



DOT Compliance Verification Sheet

WORK READY ESSENTIALS- Equipping Workers for Success

DOT COMPLIANCE VERIFICATION SHEET

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Work Ready Essentials - Digital Safety Toolkit

Company & Driver Information

Company Name: _____

DOT Number: _____

Driver Name: _____ Employee ID: _____

CDL Number: _____ CDL Class: _____

Date of Review: _____

Next Review Date: _____

Reviewed By: _____ Title: _____

1. Driver Qualifications & Documentation

Required Licenses & Permits

- ☐ Valid Commercial Driver's License (CDL) with appropriate endorsements
- ☐ CDL not expired, suspended, or revoked
- ☐ Appropriate CDL class for vehicle operated
- ☐ Required endorsements (HAZMAT, Passenger, School Bus, etc.)

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- ☐ Medical Certificate (DOT Physical) current and valid
- ☐ Driver qualification file complete and up-to-date

Employment & Background Verification

- ☐ Employment application completed
- ☐ Motor Vehicle Record (MVR) obtained and current
- ☐ Employment history verified (3 years)
- ☐ Previous employers contacted (safety performance inquiry)
- ☐ Road test completed and documented
- ☐ Certificate of violations obtained

Training & Knowledge Requirements

- ☐ Driver received copy of FMCSA regulations
- ☐ Driver acknowledgment of regulation compliance signed
- ☐ Entry-level driver training completed (if applicable)
- ☐ Hazardous materials training completed (if applicable)
- ☐ Company safety policies reviewed and acknowledged

2. Hours of Service (HOS) Compliance

HOS Documentation

- ☐ Electronic Logging Device (ELD) installed and functional
- ☐ Driver trained on ELD operation
- ☐ HOS violations monitored and addressed
- ☐ Records of duty status maintained for required period
- ☐ Supporting documents (bills of lading, fuel receipts) maintained

HOS Limits Verification

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- ☐ Daily driving limit (11 hours max) compliance verified
- ☐ Daily on-duty limit (14 hours max) compliance verified
- ☐ Weekly limits (60/70 hour rule) compliance verified
- ☐ Required rest breaks (30-minute break) compliance verified
- ☐ Restart provisions properly utilized when applicable

3. Vehicle Safety & Maintenance

Vehicle Registration & Documentation

- ☐ Vehicle registration current and valid
- ☐ Vehicle title on file
- ☐ DOT number properly displayed on vehicle
- ☐ USDOT markings compliant with regulations
- ☐ Annual inspection completed and current
- ☐ Annual inspection sticker properly displayed

Maintenance Program

- ☐ Systematic maintenance program established
- ☐ Maintenance records kept for required period
- ☐ Pre-trip inspections completed daily
- ☐ Post-trip inspections completed and documented
- ☐ Driver Vehicle Inspection Reports (DVIRs) maintained
- ☐ Defects identified and repaired before return to service

4. Drug & Alcohol Testing Program

Testing Program Requirements

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- ☐ Drug and alcohol policy established and communicated
- ☐ Testing program covers all safety-sensitive employees
- ☐ Pre-employment testing completed
- ☐ Random testing pool established (50% drug, 10% alcohol annually)
- ☐ Reasonable suspicion testing procedures established
- ☐ Post-accident testing procedures established
- ☐ Return-to-duty testing procedures established

Testing Records & Documentation

- ☐ Drug and Alcohol Clearinghouse queries completed
- ☐ Testing records maintained for required periods
- ☐ Supervisor training completed for reasonable suspicion
- ☐ MRO services contracted and functional
- ☐ Substance abuse professional (SAP) identified

5. Insurance & Financial Responsibility

Insurance Requirements

- ☐ Liability insurance minimum amounts maintained
- ☐ Certificate of insurance current
- ☐ MCS-90 form filed with FMCSA
- ☐ Cargo insurance adequate for transported goods
- ☐ Insurance certificates readily available

Financial Responsibility

- ☐ Unified Carrier Registration (UCR) current
- ☐ Process agent designation filed in operating states
- ☐ Surety bond or insurance filed (if required)

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6. Hazardous Materials (HAZMAT) Compliance

HAZMAT Requirements (if applicable)

- ☐ HAZMAT endorsement on CDL current
- ☐ Security threat assessment completed
- ☐ HAZMAT training completed and documented
- ☐ Shipping papers properly completed
- ☐ Vehicle placarding correct for materials transported
- ☐ Emergency response information accessible
- ☐ HAZMAT incident reporting procedures established

7. Recordkeeping & Documentation

Required Records Maintenance

- ☐ Driver qualification files complete and organized
- ☐ Vehicle maintenance records systematically maintained
- ☐ Hours of service records properly maintained
- ☐ Drug and alcohol testing records securely stored
- ☐ Accident register maintained
- ☐ Safety performance history documented

Record Retention Periods

- ☐ Driver records - 3 years after driver separation
- ☐ Vehicle records - 1 year plus current inspection period
- ☐ Drug/alcohol records - various periods per regulation type
- ☐ HOS records - 6 months

8. Safety Management & Performance

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Safety Performance Monitoring

- ☐ Safety performance regularly reviewed
- ☐ Violation tracking system in place
- ☐ Corrective action plans for safety issues
- ☐ Safety meetings conducted regularly
- ☐ Safety incentive programs implemented

Compliance Monitoring

- ☐ Internal audits conducted regularly
- ☐ Compliance officer designated
- ☐ Regulatory updates monitored and implemented
- ☐ DOT audit preparedness maintained

9. Additional State/Provincial Requirements

Jurisdiction-Specific Compliance

- ☐ State/provincial permits current and valid
- ☐ International Registration Plan (IRP) current
- ☐ International Fuel Tax Agreement (IFTA) compliance
- ☐ Oversize/overweight permits obtained when required
- ☐ Environmental compliance (emissions, fuel standards)

Compliance Deficiencies Identified

List any compliance issues found:

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Corrective actions required:

- ☐ Immediate action needed - Remove from service
- ☐ Correct within 15 days
- ☐ Monitoring required
- ☐ Additional training needed
- ☐ Policy updates required

Target completion date: _____ Follow-up date: _____

Compliance Certification

I certify that this DOT compliance review has been completed and all deficiencies noted above must be corrected before continued operation:

Compliance Officer Signature: _____ Date: _____

Driver Acknowledgment: I acknowledge receipt of this compliance review and understand that any deficiencies must be corrected as specified.

Driver Signature: _____ Date: _____

Important Notes:

- Non-compliance can result in fines, vehicle out-of-service orders, and criminal penalties
- Regular reviews help maintain compliance and operational readiness
- Documentation is critical for DOT audits and inspections
- Immediate action required for safety-critical violations

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Document Control:

- Document Version: 1.0
- Last Updated: September 2025
- Compliant with: FMCSA/DOT Regulations (49 CFR Parts 300-399)
- Approved By: Work Ready Essentials Safety Team

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