16th Annual FTA Drug and Alcohol Program National Conference

March 14-16, 2023

MIS

(em-eye-ess)
Management Information System

FTA Drug & Alcohol Testing Trends

Mike Redington
US DOT – FTA D&A Project Office

U.S. Department of Transportation
Federal Transit Administration

FTA
FEDERAL TRANSIT ADMINISTRATION

Speaker

- Michael Redington – US DOT / Volpe Center, Cambridge, MA
- (617) 494-2197
- michael.redington@dot.gov

MIS = Management Information System

- Summary of the results of anti-drug and alcohol abuse program (655.72)
  - Count of FTA Covered Employees
  - Drug Testing Results – FTA Authorized
  - Alcohol Testing Results – FTA Authorized
  - Cancelled - FTA Authorized Tests

- DAMIS = Drug and Alcohol Management Information System
  - Internet Application required to submit MIS data = https://DAMIS.DOT.GOV

Regulations

- 49 CFR Part 655.72:
  - Annually “prepare and maintain” summary
  - Submit – when requested (March 15th)
  - Grantee / Recipient must:
    - Be responsible
    - Ensure accuracy
    - Ensure timeliness
      - » For each report submitted (Employer, Contractor, Third Party, Consortium, Joint Enterprise)

- 49 CFR PART 40.26:
  - Use form in Appendix of Part 40

Help

FTA Drug & Alcohol Hotline

- (617) 494-6336

FTA.DAMIS@DOT.GOV

FTA Drug & Alcohol Project Office

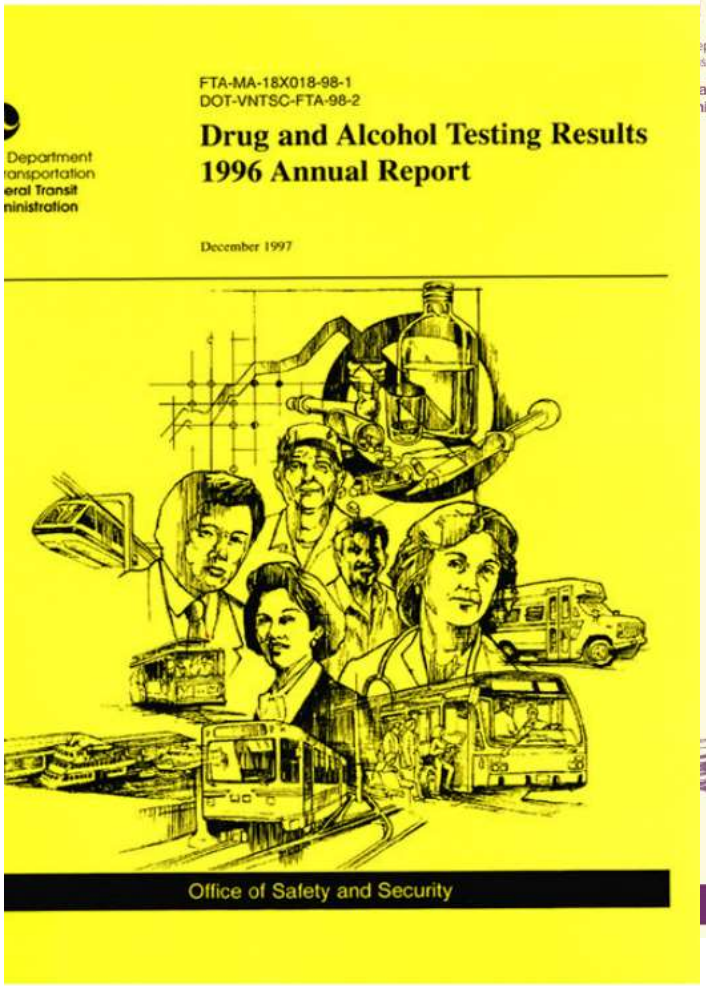
https://transit-safety.fta.dot.gov/DrugAndAlcohol/DAMIS/default.aspx

Help

- https://transit-safety.fta.dot.gov/DrugAndAlcohol/DAMIS/default.aspx
  - Video: How to Submit Your Annual MIS Report
  - MIS Instructions
  - MIS Reporting Guidance
- FTA D&A Hotline (617) 494-6336, FTA.DAMIS@DOT.GOV
- FTA D&A *Updates* Newsletter – MIS Guidance, MIS Data, MIS Common Errors
  - https://transit-safety.fta.dot.gov/DrugAndAlcohol/Newsletters/Topics.aspx
- ODAPC/OST MIS Guidance
  - https://www.transportation.gov/odapc/MISreporting

MIS Data – Where Available

- DOT Public Drug and Alcohol Database (2003 – 2021)
  - https://www.Transportation.Gov/odapc/dot_agency_mis_data
  - The database shall include each mode of transportation:
    - (1) the total number of drug and alcohol tests by type of substance tested;
    - (2) the drug and alcohol test results by type of substance tested;
    - (3) the reason for the drug or alcohol test, such as pre-employment, random, post-accident, reasonable suspicion or cause, return-to-duty, or follow-up, by type of substance tested; and
    - (4) the number of individuals who refused testing.
- FTA Drug & Alcohol Annual Reports & Results Summary
  - https://transit-safety.fta.dot.gov/DrugAndAlcohol/Publications/Default.aspx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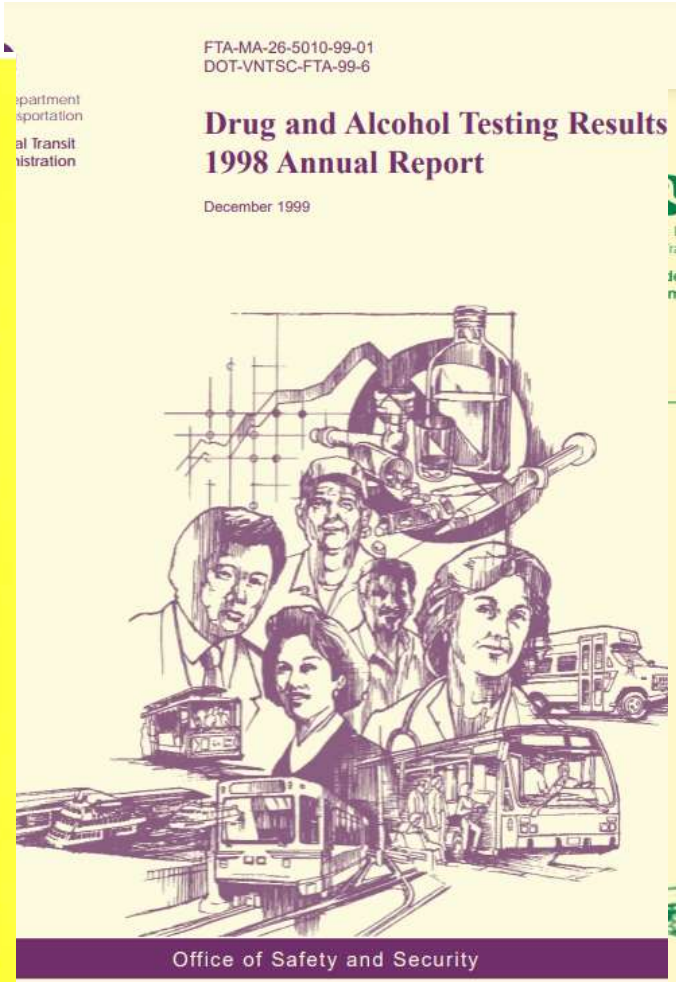
DOT-VNTSC-FTA-98-2
Drug and Alcohol Testing Results
1996 Annual Report
December 1997
Office of Safety and Security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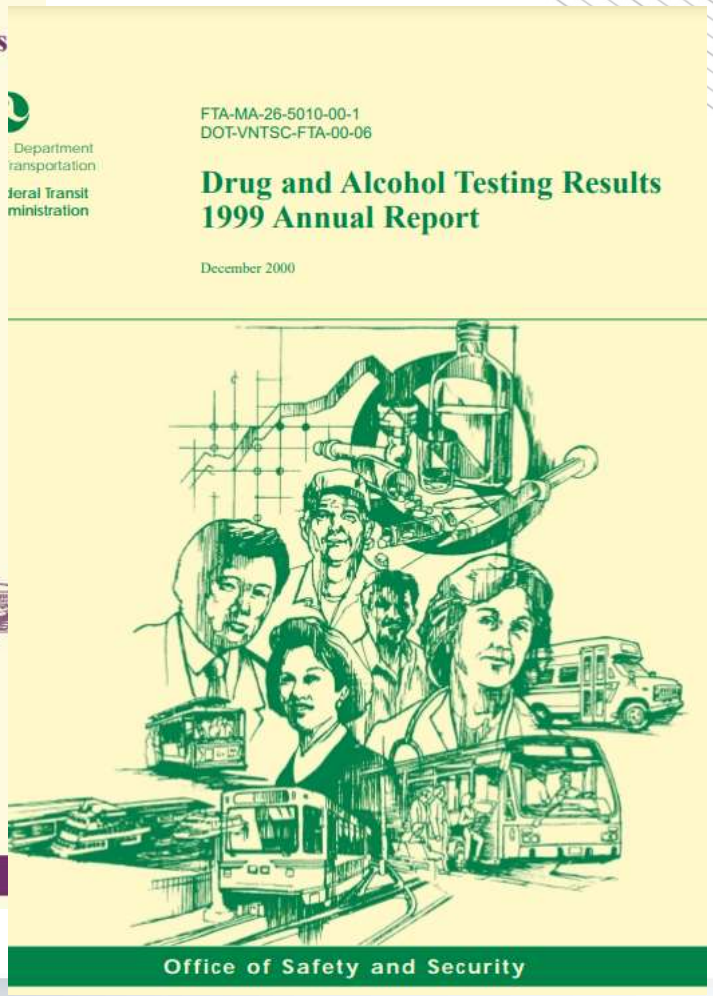
Drug and Alcohol Testing Results
1998 Annual Report
December 1999
Office of Safety and Security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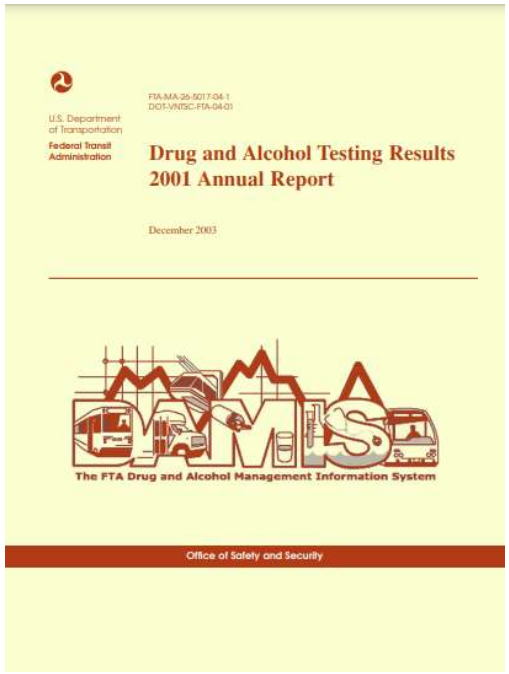
Drug and Alcohol Testing Results
1999 Annual Report
December 2000
Office of Safety and Security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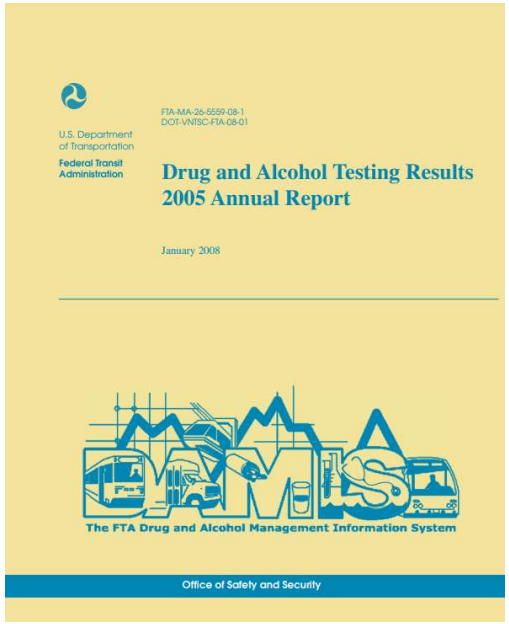
DOT-VNTSC-FTA-04-01
U.S. Department of Transportation
Federal Transit Administration
Drug and Alcohol Testing Results
2001 Annual Report
December 2003
The FTA Drug and Alcohol Management Information System
Office of Safety and Security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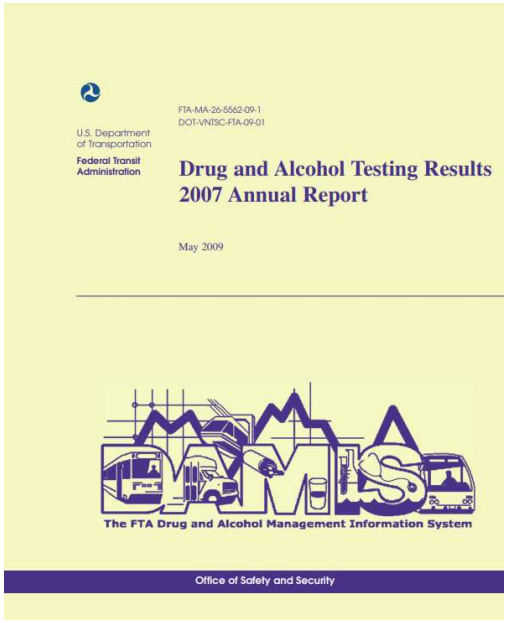
DOT-VNTSC-FTA-08-01
U.S. Department of Transportation
Federal Transit Administration
Drug and Alcohol Testing Results
2005 Annual Report
January 2008
The FTA Drug and Alcohol Management Information System
Office of Safety and Security


FTA-MA-26-5562-09-1
DOT-VNTSC-FTA-09-01
U.S. Department of Transportation
Federal Transit Administration
Drug and Alcohol Testing Results
2007 Annual Report
May 2009
The FTA Drug and Alcohol Management Information System
Office of Safety and Security

FTA Drug and Alcohol Management Information System

2015 Results Summary

U.S. Department of Transportation
Federal Transit Administration

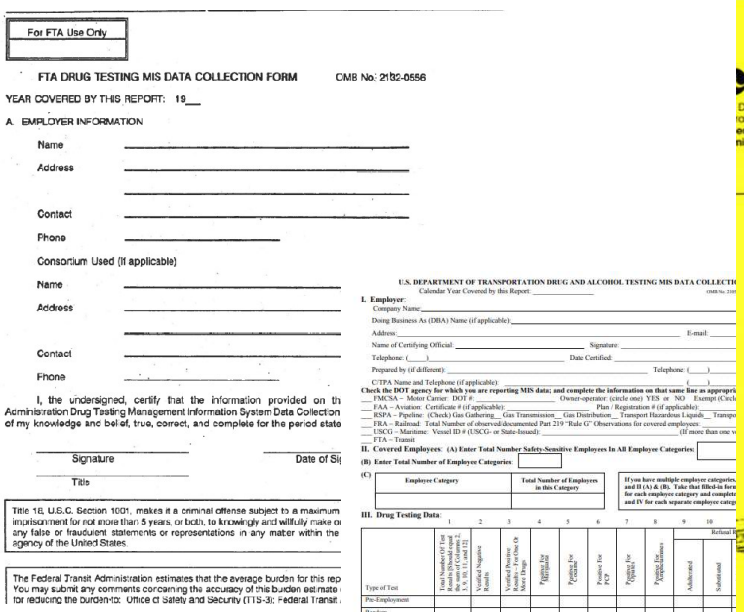
U.S. Department of Transportation
Federal Transit Administration

Federal Transit Administration (FTA)
Drug and Alcohol Management Information System

2020 Results Summary

The contents of this document do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies. Grantees and sub grantees should refer to FTA's statutes and regulations for applicable requirements.

History of the MIS



For FTA Use Only

FTA DRUG TESTING MIS DATA COLLECTION FORM OMB No: 2132-0556

YEAR COVERED BY THIS REPORT: 19__

A. EMPLOYER INFORMATION

Name

Address

Contact

Phone

Consortium Used (if applicable)

Name

Address

Contact

Phone

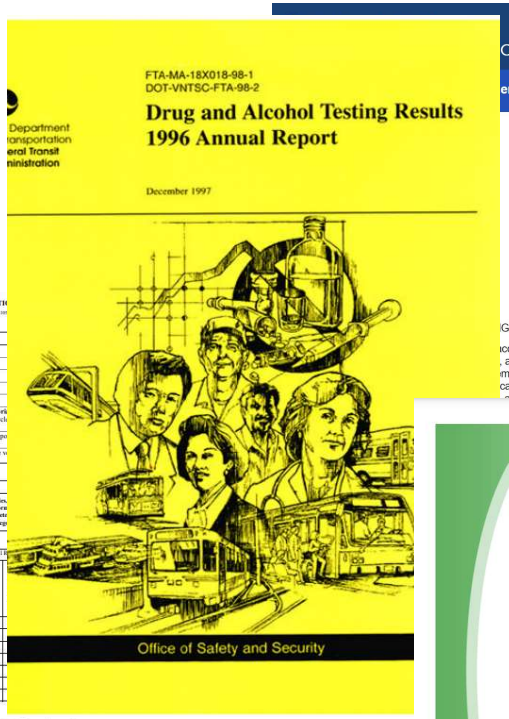
I, the undersigned, certify that the information provided on th
Administration Drug Testing Management Information System Data Collection
of my knowledge and belief, true, correct, and complete for the period state

Signature Date of Si

Title

Title 18, U.S.C. Section 1001, makes it a criminal offense subject to a maximum
imprisonment for not more than 5 years, or both, to knowingly and willfully make o
any false or fraudulent statements or representations in any mater within the
agency of the United States.

The Federal Transit Administration estimates that the average burden for this rep
You may submit any comments concerning the accuracy of this burden estimate
for reducing the burden to: Office of Safety and Security (TTS-3); Federal Transit



FTA-MA-18X018-98-1
DOT-VNTSC-FTA-98-2

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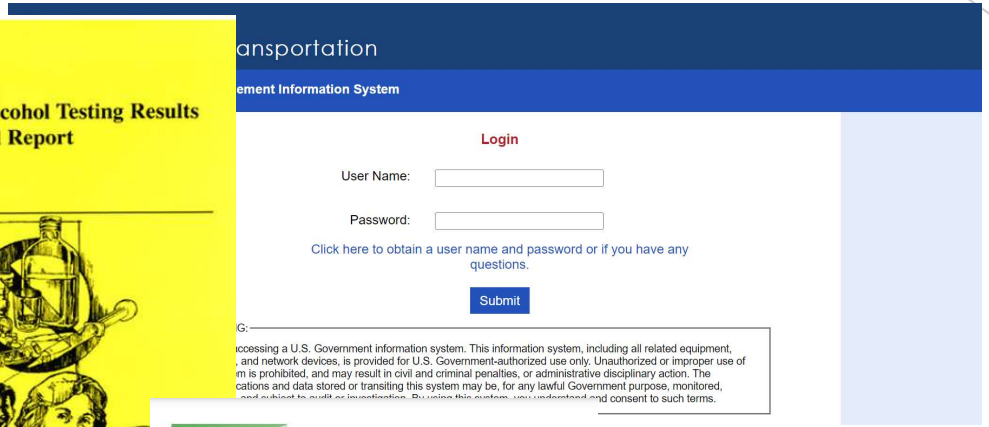
Drug and Alcohol Testing Results
1996 Annual Report

December 1997

Office of Safety and Security



ansportation

ement Information System

Login

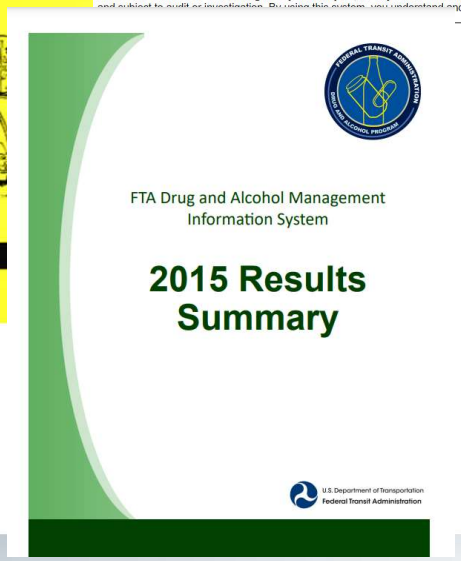
User Name:

Password:

Click here to obtain a user name and password or if you have any questions.

Submit

ccessing a U.S. Government information system. This information system, including all related equipment, , and network devices, is provided for U.S. Government-authorized use only. Unauthorized or improper use of m is prohibited, and may result in civil and criminal penalties, or administrative disciplinary action. The cations and data stored or transiting this system may be, for any lawful Government purpose, monitored, and consent to such terms.



FTA Drug and Alcohol Management Information System

2015 Results Summary

U.S. Department of Transportation
Federal Transit Administration

History of the MIS – The Early Years

- 1994 MIS Forms Published
  - MIS 'EZ' Form (no positives) (2 Pages)
  - MIS 'Long Form (has positives) (5 Pages)
  - 4 Separate Forms – Drug EZ, Drug Long and Alcohol EZ, Alcohol Long

- 1995 - 49 CFR 653 & 654 - Requirement to Submit Annual Testing Results
  - 1995 Drug and Alcohol Testing Results – 'Large Operators' (UZA >= 200,000)
  - Paper Forms Mailed to FTA, Washington DC

- 1996 – 49 CFR Part 653 & 654 - Requirement for All to Submit Annual Testing Results
  - 1996 Drug and Alcohol Testing Results – All Recipients of FTA Funds
  - Paper Forms Mailed Directly to US DOT / Transportation System Center (TSC), Cambridge, MA

- 1997 – FTA D&A MIS Project Office
  - FTA Drug & Alcohol MIS 'Hotline' - (617) 494-6336

- 1998 – FTA Provide MIS Reporting Option – Paper Forms or Floppy Diskette (File)
  - DAMIS is Born – FTA officially refers to MIS requirement with acronym 'DAMIS'
  - https://transit-safety.volpe.dot.gov/DAMIS

History of the MIS – The Electronic Age

- 2001 – FTA Requires 'Sample' to Submit, MIS Forms on Internet – Publication of 655
  - FTA requires a 'sample' of FTA-Covered Employers to submit – stratified random sample
    - Requires 665 covered-employers (406 large, 72 small, and 187 rural)
  - Posts MIS Forms on the Internet for download (https://transit-safety.volpe.dot.gov/DAMIS
- 2001/2002
  - Selected 'Volunteers' test/use new DAMIS web reporting application (https://transit-safety.volpe.dot.gov/DAMIS)
- 2002 – FTA Continues Sample
  - Requires 797 covered-employers (535 large, 36 small, and 237 rural)
- 2003 – FTA Eliminates 'Sample', Requires All Covered Employees to Submit
- 2003 - DAMIS (https:/DAMIS.DOT.GOV) goes on-line
  - Still allows 'Paper MIS Forms'
- 2003 – DOT Implements New MIS Revised 'Form'
- 2007 – FTA Lowers Required Random Drug Testing Rate – 25%
  - 2003 (0.96%), 2004 (0.89%), 2005(0.79%), 2006 (0.79%)

History of the MIS – Continued Improvement

- 2008 – FTA implements DAMIS software validation ‘checks’
- 2010 – FTA ceases use of ‘Paper’ MIS Forms – Paper Forms not accepted
- 2018 – FTA Raises Required Random Drug Testing Rate – 50%
  - 2016 (1.06%) 2017(1.17%)
  - ‘Opioids’ replaces ‘Opiates’ (semi-synthetics added to 5-panel test)
- 2019 – FTA Updates DAMIS Application
  - Updated ‘look and feel’, security enhancements
- 2022 – FTA begins Virtual MIS trainings
- 2023/2024 – Username / Password Revisions
  - Secure sign-in (Login.gov)
    - Initial Registration
    - Username / Password expires every 6 months

2003 MIS Significant Form Revision

- 2003 MIS Form Revision – “OneDOT”

- One Form – One Page per Employee Category
  - **Added** – Employer Information
    - DBA Name
    - E-Mail
    - Prepared By: Name
    - Prepared By: Phone
    - DOT Agency Information
  - **Added** - Covered Employees
    - Total Number of Employee Categories
  - **Added** – Drug/Alcohol Testing Data
    - Refusals by specific Test Type & Employee Category
    - Cancelled Tests by specific Test Type & Employee Category

2003 MIS Form Revision - continued

- **Added** – Alcohol Testing Data
  - Screening Tests with Results Below 0.02
  - Screening Tests with Results 0.02 or Greater

2003 MIS Form Revision

- 2003 MIS Form Revision – OneDOT
  - **Removed** – Employer Information
    - Certifying Official – Title

- **Removed** – Drug/Alcohol
  - Number of Employees Returned to Duty who had Tested Positive on a Drug Test or Refused a Drug Test
  - Covered Employees who refused to submit to a non-random drug test
  - Covered Employees who have received al least 60 minutes of Training
  - Supervisory Personnel who have received at least 60 minutes of Training on performance indicators of probable drug use
  - FTA Funding Sources

2003 MIS Form Revision

- Number of employees administered drug and alcohol tests at same time resulting in verified positive drug test result and alcohol test result of 0.04 or greater

- Number of fatalities which resulted in a positive drug test result or alcohol test result of 0.04 or greater

- Verified Drug Positive – Positive for more than one drug (e.g., THC & Cocaine)

1995 - 2002 MIS Data Collection Form – EZ Form

For FTA Use Only

FTA DRUG TESTING MIS "EZ" DATA COLLECTION FORM **OMB No: 2132-0556**

YEAR COVERED BY THIS REPORT: 19__

A. EMPLOYER INFORMATION

Company Name _____

Address _____

_____

Contact _____

Phone _____

Consortium Used (if applicable)

Name _____

Address _____

_____

Contact _____

Phone _____

I, the undersigned, certify that the information provided on the attached Federal Transit Administration Drug Testing Management Information System "EZ" Data Collection Form is, to the best of my knowledge and belief, true, correct, and complete for the period stated.

_____ _____

Signature Date of Signature

_____

Title

Title 18, U.S.C. Section 1001, makes it a criminal offense subject to a maximum fine of $10,000, or imprisonment for not more than 5 years, or both, to knowingly and willfully make or cause to be made any false or fraudulent statements or representations in any matter within the jurisdiction of any agency of the United States.

The Federal Transit Administration estimates that the average burden for this report form is 8 hours. You may submit any comments concerning the accuracy of this burden estimate or any suggestions for reducing the burden to: Office of Safety and Security (TTS-3); Federal Transit Administration; 400 7th St., S.W.; Washington, D.C. 20590; OR Office of Management and Budget, Paperwork

B. COVERED EMPLOYEES

COVERED EMPLOYEES		
EMPLOYEE CATEGORY	NUMBER OF FTA COVERED EMPLOYEES	NUMBER OF EMPLOYEES COVERED BY THE USCG
Revenue Vehicle Operation		
Revenue Vehicle and Equipment Maintenance		
Revenue Vehicle Control/Dispatch		
CDL/Non-Revenue Vehicle		
Armed Security Personnel		
TOTAL		

C. DRUG TESTING INFORMATION

NUMBER OF SPECIMENS COLLECTED AND VERIFIED NEGATIVE												
EMPLOYEE CATEGORY	PRE-EMPLOYMENT		RANDOM		POST-ACCIDENT		REASONABLE SUSPICION		RETURN TO DUTY		FOLLOW-UP	
	COLL	NEG	COLL	NEG	COLL	NEG	COLL	NEG	COLL	NEG	COLL	NEG
Revenue Vehicle Operation												
Revenue Vehicle and Equipment Maintenance												
Revenue Vehicle Control/Dispatch												
CDL/Non-Revenue Vehicle												
Armed Security Personnel												
TOTAL												

Number of employees returned to duty during this reporting period who had a verified positive drug test or refused a drug test required under the FTA rule:	

EMPLOYEES WHO REFUSED TO SUBMIT TO A DRUG TEST	Number
Covered employees who refused to submit to a random drug test required under the FTA regulation:	
Covered employees who refused to submit to a non-random drug test required under the FTA regulation:	

DRUG TRAINING/EDUCATION DURING CURRENT REPORTING PERIOD	Number
Covered employees who have received at least 60 minutes of initial training on the consequences, manifestations, and behavioral cues of drug use as required by the FTA drug testing regulation:	
Supervisory personnel who have received 60 minutes of initial training on the specific contemporaneous physical, behavioral, and performance indicators of probable drug use as required by the FTA drug testing regulation:	

D. FTA FUNDING SOURCES

FTA FUNDING SOURCES				
Check all sections that apply	3 ___	9 ___	16(b)(2) ___	18 ___

2

1995 - 2002 MIS Data Collection Form – Long Form

For FTA Use Only

FTA ALCOHOL TESTING MIS DATA COLLECTION FORM OMB No. 2132-0557

YEAR COVERED BY THIS REPORT: 19___

A. EMPLOYER INFORMATION

Name _____

Address _____

_____

Contact _____

Phone _____

Consortium Used (if applicable)

Name _____

Address _____

_____

Contact _____

Phone _____

I, the undersigned, certify that the information provided on this Federal Transit Administration Alcohol Testing Management Information System Data Collection Form is, to the best of my knowledge and belief, true, correct, and complete for the period stated.

_____ _____

Signature Date of Signature

_____

Title

Title 18, U.S.C. Section 1001, makes it a criminal offense subject to a maximum fine of $10,000, or imprisonment for not more than 5 years, or both, to knowingly and willfully make or cause to be made any false or fraudulent statements or representations in any matter within the jurisdiction of any agency of the United States.

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B. COVERED EMPLOYEES

COVERED EMPLOYEES	
EMPLOYEE CATEGORY	NUMBER OF FTA COVERED EMPLOYEES
Revenue Vehicle Operation	
Revenue Vehicle and Equipment Maintenance	
Revenue Vehicle Control/Dispatch	
CDL/Non-Revenue Vehicle	
Armed Security Personnel	
TOTAL	

READ BEFORE COMPLETING THE REMAINDER OF THIS FORM:

1. All items refer to the **current** reporting period **only** (for example, January 1, 1994 - December 31, 1994).
2. This report is only for testing REQUIRED BY THE FEDERAL TRANSIT ADMINISTRATION (FTA) AND THE U.S. DEPARTMENT OF TRANSPORTATION (DOT):
   - Results should be reported only for employees in COVERED POSITIONS as defined by the FTA alcohol testing regulation.
   - The information requested should only include testing for alcohol using the standard procedures required by DOT regulation 49 CFR Part 40.
3. Information on refusals for testing should only be reported in Section D ["OTHER ALCOHOL TESTING INFORMATION"]. Do not include refusals for testing in other sections of this report.
4. Complete all items; DO NOT LEAVE ANY ITEM BLANK. If the value for an item is zero (0), place a zero (0) on the form.

1995 - 2002 MIS Data Collection Form – Long Form

C. ALCOHOL TESTING INFORMATION

EMPLOYEE CATEGORY	NUMBER OF SCREENING TESTS	NUMBER OF CONFIRMATION TESTS	NUMBER OF CONFIRMATION TEST RESULTS EQUAL TO OR GREATER THAN 0.02, BUT LESS THAN 0.04	NUMBER OF CONFIRMATION TEST RESULTS EQUAL TO OR GREATER THAN 0.04
PRE-EMPLOYMENT				
Revenue Vehicle Operation				
Revenue Vehicle and Equipment Maintenance				
Revenue Vehicle Control/Dispatch				
CDL/Non-Revenue Vehicle				
Armed Security Personnel				
Total				
RANDOM				
Revenue Vehicle Operation				
Revenue Vehicle and Equipment Maintenance				
Revenue Vehicle Control/Dispatch				
CDL/Non-Revenue Vehicle				
Armed Security Personnel				
Total				
POST-ACCIDENT				
Revenue Vehicle Operation				
Revenue Vehicle and Equipment Maintenance				
Revenue Vehicle Control/Dispatch				
CDL/Non-Revenue Vehicle				
Armed Security Personnel				

C. ALCOHOL TESTING INFORMATION (cont.)

EMPLOYEE CATEGORY	NUMBER OF SCREENING TESTS	NUMBER OF CONFIRMATION TESTS	NUMBER OF CONFIRMATION TEST RESULTS EQUAL TO OR GREATER THAN 0.02, BUT LESS THAN 0.04	NUMBER OF CONFIRMATION TEST RESULTS EQUAL TO OR GREATER THAN 0.04
REASONABLE SUSPICION				
Revenue Vehicle Operation				
Revenue Vehicle and Equipment Maintenance				
Revenue Vehicle Control/Dispatch				
CDL/Non-Revenue Vehicle				
Armed Security Personnel				
Total				
RETURN TO DUTY				
Revenue Vehicle Operation				
Revenue Vehicle and Equipment Maintenance				
Revenue Vehicle Control/Dispatch				
CDL/Non-Revenue Vehicle				
Armed Security Personnel				
Total				
FOLLOW-UP				
Revenue Vehicle Operation				
Revenue Vehicle and Equipment Maintenance				
Revenue Vehicle Control/Dispatch				
CDL/Non-Revenue Vehicle				
Armed Security Personnel				
Total				

Number of employees who engaged in alcohol misuse who were returned to duty in a covered position during this reporting period (having complied with the recommendations of a substance abuse professional as described in FTA regulations):

1995 - 2002 MIS Data Collection Form – Long Form

D. OTHER ALCOHOL TESTING/PROGRAM INFORMATION

Number of employees administered drug and alcohol tests at the same time resulting in a verified positive drug test and an alcohol test indicating an alcohol concentration of 0.04 or greater:	

VIOLATIONS OF OTHER ALCOHOL PROVISIONS/PROHIBITIONS OF THIS REGULATION		
NUMBER OF COVERED EMPLOYEES	VIOLATION	ACTION TAKEN
	Covered employee used alcohol while performing safety-sensitive function.	
	Covered employee used alcohol within 4 hours of performing safety-sensitive function.	
	Covered employee used alcohol before taking a required post-accident alcohol test.	

EMPLOYEES WHO REFUSED TO SUBMIT TO AN ALCOHOL TEST	Number
Covered employees who refused to submit to a random alcohol test required under the FTA regulation:	
Covered employees who refused to submit to a non-random alcohol test required under the FTA regulation:	

E. ALCOHOL TRAINING/EDUCATION

TRAINING DURING CURRENT REPORTING PERIOD	Number
Supervisory personnel who have received at least 60 minutes of initial training on the specific contemporaneous physical, behavioral, and performance indicators of probable alcohol use as required by FTA alcohol testing regulations:	

F. FTA FUNDING SOURCES

FTA FUNDING SOURCES				
Check all sections that apply:	3 ___	9 ___	16(b)(2) ___	18 ___

Number of employees returned to duty during this reporting period who had a verified positive drug test or refused a drug test required under the FTA rule:	
EMPLOYEES WHO REFUSED TO SUBMIT TO A DRUG TEST	**Number**
Covered employees who refused to submit to a random drug test required under the FTA regulation:	
Covered employees who refused to submit to a non-random drug test required under the FTA regulation:	
DRUG TRAINING/EDUCATION DURING CURRENT REPORTING PERIOD	**Number**
Covered employees who have received at least 60 minutes of initial training on the consequences, manifestations, and behavioral cues of drug use as required by the FTA drug testing regulation:	
Supervisory personnel who have received 60 minutes of initial training on the specific contemporaneous physical, behavioral, and performance indicators of probable drug use as required by the FTA drug testing regulation:	

D. FTA FUNDING SOURCES

FTA FUNDING SOURCES				
Check all sections that apply	3 ___	9 ___	16(b)(2) ___	18 ___

2003 - Current MIS Form

U.S. DEPARTMENT OF TRANSPORTATION DRUG AND ALCOHOL TESTING MIS DATA COLLECTION FORM

Calendar Year Covered by this Report: _____ OMB No. 2105-0529

I. Employer:

Company Name: _____

Doing Business As (DBA) Name (if applicable): _____

Address: _____ E-mail: _____

Name of Certifying Official: _____ Signature: _____

Telephone: (____)_____ Date Certified: _____

Prepared by (if different): _____ Telephone: (____)_____

C/TPA Name and Telephone (if applicable): _____ (____)_____

Check the DOT agency for which you are reporting MIS data; and complete the information on that same line as appropriate:

___ FMCSA – Motor Carrier: DOT #: _____ Owner-operator: (circle one) YES or NO Exempt (Circle One) YES or NO

___ FAA – Aviation: Certificate # (if applicable): _____ Plan / Registration # (if applicable): _____

___ RSPA – Pipeline: (Check) Gas Gathering__ Gas Transmission__ Gas Distribution__ Transport Hazardous Liquids__ Transport Carbon Dioxide__

___ FRA – Railroad: Total Number of observed/documented Part 219 "Rule G" Observations for covered employees: _____

___ USCG – Maritime: Vessel ID # (USCG- or State-Issued): _____ (If more than one vessel, list separately.)

___ FTA – Transit

II. Covered Employees: **(A) Enter Total Number Safety-Sensitive Employees In All Employee Categories:** ☐

(B) Enter Total Number of Employee Categories: ☐

(C)

Employee Category	Total Number of Employees in this Category

If you have multiple employee categories, complete Sections I and II (A) & (B). Take that filled-in form and make one copy for each employee category and complete Sections II (C), III, and IV for each separate employee category.

III. Drug Testing Data:

	1	2	3	4	5	6	7	8	9	10	11	12	13
									Refusal Results				
Type of Test	Total Number Of Test Results [Should equal the sum of Columns 2, 3, 9, 10, 11, and 12]	Verified Negative Results	Verified Positive Results – For One Or More Drugs	Positive For Marijuana	Positive For Cocaine	Positive For PCP	Positive For Opiates	Positive For Amphetamines	Adulterated	Substituted	"Shy Bladder" – With No Medical Explanation	Other Refusals To Submit To Testing	Cancelled Results
Pre-Employment													
Random													
Post-Accident													
Reasonable Susp./Cause													
Return-to-Duty													
Follow-Up													
TOTAL													

IV. Alcohol Testing Data:

	1	2	3	4	5	6	7	8	9
							Refusal Results		
Type of Test	Total Number Of Screening Test Results [Should equal the sum of Columns 2, 3, 7, and 8]	Screening Tests With Results Below 0.02	Screening Tests With Results 0.02 Or Greater	Number Of Confirmation Tests Results	Confirmation Tests With Results 0.02 Through 0.039	Confirmation Tests With Results 0.04 Or Greater	"Shy Lung" – With No Medical Explanation	Other Refusals To Submit To Testing	Cancelled Results
Pre-Employment									
Random									
Post-Accident									
Reasonable Susp./Cause									
Return-to-Duty									
Follow-Up									
TOTAL									

Common Questions / Issues

- For what time period do I report?
  - Calendar Year (1/1/2022 – 12/31/2022)

- What if we ran service for only a portion of the year?
  - Report that portion of the CY.

- Does the username & password change?
  - Yes, annually.

- How do my contractors and subrecipients receive their usernames & passwords?
  - Grantee distributes them to contractors and subrecipients.

Common Questions / Issues

- Who is the Certifying Official?
  - No formal definition in Part 655.
  - Must be an employee of the employer on the report.

- Do I report all drug & alcohol test results for the CY?
  - No, only FTA-authorized DOT tests.

- Do I report all DOT drug & alcohol test results for the CY?
  - No, only FTA-authorized DOT tests.

- What if I have FMCSA covered employees in same pool with FTA
  - Report only the FTA-authorized DOT tests.

Common Questions / Issues

- Do I report a pre-employment test when the applicant was not hired?
  - Yes. Report all FTA-authorized tests.

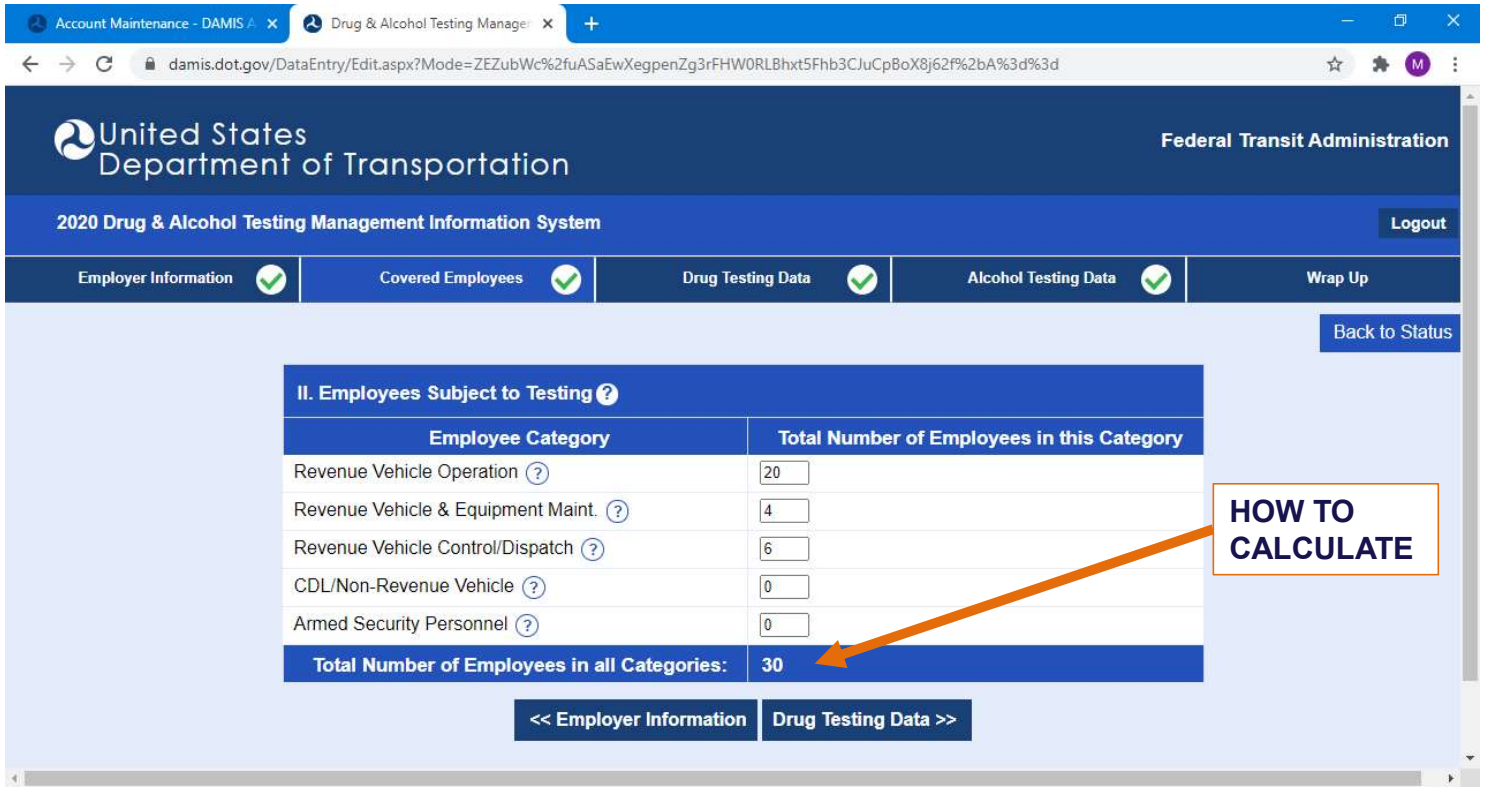
- I am the FTA Grantee, but have no FTA D&A Program – do I submit?
  - Yes, if you are a pass-through of FTA funding, submit a zeroed-out report

- What if the test was performed in December (2022), but MRO verified in January (2023)?
  - Include on annual MIS – year test was conducted (2022).

- How do I calculate the number of covered employees reported?

Number of Covered Employees

(Employees Subject to Testing)



Calculate: Number of Covered Employees

(Employees Subject to Testing)

- Average number of FTA-covered employees in random testing pool(s), at the time of the random selection:
  - Per specific individual FTA-covered employer
  - Example – using quarterly random selections
    - 1st Quarter = 27
    - 2nd Quarter = 25
    - 3rd Quarter = 34
    - 4th Quarter = 34

    - TOTAL = 120 FTA-Covered Employees / 4 Quarters = **30**

    - **30 = "Total Number of Employees in All Categories"**

Distribute "Total Number" Value Across Employee Categories

- **30 = "Total Number of Employees in All Categories"**

- Once 'Total Number of Employees in All Categories" is calculated You determine the number for each of the five employee categories
    1. Revenue Vehicle Operation
    2. Revenue Vehicle & Equipment Maintenance
    3. Revenue Vehicle Control / Dispatch
    4. CDL Non-Revenue Vehicle
    5. Armed Security Personnel

More Common Questions / Issues

- How do I report if a CCF is checked FMCSA, but should be FTA?
  - What if all my CCFs are incorrectly checked FMCSA?
    - Must correct all errors when discovered
- What do I report if an employee was randomly selected, but not tested?
  - Report Nothing
- What if an employee works in multiple employee categories?
  - No fractions, report in category where majority of time is spent
- After submitting, can I revise my data
  - Yes, until the database (DAMIS) closes (Sept – Oct)

More Common Questions / issues

- What if the MRO cancelled a test and required a recollection?
  - Report cancelled test & result of retest.
- What if dilute negative required a retest?
  - Report result of retest only.

General Reporting Rules

- Report what actually happened:
  - If incorrectly conducted a non-DOT test and did not upgrade – Do not report it
  - FTA Tests performed incorrectly –must be reported

- Report the final result.
  - In some cases report initial test if 'Cancelled'

- Do **not** double report any test result.
- Do **not** report same test result to multiple DOT agencies.

Grantee – Reject or Accept Contractors / Subrecipient

- Accept – if data submitted reflects reality
  - Only FTA-authorized tests (DOT)
  - Only FTA-authorized tests performed as part of contract or agreement with the Grantee

- Reject – if data does not reflect reality
  - Non-DOT tests reported
  - Test results reported include tests performed in addition to tests conducted as part of your contract or agreement

- Do not 'Reject' if 50% and/or 10% random requirements were not met.

Compile Data for MIS

- Testing data comes from ATF, CCF and MRO Results:
  - Do not use semi-annual lab report

- Certifying/Company Official is Responsible:
  - Ensure accuracy
  - Certifying Official – must be employee.

- TPA may complete report – Company Official **must** certify it.

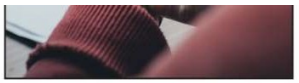
Common Errors

- Consortium or TPA (C/TPA) - not reported
- Submit contractor data as Grantee when Grantee is a pass-through
- Report non-events as cancelled tests (PE)
- Include FMCSA tests results on FTA report
- Do not report all Safety-Sensitive contractors
- Include non-Safety Sensitive employees
- Submit late

Uses of Data

- Determine compliance with 49 CFR Part 655
- Determine FTA annual random minimum testing rates
- DOT Public Drug and Alcohol Testing Database
  - https://www.Transportation.Gov/odapc/dot_agency_mis_data
- Assist in audit determination, scheduling and logistics
- Identify trends of drug and alcohol use in transit
- Assist in determining training needs
- Newsletter articles, technical assistance tools, etc.
- Identify 'key' individual(s) in your D&A program

Newsletter Articles from MIS



but rather the employee must be instructed to proceed immediately to the testing site. A collection site

and Alcohol Testing Notificat form which can be used for tl purpose.

Refusal Exemptions for Pre-Employment Test

A DOT pre-employment test differs slightly from other types of tests in the way refusals are determined. For pre-employment testing, an employee/applicant's failure to appear for testing – or their failure to appear within a reasonable amount of time – does not constitute a refusal, provided that the testing process has not yet commenced, per § 40.191(a)(1).

Who should be listed as the Certifying Official on the Annual Drug and Alcohol MIS Report?

Section I. Employer Information of the annual MIS report requires the name and complete telephone number of the company official certifying the accuracy of the

Official be knowledgeable of the information reported, as the FTA Drug and Alcohol Project Office would contact the Certifying Official listed if there were

Party Administrator (TPA), this individual's information should be listed in the "Prepared by" fields also located in Section I.

For additional information about

Operators of Reve Transit or Private Property Are Covered

One of the safety-sensitive

social distancing, but may have

resulting from

Credit: hanoiphotography 123RF.COM

Security Cars Subject to Post-Accident Only When Carrying Passengers

49 CFR Part 655 defines "carrying a firearm for security purposes"

as a safety-sensitive function. Employees who perform this safety-sensitive security function

an accident, as defined section 655.4.

FTA has reviewed the

Revenue Vehicle Control/Dispatch is Not a "Catch-All" Employee Category

One of the safety-sensitive functions

not considered safety-sensitive

In-House Validation – What Do We Check?

- Post Accident Alcohol vs. Post-Accident Drug
  - Is Alcohol greater?
  - Is there a substantial difference?
- Return-to-Duty but no positives or refusals (current year or previous)
- Return-to Duty Negatives but no Follow-up Tests
- Significant change in # of Covered Employees (year to year)
- Significant PE Cancelled Tests & Refusals
- No Maintenance Employees – No Contracted Maintenance
- CDL N/R Employee Category >= RVO

MIS DATA &

(em-eye-ess)

TRENDS

Where we stand

	2005	2019	2020	2021
GRANTEES	513	666	664	662
COVERED EMPLOYERS	3,136	3,418	3,358	3,257
COVERED EMPLOYEES	261,236	312,765	284,637	275,432
PRE-EMPLOYMENT DRUG	71,810	127,118	80,212	100,749
PRE-EMPLOYMENT ALCOHOL	10,395	19,667	11,906	15,671
RANDOM DRUG TESTS	141,018	164,857	155,359	150,465
RANDOM ALCOHOL TESTS	43,466	71,536	62,482	63,921
POST-ACCIDENT DRUG TESTS	14,510	12,747	8,809	9,767
POST-ACCIDENT ALCOHOL TESTS	13,265	12,103	8,278	9,140
REASONABLE SUSPICION DRUG	624	923	382	366
REASONABLE SUSPICION ALCOHOL	606	883	338	310

Where we stand

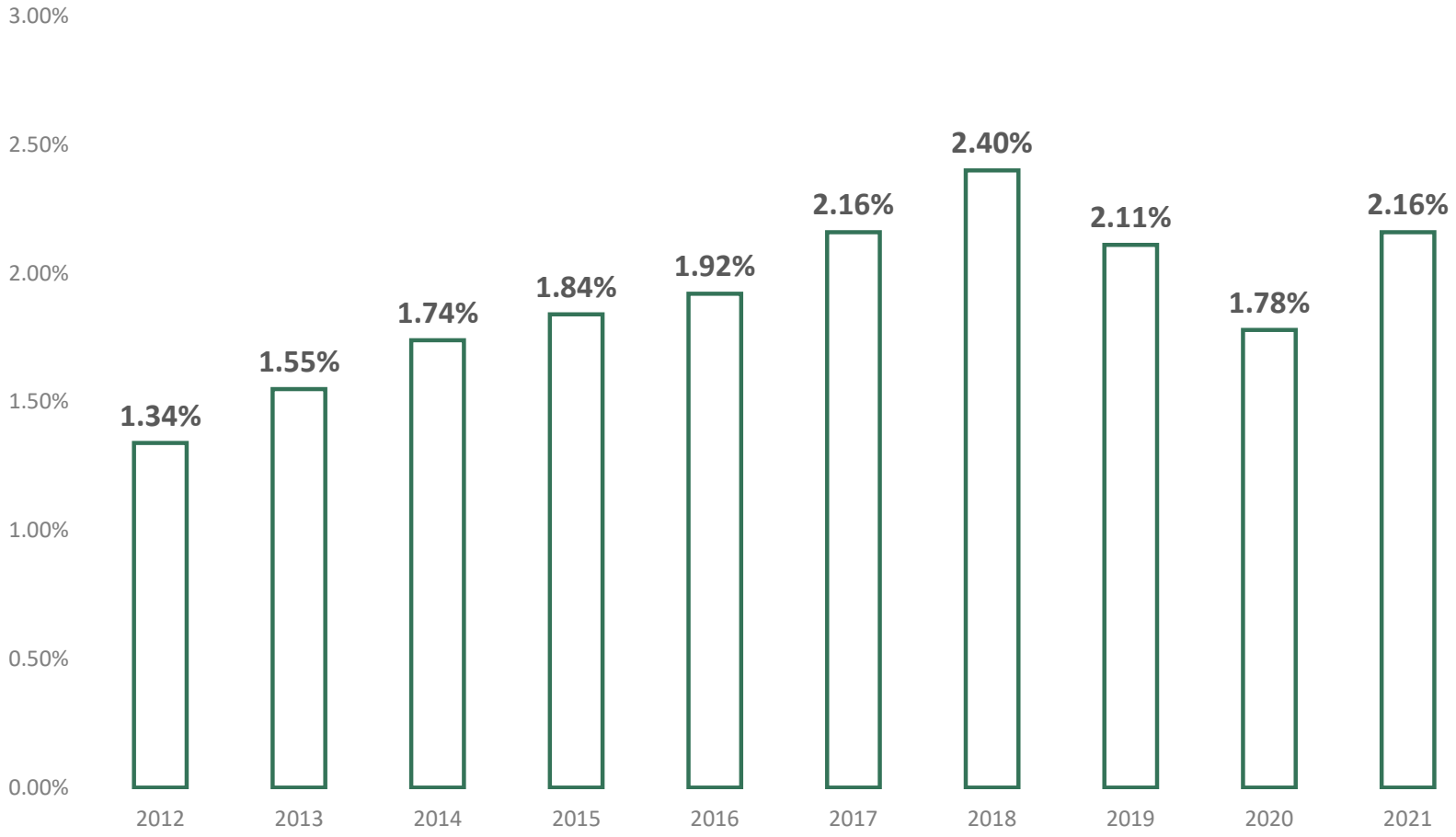
	2005	2019	2020	2021
VERIFIED DRUG POSITIVES	3,179	5,357	3,694	4,790
ALCOHOL TEST RESULTS >= 0.04	127	212	159	142
REFUSALS - DRUG	291	1,236	1,026	967
REFUSALS - ALCOHOL	39	49	54	56
CANCELLED TESTS - DRUG	437	1,410	1,033	1,642
CANCELLED TESTS – ALCOHOL	51	75	73	70

Definitions

- DRUG
- **Positive Rate** = (verified drug positives + refusals) ÷ (total number of testing events)

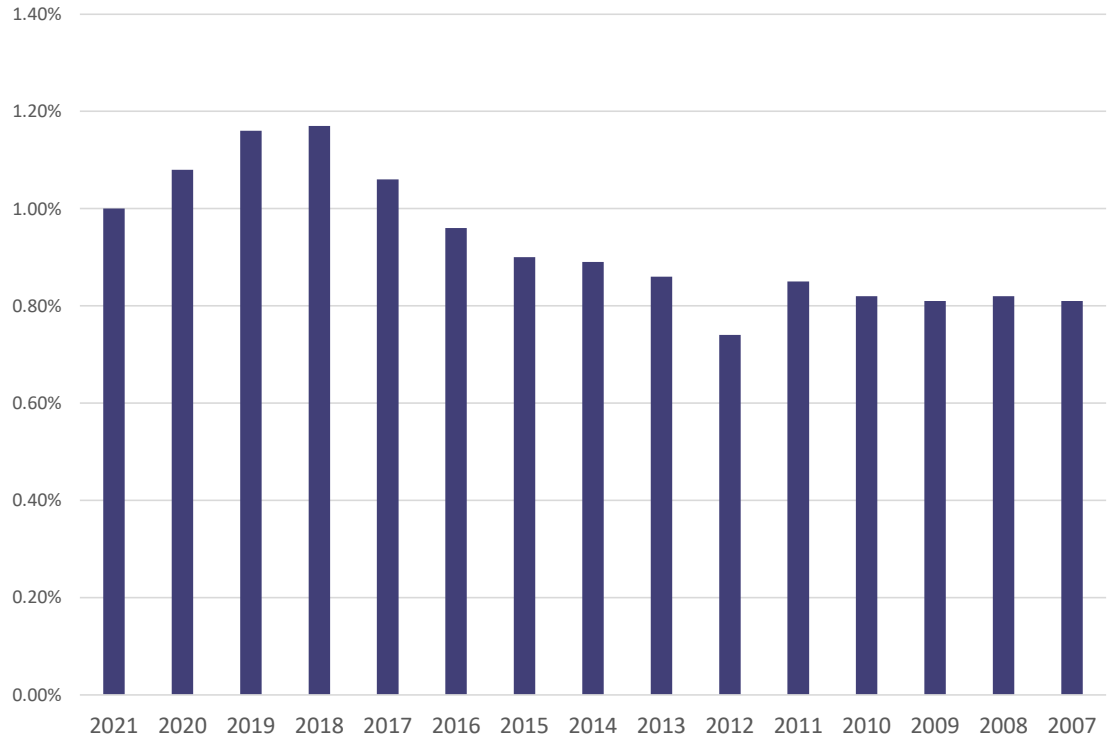
- ALCOHOL
- **Violation Rate** = (confirmed alcohol test results >= 0.04 + refusals) ÷ (total number of testing events)

Drug Positive Rate - All Test Types

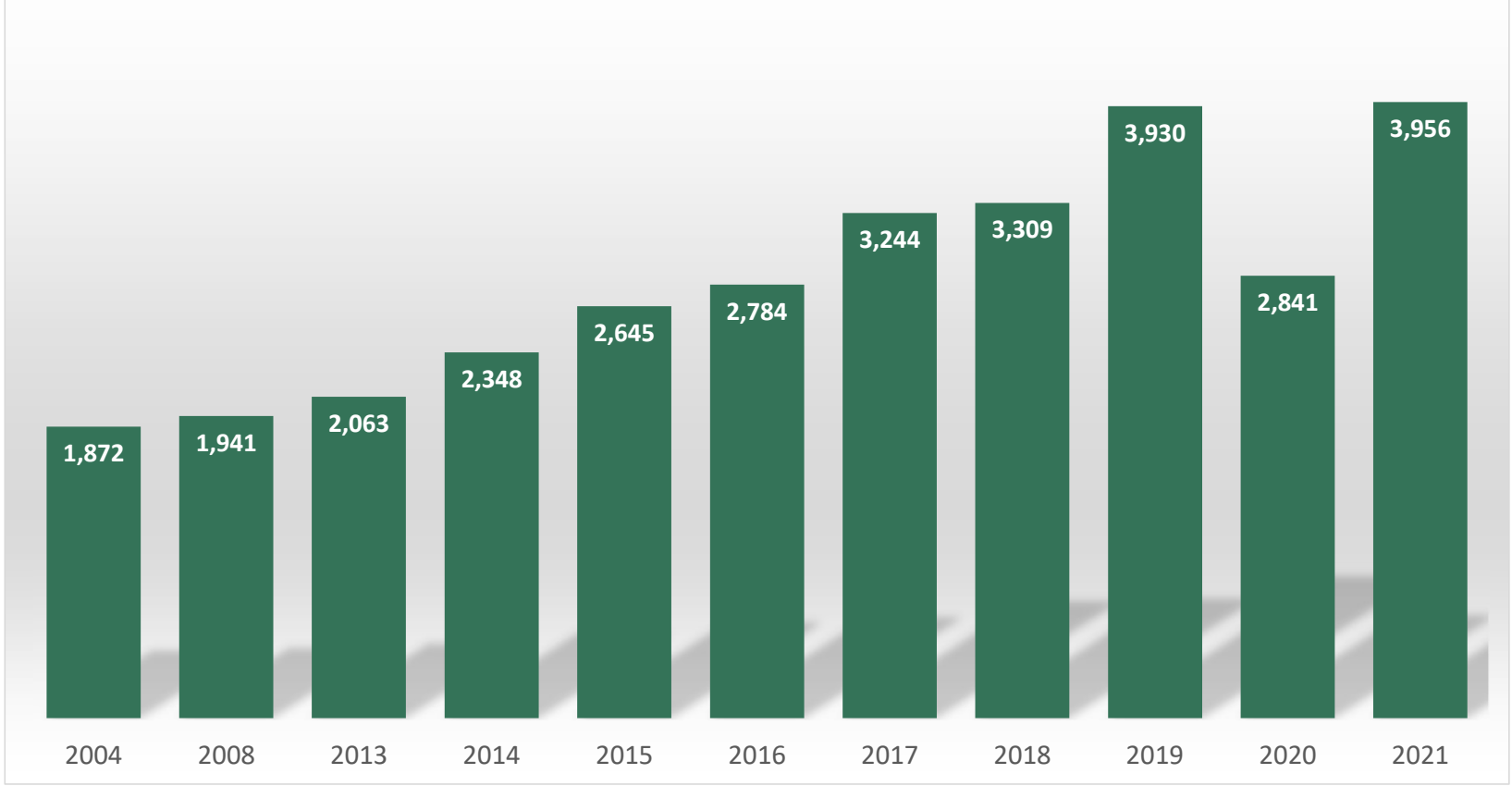


YEAR	Random Drug Positive Rate (2007 – 2021)
2021	1.00%
2020	1.08%
2019	1.16%*
2018	1.17%
2017	1.06%
2016	0.96%
2015	0.90%
2014	0.89%
2013	0.86%
2012	0.74%
2011	0.85%
2010	0.82%
2009	0.81%
2008	0.82%
2007	0.81%

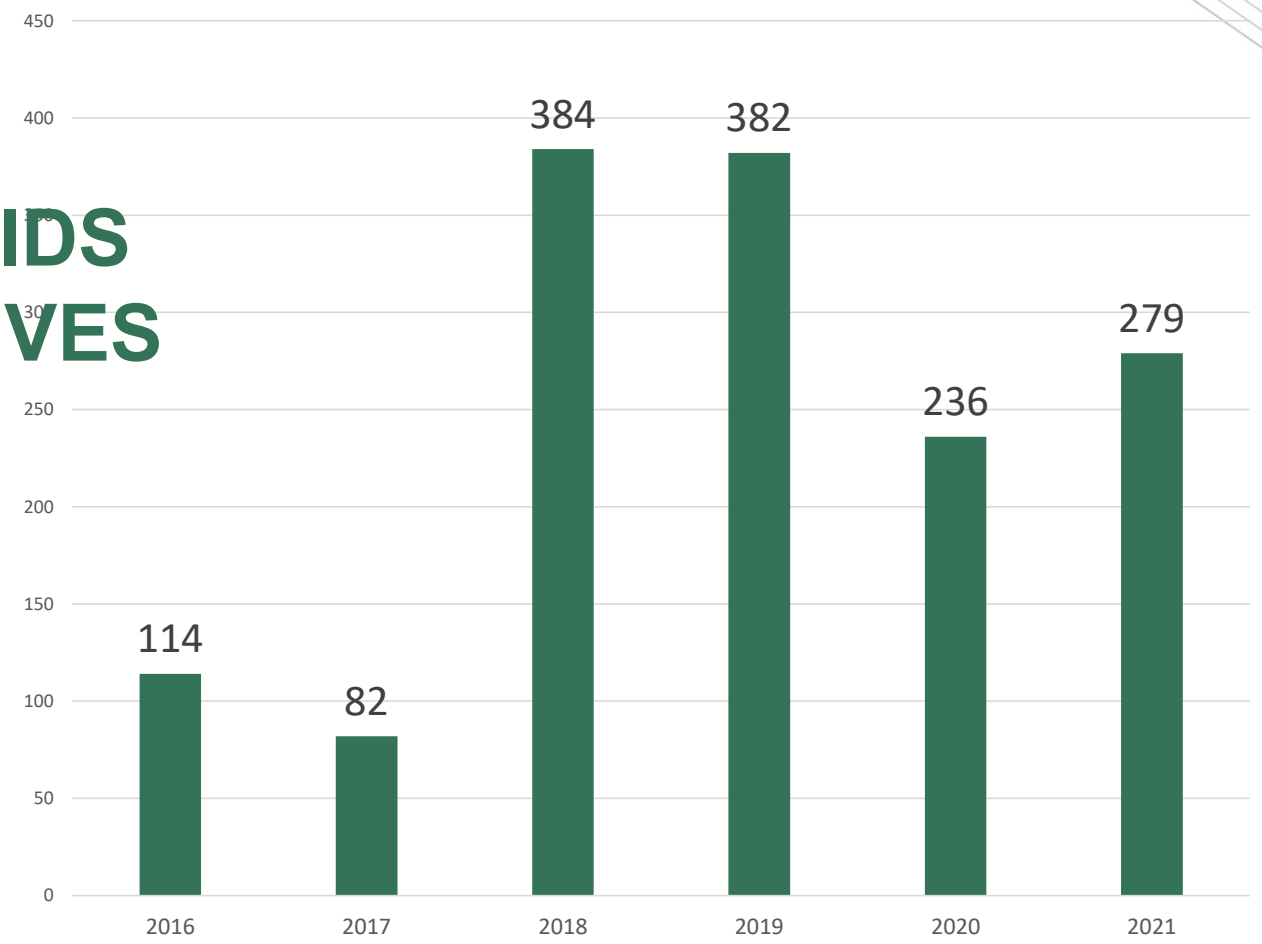
Random Drug Rate Increase 25% to 50%



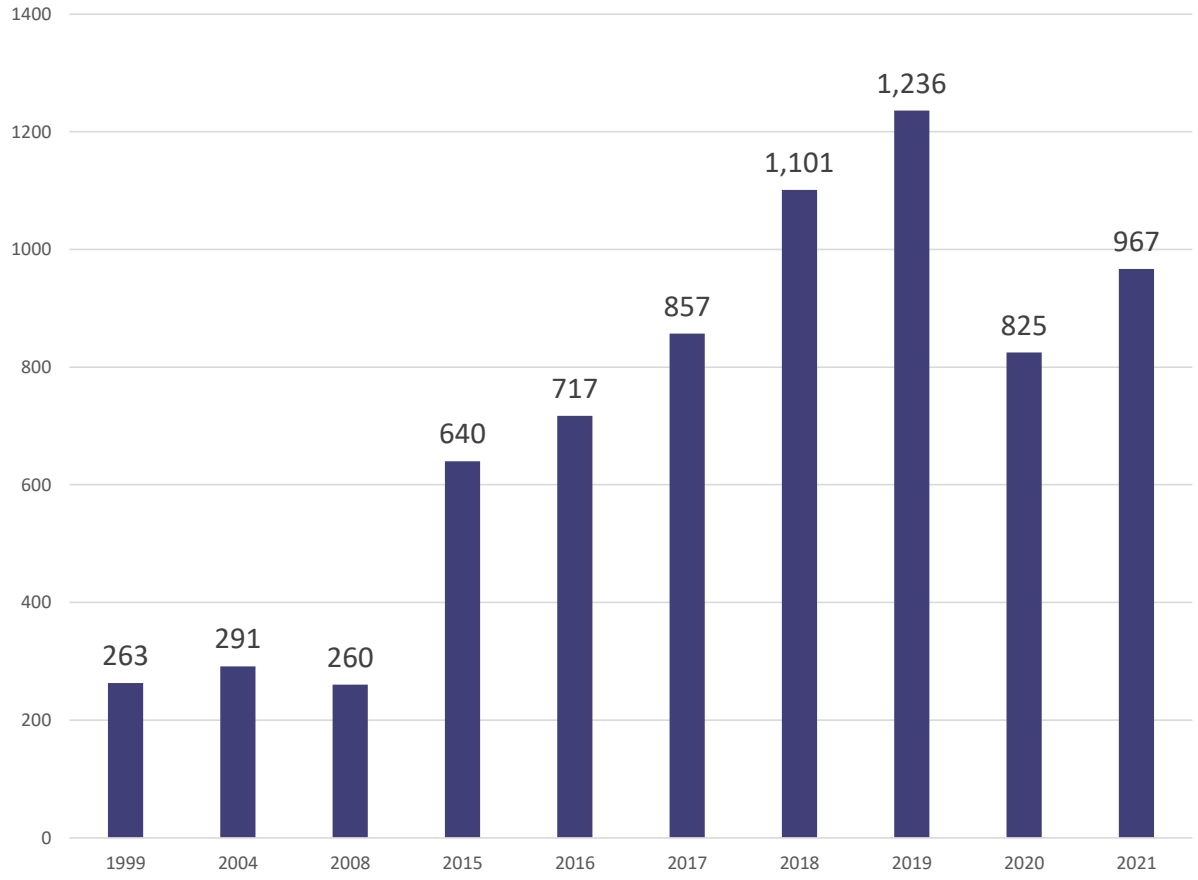
THC Verified Positives



OPIATES & OPIOIDS VERIFIED POSITIVES



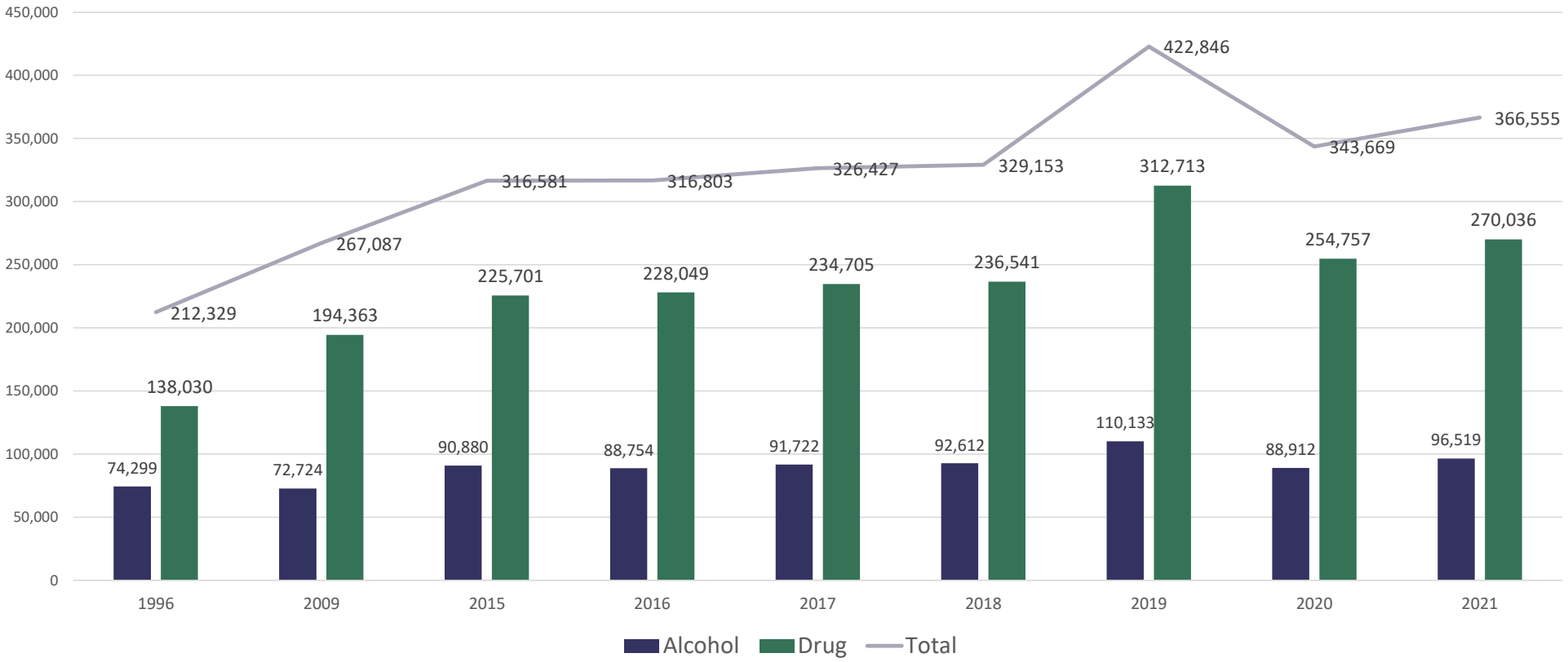
Refusals - Drug



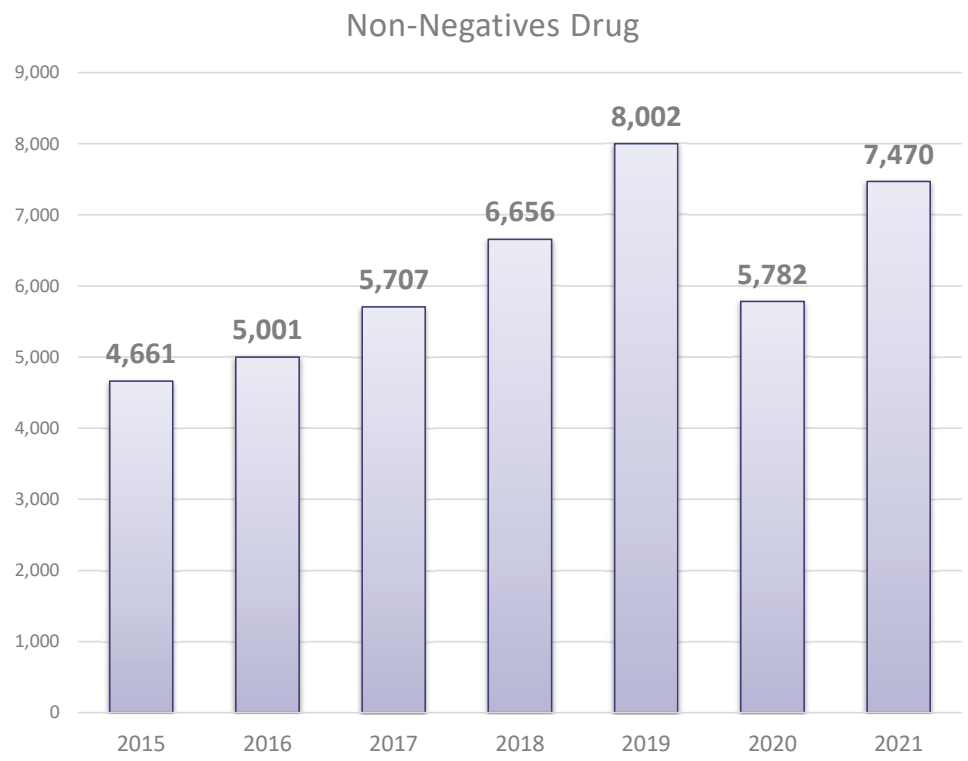
% = 'Other' Refusal	
1999	
2004	
2008	79.58%
2015	81.09%
2016	91.49%
2017	86.11%
2018	89.37%
2019	86.89%
2020	88.12%
2021	88.71%

Testing Events

(Negative + Positive + Refusal)

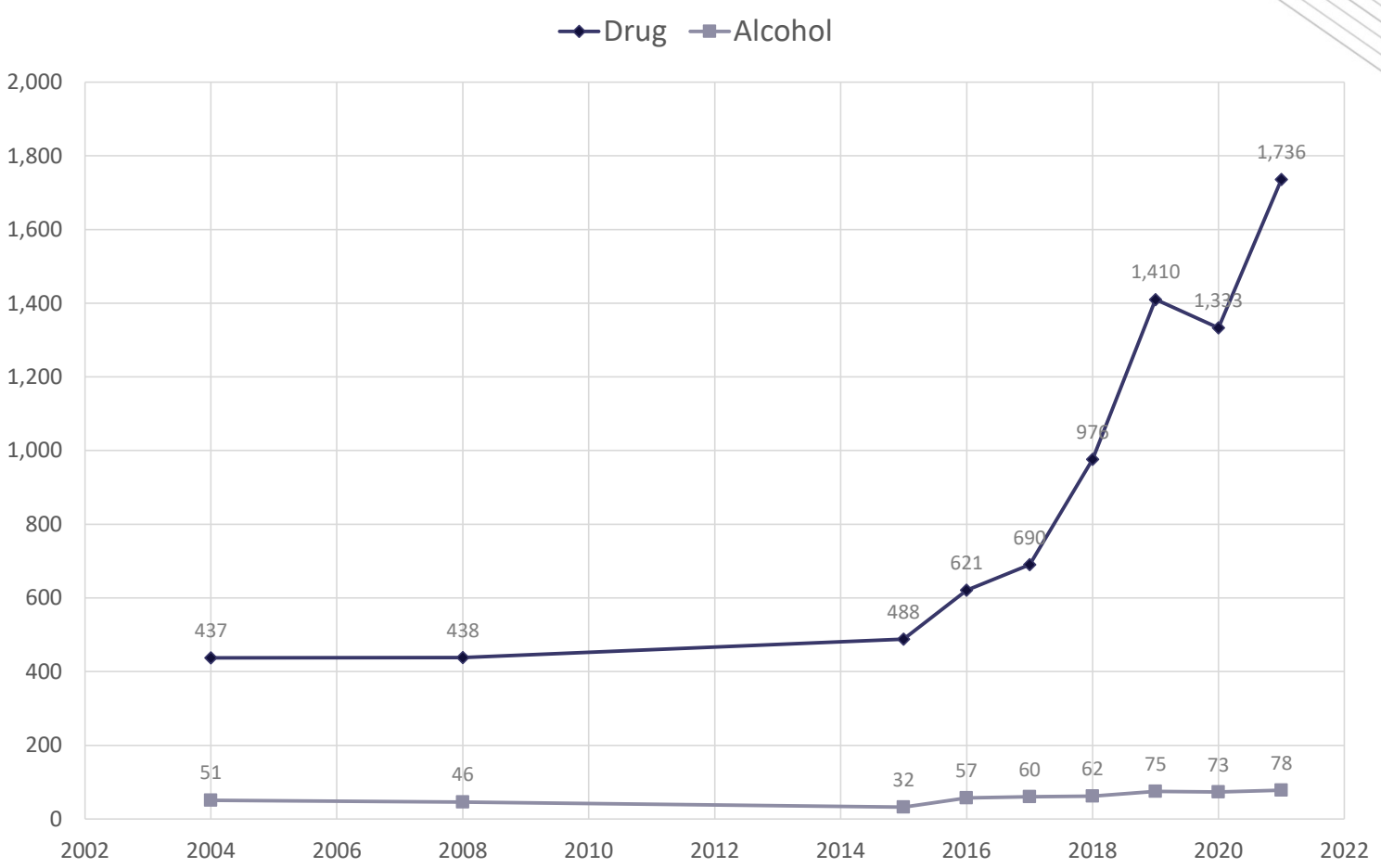


Non-Negatives
(Positive, Refusal & Cancelled)

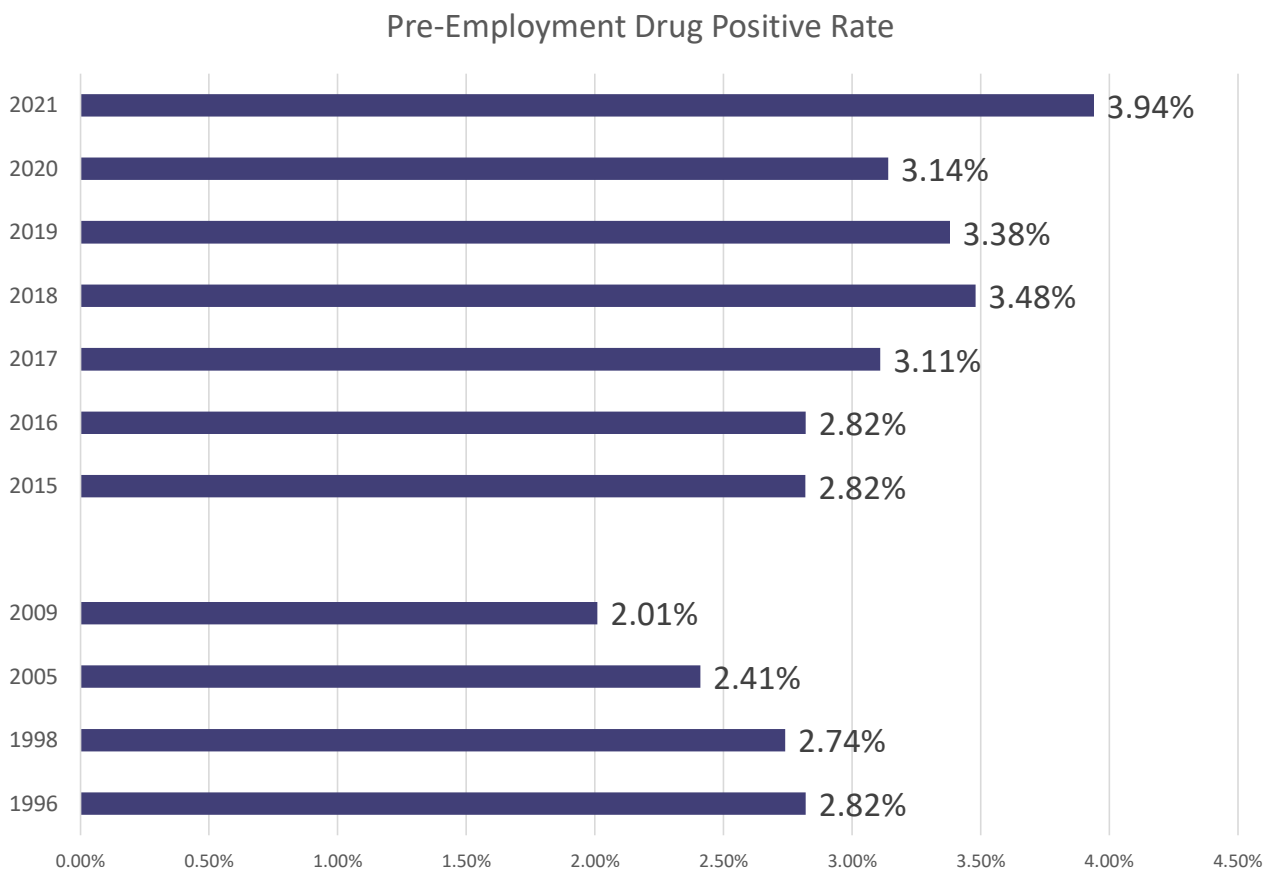


	Non-Negatives	% of Non-Negatives - Cancelled
2015	4,661	10.47%
2016	5,001	12.42%
2017	5,707	12.09%
2018	6,656	14.66%
2019	8,002	17.62%
2020	5,782	22.78%
2021	7,470	22.05%

Cancelled Tests

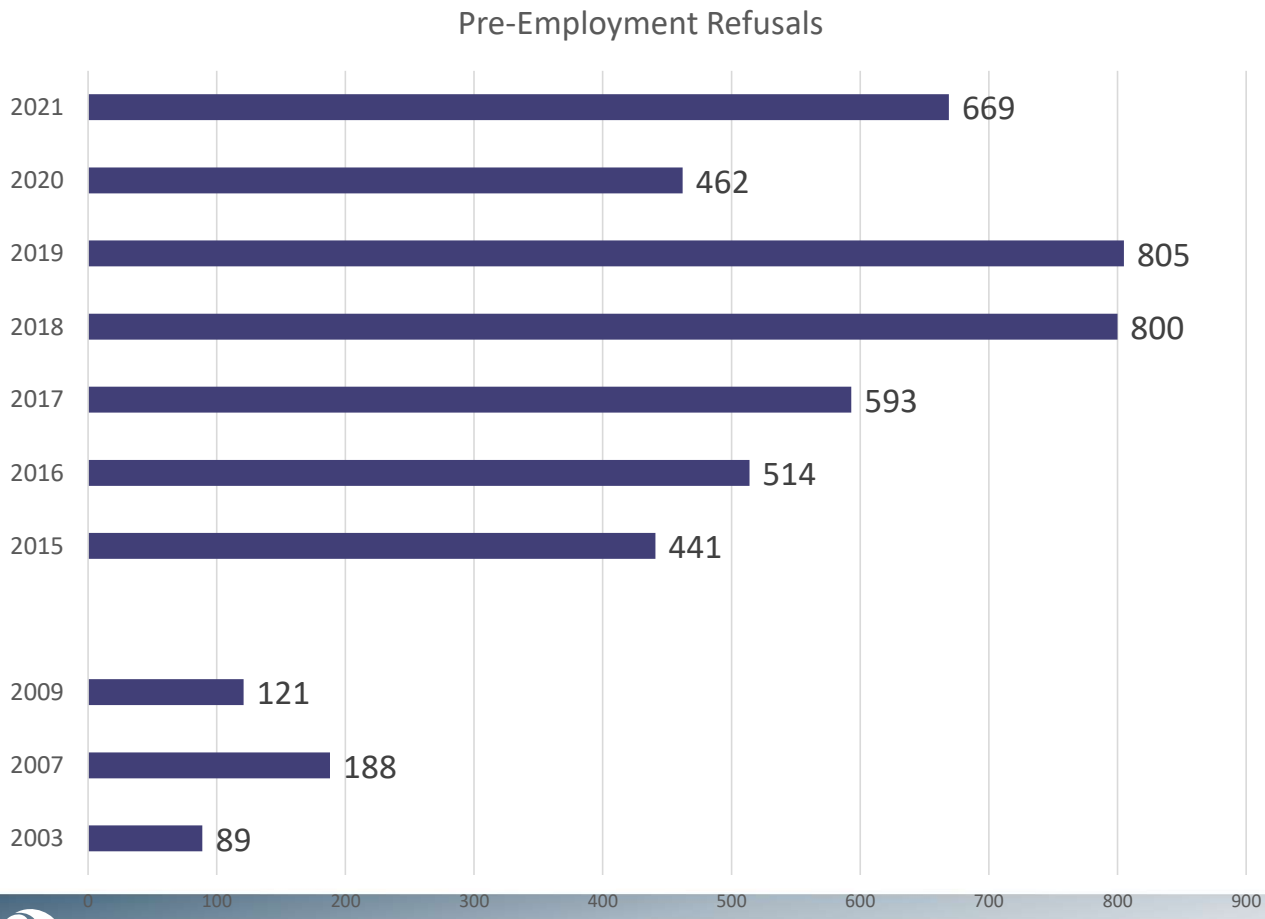


Pre-Employment – Positive Rate



2021 - Highest PE Drug Positive Rate since start of FTA program.

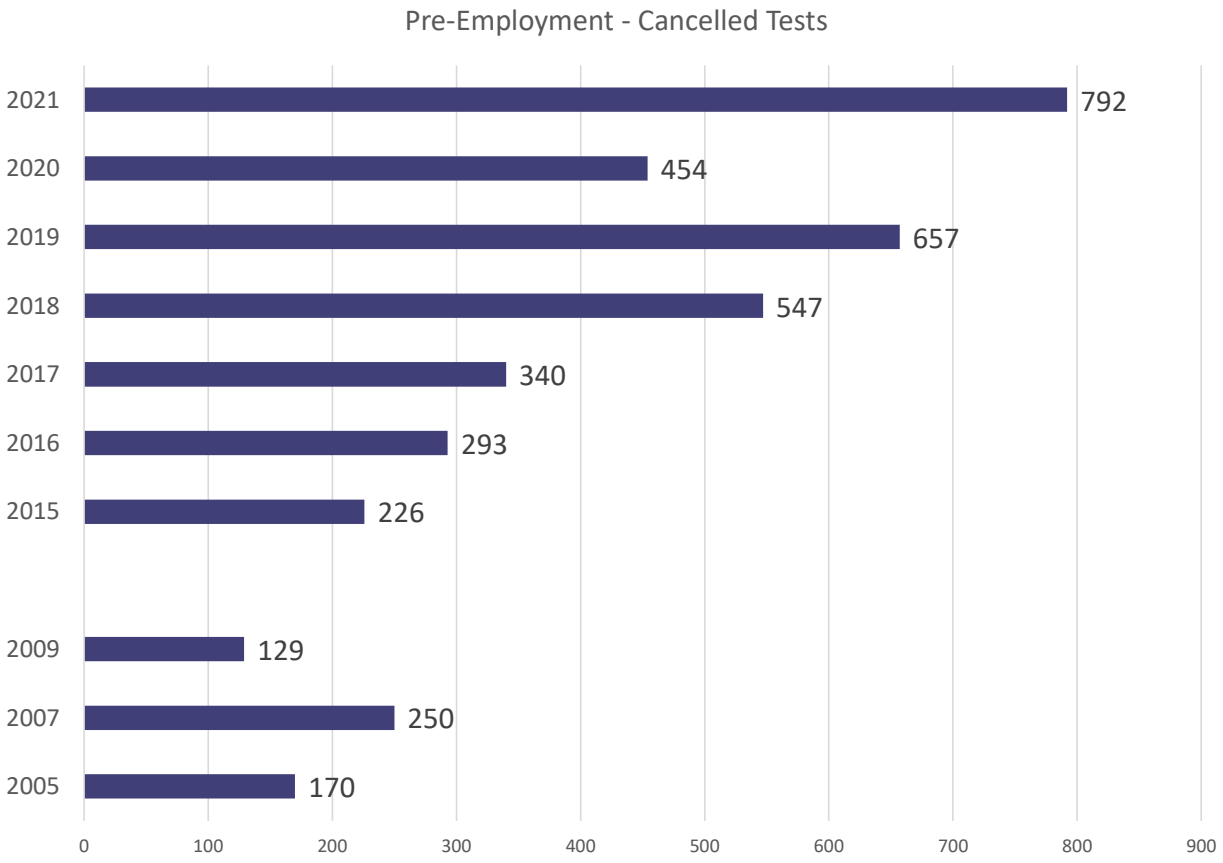
Pre-Employment - Refusals



2019 - Highest Number of PE Refusals since start of FTA program

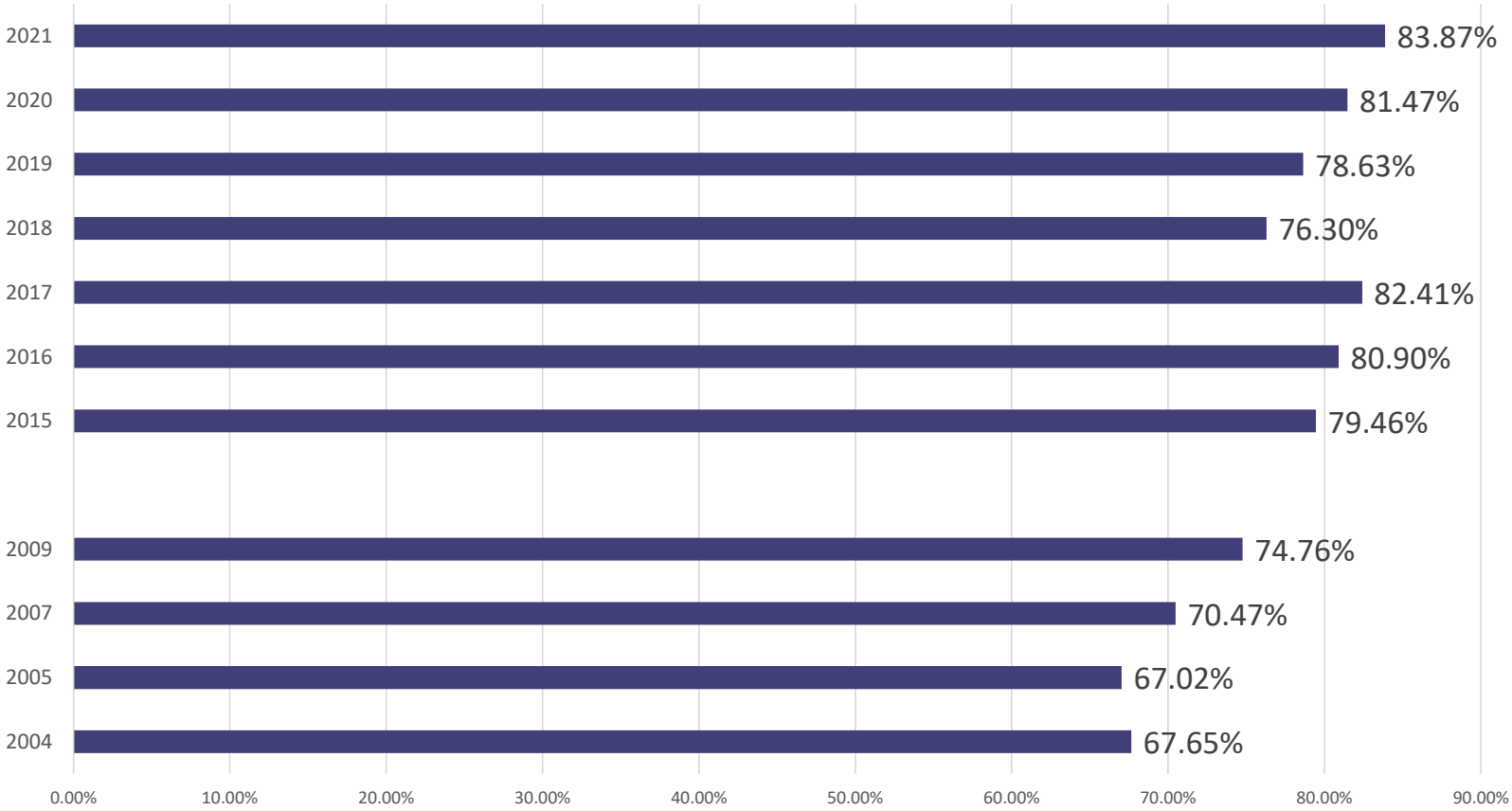
Prior to 2003 only 'Random' and 'Non-Random' Results Collected

Pre-Employment – Cancelled Tests

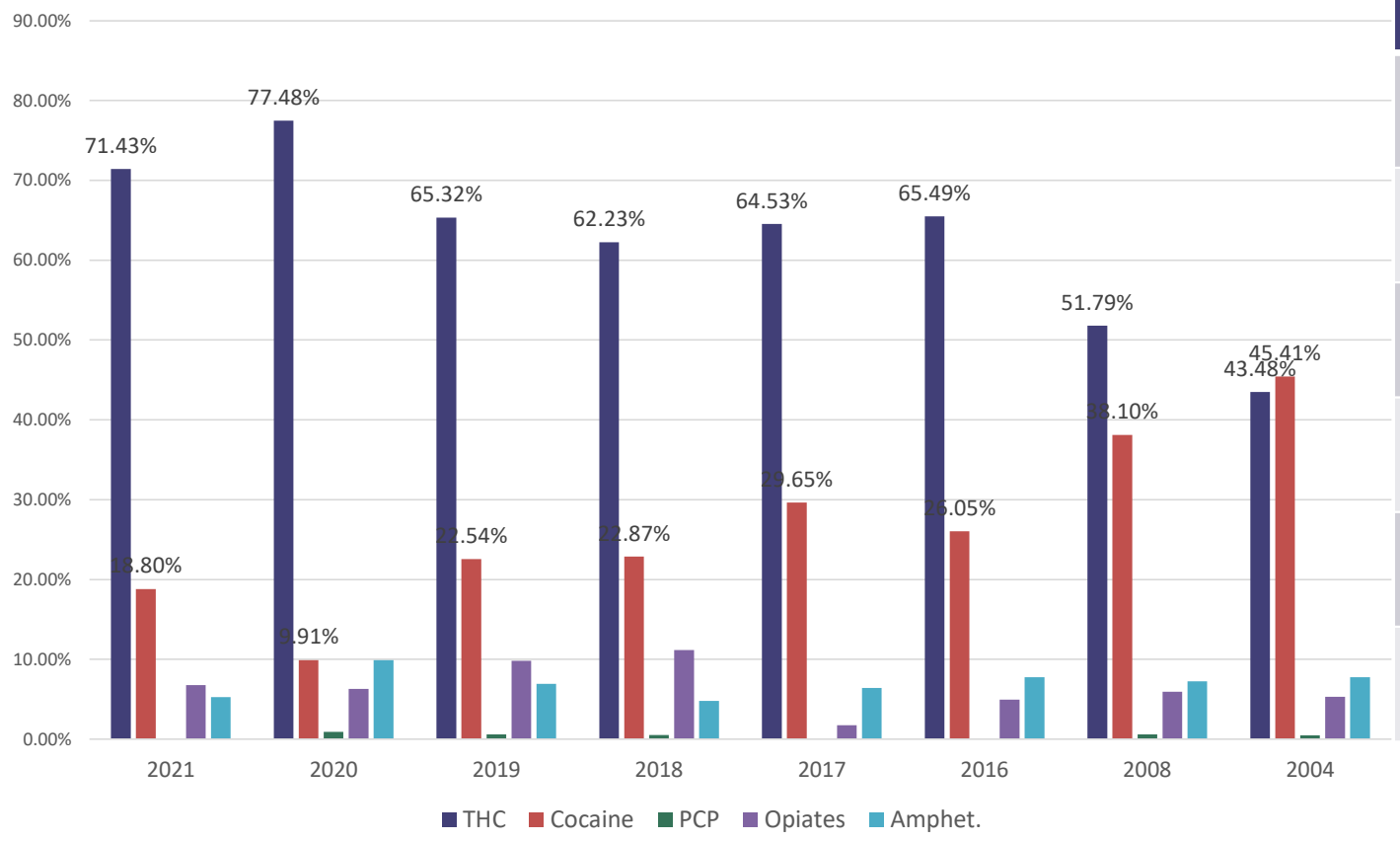


2021 - Highest Number of PE Cancelled Tests since start of FTA program

Pre-Employment – Percent of Positives - THC



Post-Accident Positives – Drug Type

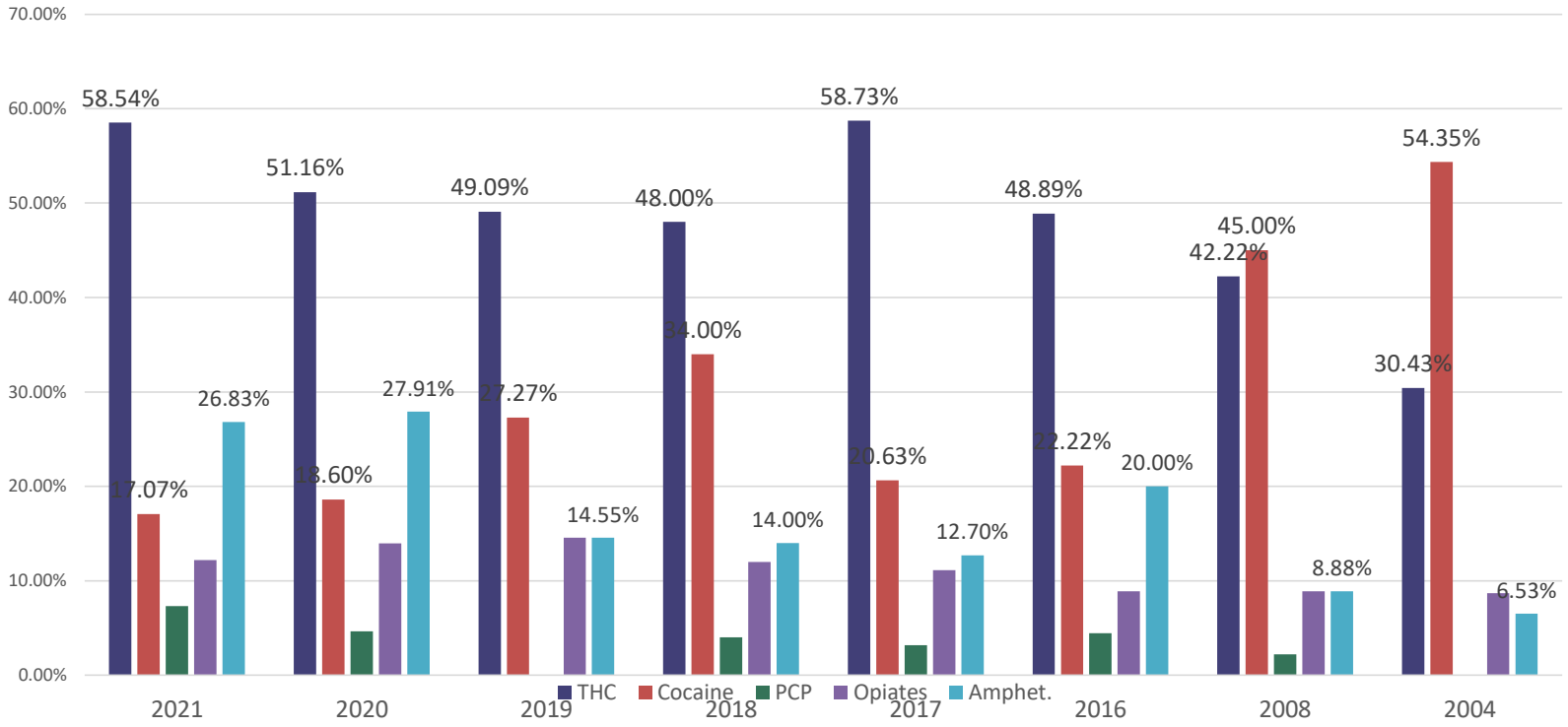


2021	PA	ALL OTHER
THC	71.80%	79.36%
Cocaine	14.43%	11.37%
PCP	0.0%	0.0%
Opioids	6.77%	5.77%
Amphet	5.26%	6.10%

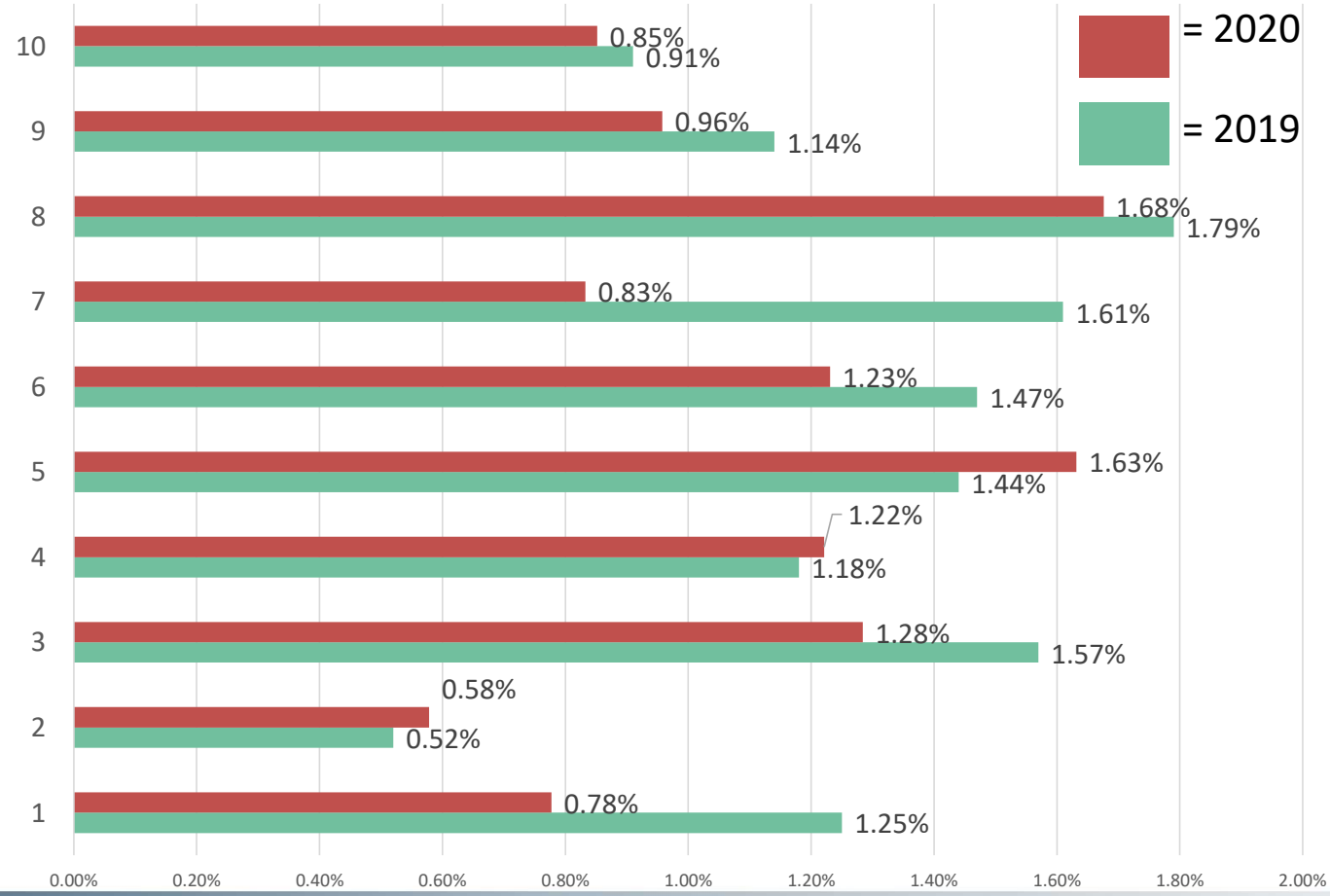
Reasonable Suspicion

366 (drug) & 310 (alc) are the lowest totals since 1996

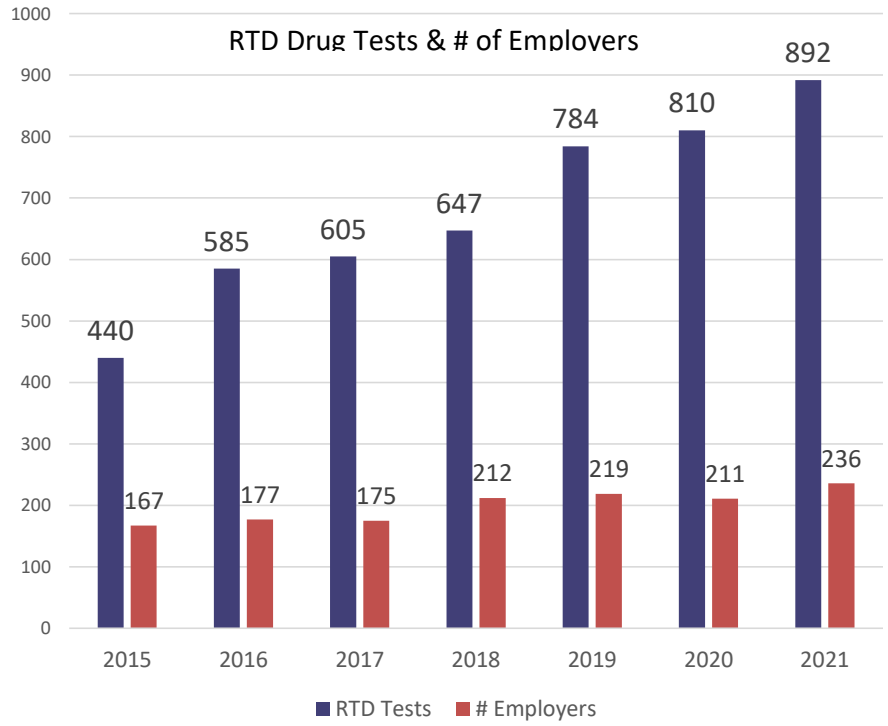
Reasonable Suspicion Positives – Drug Type

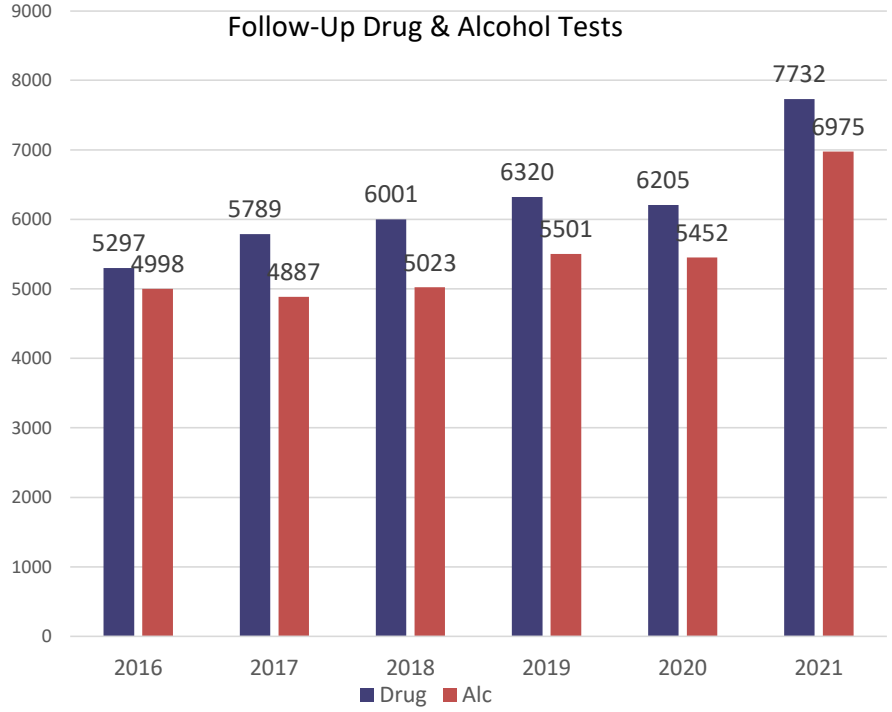


2019/2020 Random Drug Positive Rate - FTA Regions



Return-to-Duty & Follow-Up





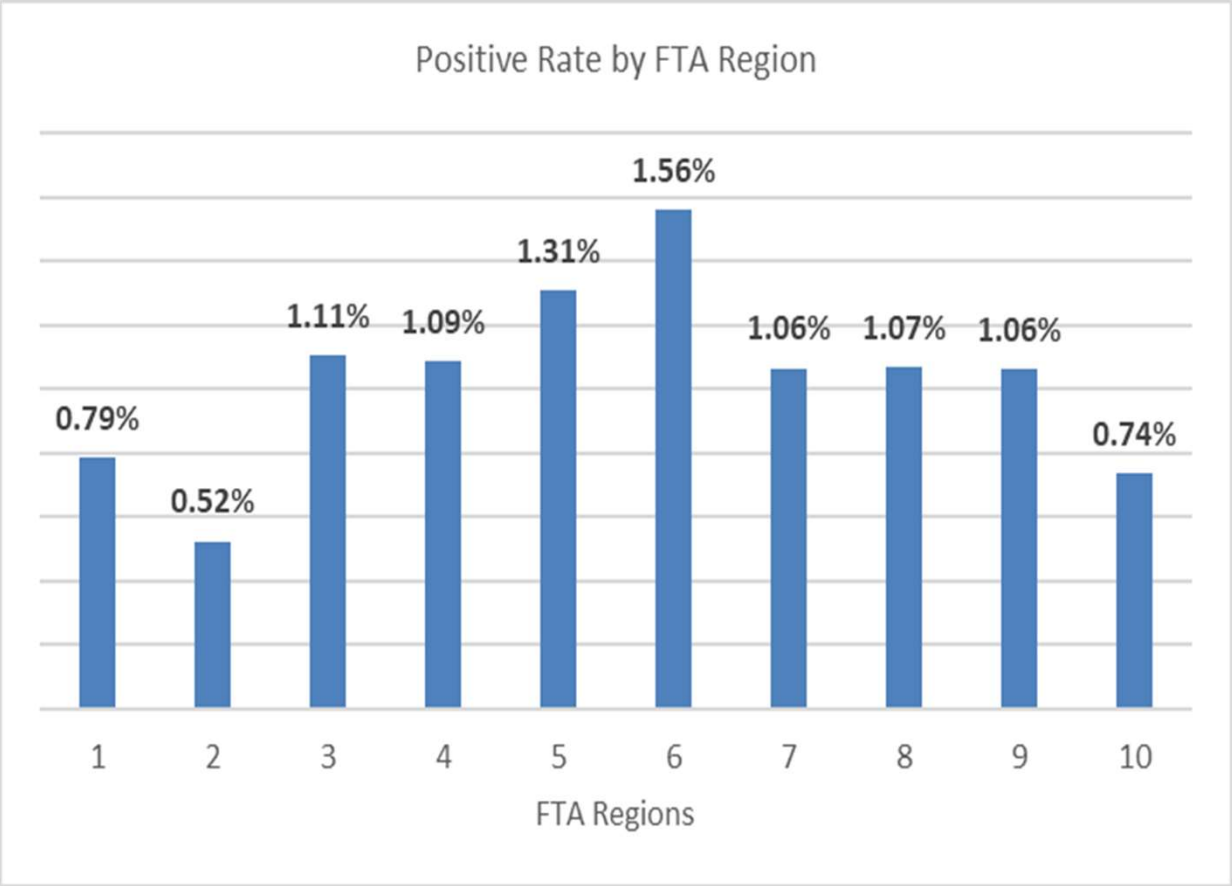
	GRANTEES & SUBRECIPIENTS	CONTRACTORS
COVERED EMPLOYERS	2,087	1,260
COVERED EMPLOYEES	203,633	77,530
POSITIVE RATE (RANDOM)	0.85%	1.38%
VIOLATION RATE (RANDOM)	0.139%	0.104%
POSITIVE RATE (ALL TEST TYPES)	1.55%	3.26%
VIOLATION RATE (ALL TEST TYPES)	0.203%	0.205%
CANCELLED DRUG TEST RATE	1 per 114	1 per 206

2021

Grantees & Subrecipients vs Contractors

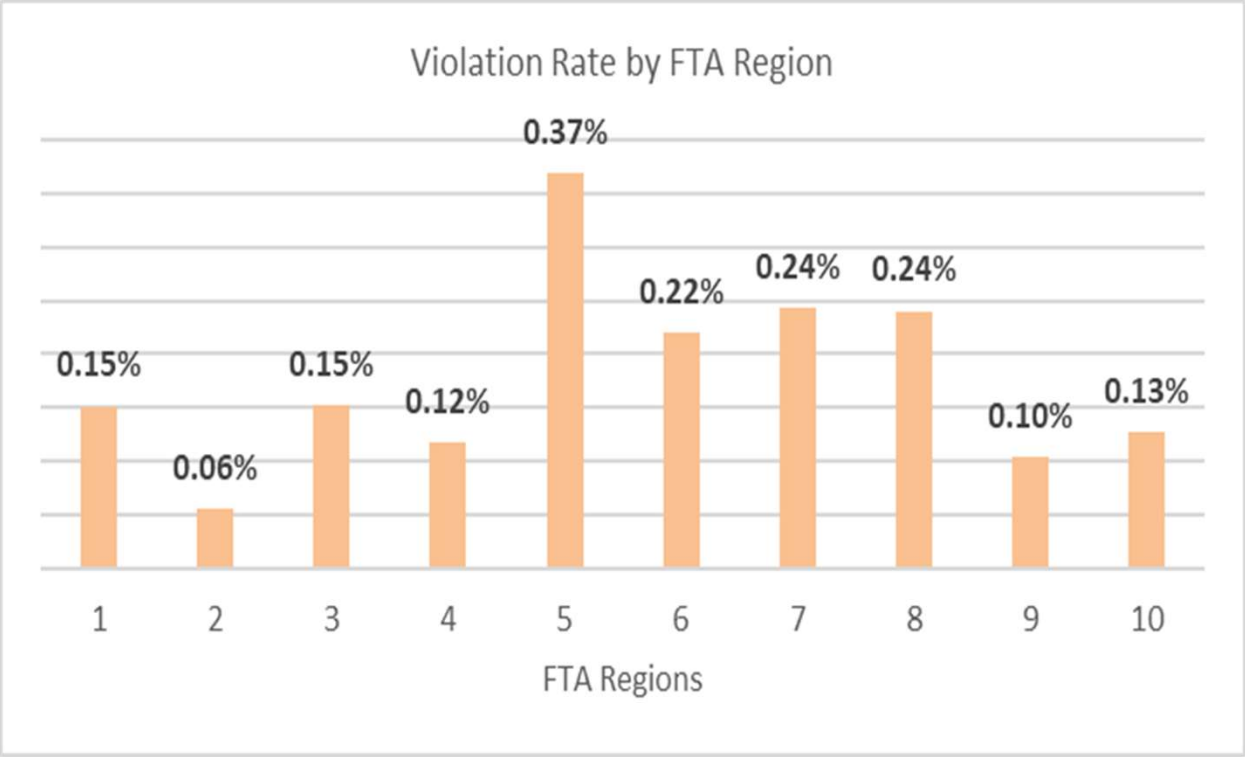
	THC	COCAINE	PCP	OPIOIDS	AMPHET
Transit	81.37%	10.83%	0.45%	5.38%	6.32%
Contractors	77.76%	12.37%	0.30%	6.25%	5.73%

Positive Rate – Random - 2021



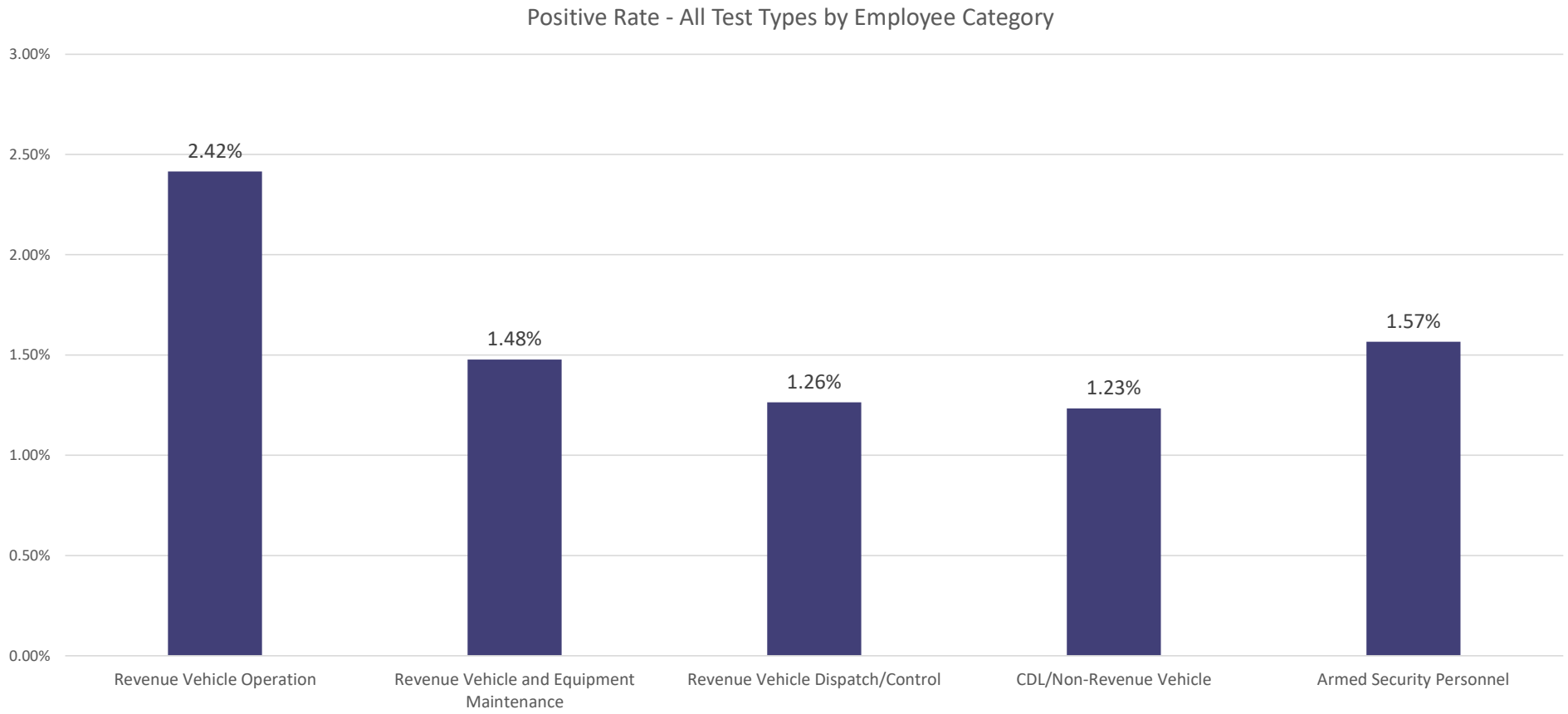
Region	States
1	Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont
2	New Jersey, New York
3	Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia
4	Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee, Puerto Rico, US Virgin Islands
5	Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin
6	Arkansas, Louisiana, New Mexico, Oklahoma, Texas
7	Iowa, Kansas, Missouri, Nebraska
8	Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming
9	Arizona, California, Hawaii, Nevada, American Samoa, Guam, Northern Mariana Islands
10	Alaska, Idaho, Oregon, Washington

Violation Rate – Random - 2021

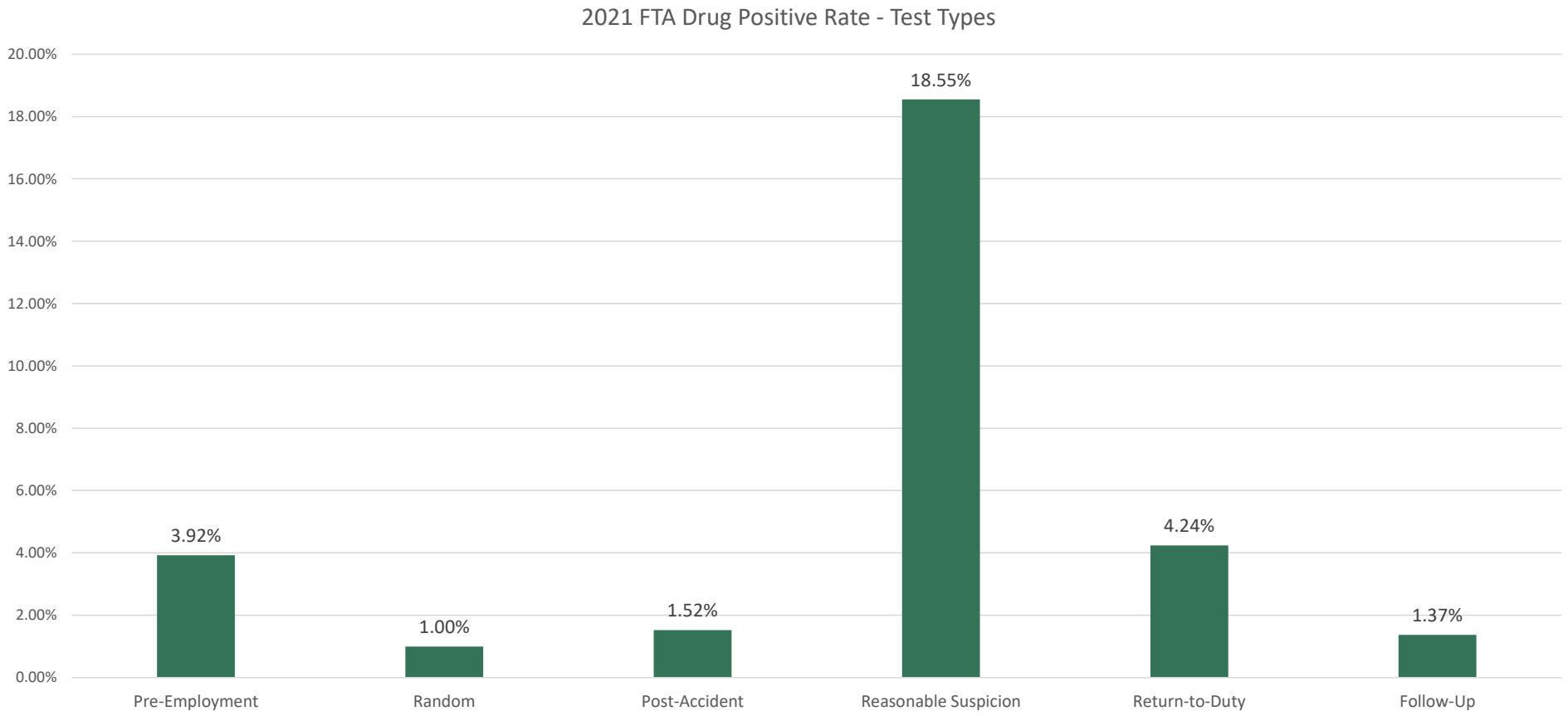


Region	States
1	Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont
2	New Jersey, New York
3	Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia
4	Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee, Puerto Rico, US Virgin Islands
5	Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin
6	Arkansas, Louisiana, New Mexico, Oklahoma, Texas
7	Iowa, Kansas, Missouri, Nebraska
8	Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming
9	Arizona, California, Hawaii, Nevada, American Samoa, Guam, Northern Mariana Islands
10	Alaska, Idaho, Oregon, Washington

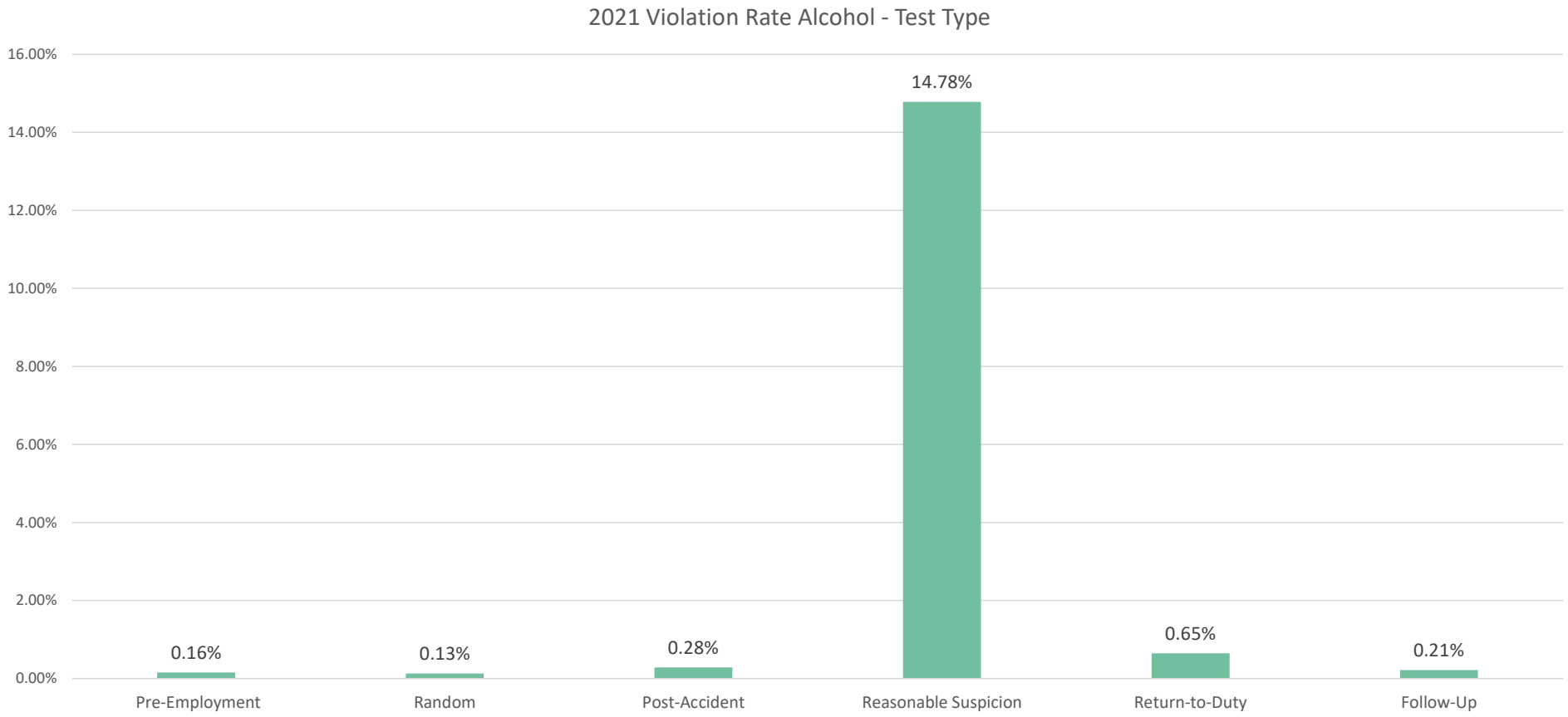
Positive Rate – All Test Types – Employee Category - 2021



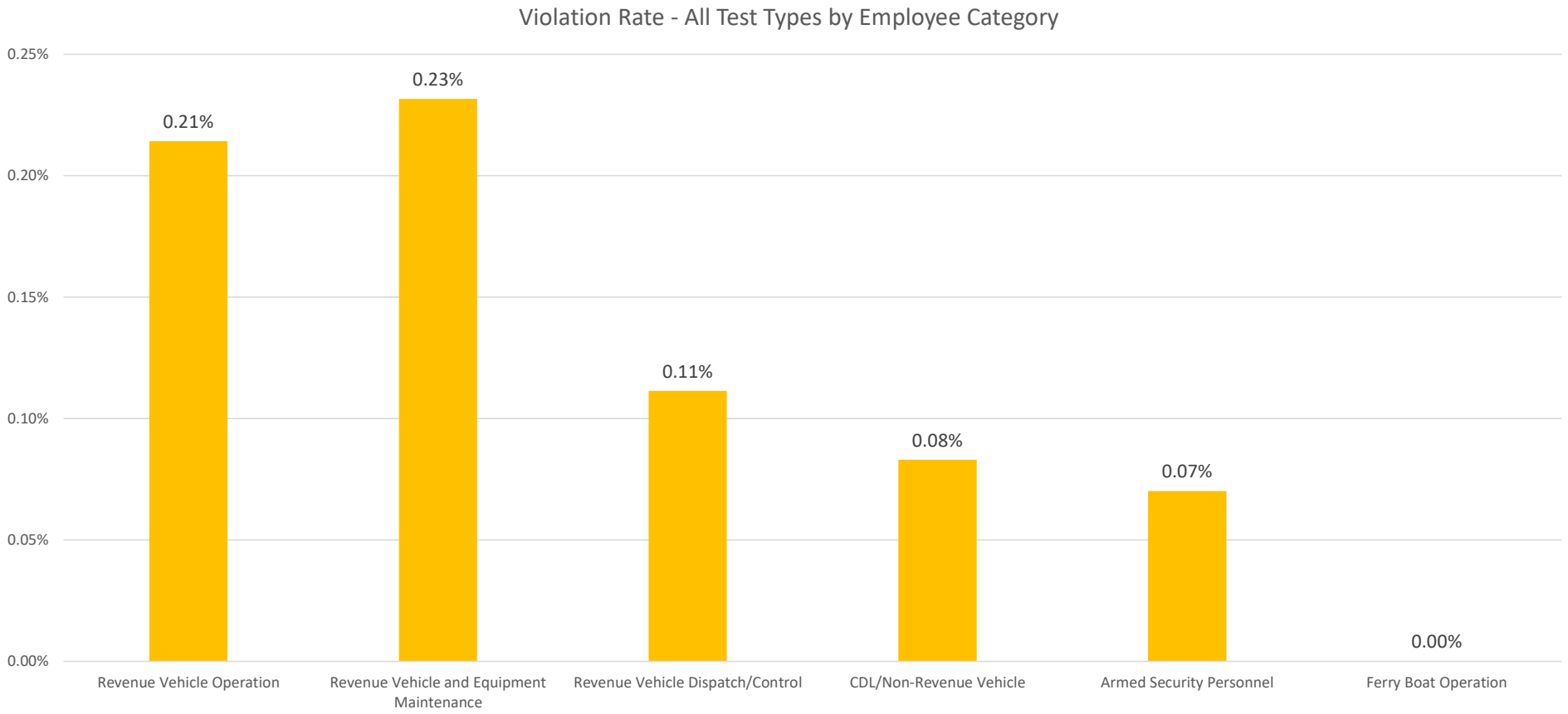
Positive Rate –Test Type – 2021



Violation Rate –Test Type – 2021



Violation Rate – All Test Types – Employee Category - 2021



Questions?

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fta.damis@dot.gov