

# STATE DOT AUDIT CHECKOFF LIST

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## 1. GENERAL INFORMATION

\_\_\_\_\_ MOTOR CARRIER INFORMATION SHEET  
\_\_\_\_\_ CURRENT LIST OF EQUIPMENT  
\_\_\_\_\_ CURRENT LIST OF DRIVERS

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## 2. INSURANCE

\_\_\_\_\_ MCS-90 or MCS-90B (For-Hire, Exempt For-Hire and Transporters of Any Quantity of HM)  
\_\_\_\_\_ FORM BOC-3 (For-Hire and Exempt For-Hire Carriers Only)

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## 3. ACCIDENT INFORMATION

\_\_\_\_\_ ACCIDENT REGISTER (Maintain for 3 Years)  
\_\_\_\_\_ All Accident Files (Maintain for 3 Years Details, Photos, Etc of Each Accident)

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## 4. DRIVER QUALIFICATION FILES (Maintain for the Length of Employment Plus 3 Years)

\_\_\_\_\_ Driver Application for Employment (49 CFR 391.21)  
\_\_\_\_\_ Inquiry to Previous Employers - 3 Years (49 CFR 391.23A, 2, c)  
\_\_\_\_\_ Inquiry to State Agencies (MVR 3 Years) - (49 CFR 391.23(a) (1) 9b)  
\_\_\_\_\_ Annual Review of Driving Record (MVR 12 Months) - (49 CFR 391.25)  
\_\_\_\_\_ Annual Driver's Certificate of Violations - (49 CFR 391.27) 12 MONTHS  
\_\_\_\_\_ Drivers Road Test Certificate or Equivalent (CDL) - (49 CFR 391.31)  
\_\_\_\_\_ Medical Examination - (49 CFR 391.43)  
\_\_\_\_\_ Previous Pre-Employment Alcohol and Drug Test Statement  
\_\_\_\_\_ AR Database Drug and Alcohol Search Result

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## 5. CONTROLLED SUBSTANCES AND ALCOHOL TESTING INFORMATION

\_\_\_\_\_ Pre-Employment (49 CFR 382.301)  
\_\_\_\_\_ Post-Accident (CFR 382.303)  
\_\_\_\_\_ Random Alcohol and Controlled Substances Test (49 CFR 382.305)  
\_\_\_\_\_ Driver List of Consortium

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## 6. LOGS

- \_\_\_\_\_ Records of Duty Status (time cards for 100 air mile exemption requirement) for the Past 6 Months for all Drivers
  - \_\_\_\_\_ Supporting Documentation (Bills of Lading, Payroll, Delivery Receipts, Toll Receipts/Pike Pass Reports, Fuel Receipts, Weight Receipts, Trip Reports, Citations, Port of Entry Receipts, and all Other Documents Related to the Motor Carrier's Operation of its Transportation Business)
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## 7. MAINTENANCE FILE FOR EACH VEHICLE (File Must be Labeled with the Year/Make/VIN/Tire Size) (Retain 12 Months) (6 Months if vehicle is no longer the responsibility of the company)

- \_\_\_\_\_ Maintenance File Records of Repair's / Receipts
  - \_\_\_\_\_ Annual Inspections (14 Months)
  - \_\_\_\_\_ Inspection Reports (12 Months Roadside / Weigh Station) Including Documentation of Repairs
  - \_\_\_\_\_ Inspector and Brake Inspector Certifications
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## 8. HAZ-MAT

- \_\_\_\_\_ Certificate of Registration (RSPA)
  - \_\_\_\_\_ Shipping Papers
  - \_\_\_\_\_ Enough Insurance (UMBRELLA)
  - \_\_\_\_\_ Cargo Tank Certifications
  - \_\_\_\_\_ HM Training for Drivers and Employees Who Handle HAZ-MAT
  - \_\_\_\_\_ CDL With HM and Cargo Tank Endorsements will Fulfill Driver Training Requirements (177.816c)
  - \_\_\_\_\_ Record Keeping (172.704)
  - \_\_\_\_\_ General Information Required on Records (172.704d)
  - \_\_\_\_\_ General Awareness / Familiarization
  - \_\_\_\_\_ Safety Training
  - \_\_\_\_\_ Employee File - Listing the Following
    - Employees Name
    - Most Recent Training Completion Date, Description, Copy, or Location of Training Materials Used
    - Name and Address of Person Providing Training
    - Certification Employees Has Been Trained and Tested
    - PG379-380 of HM Book
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