DOT Audit Readiness Checklist

Think of this as pre-inspection armor. If you can produce these items quickly and cleanly, most training conversations end fast.

1) Qualification Training – Initial

For **every** collector, BAT or STT, confirm you have:

☐ Proof of qualification training completion
☐ Date training was completed
☐ Training covered Part 40 procedures
☐ Error-correction training included (fatal flaws only)

Mock demonstrations

☐ Documentation of all error-free mock collections (5 for collectors and STTs; 7 for BATs)
☐ Scenarios included the required problem situations
☐ Forms from the mocks are retained (not just a certificate)

Auditor red flag: certificate present, but no proof of the five mocks.

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2) Five-Year Requalification

Every BAT, STT, or Collector must requalify every five years, measured from the date of their last qualification or requalification.

☐ Five-year window has not expired
☐ Refresher training completed
☐ Error-free mock collections documented (5 for collectors and STTs; 7 for BATs)
☐ Requalification occurred *before* the prior period lapsed

Auditor red flag: refresher taken, but no new mocks.

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3) Evidence of Current Knowledge

Auditors often probe whether testing technicians are operating under **current** rules. If you conduct your training in-house, be ready to show:

☐ Training materials reflect current Part 40 procedures
☐ Collectors know how to handle shy bladder, temperature issues, direct observation, etc.
☐ Updates were provided when major procedural changes occurred

This is where ultra-short "update" classes sometimes fail to impress. If you use a third party to administer and oversee training, ask them how they maintain this information in the event an auditor asks you to produce evidence.

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4) Training Records Management

You should be able to retrieve documentation while the auditor is sitting there.

☐ Records are centralized
☐ You can match each collector to qualification dates
☐ You can tie a collector to a test performed on a specific date
☐ Expiration tracking system exists (spreadsheet, LMS, calendar alerts)

Auditor red flag: "We'll have to ask corporate for that."

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5) Corrective Training (when mistakes happen)

If a testing technician made a serious error in the past, auditors may ask:

☐ Was retraining performed?
☐ Is remedial mock documentation available? (3 error-free mocks)

No paper trail = no retraining in the auditor's eyes.

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6) Subcontractor / Network Collectors

If you use contractors to perform drug or alcohol testing, the responsibility doesn't disappear.

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☐ You have qualification documentation for them

☐ You track their five-year windows

☐ You verify they remain eligible to perform collections

Auditor red flag: assuming the contractor is handling it.

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7) The defensibility question

A common closing move from auditors is:

"If this test were challenged, could you prove the collector was properly qualified?"

If your answer involves uncertainty, hunting for paperwork, or relying on memory, expect trouble.

Why many drug and alcohol testing businesses standardize training

Because mock requirements, timelines, and documentation rules are so specific, many organizations choose formal programs from providers like AlcoPro. Structured systems tend to capture the demonstrations, certificates, and retraining evidence in ways auditors immediately recognize.

Less improvising. More proof.

Quick self-test

Pull a random test from six months ago.

Now ask:

- Who did it?

- Were they qualified that day?

- Can I prove it in under five minutes?

If not, that's where to fix your process **before** an auditor finds it.