# Urine Collections Interview Questions

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| 1. | WERE THE NORMAL PREPARATORY SPECIMEN COLLECTION PROCEDURES FOLLOWED CORRECTLY AND COMPLETELY? | |
| 2. | Photo identification required? | Section 40.61(c) states: "As the collector, you must take the following steps before actually beginning a collection: (c) Require the employee to provide positive identification. You must see a photo ID issued by the employer (other than in the case of an owner-operator or other self-employed individual) or a Federal, state, or local government (e.g., a driver's license). You may not accept faxes or photocopies of identification. Positive identification by an employer representative (not a co-worker or another employee being tested) is also acceptable. If the employee cannot produce positive identification, you must contact a DER to verify the identity of the employee." |
| 3. | Was consent or release - giving the collection site or its personnel indemnification - required for testing to be performed? | Section 40.355 states: "As a service agent, you are subject to the following limitations concerning your activities in the DOT drug and alcohol testing program. (a) You must not require an employee to sign a consent, release, waiver of liability, or indemnification agreement with respect to any part of the drug or alcohol testing process covered by this part (including, but not limited to, collections, laboratory testing, MRO, and SAP services). No one may do so on behalf of a service agent." |
| 4. | Directed to remove any outer garments (e.g., jacket, coat, hat) and to leave personal belongings such as purses and briefcases with the outer garments? | Section 40.61(f) states: "As the collector, you must take the following steps before actually beginning a collection: (f) Direct the employee to remove outer clothing (e.g., coveralls, jacket, coat, hat) that could be used to conceal items or substances that could be used to tamper with a specimen. Also direct the employee to leave these garments and any briefcase, purse, or other personal belongings with you or in a mutually agreed upon location. Advise the employee that failure to comply with your directions constitutes a refusal to test." |
| 5. | Directed to empty pockets and display the contents? | Section 40.61(f)(4) states: "You must direct the employee to empty his or her pockets and display the items in them to ensure that no items are present which could be used to adulterate the specimen. If nothing is there that can be used to adulterate a specimen, the employee can place the items back into his or her pockets. As the employee, you must allow the collector to make this observation." |
| 6. | Is the employee allowed to keep his/her wallet, or is the wallet maintained in a sufficiently secure fashion? | Section 40.61(f)(2) states: "You must allow the employee to keep his or her wallet." |
| 7. | Does the collector explain the basic collection procedure to the employee and show the employee the instructions on the back of the CCF? | Section 40.61(e) states: "Explain the basic collection procedure to the employee, including show ing the employee the instructions on the back of the CCF." |

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| 8. | After the employee has removed any outer clothing and displayed the contents of their pockets, does the collector instruct the employee to wash and dry his/her hands? | Section 40.63 states: "As the collector, you must take the following steps before the employee provides the urine specimen: (a) Complete Step 1 of the CCF. (b) Instruct the employee to wash and dry his or her hands at this time. You must tell the employee not to wash his or her hands again until after delivering the specimen to you. You must not give the employee any further access to water or other materials that could be used to adulterate or dilute a specimen. (c) Select, or allow the employee to select, an individually wrapped or sealed collection container from collection kit materials. Either you or the employee, with both of you present, must unwrap or break the seal of the collection container. You must not unwrap or break the seal on any specimen bottle at this time. You must not allow the employee to take anything from the collection kit into the room used for urination except the collection container. (d) Direct the employee to go into the room used for urination, provide a specimen of at least 45 mL, not flush the toilet, and return to you with the specimen as soon as the employee has completed the void. (1) Except in the case of an observed or a monitored collection (see §§40.67 and 40.69), neither you nor anyone else may go into the room with the employee. (2) As the collector, you may set a reasonable time limit for voiding. (e) You must pay careful attention to the employee during the entire collection process to note any conduct that clearly indicates an attempt to tamper with a specimen (e.g., substitute urine in plain view or an attempt to bring into the collection site an adulterant or urine substitute). If you detect such conduct, you must require that a collection take place immediately under direct observation (see §40.67) and complete Step 2 by noting the conduct in the “Remarks” line of the CCF and the fact that the collection was observed by checking the “Observed” box. You must also, as soon as possible, inform the DER and collection site supervisor that a collection took place under direct observation and the reason for doing so." |
| 9. | Is there a source of water for hand washing, which, if practicable, is external to the privacy enclosure? | Section 40.41(e) states: "(e) The first, and preferred, type of facility for urination that a collection site may include is a single-toilet room, having a fulllength privacy door, within which urination can occur. (1) No one but the employee may be present in the room during the collection, except for the observer in the event of a directly observed collection. (2) You must have a source of water for washing hands, that, if practicable, should be external to the closed room where urination occurs. If an external source is not available, you may meet this requirement by securing all sources of water and other substances that could be used for adulteration and substitution (e.g., water faucets, soap dispensers) and providing moist towelettes outside the closed room." |

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| 10. | Are collection containers sealed, and does the employee or collector remove the sealed wrapper in the presence of the employee? | Appendix A states: "1. Collection Container ... (d) Must be individually wrapped in a sealed plastic bag or shrink wrapping; or must have a peelable, sealed lid or other easily visible tamper-evident system."<br>Section 40.63(c) states: "Select, or allow the employee to select, an individually wrapped or sealed collection container from collection kit materials. Either you or the employee, with both of you present, must unwrap or break the seal of the collection container. You must not unwrap or break the seal on any specimen bottle at this time. You must not allow the employee to take anything from the collection kit into the room used for urination except the collection container." |
| 11. | After the employee washes his/her hands, is the employee provided with a single-use plastic container from the collection kit which can hold at least 55 mL of urine? Does the collector assure that the employee takes nothing into the room used for urination except the collection container? | Part 40 Appendix A states: "1. Collection Container (a.) Single-use container, made of plastic, large enough to easily catch and hold at least 55 mL of urine voided from the body."<br>Section 40.63(c) states: "Select, or allow the employee to select, an individually wrapped or sealed collection container from collection kit materials. Either you or the employee, with both of you present, must unwrap or break the seal of the collection container. You must not unwrap or break the seal on any specimen bottle at this time. You must not allow the employee to take anything from the collection kit into the room used for urination except the collection container." |
| 12. | Is the employee then required to remain in the presence of the collector (with no access to water, soap or other adulterating agents) until entering the privacy enclosure to provide the specimen? | Section 40.63(b) states: "Instruct the employee to wash and dry his or her hands at this time. You must tell the employee not to wash his or her hands again until after delivering the specimen to you. You must not give the employee any further access to water or other materials that could be used to adulterate or dilute a specimen." |
| 13. | Does the collector ensure that in the privacy enclosure for urination:(1) all sources of clear water have been eliminated, (2) possible specimen contaminants have been removed; and (3) all places where paraphernalia could be hidden were secured or removed? | Section 40.43(b) states: As a collector, you must do the following before each collection to deter tampering with specimens: (1) Secure any water sources or otherwise make them unavailable to employees (e.g., turn off water inlet, tape handles to prevent opening faucets); (2) Ensure that the water in the toilet is blue; (3) Ensure that no soap, disinfectants, cleaning agents, or other possible adulterants are present; (4) Inspect the site to ensure that no foreign or unauthorized substances are present; (5) Tape or otherwise secure shut any movable toilet tank top, or put bluing in the tank; (6) Ensure that undetected access (e.g., through a door not in your view) is not possible; (7) Secure areas and items (e.g., ledges, trash receptacles, paper towel holders, under-sink areas) that appear suitable for concealing contaminants; and (8) Recheck items in paragraphs (b)(1) through (7) of this section following each collection to ensure the site's continued integrity." |

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| 14. | If a non-dedicated facility (public restroom or hospital examining room) is used for collections, is the location used for testing secured during drug testing by: 1) visually inspecting the privacy enclosure; 2) assuring that undetected access (e.g., through a rear door) is prevented; and 3) posting limited access signs during the collection process? | Section 40.43(c) states: "If the collection site uses a facility normally used for other purposes, like a public rest room or hospital examining room, you must, as a collector, also ensure before the collection that: (1) Access to collection materials and specimens is effectively restricted; and (2) The facility is secured against access during the procedure to ensure privacy to the employee and prevent distraction of the collector. Limited-access signs must be posted." |
| 15. | Does the water in the toilet contain a bluing agent? And is the toilet tank secured if it contains a feeder hose, or blued if it does not? | Section 40.43(b)(2) states: "Ensure that the water in the toilet is blue." Section 40.43(b)(5) states: "Tape or otherwise secure shut any movable toilet tank top, or put bluing in the tank." |
| 16. | UPON RECEIPT OF THE SPECIMEN, DID THE COLLECTOR CORRECTLY FOLLOW THE REQUIRED ACTIONS? | |
| 17. | Does the collector then observe that the specimen quantity is at least 45ml and check the split specimen box in Step 2? | Section 40.65(a) states: "Sufficiency of specimen. You must check to ensure that the specimen contains at least 45 mL of urine."<br>Section 40.71(b) states: "As the collector, you must take the following steps, in order, after the employee brings the urine specimen to you. You must take these steps in the presence of the employee. (1) Check the box on the CCF (Step 2) indicating that this was a split specimen collection." |
| 18. | Does the collector next: (1) determine the temperature of the specimen, using the temperature strip attached to the collection container within 4 minutes of receiving the specimen; and(2) mark the appropriate temperature box? | Section 40.65(b) states: "Temperature. You must check the temperature of the specimen no later than four minutes after the employee has given you the specimen. (1) The acceptable temperature range is 32-38 °C/90-100 °F. (2) You must determine the temperature of the specimen by reading the temperature strip attached to the collection container. (3) If the specimen temperature is within the acceptable range, you must mark the "Yes" box on the CCF (Step 2)." |
| 19. | Are the two specimen bottles sealed until it is time to pour the sample from the collection container? | Section 40.63(c) states: "Select, or allow the employee to select, an individually wrapped or sealed collection container from collection kit materials. Either you or the employee, with both of you present, must unwrap or break the seal of the collection container. You must not unwrap or break the seal on any specimen bottle at this time. You must not allow the employee to take anything from the collection kit into the room used for urination except the collection container." |
| 20. | After specimen collection and temperature reading, does the collector pour at least 30 mL of urine into the primary specimen bottle? | Section 40.71(b)(2) states: "You [the collector], not the employee, must first pour at least 30 mL of urine from the collection container into one specimen bottle, to be used for the primary specimen." |
| 21. | Does the collector pour at least 15 mL of the remaining urine specimen into the second specimen bottle to be used as the split specimen? | Section 40.71(b)(3) states: "You [the collector], not the employee, must then pour at least 15 mL of urine from the collection container into the second specimen bottle to be used for the split specimen." |

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| 22. | WERE THE CUSTODY AND CONTROL FORM AND SPECIMEN BOTTLES PROPERLY COMPLETED AND SEALED? | |
| 23. | Does the employer utilize the standard five-part, carbonless, Federal Drug Testing Custody and Control Form? | Section 40.45(a) states: "The Federal Drug Testing Custody and Control Form (CCF) must be used to document every urine collection required by the DOT drug testing program. You may view this form on the Department's Web site (http://www.transportation.gov/odapc) or the HHS Web site (http://www.workplace.samhsa.gov)." |
| 24. | Does the collector complete Step 1 of the custody and control form by selecting:(1) the reason for the test (e.g., pre-employment), and(2) the drug tests to be performed (e.g., THC, COC, PCP, OPI, AMP)? | Section 40.63(a) states: The collector must complete Step 1 of the CCF before the employee provides the urine specimen. |
| 25. | Does the collector securely place tamper-evident bottle seals over the bottle caps/lids and down the sides of each specimen bottle? | Section 40.71(b)(4) states: "You [the collector], not the employee, must place and secure (i.e., tighten or snap) the lids/caps on the bottles." Section 40.71(b)(5) states: "You [the collector], not the employee, must seal the bottles by placing the tamper-evident bottle seals over the bottle caps/lids and down the sides of the bottles." |
| 26. | Does the collector write the date on each tamper-evident specimen bottle seal, only after the seals are affixed to the bottles? | Section 40.71(b)(5) states: "You [the collector], not the employee, must seal the bottles by placing the tamper-evident bottle seals over the bottle caps/lids and down the sides of the bottles."<br>Section 40.71(b)(6) states: "You [the collector], not the employee, must then write the date on the tamper-evident bottle seals." |
| 27. | Does the employee initial each tamper-evident specimen bottle seal only after the seals are affixed to the bottles and dated by the collector? | Section 40.71(b)(7) states: "You [the collector] must then ensure that the employee initials the tamper-evident bottle seals for the purpose of certifying that the bottles contain the specimens he or she provided. If the employee fails or refuses to do so, you must note this in the “Remarks” line of the CCF (Step 2) and complete the collection process. |
| 28. | After the tamper-evident specimen bottle seals are initialed by the employee, does the collector direct the employee to read and sign the certification statement on Copy 2 (Step 5) of the CCF and provide date of birth, printed name, and day and evening contact telephone numbers? | Section 40.73(a)(1) states: "As the collector, when using the paper CCF, you must do the following things to complete the collection process. You must complete the steps called for in paragraphs (a)(1) through (7) of this section in the employee's presence. (1) Direct the employee to read and sign the certification statement on Copy 2 (Step 5) of the CCF and provide date of birth, printed name, and day and evening contact telephone numbers. If the employee refuses to sign the CCF or to provide date of birth, printed name, or telephone numbers, you must note this in the “Remarks” line (Step 2) of the CCF, and complete the collection. If the employee refuses to fill out any information, you must, as a minimum, print the employee's name in the appropriate place." |

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| 29. | After the employee completes (Copy 2) Step 5 of the CCF, and before completing Step 4 of the CCF, does the collector review the information entered on the CCF for accuracy and completeness? | Section 40.73(a)(3) states: "As the collector, you must do the following things to complete the collection process Ensure that all copies of the CCF are legible and complete." |
| 30. | After the employee completes (Copy 2) Step 5 of the CCF, does the collector then complete Step 4 (i.e., providing a signature, printed name, date, time of collection, and name of delivery service)? | Section 40.73(a)(2) states: "Complete the chain of custody on the CCF (Step 4) by printing your name (note: you may pre-print your name), recording the time and date of the collection, signing the statement, and entering the name of the delivery service transferring the specimen to the laboratory."<br>Section 40.45(b)(4) states: "As a collector, you may use a CCF with your name, address, telephone number, and fax number preprinted, but under no circumstances may you sign the form before the collection event. |
| 31. | After completing Step 4 of the CCF, does the collector place the sealed specimen bottles and Copy 1 of the CCF in a leak proof plastic bag, with absorbent material, and then seal the bag? | Section 40.73(a) states: "As the collector, you must do the following things to complete the collection process. You must complete the steps called for in paragraphs (a)(1) through (a)(7) of this section in the employee's presence."<br>Section 40.73(a)(5) states: "Place the specimen bottles and Copy 1 of the CCF in the appropriate pouches of the plastic bag."<br>Appendix A states: "3. Leak-Resistant Plastic Bag a. Must have two sealable compartments or pouches which are leak-resistant; one large enough to hold two specimen bottles and the other large enough to hold the CCF paperwork. b. The sealing methodology must be such that once the compartments are sealed, any tampering or attempts to open either compartment will be evident."<br>Appendix A states: "4. Absorbent material Each kit must contain enough absorbent material to absorb the entire contents of both specimen bottles. Absorbent material must be designed to fit inside the leak-resistant plastic bag pouch into which the specimen bottles are placed."<br>Section 40.73(a)(6) states: "Secure both pouches of the plastic bag." |
| 32. | Are copies 1 through 5 of the custody and control form sent to the correct individuals:(Copy 1) Laboratory, (Copy 2) MRO, (Copy 3) Collector, (Copy 4) DER, and (Copy 5) Employee? | Section 40.73(a) states: "As the collector, you must do the following things to complete the collection process. You must complete the steps called for in paragraphs (a)(1) through (a)(7) of this section in the employee's presence."<br>Section 40.73(a)(4) states: "Remove Copy 5 of the CCF and give it to the employee."<br>Section 40.73(a)(9) states: "Send Copy 2 of the CCF to the MRO and Copy 4 to the DER. You must fax or otherwise transmit these copies to the MRO and DER within 24 hours or during the next business day. Keep Copy 3 for at least 30 days, unless otherwise specified by applicable DOT agency regulations." |

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| 33. | To the greatest extent possible, does the collector keep the employee's collection container within his/her and the employees view between the time the employee has urinated and the specimen bottle is sealed? | Section 40.43(d)(2) states: "To the greatest extent you can, keep an employee's collection container within view of both you and the employee between the time the employee has urinated and the specimen is sealed." |
| 34. | Does the collector have only one employee under his/her supervision at one time until the collection process is completed (i.e., specimen has been collected, the urine specimen bottle has been sealed and initialed, the custody and control form has been completed and the employee has departed)? | Section 40.43(d) states: "As a collector, you must take the following additional steps to ensure security during the collection process: (1) To avoid distraction that could compromise security, you are limited to conducting a collection for only one employee at a time. However, during the time one employee is in the period for drinking fluids in a “shy bladder” situation (see §40.193(b)), you may conduct a collection for another employee." |
| 35. | WERE THE INFORMATION BLOCKS COMPLETED CORRECTLY BY THE COLLECTOR AND LEGIBLE ON ALL PARTS OF THE STANDARD FIVE PART DRUG TESTING CUSTODY AND CONTROL FORM? | |
| 36. | Were the following items completed and legible on the custody and control form:(1) employee ID No. or SSN;(2) employers name, address, telephone and fax numbers; and(3) MROs name, address, telephone and fax numbers (C/TPA contact information may also be included, but is not required)? | Section 40.63(a) states: "As the collector, you must take the following steps before the employee provides the urine specimen: (a) Complete Step 1 of the CCF."<br>Section 40.73(a)(3) states: "Ensure that all copies of the CCF are legible and complete."<br>Section 40.45(c)(2) states: "The CCF must include the names, addresses, telephone numbers and fax numbers of the employer and the MRO, which may be preprinted, typed, or handwritten. The MRO information must include the specific physician's name and address, as opposed to only a generic clinic, health care organization, or company name. This information is required, and it is prohibited for an employer, collector, service agent or any other party to omit it. In addition, a C/TPA's name, address, fax number, and telephone number may be included, but is not required. The employer may use a C/TPA's address in place of its own, but must continue to include its name, telephone number, and fax number." |
| 37. | Is the information entered in Step 4 of the CCF complete and legible and contain the following:(1) Collector signature and printed name;(2) Time of collection;(3) Date of collection; and(4) Name of delivery service transferring specimen to lab? | Section 40.73(a)(2) states: "Complete the chain of custody on the CCF (Step 4) by printing your name (note: you may pre-print your name), recording the time and date of the collection, signing the statement, and entering the name of the delivery service transferring the specimen to the laboratory." |
| 38. | DOES THE SPECIMEN COLLECTION SITE HAVE THE REQUIRED SECURITY FEATURES? | |
| 39. | Is security of collection materials and completed specimens maintained at all times, and are only authorized personnel permitted in areas where specimens are collected or stored? | Section 40.43(e) states: "If you are operating a collection site, you must implement a policy and procedures to prevent unauthorized personnel from entering any part of the site in which urine specimens are collected or stored." |

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| 40. | How often is the security of the designated privacy enclosure used for urine collections checked? | Section 40.43(b) states: "As a collector, you must do the following before each collection to deter tampering with specimens: (1) Secure any water sources or otherwise make them unavailable to employees (e.g., turn off water inlet, tape handles to prevent opening faucets); (2) Ensure that the water in the toilet is blue; (3) Ensure that no soap, disinfectants, cleaning agents, or other possible adulterants are present; (4) Inspect the site to ensure that no foreign or unauthorized substances are present; (5) Tape or otherwise secure shut any movable toilet tank top, or put bluing in the tank; (6) Ensure that undetected access (e.g., through a door not in your view) is not possible; (7) Secure areas and items (e.g., ledges, trash receptacles, paper towel holders, under-sink areas) that appear suitable for concealing contaminants; and (8) Recheck items in paragraphs (b)(1) through (7) of this section following each collection to ensure the site's continued integrity." |
| **THIS COMPLETES THE REVIEW OF A NORMAL URINE COLLECTION. NOW I WOULD LIKE TO ASK YOU SOME QUESTIONS ABOUT YOUR PROCEDURES AND REFERENCE MATERIALS** | | |
| 41. | ARE THE PROPER PROCEDURES USED WHEN THERE ARE PROBLEMS DURING THE COLLECTION? | |
| 42. | Do you have:(1) a current copy of 49 CFR Part 40, and (2) the current "DOT Urine Specimen Collection Guidelines?" | Section 40.33(a) states: "Basic information. You must be knowledgeable about this part, the current “DOT Urine Specimen Collection Procedures Guidelines,” and DOT agency regulations applicable to the employers for whom you perform collections. DOT agency regulations, the DOT Urine Specimen Collection Procedures Guidelines, and other materials are available from ODAPC (Department of Transportation, 1200 New Jersey Avenue SE., Washington DC, 20590, 202-366-3784, or on the ODAPC Web site (https://www.transportation.gov/odapc). You must keep current on any changes to these materials. You must subscribe to the ODAPC list-serve at: https://www.transportation.gov/odapc/get-odapc-email-updates." |
| 43. | What is done if the employee does not have a photo ID? | Section 40.61(c) states: "Require the employee to provide positive identification. You must see a photo ID issued by the employer (other than in the case of an owner-operator or other self-employed individual) or a Federal, state, or local government (e.g., a driver's license). You may not accept faxes or photocopies of identification. Positive identification by an employer representative (not a co-worker or another employee being tested) is also acceptable. If the employee cannot produce positive identification, you must contact a DER to verify the identity of the employee." |

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| 44. | Is identification of the employee by another employee being tested accepted? | Section 40.61(c) states: “Require the employee to provide positive identification. You must see a photo ID issued by the employer (other than in the case of an owner-operator or other self-employed individual) or a Federal, state, or local government (e.g., a driver's license). You may not accept faxes or photocopies of identification. Positive identification by an employer representative (not a co-worker or another employee being tested) is also acceptable. If the employee cannot produce positive identification, you must contact a DER to verify the identity of the employee." |
| 45. | What actions must the collection site take if an employee does not arrive to take a scheduled test? | Section 40.241(a) states: " As the BAT or STT you will take the following steps to begin all alcohol screening tests, regardless of the type of testing device you are using: (a) When a specific time for an employee's test has been scheduled, or the collection site is at the employee's worksite, and the employee does not appear at the collection site at the scheduled time, contact the DER to determine the appropriate interval within which the DER has determined the employee is authorized to arrive. If the employee's arrival is delayed beyond that time, you must notify the DER that the employee has not reported for testing. In a situation where a C/TPA has notified an owner/operator or other individual employee to report for testing and the employee does not appear, the C/TPA must notify the employee that he or she has refused to test.” |
| 46. | What is done if an employee says he/she is not ready to proceed with the urine collection process because an employee representative is delayed in arriving? | Section 40.61(b) states: "[The collector must] Ensure that, when the employee enters the collection site, you begin the testing process without undue delay. For example, you must not wait because the employee says he or she is not ready or is unable to urinate or because an authorized employer or employee representative is delayed in arriving." |
| 47. | What is done if an employee says he/she is not ready to begin the urine collection process because of inability to urinate at the time? | Section 40.61(b) states: "[The collector must] Ensure that, when the employee enters the collection site, you begin the testing process without undue delay. For example, you must not wait because the employee says he or she is not ready or is unable to urinate or because an authorized employer or employee representative is delayed in arriving." |

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| 48. | What is done if you find the employee has material that appears to have been brought with the intent to alter or substitute the specimen? | Section 40.61(f)(5) states: " If, in your duties under paragraph (f)(4) of this section, you find any material that could be used to tamper with a specimen, you must: (i) Determine if the material appears to be brought to the collection site with the intent to alter the specimen, and, if it is, conduct a directly observed collection using direct observation procedures (see §40.67); or (ii) Determine if the material appears to be inadvertently brought to the collection site (e.g., eye drops), secure and maintain it until the collection process is completed and conduct a normal (i.e., unobserved) collection." |
| 49. | If an employee is clearly and unequivocally attempting to adulterate or substitute their urine specimen, what steps are taken by the collector? | Section 40.63(e) states: "You must pay careful attention to the employee during the entire collection process to note any conduct that clearly indicates an attempt to tamper with a specimen (e.g., substitute urine in plain view or an attempt to bring into the collection site an adulterant or urine substitute). If you detect such conduct, you must require that a collection take place immediately under direct observation (see §40.67) and complete Step 2 by noting the conduct in the "Remarks" line of the CCF and the fact that the collection was observed by checking the "Observed" box. You must also, as soon as possible, inform the DER and collection site supervisor that a collection took place under direct observation and the reason for doing so." |
| 50. | What is done if the employee admits to adulterating or substituting the specimen? | Section 40.159(c) states: "If the employee admits to having adulterated or substituted the specimen, you must, on the same day, write and sign your own statement of what the employee told you. You must then report a refusal to test in accordance with §40.163." |

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| 51. | If an employee refuses to cooperate with the collection process, what three steps are taken by the collector? | Section 40.191(d) states: " As a collector or an MRO, when an employee refuses to participate in the part of the testing process in which you are involved, you must terminate the portion of the testing process in which you are involved, document the refusal on the CCF (including, in the case of the collector, printing the employee's name on Copy 2 of the CCF), immediately notify the DER by any means (e.g., telephone or secure fax machine) that ensures that the refusal notification is immediately received. As a referral physician (e.g., physician evaluating a “shy bladder” condition or a claim of a legitimate medical explanation in a validity testing situation), you must notify the MRO, who in turn will notify the DER. (1) As the collector, you must note the refusal in the “Remarks” line (Step 2), and sign and date the CCF. (2) As the MRO, you must note the refusal by checking the “Refusal to Test” box in Step 6 on Copy 2 of the CCF, checking whether the specimen was adulterated or substituted and, if adulterated, noting the adulterant/reason. If there was another reason for the refusal, check “Other” in Step 6 on Copy 2 of the CCF, and note the reason next to the “Other” box and on the “Remarks” lines, as needed. You must then sign and date the CCF." |
| 52. | What would you do if the specimen is out of the acceptable temperature range, or appears to be adulterated or substituted? | Section 40.65(b)(1) states: "Temperature. You must check the temperature of the specimen no later than four minutes after the employee has given you the specimen.<br>Section 40.65(b)(4) states: "If the specimen temperature is outside the acceptable range, you must mark the “No” box and enter in the “Remarks” line (Step 2) your findings about the temperature.<br>Section 40.65(b)(5) states: "If the specimen temperature is outside the acceptable range, you must immediately conduct a new collection using direct observation procedures (see §40.67). |
| 53. | If an initial specimen is tampered with or out of the acceptable temperature range, and a second specimen is collected under direct observation, which specimens are sent to the lab? | Section 40.65(b)(6) states: " In a case where a specimen is collected under direct observation because of the temperature being out of range, you must process both the original specimen and the specimen collected using direct observation and send the two sets of specimens to the laboratory. This is true even in a case in which the original specimen has insufficient volume but the temperature is out of range. You must also, as soon as possible, inform the DER and collection site supervisor that a collection took place under direct observation and the reason for doing so." |

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| 54. | If an employee provides an adulterated or out-of-temperature sample, and refuses to allow a second specimen to be collected under observed collection, what is done with the initial sample? | Section 40.65(b)(7) states: " In a case where the employee refuses to provide another specimen (see §40.191(a)(3)) or refuses to provide another specimen under direct observation (see §40.191(a)(4)), you must notify the DER. As soon as you have notified the DER, you must discard any specimen the employee has provided previously during the collection procedure." |
| 55. | If you as the collector must complete an observed collection, is it required that you must record the reason for the observed collection, and if so, how? | Section 40.67(e) states: "As the collector, you must complete a new CCF for the directly observed collection. (1) You must mark the “reason for test” block (Step 1) the same as for the first collection. (2) You must check the “Observed, (Enter Remark)” box and enter the reason (see §40.67(b)) in the “Remarks” line (Step 2)." |
| 56. | Does this collection site always have available a same-gender collector, in case an observed collection is needed? | Section 40.67(g) states: "As the collector, you must ensure that the observer is the same gender as the employee. You must never permit an opposite gender person to act as the observer. The observer can be a different person from the collector and need not be a qualified collector." |
| 57. | Can you describe the procedures for conducting a directly-observed test? | Section 40.67(i),(j),(k) state: (i) As the observer, you must request the employee to raise his or her shirt, blouse, or dress/skirt, as appropriate, above the waist; and lower clothing and underpants to show you, by turning around, that they do not have a prosthetic device. After you have determined that the employee does not have such a device, you may permit the employee to return clothing to its proper position for observed urination. (j) As the observer, you must watch the employee urinate into the collection container. Specifically, you are to watch the urine go from the employee's body into the collection container. (k) As the observer but not the collector, you must not take the collection container from the employee, but you must observe the specimen as the employee takes it to the collector." |
| 58. | What is done if the employee possesses a prosthetic or other device used to tamper with the collection? | Section 40.191(a) states: (a) As an employee, you have refused to take a drug test if you:…(10) Possess or wear a prosthetic or other device that could be used to interfere with the collection process. |
| 59. | ARE THE PROPER AND COMPLETE SHY BLADDER PROCEDURES IN PLACE? | |
| 60. | If the employee is unable to provide a specimen of at least 45 milliliters, what is done? | Section 40.193(b)(2) states: "As the collector, you must do the following (2) Urge the employee to drink up to 40 ounces of fluid, distributed reasonably through a period of up to three hours, or until the individual has provided a sufficient urine specimen, whichever occurs first. It is not a refusal to test if the employee declines to drink. Document on the Remarks line of the CCF (Step 2), and inform the employee of, the time at which the threehour period begins and ends.” |

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| 61. | What is done with the original insufficient specimen? | Section 40.193(b)(1) states: "As the collector, you must do the following: (1) Discard the insufficient specimen, except where the insufficient specimen was out of temperature range or showed evidence of adulteration or tampering (see §40.65(b) and (c))." |
| 62. | What is done if the employee refuses to attempt to provide a new specimen, or leaves the collection site before the process is complete? | Section 40.193(b)(3) states: "If the employee refuses to make the attempt to provide a new urine specimen or leaves the collection site before the collection process is complete, you must discontinue the collection, note the fact on the "Remarks" line of the CCF (Step 2), and immediately notify the DER. This is a refusal to test." |
| 63. | What is done if the employee has not provided a sufficient specimen within three hours of the first unsuccessful attempt to provide the specimen? | Section 40.193(b)(1) states: "As the collector, you must do the following: (1) Discard the insufficient specimen, except where the insufficient specimen was out of temperature range or showed evidence of adulteration or tampering (see §40.65(b) and (c))." |
| 64. | What is done if it is time to close the collection facility and the employee is still in the "shy bladder" process? | Section 40.193(b)(2) states: "As the collector, you must do the following (2) Urge the employee to drink up to 40 ounces of fluid, distributed reasonably through a period of up to three hours, or until the individual has provided a sufficient urine specimen, whichever occurs first. It is not a refusal to test if the employee declines to drink. Document on the Remarks line of the CCF (Step 2), and inform the employee of, the time at which the threehour period begins and ends." |
| 65. | If an event occurs during the urine collection process which prevents the completion of a valid test or collection (e.g., a procedural or paperwork error), what is done by the collector, and can another collection be performed as part of this effort? | Section 40.205(a) states: "As a collector, you have the responsibility of trying to successfully complete a collection procedure for each employee. (1) If, during or shortly after the collection process, you become aware of any event that prevents the completion of a valid test or collection (e.g., a procedural or paperwork error), you must try to correct the problem promptly, if doing so is practicable. You may conduct another collection as part of this effort. (2) If another collection is necessary, you must begin the new collection procedure as soon as possible, using a new CCF and a new collection kit." |
| 66. | DOES THE COLLECTOR HAVE AN UNDERSTANDING OF ERRORS THAT MAY CAUSE A TEST TO BE CANCELLED, AND METHODS FOR ITS CORRECTION? | |
| 67. | What is the impact on a test result if the collector does not sign AND print his/her name in Step 4 (certification statement) of the CCF, so that the portion of the CCF is blank? | Section 40.199(b)(3) states: "(b) The following are "fatal flaws": …(3) There is no printed collector's name and no collector's signature…" |

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| 68. | What is the impact on a test result if the collector uses a non-DOT drug testing form for a DOT-required test, and the problem is not corrected? | Section 40.203(d) states: "The following are correctable flaws that you must attempt to correct: (1) The employee's signature is omitted from the certification statement, unless the employee's failure or refusal to sign is noted on the “Remarks” line of the CCF. (2) The certifying scientist's signature is omitted on Copy 1 of the CCF for a positive, adulterated, substituted, or invalid test result. (3) The collector uses a non-Federal form or an expired CCF for the test. This flaw may be corrected through the procedure set forth in §40.205(b)(2), provided that the collection testing process has been conducted in accordance with the procedures in this part in an HHS-certified laboratory." |
| 69. | What is the impact on a test result if the employee doesn't sign the certification statement on Copy 2 (Step 5) of the CCF and the collector doesn't make note of this on the "Remarks" line? | Section 40.203 states: "(a) As the MRO, when a laboratory discovers a “correctable flaw” during its processing of incoming specimens (see §40.83), the laboratory will attempt to correct it. If the laboratory is unsuccessful in this attempt, it will report to you that the specimen has been “Rejected for Testing” (with the reason stated). (b) The following is a “correctable flaw” that laboratories must attempt to correct: The collector's signature is omitted on the certification statement on the CCF. (c) As the MRO, when you discover a “correctable flaw” during your review of the CCF, you must cancel the test unless the flaw is corrected. (d) The following are correctable flaws that you must attempt to correct: (1) The employee's signature is omitted from the certification statement, unless the employee's failure or refusal to sign is noted on the “Remarks” line of the CCF. (2) The certifying scientist's signature is omitted on Copy 1 of the CCF for a positive, adulterated, substituted, or invalid test result. (3) The collector uses a non-Federal form or an expired CCF for the test. This flaw may be corrected through the procedure set forth in §40.205(b)(2), provided that the collection testing process has been conducted in accordance with the procedures in this part in an HHS-certified laboratory." |
| 70. | What is the impact on a test result if the collector doesn't sign the certification statement (Step 4) of the CCF? | Section 40.203 states: "(a) As the MRO, when a laboratory discovers a “correctable flaw” during its processing of incoming specimens (see §40.83), the laboratory will attempt to correct it. If the laboratory is unsuccessful in this attempt, it will report to you that the specimen has been “Rejected for Testing” (with the reason stated). (b) The following is a “correctable flaw” that laboratories must attempt to correct: The collector's signature is omitted on the certification statement on the CCF. (c) As the MRO, when you discover a “correctable flaw” during your review of the CCF, you must cancel the test unless the flaw is corrected." |

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| **THIS COMPLETES THE REVIEW OF COLLECTOR QUESTIONS. -- FILL OUT THE CHECKLIST TO THIS POINT. THEN, CONTINUE WITH THE COLLECTION SITE SUPERVISOR TO REVIEW THE FOLLOWING QUESTIONS.** | | |
| 71. | DID THE SUPERVISOR ANSWER ALL QUESTIONS CORRECTLY? | |
| 72. | How often does the collection site ship specimens to the laboratory? | Section 40.73(c) states: "As a collector or collection site, you must ensure that each specimen you collect is shipped to a laboratory as quickly as possible, but in any case, within 24 hours or during the next business day." |
| 73. | How soon after a collection are the CCF copies sent to the MRO and DER? | Section 40.73(a)(9) states: "Send Copy 2 of the CCF to the MRO and Copy 4 to the DER. You must fax or otherwise transmit these copies to the MRO and DER within 24 hours or during the next business day. Keep Copy 3 for at least 30 days, unless otherwise specified by applicable DOT agency regulations." |
| 74. | How long must the collection site retain the Collectors copy (Copy 3) of the CCF? | Section 40.73(a)(9) states: "Send Copy 2 of the CCF to the MRO and Copy 4 to the DER. You must fax or otherwise transmit these copies to the MRO and DER within 24 hours or during the next business day. Keep Copy 3 for at least 30 days, unless otherwise specified by applicable DOT agency regulations." |

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| 75. | Have each of the urine collectors hired since August 1, 2001 received training in accordance with the amended Part 40 regulations (effective August 9, 2001)? If so, could I see their training records? | Section 40.33 states: "…(b) Qualification training. You must receive qualification training meeting the requirements of this paragraph. Qualification training must provide instruction on the following subjects: (1) All steps necessary to complete a collection correctly and the proper completion and transmission of the CCF; (2) "Problem" collections (e.g., situations like "shy bladder" and attempts to tamper with a specimen); (3) Fatal flaws, correctable flaws, and how to correct problems in collections; and (4) The collector's responsibility for maintaining the integrity of the collection process, ensuring the privacy of employees being tested, ensuring the security of the specimen, and avoiding conduct or statements that could be viewed as offensive or inappropriate; (c) Initial Proficiency Demonstration. Following your completion of qualification training under paragraph (b) of this section, you must demonstrate proficiency in collections under this part by completing five consecutive error-free mock collections. (1) The five mock collections must include two uneventful collection scenarios, one insufficient quantity of urine scenario, one temperature out of range scenario, and one scenario in which the employee refuses to sign the CCF and initial the specimen bottle tamper-evident seal. (2) Another person must monitor and evaluate your performance, in person or by a means that provides real-time observation and interaction between the instructor and trainee, and attest in writing that the mock collections are "error-free." This person must be a qualified collector who has demonstrated necessary knowledge, skills, and abilities by— (i) Regularly conducting DOT drug test collections for a period of at least a year; (ii) Conducting collector training under this part for a year; or (iii) Successfully completing a "train the trainer" course. (d) You must meet the requirements of paragraphs (b) and (c) of this section before you begin to perform collector functions… (g) Documentation. You must maintain documentation showing that you currently meet all requirements of this section. You must provide this documentation on request to DOT agency representatives and to employers and C/TPAs who are using or negotiating to use your services." |
| 76. | If a drug test is cancelled because of a collector mistake, what corrective action is taken with the collector who made the mistake? | Section 40.33(f) states: "Error Correction Training. If you make a mistake in the collection process that causes a test to be cancelled (i.e., a fatal or uncorrected flaw), you must undergo error correction training. This training must occur within 30 days of the date you are notified of the error that led to the need for retraining." |

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| 77. | Once a collector has been notified that they must receive error correction training, within how many days must the collector receive error-correction training? | Section 40.33(f) states: "Error Correction Training. If you make a mistake in the collection process that causes a test to be cancelled (i.e., a fatal or uncorrected flaw), you must undergo error correction training. This training must occur within 30 days of the date you are notified of the error that led to the need for retraining." |
| 78. | Once a collector has been notified that a correctable flaw has occurred, how many days does the collector have to supply information correcting the flaw? | Section 40.205(b)(1) and (2) both state: You must supply this information on the same business day on which you are notified of the problem, transmitting it by fax or courier. |
| 79. | When a flaw is identified after a drug test is completed, what is the process by which the error is corrected? | Section 40.205(b) states: "(b) If, as a collector, laboratory, MRO, employer, or other person implementing these drug testing regulations, you become aware of a problem that can be corrected (see §40.203), but which has not already been corrected under paragraph (a) of this section, you must take all practicable action to correct the problem so that the test is not cancelled. (1) If the problem resulted from the omission of required information, you must, as the person responsible for providing that information, supply in writing the missing information and a statement that it is true and accurate. For example, suppose you are a collector, and you forgot to make a notation on the "Remarks" line of the CCF that the employee did not sign the certification. You would, when the problem is called to your attention, supply a signed statement that the employee failed or refused to sign the certification and that your statement is true and accurate. You must supply this information on the same business day on which you are notified of the problem, transmitting it by fax or courier. (2) If the problem is the use of a non-Federal form or an expired Federal form, you must provide a signed statement (i.e., a memorandum for the record). It must state that the incorrect form contains all the information needed for a valid DOT drug test, and that the incorrect form was used inadvertently or as the only means of conducting a test, in circumstances beyond your control. The statement must also list the steps you have taken to prevent future use of non-Federal forms or expired Federal forms for DOT tests. For this flaw to be corrected, the test of the specimen must have occurred at a HHS-certified laboratory where it was tested consistent with the requirements of this part. You must supply this information on the same business day on which you are notified of the problem, transmitting it by fax or courier. (3) You must maintain the written documentation of a correction with the CCF. (4) You must mark the CCF in such a way (e.g., stamp noting correction) as to make it obvious on the face of the CCF that you corrected the flaw." |

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| 80. | Was the Urine Collection Site prepared for the audit team, and did the vendor cooperate with the audit team and facilitate the audit process, including producing the required records? | Section 40.331(c) states: " (c) If you are a service agent, you must, upon request of DOT agency representatives, provide the following: (1) Access to your facilities used for this part and DOT agency drug and alcohol program functions. (2) All written, printed, and computer-based drug and alcohol program records and reports (including copies of namespecific records or reports), files, materials, data, documents/documentation, agreements, contracts, policies, and statements that are required by this part and DOT agency regulations. You must provide this information at your principal place of business in the time required by the DOT agency. (3) All items in paragraph (c)(2) of this section must be easily accessible, legible, and provided in an organized manner. If electronic records do not meet these standards, they must be converted to printed documentation that meets these standards." |
| **THIS COMPLETES THE URINE COLLECTION QUESTIONNAIRE. THANK YOU FOR YOUR TIME AND ASSISTANCE.** | | |