



Best Practices Example for Record Retention Alcohol Program Records You Must Maintain For 1 Year

1. Records of Test Results Less Than 0.02
 - € All copies of the U.S. Department of Transportation (DOT) Breath Alcohol Testing Form OMB No. 2105-0529, including results of the test.

Alcohol Program Records You Must Maintain for 2 Years

1. Records Related to the Collection Process **except** Calibration of Evidential Breath Testing Devices
 - € Collection logbooks, if used
 - € Documents relating to the random selection process
 - € Documents generated in connection with decisions to administer reasonable suspicion alcohol tests
 - € Documents generated in connection with decisions on post-accident tests, including but not limited to:
 - Copies of citation, if given
 - Towing records
 - Medical treatment documentation
 - Copy of accident report
 - € Documents showing existence of medical explanation of inability of drivers to provide enough breath for test

Alcohol Program Records You Must Maintain for 5 Years

1. Alcohol Test Records with Alcohol Readings of 0.02 or Greater
 - € All copies of the alcohol test form, including the results of the test
 - € Documents related to the refusal of any driver to submit to an alcohol test required by 49 CFR part 382
 - € Documents related to a medical inability to provide an adequate breath sample
 - € Documents presented by a driver to dispute the result of an alcohol test administered under 49 CFR part 382.
2. Calibration Documentation
 - € Documents specifying the machine calibrated (e.g., by serial number), the date of calibration, the certified technician calibrating the equipment, and the results of the calibration signed by the calibrating technician
 - € Manufacturer's calibration schedule for the model of equipment used
 - € Certification record for the calibrating technician
3. Driver Evaluation and Referrals
 - € Records pertaining to a determination by a substance abuse professional concerning a driver's need for assistance
 - € Records concerning a driver's compliance with the recommendations of the substance abuse professional





Alcohol Program Records You Must Maintain for as Long as the Individuals Are Performing the Tasks and for 2 Years After They Cease Performing the Tasks for the Employer

1. Education and Training Records

- € Materials on alcohol misuse awareness, including a copy of the employer's policy on alcohol use
- € Verification of Breath Alcohol Technician training
- € Documentation of compliance with requirements of 49 CFR part 382
- € Educational materials that explain the regulatory requirements
- € The employer's policy and procedures with respect to implementing the regulatory requirements
- € Documents of training provided to supervisors to qualify them to make reasonable suspicion determinations
- € Documentation of appropriate MRO training
- € Training for persons who directly supervise drivers
- € Written notice to every driver of the availability of the above materials
- € Written notice to all driver organizations (i.e., collective bargaining units) of availability of the above materials

Controlled Substances Program Records You Must Maintain for 1 Year

1. Records of Verified Negative Controlled Substances Test Results

- € All copies of the Federal Drug Testing Custody and Control Form

Controlled Substances Program Records You Must Maintain for 2 Years

1. Records Related to the Collection Process

- € Collection logbooks, if used
- € Documents relating to the random selection process
- € Documents generated in connection with decisions to administer reasonable-suspicion controlled substances tests
- € Documents generated in connection with decisions on post-accident testing
- € MRO documents showing existence of medical explanation of inability of a driver to provide enough urine

Controlled Substances Program Records You Must Maintain for 5 Years

1. Records of Drivers' Verified Positive Control Substances Test Results

- € All copies of the Custody and Control Form
- € Documents related to the refusal of any driver to submit to a required controlled substances test
- € Documents presented by a driver to dispute the result of a controlled substances test administered under 49 CFR part 382

2. Driver Referrals to Substance Abuse Professional and Return to Duty and Follow-Up

- € Records pertaining to a determination by a substance abuse professional concerning a driver's suitability to return to work
- € Records concerning a driver's entry into and completion of the program of rehabilitation recommended by the substance abuse professional





Controlled Substances Program Records You Must Maintain for as Long as the Individuals Are Performing the Tasks and for 2 Years After They Cease Performing the Tasks for the Employer

1. Education and Training Records

- € Awareness training materials on controlled substances use, including a copy of the employer's policy on prohibited use
- € Documentation of training provided to supervisors to qualify them to make reasonable suspicion determinations
- € Certifications that training complies with the regulatory requirements
- € Procedures to assess those with verified positive tests, providing available services, referral, suspension, and dismissal
- € Collection site personnel, SAP, and MRO training

