

Compliance Assistance Visit Checklist

The following is a list of documents that we normally review. Please use this to begin getting organized prior to our visit.

1. Insurance documentation
 - a. Declaration page or ACORD form (Private Carrier) or
 - b. MCS-90 if you have one
2. Some manner of calculating fleet mileage
 - a. One example is a quarterly IFTA statement
 - b. Mileage from maintenance records (Ex: Odometer readings from last DOT inspections and current in order for us to calculate an estimated annual total fleet mileage)
3. All records pertaining to any DOT recordable accidents for the most recent 3-year period.
4. List of drivers sorted by hire date (current and former employees dating back 12 months)
5. Driver Qualification files (current and former employees dating back 12 months)
6. Drivers' logs or other Records of Duty Status (RODS) documenting hours of service for all drivers of Commercial Motor Vehicles (CMV) for previous six (6) months. You should also be ready with supporting documentation for the last 6 months (or since you began owner/operator operations) to be checked against your drivers' logs. Supporting documents are generated in the normal course of business and can include such things as trip packets, dispatch records, bills of lading, invoices, fuel receipts, etc.
7. List of all CMVs greater than 10,000 GVWR/GCWR (combined)
8. Maintenance folder for each CMV
 - a. All roadside inspections for most-recent 12-month period
 - b. All DVIR's for most-recent 3 months with deficiencies and repairs made
 - c. All annual DOT inspections
 - d. Mechanic's credentials (for annual inspections and brake inspections)
9. Daily Vehicle Inspection Reports (DVIR) for previous 3 months
10. All roadside inspections with Out of Service (OOS) violations and proof of resolution
11. Documents pertaining to DOT-mandated Drug & Alcohol testing to include:
 - a. Pre-employment tests
 - b. Post-accident tests
 - c. Random tests
 - d. Bi-annual statistical analysis
 - e. Annual summary for most-recently completed calendar year
 - f. Inquiries from previous employers
 - g. Company policy
 - h. Educational material
 - i. Driver receipts for policy/training material
 - j. Supervisor Reasonable Suspicion training documents
 - k. Clearinghouse enrollment and query

Additional Items for HazMat Carriers Only

12. Federal Hazmat Registration Certificate
13. Security Plan
14. Hazmat Training Records
15. Hazmat Communication Plan
16. Shipping Papers & Hazmat Spill Plan (if applicable)