

The 6 Factors of a Safety Audit and/or Compliance Review

This is a comprehensive summary of the six factors that outline the requirements for a successful safety compliance review.



Every carrier will be subject to a safety audit review within 18 months of operation as a new authority holder. The compliance review will look at six specific areas of your management of safety regulations and procedures as dictated by the dot and the FMCSA.







Note that a safety audit is different from a compliance review. Every new entrant have a safety audit within 18 months. A safety compliance review takes place when your safety score goes up (negative effect) or if you fail the safety audit.

1. General

The General factor includes accident monitoring and general reporting. As an entrant, you should have the following on file:

- Proof of Insurance (or security bonds)
- Accident Registry (for the past 3 years)
- Proof of Clearinghouse Registration

2. Driver Qualification

REQUIREMENT	TIME / DURATION	ADDITIONAL DETAILS
<input type="checkbox"/> Employment history (not verified)	 10 Years	
<input type="checkbox"/> Verified employment history	 3 Years	
<input type="checkbox"/> MVR	 Once a Year	
<input type="checkbox"/> DOT Card		Current & most recently expired
<input type="checkbox"/> Road Test Certification		
<input type="checkbox"/> Pre-Employment Drug Test		Custody form & negative result
<input type="checkbox"/> Query from Clearinghouse	 Once a Year	
<input type="checkbox"/> Random Drug Testing Membership	 Once a Year	
<input type="checkbox"/> 7 Day Sheet		
<input type="checkbox"/> Record Check: <ul style="list-style-type: none"> • Driver's Violations • MVR • Driver's Qualification 	 Once a Year	



3. HOS Monitoring

- Operations:** Demonstrate a system for log book auditing: how frequently is it done? Who does it? What happens when you find a violation? Who is in charge of the program? Who resolves conflicts? Who provides training in case?
- Hours of Service Violations:** 11 hr rule, 14 hr rule, 10 hr rule, 30 minute breaks, 60/70 hrs in 7/8 days, 34 hr restart once in 168 hrs, false logs
- Form/Manner Violations:** Log books kept current, remarks section completed, no missing information from log books, clear markings
- Supporting Documents/Time Stamp:** Appropriate supporting documents submitted with log books: receipts, toll receipts, etc
- Policy Enforcement:** Penalty system for repeating violations; proof of execution of penalty/reward system if in place
- Training Program:** Providing training of new log book regulations to all drivers when they come out

4. Maintenance Records

VEHICLE REQUIREMENTS

- Vehicle Identification Records**
 - Year
 - Make
 - Model
 - Serial Numbers
 - Tire Size
- Inspections**
 - List of intended inspections (schedule)
 - List of completed inspections:

Date	Name of Technician
Odometer Reading	Report/Recommendations
- Maintenance**
 - List of intended maintenance (schedule)
 - List of completed maintenance:

Date	Name of Technician
Odometer Reading	Nature of Work Done

MECHANIC/PERSONNEL REQUIREMENTS

- DOT Annual Inspections**
 - Credential of Mechanic:

Name
Company if Outsourced
Contact Information
- Brake Mechanic** (or anyone working on brakes)
 - Credential of Mechanic:

Name
Company if Outsourced
Contact Information

5. Hazmat

- Records of training for all drivers
- Copies of hazmat shipping papers
- Security plan
- Certification of qualification

6. Accident Factor

- Must retain copies of all accident reports (for past 3 years)
- Post accident test results (where applicable)

REPORTABLE ACCIDENTS INCLUDE:

- Accident in which any vehicle was towed
- Accident in which someone was injured
- Accident in which there was a fatality