



ISRI DOT Self-Audit Checklist

*The Road to
Safety and
Compliance
Starts with You!*



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Purpose and Scope: Being in compliance with this self-audit checklist does not mean that a motor carrier or an individual driver is exempt from monetary fines and penalties. The purpose of this self-audit is to identify opportunities where management can improve a motor carrier’s overall safety performance and safety management controls. This self-audit checklist is comprised of six components:

1. General Responsibilities
2. Driver Responsibilities
3. Operational Responsibilities
4. Vehicle Responsibilities
5. Hazardous Material Responsibilities
6. Crash Responsibilities.

Read through the checklist items to determine if you have a policy or management controls in place that addresses these responsibilities. As a best practice, we recommend that you perform the audit in portions, over a two to three day period, and that you conduct a self-audit annually.

Component 1. General Responsibilities: references minimum level of financial responsibilities and general regulatory compliance.



Component 1: General Responsibilities		
Question	Yes	No
Is at least one member of management familiar with and has the responsibility for compliance in regards to the Federal Motor Carrier Safety Regulations (FMCSR)?		
Does management review the motor carrier’s safety compliance periodically? If yes, please explain:		
Does the motor carrier have a written driver safety training program? If yes, please explain:		
Does your motor carrier have in effect the required levels of financial responsibility coverage for commercial motor vehicles (MCS-90)?		

Component 1: General Responsibilities Continued		
	Yes	No
Does the motor carrier maintain copies of vehicle crash reports required by state, other government agencies, and insurers (DOT Accident register / retention requirement 3 years)?		
Proof of financial responsibility is maintained at the motor carrier's principal place of business.		
Does the safety manager have the authority to hire drivers or to provide input as part of the hiring process?		
Does the safety manager have the authority to terminate a driver or remove the employee from a driving position?		
Does the motor carrier have a progressive plan of corrective action for drivers involved in vehicle crashes?		

Component 2. Driver Responsibilities: references controlled substance / alcohol, commercial driver's license, and driver qualification.



Component 2: Driver Responsibilities		
Question	Yes	No
Does the motor carrier have and use driver eligibility standards (criteria) for hiring drivers?		
Are the driver eligibility standards more stringent than the regulations outlined in 49 CFR Part 391 Qualification of Drivers?		
Are motor vehicle records (MVR's) obtained on all new hires and compared to the driver eligibility standards?		
Does the motor carrier allow a driver to operate a CMV without valid CDL?		
Does the motor carrier have a system to ensure all CDL licenses remain current and valid?		
Does the driver qualification file reflect instruction to the drivers regarding their notification of convictions for moving violations within 30 days to the employer?		
Does the motor carrier have a system to ensure that all medical exams and certificates of medical exams are valid?		
Does the motor carrier verify that the medical examiner used is listed in the FMCSA National Registry Database?		
Does the motor carrier have a system to recognize drivers who should be disqualified, which results in the driver's removal from service and subsequent reinstatement?		

Component 2: Driver Responsibilities Continued		
Question	Yes	No
Can management list all documents required to be in the driver qualification file? Refer to the Driver Qualification Checklist (addendum) shown on the last page.		
Can the motor carrier produce a complete and accurate driver qualification file at random?		
Do all drivers hold valid CDL license as vehicle size and commodity transported requires?		
Does the motor carrier have a written program / policy in place for drug and alcohol testing?		
Are the drug and alcohol policy and training materials provided to drivers and are they acknowledge by proof of driver receipts?		
The motor carrier has not used a driver before receiving negative controlled substance test results.		
The motor carrier has not used a driver who has refused to submit to a drug or alcohol test required under CFR 49 Part 382.		
The motor carrier has not used a driver known to have tested positive for a controlled substance.		
The motor carrier has not used a driver known to have an alcohol concentration of 0.04 or greater.		
The motor carrier has not used a driver within 24 hours after being found to have an alcohol concentration of 0.02 or greater but less than 0.04.		
Can the motor carrier produce copies of pre-employment drug test for all drivers who possess a CDL?		
Do the drug and alcohol federal chain of control forms reflect the motor carrier's name?		
Motor carrier supervisors, who are required to perform reasonable suspicion testing have received one hour each of training for drug and alcohol recognition.		
The motor carrier can produce the past calendar year summary of all test, with disposition of any driver who tested positive.		
The motor carrier conducts post-accident testing on drivers for drugs and alcohol (as outlined in CFR 49 Part 382.303)		
The motor carrier has a random drug and alcohol testing program.		

Component 2: Driver Responsibilities Continued		
	Yes	No
The motor carrier conducts random alcohol testing at the minimum applicable annual rate (current rate 10%) of the average number of driver positions.		
The motor carrier conducts random drug testing at the minimum applicable annual rate (current rate 25%) of the average number of driver positions.		
Do the driver's qualification files show a complete and accurate investigation of employment history verification and does the documentation exhibit due diligence?		
Does the motor carrier require all drivers to report, and do the files reflect documentation of moving violations (annual Driver's Certification of Violations reviewed by management)?		
Do the driver qualification files reflect that the motor carrier has obtained annual MVR's, and that management has performed an Annual Review of the records (Review MVR's, accidents, and hazmat violations if applicable)?		
Do the files reflect a record of a valid road test or documentation of the equivalent of a road test?		

Component 3. Operational Responsibilities: references driving of commercial motor vehicles and hours-of-service.



Component 3: Operational Responsibilities		
Question	Yes	No
Does the motor carrier operate vehicles in accordance with local, state, and federal regulations?		
The motor carrier does not require or permit a driver to drive while under the influence, or in the possession of a controlled substance, or any other substance that would render the driver incapable of operating a commercial motor vehicle.		
The motor carrier does not require or permit a driver to drive while under the influence or in the possession of an intoxicating beverage.		
The motor carrier does not permit or require a driver to drive without the vehicle's cargo being properly distributed and secured.		
The motor carrier does not schedule a dispatch that would necessitate the vehicle being operated at speeds in excess of the posted speed limit.		
Can the motor carrier produce six month of completed driver logs (or time records) and supporting documents for all drivers?		
Does the motor carrier require drivers to maintain a recap of their hours-of-service?		
Are dispatchers aware of the driver's available hours prior to assigning a trip?		
Does the motor carrier check driver's logs for accuracy by comparing independent fuel, toll, and miscellaneous receipts?		
Does the motor carrier utilize the 100 air-mile exception and are there time cards or records on file?		
Does the motor carrier have a system in place to control the driver's hours-of-service?		

Component 3: Operational Responsibilities Continued		
	Yes	No
Does the motor carrier permit or require a driver to drive after the 14 th consecutive hour after coming on duty?		
Does the motor carrier permit or require a driver to drive after having been on duty more than 60 hours in 7 consecutive days?		
Does the motor carrier permit or require a driver to drive after having been on duty more than 70 hours in 8 consecutive days?		
Does the motor carrier require new drivers to provide a 7 day recap?		
Does the motor carrier audit for false records of duty status?		
Does the motor carrier use a written disciplinary action program to address non-compliance driver's exceeding the hour-of-service?		

Component 4. Vehicle Responsibilities: references parts and accessories, inspection, repair and maintenance.



Component 4: Vehicle Responsibilities		
Question	Yes	No
Does the motor carrier have a written maintenance policy?		
Can the motor carrier produce 14 months of annual inspections for operating equipment (tractors and trailers)?		
Does vehicle maintenance have a systematic process for determining when annual inspections are due? If yes, describe process:		
Can the motor carrier produce 90 days of valid copies of Driver Vehicle Inspection Reports (DVIR's) for the CMV's operated?		
Are drivers trained in the proper completion of pre and post trip inspections?		
Are drivers trained on how to perform vehicle inspections?		
Does vehicle maintenance review the DVIR's for deficiencies, and do the mechanics sign off on the DVIR's noting the repairs?		
Does management review the DVIR's for deficiencies, and does management provide feedback or guidance to vehicle maintenance and driver personnel?		

Component 4: Vehicle Responsibilities Continued		
	Yes	No
Does the motor carrier have a systematic process for monitoring preventive maintenance (PM's) for tractors and trailers? If yes, describe process:		
Does the motor carrier use inspection, repair, and maintenance records for vehicles (repair orders)?		
Are vehicle mechanics certified to perform air brake adjustments?		
Are vehicle mechanics certified to perform annual / periodic vehicle inspections?		
Does the motor carrier maintain copies of state and federal roadside inspections for the previous 12 months?		
Does vehicle maintenance or a member of management sign off on the roadside inspections acknowledging the repairs, and is a copy of the inspection returned to the originating state agency within 15 days?		

Component 5. Hazmat Responsibilities (if applicable): references transportation of hazardous materials, driving and parking rules (packaging, loading, and unloading, etc.).



Component 5: Hazardous Material Responsibilities		
Question	Yes	No
Can the motor carrier produce a current copy of the Hazardous Materials Registration?		
Can the motor carrier produce a current DOT security plan?		
The motor carrier will not move or transport a vehicle that is not properly marked or placarded.		
Are all drivers that affect the safe operation of hazardous materials trained and retrained every 3 years on Hazardous Materials (Documentation on file)?		
Are Hazardous Materials shipping papers properly maintained and retained for the specified period of 375 days?		
Do all drivers hold valid CDL license and hazmat endorsement as vehicle size and commodity transported requires?		
The motor carrier does not accept damage or leaking containers of hazardous materials.		
Any incident involving hazardous materials is reported immediately.		

Component 6. Crash Responsibilities: references a motor carrier's recordable accident rate for the previous 12 months.



Component 6: Crash Rate

This component references the recordable crash rate which a motor carrier has experienced during the past 12 months. To determine the crash rate use the number of recordable accidents (crashes involving death, injured who received immediate medical treatment, or a disabled vehicle that was towed away from the scene due to disabling damage) over the previous 12 months. Divide the number of crashes by number of fleet miles traveled for the same time period. **To calculate the accident rate use the formula outlined below:**

$$\frac{\text{Recordable Accidents X 1,000,000}}{\text{Total fleet miles traveled for the same time period}}$$

If the motor carrier is an urban market carrier (a carrier operating entirely within a radius of 100 air-miles) with a crash rate greater than 1.7 crashes per million miles the component will be considered deficient. If the motor carrier is **NOT** an urban market carrier with a crash rate greater than 1.5 crashes per million miles the component will be considered deficient.

Driver Qualification Checklist: Records required for a driver qualification file.



Driver Qualification Checklist		
Required Documents	For additional guidance review FMCSA Regulation (s)	Check if Included
Employment application	391.21	
Motor vehicle record (MVR) required within 30 days of hire	391.23	
Road Test or equivalent (Certificate of road test within the past 3 years 391.33 (a) (2), or Copy of CDL and subsequent copies required 391.33 (a) (1)	391.31 (g) and 391.33 (a) (1) (2)	
Employment / Safety Performance Investigations required within 30 days of hire	391.23 and 391.53	
Copy of medical certificate or MVR showing that driver is medically qualified	391.43 (g)	
Verification of Medical Examiner	391.51 (b) (9)	
Annual MVR	391.25	
Annual Review of Driving Record	391.25	
Annual Driver's Certification of Violation	391.27	