⊘ ChecklistGuro

DOT Compliance Audit Checklist

Driver Qualification Files

Review driver records to ensure compliance with DOT regulations regarding hiring, training, and medical certification.

Number of Active Drivers

Enter a number...

Date of Last Driver Qualification File Review

Enter date...

Sample Driver Application Form

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Driver Application Process - Background Checks?

☐ Yes

☐ No

Summary of Driver Qualification Process Description

Write something...

Are MVRs (Motor Vehicle Records) obtained for all drivers?

☐ Yes

☐ No

Frequency of MVR Review (e.g., annual, bi-annual)

Enter a number...

Description of Driver Training Program (Initial & Ongoing)

Write something...

Do drivers receive training on Hours of Service regulations?

☐ Yes

☐ No

Driver Hours of Service (HOS)

Verify compliance with electronic logging device (ELD) or manual logbook regulations for driver hours worked and rest periods.

Review ELD Certification Date

Enter date...

Number of Drivers Utilizing ELDs

Enter a number...

Logbook Types Used (Check all that apply)

☐ Electronic Logging Device (ELD)

☐ Paper Logs

Summary of any HOS Violations Found (if any)

Write something...

Number of Drivers Exceeding Daily Driving Limit

Enter a number...

Date of Last Driver HOS Training

Enter date...

ELD Provider Used:

☐ Trimble

☐ PeopleNet

☐ Omnitracs

☐ KeepTruckin

☐ Other

Vehicle Maintenance Records

Examine records of vehicle inspections, repairs, and preventative maintenance to ensure vehicles are safe and in compliance with DOT standards.

Last Full Vehicle Inspection Date

Enter date...

Mileage at Last Inspection

Enter a number...

Summary of Maintenance Performed (including parts replaced)

Write something...

Attach Vehicle Inspection Report (VIR)

⬆ Upload File

Number of Preventative Maintenance (PM) Services Completed This Year

Enter a number...

Date of Last Oil Change

Enter date...

Description of any recurring maintenance issues

Write something...

Hours since last engine service

Enter a number...

Vehicle Inspection Reports (VRRs)

Review driver vehicle inspection reports for completeness, accuracy, and correction of identified defects.

VRR Frequency - Days Since Last Inspection

Enter a number...

VRR Date

Enter date...

Driver Comments/Notes on VRR

Write something...

Defects Found (Check All That Apply)

- ☐ Brakes
- ☐ Lights
- ☐ Tires
- ☐ Suspension
- ☐ Steering
- ☐ Engine
- ☐ Exhaust
- ☐ Body/Frame
- ☐ Other

Detailed Description of Defect(s) Found

Write something...

Severity Rating (1-5, 1=Minor, 5=Critical)

Enter a number...

Corrected By (Mechanic or Driver)

- ☐ Mechanic
- ☐ Driver

Description of Repair/Correction

Write something...

Date of Repair/Correction

Enter date...

Upload Repair Documentation (Receipt, Invoice)

⬆ Upload File

Accident Records

Assess records of accidents, incidents, and near misses, including investigations and corrective actions.

Total Number of Accidents Reported in the Audit Period

Enter a number...

Date of Most Recent Accident Reported

Enter date...

Summary of Investigation Process for Accident #1 (if applicable)

Write something...

Attach Police Report for Accident #1 (if applicable)

⬆ Upload File

Was a Root Cause Analysis Performed for Accident #1?

☐ Yes

☐ No

☐ N/A

Description of Corrective Actions Implemented Following Accident #1 (if applicable)

Write something...

Was Driver Counseling Provided After Accident #1?

☐ Yes

☐ No

☐ N/A

Details of any regulatory reporting related to accident #1 (e.g. Form M)

Write something...

Drug and Alcohol Testing Program

Evaluate compliance with DOT drug and alcohol testing requirements, including testing procedures, recordkeeping, and policies.

Number of drivers subject to random drug testing?

Enter a number...

Number of drivers subject to random alcohol testing?

Enter a number...

Type of MRO used?

☐ Certified MRO

☐ Medical Review Officer Service

☐ Company Employee (Not Certified)

Date of last program review?

Enter date...

Description of driver education/awareness training related to drug & alcohol policy (including frequency and content)

Write something...

Copy of current Drug & Alcohol Testing Policy (including procedures for positive tests, refusals, and SAP programs)

⬆ Upload File

Is a Substance Abuse Professional (SAP) utilized for return-to-duty processes?

☐ Yes

☐ No

Summary of procedures for handling positive drug test results and return-to-duty processes.

Write something...

Cargo Securement

Verify compliance with cargo securement regulations, including load securement techniques and equipment.

Number of Cargo Securement Devices (e.g., straps, chains, posts) per trailer/vehicle?

Enter a number...

Working Load Limit (WLL) of Securement Devices (in pounds)?

Enter a number...

Types of Securement Devices Used (check all that apply):

☐ Straps

☐ Chains

☐ Posts

☐ Blocking

☐ Edge Protection

☐ Other (Specify in Long Text)

If 'Other' selected above, please specify the type of securement device used.

Write something...

Are securement devices inspected before each load?

☐ Yes

☐ No

☐ Not Applicable

Describe the procedure for inspecting cargo securement devices.

Write something...

Upload example photo of cargo securement process

⬆ Upload File

Are load plans used for complex or oversized loads?

☐ Yes

☐ No

☐ Not Applicable

Date of last cargo securement training for drivers.

Enter date...

Hazardous Materials (Hazmat) Compliance (if applicable)

Assess adherence to DOT regulations pertaining to the transportation of hazardous materials, including proper classification, packaging, and placarding.

Is your company a registered Hazmat Shipper?

☐ Yes

☐ No

USDOT Hazmat Certificate Number:

Enter a number...

Hazmat Training Completion Date (Driver 1):

Enter date...

Hazmat Training Recertification Date (Driver 1):

Enter date...

Driver Hazmat Training Certificates (Driver 1):

⬆ Upload File

Hazmat Employee Designation:

☐ Security Plan Coordinator

☐ Emergency Response Coordinator

☐ Training Coordinator

☐ Shipping Paper Preparer

☐ Other (Specify in LONG_TEXT)

If 'Other' designation selected, please specify:

Write something...

Shipping Papers - Are they prepared according to 49 CFR 172.200?

☐ Yes

☐ No

☐ N/A

Example Shipping Paper:

⬆ Upload File

Recordkeeping and Retention

Ensure all required DOT records are maintained accurately, completely, and retained for the specified retention periods.

Number of Driver Qualification Files Maintained

Enter a number...

Number of Vehicle Maintenance Records Kept

Enter a number...

Last Review Date of Driver Qualification Files

Enter date...

Last Review Date of Vehicle Maintenance Records

Enter date...

Number of Completed Accident Reports Retained

Enter a number...

Date of Last Audit of Record Retention Practices

Enter date...

Description of Record Retention Policy (Summary)

Write something...

Record Storage Method (Physical/Digital/Hybrid)

- [ ] Physical
- [ ] Digital
- [ ] Hybrid

Number of years driver medical cards are kept

Enter a number...

Company Safety Program

Evaluate the effectiveness of the company's overall safety program, including policies, procedures, and training.

Describe the company's documented safety policy.

Write something...

What safety training is provided to drivers?

- [ ] Defensive Driving
- [ ] Cargo Securement
- [ ] Hours of Service
- [ ] Hazardous Materials (Hazmat)
- [ ] Drug and Alcohol Awareness
- [ ] Accident Reporting
- [ ] Other (Specify in LONG_TEXT)

How often are company-wide safety meetings held?

Enter a number...

Date of last comprehensive safety program review.

Enter date...

Attach the most recent safety program documentation.

⬆ Upload File

How are safety concerns reported by employees?

☐ Directly to Management

☐ Through a Safety Committee

☐ Anonymous Reporting System

☐ Other (Specify in LONG_TEXT)

Describe the process for investigating safety incidents and near misses.

Write something...

How are drivers encouraged to participate in safety improvements?

☐ Suggestion Box

☐ Safety Incentive Programs

☐ Feedback Sessions

☐ Other (Specify in LONG_TEXT)