DOT Compliance Checklist

Complete Regulatory Guide | FMCSA | Driver Hiring & Screening

This comprehensive checklist covers the critical requirements for Department of Transportation (DOT) compliance under the Federal Motor Carrier Safety Regulations (FMCSRs). Use this guide to audit your fleet operation, identify compliance gaps, and maintain an inspection-ready safety program. Each item references the specific Code of Federal Regulations (CFR) citation. This guide accompanies the Driver Hiring & Screening resources at firstunderwriters.com.

COMPANY INFORMATION

Company Name:			**USDOT #:**		
MC/MX #:		**State DOT #:**		**SCAC Code:**	
Operations Type:	[ ] Interstate [ ] Intrastate		**Fleet Size:**		
Audit Completed By:			**Date:**		

SECTION 1: DRIVER QUALIFICATION FILE (49 CFR Part 391)

1A. Pre-Employment Requirements

	Requirement	CFR Reference	Frequency	Responsible Party
[ ]	Completed driver employment application (10-yr history)	391.21	Per hire	HR / Safety Mgr
[ ]	Verified employment history — past 3 years contacted	391.23(a)	Per hire	HR / Safety Mgr
[ ]	Motor Vehicle Record (MVR) obtained and reviewed	391.23(a)(1)	Per hire	Safety Manager
[ ]	Pre-employment drug test — negative result confirmed	382.301	Per hire	HR / TPA
[ ]	FMCSA Drug & Alcohol Clearinghouse query (full)	382.701	Per hire	Safety Manager
[ ]	Road test administered and certificate issued	391.31	Per hire	CDL Evaluator
[ ]	Medical examiner's certificate verified and current	391.43 / 391.45	Per hire	HR / Safety Mgr
[ ]	Background check and criminal history review	391.23(d)	Per hire	HR / Third Party

1B. Ongoing DQF Maintenance

	Requirement	CFR Reference	Frequency	Responsible Party
[ ]	Annual MVR review — obtained and graded per matrix	391.25	Annual	Safety Manager
[ ]	Annual Clearinghouse limited query completed	382.701(b)	Annual	Safety Manager
[ ]	Medical card renewal tracked — not expired	391.45(b)	Ongoing	HR / Safety Mgr
[ ]	Driver annual violations certification obtained	391.27	Annual	Driver / HR
[ ]	Driver record of violations maintained in file	391.27	Ongoing	Safety Manager
[ ]	DQF contains all required documents per 391.51	391.51	Ongoing	HR / Safety Mgr

SECTION 2: DRUG & ALCOHOL TESTING (49 CFR Parts 40 & 382)

2A. Testing Program Requirements

	Requirement	CFR Reference	Frequency	Responsible Party
[ ]	Written drug & alcohol testing policy in place	382.601	Annual review	Safety Manager
[ ]	Designated Employer Representative (DER) assigned	40.3	Ongoing	Management
[ ]	Consortium/Third Party Administrator (C/TPA) contracted	382.103	Annual	Safety Manager
[ ]	DOT-certified collection site(s) identified	40.41	Ongoing	C/TPA
[ ]	Medical Review Officer (MRO) designated	40.121	Ongoing	C/TPA
[ ]	Substance Abuse Professional (SAP) access available	40.281	Ongoing	C/TPA
[ ]	Random testing pool — all CDL drivers included	382.305	Ongoing	Safety / C/TPA
[ ]	Random testing rate meets FMCSA minimums (50% drug, 10% alcohol)	382.305	Annual	C/TPA

2B. Testing Types & Documentation

	Requirement	CFR Reference	Frequency	Responsible Party
[ ]	Pre-employment drug test for all new CDL hires	382.301	Per hire	HR / C/TPA
[ ]	Random drug & alcohol tests conducted per schedule	382.305	Ongoing	C/TPA
[ ]	Post-accident testing performed when required	382.303	Per incident	Safety Manager
[ ]	Reasonable suspicion testing — supervisors trained	382.307 / 382.603	Biennial	Safety Manager
[ ]	Return-to-duty testing completed before reinstatement	382.309	Per case	SAP / C/TPA
[ ]	Follow-up testing scheduled per SAP recommendation	382.311	Per SAP plan	C/TPA
[ ]	FMCSA Clearinghouse — violations reported within 3 days	382.705	Per incident	Safety / DER
[ ]	All testing records retained per retention schedule	382.401	Per schedule	Safety Manager

SECTION 3: HOURS OF SERVICE (49 CFR Part 395)

	Requirement	CFR Reference	Frequency	Responsible Party
[ ]	ELD installed and operational in all applicable CMVs	395.8(a)	Ongoing	Fleet Manager
[ ]	ELD is FMCSA-registered and on approved device list	395.22	Per device	Fleet Manager
[ ]	Drivers trained on proper ELD operation and edits	395.22(g)	Per hire + annual	Safety Manager
[ ]	14-hour on-duty limit monitored and enforced	395.3(a)(2)	Daily	Dispatch / Driver
[ ]	11-hour driving limit monitored and enforced	395.3(a)(3)	Daily	Dispatch / Driver
[ ]	30-minute break requirement tracked (after 8 hrs)	395.3(a)(3)(ii)	Daily	Dispatch / Driver
[ ]	60/70-hour weekly limit monitored	395.3(b)	Weekly	Dispatch / Safety
[ ]	34-hour restart provisions properly applied	395.3(c)	Weekly	Dispatch
[ ]	Supporting documents maintained for 6 months	395.11	Ongoing	Safety Manager
[ ]	ELD data backup and records available for inspection	395.22(h)	Ongoing	Fleet / IT

SECTION 4: VEHICLE MAINTENANCE & INSPECTION (49 CFR Parts 393 & 396)

4A. Systematic Maintenance Program

	Requirement	CFR Reference	Frequency	Responsible Party
[ ]	Written systematic vehicle maintenance program in place	396.3(a)	Annual review	Fleet Manager
[ ]	Maintenance schedule established for each vehicle	396.3(b)	Per vehicle	Fleet Manager
[ ]	Maintenance records kept for each vehicle (1 yr + 6 mo)	396.3(b)(2)	Ongoing	Fleet / Shop
[ ]	Qualified mechanics performing all repairs	396.25	Ongoing	Fleet Manager
[ ]	Parts and components meet FMCSA standards	393 (various)	Per repair	Mechanic / Shop
[ ]	Out-of-service vehicles properly tagged and grounded	396.9(c)	Per incident	Fleet Manager

4B. Inspections

	Requirement	CFR Reference	Frequency	Responsible Party
[ ]	Annual DOT inspection completed — each CMV	396.17	Annual	Certified Inspector
[ ]	Annual inspection decal current and displayed	396.17(c)	Annual	Fleet Manager
[ ]	Pre-trip inspections performed daily by drivers	396.13(a)	Daily	Driver
[ ]	Post-trip Driver Vehicle Inspection Reports (DVIR) completed	396.11(a)	Daily	Driver
[ ]	DVIRs reviewed and defects corrected before dispatch	396.13(b)	Daily	Fleet / Safety
[ ]	DVIR records retained for 3 months minimum	396.11(c)	Ongoing	Fleet Manager
[ ]	Brake inspector qualifications on file (if performing brake work)	396.25(d)	Per employee	Fleet Manager
[ ]	Roadside inspection results reviewed and defects addressed	396.9	Per inspection	Safety Manager

SECTION 5: CARGO SECUREMENT (49 CFR Part 393 Subpart I)

	Requirement	CFR Reference	Frequency	Responsible Party
[ ]	Drivers trained on cargo securement requirements	393.100	Per hire + annual	Safety Manager
[ ]	Adequate tie-downs, straps, chains per cargo type	393.104	Per load	Driver / Loader
[ ]	Aggregate working load limit meets or exceeds 50% cargo weight	393.106	Per load	Driver
[ ]	Cargo checked within first 50 miles and at each change of duty	392.9(b)	Per trip	Driver
[ ]	Special commodity rules followed (logs, metals, autos, etc.)	393.116–136	Per load	Driver / Safety
[ ]	Tarps and covering materials in good condition (if required)	393.100(c)	Ongoing	Driver / Fleet

SECTION 6: INSURANCE & FINANCIAL RESPONSIBILITY (49 CFR Part 387)

	Requirement	CFR Reference	Frequency	Responsible Party
[ ]	Minimum liability insurance maintained — $750K (general freight)	387.9	Ongoing	Risk Manager
[ ]	$1M liability maintained (hazmat / oil transport)	387.9(b)	Ongoing	Risk Manager
[ ]	$5M liability maintained (certain hazmat classes)	387.9(b)	Ongoing	Risk Manager
[ ]	BMC-91 or BMC-91X (insurance filing) current with FMCSA	387.7	Annual	Insurance Broker
[ ]	MCS-90 endorsement included on auto liability policy	387.15	Policy term	Insurance Broker
[ ]	Cargo insurance maintained per shipper/broker requirements	387.301	Ongoing	Risk Manager
[ ]	Workers' compensation coverage in force per state law	State req.	Annual	Risk Manager
[ ]	Certificate of insurance available for shipper/broker requests	387.7	Ongoing	Insurance Broker

INSURANCE PROGRAM NOTICE: First Underwriters Insurance Brokers specializes in hard-to-place commercial trucking risks with access to 50+ A-rated carriers. We can help ensure your fleet meets all financial responsibility requirements while optimizing coverage and cost. Contact us at **(425) 242-5357** or email **pauls@firstunderwriters.com** for a comprehensive fleet insurance review.

SECTION 7: SAFETY MANAGEMENT & RECORDKEEPING

	Requirement	CFR Reference	Frequency	Responsible Party
[ ]	Written safety policy distributed to all employees	390.11	Annual	Safety Manager
[ ]	Accident register maintained (all accidents, 3 yr retention)	390.15	Per incident	Safety Manager
[ ]	Copies of accident reports retained in register	390.15(b)	Per incident	Safety Manager
[ ]	FMCSA biennial update (MCS-150) filed every 2 years	390.19	Biennial	Safety / Admin
[ ]	USDOT number displayed on both sides of each CMV	390.21	Ongoing	Fleet Manager
[ ]	Company name, USDOT # and legal lettering legible	390.21(b)	Ongoing	Fleet Manager
[ ]	Designated safety manager / officer assigned	Best practice	Ongoing	Management
[ ]	Safety meeting program — documented with attendance	Best practice	Monthly	Safety Manager
[ ]	New driver orientation program completed and documented	Best practice	Per hire	Safety Manager
[ ]	CSA BASIC scores monitored monthly	Best practice	Monthly	Safety Manager

SECTION 8: HAZARDOUS MATERIALS (49 CFR Parts 171–180) — If Applicable

	Requirement	CFR Reference	Frequency	Responsible Party
[ ]	Hazmat registration filed with PHMSA (if required)	107.601	Annual	Safety / Admin
[ ]	Hazmat endorsement (H or X) current on driver CDL	383.93	Ongoing	Safety Manager
[ ]	TSA security threat assessment completed for hazmat drivers	1572.5	Per hire	HR / Driver
[ ]	Hazmat employee training — initial and recurrent	172.704	Triennial	Safety Manager
[ ]	Security awareness training completed	172.704(a)(4)	Triennial	Safety Manager
[ ]	Proper shipping papers carried and accessible	172.200	Per load	Driver / Shipper
[ ]	Placards displayed correctly per hazard class	172.500	Per load	Driver
[ ]	Emergency response information in cab	172.602	Per load	Driver
[ ]	Hazmat incident reporting procedures in place	171.15 / 171.16	Per incident	Safety Manager
[ ]	Hazmat vehicles inspected per enhanced requirements	397.7	Per trip	Driver / Fleet

SECTION 9: TECHNOLOGY & TELEMATICS

	Requirement	CFR Reference	Frequency	Responsible Party
[ ]	GPS / telematics installed and operational in all CMVs	Best practice	Ongoing	Fleet / IT
[ ]	Dashcam / event recorder policy in place	Best practice	Annual review	Safety Manager
[ ]	Telematics data reviewed for driver coaching opportunities	Best practice	Weekly	Safety Manager
[ ]	Distracted driving alerts configured and monitored	392.80 / 392.82	Ongoing	Safety / IT
[ ]	Speeding and hard-braking events reviewed	Best practice	Weekly	Safety Manager
[ ]	Geofencing alerts for restricted areas / customer sites	Best practice	Ongoing	Dispatch / IT
[ ]	Telematics usage policy signed by all drivers	Best practice	Per hire	HR / Safety
[ ]	Vehicle maintenance alerts configured by mileage/date	Best practice	Ongoing	Fleet Manager

SECTION 10: AUDIT COMPLIANCE SUMMARY

Section	Items	Compliant	Non-Compliant	N/A	Priority	Target Date
1. Driver Qualification File	14 items				[ ] H [ ] M [ ] L	
2. Drug & Alcohol Testing	16 items				[ ] H [ ] M [ ] L	
3. Hours of Service	10 items				[ ] H [ ] M [ ] L	
4. Vehicle Maintenance & Inspection	14 items				[ ] H [ ] M [ ] L	
5. Cargo Securement	6 items				[ ] H [ ] M [ ] L	
6. Insurance & Financial Responsibility	8 items				[ ] H [ ] M [ ] L	
7. Safety Management & Recordkeeping	10 items				[ ] H [ ] M [ ] L	
8. Hazardous Materials	10 items				[ ] H [ ] M [ ] L	
9. Technology & Telematics	8 items				[ ] H [ ] M [ ] L	
TOTALS (96 items)						

H = High — Immediate corrective action required (regulatory violation)	M = Medium — Corrective action within 30 days	L = Low — Improvement recommended within 90 days

CORRECTIVE ACTION NOTES

CERTIFICATION & SIGNATURES

I certify that this compliance audit was conducted thoroughly and that the findings above accurately reflect the current state of DOT compliance for the company identified. All non-compliant items have been documented and assigned a priority level with a target correction date.

Auditor Name:		**Title:**	
Auditor Signature:		**Date:**	
Management Approval:		**Date:**	
Next Scheduled Audit Date:		**Audit Frequency:**	[ ] Quarterly [ ] Semi-Annual [ ] Annual

This DOT Compliance Checklist is provided by First Underwriters Insurance Brokers as a free resource for fleet operators. It covers key FMCSA regulatory requirements but is not exhaustive legal guidance. Regulations change frequently — verify current requirements at fmcsa.dot.gov. Contact First Underwriters at (425) 242-5357 or firstunderwriters.com for guidance on integrating compliance programs with your commercial trucking insurance.