

## Carrier Compliance Questionnaire

Ensuring safe and efficient operations every day on every trip begins with effective policies, procedures, and training. This questionnaire is designed to help you evaluate your current processes, and identify areas where you can improve. While the list provides guidance, you are responsible for knowing and complying with all applicable [Federal Motor Carrier Safety Regulations \(FMCSRs\)](#) and [Hazardous Materials Regulations \(HMRs\)](#).

Registration, Recordkeeping, and Management	Related Regulations
1. Have you registered with FMCSA and obtained operating authority (if needed)?	<a href="#">49 CFR 385.303</a> <a href="#">49 CFR 365</a>
2. Have you updated your registration (Motor Carrier Identification Report) every 2 years (or more often if your business information changes), as required by the biennial update process?	<a href="#">49 CFR 390.19</a>
3. Do you have proof of the correct levels of insurance (Form: MCS-90) or certificate of insurance to move forward while waiting for the MCS-90?	<a href="#">49 CFR 387.9</a>
4. Can you produce a copy of the FMCSRs and HMRs?	
5. Do you have a Department of Transportation security plan?	<a href="#">49 CFR 172.800</a>
6. Can you produce a current accident record for the past 12 months?	<a href="#">49 CFR 390.15</a>
7. Do you have the permits needed for your operation (may include trip, mileage, fuel, super load, over dimension, and other types of permits)? Do you have a process for reviewing these permits to ensure they are current?	
8. Do you check your <a href="#">Safety Measurement System record</a> regularly to ensure you are operating in compliance, and use FMCSA's <a href="#">DataQs</a> process to correct inaccurate information?	
Vehicles	Related Regulations
9. Can you produce a current vehicle list (including unit number; vehicle identification number; vehicle make, year, model; and license plate state and number; and tire size)?	<a href="#">49 CFR 396.3</a>
10. Are all power units marked appropriately?	<a href="#">49 CFR 390.21</a>
11. Do you have maintenance records for each of your units?	<a href="#">49 CFR 396.3</a>
12. Do you have records of inspections of all your vehicles (tractors and trailers) over the past 14 months? Vehicles must be inspected by a certified inspector every 12 months.	<a href="#">49 CFR 396</a>
13. Do all of your maintenance inspectors have the proper qualifications for the equipment they are inspecting?	<a href="#">49 CFR 396</a>
14. Do all drivers conduct thorough pre- and post-trip inspections and refuse to operate until all safety defects are addressed? Many of the most common violations could easily be avoided by performing thorough pre- and post-trip inspections.	<a href="#">49 CFR 396.11</a> <a href="#">49 CFR 396.13</a>
15. Do you have copies of all post-trip driver vehicle inspection reports for the past 90 days?	<a href="#">49 CFR 396.11</a>
16. Selecting tires and conducting tire maintenance are important safety considerations to prevent crashes and fires. Have you reviewed this tire advisory on FMCSA's website about <a href="#">exceeding tire load ratings</a> ?	

Drivers	Related Regulations
<b>Hiring and Qualification</b>	
17. Do you have a written policy describing your hiring and re-hiring criteria and practices?	<a href="#">49 CFR Part 391</a>
18. Do all of your drivers meet the general qualification requirements? Are reviewing these requirements with the driver part of your application process?	<a href="#">49 CFR 391.11</a>
19. Using <a href="#">FMCSA's Pre-employment Screening Program</a> can help you review driver safety records and make well-informed hiring decisions.	
20. Do you have a list of all your current drivers, including first and last name, date of birth, date of hire, license number, and license issuing State?	<a href="#">49 CFR Part 391</a>
21. Do all drivers hold valid CDL licenses (as needed) with the proper endorsements based on the vehicle size and commodity transported?	<a href="#">49 CFR Part 391</a>
22. Do you have a current and complete driver qualification file for every driver?	<a href="#">49 CFR 391.51</a>
23. Do you have an employment application for every driver?	<a href="#">49 CFR 391.21</a>
24. Do driver qualification files show a complete investigation of the past employment history of drivers?	<a href="#">49 CFR 391.53(b)(1)</a>
25. Do you have a documented road test certificate or equivalent for all drivers?	<a href="#">49 CFR 391.31(e)</a>
26. For longer combination vehicle drivers: Do you have an LCV Driver-Training Certificate or LCV Certificate of Grandfathering in each driver's qualification file verifying completion of an LCV driver training course?	<a href="#">49 CFR 380.107</a>
27. Can you produce a motor vehicle record (MVR) obtained within the last 12 months for each driver?	<a href="#">49 CFR 391.25 (a) and (c).</a>
28. Do you have a documented process for reviewing the MVR and all moving violations with the driver once a year and documenting that you did so?	<a href="#">49 CFR 391.25 (c) (2)</a> <a href="#">49 CFR 391.27</a>
29. Do you have a current medical certificate for every driver? Do all non-CDL drivers have their medical certificates with them at all times? Medical certificates for CDL drivers are electronically linked with their CDLs.	<a href="#">49 CFR 391.43</a>
30. Do you have a note in each driver's file indicating that you verified that the medical examiner listed is on the National Registry of Certified Medical Examiners?	Non-CDL drivers: <a href="#">49 CFR 391.51(b)(9)(i)</a>  CDL drivers: <a href="#">49 CFR 391.51(b)(9)(ii)</a>
31. Do you have a documented system for ensuring that driver's licenses and medical certificates (physicals) are current and valid?	
32. Does the company require all drivers to report violations in a timely manner, and are records of these violations included in the driver qualification files?	<a href="#">49 CFR 391.27</a>
33. Do you have a written process to identify drivers that should be disqualified, and a process for reinstatement?	<a href="#">49 CFR 383.37</a>

<b>Driving</b>	
34. Do your drivers understand what is required of them while operating a CMV?	<a href="#">49 CFR Part 392</a>
<b>Hours of Service (HOS)</b>	
35. If you meet the record of duty status (RODS) requirements, can you produce RODS documentation (logbooks) for the past 6 months for all drivers?	<a href="#">49 CFR Section 395.8</a>
36. Do you have a documented process for checking driver RODS to ensure accuracy, either via independent documents or a software system?	
37. Do you have a system in place to monitor compliance with hours of service regulations?	<a href="#">49 CFR 395</a>
38. Do you require new drivers to provide their RODS for the previous seven days on duty (e.g., for example, with another carrier)?	<a href="#">49 CFR 395.8 (a)(2)(ii)</a> and <a href="#">395.8 (k)</a>
39. Do you provide driver training on hours of service regulations and the importance of complying?	<a href="#">49 CFR 391</a>
40. Do you have a written disciplinary policy addressing non-compliance with hours of service regulations?	
41. If you are subject to the ELD final rule, have you purchased and installed an electronic logging device (ELD), or ELDs, that are on FMCSA's <a href="#">list of registered ELDs</a> ? Do you meet all the motor carrier responsibilities for using ELDs?	<a href="#">49 CFR 395.22</a>
<b>Controlled Substances and Alcohol Testing (if applicable to your operation)</b>	
42. Do you have a written drug and alcohol policy?	
43. Do you have documentation (certificate of enrollment) describing your drug and alcohol testing program and (if applicable) verifying that you are enrolled in a consortium?	
44. Are drug and alcohol policy training materials available to all employees? Is there a signed document acknowledging receipt of drug and alcohol policy in each employee's file?	<a href="#">49 CFR 382.601</a>
45. Are all supervisors who are required to conduct employee drug testing properly trained? Is that training documented with a training certificate?	<a href="#">49 CFR 382.603</a>
46. Do you have proof of a pre-employment drug and alcohol test for all CDL-holders? Do you ask all new employees if they have tested positive or refused any drug or alcohol test in the past two years, and do you have documentation to support this?	<a href="#">49 CFR 382.301</a>
47. Are you registered as an employer in the FMCSA CDL Drug and Alcohol Clearinghouse?	<a href="#">49 CFR 382.711</a>
48. Have you purchased a query plan and conducted all necessary annual and pre-employment queries in the Drug and Alcohol Clearinghouse to verify that drivers you employ are not prohibited from performing safety-sensitive functions? This includes querying yourself if you are self-employed.	<a href="#">49 CFR 382.701</a>
49. Have you obtained general consent from all employees who perform safety-sensitive functions, allowing you to conduct limited queries in the Clearinghouse to determine whether information in their Clearinghouse record prohibits them from performing such functions? Is this general consent kept up-to-date, and can you produce it upon request?	

50. For time periods prior to January 6, 2020, do you have documentation showing that you have checked with employees' previous employers to determine if employees have tested positive to a drug or alcohol test in the previous three years?	<a href="#">49 CFR 391.23(e)</a>
51. Can you provide results from random drug tests conducted over the last 12 months?	<a href="#">49 CFR 382</a>
52. Do you have a record of all employee drug and alcohol tests for the last 12 months and the status of any employees that tested positive?	<a href="#">49 CFR 382</a>
53. Have you reported to the Drug and Alcohol Clearinghouse any alcohol tests with a concentration of 0.04 or higher; refusals to take an alcohol test; refusals to take a drug test not reported by a medical review officer (MRO); or actual knowledge of a drug or alcohol violation?	<a href="#">49 CFR 382.705(b)</a>
54. Have you reported to the Drug and Alcohol Clearinghouse any negative return-to-duty test results or successful completion of the follow-up testing plan as prescribed by a DOT-qualified substance abuse professional (SAP)?	<a href="#">49 CFR 382.705(b)</a>
55. Have you designated a consortium/third-party administrator (C/TPA) in the Drug and Alcohol Clearinghouse? This is required if you are a self-employed driver who drives a CMV for a company you operate under your own authority (often referred to as an owner-operator).	<a href="#">49 CFR 382.705(c)</a>
<b>Disciplinary/Corrective Action</b>	
56. Do you have a written progressive disciplinary action policy?	
57. Do you have a documented procedure to identify drivers that should be disqualified (removed from service) and a process for reinstating them?	
<b>Hazardous Materials</b>	
58. Do you have correct hazardous materials safety permits/placards?	<a href="#">FMCSA Safety Permit Program</a>
59. Are all employees that affect the safe transportation of a hazardous material appropriately trained with documentation maintained in their driver qualification files?	<a href="#">CFR 49 Parts 100 to 180</a>
60. Are hazardous materials shipping papers (including the information below) properly prepared and retained for the specified period of 375 days? <ul style="list-style-type: none"> <li>• An identification number</li> <li>• A proper shipping name, identified in the Hazardous Materials Table</li> <li>• The hazard class</li> <li>• The packing group, identified in Roman numerals</li> <li>• The total quantity of hazardous materials</li> <li>• The number and type of packages holding the hazardous contents</li> </ul>	<a href="#">49 CFR 172.201</a>
<b>Passenger Carriers</b>	
61. Have you trained all employees, dispatchers, drivers, mechanics, sales staff and others about their role in safety? They should understand and apply the regulations in all aspects of their jobs including planning routes, chartering trips, maintaining vehicles and talking with customers.	