#### INSTRUCTIONS FOR COMPLETION OF FORMS

#### **ALCOHOL & DRUG RECORDS:**

# 1. PREVIOUS PRE-EMPLOYMENT EMPLOYEE ALCOHOL AND DRUG TEST STATEMENT:

(40.25(j)) Motor carriers must ask employees whether they have 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/she had a positive test or a refusal to test, the motor carrier must not use the employee to perform safety-sensitive functions until and unless the employee documents successful completion of the return-to-duty process. Though not required, the Previous Pre-Employment Employee Alcohol and Drug Test Statement may be used to document compliance with 40.25(j). (Form No. 886-FS-C2)

#### 2. PREVIOUS EMPLOYER ALCOHOL & DRUG TEST INFORMATION:

(40.25)(391.23) Motor carriers must investigate the information specified in Section 391.23(e) from all previous DOT-regulated employers that employed the driver within the previous three years from the date of the employment application, in a safety-sensitive function that required alcohol and controlled substance testing specified by 49 CFR Part 40. The driver's written consent must be provided in the request, and a written record of the investigation must be maintained. The motor carrier must ensure that access to this data is limited to those who are involved in the hiring decision or who control access to the data. This data must only be used for the hiring decision. (Form No. 849-FS-C3 or 850-FS-C3)

#### 3. DRUG AND ALCOHOL RECORDS REQUEST:

(40.329)(40.331(a))(382.405(b) and (f)) A driver is entitled, upon written request, to obtain copies of any records pertaining to the driver's use of alcohol or controlled substances, including any records pertaining to his or her alcohol or controlled substances tests. An employer that receives such a written request shall promptly provide the records requested by the driver. Though not required, the Drug and Alcohol Records Request is provided for drivers who wish to request their drug and/or alcohol records. (Form No. 847-FS-C3)

### 4. ALCOHOL AND DRUG EMPLOYEE'S CERTIFIED RECEIPT:

(382.601(d)) Each employer must ensure that each driver signs a statement certifying that he or she has received a copy of the materials described in Section 382.601. Each employer must maintain the original of the signed certificate and may provide a copy of the certificate to the driver. (Form No. 872-FS-C2)

# 5. ALCOHOL AND/OR CONTROLLED SUBSTANCE TEST NOTIFICATION:

(382.113) Before performing each alcohol or controlled substances test under Part 382, each employer must notify the driver that the alcohol or controlled substances test is required by Part 382. No employer may falsely represent that a test is administered under Part 382. Though not required, the Alcohol and/or Controlled Substance Test Notification form may be used to satisfy this notification requirement. (Form No. 375-FS-C2)

#### 6. DRUG TEST RESULTS:

(40.163) The medical review officer (MRO) is required to report all drug test results to the employer. The report must contain the information listed in Section 40.163(c). The report may be forwarded to the employer by a consortium/third party administrator (C/TPA) acting as an intermediary. (Form No. 873-FS-C4)

#### 7. OBSERVED BEHAVIOR REASONABLE SUSPICION RECORD:

(382.307) A written record must be made of the observations leading to an alcohol or controlled substances reasonable suspicion test, and signed by the supervisor or company official who made the observations, within 24 hours of the observed behavior or before the results of the alcohol or controlled substances tests are released, whichever is earlier. (Form No. 862-FS-C3)

#### 8. U.S. DOT ALCOHOL TESTING FORM:

(40.225) The DOT Alcohol Testing Form (ATF) must be used for every DOT alcohol test beginning February 1, 2002. The ATF must be a three-part carbonless manifold form. Motor carriers are not permitted to modify or revise the ATF except as allowed in Section 40.225. (Form No. 570-FS-C3 or 476-FS-C3)

## 9. FEDERAL DRUG TESTING CUSTODY AND CONTROL FORM:

(40.45) The Federal Drug Testing Custody and Control Form (CCF) must be used to document every urine collection required by the DOT drug testing program. The CCF must be a five-part carbonless manifold form. You must not use a non-Federal form or an expired Federal form to conduct a DOT urine collection. Motor carriers are not permitted to modify or revise the CCF except as allowed in Section 40.45. (Form No. 472-FC-C5)

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# CONFIDENTIAL

# Alcohol & Drug File

For Department of Transportation Compliance

#### FILE CONTENTS

- Previous
  PEmployment
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  Tecoment
- Previou mployeu cohol & L est Informau
- Alcohol & Drug Records Request
- Alcohol and Drug Employee's Certified Receipt
- Alcohol and/or Controlled Substance Test Notification
- Drug Test Results
- Observed
   Behavior
   Reasonable
   Suspicion
   Record
- U.S. Department of Transportation Alcohol Testing Form
- Federal Drug Testing Custody and Control Form

DRIVER'S NAME

DATE OF HIRE

## **RECORD RETENTION**

This file includes information required to be maintained in a secure location with controlled access in accordance with the Federal Department of Transportation, *Code of Federal Regulations*, Section 382.401 and Section 40.333.

- 1. Previous Pre-Employment Employee Alcohol and Drug Test Statement (Section 40.25(j)). Retain per company policy.
- 2. Previous Employer Alcohol & Drug Test Information (Sections 40.25, 391.23). Retain until 3 years after driver is no longer employed.
- 3. Alcohol and Drug Records Request (Sections 40.329, 40.331). Retain per company policy.
- 4. Alcohol and Drug Employee's Certified Receipt (Section 382.601(d)). Retain until 2 years after driver ceases to perform regulated function.
- Alcohol and/or Controlled Substance Test Notification (Section 382.113). Retain per company policy.
- Drug Test Results (Section 40.163). Retain for 5 years if result indicates a violation, or 1 year if negative or canceled.
- 7. Observed Behavior Reasonable Suspicion Record (Section 382.307). Retain for 2 years.
- 8. U.S. DOT Alcohol Testing Form (Section 40.225). Retain for 5 years if result indicates a violation, or 1 year if negative or canceled.
- Federal Drug Testing Custody and Control Form (Section 40.45). Retain for 5 years if result indicates a violation, or 1 year if negative or canceled.

		<b>A</b>
		J. J. Keller
		J. J. Neller

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### **Pre-employment Documents**

Previous employer information (use Form #849-FS-C3) Requested from	Date Requested	Date Rec'd	Reviewed By	Retain Until
Comments:				
Drug and alcohol records (use Form #847-FS-C3) Requested from	Date Requested	Date Rec'd	Reviewed By	Retain Until
Comments:  Employee's alcohol and drug state				
Employee's signed receipt for drug			(date completed	
The company intends to use the end of the second of the company has retained to the co				
The company has found this empl If yes, the company has retained t process:				no e return-to-duty-

## Instructions for completing Alcohol and Drug Test documentation on the inside right cover

- 1. Record type of test (pre-employment, random, reasonable suspicion, etc.), date test was conducted, and date results were received.
- 2. Document the records being retained related to each test. These would include, but are not limited to: Federal Chain of Custody Form (CCF), U. S. Department of Transportation Alcohol Testing Form (ATF), Medical Review Officer (MRO) reports; driver evaluations and referrals; documents related to reasonable suspicion; documents regarding decisions on post-accident tests; documents related to a driver's refusal to test; and documents presented by a driver to dispute the results of an alcohol/drug test.
- 3. Refer to requirements in Section 382.401 and Section 40.333 for complete retention requirements. Record the date in the "Retain Until" portion of the form.

#### **Alcohol Tests**

Type of Test	Test Date	Date Results Rec'd	Record to be Retained Until
ecords related to this test:			
ecords related to this test:			
ecords related to this test:			
ecords related to this test:			
Retain for 1 year minimum - Alcohol test results with a Retain for 5 years minimum - Alcohol test results with		0.02.	
	<b>Drug Tests</b>		
Type of Test	Test Date	Date Results Rec'd	Record to be Retained Until
ecords related to this test:			
ecords related to this test:			
ecords related to this test:			
ecords related to this test:			
ecords related to this test:			
ecords related to this test:			
Retain for minimum of 1 year - Records of negative at Retain for minimum of 5 years - Driver verified positive at Retain for m	ive controlled substance test	results.	
ais file contains the following documents related to SAP	reports and the return-to-du	ity process:	
is file contains the following documents on the inability	to provide sufficient breath	or urine for testing:	
ais file contains the following records related to other vio			
is file contains the following additional company docum			