



City of Healdsburg Administrative Policy Drug and Alcohol Testing of Safety Sensitive Positions

Effective Date: January 1, 1996

Approved by: /s/ Chet Wysteppek

1. PURPOSE

- 1.1 To provide for a work environment free of drugs and alcohol among employees performing safety sensitive driving and driving-related functions and to ensure City compliance with federal regulations.
- 1.2 To meet the requirements of the Omnibus Transportation Testing Act of 1991, including pre-employment, pre-placement, random, post-accident, reasonable suspicion, return to work and follow-up drug and alcohol testing.

2. REFERENCES

- 2.1 United States Department of Transportation regulations. "Procedures for Transportation Workplace Drug and Alcohol testing Programs" 49 CFR pan 40.
- 2.2 United States Department of Transportation, Federal Highway Administration (FHWA) regulations, "Controlled Substances and Alcohol Use and Testing" 49 CFR parts 381, et al.
- 2.3 United States Department of Transportation, Federal Transit Administration (FTA) regulations, "Prevention of Alcohol and Prohibited Drug Misuse in Transit operations" 49 CFR Parts 653 and 654.
- 2.4 Federal Drug Free Workplace Act of 1988.
- 2.5 City of Healdsburg Administrative Policy "Code of Conduct: Alcohol and Drugs".

3. APPLICABILITY

- 3.1 The operation of commercial motor vehicles requiring a Commercial Driver's License is a safety-sensitive function and employees performing this function are covered by this policy and the Federal Highway Administration (FHWA) or the Federal Transit Administration (FTA) regulations.
- 3.2 A listing of positions which are covered by this policy is attached as Appendix "C" to this policy and will be maintained by the Personnel Department.
- 3.3 Employees covered by this policy are also covered by the City's Administrative Policy "Code of Conduct: Alcohol and Drugs".
- 3.4 Pursuant to 49 CFR 382.113, each employee, as described in 3.2 above, will be required to be tested in accordance with 49 CFR Part 382. et al., prior to

performing a safety-sensitive function. The conditions requiring the testing of designated employees are described in this policy.

4. DEFINITIONS

- 4.1 ACCIDENT – an accident involving either: a) the loss of human life (FHWA & FTA); or b) resulting in a moving violation citation to a covered employee from the law enforcement agency investigating the accident (FHWA); or c) property damage so extensive as to require the vehicle be towed from the accident scene (FTA); d) injuries to a person which require immediate medical treatment away from the scene (FTA); or e) mass transit vehicle that must be removed from revenue service due to the accident. (FTA)
- 4.2 ALCOHOL – the intoxicating agent in beverage alcohol, ethyl alcohol, or other low-molecular weight alcohol, including methyl or isopropyl alcohol.
- 4.3 ALCOHOL CONCENTRATION – the alcohol in a volume of breath expressed in terms of grams of alcohol per 210 liters of breath as indicated by a breath test.
- 4.4 ALCOHOL USE – the consumption of any beverage, mixture or preparation, including any medication or food, containing alcohol.
- 4.5 COMMERCIAL MOTOR VEHICLE – is a motor vehicle or combination of motor vehicles used in commerce to transport passengers or property if the motor vehicle:
- (1) has a gross combination weight of 26,001 or more pounds inclusive of a towed unit with a gross vehicle weight rating of more than 10,000 pounds.
 - (2) has a gross vehicle weight rating of 26,001 or more pounds.
 - (3) is designed to transport 16 or more passengers including the driver.
 - (4) is of any size and is used in the transportation of hazardous materials requiring placards.
- 4.6 CONTROLLED SUBSTANCES – marijuana, amphetamine, opiates, phencyclidine (PCP), cocaine or methamphetamine.
- 4.7 CONFIRMATION TEST – for alcohol testing, is a second test that provides quantitative data of alcohol concentration following a screening test with a result of 0.02 grams or greater of alcohol per 210 liters of breath. For controlled substances testing, it is a second analytical procedure to identify the presence of a specific drug or metabolite which is independent of the screen test and which uses a different technique and chemical principal from that of the screen test in order to ensure reliability and accuracy.
- 4.8 COVERED EMPLOYEE – an employee who is required as a condition of employment to operate, drive or maintain a commercial motor vehicle, possess the applicable commercial driver license, and perform safety-sensitive driving and driving related functions (includes supervisors, mechanics and dispatchers under FTA, whether or not they hold a CDL).

- 4.9 EVIDENTIAL BREATH TESTING DEVICE (EBT) – is a device approved by the National Highway Traffic Safety Administration (NHTSA) for the evidential testing of breath and placed on NHTSA's "Conforming Products List of Evidential Breath Measurement Devices". (CPL)
- 4.10 MEDICAL REVIEW OFFICER (MRO) – is a licensed physician (medical doctor or doctor of osteopathy) responsible for receiving laboratory results generated by an employer's drug testing program who has knowledge of substance abuse disorders and has appropriate medical training to interpret and evaluate an individual's confirmed positive test result together with his or her medical history and any other relevant biomedical information.
- 4.11 NEGATIVE TESTS – a test result which is reported to the City and indicates that there are insufficient or no controlled substances and/or alcohol present in a sample in an amount sufficient to generate a positive result.
- 4.12 ON-DUTY TIME – as that phrase is defined by federal regulations and this policy, means all of the time from the time a covered employee begins to work, is required to be in readiness to work, until the time he or she is relieved for work and all responsibility for performing work. It also includes all time spent providing a breath sample or urine specimen, including travel time to and from the collection site, in order to comply with the testing requirements.
- 4.13 PERFORMING A SAFETY-SENSITIVE FUNCTION – a driver is considered to be performing a safety-sensitive function during any period in which he or she is actually performing, ready to perform, or immediately available to perform any safety-sensitive function.
- 4.14 POSITIVE TEST – a confirmed test result which is at or above the positive test threshold for controlled substances pursuant to the Department of Health and Human Services (DHHS) guidelines or above 0.04 alcohol concentration for the covered employee.
- 4.15 REFUSAL – a failure to comply with the testing process including an inability to provide a urine specimen or breath sample without a valid medical explanation, a verbal refusal, obstructive behavior or physical absence which precludes completion of the test, or leaving the accident scene without a valid reason before the test has been conducted.
- 4.16 SAFETY-SENSITIVE FUNCTION – For purposes of this policy, shall mean any of the functions defined in Title 49 of the Code of Federal Regulations. More specifically, safety-sensitive functions include any functions performed by a covered employee during on-duty time and include:
1. all time at a carrier or shipper plant, terminal, facility, or other property waiting to be dispatched unless the driver has been relieved from duty by the Employer. (FHWA)
 2. all time inspecting equipment as required by the Federal Motor Carrier Safety Regulations (FMCSRs) or otherwise inspecting, servicing, or conditioning any commercial motor vehicles at any time. (FHWA)
 3. all time spent at the driving controls of a commercial motor vehicle. (FHWA)

4. all time other than driving time, spent on or in a commercial motor vehicle (except for time spent resting in the sleeper berth). (FHWA)
 5. all time loading or unloading a commercial motor vehicle, supervising or assisting in the loading or unloading, attending a vehicle being loaded or unloaded, remaining in readiness to operate the vehicle, or in giving or receiving receipts for shipments loaded or unloaded. (FHWA)
 6. all time spent performing the driver requirements associated with an accident. (FHWA)
 7. all time repairing, obtaining assistance, or remaining in attendance upon a disabled vehicle. (FHWA)
 8. operating a revenue service vehicle whether or not in revenue service. (FTA)
 9. operating a non-revenue service vehicle when required by the holder of a CDL. (FTA)
 10. controlling dispatch or movement of revenue producing vehicles. (FTA)
 11. maintaining a revenue service vehicle or equipment used in revenue service. (FTA)
 12. carrying a firearm for security purposes. (FTA)
- 4.16 SUBSTANCE ABUSE PROFESSIONAL (SAP) - is a licensed physician (medical doctor or doctor of osteopathy), or a licensed or certified psychologist, social worker, employee assistance professional, or addiction counselor (certified by the National Association of Alcoholism and Drug Abuse Counselors Certification Commission) with knowledge of an clinical experience in the diagnosis and treatment of alcohol and controlled substances-related disorders.

5. PROHIBITED CONDUCT

- 5.1 No covered employee shall report for duty, or remain on duty requiring the performance of safety-sensitive functions, while having an alcohol concentration of 0.04 or greater.
- 5.2 No covered employee shall remain on duty, or operate a commercial motor vehicle while that employee possesses alcohol, unless the alcohol is manifested and transported as part of a shipment. This includes the possession of medicines containing alcohol (prescription or over-the-counter), unless the packaging seal is unbroken.
- 5.3 Covered employees shall not use or consume alcohol, including medication or food that contains alcohol, while performing safety-sensitive functions.
- 5.4 No covered employee shall perform safety-sensitive functions within four (4) hours after consuming alcohol.
 - 5.4.1 Any covered employee who is required to be on standby duty and is called

back to work, will be asked by his/her supervisor if he or she has consumed alcohol within the past four (4) hours. If the employee states "yes," the employee will not be allowed to perform safety-sensitive functions. (FHWA)

- 5.4.2 Any covered employee who is on required standby duty shall be asked by the supervisor if he/she has used alcohol in the past four (4) hours, if the employee responds "yes" and feels he/she cannot perform safety-sensitive functions, then the employee will be excused from duty. However, if the employee responds "yes" to alcohol usage and "yes" that he/she feels capable of performing safety-sensitive functions, then the Employer must administer an alcohol test. If the results are between .02 and .0391, Section 6.2 applies. If the amount exceeds .04, then Section 15.1 applies. If the employee answers "no" to alcohol usage, then the provisions of Section 12 will apply. (FTA)
- 5.5 Covered employees shall not consume alcohol within eight (8) hours after an accident or until completion of a post-accident alcohol test, whichever occurs first.
- 5.6 Covered employees shall not refuse to submit to a post-accident, random, reasonable suspicion, or follow-up controlled substance and/or alcohol test.
 - 5.6.1 Covered employees or job applicants who refuse to submit to a pre-employment/pre-placement controlled substance and/or alcohol test shall not be permitted to perform safety-sensitive functions.
 - 5.6.2 Covered employees who refuse to submit to a return to duty controlled substance and/or alcohol test shall not be permitted to perform safety-sensitive functions shall not be permitted to return to work and shall be discharged.
- 5.7 Covered employees shall not report for duty or remain on duty requiring the performance of safety-sensitive functions when the employee has tested positive on a controlled substance test or has used any controlled substance, including over the counter and prescribed medication, unless a physician has advised the employee, and the City has been notified in writing, of the use of the controlled substance; and has advised the City and the employee that the substance does not adversely affect the employee's ability to safely operate a commercial motor vehicle.
- 5.8 Any employee who engages in conduct described by 5.1, 5.2, 5.3, 5.4, 5.5, 5.6 or 5.7 above, could be subject to disciplinary action up to and including termination. While a first positive controlled substance test will not be subject to disciplinary action, a second positive controlled substance test could result in disciplinary action up to and including termination.

6. OTHER ALCOHOL RELATED CONDUCT

- 6.1 No covered employee found to have an alcohol concentration of 0.02 or greater but less than 0.04 shall perform or continue to perform safety-sensitive functions until the start of the employee's next regularly scheduled duty period, but no less than twenty-four (24) hours following administration of the test. If the employee is prohibited from performing any job function, the employee will not be paid his/her usual salary for the period of time he/she does not perform a job function. (FHWA)

- 6.2 No covered employee found to have an alcohol concentration more than .02, but less than .04 shall perform or continue to perform safety-sensitive functions until the start of the employee's next regularly scheduled duty period, but not less than eight (8) hours following administration of the test. If the employee is prohibited from performing any job function, the employee will not be paid his/her usual salary for the period of time he/she does not perform a job function. (FTA)

7. TRANSPORTATION OF EMPLOYEE

- 7.1 If a covered employee must take a test pursuant to Sections 10 or 12 of this policy for alcohol or controlled substances, the employee will be transported to the testing site by a supervisor. The supervisor will wait until the test is completed and then transport the employee back to his or her job site or home, whichever is appropriate.
- 7.2 If a covered employee who takes a test pursuant to Sections 9, 11, 13 or 14 of this policy and produces a test result indicating an alcohol concentration equal to or greater than 0.02, the collection site will contact the Employer immediately and have the employee stay there until that employee is transported to his or her job site or residence by the Employer, whichever is appropriate.

8. TESTING PROCEDURES

- 8.1 All tests conducted pursuant to this policy shall comply with the requirements of applicable federal law. (See Appendix B)
- 8.2 In accordance with 49 CFR, 382.505, when an employee is tested pursuant to Sections 9, 10, 11, 12, 13 or 14 of this policy, and the alcohol concentration is found to be between 0.02 and 0.039, the employee shall be subject to Section 6 above.
- 8.3 Prior to performing an alcohol or controlled substance test, the Employer shall notify the employee that the alcohol or controlled substance test is required by law (49 CFR, 382.113). No supervisor shall require an employee to have these tests done, other than defined by this policy.

9. PRE-EMPLOYMENT TESTING

- 9.1 An applicant seeking a position which requires, as a condition of employment, the operation, driving, or maintenance of a commercial motor vehicle and possession of a commercial driver license shall be controlled substance and alcohol tested prior to the performance of safety-sensitive functions. An applicant shall not be hired if the controlled substance test is positive or the alcohol content is over .02.
- 9.2 A current employee applying for, and who does not currently hold, a position in which the employee is required as a condition of employment to operate, drive or maintain a commercial motor vehicle and possess a commercial driver license shall be controlled substance and alcohol tested prior to the performance of safety-sensitive functions.

The employee shall not be appointed if the controlled substance test is positive or the alcohol content is over .04/.02.

- 9.3 A current employee who fails a pre-placement test will be referred to Personnel for evaluation pursuant to this policy, the City's existing Drug and Alcohol policy and applicable departmental policies.
- 9.4 If a current employee's alcohol test shows an alcohol content from .02 to .039, then Section 6 above applies.

10. POST ACCIDENT TESTING

- 10.1 A covered employee, while driving a commercial vehicle, who is involved in an accident that results in the loss of human life; or the covered employee being issued a moving violation citation, shall be tested for alcohol and controlled substances. (FHWA)
- 10.2 A covered employee. while driving a commercial vehicle, who is in an accident that results in the loss of human life; or injuries to a person requiring immediate medical treatment away from the scene; or the transit vehicle or another vehicle must be towed away from the scene; or the revenue producing vehicle must be removed from service due to the accident shall be tested for alcohol and controlled substances. (FTA)
- 10.3 A covered employee shall remain readily available for testing after an accident until tests are completed pursuant to 10.4 or 10.5 of this policy until two (2) hours after the time period set forth below has expired.
- 10.4 A covered employee shall be tested for alcohol within two (2) hours following the accident and under no circumstances later than eight (8) hours. If the testing is not completed within two (2) hours, the supervisor shall cease attempts to test and document the cause for the delay. If the testing is not completed within eight (8) hours, the supervisor shall document the reason it was not conducted.
- 10.5 Employees shall be tested for controlled substances within thirty-two (32) hours following an accident. If the testing is not completed within thirty-two (32) hours, the supervisor shall cease attempts to test and document why the testing was not conducted.
- 10.6 Failure of the covered employee to remain available for testing as set forth in 10.3 constitutes a refusal.
- 10.7 Nothing in this policy is intended to delay obtaining medical treatment after the accident, or to prohibit a covered employee from leaving the scene of the accident for the period necessary to obtain assistance in responding to the accident, or to obtain necessary medical care.
- 10.8 An accident that does not involve the results in 10.1 or 10.2 may still result in reasonable suspicion testing of covered employee(s), if the criteria for such testing are met.

11. RANDOM TESTING

- 11.1 The Employer shall randomly select covered employees for alcohol and controlled substances testing during each calendar year, in accordance with applicable

federal law. The minimum annual percentage rate for random alcohol testing shall be at the minimum rate permitted by the Federal Department of Transportation regulations. The minimum annual percentage rate for controlled substances testing shall be at the minimum rate permitted by the Federal Department of Transportation regulations.

- 11.2 The selection of covered employees for random alcohol and controlled substances testing shall be made by a scientifically valid method. Under the selection process used, every covered employee shall have an equal chance of being tested each time selections are made.
- 11.3 The Employer shall ensure that the random tests are unannounced and that the dates for administering the random tests are spread reasonably throughout the calendar year. Every covered employee who is notified of selection for random testing shall cease to perform safety-sensitive functions and shall immediately proceed to the test site.
- 11.4 A covered employee shall be subject to random alcohol testing at the following times: while the covered employee is performing safety-sensitive functions; just before the covered employee is performing safety-sensitive functions; or just after the covered employee has ceased performing such functions.
- 11.5 Substitute employees, if they are also covered employees, are subject to random testing.
- 11.6 In the event a covered employee who is selected for a random test is on vacation or off-duty, the Employer can either select another driver or keep the original selection confidential until the driver returns.

12. REASONABLE SUSPICION TESTING

- 12.1 The Employer shall require a covered employee to submit to an alcohol or controlled substances test, as appropriate, when the Employer has reasonable suspicion to believe that the employee has engaged in prohibited conduct.
- 12.2 Reasonable suspicion is based on articulable, specific, and contemporaneous observation concerning the appearance, behavior, speech, body odor, or indications of the chronic use or withdrawal effects of alcohol and controlled substances. These observations shall be made by a trained supervisor immediately prior to, during or immediately after the employee's workshift.
 - 12.2.1 It is recommended that the first trained supervisor then request an observation by a second trained supervisor to confirm or deny the need for Reasonable Suspicion Testing.
- 12.3 A covered employee shall be tested for alcohol within two (2) hours from the observation, and under no circumstances later than eight (8) hours. Supervisors shall document the observations made, and if the testing is not completed within two (2) hours, such documentation shall include the cause for the delay. If the test is not administered within eight (8) hours, attempts to obtain a test shall cease and the reasons for not administering the test shall be recorded. The employee may be directed to have an alcohol test only if the observation is made just prior to, during, or immediately following the performance of safety-sensitive functions.

- 12.3.1 The supervisor who makes the determination that reasonable suspicion exists to conduct an alcohol test shall not conduct the alcohol test of the driver.
- 12.4 It is recommended that a covered employee be tested for controlled substances with thirty-two (32) hours of the supervisor's reasonable suspicion determination that the covered employee engaged in prohibited conduct. If the test is not administered within thirty-two (32) hours, attempts to obtain the test shall cease and the reasons for not administering the test shall be recorded.
- 12.5 The observation and determination that a reasonable suspicion exists will be made by a supervisor trained in detecting the symptoms of alcohol misuse and use of controlled substances as per the regulations. The training shall consist of at least sixty (60) minutes of training on alcohol misuse and at least an additional sixty (60) of training on controlled substances use.
- 12.6 After a reasonable suspicion assessment for alcohol has been made and no test is given, a covered employee shall not perform safety-sensitive functions until the employee has a return to duty test with the results measuring less than 0.02 alcohol concentration or twenty-four (24) hours have elapsed since the observation.
- 12.7 The supervisor who makes the observations, within twenty-four (24) hours of the observed behavior, will prepare a written report of the observed behavior. This report will be forwarded to the city's confidential file for filing purposes. This section is recommended but not required for FTA covered employees.

13. RETURN TO DUTY TESTING

- 13.1 Before a covered employee returns to duty requiring the performance of a safety-sensitive function, after engaging in prohibited conduct (see Section 5), he/she shall undergo a return to duty alcohol test with a result less than .02 and/or a controlled substance test with a verified negative result.
- 13.2 All return to duty testing will be paid by the employee.

14. FOLLOW-UP TESTING

- 14.1 A covered employee who has been referred to a SAP pursuant to this policy shall be subject to unannounced controlled substance and/or alcohol testing, performed by the city's designated testing facility, as directed by the SAP.
- 14.1.1 The following alcohol testing may take place only just prior to, during, or immediately following the performance of safety-sensitive functions.
- 14.2 There shall be at least six (6) tests within the first twelve (12) months following return to duty.
- 14.3 The period for follow-up testing shall not exceed five (5) years from the date of return to work.
- 14.4 Follow-up testing is separate from and in addition to any testing required by Sections 9, 10, 11, 12 and 13 of this policy.

14.5 All follow up testing will be paid for by the employee.

15. NON-COMPLIANCE WITH POLICY

15.1 A covered employee who violates any of the prohibitions outlined in Section 5 shall:

- a. be relieved of safety-sensitive duties;
- b. be referred to and submit to an examination by a SAP at the employee's expense: and
- c. undergo treatment and testing as indicated by the SAP and required by law as noted in Section 13 of this policy at the employee's expense;
- d. be tested in compliance with Section 14 of this policy.

15.2 A covered employee who is relieved of duty pursuant to this policy shall not receive his or her normal compensation for hours during which the employee is prohibited by this policy from performing a safety-sensitive function.

15.3 Refusal to submit to any required test (Sections 9, 10, 11, 12, 13, or 14) shall be deemed a positive test result.

15.3.1 The following actions shall constitute refusal to submit to a test:

§ Refusal to take a required test.

§ Inability to provide sufficient quantities of breath or urine to be tested without a valid medical explanation.

§ Tampering or attempting to adulterate the specimen collection procedure

§ Leaving the scene of an accident without a valid reason before the tests have been conducted.

15.4 A covered employee who engages in any action described in 15.3.1, or has an alcohol concentration of .02 or higher as determined by testing performed under 9, 10, 11, 12, 13, or 14 above; or has a positive drug test result as determined by testing performed under 9, 10, 11, 12, 13, or 14 above, shall not be hired (9 above) or shall be relieved of safety-sensitive functions and could be subject to disciplinary action up to and including termination.

15.5 A covered employee who violates this policy may be liable for penalties as provided in federal statute.

16. MEDICAL REVIEW OFFICER (MRO)

16.1 If the controlled substance test produces a positive result, the MRO will review such results in accordance with 49 CFR 40.33.

16.2 Prior to making the decision to verify a positive test result for a covered employee, the MRO shall give the employee an opportunity to discuss the test result with him or her.

- 16.2.1 If the employee chooses to have the split sample tested, the employee will pay for such testing.
- 16.3 If the MRO is unable to contact the employee, he/she shall call the Employer, who shall contact the employee and direct him/her to call the MRO within 24 hours or prior to dispatching whichever is earlier. The Employer shall document the time and date of the instruction to the employee to contact the MRO.
- 16.4 The MRO will notify the Employer as to whether or not the test is negative or positive, based on the review of the test results and communication or non-communication with the employee in accordance with 49 CFR 40.33.
- 16.5 If the test is positive, the MRO will immediately notify the designated Employer representative of the results and the Employer will refer the case to the Employer's designated Substance Abuse Professional (SAP). While not required by DOT, the Employer will refer the employee, in writing, to the SAP.

17. SUBSTANCE ABUSE PROFESSIONAL (SAP)

- 17.1 The employee who tests positive for the presence of controlled substances or has an alcohol concentration greater than 0.04, shall contact the designated SAP for evaluation and for treatment.
- 17.2 The SAP will determine what, if any, assistance the employee needs in resolving problems associated with alcohol misuse and controlled substance use.
- 17.3 If the SAP determines assistance is necessary, the follow-up testing program, as described in Section 14 will be invoked. However, whether or not assistance is determined necessary by the SAP, the employee will be tested in accordance with Section 14.2.
- 17.4 The Employee will bear the cost of evaluation and treatment provided for under the law.

18. RECORDS RETENTION

- 18.1 The Employer shall retain all records in accordance with applicable federal law, as set forth in Appendix A.
- 18.2 Upon written request from the employee, he/she may receive a copy of his/her records pertaining to his/her use of alcohol or controlled substances, including any records pertaining to his/her alcohol or controlled substances tests.
- 18.3 Employee records shall be made available to a subsequent employer (or employee identified person) upon the receipt of the employee's written consent for such release of those records.
- 18.4 The Employer shall notify an applicant driver of the results of a pre-employment test if the driver requests such notification within sixty (60) days of the test results.
- 18.5 The Employer shall notify the employee of the results of a random, reasonable suspicion or post-accident test for controlled substances, if the test was positive. The Employer will also notify the employee of the substance or substances that were verified as positive.

19. EMPLOYEE INFORMATION

- 19.1 The Employer shall distribute this policy to every covered employee, on an individual basis, prior to the implementation of the alcohol and controlled substance testing policy. The Employer shall also distribute this policy to every covered employee hired after the adoption of the policy, and to every covered employee transferred into a position requiring driving a commercial vehicle.
- 19.2 Employees will be required to sign a statement acknowledging receipt of the policy.
- 19.3 The person responsible for answering employee questions concerning this policy shall be the Human Resources Manager. The Human Resources Analyst shall be the alternate contact for information concerning this policy. #

APPENDIX A

ALCOHOL AND DRUG TESTING REGULATIONS FOR COMMERCIAL MOTOR VEHICLE DRIVERS

RETENTION OF RECORDS

This section explains which controlled substance and alcohol test records must be completed and maintained, where they must be maintained and for how long. All records shall be maintained in a secure location with controlled access.

Required period of retention:

<u>Document to be Maintained</u>	<u>Period Required to be Maintained</u>
Alcohol test results indicating a breath alcohol concentration of 0.02 or greater	5 years
Verified positive controlled substance test results	5 years
Refusals to submit to required alcohol or controlled substance tests	5 years
Required calibration of Evidential Breath Testing Devices (EBTs)	5 years
Substance Abuse Professional's (SAP's) evaluations and referrals	5 years
Annual calendar year summary	5 years
Records related to the collection process (except calibration) and required training	2 years
Negative and canceled controlled substance test results	1 year
Alcohol test results indicating breath alcohol concentration less than 0.02	1 year

TYPES OF RECORDS REQUIRED TO BE MAINTAINED

1. Records related to the collection process:

- Collection logbooks (if used).
- Documents related to the random selection process.
- Calibration documentation for EBTs.
- Documentation of Breath Alcohol Technician (BAT) training.
- Documentation of reasoning for reasonable suspicion testing.
- Documentation of reasoning for post-accident testing.

Documents verifying a medical explanation for the inability to provide adequate breath or urine for testing.
Consolidated annual calendar year summaries.

2. Records related to the driver's test results:

Employer's copy of the alcohol test form, including results.
Employer's copy of the drug test chain of custody and control form.
Document sent to the Employer by the Medical Review Officer.
Documentation of any driver's refusal to submit to a required alcohol or controlled substance test.
Documents provided by a driver to dispute results of test.

3. Documentation of any other violation of controlled substance use or alcohol misuse rules.

4. Records related to evaluations and training:

Records pertaining to substance abuse professional's (SAP's) determination of driver's need for assistance.
Records concerning a driver's compliance with SAP's recommendations.

5. Records related to education and training:

Materials on drug and alcohol awareness, including a copy of the Employer's policy on drug use and alcohol misuse.
Documentation of compliance with requirement to provide drivers with educational material, including driver's signed receipt of materials.
Documentation of supervisor training.
Certification that training conducted under this rule complies with all requirements of the rule.

6. Records related to drug testing:

Agreements with collection site facilities, laboratories, MROs, and consortia.
Names and positions of officials and their role in the Employer's alcohol and controlled substance testing program.
Monthly statistical summaries of urinalysis. (40.29(g)(6))
The Employer's drug testing policy and procedures.

LOCATION OF RECORDS

All required records shall be maintained in a secure location with limited access. Records shall be made available for inspection at the Employer's principal place of business within two (2) business days after a request has been made by an authorized representative of the Federal Highway Administration.

For example: Specific records may be maintained on computer or at a regional or terminal office, provided the records can be made available upon request from FHWA within two (2) working days. #

APPENDIX B

ALCOHOL AND CONTROLLED SUBSTANCES TESTING PROCEDURES AND POLICY

INTRODUCTION

The City of Healdsburg shall implement and enforce the procedures for transportation work- place testing as set forth in 49 CFR Part 40: These procedures include, but are not limited to the following information. In all cases, the requirements of 49 CFR Part 40 shall be followed.

CONTROLLED SUBSTANCES TESTING

APPLICABLE DRUGS

1. Employees subject to controlled substances testing shall be tested for the following substances:

Marijuana	Cocaine
Opiates	Amphetamines
Phencyclidine (PCP)	

2. Although the specimen will not be analyzed specifically for adulterants, the lab may conduct adulteration checks (PH, specific gravity or creatinine). The test may be canceled if adulterants are detected. The lab is permitted to check for adulterants as per Federal Department of Transportation (DOT) guidelines.

SPECIMEN COLLECTION PROCEDURES

1. The collection shall take place in a secure location to prevent unauthorized access during the collection process.
2. The specimen shall be kept in sight of the employee and the collection site person until it is sealed and ready for shipment.
3. Employees shall have individual privacy when providing a specimen except when:
 - a. The employee presents a specimen that is outside the accepted temperature range and he/she refuses to have an oral body temperature measurement, or the body temperature measurement varies more than 1.0C or 1.8oF from the specimen temperature.
 - b. The collector observes the employee attempting to adulterant or substitute the specimen.
 - c. The employee's last provided specimen was determined to be diluted.
 - d. The employee has previously had a verified positive test.

In a and b above, the employee must provide a specimen under direct observation. In c and d above, the Employer may require a direct observation collection.

4. The following specific procedures will be followed during the collection process:
 - a. The employee must submit identification to the collector. The collection shall not

- proceed until a positive identification is made.
- b. The employee will not be required to undress, or to change into an examination gown. Only outer garments should be removed, i.e., jackets, etc.
 - c. The donor shall be required to wash his/her hands prior to urination, and shall not have access to any water sources until the specimen has been collected.
 - d. A bluing agent shall be added to the toilet bowl and the donor may flush the toilet only after releasing the specimen to the collector.
 - e. The specimen must be at least 45 ml to be acceptable.
 - f. The collector must measure the specimen temperature within four (4) minutes of urination to determine sample acceptability.
5. If the donor cannot provide a sufficient volume of urine, he/she shall remain at the collection site and be provided not more than twenty-four (24) ounces of fluids to drink. The donor shall have a period of up to two (2) hours to produce acceptable sample. If the donor is unable to produce a sample without a valid medical reason, the City may consider the circumstance to be a refusal to test.
 6. The specimen shall be divided into two (2) parts. The collector shall pour 30 ml of urine from the specimen bottle into a second bottle, to be used as the primary specimen. The remainder of the urine, at least 15 ml, shall be poured into another container to be used as the split sample.
 7. Both samples shall be shipped in a single shipping container with the appropriate chain of custody forms.
 8. The collector and donor must be present together to complete the following process:
 - a. Seal and label the specimen bottle.
 - b. Donor initials the bottle label or seal.
 - c. The chain of custody forms must be signed and dated.
 9. If an employee refuses to cooperate with the collection process, the collector shall notify the employer representative and note the non-cooperation on the custody and control form.

SPLIT SAMPLE

1. If the test result of the primary specimen is positive, the employee may, no later than seventy-two (72) hours, request that the MRO direct that the split specimen be analyzed.
2. The split sample analysis will be conducted by a DHHS-certified laboratory who will analyze the sample for presence of the drug(s) for which a positive result was obtained in the primary sample.
3. If the result of the test of the split sample fails to reconfirm the presence of the drug(s) or drug metabolite(s) in the primary specimen, the MRO shall cancel the test and report the cancellation to the City.
4. All costs associated with the analysis of the split sample shall be the responsibility of the employee unless the result of the split sample is canceled.

ALCOHOL TESTING

TESTING PROCEDURES

1. The test shall take place in a secure location that affords visual and aural privacy to prevent unauthorized persons from seeing or hearing test results.
2. When an employee enters the testing location, the BAT will require him/her to provide positive identification. The test shall not proceed until positive identification of the employee is made.
3. An individually-sealed mouthpiece shall be opened in view of the employee and then attached to the testing unit.
4. The employee shall be required to blow forcefully into the mouthpiece for at least six (6) seconds or until an adequate amount of breath has been obtained.
5. The employee shall be shown the result both on the testing unit and the recording form. The employee shall verify both results are the same. If a result printed by the testing unit does not match the displayed result, the BAT shall declare the test invalid.
6. If the result of the screening test is less than 0.02 breath alcohol concentration, no other testing will be conducted.
7. If the result of the screening test reflects an alcohol concentration of 0.02 or greater, a confirmation test shall be performed.
8. Prior to conducting the confirmation test, the employee may not eat, drink, or place anything in his/her mouth. If possible, the employee should not belch during the waiting period. The confirmation test shall be conducted no less than fifteen (15) minutes and no more than twenty (20) minutes from the screening test.

The fifteen (15) minutes waiting period is provided for the employee's benefit. This time period allows for the dissipation of any mouth alcohol, thereby helping to prevent an artificially high reading.

9. In the event the screening and the confirmation test results do not match, the confirmation results will be considered the final results.
10. If the employee refuses to sign the breath alcohol testing form or fails to provide an adequate amount of breath without a valid medical reason, the City may determine the circumstance to be a refusal to test.

INABILITY TO PROVIDE ADEQUATE BREATH

1. If the employee fails to provide an adequate amount of breath, he/she shall provide the City with an evaluation from a licensed physician, who is acceptable to the City, concerning the employee's medical ability to provide adequate breath.
2. If the physician determines there is a valid medical reason precluding the employee from providing adequate breath, then the employee's failure shall not be deemed a refusal to test.

3. If the physician is unable to determine a valid medical reason, the employee's failure to provide adequate breath shall be considered a refusal to test.

APPENDIX C

COVERED POSITIONS

Those classifications which may require Class A or B California Driver's Licenses and/or hazardous materials or tanked endorsements, or that perform other DOT safety sensitive functions covered by this policy are defined by current classification specifications/job descriptions held by the Human Resources Department. Current classifications may include:

Electric Coordinator/ Inspector

Electric Line Foreman

Electric Lineworker – Electric Lineworker Apprentice

Electric Materials Technician

Electric Operations Superintendent

Fleet Mechanic

Mechanic-Equipment Service Writer

Parks and Open Space Superintendent

Parks Maintenance Foreman

Parks Maintenance Worker II

Utility Maintenance Foreman

Utility Maintenance Superintendent

Utility Worker I

Utility Worker II

Revised 7/5/2022

**City of Healdsburg Acknowledgement Form
Drug and Alcohol Testing of Safety Sensitive Positions**

I acknowledge that I have received a copy of the City's Drug and Alcohol Testing of Safety Sensitive Positions Policy as required by Federal Regulations.

My signature indicates that I will read and comply with this policy.

Employee's Signature: _____ Date: _____

Job Classification: _____

NOTE: This Acknowledgment Page will be added to your personnel file to document receipt of and understanding of the City's Drug and Alcohol Testing of Safety Sensitive Positions Policy.