

DOT COMPLIANCE REVIEW PREPARATION AND INFORMATION CHECKLIST

DOCUMENTATION

- Copy of MCS 90
- Copy of MCS 150 (Motor Carrier Identification Form)
- Copy of Insurance Policy

COMPANY INFORMATION

- Total miles driven for previous year and year to date
- Gross revenue of company for previous year
- Names and position of management
- Driver list
- Vehicle list
- Trailer list

SUBSTANCE ABUSE TESTING PROGRAM

- Copy of Substance Abuse Policy
- Copy of Supervisor Training Certificate on Reasonable Suspicion Testing
- Summary of Substance Abuse Testing for at least previous year from TPA or Consortium manager

ACCIDENT INFORMATION

- DOT Accident Register for present year and previous three years
- Accident File for any recordable accident that has occurred within the previous 3 years.
 - Driver report
 - Insurance claim reports and information
 - Police Report

DRIVER QUALIFICATION

- Driver Qualification Files
 - Inspector will request driver files on those drivers that have been involved in preventable accidents, serious moving violations and out of service citations
 - Medical long forms and medical certificates will be requested.

- Substance Abuse Testing custody and control employers copy and drug testing results for pre-placement and random testing
- Alcohol testing forms
- Post-accident drug and alcohol testing for recordable accidents that meet the testing criteria.

TRAINING

- Driver orientation and training information, documents and process
- Written safety and compliance policies and procedures
- Written disciplinary action plans

HOURS OF SERVICE

- Hours of service logs must be maintained for at least 6 months from present date
- The Inspector will most likely request logs for drivers involved in preventable accidents and driver and vehicle out of service violations
 - The Inspector will request supporting documents such as fuel tickets, trip tickets, bill of lading and even can ask for documents such as fuel man cards to support the information on the logs
 - The Inspector will request documentation of the company log auditing process and the process utilized when a discrepancy is noted on a driver's log. (Log audit reports and documentation of review and correction with driver)

MAINTENANCE

- The Inspector will request maintenance files on vehicles involved in recordable accidents or where the driver received either a driver or vehicle out of service violation.
- DOT COMPLIANCE 49 CFR Part 396 MAINTENANCE FILE CHECKLIST
 - Exterior of file folder
 - Vehicle Identification: Year, Make, Model, VIN#, Tire Size
 - Page One
 - Documentation describing the Preventive Maintenance (PM) process of the company
 - Page Two
 - Annual Inspection Documentation: Proof of annual inspection (minimum of 14 months)
 - Remainder of File
 - Driver inspection documents, Work or Repair Orders, PM documentation, etc.

- At least one year of this information should be maintained at any given time.

FOR OWNER/OPERATORS

- The truck maintenance file for owner operators must contain the same information as a company vehicle.
- In addition, owner operators are to provide the company monthly maintenance reports with receipts attached. These reports and receipts must be kept in file for at least one year.
- Any maintenance procedures provided by the company for owner operators are to be maintained in the file in addition to the monthly reports provided by the owner operators.

HAZARDOUS MATERIALS TRANSPORTERS

- In addition to all of the above, the following information will be required for hazardous materials transporters.
 - Written Hazardous Materials Transportation Program
 - Driver Security Plan
 - Driver Hazardous Materials Training Documentation
 - Emergency Response Plan
 - Transportation Spill Program
 - Emergency Action Plan
 - Transport documents such as bill ladings and shipping documents.