

DRUG & ALCOHOL RECORDKEEPING CHECKLIST

We wish to give our members a choice of keeping their drug testing costs to a minimum by doing their own record keeping as well as doing their own semi-annual and annual summaries.

However, if you elect NTA Inc to handle these items for you, we will have to charge you our applicable current fee.

The following are the US DOT rules and regulations reprinted for your convenience that you will have to follow if you wish to do your own record keeping and summaries.

According to section 382.401, companies are required to maintain records of their alcohol misuse and controlled substances use prevention program. These records must be maintained in a secure location. Use this checklist to ensure you maintain the proper records for the correct period of time.

RECORDS TO BE MAINTAINED FOR A MINIMUM OF 5 YEARS:

1. Employee alcohol test results with results indicating an alcohol concentration of .02 or greater.
2. Records of employee-verified positive controlled substances test results.]
3. Documentation of refusals to take required alcohol and/or controlled substance tests.
4. Documents sent by the medical review officer to the employer for positive tests, including those required by section 382.407:
 - a) the controlled substances test being reported was in accordance with Part 40
 - b) the name of the individual for whom the test results are being reported
 - c) the type of test indicated on the custody-and-control form (e.g., random, post-accident, etc.)
 - d) the date and location of the test collection
 - e) identity of the persons or entities performing the collection analysis of the specimens and serving as the medical review officer to the specific test
 - f) verified results of controlled substances test, and the identity of the controlled substance(s) for which the test was verified positive
 - g) documents presented by employees to dispute results of alcohol or controlled substances test that were resolved as positive
 - h) calibration and calibration check documentation for alcohol testing devices
 - i) driver SAP evaluation and referrals
 - j) records pertaining to a substance abuse professional's determination of an employee's for assistance
 - k) records concerning an employee's compliance with the substance abuse professional's recommendation
 - l) records related to other violations

RECORDS TO BE MAINTAINED FOR A MINIMUM OF 2 YEARS:

1. Records related to the alcohol and controlled substances collection process (except calibration of breath testing devices) and training.
2. Documents relating to the random selection process
3. Documentation of breath alcohol technician training
4. Documentation of screening test technician training
5. Documents relating to decisions to administer reasonable suspicion alcohol or controlled substance tests.
6. Documents in connection with decisions on post-accident tests
7. Documents verifying a medical explanation of the inability of a driver to provide adequate breath of urine specimens for testing
8. Materials related to education and training on alcohol misuse and controlled substances use awareness, including employer's policy on alcohol misuse and controlled substance use
9. Documentation of compliance with the requirements of section 382.601, including the employee's signed receipt of educational materials
10. Documentation of training provided to supervisors for the purpose of qualifying the supervisors to make a determination concerning the need for alcohol and/or controlled substances testing based on a reasonable suspicion
11. Certification that any training conducted under this part complies with the requirement for such training
11. Agreements with collection site facilities, laboratories, medical review officers, and consortia
12. Names and positions of officials and their roles in the employer's alcohol and controlled substances testing program(s)
13. Quarterly laboratory statistical summaries of urinalysis required by section 40.29(g)(6) the employer's drug testing policy and procedures

RECORDS TO BE MAINTAINED FOR A MINIMUM OF 1 YEAR:

1. Records of negative and cancelled controlled substances test results and alcohol test results with concentrations of less than .02
2. Employer's copies of the alcohol testing form, including negative results of tests
3. Employer's copies of negative controlled substances test chain-of-custody (custody-and-control) forms
4. Documents presented by employees to dispute the results of alcohol or controlled substances tests that were resolved as negative
5. Documents sent by medical review officers to the employer for negative tests, including those required by section 382.407(a):
 - a. the controlled substances test being reported was in accordance with part 40
 - b. the name of the individual for whom the test results are being reported
 - c. the type of test indicated on the chain-of-custody (custody-and-control) form (e.g., random, post accident, etc.)
 - d. the date and location of the test collection
 - e. identity of the persons or entities performing the collection analysis of the specimens and serving as the medical review officer to the specific test
 - f. verified negative results of controlled substances test