

Drug and Alcohol - General Program Requirements

1. Designated Employer Representative (DER) *Has the operator appointed a company employee as the Designated Employer Representative (DER)?* (DA.GENERAL.DER.R)

40.3 (40.15(d); 40.355(k))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

2. Operator Oversight of Service Agents *Does the process ensure the operator remains responsible for the actions of all its service agents, including a Consortium/Third Party Administrator (C/TPA)?* (DA.GENERAL.SERVICEAGENTOVERSIGHT.P)

40.11(b) (40.11(c); 40.15(c); 40.341(a); 40.355(a); 40.355(m); 40.355(n))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

3. Covered Employees *Does the process result in the proper and complete identification of covered employees and the exclusion of non-covered employees?* (DA.GENERAL.COVEREDEMPLOYEES.P)

199.3 (199.1; 40.347(b)(2))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

4. Previous Employer DOT D&A Record Checks *Does the process include previous employer DOT D&A record checks for employees seeking to perform covered functions for the first time (i.e., a new hire or an employee transferring into a safety-sensitive position)?* (DA.GENERAL.PREVIOUSEMPLOYERRECORDS.P)

40.25(a) (40.25(b); 40.25(c); 40.25(d); 40.25(e); 40.25(f); 40.25(g); 40.27; 40.321(b); 40.351(d))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

5. DOT vs. Non-DOT D&A Tests *Does the process separate and prioritize DOT drug and alcohol testing over all non-DOT drug and alcohol testing?* (DA.GENERAL.NONDOTTESTS.P)

40.13(a) (40.13(b))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

6. Operator Oversight of Contractor D&A Programs *If a contractor performs covered functions on the pipeline and is allowed to have its own D&A Programs, does the process ensure the contractor fully complies with Parts 199 and 40?* (DA.GENERAL.CONTRACTOROVERSIGHT.P)

199.115 (199.115(a); 199.115(b); 199.245(a); 199.245(b); 199.245(c))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

7. Reporting of Annual D&A Test Results to PHMSA *Does the process ensure D&A MIS reports are submitted annually to PHMSA as required?* (DA.GENERAL.MISREPORTS.P)

199.119(a) (199.3; 199.119(f); 199.229(a); 199.229(d); 40.26)

Sat+	Sat	Concern	Unsat	NA	NC

Notes

Drug and Alcohol - Anti-Drug Program

1. Written Anti-Drug Plan *Is a written Anti-Drug Plan in-place and maintained that conforms to the requirements of Part 199 and Part 40?* (DA.DRUG.PLAN.P)

199.101(a) (199.101(a)(1); 199.101(a)(2); 199.101(a)(3); 199.101(a)(4))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

2. Qualification Requirements *Do records indicate that Anti-Drug program positions and/or service agents meet the applicable qualification requirements of Part 40 and Part 199? (DA.DRUG.SERVICEAGENTQUAL.R)*

199.5 (199.107(a); 199.109(b); 40.33; 40.81(a); 40.121; 40.281)

Sat+	Sat	Concern	Unsat	NA	NC

Notes

3. Prohibited Drugs *Does the process require that DOT drug tests are only conducted for the "prohibited drugs" specified in Part 40? (DA.DRUG.PROHIBITEDDRUGS.P)*

199.3 (40.3)

Sat+	Sat	Concern	Unsat	NA	NC

Notes

4. Pre-Employment Drug Testing *Does the process require that no individual is allowed to perform a covered function unless that individual passes a drug test or is covered by an anti-drug program that conforms to Part 199? (DA.DRUG.PREEMPLOYMENT.P)*

199.105(a) (199.105(c)(5))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

5. Post-Accident Drug Testing *Does the process ensure that post-accident drug testing is conducted as required? (DA.DRUG.POSTACCIDENT.P)*

199.105(b) (199.117(a)(5); 40.355(g); 40.355(h))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

6. Random Drug Testing *Does the process ensure that random drug testing is conducted as required? (DA.DRUG.RANDOM.P)*

199.105(c)(5) (199.105(c)(6); 199.105(c)(7); 199.105(c)(8); 199.105(c)(9))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

7. Reasonable Cause Drug Testing *Does the process ensure that reasonable cause drug testing is conducted as required?* (DA.DRUG.REASONABLECAUSE.P)

199.105(d) (199.117(a)(3); 40.355(g); 40.355(h))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

8. Return-to-Duty Drug Testing *Does the process ensure that return-to-duty drug testing is conducted as required?* (DA.DRUG.RETURNTODUTY.P)

199.105(e) (Part 40 Subpart O; 40.67(b); 40.285(a); 40.289(b); 40.305(a))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

9. Follow-Up Drug Testing *Does the process ensure that follow-up drug testing is conducted as required?* (DA.DRUG.FOLLOWUPTTEST.P)

199.105(f) (40.67(b); 40.307; 40.309)

Sat+	Sat	Concern	Unsat	NA	NC

Notes

10. Medical Review Officer (MRO) Duties *Does the process ensure the MRO performs functions as required by DOT Procedures?* (DA.DRUG.MRODUTIES.P)

199.109(c) (199.109(a); 40.123(a); 40.123(b); 40.123(c); 40.123(e); 40.123(f); 40.123(g); Part 40 Subpart G)

Sat+	Sat	Concern	Unsat	NA	NC

Notes

11. MRO Drug Test Reports to the Operator *Does the process ensure the MRO reports all drug test results to the DER as required?* (DA.DRUG.MROTESTREPORTS.P)

199.109(d) (Part 40 Subpart G; 40.345(a); 40.345(b); 40.345(c); 40.355(b); 40.355(c))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

12. Employee Stand-Down and Removal From Covered Functions *Does the process ensure an employee is immediately removed from performing covered functions after failing or refusing a drug test?*

(DA.DRUG.STANDOWNREMOVAL.P)

199.103(a) (199.7(a); 40.21(a); 40.21(b); 40.23(a); 40.23(b); 40.23(d); 40.287)

Sat+	Sat	Concern	Unsat	NA	NC

Notes

13. Employee Assistance Program (EAP) *Does the process ensure that an EAP is established and available to employees and supervisory personnel?* (DA.DRUG.EAP.P)

(DA.DRUG.EAP.P)

199.113(a) (199.113(b); 199.113(c))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

Drug and Alcohol - Alcohol Misuse Prevention Program

1. Written Alcohol Misuse Plan *Is a written Alcohol Misuse Plan in-place and maintained that conforms to the requirements of Part 199 and Part 40?* (DA.ALCOHOL.PLAN.P)

(DA.ALCOHOL.PLAN.P)

199.202

Sat+	Sat	Concern	Unsat	NA	NC

Notes

2. Qualification Requirements *Do records indicate that Alcohol Misuse Prevention Program positions and/or service agents meet the applicable qualification requirements of Part 40 and Part 199?* (DA.ALCOHOL.SERVICEAGENTQUAL.R)

(DA.ALCOHOL.SERVICEAGENTQUAL.R)

199.5 (40.213)

Sat+	Sat	Concern	Unsat	NA	NC

Notes

3. Alcohol-Related Prohibited Conduct *Does the process ensure that a covered employee is not permitted to perform covered functions if the employee has engaged in prohibited conduct or an alcohol misuse rule of another DOT agency?* (DA.ALCOHOL.PROHIBITEDCONDUCT.P)

199.233 (199.215; 199.217; 199.219; 199.221; 199.223; 40.23(c); 40.285(a); 40.285(b))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

4. Alcohol Screening Test Devices *Does the process for alcohol screening tests restrict the use of alcohol screening devices (ASDs) to the devices and associated requirements referenced by Part 40?* (DA.ALCOHOL.SCREENINGTESTDEVICES.P)

40.229 (40.235(e))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

5. Alcohol Confirmation Test Devices *Does the process for alcohol confirmation tests restrict the use of Evidential Breath Testing Devices (EBTs) to the devices and associated requirements referenced by Part 40?* (DA.ALCOHOL.CONFIRMATIONTESTDEVICES.P)

40.231(a) (40.233(c))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

6. Pre-Employment Alcohol Testing (Optional) *If pre-employment alcohol testing is conducted, does the process ensure that such testing is performed within the limits of Part 199?* (DA.ALCOHOL.PREEMPLOY.P)

199.209(b) (199.209(b)(1); 199.209(b)(2); 199.209(b)(3))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

7. Post-Accident Alcohol Testing *Does the process ensure that post-accident alcohol testing is conducted as required?* (DA.ALCOHOL.POSTACCIDENT.P)

199.225(a) (199.225(a)(1); 199.225(a)(2); 199.225(a)(3); 199.227(b)(4))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

8. Reasonable Suspicion Alcohol Testing *Does the process ensure that reasonable suspicion alcohol testing is conducted as required?* (DA.ALCOHOL.REASONSUSPECT.P)

199.225(b) (199.225(b)(1); 199.225(b)(2); 199.225(b)(3); 199.225(b)(4); 40.355(g); 40.355(h))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

9. Return-to-Duty Alcohol Testing *Does the process ensure that return-to-duty alcohol testing is conducted as required?* (DA.ALCOHOL.RETURNDUTY.P)

199.225(c) (199.233; 199.243(c); 40.67(b); 40.285(a); 40.305(a))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

10. Follow-Up Alcohol Testing *Does the process ensure that follow-up alcohol testing is conducted as required?* (DA.ALCOHOL.FOLLOWUPTTEST.P)

199.225(d) (199.243(c)(2)(ii); 40.307(a); 40.307(b); 40.309(a))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

11. BAT/STT Alcohol Screening Test Reports *Does the process ensure that alcohol screening test results are reported as required to the DER?* (DA.ALCOHOL.SCREENINGTEST.P)

40.247(a)

Sat+	Sat	Concern	Unsat	NA	NC

Notes

12. BAT Alcohol Confirmation Test Reports *Does the process ensure that alcohol confirmation test results are reported as required to the DER?* (DA.ALCOHOL.CONFIRMATIONTEST.P)

40.255(a) (40.355(d))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

13. Other Alcohol-Related Conduct *Does the process ensure that a covered employee is prohibited from performing or continuing to perform covered functions when found to have an alcohol concentration of 0.02 or greater but less than 0.04?*
 (DA.ALCOHOL.OTHERCONDUCT.P)
 199.237(a) (199.237(b); 40.23(c))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

14. Available Resources for Employees Who Have Engaged in Prohibited Conduct *Does the process ensure that each covered employee who has engaged in prohibited conduct is advised of the resources available to the covered employee in evaluating and resolving problems associated with the misuse of alcohol?* (DA.ALCOHOL.EMPLOYEERESOURCES.P)
 199.243(a) (40.285(b))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

15. Alcohol Misuse Program Educational Materials *Do records indicate educational materials were provided that explain alcohol misuse requirements and the policies and procedures with respect to meeting those requirements?*
 (DA.ALCOHOL.EDUCATION.R)
 199.239(a) (199.239(a)(1); 199.239(a)(2))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

16. Alcohol Misuse Program Educational Materials Content *Do records indicate the alcohol misuse educational materials provided by the operator included the required content?* (DA.ALCOHOL.EDUCATIONCONTENT.R)
 199.239(b)

Sat+	Sat	Concern	Unsat	NA	NC

Notes

17. Supervisory Personnel Alcohol Testing Reasonable Suspicion Training *Does the process include the required 60-minute supervisory personnel training related to recognizing reasonable suspicion for alcohol testing?* (DA.ALCOHOL.SUPERVISORTRAINALCOHOL.P)

199.241

Sat+	Sat	Concern	Unsat	NA	NC

Notes

Drug and Alcohol - Drug and Alcohol Program Records

1. Drug and Alcohol Program Recordkeeping *Are drug and alcohol program records maintained and kept in a secure and proper location?* (DA.PROGRAMRECORDS.RECORDKEEPING.R)

199.117(b) (199.227(a); 199.231(b); 40.333(c); 40.333(d); 40.333(e))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

2. Required Drug Test Records *Are drug test records retained for five years, three years, and one year as required and readily available?* (DA.PROGRAMRECORDS.DRUG.R)

199.117(a) (199.117(a)(1); 199.117(a)(2); 199.117(a)(3); 199.117(a)(4); 199.117(a)(5); 40.97(b); 40.111(a); 40.333(a)(1); 40.333(a)(2); 40.333(a)(4))

Sat+	Sat	Concern	Unsat	NA	NC

Notes

3. Required Alcohol Test Records *Are alcohol test records retained for five years, three years, two years, and one year as required and readily available?* (DA.PROGRAMRECORDS.ALCOHOL.R)

199.227(b) (199.227(b)(1); 199.227(b)(2); 199.227(b)(3); 199.227(b)(4); 40.333(a)(1); 40.333(a)(2); 40.333(a)(3); 40.333(a)(4))

Sat+	Sat	Concern	Unsat	NA	NC

Notes