

# OQ & D&A

## Regulatory Field Assessments

49 CFR Part 40,199, 192,195



## Process Overview

### Initial Assessment

Identification of Regulatory requirements and Scope to the organization.

### Audit OQ Program Implementation

On-site interviews with applicable personnel and documentation review to assess the following (as applicable):

- o Identification of Covered Tasks
- o Qualification and Evaluation Process
- o Performance and Supervision of Non-Qualified Individuals
- o Post-Incident Evaluation Process
- o Monitoring/Re-evaluation Process of Individuals
- o Communication of Changes
- o Covered Task Evaluation Intervals
- o Training Implementation

### Audit D&A Program Implementation

On-site interviews with applicable personnel and documentation review to assess the following (as applicable):

- o Anti-Drug & Alcohol Plan and requirements
- o Administrative provisions
- o Drug tests required
- o Alcohol tests required
- o Employer responsibilities
- o SAP, MRO, Lab verification process
- o Roles and responsibilities of Service Agents
- o Urine specimen collections
- o Review of Drug/Alcohol testing results
- o Employee Assistance Program
- o Contractor employees
- o Recordkeeping
- o Reporting of drug & alcohol testing results
- o Use following an accident
- o Training for supervisors

### Executive Summary

Report provided highlighting key findings, actionable insights, and a clear understanding of the current state of the Operator and/or Contractor OQ and D&A program implementation, areas for improvement, and recommended pathways for enhanced regulatory compliance.

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