

Onsite Comprehensive Investigation – Compliance Review

Have the following records and documents available onsite the day the investigation begins:

- Description of Operations
- List of Drivers (used within last 365 days)
- List of Vehicles (used within 365 days)
- A list of all owners or corporate officers with titles
- Physical and mailing addresses
- Office, cellular & fax numbers
- Email address
- Federal EIN (tax ID number)
- Gross revenue for the last complete fiscal or calendar year, including end date
- Copy of liability insurance declaration
 - Include copy of MCS-90 Endorsement, if required
- Insurance loss-run report for previous 12 months
- If applicable, accidents register showing all DOT recordable accidents in the US in the previous 3 years
- Current list of all drivers used in the past 365 days
 - List driver's full legal names, license states and numbers, and dates of birth
 - Note whether the drivers are company or leased operators
 - Note the driver's dates of first day driving and termination dates, if applicable
 - Copy of current licenses, if maintained
- Current list of equipment, tractors, trailers, etc.
 - Please specify whether each unit is owned or leased
- Total US mileage for most recent 4 quarters
- Identify the representative within the organization responsible for Driver Qualification Files, CDL Compliance, and training requirements for hiring and duration of employment.
 - Please include contact information for each person listed

Please have available the Driver Qualification (DQ) Files for all drivers used in the past 365 days, required to be kept and maintained in accordance with Part 391 including:

- Applications for employment
- All previous employer history inquiries
- Initial and subsequent MVR/CDL inquiries
- The annual review of driving records
- The annual lists of violations required to be completed by drivers
- Copies of road test certificates or CDL licenses used in lieu of road test
- Copies of medical certificates – include long forms if maintained
- Written policies and directives requiring drivers to submit notice of traffic violations and CDL disqualification
 - Include driver signed policy acknowledgements
- Company disciplinary policy for failure to comply with rules, company policies, and company procedures
 - Include actual disciplinary measures taken against a driver for violations
 - Include all driver signed acknowledgements

- Training documents and signed receipt acknowledgements for any hours of service (HOS) provided to drivers
- Written company policy and signed receipt acknowledgements regarding hours of service
- Specialized training certificates for LCV doubles and triples
- Written policies, training, and directives regarding safe loading and cargo securement, including:
 - Properly distributing and securing cargo in or on commercial motor vehicles

Please have all of the following for all drivers and for all terminals for the past 6 months:

- Records of duty status (logs)
- Payroll Records
- Trip Envelopes
- Bills of lading
- Driver expense receipts, including for lease operators
- Timed and dated fuel reports and receipts
- Dispatch logs
- GPS reports, if used

Please have available the following information about the controlled substance and alcohol testing program:

- Copy of consortium agreement
- Current list of drivers enrolled in random testing
- Post-accident test results from the past 12 months, if applicable
- Copies of all pre-employment test results done in the past 12 months
- Copies of all positive test results in the last 12 months, if applicable
- Copies of all random test results completed in the previous calendar year
- Copies of all selection (draw) sheets showing who was selected for random sampling in the previous calendar year
- Consortium summaries (either semiannual or quarterly) for previous calendar year
- Any documentation showing the addition or deletion of drivers in the random testing program
- Copy of company drug and alcohol policy and driver's signed copies of receipt acknowledging they were given the policy
- Any other required documents related to controlled substances and alcohol testing
- Proof of supervisory training in reasonable suspicion

Please have the following for all vehicles and trailers used within the past 365 days:

- Roadside inspection reports
- Vehicle maintenance files
- Written company maintenance policy/program information
- Annual vehicle inspection reports
- Driver vehicle inspection reports (DVIRs) for past 90 days
- Equipment repair receipts