New Entrant Safety Audit Checklist

Audit preparation

Carrier / USDOT number

Audit contact / requested date

Reviewer / review date

Company and drivers

- ☐ Verify current company registration, applicable operating authority, required financial responsibility, and accurate MCS-150 information.
- ☐ Prepare current driver and vehicle lists, including leased equipment and owner-operators.
- ☐ Review driver applications, license / medical status, road-test evidence, MVR reviews, and required investigations.

Operational evidence

- ☐ For covered drivers, demonstrate compliant testing arrangements, pre-employment results, Clearinghouse queries, and random testing.
- ☐ Locate actual logs or qualifying time records, required supporting documents, and ELD / short-haul applicability evidence.
- ☐ Collect equipment identification, maintenance scheduling and completed work, current periodic inspections, and required defect reports.
- ☐ Prepare the required accident register and report copies; document when there are no qualifying accidents.

Before the review

- ☐ Compare the packet with the auditor’s specific request and review the automatic-failure provisions.
- ☐ Resolve unsafe practices immediately; document corrections honestly without backdating records.
- ☐ Confirm records can be retrieved and explained by the responsible staff.

Gaps to close

Missing evidence / correction	Owner	Due

49 CFR 385.321 49 CFR 391.51 49 CFR 396.3 49 CFR 390.15

Working resource. Confirm applicability and current requirements for your operation.