li>• May not drive after 14th hour after coming on duty on 5 days of any period of seven consecutive days or after 16th hour after coming on duty on 2 days of any period of seven consecutive days.</li> </ul>

**6. PART 396—VEHICLE MAINTENANCE FILES**

<input type="checkbox"/>	File must display the following: <ul style="list-style-type: none"> <li>• Company unit #</li> <li>• Vehicle make, year, model</li> <li>• VIN #</li> <li>• Tire size</li> </ul>
<input type="checkbox"/>	Bills and receipts for repairs and documentation of preventive maintenance
<input type="checkbox"/>	Maintenance record/log for each vehicle
<input type="checkbox"/>	Copy of federal annual inspection

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<input type="checkbox"/>	Copies of roadside inspections (mail originals to issuing governmental agency)
<input type="checkbox"/>	Pre-trip/post-trip inspections
<input type="checkbox"/>	Driver vehicle inspection reports—last 90 days on file
<input type="checkbox"/>	Qualifications on file of ANY persons conducting annual inspections (in-house or outside)
<input type="checkbox"/>	Brake inspector qualifications on file for employees doing brake work. Not required for those who only inspect brakes and have passed the air brake knowledge and skills test for CDL.
<input type="checkbox"/>	Ninety-day push-out window checks for buses/motor coaches

If you would like more information on how to prepare and pass your DOT safety audit, contact us.

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