



OPERATING STANDARD

Complete Audit Binder Series

All 5 compliance checklists — New Entrant, HOS, Drug & Alcohol, Maintenance, Insurance

49 CFR Parts 382, 385, 387, 395, 396 · New Entrant Series · 2026

49 CFR PART 385, SUBPART D

New Entrant Safety Audit Binder

Complete documentation for FMCSA new entrant audit readiness

TAB 01

Driver Qualification Files (DQF)

- Application and hiring forms for each driver
- CDL copy and current MVR(s)
- Medical examiner's certificate and tracking of expirations
- Prior employer checks and road test (or equivalent)
- Annual MVR reviews with driver certification signatures

TAB 02

Drug & Alcohol Program

- Consortium or in-house program agreement and written policy
- Pre-employment and random test results
- FMCSA Clearinghouse queries (pre-employment and annual)
- SAP, return-to-duty, and follow-up testing records (if applicable)
- Supervisor training records for reasonable suspicion

TAB 03

Hours-of-Service & ELD

- ELD logs for all covered drivers (last 6 months minimum)
- Supporting documents: fuel receipts, toll records, dispatch records
- ELD device registration and malfunction/data transfer records
- HOS written policy and driver training records

TAB 04

Vehicle & Maintenance

- Periodic (annual) inspection report for each unit
- Driver Vehicle Inspection Reports (DVIRs) — last 90 days
- Repair orders and work orders tied to DVIR defect notations
- Out-of-service order documentation with return-to-service proof
- Preventive maintenance schedule and completion records

TAB 05

Insurance & Registration

- Insurance policy declarations page with coverage limits
- MCS-90 endorsement on file at FMCSA
- BOC-3 designation on file
- UCR registration — current year
- Operating authority (MC number) and USDOT registration

TAB 06

Accidents & Safety Reviews

- Accident register for all recordable accidents
- Post-accident drug and alcohol test records
- Safety review checklist (internal, quarterly recommended)
- CSA BASICs monitoring documentation and remediation notes

49 CFR PART 395

HOS Audit Binder

Hours-of-service and ELD compliance documentation

TAB 01

Driver Roster & HOS Status

- List of all drivers subject to federal HOS (Part 395)
- Documented exception status for each driver (short-haul, agricultural, etc.)
- Conditions monitored to confirm exception eligibility
- Date of last HOS/ELD training and signature acknowledgement per driver

TAB 02

ELD Records & System Setup

- Confirmation that all regulated drivers are active in the ELD system
- ELD device registration and FMCSA certification documentation
- Unassigned drive time review and disposition records
- Log edit history and driver edit annotations (last 6 months)

TAB 03

Violation Reports & Coaching

- 8-week violation summary report by driver
- Coaching or discipline records for drivers with repeat violations
- Falsification findings and corrective action documentation
- Trend notes showing improvement or escalation over time

TAB 04

Supporting Document Samples

- Fuel receipts cross-referenced to ELD log locations and times (sample trips)
- Toll records and GPS/telematics export for sampled drivers
- Bills of lading / dispatch records for sampled loads
- Notes on any mismatches found and how they were resolved

TAB 05

HOS Policy & Driver Training

- Written HOS and ELD policy — current version, dated
- Covers: personal conveyance, yard moves, log edits, malfunction procedure, short-haul exception
- Driver training acknowledgements (signature + date per driver)
- Policy revision history — at least one review per year

TAB 06

ELD Malfunction & Paper Log Protocol

- ELD malfunction reporting procedure (written)
- Paper log supply confirmed in each vehicle
- Documented malfunction incidents with repair and return-to-ELD dates
- 8-day paper log supply available per driver requirement

49 CFR PART 382

Drug & Alcohol Program Binder

DOT-compliant drug and alcohol testing program documentation

TAB 01

Written Policy & DER Documentation

- Current written D&A policy, dated and signed — aligns with 49 CFR Part 382 and Part 40
- Policy acknowledgement signatures from all covered drivers, with dates
- Designated Employer Representative (DER) name, title, and contact information documented
- Policy revision history — at least one review per year

TAB 02

Clearinghouse Registration & Query Records

- Company Clearinghouse registration confirmation
- Pre-employment full query for each driver — date, driver CDL, and result
- Driver consent documentation for each Clearinghouse query
- Annual limited query records for currently employed drivers

TAB 03

Random Testing Program

- Consortium or TPA enrollment agreement and program documentation
- Random selection lists — each selection round, names drawn, dates
- Completed random test results (negative or positive) by driver and date
- Annual MIS (Management Information System) data if applicable

TAB 04

Pre-Employment & Driver Test History

- Pre-employment drug test chain-of-custody form and lab result — per driver
- Any post-accident test records with supporting documentation
- Reasonable-suspicion test records with supervisor observations documented
- Return-to-duty and follow-up testing records where applicable

TAB 05

Supervisor Training

- Reasonable-suspicion training completion certificate for each qualifying supervisor
- Training provider documentation (60 min alcohol signs, 60 min drug signs)
- Date of training relative to supervisory duties

49 CFR PART 396

Maintenance & Unit File Binder

Vehicle inspection, maintenance, and out-of-service documentation

TAB 01

Cover & Identity

- Unit number, year/make/model, VIN, plate number
- In-service date and current mileage
- Ownership or lease agreement on file

TAB 02

Core Documents

- Current registration (copy)
- Insurance ID card (copy)
- Latest annual/periodic inspection report

TAB 03

Inspections & DVIRs — last 12–18 months

- DVIRs where defects were reported, in date order
- DVIRs tied to roadside or OOS violations flagged for quick access
- Driver verification sign-offs confirming defect correction

TAB 04

Repairs & Preventive Maintenance

- Repair orders and invoices with unit number, complaint, cause, and correction
- PM service records (oil, filters, brakes) with dates and mileage/hours
- Parts receipts tied to repair order line items

TAB 05

Roadside & Out-of-Service History

- Roadside inspection reports and citations
- Repair orders showing how OOS items or serious defects were corrected
- Return-to-service documentation for each OOS event

TAB 06

Notes & Patterns

- Notes on repeated issues with corrective action taken
 - Internal decisions on retirements, major repairs, or fleet changes
 - Insurer or auditor findings tied to this unit with corrective action
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49 CFR PART 387

Insurance & Authority File

Operating authority, insurance filings, and financial responsibility documentation

TAB 01

Authority & FMCSA Records

- Current L&I snapshot showing MC and USDOT status, operating authority type, and insurance filings
- Operating authority certificate (MC number) and USDOT registration
- Any recent FMCSA correspondence about authority, revocation, or reinstatement
- BOC-3 process agent designation on file

TAB 02

Policy & Endorsements

- Current policy declarations with limits, covered autos, and key forms
- MCS-90 endorsement (where required) and any other regulatory endorsements
- Any special conditions, exclusions, or warranties that affect your operations
- Confirmation that policy classifications match your actual freight and lanes

TAB 03

Filings & Evidence of Financial Responsibility

- Confirmation or printout showing active BMC-91/BMC-91X filings with effective dates and insurer name
- Documentation of any prior cancellations and reinstatements with dates
- Proof of required UCR registration — current year
- Cargo insurance certificate if required by shippers or brokers

TAB 04

Fleet & Driver Reconciliation

- Current fleet roster with unit numbers, VINs, plates, garaging locations
- Current CDL driver roster with hire dates and roles
- Simple reconciliation sheet showing how each unit and driver ties to the policy
- Documentation of any leased-on drivers or owner-operator agreements

TAB 05

Notes & Renewal Plan

- Summary of last renewal: rate changes, coverage changes, and reasons
- One-page renewal plan: when you start quoting, what information you provide, how you decide on limits
- Agent contact log — key conversations and decisions documented
- Reminder dates: renewal, payment due dates, UCR opening window

This checklist series is part of the LaunchPath Operating Standard.

launchpathedu.com/ground-0-briefing