SAMPLE

FICTIONAL AUDIT PACKET

# New Entrant Safety Audit Packet

An example of how genuine carrier records can be mapped, indexed and flagged

CARRIER

## Sample Freight LLC

USDOT 0000000 • General property • Interstate

| DRIVERS | POWER UNITS | AUDIT STAGE | PACKET DATE |
|---|---|---|---|
| 3 | 2 | Notice received | July 2026 |

**SAMPLE — NOT FOR SUBMISSION**

Every carrier is different. This fictional packet is a trust preview, not a form, filing, legal opinion or promise that any carrier will pass.

**INDEPENDENT DOCUMENT-PREPARATION SERVICE**

Not affiliated with or endorsed by FMCSA, USDOT or any government agency.

01 / REQUEST-TO-EVIDENCE MAP

# Map the request before uploading.

The carrier's actual audit notice controls. This example shows how supplied records may be organized against common published audit categories.

| REQUEST AREA | | EXAMPLE EVIDENCE | STATUS |
|---|---|---|---|
| A | **Driver qualification** | Driver roster, licenses, MVRs, medical evidence | REVIEW |
| B | **Hours of service** | Requested logs, supporting records, applicable ELD output | READY |
| C | **Vehicle maintenance** | Vehicle list, inspections, repair and maintenance records | MISSING |
| D | **Accident register** | Register or a dated statement if no record is responsive | READY |
| E | **Controlled substances & alcohol** | Applicable program and testing records | REVIEW |
| F | **Financial responsibility** | Insurance or other requested evidence | READY |

### WHY THIS PAGE EXISTS

It keeps a file dump from becoming the submission strategy. A reviewer can see the request, the proposed evidence and the unresolved gap in one place.

02 / READINESS SNAPSHOT

# See the gaps before the auditor does.

This scorecard reflects the fictional files supplied for this sample. It is not a pass/fail prediction.

| | | |
|---|---|---|
| **4** READY<br>Evidence appears present and readable | **3** REVIEW<br>A date, identity or scope check is needed | **2** MISSING<br>No responsive file was supplied |

## Items requiring a decision

| Item | Status |
|---|---|
| **Driver 01 MVR**<br>Record is present; verify it is current for the requested period. | REVIEW |
| **Driver 02 medical evidence**<br>Name is visible; expiration date needs a second look. | REVIEW |
| **Driver 03 application**<br>File is present, legible and indexed. | READY |
| **Vehicle 02 annual inspection**<br>No responsive inspection file was supplied. | MISSING |
| **Maintenance program records**<br>No maintenance evidence was supplied for review. | MISSING |
| **Insurance evidence**<br>Supplied file is indexed; auditor request still controls. | READY |

03 / DOCUMENT INDEX

# Give every genuine file a home.

The final packet pairs clear file names with an index. Source files remain the carrier's records; nothing is backdated or rewritten.

| # | FOLDER | FILE | NOTE |
|---|---|---|---|
| 01 | 00_Audit_Request | **Audit_Notice.pdf** | Original notice |
| 02 | 01_Carrier_Profile | **Carrier_Profile.pdf** | Carrier-supplied |
| 03 | 02_Driver_Qualification | **D01_License.pdf** | Readable |
| 04 | 02_Driver_Qualification | **D01_MVR.pdf** | Date review |
| 05 | 02_Driver_Qualification | **D02_Medical.pdf** | Expiration review |
| 06 | 03_Hours_of_Service | **HOS_Requested_Period.pdf** | Indexed |
| 07 | 04_Vehicles | **Vehicle_List.pdf** | Two units |
| 08 | 04_Vehicles | **V01_Annual_Inspection.pdf** | Indexed |
| 09 | 05_Insurance | **Insurance_Evidence.pdf** | Indexed |
| 10 | 99_Gap_Report | **Gap_Action_List.pdf** | Prepared output |

### THE INDEX IS A NAVIGATION AID

It does not transform an incomplete record into a compliant one. Missing and unresolved items stay visible in the gap action list.

04 / PRIORITIZED GAP ACTION LIST

# A legitimate next step for every gap.

New Entrant Ready does not create missing evidence. The carrier decides how to address each item and whether professional advice is needed.

**01** **Vehicle 02 annual inspection not supplied**

MISSING

LEGITIMATE NEXT STEP

Check existing maintenance files and the carrier's inspection provider. Do not create or backdate an inspection.

**02** **Maintenance records not supplied**

MISSING

LEGITIMATE NEXT STEP

Collect genuine records for the period and units requested in the audit notice.

**03** **Driver 02 medical expiration needs verification**

REVIEW

LEGITIMATE NEXT STEP

Confirm the visible expiration date against the carrier's source record before submission.

**04** **Driver 01 MVR date needs verification**

REVIEW

LEGITIMATE NEXT STEP

Confirm that the record covers the period and timing requested by the auditor.

**05** **Controlled-substances program scope unresolved**

REVIEW

LEGITIMATE NEXT STEP

Confirm which records apply to this carrier and the driver roster. Seek qualified advice if the obligation is unclear.

05 / REVIEW AND HANDOFF

# The carrier reviews. The carrier submits.

The auditor's notice and instructions always control. The independent service prepares the workspace; it does not become the carrier or the agency.

- ✓ Compare the packet index with the actual audit notice.
- ✓ Open every file and confirm it belongs to the correct driver, vehicle or request.
- ✓ Resolve or knowingly retain each item on the gap action list.
- ✓ Confirm names, dates, units and requested periods against the source records.
- ✓ Keep a complete copy of exactly what the carrier submits.
- ✓ Use the submission method and deadline in the auditor's instructions.

### THE DECISION IS NOT OURS

FMCSA and the assigned auditor determine what is required and whether a carrier passes. This packet cannot guarantee an outcome or replace legal or compliance advice.

### THIS ENDS THE FICTIONAL SAMPLE

No sample file in this preview should be used as a carrier record or submitted to an agency.