

COLLECTION SITE CHECKLIST

Name of Collection Site: _____ Date of Review: _____

Name of Collector: _____ Name of Reviewer: _____

UNEVENTFUL BREATH ALCOHOL TEST (result less than 0.02) - Did the Breath Alcohol Technician (BAT)...

- Require employee to provide positive photo identification (Part 40.241(c)).
- Perform the Alcohol test before the drug test, if applicable
- Explain testing procedures on back of Alcohol Testing Form (ATF) (40.241(e))
- Complete Step 1 of ATF (40.241(f))
 - Employee Name, ID Number
 - Employer Name and Contact information
 - DER Name and Telephone Number
 - Reason for Test
- Have the employee complete Step 2 of the ATF (40.241(g))
- Open individually sealed mouthpiece and attach to EBT (40.243(b))
- Instruct employee to blow forcefully until EBT indicates that an adequate amount of breath has been obtained (40.243(c))
- Show employee the result displayed on EBT (40.243(d))
- If EBT prints result on paper strip: Did the BAT affix the strip to the ATF using tamper evident tape (40.243(f))
- If EBT does not print results on paper strip: Did the BAT complete the following information on Step 3 of the ATF (40.243(g)):
 - Identification of the machine
 - Time
 - Sequential Test Number
 - Test Outcome
- Complete Step 3 of the ATF by dating and signing the certification (40.247(a))
- Distribute the ATF copies to appropriate individuals (40.247(a)):
 - Copy 1 to Employer
 - Copy 2 to Employee
 - Retain Copy 3

After the Breath Alcohol Test is completed, review the following items:

- Was consent - giving the collection site or its personnel indemnification - required for testing? (40.355(a))
 - Collection sites cannot require an employee to sign a consent, release, waiver of liability, or indemnification agreement with respect to any part of the alcohol or drug testing process covered by 49 CFR Part 40. No one may do so on behalf of a service agent
- Is the EBT on the National Highway Traffic Safety Administration (NHTSA) conforming products list?
- Was the correct ATF used? (40.225(a))
 - The DOT ATF must be used for every DOT alcohol test. The ATF must be a three-part carbonless manifold form. The ATF is found in Appendix G of

49 CFR Part 40. You may view this form on the ODAPC website (www.dot.gov/ost/dapc)

- Were all necessary equipment, personnel, and materials for breath testing provided at the location where testing occurred? (40.221(d))
- Did the breath alcohol testing location afford visual and aural privacy to prevent unauthorized persons from seeing or hearing test results? (40.221(c))
- Did the BAT remain with the employee for the entire duration of the alcohol testing procedure? (40.223(e)(3))
- Does the BAT have a copy of the quality assurance plan (QAP) for the EBT? (40.233(c))
- Ask to see the external calibration checks for the EBT (40.233(c))
- Have the BATs completed the required training and acquired the proper credentials? (40.213(g))
- Ask to see the credentials of the BAT
- Does the BAT have a current copy of 49 CFR Part 40? (40.213)

UNEVENTFUL URINE COLLECTION - Did the Collector...

- Require employee to provide positive identification (Part 40.61(c)).
- Direct the employee to remove outer clothing (jacket, hat) and to leave these garments and other personal items (briefcase, purse, etc.) in a mutually agreeable location (Part 40.61(f)).
 - Advises employee that failure to comply constitutes a refusal to test.
 - Allows employee to keep wallet (40.61(f)(2)).
- Direct employee to empty pockets and display items in them (Part 40.61(f)(4)).
 - If no potential adulterants are found, allow employee to return items to pockets.
- Complete Step 1 of CCF (Part 40.63(a)).
 - Ensures that the name and address of the drug testing laboratory appears at the top of the CCF.
 - Ensures that the Specimen ID at the top of the CCF matches the Specimen ID on labels/seals.
 - Checks the Reason for Test box (Pre-Employment, Random, Post-Accident, etc.).
 - Checks the DOT and the FTA box (Testing Authority)
 - Checks the Drug Tests to Be Performed box (THC, COC, PCP, OPI, AMP for DOT).
- Instruct employee to wash/dry hands and not to wash hands again until delivering specimen to collector (Part 40.63(b)).
- Ensure collection container is selected and unwrapped in presence of employee (Part 40.63(c)).

- Secure urination facility before the collection (If single-toilet room with a full-length privacy door) (Parts 40.41 & 43).
 - Secures any water sources or make them unavailable to employees (e.g., turn off water inlet, tape handles to prevent opening faucets).
 - Ensures that the water in the toilet tank contains bluing agent.
 - Ensures that soap, disinfectants, cleaning agents, or other possible adulterants are not present.
 - Inspects the site to ensure that no foreign or unauthorized substances are present.
 - Tapes or otherwise securely shuts any movable toilet tank or puts bluing agent in the tank.
 - Ensures that undetected access (e.g., through a door not in your view) is not possible.
 - Secures areas and items (e.g., ledges, trash receptacles, paper-towel holders, under-sink areas, drop-down ceiling panels) that appear suitable for concealing contaminants.
- Direct employee to go into room used for urination and instruct employee to:
 - Provide at least 45 ml of urine.
 - Not flush the toilet.
 - Return specimen to the collector as soon as the void is complete.
 - Set a reasonable time limit for voiding (Part 40.63(d)(2)).
 - Allow only the employee into the room used for urination (40.41(d)(1)).
- Check that the specimen:
 - Contains at least 45 ml of urine. If not, follow shy bladder procedure (Part 40.65(a)).
 - Reads temperature strip within 4 minutes (Part 40.65(b)).
- Mark appropriate box in Step 2 of CCF (Yes = between 90 and 100 degrees).
- Check specimen for signs of tampering (Part 40.65).
- Check specimen for unusual color, foreign objects/material, or other signs of tampering (odor).
- Mark box in Step 2 of the CCF indicating a split specimen collection (Part 40.71(b)(1)).
- Pour at least 30 ml of urine into the primary specimen bottle (Part 40.71(b)(2)).
- Pour at least 15 ml of urine into the secondary specimen bottle (Part 40.71(b)(2)).
- Secure the lids or caps on the specimen bottles (Part 40.71(b)(4)).
- Place the tamper-evident seals on the specimen bottles (Part 40.71(b)(5)).
 - Dates the specimen bottle seals (Part 40.71(b)(6)).
 - Ensures that the employee initials specimen bottle seals (Part 40.71(b)(7)).
- Direct employee to read and sign certification statement on Copy 2, Step 5 of CCF and to provide date of birth, printed name, day and evening contact telephone numbers (Part 40.71(a)(1)).
- Print collector name in Copy 1, Step 4 of CCF; record the date and time of collection; sign statement; enter actual name of delivery service transferring the specimen to laboratory (Part 40.73(a)(2)).
- Ensure that all copies of the CCF are legible and complete (Part 40.73(a)(3)).
- Remove Copy 5 of the CCF and give it to the employee (Part 40.73(a)(4)).
- Place specimen bottles and Copy 1 of CCF in plastic bag and secure both pouches of plastic bag (Part 40.73(a)(5)-(a)(6)).
- Advise employee that he/she may leave the site (Part 40.73(a)(7)).
- Recheck the urination facility, performing all steps as was done prior to the collection to ensure the site's continued integrity.