

SUBSTANCE ABUSE EVALUATION
for workers in safety-sensitive positions regulated by the
U.S. Department of Transportation
Statement of Purpose and Informed Consent

You have requested to have your substance use evaluated by a Substance Abuse Professional (SAP) as a result of a DOT rule violation. Since you are an employee covered by the U.S. Department of Transportation regulations, the SAP is required to follow procedures mandated by the DOT as outlined below.

The role of the SAP includes:

- To evaluate the extent of your use of alcohol and other drugs.
- To recommend the type of treatment or education that is most appropriate.
- To help you gain access to recommended treatment or education.
- To monitor your participation and compliance in the recommended treatment plan.
- To determine when you are appropriately ready to take a return-to-duty alcohol or other drug test.
- To recommend the frequency and type of follow-up tests.

A SAP evaluation is not drug or alcohol treatment, but rather an assessment to determine what type of treatment or education you require. Because the assessment and related services are not treatment, SAP services are not covered by health insurance (even if your SAP is in-network with your insurer). Payment in full for the SAP assessment is due in advance; this fee covers SAP services from the initial visit through the time of your return to duty *with respect to this DOT violation and treatment recommendation*. If you have another DOT violation in the future, a new assessment (and fee) will be required. After the initial assessment is completed, your SAP will recommend that you receive treatment or education to assist you. If you have health insurance, the SAP will attempt to locate an in-network provider to assist you. However, you are responsible to ensure that payment to the treatment provider is made. *You must commence recommended treatment within 30 days of the date a treatment referral made or a new assessment (and fee) will be required*. You must complete treatment recommended by the SAP before being cleared for return-to-duty testing.

Your SAP will report to your Designated Employer Representative (DER) the information described on the Statement of Understanding form. Some additional information cannot remain confidential, such as: when individuals appear to be in danger of harming themselves or others, or where there is a reasonable cause to suspect child or elder abuse or neglect.

If you develop questions or concerns about your SAP evaluation or subsequent treatment, you are encouraged to discuss the matter immediately with your SAP. Your treatment provider should provide progress reports to your SAP, not your employer. Your SAP will then communicate only the necessary information to your employer.

Once you have started the SAP evaluation process, the DOT prohibits you from transferring to a different SAP, or from seeking another SAP opinion (49 CFR § 40.295). If you do obtain a second SAP opinion elsewhere, DOT-regulated employers are prohibited from relying on it to return you to duty.

Name/Contact Information of SAP: Thomas Rue, 433 Broadway, Monticello, NY 12701, phone: 845-513-5002.

Date

Signature of Client

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