**COMPLIANCE REVIEW AREAS**

**Factor 1 – General – CFR Parts 387, 390**

* Copy of MCS-90
* Driver list for drivers used in last 365 days with date of hire, date of birth, CDL state and license number, and date of termination (if applicable)
* Accident register for last 3 years

**Factor 2 – Driver Qualification – CFR Parts 382. 383, 391**

* Current list of drivers (see Factor 1)
* Company policy on misuse of alcohol and use of controlled substances
* Last four quarters controlled substances and alcohol testing random selections with results
* Post-accident drug and alcohol testing
* Annual Summary (from TPA) of previous year’s controlled substance testing
* Supervisor’s Reasonable Suspicion Training Documentation
* Driver Qualification Files
* Entry level drivers

**Factor 3 – Operational/Driving – CFR Parts 392 and 395**

* Driving of commercial motor vehicles
* Hours of service (HOS)

**Factor 4 – Vehicle Maintenance – CFR Parts 393, 396, and Performance Data (OOS Percentage)**

* Current list of equipment (tractors and trailers) with company number, license #, state, year, make, GVWR, and driver if applicable
* Brake inspector/adjuster training documentation & Annual inspector qualifications
* Inspection reports (Roadside and scale) last 12 months
* Vehicle files to include unit number, serial number, year, make, and tire size
* Driver vehicle inspection reports maintained for last 3 months.
* Annual vehicle inspection reports last 14 months
* Lease agreements and associated maintenance records

**Factor 5 – Hazardous Material – CFR 171, 177, 180, 397**

* HM Registration for current year
* HM training documentation for drivers and employees (if not in driver file)
* Sample shipping papers for each class of hazardous materials shipped or transported
* Security plan with risk assessment
* HM Permits (if applicable)

**Factor 6 – Crash Rate (Recordable crashes)**

* Accident register for all accidents in last 365 days (see Factor 1)
* Pull all accident files and separate DOT recordables from non-recordable accidents
* Police reports available in file for each
* Insurance company loss runs for the last 365 days
* Drivers involved in DOT recordable crashes (for last 6 months only), pull records of duty status for the month of the accident plus the prior month
* Crash Rate = Recordable crashes x 1 Million/Total Miles
* Crash Ratio: 0-1.5 Satisfactory; >1.5 Unsatisfactory