



# 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: \_\_\_\_\_

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### 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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