

§§ 219.801–219.803 [Reserved]

### Subpart J—Recordkeeping Requirements

#### § 219.901 Retention of alcohol testing records.

(a) *General requirement.* In addition to the records required to be kept by part 40 of this title, each railroad must maintain alcohol misuse prevention program records in a secure location with controlled access as set out in this section.

(b) Each railroad must maintain the following records for a minimum of five years:

(1) A summary record of each covered employee's test results; and

(2) A copy of the annual report summarizing the results of its alcohol misuse prevention program (if required to submit the report under § 219.801(a)).

(c) Each railroad must maintain the following records for a minimum of two years:

(1) Records related to the collection process:

(i) Collection logbooks, if used.

(ii) Documents relating to the random selection process.

(iii) Documents generated in connection with decisions to administer reasonable suspicion alcohol tests.

(iv) Documents generated in connection with decisions on post-accident testing.

(v) Documents verifying the existence of a medical explanation of the inability of a covered employee to provide an adequate specimen.

(2) Records related to test results:

(i) The railroad's copy of the alcohol test form, including the results of the test.

(ii) Documents related to the refusal of any covered employee to submit to an alcohol test required by this part.

(iii) Documents presented by a covered employee to dispute the result of an alcohol test administered under this part.

(3) Records related to other violations of this part.

(4) Records related to employee training:

(i) Materials on alcohol abuse awareness, including a copy of the railroad's policy on alcohol abuse.

(ii) Documentation of compliance with the requirements of § 219.23.

(iii) Documentation of training provided to supervisors for the purpose of qualifying the supervisors to make a determination concerning the need for alcohol testing based on reasonable suspicion.

(iv) Certification that any training conducted under this part complies with the requirements for such training.

#### § 219.903 Retention of drug testing records.

(a) *General requirement.* In addition to the records required to be kept by part 40 of this title, each railroad must maintain drug abuse prevention program records in a secure location with controlled access as set forth in this section.

(b) (1) Each railroad must maintain the following records for a minimum of five years:

(i) A summary record of each covered employee's test results; and

(ii) A copy of the annual report summarizing the results of its drug misuse prevention program (if required to submit under § 219.803(a)).

(2) Each railroad must maintain the following records for a minimum of two years.

(c) *Types of records.* The following specific records must be maintained:

(1) Records related to the collection process:

(i) Documents relating to the random selection process.

(ii) Documents generated in connection with decisions to administer reasonable suspicion drug tests.

(iii) Documents generated in connection with decisions on post-accident testing.

(iv) Documents verifying the existence of a medical explanation of the inability of a covered employee to provide a specimen.

(2) Records related to test results:

(i) The railroad's copy of the drug test custody and control form, including the results of the test.

(ii) Documents presented by a covered employee to dispute the result of a drug test administered under this part.

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(3) Records related to other violations of this part.

(4) Records related to employee training:

(i) Materials on drug abuse awareness, including a copy of the railroad's policy on drug abuse.

(ii) Documentation of compliance with the requirements of § 219.23.

(iii) Documentation of training provided to supervisors for the purpose of qualifying the supervisors to make a determination concerning the need for alcohol testing based on reasonable suspicion.

(iv) Certification that any training conducted under this part complies with the requirements for such training.

**§ 219.905 Access to facilities and records.**

(a) Release of covered employee information contained in records required to be maintained under §§ 219.901

and 219.903 must be in accordance with part 40 of this title and with this section. (For purposes of this section only, urine drug testing records are considered equivalent to breath alcohol testing records.)

(b) Each railroad must permit access to all facilities utilized in complying with the requirements of this part to the Secretary of Transportation, United States Department of Transportation, or any DOT agency with regulatory authority over the railroad or any of its covered employees.

(c) Each railroad must make available copies of all results for railroad alcohol and drug testing programs conducted under this part and any other information pertaining to the railroad's alcohol and drug misuse prevention program, when requested by the Secretary of Transportation or any DOT agency with regulatory authority over the railroad or covered employee.

**APPENDIX A TO PART 219—SCHEDULE OF CIVIL PENALTIES**

The following chart lists the schedule of civil penalties:

**PENALTY SCHEDULE <sup>1</sup>**

Section <sup>2</sup>	Violation	Willful violation
Subpart A—General		
219.3 Application: Railroad does not have required program .....	\$5,000	\$7,500
219.11 General conditions for chemical tests:		
(b)(1) Employee unlawfully refuses to participate in testing .....	2,500	5,000
(b)(2) Employer fails to give priority to medical treatment .....	3,000	8,000
(b)(3) Employee fails to remain available .....	2,500	5,000
(b)(4) Employee tampers with specimen .....	2,500	5,000
(d) Employee unlawfully required to execute a waiver of rights .....	2,500	5,000
(e) Railroad used or authorized the use of coercion to obtain specimens .....	.....	7,500
(g) Failure to meet supervisory training requirements or program of instruction not available or program not complete .....	2,500	5,000
(h) Urine or blood specimens provided for Federal testing were used for non-authorized testing .....	2,500	5,000
219.23 Railroad policies:		
(a) Failure to provide written notice of FRA test .....	1,000	4,000
(b) Failure to provide written notice of basis for FRA test .....	1,000	4,000
(c) Use of Subpart C form for other test .....	1,000	4,000
(d) Failure to provide educational materials .....	1,000	4,000
(e) Educational materials fail to explain requirements of this part and/or include required content .....	1,000	4,000
(f) Non-Federal provisions are clearly described as independent authority .....	1,000	4,000
Subpart B—Prohibitions		
219.101 Alcohol and drug use prohibited: Employee violates prohibition(s) .....	10,000	.....
219.103 Prescribed and over-the-counter drugs:		
(a) Failure to train employee properly on requirements .....	2,500	5,000
219.104 Responsive action:		
(a) Failure to remove employee from covered service immediately .....	3,000	8,000
(b) Failure to provide notice for removal .....	1,000	4,000
(c) Failure to provide prompt hearing .....	2,000	7,000
(d) Employee improperly returned to service .....	2,000	7,000
219.105 Railroad's duty to prevent violations:		