

New Entrant Safety Audit:

16 automatic-fail violations

✓ **Carrier Pay Guide**
carrierpayguide.com

18 months

New entrant monitoring period
(49 CFR 385.307)

3+ months

The audit generally comes once
you have about 3 months of
records

Any 1 of 16

fails the audit automatically (49
CFR 385.321)

Tick each box once it's true for your company. A failed audit leads to a notice that your new entrant registration will be revoked, so fix these **before** the auditor calls.

Drug & alcohol (CDL drivers, including you)

- ☐ We have a drug and alcohol testing program
382.115
- ☐ We're in a **random** testing program (e.g. a consortium) 382.305
- ☐ No driver with 0.04+ alcohol does safety-sensitive work 382.201
- ☐ No driver who refused a required test is driving
382.211
- ☐ No driver known to have tested positive is driving
382.215

Drivers

- ☐ Every driver has a valid CDL for the vehicle
383.3(a)/383.23(a)
- ☐ No driver with a disqualified CDL or permit drives
383.37(b)
- ☐ No disqualified driver drives a CMV 383.51(a)
- ☐ No disqualified driver is used 391.15(a)
- ☐ Every driver is physically qualified (current medical certification) 391.11(b)(4)

Insurance

- ☐ Required minimum insurance is in force every day we operate 387.7(a)
- ☐ Passenger carriers: required minimum insurance in force 387.31(a)

Hours of service

- ☐ Drivers keep records of duty status (ELD or logs)
(fails at 51%+ of records checked) 395.8(a)

Vehicles

- ☐ No vehicle declared out of service runs before it's repaired 396.9(c)(2)
- ☐ Out-of-service defects on a DVIR are fixed before the vehicle runs 396.11(a)(3)
- ☐ Every vehicle has a current periodic (annual) inspection (fails at 51%+ of records checked) 396.17(a)

Keep these files ready for the auditor

- ☐ Driver qualification file for every driver (you too)
- ☐ Hours-of-service / ELD records + supporting docs
- ☐ Annual inspection reports for every vehicle
- ☐ Drug & alcohol testing records and consortium enrollment
- ☐ Inspection, repair & maintenance records
- ☐ Proof of insurance and an accident register