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?