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
☐ 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
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
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”)
CONNECTICUT DRUG AND ALCOHOL TESTING CONSORTIUM
COLLECTION SITE AUDIT CHECKLIST

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
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
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
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
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?
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:

1) Terminate testing process
2) Document Refusal on CCF
3) Immediately notify DER

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:

1) Indicate temperature out of range on CCF
2) Immediately conduct test under direct observation
3) Both specimens are sent to the lab
4) The DER is notified as soon as possible

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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(PLEASE ASK THE COLLECTOR TO ANSWER THESE QUESTIONS)  
(ALL ANSWERS SHOULD BE “YES”)

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