§ 40.247(a)(2): Transmission of alcohol screening test results only when the test result is less than 0.02

§ 40.255(a)(4): Transmission of alcohol confirmation test results only when the test result is less than 0.02

§ 40.263(a)(3) and 263(b)(3): Notification of insufficient saliva and failure to provide sufficient amount of breath


APPENDIX G TO PART 40—ALCOHOL TESTING FORM

The following form is the alcohol testing form required for use in the DOT alcohol testing program beginning January 1, 2011. Employers are authorized to use the form effective February 25, 2010.
U.S. Department of Transportation (DOT)
Alcohol Testing Form
(The instructions for completing this form are on the back of Copy 3)

Step 1: TO BE COMPLETED BY ALCOHOL TECHNICIAN
A: Employee Name ________________________________
B: SSN or Employee ID No. ____________________ (Print) (First, M.I., Last)
C: Employer Name ________________________________
   Street ________________________________
   City, State, Zip ________________________________
   DER Name and Telephone No. ________________________________
   DER Name ________________________________
   DER Phone Number ________________________________
D: Reason for Test: □ Random □ Reasonable Suspicion □ Post-Accident □ Return to Duty □ Follow-up □ Pre-employment

Step 2: TO BE COMPLETED BY EMPLOYEE
I certify that I am about to submit to alcohol testing required by US Department of Transportation regulations and that the identifying information provided on the form is true and correct.

Signature of Employee ________________________________ Date __________/________/________

Step 3: TO BE COMPLETED BY ALCOHOL TECHNICIAN
(If the technician conducting the screening test is not the same technician who will be conducting the confirmation test, each technician must complete their own form.) I certify that I have conducted alcohol testing on the above named individual in accordance with the procedures established in the US Department of Transportation regulation, 49 CFR Part 40, that I am qualified to operate the testing device(s) identified, and that the results are as recorded.

TECHNICIAN: □ BAT □ STT DEVICE: □ SALIVA □ BREATH* 15-Minute Wait: □ Yes □ No
SCREENING TEST: (For BREATH DEVICE* write in the space below only if the testing device is not designed to print.)

Test # Testing Device Name Device Serial # Off Lot # & Exp Date Activation Time Reading Time Result

CONFIRMATION TEST: Results MUST be affixed to each copy of this form or printed directly onto the form.

REMARKS:

Alcohol Technician's Company ________________________________
   (PRINT) Alcohol Technician's Name (First, M.I., Last) ________________________________
   Company Street Address ________________________________ ( )
   City, State, Zip ________________________________
   Phone Number ________________________________
   Signature of Alcohol Technician ________________________________ Date __________/________/________

Step 6: TO BE COMPLETED BY EMPLOYEE IF TEST RESULT IS 0.04 OR HIGHER
I certify that I have submitted to the alcohol test, the results of which are accurately recorded on this form. I understand that I must not drive, perform safety-sensitive duties, or operate heavy equipment because the results are 0.02 or greater.

Signature of Employee ________________________________ Date __________/________/________

Form DOT F 1380 (Rev: 5/2008) OMB No. 2145-0042

COPY 1 – ORIGINAL – FORWARD TO THE EMPLOYER

Here or Affix with Tamper Evident Tape

Print Screening Results

Print Confirmation Results Here or Affix With Tamper Evident Tape

Print Additional Results Here or Affix With Tamper Evident Tape
Office of the Secretary of Transportation

U.S. Department of Transportation (DOT) Alcohol Testing Form
(The instructions for completing this form are on the back of Copy 3)

Step 1: TO BE COMPLETED BY ALCOHOL TECHNICIAN

A: Employee Name ____________________________

B: SSN or Employee ID No. (Print) (First, M.I., Last)

C: Employee Name Street ____________________________

City, State, Zip ____________________________

DER Name and Telephone No. ____________________________

DER Name ____________________________

DER Phone Number ____________________________

D: Reason for Test: ☐ Random ☐ Reasonable Suspicion ☐ Post-Accident ☐ Return to Duty ☐ Follow-up ☐ Pre-employment

Step 2: TO BE COMPLETED BY EMPLOYEE

I certify that I am about to submit to alcohol testing required by US Department of Transportation regulations and that the identifying information provided on this form is true and correct.

Signature of Employee ____________________________ Date ______/_____/______

Step 3: TO BE COMPLETED BY ALCOHOL TECHNICIAN

(If the technician conducting the screening test is not the same technician who will be conducting the confirmation test, each technician must complete their own form.) I certify that I have conducted alcohol testing in the above named individual in accordance with the procedures established in the US Department of Transportation regulation, 49 CFR Part 40, that I am qualified to operate the testing device(s) identified, and that the results are as recorded.

TECHNICIAN: ☐ BAT ☐ STT DEVICE: ☐ SALIVA ☐ BREATH* 15-Minute Wait: ☐ Yes ☐ No

SCREENING TEST: (For BREATH DEVICE* write in the space below only if the testing device is not designed to print)

Test # Testing Device Name Device Serial # or Lot # & Exp Date Activation Time Reading Time Result

CONFIRMATION TEST: Results MUST be affixed to each copy of this form or printed directly onto the form.

REMARKS:

Alcohol Technician’s Company ____________________________

Company Street Address ____________________________

(lr) Alcohol Technician’s Name (First, M.I., Last) ____________________________

Company City, State, Zip Phone Number ____________________________

Signature of Alcohol Technician ____________________________ Date ______/_____/______

Step 4: TO BE COMPLETED BY EMPLOYEE IF TEST RESULT IS 0.02 OR HIGHER

I certify that I have submitted to the alcohol test, the results of which are accurately recorded on this form, I understand that I must not drive, perform safety-sensitive duties, or operate heavy equipment because the results are 0.02 or greater.

Signature of Employee ____________________________ Date ______/_____/______

Form DOT F 1380 (Rev. 5/2008)

COPY 2 – EMPLOYEE RETAINS
# U.S. Department of Transportation (DOT)
## Alcohol Testing Form

(These instructions for completing this form are on the back of Copy 3)

**Step 1: TO BE COMPLETED BY ALCOHOL TECHNICIAN**

A. **Employee Name**

B. **SSN or Employee ID No.**

C. **Employee Name**
   - **Street:**
   - **City, State, Zip:**

D. **DER Name and Telephone No.**

   - **DER Name:**
   - **DER Phone Number:**

**Step 2: TO BE COMPLETED BY EMPLOYEE**

I certify that I am about to submit to alcohol testing required by US Department of Transportation regulations and that the identifying information provided on the form is true and correct.

**Signature of Employee**

**Date Month Day Year**

**Step 3: TO BE COMPLETED BY ALCOHOL TECHNICIAN**

(If the technician conducting the screening test is not the same technician who will be conducting the confirmation test, each technician must complete their own form.) I certify that I have conducted alcohol testing on the above named individual in accordance with the procedures established in the US Department of Transportation regulation, 49 CFR Part 40, that I am qualified to operate the testing device(s) identified, and that the results are as recorded.

- **TECHNICIAN:** □ BAT □ STT □ DEVICE: □ SALIVA □ BREATHE* 15-Minute Wait: □ Yes □ No
- **SCREENING TEST:** (For BREATHE DEVICE* write in the space below only if the testing device is not designed to print)

**Test #**

**Testing Device Name**

**Device Serial #**

**Lot # & Exp Date**

**Activation Time**

**Reading Time**

**Result**

**CONFIRMATION TEST:** Results MUST be affixed to each copy of this form or printed directly onto the form.

**REMARKS:**

**Alcohol Technician’s Company**

**Company Street Address**

(PRIINT) **Alcohol Technician’s Name (First, M.I., Last)**

**City, State, Zip**

**Phone Number**

**Signature of Alcohol Technician**

**Date Month Day Year**

**Step 4: TO BE COMPLETED BY EMPLOYEE IF TEST RESULT IS 0.02 OR HIGHER**

I certify that I have submitted to the alcohol test, the results of which are accurately recorded on this form. I understand that I must not drive, perform safety-sensitive duties, or operate heavy equipment because the results are 0.02 or greater.

**Signature of Employee**

**Date Month Day Year**

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Form DOT F 1300 (Rev. 5/2008)

OMB No. 2185-0529

COPY 3 – ALCOHOL TECHNICIAN RETAINS
PAPERWORK REDUCTION ACT NOTICE (as required by 5 CFR 1320.21)

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BACK OF PAGES 1 and 2
INSTRUCTIONS FOR COMPLETING THE U.S. DEPARTMENT OF TRANSPORTATION ALCOHOL TESTING FORM

NOTE: Use a ballpoint pen, press hard, and check all copies for legibility.

STEP 1 The Breath Alcohol Technician (BAT) or Screening Test Technician (STT) completes the information required in this step. Be sure to print the employee’s name and check the box identifying the reason for the test.

NOTE: If the employee refuses to provide SSN or I.D. number, be sure to indicate this in the remarks section in STEP 3. Proceed with STEP 2.

STEP 2 Instruct the employee to read, sign, and date the employee certification statement in STEP 2.

NOTE: If the employee refuses to sign the certification statement, do not proceed with the alcohol test. Contact the designated employer representative.

STEP 3 The BAT or STT completes the information required in this step and checks the type of device (saliva or breath) being used. After conducting the alcohol screening test, do the following (as appropriate):

Enter the information for the screening test (test number, testing device name, testing device serial number or lot number and expiration date, time of test with any device-dependent activation times, and the results), on the front of the AFT. For a breath testing device capable of printing, the information may be part of the printed record.

NOTE: Be sure to enter the result of the test exactly as it is indicated on the breath testing device, e.g., 0.00, 0.02, 0.04, etc.

Affix the printed information to the front of the form in the space provided, or to the back of the form, in a tamper-evident manner (e.g., tape) such that it does not obscure the original printed information, or the device may print the results directly on the AFT. If the results of the screening test are less than 0.02, print, sign your name, and enter today’s date in the space provided. The test process is complete.

If the results of the screening test are 0.02 or greater, a confirmation test must be administered in accordance with DOT regulations. An EVIDENTIAL BREATH TESTING device that is capable of printing confirmation test information must be used in conducting this test.

Ensure that a waiting period of at least 15 minutes occurs before the confirmation test begins. Check the box indicating that the waiting period lasted at least 15 minutes.

After conducting the alcohol confirmation test, affix the printed information to the front of the form in the space provided, or to the back of the form, in a tamper-evident manner (e.g., tape) such that it does not obscure the original information, or the device may print the results directly on the AFT. Print, sign your name, and enter the date in the space provided. Go to STEP 4.

STEP 4 If the employee has a breath alcohol confirmation test result of 0.02 or higher, instruct the employee to read, sign, and date the employee certification statement in STEP 4.

NOTE: If the employee refuses to sign the certification statement in STEP 4, be sure to indicate this in the remarks line in STEP 3.

Immediately notify the DER if the employee has a breath alcohol confirmation test result of 0.02 or higher.

Forward Copy 1 to the employer. Give Copy 2 to the employee. Retain Copy 3 for BAT/STT records.

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