

**CONNECTICUT DRUG AND ALCOHOL
TESTING CONSORTIUM
COLLECTION SITE AUDIT CHECKLIST**

I. INITIAL BREATH ALCOHOL TEST

- ☐ ALWAYS CONDUCT BREATH ALCOHOL TEST FIRST
- ☐ PHOTO ID REQUESTED
- ☐ NO REQUEST FOR CONSENT, WAIVER, INDEMNIFICATION OR RELEASE FORM REQUESTED BE SIGNED
- ☐ BAT EXPLAINS PROCEDURE & REVIEWS INSTRUCTIONS ON BACK OF ALCOHOL TESTING FORM
- ☐ DOT ALCOHOL TESTING FORM (ATF) USED
- ☐ BAT COMPLETES SECTION 1 OF ATF
- ☐ BAT REQUESTS DONOR COMPLETE SECTION 2 AND SIGN CERTIFICATION
- ☐ BAT OPENS A SEALED MOUTHPIECE IN VIEW OF EMPLOYEE
- ☐ BAT INSTRUCTS EMPLOYEE TO BLOW INTO THE MOUTHPIECE FOR AT LEAST SIX SECONDS (or until machine indicated that an adequate amount had been obtained)
- ☐ BAT SHOWS EMPLOYEE RESULT DISPLAYED ON EBT
- ☐ EBT MACHINE PRINTS TEST NUMBER, TESTING DEVICE NAME AND SERIAL NUMBER, TIME AND RESULT
- OR-**
- ☐ BAT COMPLETES SECTION 3 OF THE ATF BY RECORDING TEST NUMBER, TESTING DEVICE NAME AND SERIAL NUMBER, TIME AND RESULT
- ☐ EBT PRINTED REPORT AFFIXED TO ATF WITH TAMPER-EVIDENT TAPE
- ☐ RESULT < .02, SECTION 3 OF ATF COMPLETED
- ☐ COPY 1 TO EMPLOYER, COPY 2 TO EMPLOYEE, RETAIN COPY 3
- ☐ ALL NECESSARY EQUIPMENT, PERSONNEL AND MATERIALS WERE AVAILABLE
- ☐ VISUAL AND AURAL PRIVACY WAS AFFORDED
- ☐ ONLY ONE EMPLOYEE AT A TIME WAS TESTED
- ☐ BAT REMAINED WITH EMPLOYEE FOR THE ENTIRE TIME

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II. CONFIRMATION ALCOHOL TEST

- ☐ **RESULT OF .02 OR HIGHER, BAT ADVISED CONFIRMATION TEST IS NECESSARY**
- ☐ **WAITING PERIOD OF NO LESS THAN 15 MINUTES, NOR MORE THAN 30 MINUTES, WAS PROPERLY EXHAUSTED**
- ☐ **BAT ADVISED THE FOLLOWING:**
 - **No Eating, Drinking, Putting anything in the mouth, or belching**
 - **Reason for waiting period**
 - **Waiting period benefits the employee**
 - **Test will be conducted at the end of the waiting period, regardless of whether or not the above directions were followed**
- ☐ **IF THE EMPLOYEE DOES NOT FOLLOW THE INSTRUCTIONS, THE BAT SHOULD NOTE SAME ON “REMARKS” LINE OF ATF**
- ☐ **PRIOR TO CONDUCTING CONFIRMATION TEST, BAT CONDUCTS AN AIR BLANK TEST AND SHOWS READING TO EMPLOYEE**
- ☐ **IF READING IS 0.00, TEST MAY PROCEED; IF READING IS GREATER THAN 0.00, ANOTHER AIR BLANK TEST MUST BE CONDUCTED**
- ☐ **IF TEST IS NOT CONDUCTED WITHIN 30 MINUTES, A NOTATION MUST BE MADE ON THE ATF REMARKS SECTION INDICATING THE ACTUAL TIME THAT ELAPSED AS WELL AS THE REASON**
- ☐ **IF A NEW BAT CONDUCTS CONFIRMATION TEST, THE ENTIRE TESTING PROCESS MUST BEGIN AGAIN INCLUDING ID, NEW ATF FORM, PROCEDURE DESCRIPTION**
- ☐ **A NEW MOUTHPIECE IS USED FOR CONFIRMATION TEST**
- ☐ **BAT AND EMPLOYEE READ SEQUENTIAL TEST NUMBER PRIOR TO TEST**
- ☐ **BAT SHOWS EMPLOYEE TEST RESULT**
- ☐ **TEST RESULT LESS THAN .02, BAT SIGNS/DATES ATF STEP 3**
- ☐ **TEST RESULT HIGHER THAN .02, EMPLOYEE SIGNS ATF STEP 4**

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III. BREATH ALCOHOL TESTING : QUESTIONS

1) If the employee cannot provide a sufficient amount of breath to permit a valid test, does the BAT:

Y N

- ☐ ☐ Instruct the employee to attempt again
- ☐ ☐ If employee refuses, BAT discontinues test, notes on ATF "remarks" line, and immediately notifies DER – this is a Refusal to Test
- ☐ ☐ If employee attempts and fails, BAT provides another opportunity
- ☐ ☐ If second attempt fails, BAT notes on ATF "remarks" line and immediately notifies DER
- ☐ ☐ If EBT has manual operation capability, BAT attempts to conduct in manual mode

2) If the alcohol confirmation test is .02 or higher and the employee refuses to sign Step 4 of the ATF does the BAT note on ATF "remarks" line (not a Refusal to Submit)

Y N

☐ ☐

3) If the employee refuses to take the alcohol test, does the BAT:

Y N

- ☐ ☐ Terminate this portion of the test
- ☐ ☐ Document the Refusal on the ATF
- ☐ ☐ Notify the DER by phone, secure fax, and/or secure email immediately

**(PLEASE ASK THE BAT TO ANSWER THESE QUESTIONS)
(ALL ANSWERS SHOULD BE "YES")**

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IV. DRUG URINALYSIS COLLECTION

- ☐ **PHOTO ID REQUESTED**
- ☐ **NO REQUEST FOR CONSENT, WAIVER, INDEMNIFICATION OR RELEASE FORM REQUESTED BE SIGNED**
- ☐ **EMPLOYEE INSTRUCTED TO REMOVE OUTER GARMENTS AND LEAVE WITH OTHER PERSONAL BELONGINGS IN AN AGREED UPON LOCATION**
- ☐ **EMPLOYEE DIRECTED TO EMPTY HIS/HER POCKETS AND DISPLAY TO COLLECTOR ITEMS ON PERSON**
- ☐ **EMPLOYEE ALLOWED TO KEEP HIS/HER WALLET**
- ☐ **COLLECTOR EXPLAINS PROCEDURE & REVIEWS THE INSTRUCTIONS ON THE BACK OF THE CCF**
- ☐ **EMPLOYEE INSTRUCTED TO WASH AND DRY HANDS**
- ☐ **WATER SOURCE IS EXTERNAL TO PRIVACY ENCLOSURE
(If water source is not external, water source / soap dispenser, etc. must be secured; towelettes to be used for hand washing)**
- ☐ **COLLECTION CONTAINER IS SEALED AND WRAPPER IS REMOVED BY EITHER EMPLOYEE OR COLLECTOR (IN PRESENCE OF EMPLOYEE)**
- ☐ **SINGLE USE PLASTIC CONTAINER PROVIDED (no less than 55ml capacity)**
- ☐ **EMPLOYEE REMAINS IN SIGHT OF COLLECTOR PRIOR TO ENTERING ENCLOSURE**

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**V. SECURITY & INTEGRITY
PRIVACY ENCLOSURE**

- | Y | N | |
|--------------------------|--------------------------|--|
| ☐ | ☐ | Water source is unavailable (inlets turned off, handles taped) |
| ☐ | ☐ | Toilet water is blue |
| ☐ | ☐ | Soap, disinfectants, cleaning agents and other potential adulterants are not present |
| ☐ | ☐ | No foreign or unauthorized substances are present |
| ☐ | ☐ | Toilet tank top is taped/secured shut or water is blue in tank |
| ☐ | ☐ | Undetected access to privacy enclosure is not available |
| ☐ | ☐ | Ledges, trash receptacles, paper towel holders, under-sink areas, etc. are secure |
| ☐ | ☐ | Ceiling tiles are secure |

**PURPOSE
TO DETER TAMPERING AND ENSURE THAT:**

- **All sources of clear water have been eliminated**
- **Possible specimen contaminants have been removed**
- **All places where paraphernalia could be hidden have been secured or removed**

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VI. SPECIMEN HANDLING

- ☐ **ONLY THE COLLECTOR HANDLES THE SPECIMEN AFTER THE EMPLOYEE PROVIDES**
- ☐ **COLLECTOR OBSERVES MINIMUM QUANTITY OF 45 ml**
- ☐ **COLLECTOR CHECKS SPLIT SPECIMEN (Step 2 on CCF)**
- ☐ **COLLECTOR READS TEMPERATURE STRIP WITHIN 4 MINUTES**
- ☐ **COLLECTOR CHECKS APPROPRIATE BOX ON CCF REGARDING ACCEPTABLE TEMPERATURE RANGE**
- ☐ **EMPLOYEE OR COLLECTOR (IN PRESENCE OF EMPLOYEE) SELECTS SEALED COLLECTION CONTAINER AND UNWRAPS OR BREAKS SEAL**
- ☐ **COLLECTOR POURS AT LEAST 30 ml OF URINE INTO PRIMARY SPECIMEN BOTTLE**
- ☐ **COLLECTOR POURS AT LEAST 15 ml OF URINE INTO SECOND SPECIMEN BOTTLE**

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VII. Chain of Custody Form / Specimen Bottles

- ☐ **CCF Step 1 – Reason for Test and Drugs to be tested for**
- ☐ **COLLECTOR PLACES TAMPER-EVIDENT SEALS OVER BOTTLE CAP/LID AND DOWN SIDE OF BOTTLE**
- ☐ **COLLECTOR WRITES DATE ON EACH SEAL AFTER AFFIXING TO BOTTLES**
- ☐ **EMPLOYEE INITIALS EACH SEAL AFTER THE SEALS ARE AFFIXED TO BOTTLES**
- ☐ **CCF Step 5 – Employee signs certification statement on Copy 2 of CCF and provides date of birth, printed name, and day and evening contact phone numbers**
- ☐ **COLLECTOR REVIEWS INFORMATION FOR ACCURACY**
- ☐ **CCF Step 4 – Collector provides printed name, signature, date, time of collection, and name of delivery service**
- ☐ **COLLECTOR PLACES SEALED SPECIMEN BOTTLES AND COPY 1 OF CCF IN A LEAK PROOF PLASTIC BAG WITH ABSORBENT MATERIAL AND SEALS BAG**

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VIII. DRUG URINALYSIS TESTING : QUESTIONS

1) Are copies 1-5 of the CCF sent to the following individuals?

Copy 1	Laboratory
Copy 2	MRO
Copy 3	Collector
Copy 4	DER
Copy 5	Employee

Y N

☐ ☐

2) Chain of Custody Form – Did the CCF include all of the following information?

Y N

- | | | |
|--------------------------|--------------------------|--|
| ☐ | ☐ | Employee ID Number or Social Security Number |
| ☐ | ☐ | Collector signature and printed name |
| ☐ | ☐ | Time of collection |
| ☐ | ☐ | Date of collection |
| ☐ | ☐ | Name of delivery service transferring specimen to lab |
| ☐ | ☐ | Employee Name, Signature, Date of Birth, and contact information |

3) Security – Are the following security measures in place?

Y N

- | | | |
|--------------------------|--------------------------|--|
| ☐ | ☐ | Unauthorized personnel are not permitted in any area where urine specimens are collected or stored |
| ☐ | ☐ | There are written policies and procedures indicating this fact |
| ☐ | ☐ | The security of the privacy enclosure is checked before each new collection |
| ☐ | ☐ | Does the collector have only one donor under his/her supervision at one time? |
| ☐ | ☐ | Does the collector keep the collection container within his/her and the employee's view? |

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Y N

- | | | |
|--------------------------|--------------------------|---|
| ☐ | ☐ | When an employee has not arrived to take a scheduled test, the collector notifies the DER |
| ☐ | ☐ | Employees are not required to sign a consent, release, waiver of liability, or indemnification agreement |
| ☐ | ☐ | When the employee enters the collection site, the collection is begun without delay |
| ☐ | ☐ | If an employee is found to have material which could be used to tamper with a specimen, the collector will conduct a directly observed collection |
| ☐ | ☐ | If an employee is attempting to adulterate or substitute their specimen, the collector will conduct a directly observed collection |
| ☐ | ☐ | If an employee refuses to cooperate with the collection process, the following three steps occur:
<div style="margin-left: 40px;"><div>1) Terminate testing process</div><div>2) Document Refusal on CCF</div><div>3) Immediately notify DER</div></div> |
| ☐ | ☐ | If an employee provides an adulterated sample and refuses a second directly observed specimen collection, the collector will notify the DER and discard any specimen the employee has provided |
| ☐ | ☐ | If the temperature of a urine specimen is outside the acceptable range, the following will occur:
<div style="margin-left: 40px;"><div>1) Indicate temperature out of range on CCF</div><div>2) Immediately conduct test under direct observation</div><div>3) Both specimens are sent to the lab</div><div>4) The DER is notified as soon as possible</div></div> |
| ☐ | ☐ | If an employee has tampered with his/her specimen, a second specimen will be conducted under direct observation; both are sent to the lab |

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IX. DIRECT OBSERVATION

Y N

☐ ☐ If the collector must conduct an observed collection, the following will occur:

- 1) Mark "reason for test" as the same as first collection
- 2) Check "observed" box and enter reason in "Remarks"

☐ ☐ A same-gender collector is always available

X. SHY BLADDER

Y N

☐ ☐ If the employee is unable to provide a specimen of at least 45 ml, the following will occur:

- 1) Employee will be encouraged to drink up to 40 ounces of fluid within up to three hours
- 2) A device to measure the 40 ounces is available
- 3) Document on "Remarks" line
- 4) Inform employee when the three hour period begins/ends
Insufficient specimen is discarded

☐ ☐ If the employee leaves the collection site before the process is complete, notation is made in the "Remarks" section, DER is notified
This is a Refusal to Test

☐ ☐ If the employee is unable to provide a sufficient sample within the three hour period, the collection process is ended, notation made on CCF, and DER is notified

☐ ☐ If the collection site is about to close and the three hour period has not been exhausted, the collection site will be kept open until the three hour period has passed

**(PLEASE ASK THE COLLECTOR TO ANSWER THESE QUESTIONS)
(ALL ANSWERS SHOULD BE "YES")**