

Typical DOT Compliance Pitfalls

1) The Policy is out of date	
2) Employees have not signed acknowledgement of the policy	
3) Failure to have a negative test result for every single employee on file	
4) Employee files and records not kept for required time period FMCSA Requirements	
1 Year: Negative drug test results	
Alcohol test results less than 0.02	
2 Years: Records related to the alcohol and drug collection process	
3 Years: Previous employer records	
Employee evaluation and referrals to SAPs	
Follow-up tests and follow-up schedules	
Refusals to test	
Alcohol test results 0.02 or greater	
Verified positive drug test results	
3 Years: EBT calibration documentation	
Indefinite period: Education and Training records, plus two years after ceasing to perform functions.	
5) Employee files are not in locked cabinet	
6) No Designated Employee Representative (DER)	
7) DER has not received proper training or is unfamiliar with the regulations	
8) Employee training/education has not been done	
9) Random testing is not done quarterly (4 times a year)	
10) Random selection process is not legitimate and not documented	
11) Not everybody who was selected for a random test is being tested (no substitution)	
12) Minimum random selection percentages are not being met	

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