

Drug and Alcohol Program Manager (DAPM) Interview Questions

Pike County Community Action Transportation system (CATS)

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Ohio Department of Transportation

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#	Question	Finding	Regulation	Action Item
0	TO START OFF, I WOULD LIKE TO ASK A FEW QUESTIONS ABOUT THE REGULATIONS			
1	Do you have a copy of the DOT and Federal Transit Administration testing regulations 49 CFR Parts 40 and 655?	Yes, they both have a copy and they are both up to date.	Section 655.11 states: "Each employer shall establish an anti-drug use and alcohol misuse program consistent with the requirements of this part." The DAPM should have available 49 CF Part 655 to use as a resource in complying with the FTA drug and alcohol testing requirements.	none
0	NOW, I WOULD LIKE TO ASK SOME QUESTIONS ABOUT YOUR POLICIES AND PROCEDURES.			
2	Does this employer make available and provide written notice of the availability of the adopted FTA anti-drug and alcohol misuse policy to all covered employees and representatives of any employee organizations? How?	Employee receives a copy at time of hire and they sign off on it. Have a form for updates/revisions and keeps copies in employee main record.	Section 655.16 states: "Each employer shall provide written notice to every covered employee and to representatives of employee organizations of the employer's anti-drug and alcohol misuse policies and procedures."	None
3	Does this employer make available and provide written notice of revisions to the adopted FTA anti-drug and alcohol misuse policy to all covered employees and representatives of any employee organizations? How?	Yes see above	Section 655.16 states: "Each employer shall provide written notice to every covered employee and to representatives of employee organizations of the employer's anti-drug and alcohol misuse policies and procedures."	None

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4	Does this employer maintain a record that each employee has received a copy of the anti-drug and alcohol misuse policy, or a written notice that the policy is available for review?	Yes, see above	Section 655.15 states: "The local governing board of the employer or operator shall adopt an anti-drug and alcohol misuse policy statement. The statement must be made available to each covered employee ..." Section 655.16 states: "Each employ shall provide written notice to every covered employee and to representatives of employee organizations of the employer's anti-drug and alcohol misuse policies and procedures."	None
5	Does this employer maintain a record that each employee has received a copy of revisions to the anti-drug and alcohol misuse policy, or a written notice that the revised policy is available for review?	Yes, see above	Section 655.16 states: "Each employer shall provide written notice to every covered employee and to representatives of employee organizations of the employer's anti-drug and alcohol misuse policies and procedures."	None
6	What job categories or functions are considered safety-sensitive at this company?	Both DERs were able to articulate what safety sensitive positions were and what positions they had that met those criteria. Referred to copies of regulations and policy as needed.	Section 655.15 states: "...The [policy] statement must be made available to each covered employee, and shall include the following: ... (b) The categories of employees who are subject to the provisions of this part." Section 655.4 defines "covered employee" as "a person, including an applicant or transferee, who performs or will perform a safety-sensitive function for an entity subject to this pa."	None Check with Jan regarding Maintenance not being in policy

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7	Do you utilize volunteers and are they FTA-covered employees subject to 49 CRF Part 40?	None used currently, but agency has policy that volunteers are treated as employees and would be tested if performing safety sensitive work.	Section 655.4 defines covered employee stating "volunteer is a covered employee if: (1) The volunteer is required to hold a commercial driver's license to operate the vehicle; or (2) The volunteer performs a safety-sensitive function for an entity subject to this part and receives remuneration in excess of his or her actual expenses incurred while engaged in the volunteer activity."	None
8	Are you notified of all FTA testing, so as to take immediate action, if necessary?	Yes, and gets testing results within 24 hours.	Section 40.3 defines "Designated employer representative (DER)" as "An employee authorized by the employer to take immediate action(s) to remove employees from safety-sensitive duties, or cause employees to be removed from these covered duties, and to make required decisions in the testing and evaluation processes. The DER also receives test results and other communications for the employer, consistent with the requirements of this part. Service agents cannot act as DERs."	None

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9	Does this employer conduct non-DOT drug and/or alcohol testing and if so is it completely separate (separate random pools, separate CCFs and ATFs, etc.) from DOT testing?	Yes, and all files and testing pools are kept separate.	<p>Section 655.15 states: "Policy Statement contents... . The statement must be made available to each covered employee, and shall include the following: ... (j) The employer shall inform each covered employee if it implements elements of an anti-drug use or alcohol misuse program that are not required by this part. An employer may not impose requirements that are inconsistent with, contrary to, or frustrate the provisions of this part."</p> <p>Section 40.13 states: "(a) DOT tests must be completely separate from non-DOT tests in all respects. (b) DOT tests must take priority and must be conducted and completed before a non-DOT test is begun. For example, you must discard any excess urine left over from a DOT test and collect a separate void for the subsequent non-DOT test. © Except as provided in paragraph (d) of this section, you must not perform any tests on DOT urine or breath specimens other than those specifically authorized by this part or DOT agency regulations. For example, you may not test a DOT urine specimen for additional drugs, and a laboratory is prohibited from making a DOT urine specimen available for a DNA test or other types of specimen identity testing."</p>	None

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10	Do you ever perform DOT testing above and beyond what is required by FTA? (E.g., an accident that does not exceed FTA thresholds, alcohol pre-employment, etc.)	Yes, perform alcohol pre-employment and tests after all accidents. Understands the requirement and uses non-DOT forms when required. Uses DOT FTAs for pre-employment alcohol testing.	<p>Section 40.47(a) states: "... as an employer, you are prohibited from using CCF for non-DOT urine collections. You are also prohibited from using non-Federal forms for DOT urine collections. Doing either subjects you to enforcement action under DOT agency regulations."</p> <p>Section 40.227(a) states: "... as an employer, BAT, or STT, you are prohibited from using the FTA for non-DOT alcohol tests. You are also prohibited from using non-DOT forms for DOT urine collections. Doing either subjects you to enforcement action under DOT agency regulations."</p>	None
11	Are the Federal Drug Testing Custody and Control Form (CCF) and DOT Alcohol Testing Form(ATF) only used for DOT tests, and are they always used when it is a DOT test?	Yes, and checked to make sure that they were in the files. She monitors forms when they come back to ensure compliance.	Section 40.13(f) states: "As an employer, you must not use the CCF [Federal Drug Testing Custody and Control Form] or the ATF [The DOT Alcohol Testing Form] in your non-DOT drug and alcohol testing programs. This prohibition includes the use of the DOT forms with references to DOT programs and agencies crossed out. You also must always use the CCF and ATF for all your DOT-mandated drug and alcohol tests."	None

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12	If a non-DOT CCF or ATF is used for a DOT test, do you know what the regulations require you to do to correct this flaw?	Knows how to correct mismarked forms and has done so. Showed me corrected form where she used an affidavit of correction.	The transit system has until the end of the business day that the error is discovered to correct the mistake with an affidavit that explains the misuse of forms.	None
13	Before performing a drug or alcohol test, how does the transit system inform each employee of the testing authority (i.e., FTA authority, transit system authority)?	Yes, in policy and will be on new Order to Test form.	Section 655.17 states: "Before performing a drug or alcohol test under this part, each employer shall notify a covered employee that the test is required by this part. No employer shall falsely represent that a test is administered under this part."	None

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14	What information do you provide to the collection site for each DOT test you are requesting?	Current form provided by TPA and gives most of the required information, but there are some areas that could be improved. Left a copy of a template Order for Testing and will send electronic version with summary report.	Section 40.14 states: "As an employer, or an employer's service agent – for example a C/TPA, you must ensure the collector has the following information when conducting a urine specimen collection for you: (a) Full name of the employee being tested. (b) Employee SSN or ID number. (c) Laboratory name and address (can be pre-printed on the CCF). (d) Employer name, address, phone number, and fax number (can be pre-printed on the CCF at Step 1-A). (e) DER information required at § 40.35 of this part. (f) MRO name, address, phone number, and fax number (can be pre-printed on the CCF at Step 1-B). (g) The DOT Agency which regulates the employee's safety-sensitive duties (the checkmark can pre-printed in the appropriate box on the CCF at Step 1-D). (h) Test reason, as appropriate: Pre-employment; Random; Reasonable Suspicion/Reasonable Cause; Post-Accident; Return-to-Duty; and Follow-up. (i) Whether the test is to be observed or not (see § 40.67 of this part). (j) (Optional) C/TPA name, address, phone, and fax number (can be pre-printed on the CCF)."	The DAPM must provide a signed statement certifying that he has read and fully understands the requirements of 49 CFR Part 40.14. That the employer must ensure that the collector has the correct information needed to perform testing. The DAPM will use the template supplied by RLS to create a new Order for Testing form that includes all relevant information including a time check in section. This statement must also include an explanation from the DAPM of how this requirement will be met moving forward.

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			[65 FR 79526, Dec.19, 2000, as amended at 75 FR 59107, September 27, 2010]	
15	How do you ensure that DOT tests can be conducted at all times when safety-sensitive functions may be performed? (I.e., late night, weekends, holidays, maintenance hours, etc., if applicable.)	The current testing site open for most of the service time. If they are not a local hospital is used as a back-up testing site.	Section 655.45(g) states: "Each employer shall ensure that random drug and alcohol tests conducted under this part are unannounced and unpredictable, and that the dates for administering random tests are spread reasonably throughout the calendar year. Random testing must be conducted at all times of day when safety-sensitive functions are performed."	None
16	Do you ever use a hospital for testing on a contingency basis? Do you know that they use documented trained collectors for DOT testing?	Yes, and they have checked for trained collectors and have the certs on file. Also rely on TAP to recommend a back-up site and TPA also keeps track of qualifications.	Section 40.31(a) states "Collectors meeting the requirements of this subpart are the only persons authorized to collect urine specimens for DOT drug testing. (b) A collector must meet training requirements of §40.33."	None
17	Have all safety-sensitive employees received receive at least 60 minutes of training on the effects and consequences of prohibited drug use on personal health, safety, and the work environment, and on the signs and symptoms that may indicate prohibited drug use?	Yes, just had a recent training session and will have sign-in sheet added to file	Section 655.14(b)(1) states: "Covered employees must receive at least 60 minutes of training on the effects and consequences of prohibited drug use on personal health, safety, and the work environment, and on the signs and symptoms that may indicate prohibited drug use. "	None

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18	Have all employees authorized to initiate FTA reasonable suspicion testing received at least 60 minutes of training on the indicators of probable drug use, and 60 minutes of training on the indicators of probable alcohol misuse?	Yes, in file and reviewed	Section 655.14(b)(2) states: "Supervisors and/or other company officers authorized by the employer to make reasonable suspicion determinations shall receive at least 60 minutes of training on the physical, behavioral, and performance indicators of probable drug use and at least 60 minutes of training on the physical, behavioral, speech, and performance indicators of probable alcohol misuse.	None

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19	For how long do you maintain documentation related to supervisor reasonable suspicion training?	Forever	<p>Section 655.71(c) states: "The following specific records must be maintained: ... (4) Records related to employee training: ... (iii) Documentation of training provided to supervisors for the purpose of qualifying the supervisors to make a determination concerning the need for drug and alcohol testing based on reasonable suspicion."</p> <p>Section 655.71(b) states: "In determining compliance with the retention period requirement, each record shall be maintained for the specified minimum period of time as measured from the date of the creation of the record. Each employer shall maintain the records in accordance with the following schedule: ... (2) Two years. Records related to the collection process and employee training."</p>	None
20	Does this transit system document Reasonable Suspicion referrals?	They have never done one, but understand the process and how to document.	<p>Section 655.71(c) states: "The following specific records must be maintained: (1) Records related to the collection process: ... (iii) Documents generated in connection with decisions to administer reasonable suspicion drug or alcohol tests."</p>	None

#	Question	Finding	Regulation	Action Item
0	NOW, I WOULD LIKE TO ASK SOME QUESTIONS ABOUT THE PRE-EMPLOYMENT DRUG TESTING PROCESS.			
21	At what point in the hiring process do you require applicants for safety-sensitive positions to pass a FTA pre-employment drug test?	After they have filled out initial application and agency employment written test. Contingency for hire based on test result and send for testing. But they have no real process in place to document this. Suggested using an existing spreadsheet used to track training, to also track hire and testing dates. Also left template for Pre-employment testing.	Section 655.41(a)(1) states: "Before allowing a covered employee or applicant to perform a safety-sensitive function for the first time, the employer must ensure that the employee takes a pre-employment drug test administered under this part with a verified negative result. An employer may not allow a covered employee, including an applicant, to perform a safety-sensitive function unless the employee takes a drug test administered under this part with a verified negative result."	The DAPM must provide a signed statement certifying that he has read and fully understands the requirements of 49 CFR Part 655.41(a)(1). That the employer must ensure that the employee takes a pre-employment drug and alcohol test administered under this part with a verified negative result before allowing the employee to perform safety-sensitive duties. The DAPM will use the template supplied by RLS to create a new tracking process for Pre-Employment testing that ensures compliance with this regulation. This statement must also include an explanation from the DAPM of how this requirement will be met moving forward.

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22	How do you record the first date that new hires or transferees begin safety-sensitive functions?	Not currently being done, see above.	Section 655.41(a)(1) states: "Before allowing a covered employee or applicant to perform a safety-sensitive function for the first time, the employer must ensure that the employee takes a pre-employment drug test administered under this part with a verified negative result. An employer may not allow a covered employee, including an applicant, to perform a safety-sensitive function unless the employee takes a drug test administered under this part with a verified negative result."	See above
23	Do you perform pre-employment alcohol testing for all/any safety-sensitive positions?	Yes, per Ohio DOT and CACPC requirements	Section 655.42 states "An employer may, but is not required to, conduct pre-employment alcohol testing under this part." Section 655.42 (d) states "The employer must conduct all pre-employment alcohol tests using the alcohol testing procedures set forth in 49 CFR Part 40. "	None
24	If a non-safety-sensitive employee transfers to a safety-sensitive position what testing requirements do you administer prior to allowing the employee to perform safety-sensitive duties?	Pre-employment testing for drugs and alcohol.	Section 655.41(b) states: "An employer may not transfer an employee from a non-safety-sensitive function to a safety-sensitive function until the employee takes a pre-employment drug test administered under this part with a verified negative result."	None

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25	When a safety-sensitive employee is to be on extended leave (90 or more consecutive days) and will not be performing safety-sensitive functions, how do you handle their placement in the DOT random testing pool and do you do anything upon their return and prior to their performance of safety-sensitive function?	Pre-employment test is done on return to work depending on date of return and TPA pool manager is notified of any drop outs, new hires or returning employee.	Section 655.41(d) states: "When a covered employee or applicant has not performed a safety-sensitive function for 90 consecutive calendar days regardless of the reason, and the employee has not been in the employer's random selection pool during that time, the employer shall ensure that the employee takes a pre-employment drug test with a verified negative result."	None
26	At what point in the hiring process do you ask the applicant or transferee whether or not they have failed or refused a DOT pre-employment test in the previous two years?	Done verbally in interview process, will be added to application process.	Section 40.25(j) states: "As the employer, you must also ask the employee whether he or she has tested positive, or refused to test, on any pre-employment drug or alcohol test administered by an employer to which the employee applied for, but did not obtain, safety-sensitive transportation work covered by DOT agency drug and alcohol testing rules during the past two years. If the employee admits that he or she had a positive test or a refusal to test, you must not use the employee to perform safety-sensitive functions for you, until and unless the employee documents successful completion of the return-to-duty process (see paragraphs (b)(5) and (e) of this section)."	The DAPM must provide a signed statement certifying that he has read and fully understands the requirements of 49 CFR Part 40.25(b) and 2(i). The DAPM will use the template supplied by RLS to create a sign off sheet for this regulation that will be added to the hire packet and become part of the hiring process. This statement must also include an explanation from the DAPM of how this requirement will be met moving forward.

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0	NOW, I WOULD LIKE TO ASK A FEW QUESTIONS ABOUT THE RANDOM SELECTION PROCESS.			
27	How and when do you update your DOT random testing pool used for random selections?	Email changes to the testing pool to TPA, Ohio Health as soon as they occur.	Section 655.45(e) states: "Under the selection process used, each covered employee shall have an equal chance of being tested each time selections are made." The requirement of Section 655.45(e) that "each covered employee shall have an equal chance of being tested each time selections are made" can only be met by the transit system if all employees performing safety-sensitive duties are included in the random testing pool each time random selections are made.	None
28	What random selection method is used by this employer to select covered employees for FTA drug and alcohol testing?	Relies on TPA Ohio Health to provide the lists. Does not know what type selection process they use.	Section 655.45(e) states: "The selection of employees for random drug and alcohol testing shall be made by a scientifically valid method, such as a random number table or a computer-based random number generator that is matched with employees' Social Security numbers, payroll identification numbers, or other comparable identifying numbers. Under the selection process used, each covered employee shall have an equal chance of being tested each time selections are made."	The DAPM must provide a signed statement certifying that he has read and fully understands the requirements of 49 CFR Part 655.45(e). DAPM will contact ADENA to ensure that they are using a scientifically valid method to make random selections using his pool of covered employees and provide the method as part of his official response.

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29	How frequently does this employer or the C/TPA make random selections?	Quarterly	<p>Section 655.45(e) states: "... Under the selection process used, each covered employee shall have an equal chance of being tested each time selections are made."</p> <p>Generating random selection lists infrequently increases the chance t employee turnover will make meeting Section 655.45(e) unattainable because the transit system does not have an effectively updated testing pool.</p> <p>The preamble to Part 655 states: "FTA believes that the public safety interest is promoted with random testing that is truly random and unpredictable. However, FTA believes that requiring random testing to be conducted at least quarterly strikes a reasonable balance while considering the rule's impact on employers in rural areas."</p>	None

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30	How do you determine if the random test to be conducted will be a random alcohol, random drug or both?	TPA sends selection for either or both on the list each quarter.	Section 655.45(e) states: "... Under the selection process used, each covered employee shall have an equal chance of being tested each time selections are made." Generating random selection lists infrequent increases the chance that employee turnover will make meeting Section 655.45(e) unattainable because the transit system does not have an effectively updated testing pool. The preamble to Part 655 states: "FTA believes that the public safety interest is promoted with random testing that is truly random and unpredictable. However, FTA believes that requiring random testing to be conducted at least quarterly strikes a reasonable balance while considering the rule's impact on employers in rural areas."	None
31	How is the random selection list transmitted to the DER and who has access to the list?	Sent to DER via email with password, only DER and Program manager also a DER.	Section 655.71(a) states: "An employer shall maintain records of its anti-drug and alcohol misuse program as provided in this section. The records shall be maintained in a secure location with controlled access." To ensure that the random testing process is not compromised, random testing lists should be transmitted by a secure means and only to individuals authorized to receive such information.	None

#	Question	Finding	Regulation	Action Item
32	Does this transit system conduct random testing on all work days, when safety-sensitive functions are being performed, including weekends and holidays?	Yes.	Section 655.45(g) states: "Each employer shall ensure that random drug and alcohol tests conducted under this part are unannounced and unpredictable, and that the dates for administering random tests are spread reasonably throughout the calendar year. Random testing must be conducted at all times of day when safety-sensitive functions are performed."	None
33	Does this transit system conduct random testing at all times that safety-sensitive functions are being performed (including maintenance of revenue vehicle, movement of revenue vehicles, etc.)?	Records show a marked tendency to test from late morning (10am) to early evening (4pm). Does not track current selections and will begin doing that to better manage this.	Section 655.45(g) states: "Each employer shall ensure that random drug and alcohol tests conducted under this part are unannounced and unpredictable, and that the dates for administering random tests are spread reasonably throughout the calendar year. Random testing must be conducted at all times of day when safety-sensitive functions are performed."	The DAPM must submit a signed statement certifying that he has read and fully understands the requirements of 49 CFR Part 655.45(g) that states random testing must be conducted during all times of the day that safety-sensitive functions are performed in an unpredictable manner. Seldom testing before 10AM or After 4PM presents a clearly identifiable pattern to the employees. This predictable pattern could be used to schedule timing of employee drug/alcohol use to avoid detection. The DAPM will use the spreadsheet template provided by RLS to track random tests and must indicate, in a written response, what actions will be taken to ensure this requirement is accomplished in the future.

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34	After being informed of the test requirement, how long until the employee proceeds to the collection site? How long is the employee given to arrive at the collection site?	The employees are given a time frame of 15 minutes to arrive at testing site, but there is no current way of tracking this.	Section 655.45(h) states: "Each employer shall require that each covered employee who is notified of selection for random drug or random alcohol testing proceed to the test site immediately. If the employee is performing a safety-sensitive function at the time of the notification, the employer shall instead ensure that the employee ceases to perform the safety-sensitive function and proceeds to the testing site immediately."	See #21 above, addressed in that response.
35	If the DAPM is safety-sensitive and is in the random pool and the DAPM's name is selected for a random test, how is the DAPM made aware that their name is on the current random selection list and when does the DAPM proceed for random testing?	DAPM is not safety-Sensitive. DER-Transit Supervisor is, DER-Transit Program Director is not. If DER-Transit Supervisor is pulled, notice goes to DER-Program Director and she sends Transit Supervisor for testing on random notice.	Section 655.45(h) states: "Each employer shall require that each covered employee who is notified of selection for random drug or random alcohol testing proceed to the test site immediately. If the employee is performing a safety-sensitive function at the time of the notification, the employer shall instead ensure that the employee ceases to perform the safety-sensitive function and proceeds to the testing site immediately."	None

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36	When, if ever, would you excuse an employee, selected for a random test, from random testing?	Illness, vacation, leave of absence	Section 655.45(e) states: "... Under the selection process used, each covered employee shall have an equal chance of being tested each time selections are made." The requirements in Section 655.45(e) can not met if employees can be excused when they are legitimately at the work site and available for testing. A valid excusal from testing can result if an employee is not working the day of the test (e.g., vacation, long term disability, illness). Excused employees must be tested when they return to work provided the employee returns before the next random selection list is generated. For instance, if a new list is generated each week, the old list expires when the new list arrives. Likewise if a new list is generated each month or each quarter, the previous list expires when the new list is provided.	None
37	If the DAPM or another non-active employee is safety-sensitive and is notified to proceed for random alcohol testing, how does this system ensure that the DAPM is only subject to random alcohol testing just before, during, or just after the performance of safety-sensitive functions?	DER- Transit Program Director would monitor Transit Supervisor's activities and send when appropriate		None

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38	Do you use alternates in your random selection process? Under what circumstances would you notify an alternate that they must proceed to the collection site for a random test?	No alternates are send on the initial lists. If one is needed DER notifies TPA and they will send an alternative. Would only use one if any of the above situations came into play.	Section 655.45(e) states: "... Under the selection process used, each covered employee shall have an equal chance of being tested each time selections are made."	None
39	Do you document if an employee is not tested or excused during a random selection period? If so, how?	None has ever happened, but understands the process and knows that it would be documented on selection notice and in the random testing file.	Section 655.45(e) states: "...Under the selection process used, each covered employee shall have an equal chance of being tested each time selections are made " Written explanations for why employees are excused from testing ensure there is no bias in the random selection process. Section 655.71(c) states: "The following specific records must be maintained: (1) Records related to the collection process: ... (ii) Documents relating to the random selection process."	None

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40	Do you have a way to know if the employee arrived at the collection site in a timely manner? For instance, does the collection site know who is coming for a test and when that individual should arrive?	Not currently, but will use the new order for testing to document time of notification and time of arrival and will document on appropriate testing log.	<p>Section 655.45(h) states: "Each employer shall require that each covered employee who is notified of selection for random drug or random alcohol testing proceed to the test site immediately."</p> <p>Section 40.191(a) states: "As employee, you have refused to take a drug test if you fail to appear for any test (except a pre-employment test) within a reasonable time, as determined by the employer, consistent with applicable DOT agency regulations, after being directed to do so by the employer."</p> <p>Section 40.61(a) states: "As the collector, you must take the following steps before actually beginning a collection: When a specific time for an employee's test has been scheduled, or the collection site is at the employee's work site, and the employee does not appear at the collection site at the scheduled time, contact the DER to determine the appropriate interval within which the DER has determined the employee is authorized to arrive. If the employee's arrival is delayed beyond that time, you must notify the DER that the employee has not reported for testing."</p>	See #21 above, addressed in that response.

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41	After the testing is complete, does this transit system maintain a copy of each random selection draw list (e.g., paper copy, electronic file)?	Yes, kept in file.	Section 655.71(c) states: "The following specific records must be maintained: (1) Records related to the collection process: (i) Collection logbooks. if used. (ii) Documents relating to the random selection process.	None
42	Did you and your contractors meet the FTA's minimum random testing rates last year?	Yes they believe so, have not had a problem with them in the past. Will send a copy when they get it for 2014	Section 655.45(a) states: "Except as provided in paragraphs (b) through (d) of this section, the minimum annual percentage rate for random drug testing shall be 50 percent of covered employees; the random alcohol testing rate shall be 10 percent. As provided in paragraph (b) of this section, this rate is subject to annual review by the Administrator."	None
0	NOW, I WOULD LIKE TO ASK SOME QUESTIONS ABOUT POST-ACCIDENT TESTING.			

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43	Who is responsible for deciding to perform a FTA post-accident test? (If DAPM, ask for knowledge of thresholds.)	<p>DER- Transit Supervisor is primary and DER Transit Program Manager is back up.</p> <p>Know thresholds and where to look them up if unsure. Uses decision tree template from their last DAPM training.</p>	Section 40.3 defines "Designated employer representative (DER)" as "An employee authorized by the employer to take immediate action(s) to remove employees from safety-sensitive duties, or cause employees to be removed from these covered duties, and to make required decisions in the testing and evaluation processes. The DER also receives test results and other communications for the employer, consistent with the requirements of this part. Service agents cannot act as DERs."	None
44	Who has the primary responsibility for assuring that post-accident testing is accomplished?	DER-Transit Supervisor	Section 40.3 defines "Designated employer representative (DER)" as "An employee authorized by the employer to take immediate action(s) to remove employees from safety-sensitive duties, or cause employees to be removed from these covered duties, and to make required decisions in the testing and evaluation processes. The DER also receives test results and other communications for the employer, consistent with the requirements of this part. Service agents cannot act as DERs."	None

#	Question	Finding	Regulation	Action Item
45	Does this transit system have some method to document the post-accident decision-making process, especially decisions not to conduct a drug and alcohol test following an accident that reaches an FTA threshold?	Yes, they are using an old version that they had from a past training, liked the looks of the templates that I left and will begin using those as well.	Section 655.44(d) states: "The decision not to administer a drug and/or alcohol test under this section shall be based on the employer's determination, using the best available information at the time of the determination that the employee's performance could not have contributed to the accident. Such a decision must be documented in detail, including the decision-making process used to reach the decision not to test." Section 655.71© states: "The following specific records must be maintained: (1) Records related to the collection process: ... (iv) Documents generated in connection with decisions on post-accident drug and alcohol testing."	None

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46	Would you always perform a DOT post-accident drug and alcohol test after an accident involving a fatality?	Yes.	<p>Section 655.44(a) states: "(1) Fatal accidents.</p> <p>(i) As soon as practicable following an accident involving the loss of human life, an employer shall conduct drug and alcohol tests on each surviving covered employee operating the mass transit vehicle at the time of the accident. Post-accident drug and alcohol testing of the operator is not required under this section if the covered employee is tested under the fatal accident testing requirements of the Federal Motor Carrier Safety Administration rule 49 CFR 389.303(a)(1) or (b)(1)."</p> <p>No discretion is permitted by FTA in determining if a surviving employee is to be post-accident tested after an accident involving a fatality."</p>	None

#	Question	Finding	Regulation	Action Item
47	Can you list and explain the FTA post-accident testing thresholds? And explain disabling damage?	Yes, they both did so.	<p>Section 655.4 defines the term "Disabling damage" as "damage that precludes departure of a motor vehicle from the scene of the accident in its usual manner in daylight after simple repairs.</p> <p>(1) Inclusion. Damage to a motor vehicle where the vehicle could have been driven, but would have been further damaged if so driven.</p> <p>(2) Exclusions. (i) Damage that can be remedied temporarily at the scene of the accident without special tools or parts.</p> <p>(ii) Tire disablement without other damage even if no spare tire is available.</p> <p>(iii) Headlamp or tail light damage.</p> <p>(iv) Damage to turn signals, horn, or windshield wipers, which makes the vehicle inoperable."</p>	None

#	Question	Finding	Regulation	Action Item
48	In addition to the operator of a transit vehicle, can other covered employees be post-accident tested under FTA authority? If so, under what circumstances?	Mechanic, scheduler and dispatcher if they had direct impact on the accident.	Section 655.44(a) states: "(1) Fatal accidents... (ii) The employer shall also drug and alcohol test any other covered employee whose performance could have contributed to the accident, as determined by the employer using the best information available at the time of the decision." Section 655.44(a) states: "(2) Nonfatal accidents. (i) The employer shall also drug and alcohol test any other covered employee whose performance could have contributed to the accident, as determined by the employer using the best information available at the time of the decision."	None
49	Can an FTA post-accident drug test be performed on an employee who is unable to give consent due to death or unconsciousness?	No, and understands that that information needs to come from other means if available.	Section 655.44(a)(1)(i) states: "As soon as practicable following an accident involving the loss of human life, an employer shall conduct drug and alcohol tests on each surviving covered employee operating the mass transit vehicle at the time of the accident." Section 40.61(b)(3) states: "You [the collector] must not collect, by catheterization or other means, urine from an unconscious employee to conduct a drug test under this part. Nor may you catheterize a conscious employee... ."	None

#	Question	Finding	Regulation	Action Item
50	When would you commence drug and alcohol testing after an accident?	Don't delay medical attention and wait for release by law officials.	<p>Section 655.44(a) states: "(1) Fatal accidents. (i) As soon as practicable following an accident involving the loss of human life, an employer shall conduct drug and alcohol tests ..."</p> <p>(2) Nonfatal accidents. (i) As soon as practicable following an accident not involving the loss of human life in which a mass transit vehicle is involved, the employer shall drug and alcohol test ...".</p> <p>Section 655.44(e) further states: "Nothing in this section shall be construed to require the delay of necessary medical attention for the injured following an accident or to prohibit a covered employee from leaving the scene of an accident for the period necessary to obtain assistance in responding to the accident or to obtain necessary emergency medical care."</p>	None

#	Question	Finding	Regulation	Action Item
51	What are the time limits for drug and alcohol post-accident testing? (if DAPM is involved in post-accident decision-making process)	32 hours for drugs. Within two hours you have to document, delay After 8 hours you have stop all attempts to collect. Document Knew were to look up the information when unsure.	Section 655.44 (ii) states: "(ii) If an alcohol test required by this section is not administered within two hours following the accident, the employer shall prepare and maintain on file a record stating the reasons the alcohol test was not promptly administered. If an alcohol test required by this section is not administered within eight hours following the accident, the employer shall cease attempts to administer an alcohol test and maintain the record. Section 655.44(b) states: "An employer shall ensure that a covered employee required to be drug tested under this section is tested as soon as practicable but within 32 hours of the accident."	None
52	What would be the result if an employee fails to remain "readily available" for testing after an accident?	Refusal and positive test, per agency policy would be terminated.	Section 655.44(c) states: "A covered employee who is subject to post-accident testing who fails to remain readily available for such testing, including notifying the employer or the employer representative of his or her location if he or she leaves the scene of the accident prior to submission to such test, may be deemed by the employer to have refused to submit to testing."	None

#	Question	Finding	Regulation	Action Item
53	Does this company provide the contact information of a qualified Substance Abuse Professional (SAP) readily available to assist any employee who has refused a test or had a positive test? Even if the employee is to be terminated?	Yes, in policy and will add it to the employee sign off sheet that will be added to the hire packet.	Section 655.62(a) states: "If a covered employee has a verified positive drug test result, or has a confirmed alcohol test of 0.04 or greater, or refuses to submit to a drug or alcohol test required by this part, the employer shall advise the employee of the resources available for evaluating and resolving problems associated with prohibited drug use and alcohol misuse, including the names, addresses, and telephone numbers of substance abuse professionals (SAPs) and counseling and treatment programs." Section 40.287 states: "As an employer, you must provide to each employee (including an applicant or new employee) who violates a DOT drug and alcohol regulation a listing of SAPs readily available to the employee and acceptable to you, with names, addresses, and telephone numbers. You cannot charge the employee any fee for compiling or providing this list. You may provide this list yourself or through a C/TPA or other service agent."	None
0	NOW, I WOULD LIKE TO ASK A FEW QUESTIONS ABOUT RETURN-TO-DUTY AND FOLLOW-UP TESTING			

#	Question	Finding	Regulation	Action Item
54	Who would be the person responsible for ensuring that an employee who had a positive drug or alcohol test, or refused a test, was referred to the Substance Abuse Professional, even if the employee is not eligible for reinstatement?	DER-Transit Program Manager would most likely handle this situation, but DER-Supervisor is able to as well.	Section 655.62(a) states: "If a covered employee has a verified positive drug test result, or has a confirmed alcohol test of 0.04 or greater, or refuses to submit to a drug or alcohol test required by this part, the employer shall advise the employee of the resources available for evaluating and resolving problems associated with prohibited drug use and alcohol misuse, including the names, addresses, and telephone numbers of substance abuse professionals (SAPs) and counseling and treatment programs."	None
55	Does this transit system have a second chance policy for employees who refuse or test positive on an FTA drug and/or alcohol test?	Yes, the current policy is second-chance but that may be changing with upcoming policy review by board of directors.	The ... policy ... should include the following: (h) The consequences for a covered employee who has a verified positive drug or a confirmed alcohol test result with an alcohol concentration of 0.04 or greater, or who refuses to submit a test under this part, including the mandatory requirements that the covered employee be removed immediately from his or her safety-sensitive function and be evaluated by a substance abuse professional, as required by 49 CFR Part 40.	None

#	Question	Finding	Regulation	Action Item
56	If the SAP determines that an employee is eligible to be reinstated, who determines that the employee is ready to be sent for a Return-to-Duty test and makes the final "fitness for duty" determination?	DER-Supervisor working with DER-Transit Program Manager	<p>Section 40.305 states: "(a) As the employer, if you decide that you want to permit the employee to return to the performance of safety-sensitive functions, you must ensure that the employee takes a return-to-duty test. This test cannot occur until after the SAP has determined that the employee has successfully complied with prescribed education and/or treatment. The employee must have a negative drug test result and/or an alcohol test with an alcohol concentration of less than 0.02 before resuming performance of safety-sensitive duties.</p> <p>(b) As an employer, you must not return an employee to safety-sensitive duties until the employee meets the conditions of paragraph (a) of this section. However, you are not required to return an employee to safety-sensitive duties because the employee has met these conditions. That is a personnel decision that you have the discretion to make, subject to collective bargaining agreements or other legal requirements.</p> <p>(c) As a SAP or MRO, you must not make a "fitness for duty" determination as part of this re-evaluation unless required to do so under an applicable DOT agency regulation. It is the employer, rather than you, who must decide whether to put the employee</p>	None

#	Question	Finding	Regulation	Action Item
			back to work in a safety-sensitive position."	
57	Does this employer receive a written SAP evaluation of an employee's readiness to return to duty and a follow-up testing plan? (If Yes, ensure that records-review team has appropriate files for review.)	This has never happened, but knows that a written evaluation is necessary and would ask for one.	Section 40.307 states: "(a) As a SAP, for each employee who has committed a DOT drug or alcohol regulation violation, and who seeks to resume the performance of safety-sensitive functions, you must establish a written follow-up testing plan. You do not establish this plan until after you determine that the employee has successfully complied with your recommendations for education and/or treatment." (b) You [the SAP] must present a copy of this plan directly to the DER (see Section 40.311(d)(9))." Section 40.311(d) states: "The SAP's written report concerning a follow-up evaluation that determines the employee has demonstrated successful compliance must be on the SAP's own letterhead (and not the letterhead of another service agent), signed by the SAP and dated, and must contain the following items: ... (8) SAP's clinical determination as to whether the employee has demonstrated successful compliance; (9) Follow-up testing plan... "	None

#	Question	Finding	Regulation	Action Item
58	Whose responsibility is it to determine the number of follow-up tests for an individual returning to duty?	The SAP's, but would review to make sure that it makes sense and follow up with SAP if there is any question.	Section 40.307(c) states: "You are the sole determiner of the number and frequency of follow-up tests and whether these tests will be for drugs, alcohol, or both, unless otherwise directed by the appropriate DOT agency regulation. For example, if the employee had a positive drug test, but your evaluation or the treatment program professionals determined that the employee had an alcohol problem as well, you should require that the employee have follow-up tests for both drugs and alcohol."	None
59	Is the returning employee made aware of the specifics of the follow-up testing schedule (days and times of tests) or is the employee unaware until notification, similarly to random testing?	DER would determine testing schedule and would make it as random as possible. Like random draws.	Section 40.309(b) states: "(b) You should schedule follow-up tests on dates of your own choosing, but you must ensure that the tests are unannounced with no discernable pattern as to their timing, and that the employee is given no advance notice."	None
60	Do you review each return-to-duty plan/schedule submitted by the SAP?	Has never happened, but DERs would both review any plan/schedule that is submitted.	Section 40.309(a) states: "As the employer, you must carry out the SAP's follow-up testing requirements." In order to comply with Section 40.309(a), the employer must review and understand the SAP's return-to-duty plan for each employee.	None

#	Question	Finding	Regulation	Action Item
61	Who is responsible for ensuring that the SAP's follow-up testing plan for each employee is followed? (Ask to see plan and CFFs/ATFs - Ensure that Records-review team has appropriate files.)	DER-Transit Supervisor has primary responsibility with DER-Transit Program Director as back-up None to review	Section 40.309(a) states: "As the employer, you must carry out the SAP's follow-up testing requirements. You may not allow the employee to continue to perform safety-sensitive functions unless follow-up testing is conducted as directed by the SAP."	None
62	Whose responsibility is it to determine when an employee must actually go for a follow-up test?	DER-Transit Supervisor	Section 40.309 states: "(a) As the employer, you must carry out the SAP's follow-up testing requirements. You may not allow the employee to continue to perform safety-sensitive functions unless follow-up testing is conducted as directed by the SAP. (b) You should schedule follow-up tests on dates of your own choosing, but you must ensure that the tests are unannounced with no discernable pattern as to their timing, and that the employee is given no advance notice." Section 40.307(d)(3) states: "You [the SAP] are not to establish the actual dates for the follow-up tests you prescribe. The decision on specific dates to test is the employer's."	None
63	Would you always conduct return-to-duty and follow-up tests under Direct Observation conditions?	Yes	Section 40.67(b) states: "As an employer, you must direct a collection under direct observation of an employee if the drug test is a return-to-duty test or a follow-up test."	None

#	Question	Finding	Regulation	Action Item
64	What would you do if you found out that a return-to-duty or follow-up test was not conducted under Direct Observation conditions?	Let the collection site know that this was a cancelled test and send employee back immediately for a second test.	40.67(b) states: "(b) As an employer, you must direct a collection under direct observation of an employee if the drug test is a return-to-duty test or a follow-up test."	None
0	NOW, I WOULD LIKE TO ASK A FEW QUESTIONS ABOUT YOUR DRUG AND ALCOHOL INFORMATION SYSTEM AND METHODOLOGY.			
65	Does this transit system maintain all records related to the drug and alcohol program in a secure location with controlled access?	Yes, the DER-Transit Supervisor has them in a locked cabinet in her single person office. Office is locked when she isn't in it. Key is on key ring, which does get left in office sometimes when she's in the office. She will pull key and keep it on her person at all times.	Section 655.71(a) states: "An employer shall maintain records of its anti-drug and alcohol misuse program as provided in this section. The records shall be maintained in a secure location with controlled access."	The DAPM/DER must provide a signed statement certifying that he has read and fully understands the requirements of 49 CFR Part 655.71(a). That the employer must maintain records in a secure location with controlled access. This statement must also include an explanation from the DAPM/DER of how this requirement will be met moving forward.

#	Question	Finding	Regulation	Action Item
66	Are you notified of alcohol test results of ≥ 0.02 ? If so, when and by what method?	Yes, has never had one, but believes that they would email or call. Will check.	Section 40.255(a)(5) states: "Immediately transmit the result directly to the DER in a confidential manner. (i) You [the BAT] may transmit the results using Copy 1 of the ATF, in person, by telephone, or by electronic means. In any case, you must immediately notify the DER of any result of 0.02 or greater by any means (e.g., telephone or secure fax machine) that ensures the result is immediately received by the DER. You must not transmit these results through C/TPAs or other service agents."	The DAPM/DER must provide a signed statement certifying that he has read and fully understands the requirements of 49 CFR Part 40.255(a)(5). That the MRO/collection site must notify the DER immediately of a positive test result by the most direct method. This should include a password protected process to ensure that the correct contact at the place of employment has been reached. The statement should include an explanation of contact process from the MRO/collection site and include an explanation from the DAPM/DER of how this requirement will be met moving forward.
67	What action would you take upon verbal notification that an employee had an alcohol test result ≥ 0.04 ? What about 0.02?	Take them off duty immediately	Section 40.23 © states "As an employer who receives an alcohol test result of 0.04 or higher, you must immediately remove the employee involved from performing safety-sensitive functions. If you receive an alcohol test result of 0.02—0.039, you must temporarily remove the employee involved from performing safety-sensitive functions, as provided in applicable DOT agency regulations. Do not wait to receive the written report of the result of the test"	None

#	Question	Finding	Regulation	Action Item
68	When an employee has a positive FTA drug test result, by what method and how soon after the test is verified does the MRO or C/TPA notify the transit system?	Same as #66 above	<p>Section 40.167 states: "As the MRO or C/TPA who transmits drug test results to the employer, you must comply with the following requirements:</p> <p>(a) You must repo the results in a confidential manner.</p> <p>(b) You must transmit to the DER on the same day the MRO verifies t result or the next business day all verified positive test results, results requiring an immediate collection under direct observation adulterated or substituted specimen results, and other refusals to test.</p> <p>(1) Direct telephone contact with the DER is the preferred method of immediate reporting. Follow up your phone call with appropriate documentation (see Section 40.163)."</p> <p>Section 40.167(c) states: "You must transmit the MRO's report(s) of verified tests to the DER so that the DER receives it within two days of verification by the MRO.</p> <p>(1) You must fax, courier, mail, or electronically transmit a legible image or copy of either the signed or stamped and dated Copy 2 or the written report (see 40.163(b) and (c)).</p> <p>(2) Negative results reported electronically (i.e., computer data file) do not require an image of Copy 2 or the written report."</p>	Same as #66 above

#	Question	Finding	Regulation	Action Item
69	What action would you take upon verbal notification from the MRO/TPA that an employee had verified positive drug test?	Remove from safety sensitive duties immediately and follow-up with agency procedures for discipline.	Section 40.23(a) states "As an employer who receives a verified positive drug test result, you must immediately remove the employee involved from performing safety-sensitive functions. You must take this action upon receiving the initial report of the verified positive test result. Do not wait to receive the written report or the result of a split specimen test."	None
70	Have the transit system and the MRO or C/TPA established a password or other verification method to ensure that verbal transmission of positive test results from the MRO is secure?	DER-Transit Supervisor recalls that there is a password, but has never had to use it. They will check with MRO and TPA to see about a separate password to use with Transit Program Manager in the event that communications have to happen regarding Transit Supervisor.	Section 40.167(b) states: "You (the MRO or C/TPA) must transmit to the DER on the same day the MRO verifies the result or the next business day all verified positive test results, results requiring an immediate collection under direct observation, adulterated or substituted specimen results, and other refusals to test. (1) Direct telephone contact with the DER is the preferred method of immediate reporting. Follow up your phone call with appropriate documentation (see Section 40.163). (2) You are responsible for identifying yourself to the DER, and the DER must have a means to confirm your identification."	Covered in #66 above

#	Question	Finding	Regulation	Action Item
71	Does the transit system have a method to identify if the MRO or C/TPA has not provided a test result in a reasonable period after the test?	Keeps each order for testing in a separate folder until results come back in, but does not record it any other way. Will start using testing log templates that were supplied at time of review to better track this.	Section 40.17 states: "... as an employer, you are responsible for obtaining information required by this part from your service agents. This is true whether or not you choose to use a C/TPA as an intermediary in transmitting information to you. For example, suppose an applicant for a safety-sensitive job takes a pre-employment drug test, but there is a significant delay in your receipt of the test result from an MRO or C/TPA. You must not assume that "no news is good news" and permit the applicant to perform safety-sensitive duties before receiving the result. This is a violation of the Department's regulations."	The DAPM must provide a signed statement certifying that he has read and fully understands the requirements of 49 CFR Part 40.17. That the employer is responsible for obtaining information that ensures that employees have received a negative drug or alcohol test result before allowing the employee to perform safety-sensitive duties. The DAPM/DER will use the testing log templates supplied by RLS to create a new tracking process for all testing that ensures compliance with this regulation.
72	Do you use a consortium or third-party administrator (C/TPA)?	Yes, Ohio Health		None
0	NOW, I WOULD LIKE TO ASK A FEW QUESTIONS ABOUT CONTRACTORS THAT PROVIDE SAFETY-SENSITIVE SERVICES FOR THIS TRANSIT SYSTEM.	No contracts		n/a

#	Question	Finding	Regulation	Action Item
73	Are you aware of all safety-sensitive contracts, and do you monitor contractor compliance with Parts 40 and 655?	None	<p>Section 40.11 states: "(b) You are responsible for all actions of your officials, representatives, and agents (including service agents) in carrying out the requirements of the DOT agency regulations.</p> <p>© All agreements and arrangements, written or unwritten, between and among employers and service agents concerning the implementation of DOT drug and alcohol testing requirements are deemed, as a matter of law, to require compliance with all applicable provisions of this part and DOT agency drug and alcohol testing regulations. Compliance with these provisions is a material term of all such agreements and arrangements."</p> <p>Section 655.81 states: "A grantee shall ensure that the recipients of funds under 49 U. S. C. 5307, 5309, 5311 or 23 U.S.C. 103(e)(4) comply with this part [49 CFR Part 655]."</p> <p>Correctly identifying contractors who must comply with FTA drug and alcohol testing requirements is the first step in the oversight process."</p>	N/a
74	Does this employer utilize contractors who perform safety-sensitive duties?	None		N/A

#	Question	Finding	Regulation	Action Item
75	How do you monitor the drug and alcohol programs of your contractors?	N/A	<p>Section 40.11(b) states: "You are responsible for all actions of your officials, representatives, and agents (including service agents) in carrying out the requirements of the DOT agency regulations."</p> <p>Section 655.81 states: "A grantee shall ensure that the recipients of funds under 49 U. S. C. 5307, 5309, 5311 or 23 U.S.C. 103(e)(4) comply with this part [49 CFR Part 655]."</p> <p>Section 655.73(i) states: "An employer may disclose drug and alcohol testing information required to be maintained under this part, pertaining to a covered employee, to the State oversight agency or grantee required to certify to FTA compliance with the drug and alcohol testing procedures of 49 CFR Parts 40 and 655."</p>	N/A
76	Did you receive this year's Drug and Alcohol MIS reports or MIS data from all of your contractors in a timely manner and were they submitted to FTA by March 15th?	N/A	<p>Section 655.72(c) states: "Each recipient shall be responsible for ensuring the accuracy and timeliness of each report submitted by an employer, contractor, consortium or joint enterprise or by a third party service provider acting on the recipient's or employer's behalf."</p>	N/A

#	Question	Finding	Regulation	Action Item
77	Are your covered contractors and vendors in compliance with the FTA drug and alcohol rules?	N/A	Section 40.11(b) states: "You are responsible for all actions of your officials, representatives, and agents (including service agents) in carrying out the requirements of the DOT agency regulations." Section 655.81 states: "A grantee shall ensure that the recipients of funds under 49 U. S. C. 5307, 5309, 5311 or 23 U.S.C. 103(e)(4) comply with this part [49 CFR Part 655]."	N/A
0	NOW, I WOULD LIKE TO ASK YOU A FEW QUESTIONS ABOUT THIS COMPANY'S DRUG AND ALCOHOL MIS REPORT.			

#	Question	Finding	Regulation	Action Item
78	Does this employer assemble an annual summary of the results of the drug and alcohol program (MIS), certify that the results are correct and as requested submit to FTA by March 15th?	<p>Got them into State by February 20, 2015</p> <p>Transit Program Manager verifies reports before they go out.</p>	<p>Section 655.72 states: "(a) Each recipient shall annually prepare and maintain a summary of the results of its anti-drug and alcohol misuse testing programs performed under this part during the previous calendar year.</p> <p>(b) When requested by FTA, each recipient shall submit to FTA's Office of Safety and Security, or its designated agent, by March 15, a report covering the previous calendar year (January 1 through December 31) summarizing the results of its anti-drug and alcohol misuse programs.</p> <p>© Each recipient shall be responsible for ensuring the accuracy and timeliness of each report submitted by an employer, contractor, consortium or joint enterprise or by a third party service provider acting on the recipient's or employer's behalf."</p>	None

#	Question	Finding	Regulation	Action Item
79	Did the employer ensure the accuracy and timeliness of each report submitted by the employer, contractor, consortium and/or joint enterprise or by a third party service provider acting on the recipient's or employer's behalf?	N/A	<p>Section 655.72 states: "(a) Each recipient shall annually prepare and maintain a summary of the results of its anti-drug and alcohol misuse testing programs performed under this part during the previous calendar year.</p> <p>(b) When requested by FTA, each recipient shall submit to FTA's Office of Safety and Security, or its designated agent, by March 15, a report covering the previous calendar year (January 1 through December 31) summarizing the results of its anti-drug and alcohol misuse programs.</p> <p>© Each recipient shall be responsible for ensuring the accuracy and timeliness of each report submitted by an employer, contractor, consortium or joint enterprise or by a third party service provider acting on the recipient's or employer's behalf."</p>	N/A

#	Question	Finding	Regulation	Action Item
88	Was the Drug and Alcohol Program Manager prepared for the audit team, and did the DAPM cooperate with the audit team and facilitate the audit process, including producing the required records?	Did not meet with the DAPM listed in the policy, but both DERs were onsite and cooperated with the process.	Section 655.73(c) states: "An employer shall permit access to all facilities utilized and records compiled in complying with the requirements of this part to the Secretary of Transportation or any DOT agency with regulatory authority over the employer or any of its employees or to a State oversight agency authorized to oversee rail fixed guideway systems." Section 655.73(d) states: "An employer shall disclose data for its drug and alcohol testing programs, and any other information pertaining to the employer's anti-drug and alcohol misuse programs required to be maintained by this part, to the Secretary of Transportation or any DOT agency with regulatory authority over the employer or covered employee or to a State oversight agency authorized to oversee rail fixed guideway systems, upon the Secretary's request or the respective agency's request."	None
0	THAT WAS THE LAST QUESTION. THANK YOU FOR YOUR TIME AND INPUT.			