

## DOT SELF AUDIT CHECKLIST

Regulation	Audit Item	YES	NO	N/A	Comments
<b>GENERAL</b>					
387.7 (a)	We have in effect the required minimum levels of financial responsibility for our commercial motor vehicles				
387.7 (d)	We retain at our principal place of business required proof of financial responsibility.				
387.31 (a)	We have in effect the required minimum levels of financial responsibility for our passenger carrying vehicles.				
387.31 (d)	We retain at our principal place of business required proof of financial responsibility for our passenger carrying vehicles.				
390.15 (b)	We maintain copies of all accident reports required by state or other governmental entities or insurers				
390.25	We do not make or cause to make fraudulent or intentionally false statements or records and/or reproduce fraudulent records				
<b>DRIVER</b>					
382.115 (a)	We implement an alcohol and drug testing program				
382.21	We have not used a driver known to have an alcohol concentration of 0.04 or greater				
382.211	We have not used a driver who has refused to submit to an alcohol or drug test				

## DOT SELF AUDIT CHECKLIST

Regulation	Audit Item	YES	NO	N/A	Comments
382.213 (b)	We have not used a driver known to have used a drug				
382.215	We have not used a driver known to have tested positive for a controlled substance				
382.301 (a)	We have not used a driver before receiving a negative pre-employment controlled substance test result				
382.303 (a)	We conduct post-accident testing on drivers for alcohol and drugs				
382.305	We have implemented a random drug and alcohol testing program				
382.305 (b)(1)	We conduct random alcohol testing at the minimum applicable annual rate of the average number of positions				
382.305(b)(2)	We conduct random drug testing at the minimum applicable annual rate of the average number of driver positions.				
382.309(a)	We do not use a driver who has not undergone a return-to-duty alcohol test with a result indicating a verified result for controlled substances				
382.503	We do not allow a driver to perform safety sensitive functions after engaging in conduct prohibited by Subpart B, without being evaluated by a substance abuse professional, as required by 382.605				
382.505(a)	We do not use a driver within 24 hours after being found to have an alcohol concentration of 0.02 or greater but less than 0.04				

## DOT SELF AUDIT CHECKLIST

Regulation	Audit Item	YES	NO	N/A	Comments
382.60 ( c)	We do not use a driver who has not undergone a return-to-duty alcohol test with a result indicating an alcohol concentration of less than 0.02 or with a verified negative test result				
382.605( c)	We subject a driver who has been identified as needing assistance to at least 6 unannounced follow-up alcohol and/or drug tests in the first 12 months following the driver's return to duty.				
383.23(a)	We do not allow a driver to operate a commercial vehicle without a commercial driver's license.				
383.37 (b)	We do not knowingly allow, require, permit or authorize an employee with more than one commercial driver's license to operate a commercial motor vehicle				
383.51(a)	We do not knowingly allow, require, permit or authorize a driver to drive who is disqualified to drive a commercial motor vehicle				
391.11(b)(4)	We do not use a physically unqualified driver				
391.15(a)	We do not use a disqualified driver				
391.45(a)	We do not use a driver not medically examined and certified				
391.45(b)(1)	We do not use a driver not medically examined and certified during the preceding 24 months				
391.51(a)	We maintain a driver's qualification file on each driver employed.				
391.51(b)(2)	We maintain inquiries into driver's driving record in the driver's qualification file				

## DOT SELF AUDIT CHECKLIST

Regulation	Audit Item	YES	NO	N/A	Comments
391.51(b)(7)	We maintain medical examiner's certificates(s) in the driver's qualification file.				
<b>OPERATIONAL</b>					
392.2	We operate motor vehicles in accordance with the laws, ordinances, and regulations of the jurisdiction in which they are operated.				
392.4(b)	We do not require or permit a driver to drive while under the influence or in possession of a narcotic drug, amphetamine, or any other substance capable of rendering the driver incapable of safely operating a motor vehicle				
392.5(b)(1)	We do not require or permit a driver to drive a motor vehicle while under the influence of, or in possession of an intoxicating beverage				
392.6	We do not schedule a run in which would necessitate the vehicle being operated at speeds in excess of those prescribed.				
392.9(a)(1)	We do not require or permit a driver without the vehicle's cargo being properly distributed and secured.				
395.3(a)(1)	We do not require or permit a driver to drive more than 11 hours				
395.3(a)(2)	We do not require or permit a driver to drive after the 14th consecutive hour after coming off duty				
395.3(b)(1)	We do not require or permit a driver to drive after been on duty more than 60 hours in 7 consecutive days.				

## DOT SELF AUDIT CHECKLIST

Regulation	Audit Item	YES	NO	N/A	Comments
395.3(b)(2)	We do not require or permit a driver to drive after having been on duty more than 70 hours in 8 consecutive hours				
395.8(a)	We require drivers to make a record of duty status				
395.8 ( e)	We do not permit false reports of records of duty status				
395.8(i)	We require drivers to forward, within 13 days of completion, the original of record of duty status.				
395.8(k)(1)	We preserve driver's records of duty status for 6 months				
<b>VEHICLE</b>					
396.3(b)	We keep minimum records of inspection and vehicle maintenance.				
396.9(c )(2)	We do not require or permit the operation of a motor vehicle declared "out of service" before repairs were made.				
396.11(a)	We require drivers to prepare driver vehicle inspection reports.				
396.11( c)	We correct out of service defects listed by a driver in a vehicle inspection report before the vehicle is operated again				
396.17(a)	We do not use a commercial motor vehicle not periodically inspected.				
396.17(g)	We promptly repair parts and accessories not meeting minimum periodic inspection standards.				

## DOT SELF AUDIT CHECKLIST

Regulation	Audit Item	YES	NO	N/A	Comments
<b>HAZARDOUS MATERIALS</b>					
397.5(a)	We ensure a motor vehicle containing division 1.1, 1.2, or 1.3 (explosive) material is attended at all times by its driver or a qualified representative.				
397.7(a)(1)	We prohibit parking a motor vehicle containing division 1.1, 1.2 or 1.3 materials within 5 feet of a traveled portion of highway or street.				
397.7(b)	We prohibit parking a motor vehicle containing hazardous materials other than division 1.1, 1.2 or 1.3 within 5 feet of traveled portion of highway or street.				
397.13(a)	We do not permit a person to smoke or carry a lighted cigarette, cigar or pipe within 25 feet of a motor vehicle containing Class 1 materials, Class 5 materials, or flammable materials classified as division 2.1, Class 3, Divisions 4.1 and 4.2				
397.19(a)	We furnish a driver of a motor vehicle transporting division 1.1, 1.2 or 1.3 materials with a copy of the rules of Part 397 and/or emergency response instructions				
171.15	We give immediate telephone notice of an incident involving hazardous materials.				
171.16	We make a written report of an incident involving hazardous materials				
177.800( c)	We instruct all categories of hazmat employees in hazardous materials regulations				

# DOT SELF AUDIT CHECKLIST



Regulation	Audit Item	YES	NO	N/A	Comments
177.817( e)	We maintain proper accessibility of shipping papers.				
177.823(a)	We do not move a transport vehicle containing hazardous material that is not properly marked or placarded.				
180.407( c)	We periodically test and inspect cargo tanks				