

Niagara Frontier Transportation Authority Drug and Alcohol Policy



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1.0 POLICY

The Board of Commissioners of the Niagara Frontier Transportation Authority and its subsidiary corporation, Niagara Frontier Transit Metro System, Inc. has adopted this policy and is committed to the development, maintenance/enforcement, and implementation of a program to maintain a work environment that is free from the use of prohibited drugs and the misuse of alcohol.

This policy is intended to comply with all applicable federal regulations governing workplace anti-drug and alcohol programs in the transportation industry. The Federal Transit Administration (FTA) has published 49 CFR Part 655 "Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations", and the Federal Motor Carriers Safety Administration (FMCSA) has published 40 CFR Part 382 "Controlled Substances and Alcohol use Testing", as amended, each mandates drug testing and breath alcohol testing for safety-sensitive positions and prohibits performance of safety-sensitive functions when there is a positive test result. The U. S. Department of Transportation (DOT) has also published 49 CFR Part 40, as amended, that sets standards for the collection and testing of urine and breath specimens. In addition, the federal government published 49 CFR Part 29 & 49 CFR Part 32, "The Drug-Free Workplace Act of 1988," which requires the establishment of drug-free workplace policies and the reporting of certain drug-related offenses to the FTA.

1.1 Conditions of Employment for All Niagara Frontier Transportation Authority and Niagara Frontier Transit Metro System, Inc. (collectively referred to as "NFTA" or "Authority") Employees

1. All full-time, part-time, temporary, and seasonal employees of the Authority are advised that it is unlawful to use, possess, dispense, sell, distribute, or manufacture a controlled substance in the workplace, or on Authority business while away from the workplace including while operating company equipment or performing any other duties or activities on behalf of the NFTA.
2. All full-time, part-time, temporary, and seasonal employees of the Authority convicted under any criminal drug statute for a violation occurring in the workplace or on Authority business while away from the workplace must notify the Authority **IN WRITING** not later than five (5) days after such a conviction.
3. All full-time, part-time, temporary, and seasonal employees in safety sensitive positions as defined in this Policy agree to abide by the terms of DOT drug and alcohol regulations and the Authority's policy as a necessary condition of their continued employment. Failure to do so shall result in disciplinary action.
4. All full-time, part-time, temporary and seasonal employees in non-safety sensitive positions shall abide by the terms of this Policy as a necessary

condition of their continued employment. Failure to do so shall result in disciplinary action.

2.0 PURPOSE

The purpose of this policy is to assure employee fitness for duty and to protect employees, customers, and the public from risk posed by worker use of prohibited drugs or alcohol.

It is the goal of this policy to prevent substance abuse and rehabilitate rather than terminate the employment of workers. However, all persons covered by this Policy should be aware that violations of the Policy will result in discipline, up to and including termination, or in not being hired.

3.0 APPLICABILITY AND COVERED EMPLOYEES

A. Authority Employees in FTA Safety-Sensitive Positions (49 CFR Part 655, See Appendix I):

1. All employees of the Authority in safety-sensitive positions are required to submit to drug and alcohol tests as a condition of employment in accordance with 49 CFR Part 655 and are prohibited from performing the duties of a safety-sensitive position with prohibited drugs or prohibited levels of drug metabolites in their system, or when having consumed alcohol within four hours of reporting for duty, or having a breath alcohol concentration of 0.02 or greater while on duty. A breath alcohol concentration of 0.04 or greater is considered a positive test.
2. All employees of the Authority in safety-sensitive positions, as defined by the FTA, must submit to drug and alcohol testing procedures in accordance with 49 CFR Part 40 and 655.

Safety-sensitive Positions as Defined by the FTA

Safety-sensitive positions are those whose duties relate to the safe operation of transportation services and include the following:

- Operators of revenue service vehicles, whether or not the vehicle is in revenue service;
- Dispatchers, controllers, and supervisors who direct the movement of revenue service vehicles;
- Operators of non-revenue service vehicles whose operation requires a Commercial Driver's License;
- Employees involved in the maintenance (including repairs, overhaul, and rebuilding) of revenue service vehicles or ancillary equipment used in revenue service;
- Employees who are required to carry a firearm for security purposes (e.g., Police Officers).

B. Authority Employees in FMCSA Safety Sensitive Positions (49 CFR Part 382, See Appendix I):

1. All employees of the Authority in safety-sensitive positions are required to submit to drug and alcohol tests as a condition of employment in accordance with 49 CFR Part 382 and are prohibited from performing the duties of a safety-sensitive position with prohibited drugs or prohibited levels of drug metabolites in their system, or when having consumed alcohol within four hours of reporting for duty, or having a breath alcohol concentration of 0.02 or greater while on duty. A breath alcohol concentration of 0.04 or greater is considered a positive test.
2. All employees of the Authority in safety-sensitive positions, governed by the Federal Motor Carrier Safety Administration, must submit to drug and alcohol testing procedures in accordance with 49 CFR Part 40 and 382.

Safety-sensitive function means all time from the time a driver begins to work or is required to be in readiness to work until the time the driver is relieved from work and all responsibility for performing work. Safety-sensitive functions shall include:

- All time at an employer or shipper plant, terminal, facility, or other property, or on any public property, waiting to be dispatched, unless the driver has been relieved from duty by the employer;
- All time inspecting equipment as required by §392.7 and §392.8 of this subchapter or otherwise inspecting, servicing, or conditioning any commercial motor vehicle at any time;
- All time spent at the driving controls of a commercial motor vehicle in operation;
- All time, other than driving time, in or upon any commercial motor vehicle except time spent resting in a sleeper berth (a berth conforming to the requirements of §393.76 of this subchapter);
- All time loading or unloading a 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; and
- All time repairing, obtaining assistance, or remaining in attendance upon a disabled vehicle.

Performing (a safety-sensitive function) means a driver is considered to be performing a safety-sensitive function during any period in which the driver is actually performing, ready to perform, or immediately available to perform any safety-sensitive functions. This definition applies to every person and to all employers of such persons who operate a commercial motor vehicle in commerce or every person who operates a commercial motor vehicle on any public roadway.

- C. Non-Safety Sensitive Employees: As Authority policy, all non-represented, full-time, part-time, temporary, and seasonal employees of the Authority, as well as employees represented by unions that have negotiated compliance with this policy as part of their collective bargaining agreements or past practice, are subject to the collection and testing procedures set forth in 49 CFR Part 40. All drug and/or alcohol tests for non-safety sensitive employees will be performed using Non-DOT CCFs and ATFs.
- D. All employees of the Authority, whose positions require certification under Article 19-A of the New York State (NYS) Motor Vehicle and Traffic Law are prohibited from operating or having control of a bus or rail car with either prohibited drugs or controlled substances in their system, or when having consumed alcohol within six (6) hours of reporting for duty (NYS Department of Motor Vehicle and Traffic Law, Article 19-A 509 I (a), (b), and (c)).

4.1 PROHIBITED BEHAVIOR

SAFETY SENSITIVE EMPLOYEES:

Use of illegal drugs is prohibited at all times. Prohibited drugs for **Safety-Sensitive** employees include:

- marijuana
- cocaine
- phencyclidine (PCP)
- opioids
- amphetamines

All safety sensitive employees are prohibited from performing or continuing to perform safety-sensitive functions while having an alcohol concentration of 0.04 or greater.

All safety sensitive employees are prohibited from consuming alcohol while performing safety-sensitive job functions or while on-call to perform safety-sensitive job functions. If an on-call employee has consumed alcohol, they must acknowledge the use of alcohol at the time that they are called to report for duty. If the on-call employee claims the ability to perform his or her safety-sensitive function, he or she must take an alcohol test with a result of less than 0.02 prior to performance.

All safety sensitive employees are prohibited from consuming alcohol within four (4) hours prior to the performance of safety-sensitive job functions.

All safety sensitive employees required to take a post-accident test are prohibited

from consuming alcohol for eight (8) hours following involvement in an accident or until he or she submits to the post-accident drug and alcohol test, whichever occurs first.

NON-SAFETY SENSITIVE EMPLOYEES

Use of illegal drugs is prohibited at all times. Prohibited drugs for **Non-Safety Sensitive** employees for **PRE-EMPLOYMENT (section 5.1)**, **RETURN-TO-DUTY (section 5.5)**, **FOLLOW UP (section 5.6)** and **RANDOM (section 5.2)** testing include:

- cocaine
- phencyclidine (PCP)
- opioids
- amphetamines

Non-Safety Sensitive employees are subject to **POST ACCIDENT (section 5.4)** and **REASONABLE SUSPICION (section 5.3)** testing for the following substances:

- marijuana
- cocaine
- phencyclidine (PCP)
- opioids
- amphetamines

All non-safety sensitive employees are prohibited from performing or continuing to perform job functions while having an alcohol concentration of 0.04 or greater.

All non-safety sensitive employees are prohibited from consuming alcohol and marijuana while performing job functions. If an employee has consumed alcohol and/or marijuana, they must acknowledge the use of alcohol and/or marijuana at the time that they are called to report for duty.

All non-safety sensitive employees are prohibited from consuming alcohol and/or marijuana within four (4) hours prior to the performance of job functions.

Non-safety sensitive employees are subject to post accident drug and alcohol testing and will be required to test within 8 hours of an accident for alcohol and within 32 hours of an accident for drugs.

4.2 USE OF CONTROLLED SUBSTANCES OR DRUGS

It is the employee's responsibility to inform any treatment provider prescribing medication that they operate a public transportation vehicle (or that they have a safety-sensitive job) and ask if the prescribed medication could interfere with the ability to safely perform any safety-sensitive job functions.

Article 19A (Section 509-K) states: “No driver shall operate a bus while the driver's ability or alertness is so impaired or so likely to become impaired, through fatigue, illness or any other cause, as to make it unsafe for the driver to begin or continue to operate the bus”

It is the employee’s responsibility to inform the NFTA Medical Department promptly of all new or discontinued medications.

4.3 ALCOHOL

Alcohol refers to the intoxicating agent in beverage alcohol, ethyl alcohol or other low molecular weight alcohols, including methyl or isopropyl alcohol. Alcohol use is defined as the consumption of any beverage or substance, including any medication, mouthwash, food, candy or any other mixture, preparation, or any other substance (49 CFR Part 40.3).

5.1 PRE-EMPLOYMENT TESTING

Pre-employment testing applies to all new hires, as well as to employees upon promotion or transfer to a safety-sensitive position, when that employee is not already employed in an safety-sensitive position. Before allowing an employee or applicant to perform a safety-sensitive function for the first time, the employee or applicant must take a pre-employment drug test, with a verified negative result.

When an FTA regulated safety-sensitive employee or applicant has not performed a safety- sensitive function for ninety (90) consecutive calendar days, regardless of the reason, and the employee has not been in the Authority’s random selection pool during that time, the employee must take a pre-employment drug test with a verified negative result before the employee is allowed to return to work (49 CFR Part 655.41).

When an FMCSA regulated safety-sensitive employee has not performed a safety-sensitive function for thirty (30) consecutive calendar days, regardless of the reason, and the employee has not been in the Authority’s random selection pool during that time, the employee must take a pre-employment drug test with a verified negative result before the employee is allowed to return to work (49 CFR Part 382.301)

When a **non-safety sensitive** employee has not performed their job function for ninety (90) consecutive calendar days and the employee has not been in the Authority’s random selection pool during that time, the employee must take a pre-employment drug test with a verified negative result before the employee is allowed to return to work.

As Authority policy, any applicant who tests positive on the drug test will be disqualified from consideration for employment with the Authority.

Applicants who receive a negative dilute result of a urine test must take another test immediately (49 CFR Part 40). Unless the result of the second test is negative, the applicant will be disqualified from consideration for employment.

If an applicant/employee takes a pre-employment test and receives a verified negative result but does not begin working in, or return to, their safety-sensitive or non-safety-sensitive job within thirty (30) days from the confirmed negative result, the employee must take another non-DOT pre-employment test and receive a negative result before starting work for the Authority, or returning to or transferring to a safety-sensitive position. If more than ninety (90) days pass from the date of the confirmed negative result, the employee must take another DOT pre-employment test, with a negative result (49 CFR Parts 655.41).

If a pre-employment test is cancelled, the employee must retake and pass the test before being hired into, or returning to, a safety-sensitive or non-safety-sensitive position, or being promoted into a safety-sensitive position. No employee will be permitted to transfer from a non-safety-sensitive position to a safety-sensitive position or return to a safety-sensitive position until the employee takes a pre-employment drug test, with a verified negative result.

When a safety-sensitive employee or applicant has previously failed or refused a DOT pre-employment test prior to initial employment, the employee must provide the Authority's Drug and Alcohol Program Manager (DAPM) proof of having successfully completed the DOT Return-to-Duty process. For applicants that have not completed the DOT Return-to-Duty process, the DAPM can provide a list of Substance Abuse Professionals (SAP) to satisfy this DOT requirement.

5.2 RANDOM TESTING

Testing rates will meet or exceed the minimum annual percentage rate set each year within each DOT agency. The current year testing rates for FTA and FMCSA can be viewed online at <http://www.transportation.gov/odapc/random-testing-rates>.

Employees are randomly chosen by a computer-generated selection process, and reasonably spread over a twelve-month period for drug and alcohol testing. The random selection process and scheduling of testing is the responsibility of the Human Resources Department. The selection of employees for random drug and alcohol testing shall be made by a scientifically valid method, such as a random number table or a computer-based random number generator that is matched with employees' Social Security numbers, payroll identification numbers, or other comparable identifying numbers. Under the selection process used, each covered employee shall have an equal chance of being tested each time selections are made. Management/Supervisors do not have discretion with the random selection process. The Authority shall ensure that the random drug and alcohol tests conducted are unannounced and unpredictable, and that the

dates for administering random tests are spread reasonably throughout the calendar year. Random testing must be conducted at all times of the day when safety-sensitive functions are being performed. If the employee is performing a safety-sensitive function at the time of the notification, the Authority shall ensure that the employee stops performing the safety-sensitive function and proceeds to the testing site immediately. A safety sensitive employee shall only be randomly tested for alcohol misuse while the employee is performing safety-sensitive functions; just before the employee is to perform safety-sensitive functions; or just after the employee has ceased performing such functions. An employee may be randomly tested for prohibited drug use anytime while on duty. Employees are notified that they have been selected for testing as close to the actual time of the collection and/or test, as is reasonably possible. The employee will only be notified after the employee has reported for work on the day the urine specimen is to be collected and/or the alcohol test is to be conducted. The Authority shall require that each employee who is notified of selection for random testing proceed to the test site immediately.

Discretion will be used as employees are notified that they have been selected for random testing, and employees will be provided with as much privacy as is reasonably possible. ***An employee's failure to report as directed for random testing will be treated as a refusal to take a drug and/or alcohol test.***

Refer to 49 CFR Part 655.45 or 49 CFR Part 382.305 for additional information regarding random testing.

Previously Scheduled Commitment Program

As Authority policy, this program shall be used only for members of the Amalgamated Transit Union (ATU).

Random drug and/or alcohol testing shall be initiated no later than three (3) hours before the end of an employee's shift where such an employee has provided advance verifiable documentation of the previously scheduled medical or childcare commitment for the period immediately following the employee's shift.

Medical commitment - the medical section of the required form must be completed and signed by the employee's health care professional.

Childcare commitment – the childcare section of the required form must be completed and signed by the employee's childcare provider.

The Authority's Medical Department **must** receive the **original (completed) form** with an **original signature** (no stamps) twenty-four (24) hours prior to the start of the work shift of the weekday commitment or by 12:30 pm on the Friday preceding the weekend commitment. Phone and fax numbers are required. **Copies** and **incomplete** forms will not be accepted. If an employee has any questions about this policy or how to obtain a form, they should call the

Authority's Medical Department at 716-855-7339, 716-855-7337 or Human Resources at 716-855-6500.

5.3 REASONABLE SUSPICION TESTING

Employees may be tested upon reasonable suspicion of drug and/or alcohol use based upon specific, contemporaneous, articulable observations concerning the appearance, behavior, speech and/or body odors of the employee. Reasonable Suspicion alcohol testing may be performed just before an employee performs safety-sensitive duties, during that performance, and just after an employee has performed safety-sensitive duties. This testing applies to employees in non-safety sensitive positions. The observations leading to Reasonable Suspicion alcohol testing must be made during, just preceding, or just after the period of the workday that the employee is required to be in compliance with 49 CFR Part 655 and 49 CFR Part 382. FTA regulations require only one supervisor to make the reasonable suspicion determination if a test will be performed; however, as Authority policy, when possible, two supervisors will make the reasonable suspicion determination. Any supervisor involved in making the determination of reasonable suspicion must have received at least one (1) hour of training in recognizing the symptoms and effects of prohibited drug use and at least one (1) hour of training in recognizing the symptoms and effects of prohibited alcohol use. In all cases involving reasonable suspicion, the supervisor(s) shall document their observations of the employee's behavior and factors leading to the act of reasonable suspicion. Any employee exhibiting such signs or appearing to be under the influence of drugs and/or alcohol will be removed from the vehicle or workplace and informed that there is reasonable cause to believe that the employee has been using a prohibited drug and/or alcohol. The employee will be given the opportunity to make a verbal statement or provide appropriate medical documentation explaining why their behavior or other physical signs may be indicating that the employee appears to be under the influence of prohibited drugs and/or alcohol. The employee will then be escorted by a responsible person as determined by the supervisor(s) to a collection/test site. The employee will be required to provide a urine specimen and/or perform an alcohol test under the guidelines for drug and alcohol testing (49 CFR Part 40). Alcohol testing is only permissible just before/during/just after safety-sensitive duty. Urine collections may be performed anytime while on duty. In addition, the employee may be subject to a fitness for duty evaluation. Such an employee will only be allowed to return to work after a verified negative test result has been received by the MRO for prohibited drugs or if the employee tests negative for alcohol with a breath alcohol concentration below 0.02. If the reasonable suspicion drug and/or alcohol test(s) produces a verified negative test result(s), the employee will be made whole.

In cases where an employee has tested positive, the employee will be allowed to return to work only if they:

- Have been cleared through a Substance Abuse Professional (SAP) interview and evaluation.

- Have successfully complied with treatment regimen as developed by SAP and treatment provider.
- Have been cleared by the Authority's Medical Review Officer, Substance Abuse Program Administrator, or other qualified medical personnel involved in the assessment/evaluation of the employee in question.
- Have a verified negative test result on a return-to-duty drug and/or alcohol test.

5.4 POST ACCIDENT TESTING

FTA regulations define an accident as an occurrence associated with the operation of a vehicle, if as a result: (1) an individual dies; or (2) an individual suffers bodily injury and immediately receives medical treatment away from the scene of the accident; or (3) with respect to an occurrence in which the public transportation vehicle involved is a bus, electric bus, van or automobile, one or more vehicles (including non-FTA funded vehicles) incurs disabling damage as the result of the occurrence and such vehicle or vehicles are transported away from the scene by a tow truck or other vehicle; or (4) with respect to an occurrence in which the public transportation vehicle involved is a rail car, trolley car, trolley bus, or vessel, the mass transit vehicle is removed from operation (49 CFR Part 655.4).

In addition, as Authority policy, non-DOT post-accident testing will be conducted when an employee has received a citation under state or local law for a moving traffic violation arising from an accident but has not met a criterion for DOT Post-Accident testing.

As soon as practicable following an accident-involving the loss of human life, the Authority shall conduct drug and alcohol tests on each surviving covered employee operating the mass transit vehicle at the time of the accident. The Authority shall also drug and alcohol test any other safety-sensitive employees whose performance could have contributed to the accident as determined by the Authority using the best information available at the time of the decision.

As soon as practicable following an accident not involving the loss of human life, however, meeting the criteria above in which a mass transit vehicle is involved, the Authority shall drug and alcohol test each safety-sensitive employee operating the mass transit vehicle at the time of the accident unless the Authority determines, using the best information available at the time of the decision, that the safety-sensitive employee's performance can be completely discounted as a contributing factor to the accident.

The Authority shall also drug and alcohol test any other safety-sensitive employee whose performance could have contributed to the accident, as determined by the Authority using the best information available at the time of the decision. For example, in a collision between a train and a maintenance vehicle, the Train Operator, driver of the maintenance vehicle, Rail Controller and the employee who maintained the equipment may all be tested.

If an alcohol test required by this policy is not administered within two (2) hours following the accident, the Controller or Supervisor overseeing the accident shall prepare and maintain a record stating the reasons the alcohol test was not promptly administered. If an alcohol test required by this section is not administered within eight (8) hours following the accident, the Controller or Supervisor overseeing the accident shall cease attempts to administer an alcohol test and maintain the record. Records shall be submitted to FTA upon request of the Administrator (49 CFR Part 655.44).

Each safety-sensitive employee required to be drug tested under this policy is to be tested as soon as practicable but within thirty-two (32) hours of the accident. The decision not to administer a drug and/or alcohol test shall be based on the Authority's determination, using the best information available at the time of the determination that the employee's performance could not have contributed to the accident. Such a decision must be documented in detail, including the decision-making process used to reach the decision not to test. As Authority policy, the Controller or Supervisor overseeing the accident must provide the detailed documentation.

Nothing in this policy shall be construed to require the delay of necessary medical attention for the injured following an accident or to prohibit a safety-sensitive employee from leaving the scene of an accident for the period necessary to obtain assistance in responding to the accident or to obtain necessary emergency medical care.

A safety-sensitive employee who is subject to post-accident testing who fails to remain readily available for such testing, and who fails to notify the Authority or the Authority representative of their location if the employee leaves the scene of the accident prior to submission to such test, may be deemed by the Authority to have refused to submit to testing (49 CFR Part 655.44).

As Authority policy, employees required to participate in post-accident testing will be accompanied to the collection site by a Supervisor. As Authority policy, this testing applies to employees in non-safety sensitive positions where warranted under the circumstances stated in this section.

For additional guidance regarding post-accident testing, refer to **Appendix F** (FMCSA Post-Accident Testing Decision Tree), **Appendix G** (FTA Post-Accident Testing Decision Tree) and **Appendix H** (Non-DOT Post-Accident Testing Decision Tree) of this policy and bargaining agreements between each respective union and the Authority.

5.5 RETURN-TO-DUTY TESTING

Any employee who has either refused to take, or has a verified positive drug and/or alcohol test result (excluding a non-safety sensitive employee with a positive marijuana test), must report to the SAP (DOT) or Substance Abuse Counselor (non-DOT) and ultimately submit to a Return-to-Duty (Observed Collection) drug test and/or alcohol test. If the employee is required to take a

Return-to-Duty (Observed Collection) drug test, the employee will not be permitted to return to duty until a verified negative drug test result has been received from the MRO. If the employee is required to take a Return-to Duty alcohol test, the employee will not be permitted to return to duty unless the alcohol concentration is less than 0.02.

5.6 FOLLOW-UP TESTING

A safety-sensitive employee who has failed a drug and/or alcohol test and has successfully returned to duty is subject to unannounced testing (follow-up tests) pursuant to 49 CFR Part 40 Subpart O. The follow-up testing period may be extended equal to the length of “breaks in service”. Follow-up alcohol testing is only permissible just before, during, and just after the performance of a safety-sensitive function.

As Authority policy, all non-safety-sensitive employees who have failed a drug and/or alcohol test (for any substance excluding marijuana) and have successfully returned to duty are subject to unannounced follow-up tests as ordered by a non-DOT substance abuse counselor. The follow-up testing period may be extended equal to the length of “breaks in service”.

6.1 BREATH SPECIMEN COLLECTION PROCEDURES

All specimen collection and testing procedures will be conducted according to the procedures put forth in 49 CFR Part 40, as amended.

6.2 URINE SPECIMEN COLLECTION PROCEDURES

All specimen collection and testing procedures will be conducted according to the procedures put forth in 49 CFR Part 40, as amended.

If a donor has a shy bladder, the donor has five days to obtain a medical evaluation from a provider acceptable to the MRO to determine that there is a medical explanation for the inability to provide a specimen. An employee who was unable to provide a urine specimen due to a confirmed shy bladder may be subject to other tests, as determined by the MRO.

6.3 DILUTE SPECIMEN

If the MRO informs the Authority’s DER that a negative drug test was dilute, the Authority will direct the employee to take another test. When the Authority directs the employee to take another test, the result of the second test – not that of the original test – becomes the test of record, on which the Authority will rely for purposes of a dilute specimen report from the MRO.

NOTE: For certain negative-dilute tests with a creatinine concentration greater than or equal to 2 mg/dL, but less than or equal to 5 mg/dL, a recollection is required under direct observation. If the Authority directs the employee to take

another test and the employee declines to do so, the employee will be considered as having refused the test under DOT agency regulations (49 CFR Part 40.197).

As Authority policy, donors who provide a dilute specimen for a pre-employment drug test prior to initial employment must provide a second specimen.

6.4 COLLECTION UNDER DIRECT OBSERVATION

1. A directly observed collection procedure is the same as a routine collection procedure with the additional requirement that an observer physically watches the employee urinate into the collection container. An observed collection is required when:
 - The employee attempts to tamper with their specimen at the collection site.
 - A. The specimen temperature is outside the acceptable range;
 - B. The specimen shows signs of tampering ~ unusual color/odor/characteristic; or
 - C. The collector finds an item in the employee's pockets or wallet, which appears to be brought into the site to contaminate a specimen; or the collector notes conduct suggesting tampering.
 - The MRO orders the direct observation because:
 - A. The employee has no legitimate medical reason for certain atypical laboratory results; or
 - B. The employee has a negative-dilute test result with a creatinine concentration greater than or equal to 2 mg/dL but less than or equal to 5 mg/dL; or
 - C. The employee's positive or refusal [adulterated/substituted] test result had to be cancelled because the split specimen test could not be performed (for example, the split was not collected).
 - The test is a Follow-Up test or a Return-to-Duty test.
2. The observer must be the same identified gender as the employee and shall not be a direct supervisor or peer.
3. If the collector is not the observer, the collector must instruct the observer about the procedures for checking the employee for prosthetic or other devices designed to carry "clean" urine and urine substitutes AND for watching the employee urinate into the collection container.
4. Failure of the employee to permit any part of the direct observation procedure is a refusal to test.
5. As Authority policy, all non-safety-sensitive employees will be subject to the procedures for "Collection Under Direct Observation" as set forth herein. Non-DOT CCFs are used for all tests performed for non-safety-sensitive employees.

6.5 SPLIT SPECIMEN

When the MRO notifies an employee of a verified positive drug test result or refusal to test (because of adulteration or substitution), the employee will have seventy-two (72) hours from the time of notification to request a test of the split specimen. The request may be verbal or in writing. If a split specimen from a positive test is unsuitable or unavailable for testing when requested, the donor must have a repeat collection under direct observation (49 CFR Part 40.201(e)).

Removal of the employee from a safety-sensitive position will not be stayed pending the result of the test of the split specimen. If the result of the test of the split specimen fails to reconfirm the presence of the drugs or drug metabolites found in the primary specimen, the MRO will cancel the test and report the cancellation to the Authority.

As Authority policy, the employee will be made whole for time lost from work if the result of the split specimen fails to confirm the presence of prohibited drugs, or if the result of the repeat collection taken from the split specimen is unsuitable or unavailable is negative.

6.6 MEDICAL REVIEW OFFICER AND THE VERIFICATION PROCESS

The MRO is a licensed physician responsible for receiving the laboratory results generated by the Authority's drug testing program. The MRO must possess knowledge of substance abuse disorders and have appropriate medical training to interpret and evaluate an individual's confirmed positive test result together with their medical history and any other relevant biomedical information.

The MRO has the responsibility to do the following:

- Protect the confidentiality of the drug testing information
- Act as an independent and impartial "gatekeeper" and advocate for the accuracy and integrity of the drug testing process
- Provide quality assurance review of the drug testing process for the specimens under their purview
- Determine whether there is a legitimate medical explanation for confirmed positive, adulterated, substituted, or invalid drug test results from the laboratory
- Personally contact the employee to discuss a confirmed positive, adulterated, substituted, or invalid test result from the laboratory (49 CFR Part 40.131). Notify the employee of their right to have the split specimen tested (49 CFR Part 40.153).
- Follow CCF procedures to confirm positive, adulterated, substituted, or invalid drug test results (49 CFR Part 40.129).
- Notify the DER of a verified positive result in a timely manner.
- Notify the DER when retests are required.
- If the employee provides an adequate explanation for drug results that are confirmed positive by the laboratory, notify the Drug and Alcohol Program Manager (DAPM)/DER of a verified negative result.
- Raise fitness-for-duty (NYS 19-A) considerations with the Authority's

Medical Department even if there is a legitimate medical explanation and verification of a drug test to be negative (49 CFR Part 40.327).

7.1 COMPLIANCE WITH TESTING REQUIREMENTS

As Authority policy, all employees will be subject to urine drug testing and breath alcohol testing. Any safety-sensitive employee who refuses to comply with a request for testing shall be removed from duty, and the employee will be referred to the SAP for evaluation. Failure of an employee to obtain an SAP evaluation and/or failure to follow the SAP's recommended treatment plan will be cause for termination of employment. Any safety-sensitive employee who is suspected of falsifying test results through tampering, contamination, adulteration, or substitution will be required to undergo an observed collection. Verification of these actions will result in the employee's removal from duty.

Any non-safety-sensitive employee who refuses to comply with a request for testing shall be removed from duty and the employee will be referred to a substance abuse counselor for evaluation.

Employees who refuse to submit to alcohol and/or drug testing will be subject to the same consequences as a positive test. The definitions of the behaviors that constitute a refusal to submit to a test are:

- Failure to provide sufficient quantities of breath to be tested without a genuine inability to provide such quantities of breath as determined by a medical evaluation acceptable to the DAPM.
- Failure to provide sufficient quantities of urine as required by 49 CFR Part 40, without a legitimate medical explanation acceptable to the MRO.
- Failure to attempt to provide a breath or urine specimen.
- In a case where post-accident testing is required, failure to remain readily available for drug and alcohol testing. This includes an employee's failure to notify the Authority or Authority representative of their location if the employee leaves the scene of the accident prior to submission to a drug and/or alcohol test (49 CFR Part 655.44).
- Failure to permit the monitoring of specimen donation when so required (49 CFR Part 40.69(g)).
- Failure to sign the certification on Step 2 of the ATF form (49 CFR Part 40.261).
- Failure to appear for any test (except for pre-employment test) at the time specified by the Authority (49 CFR Part 40.191).
- Failure to remain at the testing site until the testing process is complete, provided that an employee who leaves the testing site before the testing process commences (see 49 CFR Parts 40.63 (c) and 40.243 (a)) for a pre-employment test is not deemed to have refused to test (CFR 49 Parts 40.191(a)(2) and 40.261(a)(2)).

- Failure to undergo a medical examination or evaluation process, as directed by the MRO as part of the verification process, or as directed by the DER under 49 CFR Part 40.193 (d). In the case of a pre-employment drug test, the employee is deemed to have refused to test on this basis only if the pre-employment test is conducted following a contingent offer of employment (49 CFR Part 40.191(a)(7)).
- Failure to undergo a medical examination or evaluation, as directed by the Authority as part of the insufficient breath procedures outlined at 49 CFR Part 40.265 (c), (49 CFR Part 40.261(a)(5)).
- Failure to cooperate with any part of the testing process (e.g., refusing to empty pockets when so directed by the collector, failure to wash hands after being directed to do so, behaving in a confrontational way that disrupts the collection process) (49 CFR Parts 40.191 (a)(8) and 40.261 (a) (7)).
- Failure to take a second test required by the Authority or collector (49 CFR Part 40.191(a)(6)).
- Verification by the MRO that a drug test has been adulterated or substituted (49 CFR Part 40.133).
- An admission to the collector or MRO by the employee that the employee has adulterated or substituted their specimen.
- Failure to permit an observed collection and/or failure to follow the observer's instructions to raise and lower their clothing and to turn around to permit the observer to determine if the employee has a prosthetic or other device that could be used to interfere with the collection process.
- Possession of or wearing a prosthetic or other device that could be used to interfere with the collection process.

As Authority policy, the conditions listed above will also apply as a refusal to take Authority-authorized non-DOT tests.

AS AUTHORITY POLICY, ALL EMPLOYEES WILL BE SUBJECT TO TERMINATION AS A RESULT OF:

- Refusal to comply with an SAP or NON-DOT substance abuse counselor referral after having tested positive for drugs and/or alcohol, or
- Failure of a post-accident drug and/or evidential breath alcohol test when a fatality is involved, or
- Failure to pass a drug and/or evidential breath alcohol test administered under this Drug and Alcohol Policy for a second time, or
- Failure to remain in compliance with a Continued Employment Agreement, or
- Failure to pass a drug and/or evidential breath alcohol test administered under this Drug and Alcohol Policy, from date of new hire to end of probation period.

7.2 ALCOHOL

All employees are prohibited from consuming alcohol while performing their duties, and within four (4) hours of reporting for duty. On-call employees are prohibited from consuming alcohol during their specified on-call hours. In accordance with 49 CFR 655.33 regarding on-call employees, the Authority prohibits the consumption of alcohol for the specified on-call hours of each safety-sensitive employee who is on-call. The procedure shall include:

1. The opportunity for the safety-sensitive employee to acknowledge the use of alcohol at the time the employee is called to report to duty and the inability to perform their safety-sensitive function;
2. The requirement that the safety-sensitive employee take an alcohol test, if the safety-sensitive employee has acknowledged the use of alcohol but claims ability to perform their safety-sensitive function. No employee shall be permitted to perform or continue to perform their duties if the employee has an alcohol concentration of 0.02 or greater in their system. Any employee whose alcohol test results in a confirmed breath alcohol concentration of 0.02 or greater shall be removed from their safety-sensitive position. Any employee with a breath alcohol concentration of 0.04 or greater will be referred to and told about educational and rehabilitation programs through an SAP. An employee involved in an accident is subject to alcohol testing for a period of eight (8) hours following the accident (49 CFR Part 655).

Article 19-A of the NYS Motor Vehicle and Traffic Law prohibits employees whose positions require 19-A certification from operating or having control of a bus or rail car when having consumed alcohol within six (6) hours of reporting for duty.

Alcohol use by all employees required to take a post-accident alcohol test is prohibited during the eight (8) hours immediately following the accident, or until the employee undergoes a post-accident alcohol test, whichever occurs first. This includes alcohol in any form, e.g., in beverages, medication or food. Claims of ingesting alcohol in any form after an accident but before being tested will NOT be considered as a valid explanation for a positive test.

Positive Test Result for Alcohol

FTA Consequences

Following a positive drug or alcohol (BAC at or above 0.04) test result or test refusal, the employee will be immediately removed from safety-sensitive duty and referred to a Substance Abuse Professional.

Following a BAC of 0.02 or greater, but less than 0.04, the employee will be immediately removed from safety-sensitive duties until the start of the employee's

next regularly scheduled duty period (but for not less than eight hours) unless a retest results in the employee's alcohol concentration being less than 0.02.

FMCSA Consequences

Following a positive drug or alcohol (BAC at or above 0.04) test result or test refusal, the employee will be immediately removed from safety-sensitive duty and referred to a Substance Abuse Professional (SAP).

Following a BAC of 0.02 or greater, but less than 0.04, the employee will be immediately removed from safety-sensitive duties until the start of the employee's next regularly scheduled duty period, but for not less than 24 hours following administration of the test.

- **As Authority policy**, for a second instance within two (2) years from the first failure of a test with an alcohol concentration of 0.02 or greater but less than 0.04 with no fatality, immediate removal from safety-sensitive duties, a mandatory five-day waiting period without pay, and referral to a non-DOT substance abuse counselor for evaluation. The employee will not be allowed to return to duty until a Conditions for Continued Employment Agreement has been executed and the employee has been retested for alcohol with a non-DOT breath alcohol concentration test result of less than 0.02.

A donor who fails to provide enough breath for an alcohol test has five (5) days to obtain a medical evaluation from a medical provider acceptable to the DAPM.

7.3 DRUGS

The following is a description of the consequences of a verified positive drug test result:

- Immediately after receiving notice from an MRO that an employee has a verified positive drug test result (excluding a non-safety sensitive employee with a positive marijuana test), the employee will be immediately removed from duty and referred to a Substance Abuse Professional or NON-DOT substance abuse counselor.
- If a covered employee is discharged as a consequence of a verified positive drug test result or refusal to test, the Authority shall advise the discharged employee of the resources available for evaluating and resolving problems associated with prohibited drug use (49 CFR Part 655.62).

7.4 TREATMENT REQUIREMENTS

DOT regulations require immediate removal of the employee from performing safety-sensitive duties and referral to a Substance Abuse Professional (SAP) for evaluation upon notice of:

- A positive drug test result,
- Breath alcohol concentration of 0.04 or greater.
- A refused drug and/or alcohol test

Authority policy requires immediate removal of a non-safety-sensitive employee from their workplace and referral to a Non-DOT Substance Abuse Counselor for evaluation upon notice of:

- A positive drug test result (excluding marijuana)
- Breath alcohol concentration of 0.02 or greater.
- A refused drug and/or alcohol test

Authority policy requires a mandatory five-day waiting period without pay for safety sensitive employees with a positive drug test result and/or breath alcohol concentration of 0.04 or greater and for any non-safety sensitive employee with a positive drug test result (excluding marijuana) and/or breath alcohol concentration of 0.04 or greater. The employee will not be allowed to return to duty until a Conditions for Continued Employment Agreement has been executed.

The employee will not be allowed to return to duty until they have completed the return to duty process and a return-to-duty test has been performed with verified negative test results.

Any employee who refuses or fails to comply with the SAP's or Substance abuse counselor's requirements for treatment, after care or return-to-duty directives, will be cause for termination of employment.

Use of Vacation and/or Sick Leave During EAP-Sponsored Rehabilitation

The following is Authority policy and not mandated by DOT regulations: An employee who is absent from work for an extended period of time as the result of their undergoing treatment in an EAP-sponsored rehabilitation program will be allowed to use accrued vacation and/or sick leave during this period, excluding the mandatory five-day waiting period. Employees with questions regarding this policy or who are interested in obtaining information concerning educational and rehabilitation programs related to alcohol and/or drug use/dependency should contact the EAP Office at 716- 681-4300. All inquiries are strictly confidential.

8.0 INFORMATION DISCLOSURE

Drug/alcohol testing records shall be maintained by the Authority Drug and

Alcohol Program Manager and, except as provided below or by law, the results of any drug/alcohol test shall not be disclosed without express written consent of the tested employee. The Authority will strictly adhere to all drug and alcohol testing procedures of 49 CFR Part 40 and 655 regarding standards of confidentiality and release of information.

1. The employee, upon written request, is entitled to obtain copies of any records pertaining to their use of prohibited drugs or misuse of alcohol including any drug or alcohol testing records. Covered employees have the right to gain access to any pertinent records such as equipment calibration records, and records of laboratory certifications (49 CFR Part 655.73). Employees may not have access to follow-up testing plans.
2. Records of a verified positive drug/alcohol test results shall be released to the Drug and Alcohol Program Manager, Director of Human Resources and Department Managers on a need-to-know basis.
3. Records will be released to a subsequent employer only upon receipt of a written request from the employee (49 CFR Part 655.73).
4. Records of an employee's drug/alcohol tests shall be released to the adjudicator in a grievance, lawsuit, or other proceeding initiated by or on behalf of the tested individual arising from the results of the drug/alcohol test (including, but not limited to, a Workers' Compensation, Unemployment Insurance, or other proceeding relating to a benefit sought by the safety-sensitive employee). The records will be released to the decision maker in the preceding. The information will only be released with binding stipulation from the decision maker and will make it available only to parties in the preceding.
5. Records will be released to the National Transportation Safety Board during an accident investigation (49 CFR Part 655.73).
6. Records will be released to the DOT or any DOT agency with regulatory authority over the Authority or any of its employees (49 CFR Part 655.73).
7. Records will be released if requested by a federal, state, or local safety agency with regulatory authority over the Authority or the employee.
8. If a party seeks a court order to release a specimen or part of a specimen contrary to any provision of Part 40 as amended, necessary legal steps to contest the issuance of the order will be taken.
9. The Authority shall release information regarding a safety-sensitive employee's record as directed by the specific, written consent of the employee authorizing release of the information to an identified person (49 CFR Part 655.73).

9.0 EMPLOYEE AND SUPERVISOR TRAINING

- All safety-sensitive employees are required to attend training on the effects and consequences of prohibited drug use for a minimum of sixty (60) minutes.
- Authority policy requires all employees to attend training relating to alcohol misuse and prohibited drug use for a minimum of sixty (60) minutes.
- All Supervisors are required to attend a minimum of sixty (60) minutes of training for reasonable suspicion including the signs and symptoms of prohibited drug use and an additional sixty (60) minutes on signs and symptoms of alcohol misuse.

Appendix A

Effects of Alcohol Use

Effects of Alcohol Misuse

Signs and Symptoms of Use

- Dulled mental processes/memory/concentration
- Staggering/lack of coordination
- Odor of alcohol on breath
- Possible constricted pupils
- Drowsy, sleepy, or stuporous condition
- Slowed reaction rate
- Slurred speech
- Perceptual disorder
- Inappropriate behavior – loudness, abusive language, grossly insubordinate
- Blood shot eyes, watery eyes

(Note: except for the odor, these are the general signs and symptoms of any depressant substance)

Health Effects

The chronic consumption of alcohol – average of three servings per day of beer (12 ounces), whiskey (one-ounce) or wine (six-ounce glass) over time, may result in the following health hazards:

- Decreased sexual functioning
- Dependency – up to ten percent of all people who drink alcohol become physically and/or mentally dependent on alcohol and can be termed “alcoholic”
- Fatal liver disease
- Increased cancers of the mouth, tongue, pharynx, esophagus, rectum, breast, and malignant melanoma
- Kidney disease
- Spontaneous abortion and neonatal mortality
- Birth defects
- Gastrointestinal diseases
- Pancreatitis
- Cardiovascular diseases
- Malnutrition
- Brain damage
- Accidents, murders, suicides
- Drug interaction
- Hypertension
- Arrhythmias
- Hematopoietic changes

Personal Life and Workplace Issues/Statistics

- More than 60 percent of burns, 40 percent of falls, 10 percent of boating accidents and 6 percent of private aircraft accidents are alcohol related
- Forty percent (40%) of family court cases are alcohol problem related
- The rate of separation and divorce in families with alcohol dependency problems is seven times the average
- It takes one hour for the average person (150 pounds) to process one serving of an alcoholic beverage from the body
- Impairment in coordination and judgment can be objectively measured with as little as two drinks in the body (0.030 Blood Alcohol Concentration (BAC))

A person who is legally intoxicated (BAC level of 0.08) is six (6) times more likely to have an accident than a sober person.

Methods of Intervening when an Alcohol Problem is Suspected

The following can make referrals of employees to the EAP:

- Directors, Department/Division Heads, Managers and Supervisors
- Union Executive Board Members and Stewards
- Self-referral by the employee
- It is essential that a mechanism be available to objectively address such problems in a manner that will result in a fair and rational way of dealing with such problems.
- The Authority, as an additional direct benefit, has made available the EAP for each employee and their family.
- The EAP is designed to appropriately, and in a timely manner, deal with problems, which have had a negative impact on the job performance of an employee.

Appendix B
Drug Screen Cutoff Levels

Initial Screen and Confirmatory Cut off Levels

The following are the test cut off levels currently set forth in Department of Transportation Regulations 49 CFR 40.87 for the initial screen and for the confirmatory test when the initial screen is positive:

Initial Test Analyte	Initial Test Cutoff	Confirmatory Test Analyte	Confirmatory Test Cutoff Concentration
Marijuana metabolites (THCA)	50 ng/mL	THCA	15 ng/mL.
Cocaine metabolite (Benzoylecgonine)	150 ng/mL	Benzoylecgonine	100 ng/mL.
Codeine/Morphine	2000 ng/mL	Codeine Morphine	2000 ng/mL 2000 ng/mL
Hydrocodone/Hydromorphone	300 ng/mL	Hydrocodone Hydromorphone	100 ng/mL 100 ng/mL
Oxycodone/Oxymorphone	100 ng/mL	Oxycodone Oxymorphone	100 ng/mL 100 ng/mL
6-Acetylmorphine	10 ng/mL	6-Acetylmorphine	10 ng/mL
Phencyclidine	25 ng/mL	Phencyclidine	25 ng/mL
Amphetamine/Methamphetamine	500 ng/mL	Amphetamine Methamphetamine	250 ng/mL 250 ng/mL
MDMA/MDA	500 ng/mL	MDMA MDA	250 ng/mL 250 ng/mL

The above is subject to change by the Department of Transportation.

Alcohol Test Results

Positive - Alcohol concentration 0.04 or greater

Non-Negative - Alcohol concentration 0.02 or greater but less than 0.04

Negative - Alcohol concentration less than 0.02

Appendix C
Substance Abuse Program Contact Personnel
and
DHHS-Certified Laboratory

Substance Abuse Program Contact Personnel

Medical Department

HealthWorks-WNY
1900 Ridge Road
West Seneca, NY 14224
(716) 712-0670

Medical Review Officer

DSI i3 Screen
P.O. Box 17409
Denver, CO 80217
Tel. (877) 585-7366
Fax (855) 253-5666

Employee Assistant Program (EAP)

Child & Family Services
2495 Main Street, Suite 357
Buffalo, NY 14214
(716) 681-4300

Drug and Alcohol Program Administrator/Manager (DAPM/DER)

Medical Department
Niagara Frontier Transportation Authority
Medical Office, 4th floor
181 Ellicott Street
Buffalo, NY 14203
Phone: (716) 855-7339
Fax: (716) 855-7336

HR/Medical (Alternate DER)

Niagara Frontier Transportation Authority
Medical Office, 4th floor
181 Ellicott Street
Buffalo, NY 14203
Phone: (716) 855-7337
Fax: (716) 855-7336

The above names and titles are subject to change.

DHHS-CERTIFIED LABORATORY

The Authority currently utilizes the following laboratory for evaluation and results of the primary urine specimen:

Quest Diagnostics Incorporated

400 Egypt Road

Norristown, PA 19403

(610) 631- 4600

(877) 642-2216

The laboratory is subject to change without notice.

Appendix D Definitions

DEFINITIONS AND ABBREVIATIONS OF TESTING PERSONNEL AND EQUIPMENT

Alcohol Screening Device (ASD) - approved devices as listed on the Office of Drug and Alcohol Policy and Compliance's (ODAPC's) website.

Alcohol Testing Form (ATF) - the form utilized to document alcohol testing and results.

Breath Alcohol Technician (BAT) - a person who instructs and assists employees in the alcohol testing process and operates an evidential breath-testing device.

Chain of Custody Form (CCF) - the form used to document the handling of the urine specimen from the time the employee gives the specimen to the collector until the specimen is destroyed.

Collection site – a place designated by the employer where individuals present themselves for the purpose of providing a specimen of their urine to be analyzed for the presence of drugs.

DOT, the Department, DOT Agency - all DOT agencies, including, but not limited to, FAA, Federal Railroad Administration (FRA), FMCSA, FTA, Pipeline and Hazardous Materials Safety Administration (PHMSA), NHTSA, Office of the Secretary (OST), and any designee of a DOT agency.

Non-Negative - alcohol concentration of 0.02 or greater but less than 0.04

NFTA or Authority policy (NOT MANDATED BY FTA POLICY) - policies adopted by the Board of Commissioners of the NFTA.

Designated Employer Representative (DER) - an employee authorized by the Authority and DAPM to take immediate action(s) to remove employees from safety-sensitive duties, or cause employees **to be removed from safety-sensitive duties**, and to make required decisions in the testing and evaluation processes. The DER also receives test results and other communications for the Authority, consistent with the requirements of this process. Service agents cannot act as DERs. The DAPM is always the primary DER. The designation of any additional DERs must be documented and communicated by the DAPM.

DHHS Certified Laboratory - a laboratory certified by the DHHS, which provides positive and negative test results to the Medical Review Officer.

Evidential Breath-Testing Device (EBT) – a device approved by NHTSA for the evidential testing of breath at the .02 and .04 alcohol concentrations, placed on NHTSA's Conforming Products List (CPL) for "Evidential Breath Measurement Devices" and identified on the CPL as conforming with the model specifications available from NHTSA's Traffic Safety Program. List of approved devices as listed on ODAPC's website.

Medical Review Officer (MRO) - a licensed physician responsible for receiving laboratory results generated by an employer's drug testing program; must possess knowledge of substance abuse disorders and have appropriate medical training to interpret and evaluate an individual's confirmed positive test result together with their medical history and any other relevant biomedical information.

Mass Transit Vehicle- bus, electric bus, van, automobile, rail car, trolley car, trolley bus, or vessel.

Authority Second Chance Policy - FTA regulations require immediate removal of the employee from safety-sensitive duties should an employee's test result for drug and/or alcohol is positive. Authority policy requires removal from the workplace, a mandatory five (5) day waiting period without pay, and referral to an SAP for evaluation. The employee will not be allowed to return to duty until a Conditions for Continued Employment Agreement has been executed, and a return-to-duty test has been performed with negative test results.

Split Specimen - in drug testing, the portion of the urine specimen that is sent to a first laboratory and retained unopened, which is then transported to a second laboratory in the event that the employee requests that it be tested following a verified positive test result of the primary specimen, or a verified adulterated or substituted test result.

Substance Abuse Professional (SAP) - a person who evaluates employees who have violated a DOT drug and alcohol regulation and makes recommendations concerning education, treatment, follow-up testing, and after care. A licensed physician (medical doctor or doctor of osteopathy) or licensed or certified psychologist, social worker, employee assistance professional, state-licensed, or certified marriage and family therapist, or drug and alcohol counselor (certified by an organization listed at <https://www.transportation.gov/odapc/sap>) with knowledge of, and clinical experience in, the diagnosis and treatment of drug and alcohol related disorders.

Appendix E

Provisions for employees covered by 49 CFR Part 382, Controlled Substances and Alcohol Use and Testing - Federal Motor Carrier Safety Administration (FMCSA)

Pre-employment Testing

- Pre-employment testing shall be performed as set for in 49 CFR part 382.301.
- As Authority policy, a verified negative result of a pre-employment test is valid only for a period of thirty (30) days from the confirmation date, as determined by the MRO. If an applicant/employee takes a pre-employment test and receives a verified negative result but does not begin working in or return to their safety-sensitive job within thirty (30) days from the confirmed negative result, then the employee must take a Non-DOT pre-employment test and receive a negative result before starting work for the Authority.

Random Testing

- Testing rates will meet or exceed the minimum annual percentage rate set each year within each DOT agency. The current year testing rates for FTA and FMCSA can be viewed online at <http://www.transportation.gov/odapc/random-testing-rates>.

Post-Accident Testing

The below **DOT/FMCSA Table** is used to determine when a DOT/FMCSA test shall be performed. This table is used only for accidents occurring on a public access road.

DOT/FMCSA Table	Citation issued to the CMV driver	Test must be performed by employer
i. Human fatality	YES	YES
	NO	YES
ii. Bodily injury with immediate medical treatment away from the scene	YES	YES
	NO	NO
iii. Disabling damage to any motor vehicle requiring tow away	YES	YES
	NO	NO

The below **Non-DOT Table** is used to determine when a **Non-DOT** test shall be performed. This table is used only for accidents occurring on Authority property with restricted public access.

Non-DOT Table	Citation issued to the CMV driver	Test must be performed by employer
i. Human fatality	YES	YES
	NO	YES
ii. Bodily injury with immediate medical treatment away from the scene	YES	YES
	NO	YES
iii. Disabling damage to any motor vehicle requiring tow away	YES	YES
	NO	YES
iv. Incur Substantial Damage to any vehicle or property	YES	YES
	NO	YES

NOTE: Please contact DAPM for case-by-case clarification as needed

Reasonable Suspicion Testing

Reasonable suspicion testing shall be performed as set for in 49 CFR Part 382.307.

BAC 0.020-0.039 Alcohol Prohibitions

As per 49 CFR Part 382.505(a), no driver tested under the provisions of subpart C of this part who is 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 for an employer, including driving a commercial motor vehicle, nor shall an employer permit the driver to perform or continue to perform safety-sensitive functions, until the start of the driver's next regularly scheduled duty period, but not less than twenty-four (24) hours following administration of the test.

Appendix F- FMCSA Post Accident Decision Making

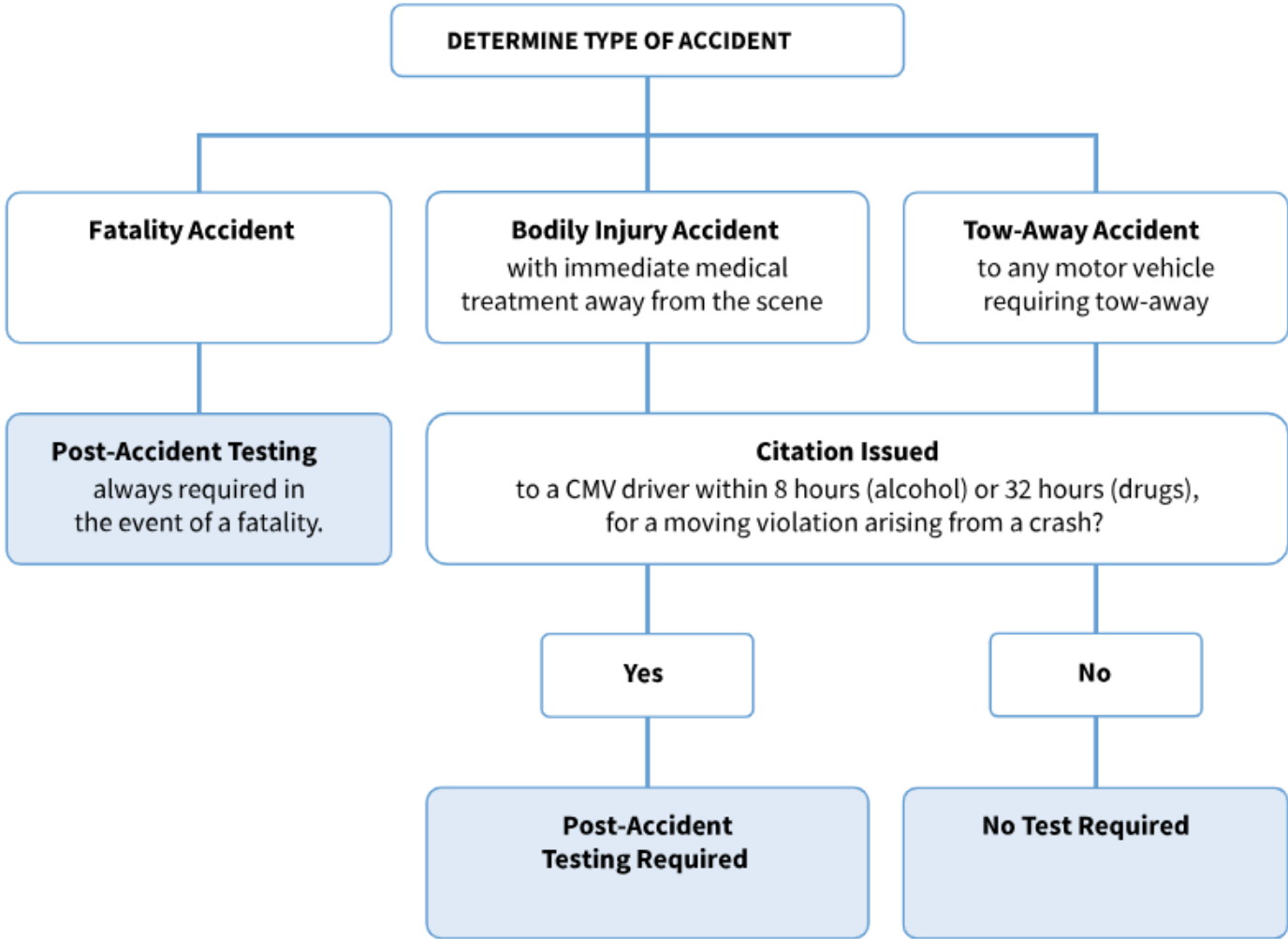
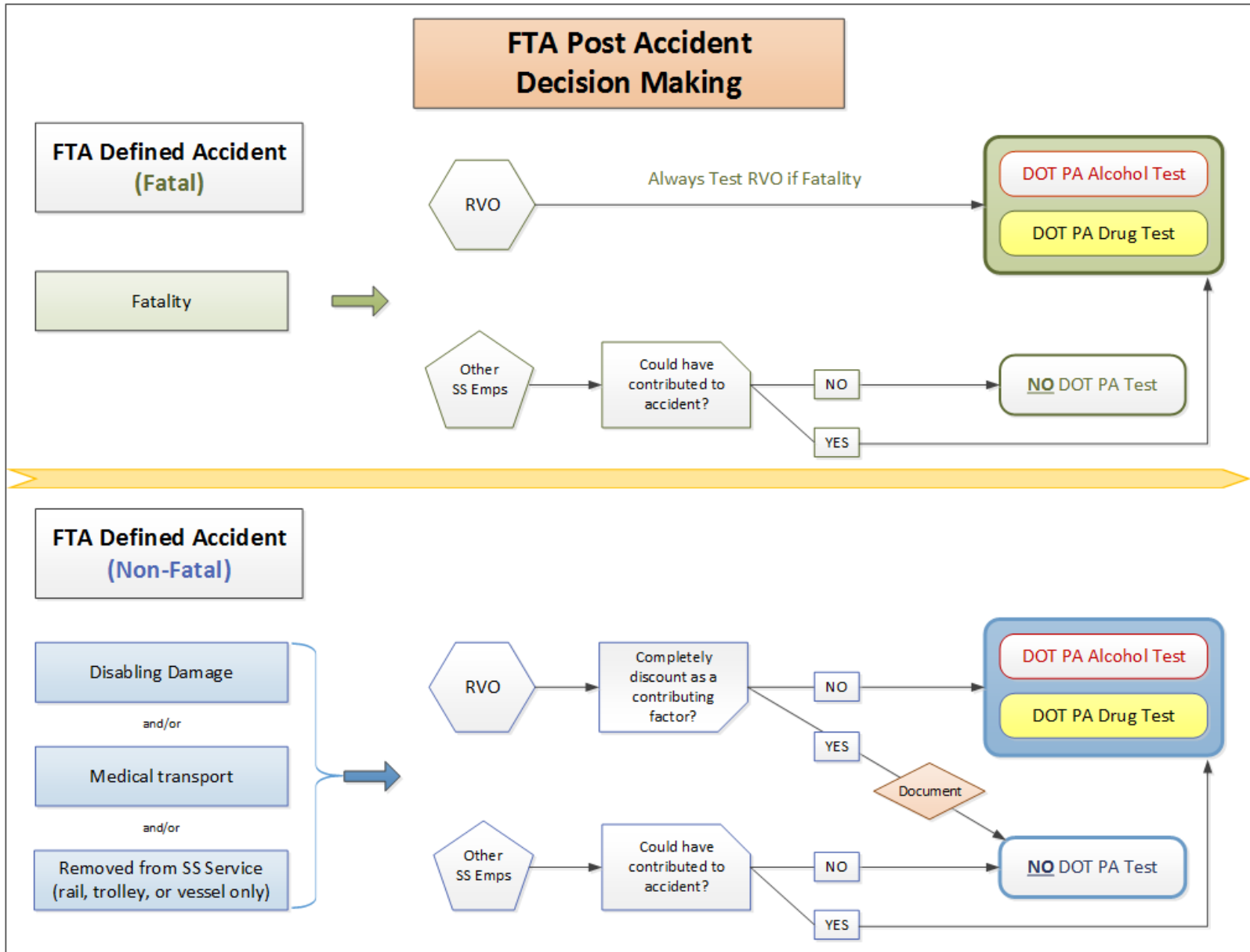
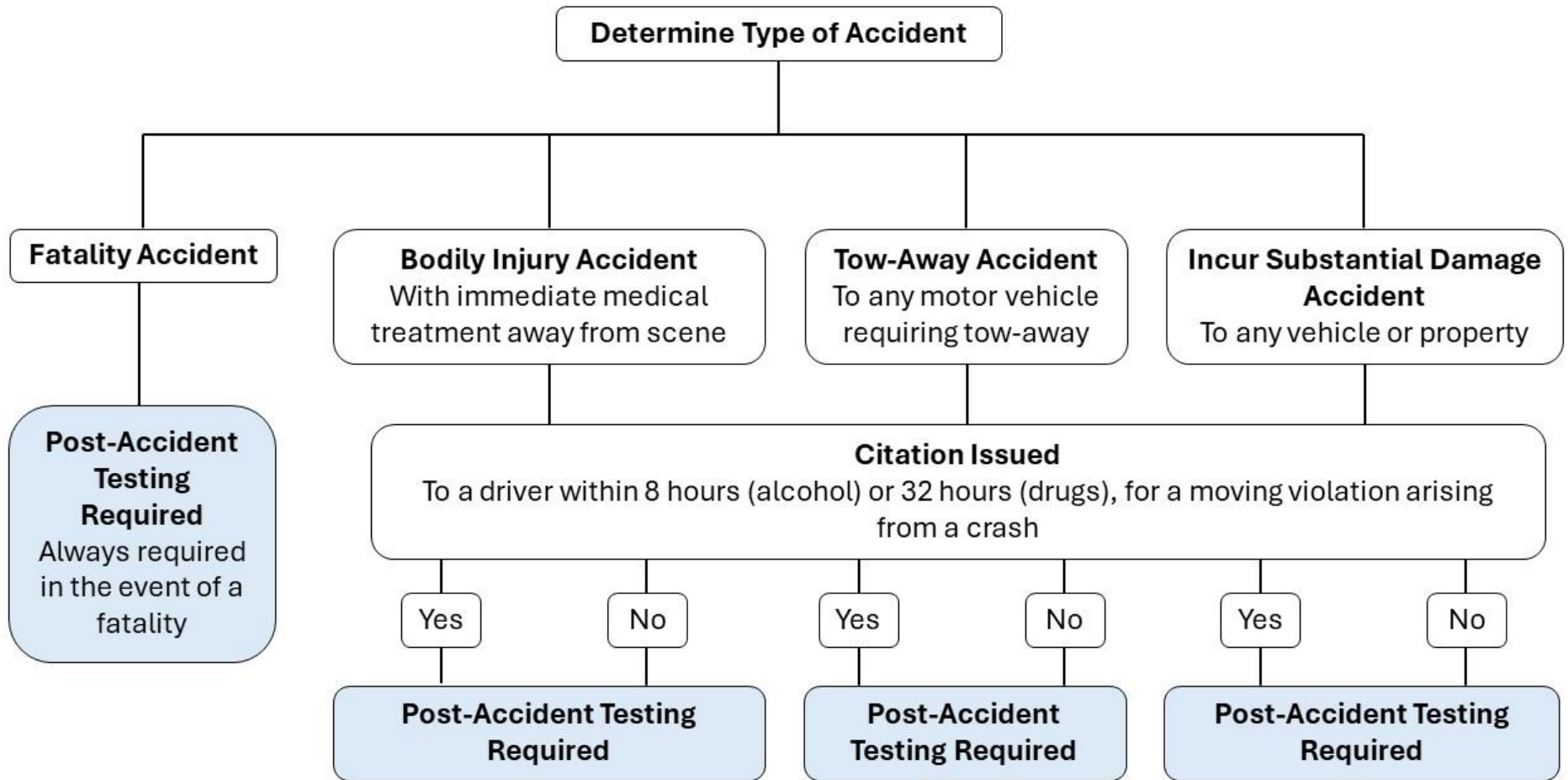


Figure 1: Post-Accident testing Flow Chart

Appendix G- FTA Post Accident Decision Making



Appendix H - Non-DOT Post Accident Decision Making



Appendix I - Job Titles whose Duties Require the Performance of Safety-Sensitive Functions

FTA Covered Safety Sensitive Positions:

ADA Controller	Metrolink Operator
Assistant Vehicle Elect. (ITS) Supr.	Night Garage Supervisor
Assistant Vehicle Maintenance Supr.	Operator
Assistant Rail Car Supervisor	Police Chief
Assistant Supervisor, Electrical Power	Police Officer
Assistant Supervisor, Systems/Facilities	Police Officer Trainee
Body Shop Supervisor	Rail Controller
Booker	Rail Supervisor
Bus Controller	Senior Clerk AAA
Bus Shelter Technician	Senior Investigator
Bus Supervisor	Senior Stock Clerk
Captain	Sign and Loop Person
Communications/Fare Coll. Supervisor	Specialist
Deputy Police Chief	Senior Bus Shelter Tech II
Detective	Stock Clerk (Bus & Rail)
Electric Power Supervisor	Supervisor, Capital Projects
Helper (Bus & Rail)	Supervisor, Systems & Facilities
Helper with Tools (Bus & Rail)	Supervisor, Operations & Maintenance
Leader	Technical Trainer/Quality Assurance
Lieutenant	Train Control Supervisor
Machine Shop Supervisor	Unit Change/Bldg. Maintenance Supervisor
Maintenance Operations Coordinator	Vault Transport Driver
Maintenance Shift Supervisor	Vehicle Electronics (ITS) Supervisor
Mechanic A	Vehicle Maintenance Supervisor
Mechanic B	
Mechanic C	

FMCSA Safety Sensitive Covered Positions:

Airfield Supervisor
Airport Attendant I
Airport Attendant II
Airport Operations Specialist
Assistant Motor Equipment Supervisor
Electrical Supervisor
Electrician
Fieldperson
Fuel Farm Technician
Groundsperson I
Groundsperson II
Landscape Supervisor BNIA
Lead Mechanic
Maintenance Facility Supervisor
Maintenance Supervisor, NFIA
Mechanic
Senior Airport Attendant

Fire Chief
Assistant Fire Chief
Aircraft/Fire/Rescue Officer

NFTA Officers:

Executive Director
General Counsel
Chief Financial Officer