

DOT Audit Survival Checklist

Standard reviews during DOT Audit

- *Check driver files for compliance and accuracy, to include reviewing medical cards, MVR compliance, etc
- *Check DOT drug and alcohol testing forms for compliance with DOT regulations
- *Review files for documentation on drug & alcohol training for drivers
- *Review insurance documentation and levels
- *Review Drug & Alcohol policy and testing procedures. Are you doing this right?
- *Review Random drug and alcohol testing program. Are you testing the right number?
- *Review and audit logs (for local and OTR drivers). Check for 11 and 14 hour violations, 60 and 70 hour violations
- *Review maintenance files for vehicles
- *Review DVIR's
- *Review Out of Service orders. Has everything been fixed before the truck was re-dispatched?

Actual examples of Compliance Review Questions

- 1) Can the carrier provide a complete accident register of recordable accidents?
- 2) Has the carrier conducted control substance testing at an annual rate of not less than the applicable annual rate of the average number of driver positions?
- 3) Does the evidence indicate a selected driver has prepared a false record of duty status
- 4) Does the carrier adhere to a disciplinary policy for noncompliance with Part 395
- 5) Does the carrier have a system of recording hours of duty status on 100-mile radius drivers, and are they properly utilizing the 100 air-mile exemption?
- 6) Does the Carrier ensure vehicles that have been declared "out-of-service" do not operate before repairs have been made?