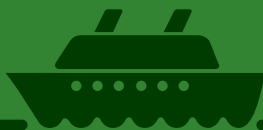


# Substance Abuse Professional's U.S. DOT Alcohol And Drug Testing Regulation Qualification and Re-qualification Course



**NAADAC**  
**NAADAC.ORG**

THE ASSOCIATION FOR ADDICTION PROFESSIONALS



U.S. Department of Transportation  
Alcohol and Drug Testing Regulation

# The Substance Abuse Professional's Qualification and Re-Qualification Training Manual



**NAADAC, the Association for Addiction Professionals**

44 Canal Center Plaza, Suite 301 Alexandria, VA 22314

Ph. 703.741.7686 Fax: 703.741.7698

Email: [naadac@naadac.org](mailto:naadac@naadac.org) • Web: [www.naadac.org](http://www.naadac.org)

**Publication Update: October 2019**

**NAADAC, the Association for Addiction Professionals**

44 Canal Center Plaza, Suite 301, Alexandria, VA 22314

This publication was updated in 2019 by Dr. Mita M. Johnson and NAADAC, the Association for Addiction Professionals. All content appearing in this publication, except that taken directly from the public domain, is copyrighted and may not be reproduced or copied without permission from NAADAC. For more information on obtaining additional copies of this publication, please contact NAADAC at 703.741.7686 or [naadac@naadac.org](mailto:naadac@naadac.org).



# ACKNOWLEDGEMENTS

This manual, created by NAADAC, the Association for Addiction Professionals, meets the qualification and re-qualification standards for Substance Abuse Professionals (SAPs), as specified by the United States Department of Transportation (DOT) Regulation: 49 Code of Federal Regulations Part 40 (49 CFR § 40) Subpart O. In order to qualify or re-qualify as a SAP, you must successfully pass an examination, which meets the standards stipulated in the DOT regulations. NAADAC routinely updates this course to assist SAPs in meeting the DOT requirement for ongoing training that allows professionals to remain current on changes and new developments in the DOT drug and alcohol testing program. This edition of the Substance Abuse Professional's U.S. Department of Transportation Alcohol and Drug Testing Regulation Qualification & Re-Qualification Course integrates relevant and current regulations and laws enacted as of the printing of this manual.

NAADAC is committed to advancing the history, understanding and competency of the SAP, and recognizes that this role is impacted not only by collection and laboratory processes but also by the expectations of the employer and the employee. This manual is an abbreviated version of the DOT regulations and the most recent updates, as they apply to SAPs. Not every DOT regulation is outlined, and the SAP is responsible for knowing the regulations that affect his or her job performance.

**Relevant DOT regulations are accessible through the Department of Transportation's website, [www.transportation.gov/odapc](http://www.transportation.gov/odapc) (documents, information & resources) or can be requested by phone at 202-366-3784.**

NAADAC would like to thank the authors of this and previous editions of the Substance Abuse Professional's U.S. Department of Transportation Alcohol and Drug Testing Regulation Qualification & Re-Qualification Course Manuals. The expertise of Mita M. Johnson, Kathy Benson, Dale Kaplan, Wanda

McMichael and Misti Storie were essential to the development of this course. In addition, the editorial contributions of Cynthia Moreno Tuohy, Donovan Kuehn and Shirley Beckett Mikell helped polish this course beyond the expectation of the authors. NAADAC also extends its appreciation and thanks to the numerous other contributors and organizations who granted NAADAC access to their vast information resources and knowledge, including Dr. Donald Ian Macdonald, Dr. James Ferguson, Employee Health Programs (EHP), the South Carolina Department of Alcohol and Other Drug Abuse Services (DAODAS), the American Society of Addiction Medicine (ASAM), and the many countless others who dedicated their time, efforts, energy, and knowledge to the production of this course.

Finally, we would like to take this opportunity to thank those who have given us feedback regarding this manual and the corresponding examinations. Your recommendations and suggestions are greatly valued and have played a major role in the development of this manual. I encourage you to continue to support us as we strive to develop products that enable all of us to grow as professionals.

Sincerely,



**Diane Sevening**, EdD, LAC, MAC  
President  
NAADAC, the Association for Addiction Professionals

# EXECUTIVE SUMMARY

In an effort to facilitate the effective intervention and treatment of employees who have been identified through the Transportation Workplace Drug and Alcohol Testing Program as having a substance use disorder, the Department of Transportation (DOT) created a role for Substance Abuse Professionals (SAPs). SAPs evaluate employees who have violated a DOT drug and alcohol regulation and make recommendations to the employer concerning education, treatment, follow-up testing, and aftercare.

The DOT has established guidelines and procedures for its federal alcohol and drug testing programs and for overseeing the implementation of the policy and programs within all six of its operating administrations and the U.S. Coast Guard.

Each operating administration individually defines the safety-sensitive positions within their respective administrations, and these positions are subject to drug testing under DOT regulations. Each administration's regulations define acceptable reasons for testing, the circumstances that mandate testing following an incident or accident, who is authorized to require the testing of an employee, and how a test must be conducted.

49 CFR § 40 describes the procedures for Transportation Workplace Drug and Alcohol Testing Programs. These procedures mandate which employees to test for illicit substance use, when an employee/applicant can be tested, what circumstances must be present in order to test, who is authorized to require an employee to test, and how the test will be conducted.

The DOT established a significant role for the SAP in the return-to-duty process after the Omnibus Transportation Employee Testing Act of 1991. After the passage of this Act, the roles and the responsibilities of the SAP were defined as well as the qualifications of the professionals who may provide SAP services.

Regulations created by the DOT give an employee who works in a DOT-covered safety-sensitive position and fails a drug and/or alcohol test the opportunity to return to his or her safety-sensitive position once compliance with a SAP's recommendations has been documented.

This manual provides the information clinicians need to prepare to take the NAADAC Substance Abuse Professional Qualification and Requalification exams. In addition, this manual educates other professionals who would like to expand their knowledge of the U.S. DOT Drug and Alcohol Testing Regulations. This manual will outline critical information for SAPs, service agents, and employers regulated by an operating administration covered by DOT, including what drugs are tested, reasons for testing, ethical concerns, and the steps a SAP must take with an employee in the return-to-duty process.

# TABLE of CONTENTS

<b>WHAT IS A SUBSTANCE ABUSE PROFESSIONAL (SAP)?</b> .....	7
MINIMUM QUALIFICATIONS OF A SAP1	9
<b>DOT RULE 49 CFR § 40</b> .....	13
<b>DOT-APPROVED SERVICE AGENTS &amp; DESIGNATED EMPLOYER REPRESENTATIVE</b> .....	39
<b>DOT-SPECIFIC DRUG &amp; ALCOHOL TESTING PROTOCOLS</b> .....	47
Reasons for Testing	48
Testing Process at the Lab	53
What is a Medical Review Officer (MRO)?	53
What is the procedure for administering a urine test?	54
What is the procedure for administering an alcohol test?	55
Validity Testing	56
Problems with Testing	56
i: Fatal Flaws	56
ii: Correctable Flaws	57
iii: Refusal to Test	58
iv: Diluents and Substitutions	60
v: Adulterants	60
vi: Shy Bladder	60
vii: Cancelled Tests & Recollection Procedures	61
viii: Specimen Collection and Testing: Allowed and Alternative	62
ODAPC FAQs	65
HIPAA Statement	67
<b>OVERVIEW OF PSYCHOACTIVE SUBSTANCES</b> .....	68
TESTING THRESHOLDS	69
ALCOHOL	70
Blood Alcohol Concentration	75
STIMULANTS AMPHETAMINES	77
Methamphetamine	79
COCAINE	80
CANNABIS	83
OPIOIDS	88
PHENCYCLIDINE	90
<b>FAA: FEDERAL AVIATION ADMINISTRATION</b> .....	94
A. 14 CFR §120 & FAA-Specific Protocols	95
B. FAQs	97
<b>FMCSA: FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION</b> .....	102
49 CFR § 382 & Testing Protocols	103
FMCSA FAQs (as of 08.16.19)	106

<b>FRA: FEDERAL RAILROAD ADMINISTRATION.....</b>	<b>135</b>
FRA: Federal Railroad Administration: 49 CFR § 219 Testing Protocols	136
FRA FAQs	146
<b>FTA: FEDERAL TRANSIT ADMINISTRATION.....</b>	<b>156</b>
FTA: Specific Protocols	157
FTA FAQs	159
<b>PHMSA: PIPELINE &amp; HAZARDOUS MATERIALS SAFETY ADMINISTRATION.....</b>	<b>168</b>
49 CFR §199 Testing Protocols	169
PHMSA General FAQs	170
<b>USCG: UNITED STATES COAST GUARD.....</b>	<b>194</b>
USCG-Specific Protocols	96
USCG FAQs	197
<b>EMPLOYER RESPONSIBILITIES.....</b>	<b>200</b>
<b>SAP: ETHICAL &amp; PRACTICAL GUIDELINES.....</b>	<b>214</b>
1. INTRODUCTION	215
2. SAP DUTIES: THE EVALUATION PROCESS	217
3. RELEASE OF INFORMATION	221
4. RECORD MAINTENANCE	222
<b>SAP: CLINICAL SERVICES &amp; DOCUMENTATION.....</b>	<b>232</b>
1. STEP-BY-STEP PROCESS EXAMPLE	233
2. INITIAL EVALUATION: ASSESSMENT	234
3. REFERRAL AND LEVEL OF CARE RECOMMENDATION	235
4. FINAL EVALUATION	237
<b>SAP: ETHICAL CONSIDERATIONS.....</b>	<b>242</b>
<b>DOT: RECORD KEEPING REQUIREMENTS.....</b>	<b>250</b>
<b>SUBSTANCE USE DISORDERS: CLINICAL GUIDANCE.....</b>	<b>254</b>
<b>CASE STUDIES.....</b>	<b>262</b>
<b>APPENDICES.....</b>	<b>265</b>
<b>RESOURCES .....</b>	<b>337</b>
<b>GLOSSARY .....</b>	<b>342</b>
<b>REFERENCES .....</b>	<b>350</b>



[1]

# WHAT IS A SUBSTANCE ABUSE PROFESSIONAL (SAP)?



A **Substance Abuse Professional (SAP)**, according to the U.S. Department of Transportation (DOT) Office of Drug & Alcohol Policy & Compliance, is a person who evaluates employees who have violated a DOT drug and alcohol program regulation and makes recommendations concerning education, treatment, follow-up testing, and aftercare. SAPs represent the major decision point an employer may have in choosing whether or not to return an employee to a safety-sensitive position, such as behind the steering wheel of a school bus, in the cockpit of a plane, at the helm of an oil tanker, at the throttle of a train, in the engineer compartment of a subway car, or at the emergency control valves of a natural gas pipeline.

Safety is the number one priority of the DOT. A SAP's responsibility to the public is enormous. A SAP is not an advocate for the employer or the employee. A SAP's function is to protect the public interest in safety by professionally evaluating the employee and recommending appropriate education and/or treatment, follow-up tests, and aftercare.

DOT regulations give an employee - who works in a DOT-regulated **safety-sensitive position** and refuses to provide a test sample or has a non-negative drug and/or alcohol test result - the opportunity to return to their safety-sensitive position once he/she has complied with the SAP's requirements, completed the return-to-duty process, and produced a negative return-to-duty drug and/or alcohol test result. This provides the recovery community with additional validation that individuals can be in recovery from substance use disorders and re- enter the workplace as productive, vital employees.

This is a tremendous step forward in acknowledging the fact that substance use disorders are illnesses that do not have to remove an employee from the workplace long-term.

The DOT established a significant role for the Substance Abuse Professional in the return-to-work process after the Omnibus Transportation Employee Testing Act of 1991. The Omnibus Transportation Employee Testing Act acknowledges the misuse of alcohol and illicit substances, and the need for options that promote rehabilitation of the employee. After the passage of the Omnibus Act, the roles and the responsibilities of the SAP were defined, as were the qualifications of the professionals who could provide SAP services. Through research and experience, the Department of Transportation recognized that the SAP qualifications alone were not adequate to ensure that the SAP had the necessary information to perform SAP functions. In December 2000, the regulations were revised with a clear mandate that SAPs must have specific **qualification training** prior to performing SAP functions.

The fundamental responsibility of a SAP is to provide a comprehensive face-to-face assessment and clinical evaluation to determine what level of care the employee needs towards resolving issues associated with his/her substance use. After performing a comprehensive assessment, the SAP recommends - at a minimum - a plan of action that includes education and/or treatment, along with drug testing. The employee must successfully complete the recommended plan if he/she wants to return to his/her DOT safety- sensitive position.

The role of a SAP is a very important part of the DOT's efforts to help make America's transportation industries the safest in the world. The SAP's role as a "gatekeeper" in the return-to-duty process provides an important service to the employee, employer, and traveling public.

SAPs evaluate employees in safety-sensitive positions - who have violated a DOT drug and alcohol program regulation - and make recommendations concerning education, treatment, following-up testing and continuing/ after-care by:

- Conducting comprehensive face-to-face assessments and clinical evaluations to determine what level of assistance the employee needs in resolving problems associated with alcohol use or prohibited substance use;

**Substance Abuse Professional (SAP):**

A person who evaluates employees who have violated a DOT drug and/or alcohol regulation and makes recommendations concerning education, treatment, follow-up testing, and aftercare.

**Safety-Sensitive Position:** Any commercial transportation related function, including, but not limited to, moving or controlling a commercial vehicle and/or vessel; mechanical maintenance of vehicles and/or vessels; transporting hazardous materials or containers; maintaining the location of hazardous materials; and armed security.

**Qualification Training:** The training required for SAPs to perform their functions as stipulated by the DOT drug and alcohol testing program.

- Recommending a course of education and/or treatment with which the employee must comply prior to returning to DOT-safety-sensitive duty;
- Serving as a referral source to assist the employee's entry into an acceptable program;
- Conducting a face-to-face following up evaluation with the employee to determine if the individual has successfully complied with the recommendations of the initial evaluation and has made appropriate clinical progress sufficient enough to return to duty;
- Developing and directing a follow-up testing plan for the employee returning to work following successful compliance; and
- Providing the employee and employer with recommendations for continuing/after-care.

## MINIMUM QUALIFICATIONS OF A SAP<sup>1</sup>

In order to qualify as and perform the duties of a SAP in the DOT Drug and Alcohol Testing Program, a NAADAC-qualified SAP must meet the following requirements (as delineated in DOT Rule 49 CFR § 40 Section 40.281) *[throughout this manual, when referring to a Rule, Section/Part = §]:*

### A. **Currently have in good standing one of the following credentials:**

- National certifications – NCAC I, NCAC II or MAC – through the NAADAC Certification Commission for Addiction Professionals (NCC AP);
- Licensed physician (Doctor of Medicine or Osteopathy);
- Licensed or certified psychologist;
- Licensed or certified social worker;
- Licensed or certified employee assistance professional;
- State-licensed or certified marriage and family therapist; or
- Certified alcohol and drug abuse counselor by the International Certification Reciprocity Consortium/Alcohol and Other Drug Abuse (IC&RC) or National Board of Certified Counselors Master Addictions Counselor (NBCC).

### B. **Meet, at a minimum, the following knowledge-specific requirements:**

- i. Clinical knowledge and experience in the diagnosis and treatment of alcohol and controlled substances-related disorders;
- ii. Knowledge of the SAP's function as it relates to employer interests in safety-sensitive duties;
- iii. Knowledge of the DOT regulations that apply to the employers for whom the SAP evaluates employees, and the applicable DOT SAP Guidelines; and
- iv. Knowledge of all changes to DOT regulations by subscribing to the ODAPC list-serve at <https://www.transportation.gov/odapc/get-odapc-email-updates>. *[DOT agency regulations, DOT SAP 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 (<http://www.transportation.gov/odapc>).]*

### C. **Participation in qualification training that provides instruction in the following nine areas and successful passing of a certification exam:**

- i. Background, rationale, and coverage of the DOT's drug and alcohol testing program;
- ii. 49 CFR § 40 and DOT agency drug and alcohol testing rules;
- iii. Key DOT drug testing requirements, including collections, laboratory testing, MRO review, and problems in drug testing;

- iv. Key DOT alcohol testing requirements, including the testing process, the role of BATs and STTs, and problems in alcohol tests;
- v. SAP qualifications and prohibitions;
- vi. The role of the SAP in the return-to-duty process, including the initial employee evaluation, referrals for education and/or treatment, the follow-up evaluation, continuing treatment recommendations, and the follow-up testing plan;
- vii. SAP consultation and communication with employers, MROs, and treatment providers;
- viii. Reporting and recordkeeping requirements;
- ix. Issues that SAPs confront in carrying out their duties under the program; and
- x. Successful passing of a certification exam administered by NAADAC or other nationally recognized professional or training organization.

**D. Successful completion of the requalification requirements - in every three-year period - that consists of the following:**

- i. **12 hours** of continuing education/professional development training on new technologies, interpretations, recent guidance, rule changes and other information about developments in SAP practice, pertaining to the DOT program, since meeting the initial qualification training requirements to become a SAP; and
- ii. Successful passing of a requalification exam or other assessment tool/activity that assists the SAP and certification entity to determine whether the SAP has adequately learned the requalification material.

**E. Documentation:**

- i. The SAP must maintain documentation as evidence that the SAP currently meets all the requirements of a SAP, as outlined here and in DOT Rule 49 CFR § 40 Section 40.281.
- ii. The SAP must provide this documentation on request to DOT agency representatives and to employers and C/TPAs who are using or contemplating using the SAP's services.

*The overarching mission of the Department of Transportation: **keep the traveling public safe.** DOT regulations improve safety by prohibiting the use of controlled substances and the misuse of alcohol while preparing to perform or in the performance of **safety-sensitive work.***

## Substance Abuse Professionals: FAQs

<p>1. What are the DOT requirements to become and remain a SAP?</p>	<p><b>Initial Qualification:</b> To become a SAP, the DOT requires the professional to complete 12 hours of initial training and pass a SAP exam, before they can start providing SAP services.</p> <p><b>Continuing Education Requirement:</b> A SAP must complete 12 hours of continuing education during every three-year period.</p> <p>SAPs who trained prior to <u>August 1, 2001</u> must complete the full qualification training under the revised DOT rules, effective 2001.</p>
<p>2. What steps do I need to take to become a DOT-certified or -approved SAP?</p>	<p>The DOT does not certify or approve SAPs. An individual cannot refer to themselves as “certified” or “approved.”</p> <p>To be able to identify oneself as a SAP, the individual must complete the qualification training, and take and pass the exam.</p> <p>The DOT does not approve or otherwise endorse trainers or training programs. The DOT can review programs to make sure that they are providing accurate and appropriate information relevant to the work performed by a SAP.</p>
<p>3. What must be covered in a SAP qualification training per 49 CFR § 40.281c?</p>	<ul style="list-style-type: none"> <li>o Background, rationale, and coverage of the DOTs drug and alcohol testing program;</li> <li>o 49 CFR § 40 rules, and the drug and alcohol testing rules of the six operating administrations. (each agency has its own rules);</li> <li>o Key DOT drug testing requirements, including collections, laboratory testing, MRO review, and problems in drug testing;</li> <li>o Key alcohol testing requirements, including the testing process, the role of BATs and STTs, and problems in alcohol testing;</li> <li>o SAP qualifications, and SAP prohibitions;</li> <li>o The role of the SAP in the return-to-duty process, including the initial employee evaluation, referrals for education and/or treatment, monitoring during treatment/education, the follow-up evaluation, the follow-up testing plan, and setting up an aftercare program;</li> <li>o SAP consultation communication with employers, MROs, treatment providers, and other service agents;</li> <li>o Reporting and recordkeeping requirements; and</li> <li>o Issues that SAPs confront in carrying out their duties under the program.</li> </ul>
<p>4. What does a SAP need to show for proof of training?</p>	<p>The SAP will need a certificate verifying that he/she attended a SAP training or webinar, or learned the material using a training manual, and a passing score on the exam. The SAP is required by DOT Rule 40.281e to provide an employer, service agent, or DOT auditor with copies of his/her training and exam documentation, if requested.</p>

## Substance Abuse Professionals: FAQs

5. How realistic is the need for SAPs?	DOT's drug and alcohol regulations are meant to protect and guide over 12 million employees working within the transportation industry. Most of these employees are truck drivers. More than 5 million drug tests are conducted in any given year. The trucking industry is experiencing a positive drug test rate of more than 1%, which translates annually to over 50,000 truck drivers nationwide who must complete a SAP evaluation and its requirements before they can be considered for return to safety-sensitive functions. These employees are subject to other DOT-required testing as well, which increases the need for SAP assessments. <sup>2</sup>
6. What setting can a SAP work in?	A SAP can work independently in a private practice or group practice setting. They can be members of an EAP. SAPs can also be affiliated with a SAP network/broker.