Records Retention Checklist

Five Years

1. Records related to verified positive drug test results

󠄋 Employer copy of CCF

󠄋 Test result

󠄋 Documents presented by covered employee to dispute a test result

1. Alcohol test records with result of 0.02 or greater

󠄋 Employer copy of ATF, including test result

󠄋 Documents presented by covered employee to dispute a test result

1. Documents related to a refusal to test

󠄋 Includes adulterated or substituted test results

1. SAP referral/Return-to-duty/Follow-up testing

󠄋 Documents pertaining to SAP’s initial assessment of individual

󠄋 Documents concerning employee’s entry into and completion of SAP- recommended treatment program

󠄋 Records pertaining to SAP’s reassessment of individual following education/treatment, including SAP’s determination of employee’s suitability to return to safety-sensitive duties

󠄋 Records of follow-up tests and follow-up testing schedules

1. Copies of annual MIS reports

Three Years

* 1. 1. Previous DOT employer records request documentation

 󠄋 Records of previous positive drug tests, alcohol tests with a result of 0.02 or greater, test refusals, and/or any other DOT rule violation

󠄋 Records documenting applicant’s completion of return-to-duty process󠄋

󠄋 Records documenting good faith effort to obtain records from previous DOT employers, including applicant consent forms

Two Years

1. Records related to collection process

󠄋 Collection log books (if used)

󠄋 Documents relating to random selection process (e.g., random selection lists)

󠄋 Documents generated in connection with decisions to administer reasonable suspicion tests

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󠄋 Documents generated in connection with decisions on post-accident testing

󠄋 MRO documents verifying existence of medical explanation of inability of an employee to provide adequate urine or breath sample

2. Records relating to employee training

󠄋 Training materials on drug-use awareness and alcohol misuse

󠄋 Employer policy on prohibited drug use and alcohol misuse

󠄋 Names of covered employees who attended training, and dates/times of such training

󠄋 Documentation of training provided to supervisors to qualify them to make reasonable suspicion determinations

󠄋 Certification that any training conducted complies with the requirements of §655.14

One Year

1. Records of verified negative drug test results

- Employer copy of CCF

- Test result

2. Alcohol test records with result less than 0.02

󠄋 Employer copy of ATF, including test result

<https://www.transit.dot.gov/research-innovation/implementation-guidelines-drug-and-alcohol-regulations-public-transportation>