

Urine Collection and Chain of Custody Procedures



United States Probation Office

Drug Testing Program

POLICY

It is the policy of the U.S. Probation Office to ensure the validity of the drug testing program by following well defined procedures for the collection of all urine specimens. The following collection procedures are in place for the probation department and all vendors who collect samples, as required by the Statement of Work. The importance of proper collection is the first step in assuring that an accurate and defensible drug screen is performed. The policy further reflects the requirements that the chain of custody be preserved for all specimens collected in the event that adverse action is taken which necessitates testimony by the collector in judicial proceedings. In addition to protecting the rights of the donor/client/offender.

The vendor shall:

- ▶ Store all urinalysis supplies in a secure area with limited access only to authorized employees involved in the collection process
- ▶ Prevent defendant/offender access to the secure storage areas
- ▶ Provide a lavatory only for collecting urine specimens

The vendor shall:

- ▶ Remove soap dispensers and cleaning agents from the lavatory
- ▶ Ensure that all personnel handling urine specimens wear disposable gloves designed for the protection against bio-hazards, and are familiar with standard precautions for handling bodily fluids

URINE COLLECTION PROCEDURES

- ▶ Unobserved urine collections are not permissible
- ▶ Never underestimate what an addict will do to conceal drug use and to try and beat the drug test
- ▶ If the offender refuses to provide a specimen, uses a device to circumvent testing, or attempts to bribe or coerce staff at any time during the collection process, report this immediately to the site supervisor. The USPO will need to be notified immediately and a written statement of the incident is to be provided to the U.S. Probation Office.

Urine Collection-Step 1



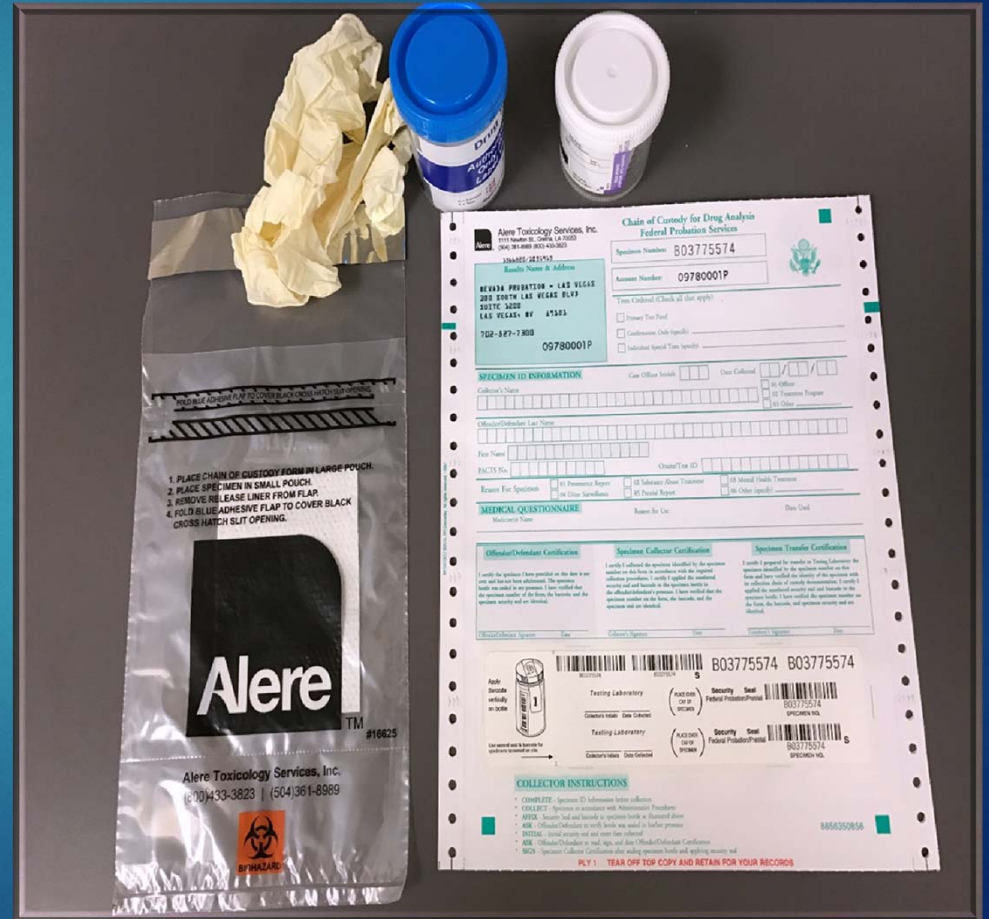
The collector is to verify the subject by viewing a government issued photo identification or identification approved by the U.S. Probation Office.

The subject should always be escorted from the waiting area to the collection area by the collector. Be cognizant of body language and potential efforts to conceal a device to deliver clean urine.

The collector and the subject are the only people present in the collection area during this time. Multiple collections should not occur at the same time.

Urine Collection-Step 2

The collector shall obtain the necessary supplies (Drug testing cup, Chain of Custody form, etc.) from a secured area in view of the subject.



Urine Collection-Step 3



The collector, while holding the supplies, will escort the subject into the restroom

Urine Collection-Step 4



Ask the subject to remove any bulky (concealing) clothing, and to roll up sleeves so that wrists/forearms are in clear view.

It may be necessary to have subject adjust clothing in order to adequately determine that a device is not being concealed on his/her body.

Urine Collection-Step 5



While the collector holds the supplies, the subject will rinse hands thoroughly with water only, no soap.

The purpose of the rinse is to eliminate any contaminating agent the subject may try to drop into the specimen.

Urine Collection-Step 6

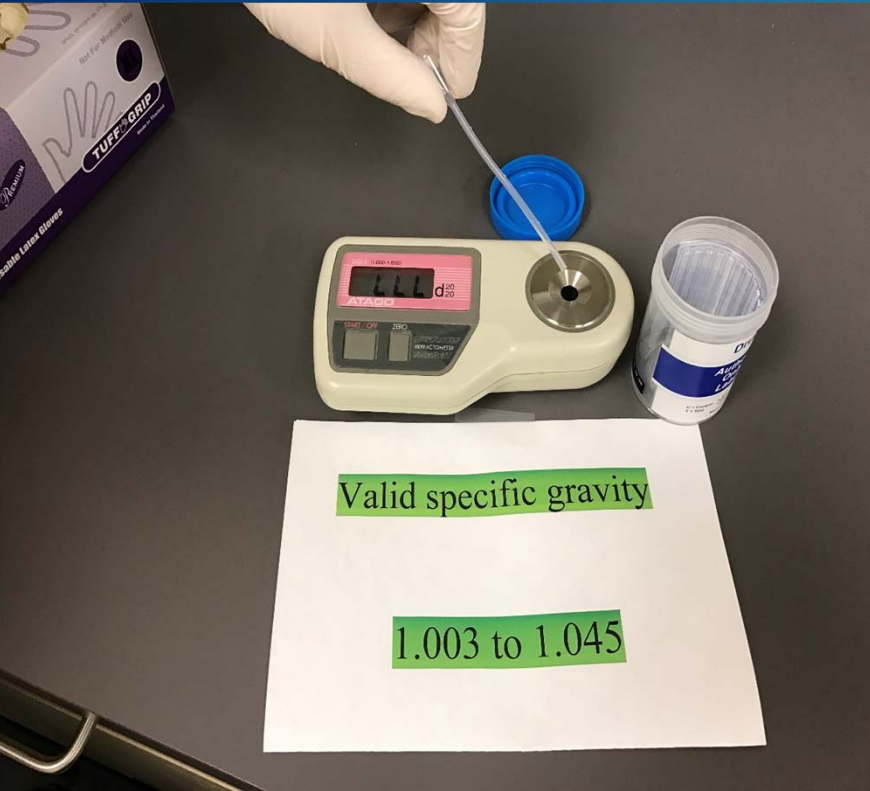


The collector hands the drug testing cup to the subject and positions himself in a manner to directly observe urine leave the body and enter the specimen bottle.

Keep the specimen bottle/container in view of the subject at all times prior to it being sealed and labeled

Collect a minimum of 35 milliliters of urine, but no more than 1/2 full. A specimen with less than 10 milliliters of urine is not acceptable for testing

Urine Collection-Step 7



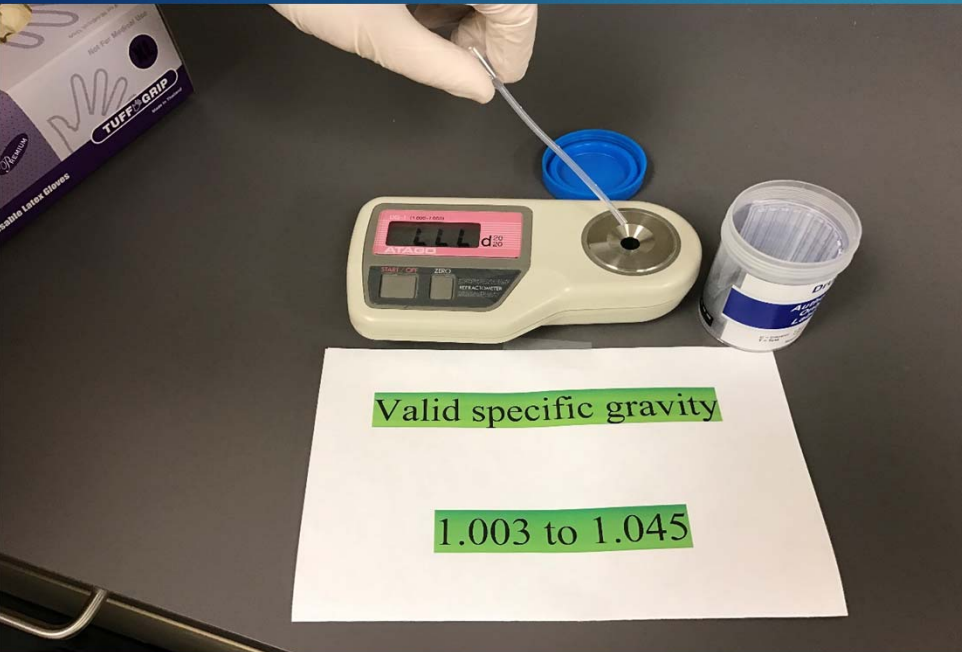
Screw top of the bottle or ensure the offender tightly screws the top on the bottle

Do not flush urinals until the collection is completed and the offender has left the urinal area

Observe for any indication (unusual color, odor) of specimen dilution and/or adulteration

Conduct specific gravity test using refractometer (if less than 1.003 unacceptable and must void again-waiting at least one hour before re-testing)

DILUTED URINE



Diluted urine can be an indication that a subject is attempting to “flush” his/her system with excessive amounts of fluids in order to avoid drug detection.

Products sold to “beat drug tests” commonly use flushing as the method to avoid detection.

Collector must test all urine specimens using refractometer to ensure specific gravity is in the acceptable range (1.003-1.045)

Urine Collection-Female

- ▶ Because it may be impossible to see urine leave the female body and enter the drug testing cup, other procedures must be employed to ensure a urine substitution does not occur.
- ▶ Ask the female subject to hold the cup with one hand, and place the other hand against the wall, or in clear view away from the cup.
- ▶ Ask the female subject to begin the flow of urine, stop the flow, and resume the flow, ensuring that urine is actually coming from her.

Important!!

- ▶ If the subject is unable to provide a sample, the collector shall document the testing log as a “stall” with the time of the attempt. The bottle should be disposed of in a trash receptacle in a secured area.
- ▶ If the subject provides an invalid sample(diluted-less than 1.003) the subject must wait a minimum of one hour before retesting. The testing log must be documented to reflect “invalid” sample with the results of the specific gravity documented.
- ▶ If a diluted urine specimen indicates presumptive positive it must be packaged and submitted to the National Laboratory for confirmation. The subject, however, is still required to return and provide a valid sample on the same date.

Important

- ▶ DO NOT re-use the testing cup for any future collection, including a subsequent attempt by the same subject. A new testing cup must be used.
- ▶ If the subject is able to submit a valid sample in a subsequent attempt on the same day, the testing log should be documented to reflect
- ▶ **ALL POSITIVE DRUG TESTS MUST BE SUBMITTED TO THE NATIONAL LABORATORY FOR CONFIRMATION**

Interpreting Results of Testing Cup



NEGATIVE

A Negative result is indicated by the presence of a test or "T" line for each designated drug.



NEGATIVE

The presence of a very light "T" line indicates a Negative result.



POSITIVE

A Positive result is indicated by the presence of a control "C" line and the absence of a "T" line. Wait 5 minutes to read positive results.

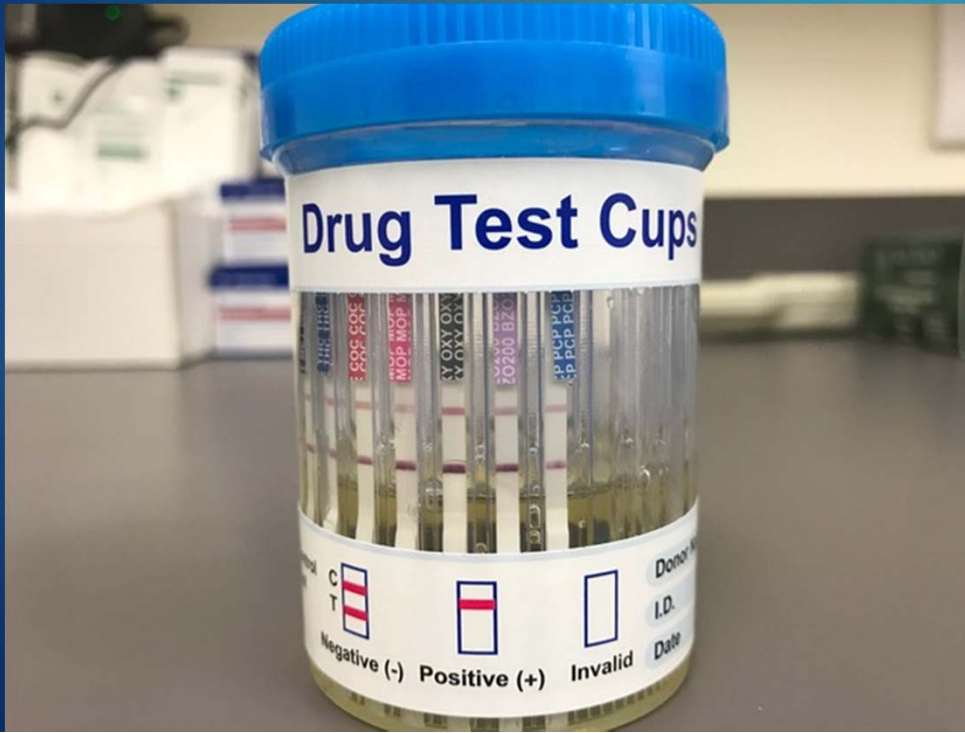


INVALID

An Invalid result is indicated when the "C" line is completely missing from one or more test windows. If this happens, run another test.

Urine Collection-Step 8

If the test is negative?



Discard the testing device

Log the result in the approved urinalysis log

RECORD RESULTS ON APPROVED LOG

Drug and alcohol test results must be recorded on two separate logs.

- ▶ District of Nevada UA Log Report
 - Provided by the U.S. Probation the evening prior to each scheduled test date
 - Log will contain list of all clients scheduled to report for drug testing
 - Vendor must record drug test results, alcohol results (if applicable), specific gravity results, and specimen number (if submitted to laboratory) on this log
 - Log must be emailed nightly (conclusion of testing hours) to the U.S. Probation Office

- ▶ URINALYSIS/ALCOHOL TESTING LOG
 - prepared monthly for each client.
 - maintained in each client's file
 - submitted monthly with the invoice

District of Nevada UA Log Report



District of Nevada UA Log Report

Testing Date: _____

Client ID	Client Name	Phase Color	Officer Name	Notes To UA Technician	Enter BAC Below if Applicable	Note to Probation Officer
4987631	Tom Riddle					SPECIFIC GRAVITY: 1.008 NEGATIVE / POSITIVE FOR: SPECIMEN NUMBER:
						SPECIFIC GRAVITY: NEGATIVE / POSITIVE FOR: SPECIMEN NUMBER:
				BA		SPECIFIC GRAVITY: NEGATIVE / POSITIVE FOR: SPECIMEN NUMBER:
				BA		SPECIFIC GRAVITY: NEGATIVE / POSITIVE FOR: SPECIMEN NUMBER:
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Urine Collection-Step 9

If the Results are Positive?

PRESUMPTIVE POSITIVE RESULT



This test shows no colored test lines for Cocaine and Methamphetamine. If there is no line, send the sample to a laboratory to be confirmed.

Advise offender that the results are presumptive, and will be reported to assigned officer

Prepare specimen to send to national laboratory by transferring the specimen to a national laboratory bottle and complete the COC (COC must be thoroughly and accurately completed)

Within 24 hours notify the officer of the positive presumptive test results

If the offender refuses to sign COC, make notification on COC and instruct offender to contact their assigned officer

Urine Collection-Step 10 Completing the Chain of Custody

- 1) Case officer initials
- 2) Date collected (e.g., 06/13/17- must use year)
- 3) Collector's Name-First name then Last
- 4) Donor Name
- 5) PACTS #

Alere Toxicology Services, Inc.
1111 Newborn St. Gretna, LA 70003
(504) 381-6888 (800) 423-3823

**Chain of Custody for Drug Analysis
Federal Probation Services**

Specimen Number: **B03775574**
Account Number: **09780001P**

Tests Ordered (Check all that apply):
 Primary Test Panel
 Confirmation Only (specify): **Methamphetamine**
 Individual Special Test (specify)

Collector's Name: **Smith, J** Case Officer Initials: **JJE** Date Collected: **06/25/17**

Offender/Defendant Last Name: **Doz**
First Name: **Doz, J**
PACTS No.: **123456**

Reasons For Specimen:
 01 Presence Report
 02 Substance Abuse Treatment
 03 Menal Health Treatment
 04 Urine Surveillance
 05 Pretrial Report
 06 Other (specify)

MEDICAL QUESTIONNAIRE
Medicated Name: **None** Reason for Use: _____ Date Used: _____

Offender/Defendant Certification
I certify the specimen I have provided on this date is my own and has been submitted. The specimen number on this bottle was noted in my possession. I have verified that the specimen number of the form, the barcode, and the specimen number are identical.

Specimen Collector Certification
I certify I collected the specimen identified by the specimen number on this form in accordance with the required security and seal barcodes on the specimen bottle for the offender/defendant's possession. I have verified that the specimen number on the form, the barcode, and the specimen are identical.

Specimen Transfer Certification
I certify I prepared for transfer to Testing Laboratory the specimen identified by the specimen number on this form and have verified the identity of the specimen with the collector chain of custody documentation. I certify I applied the chain of custody documentation to the specimen bottle. I have verified the specimen number on the form, the barcode, and specimen identity and seal barcodes are identical.

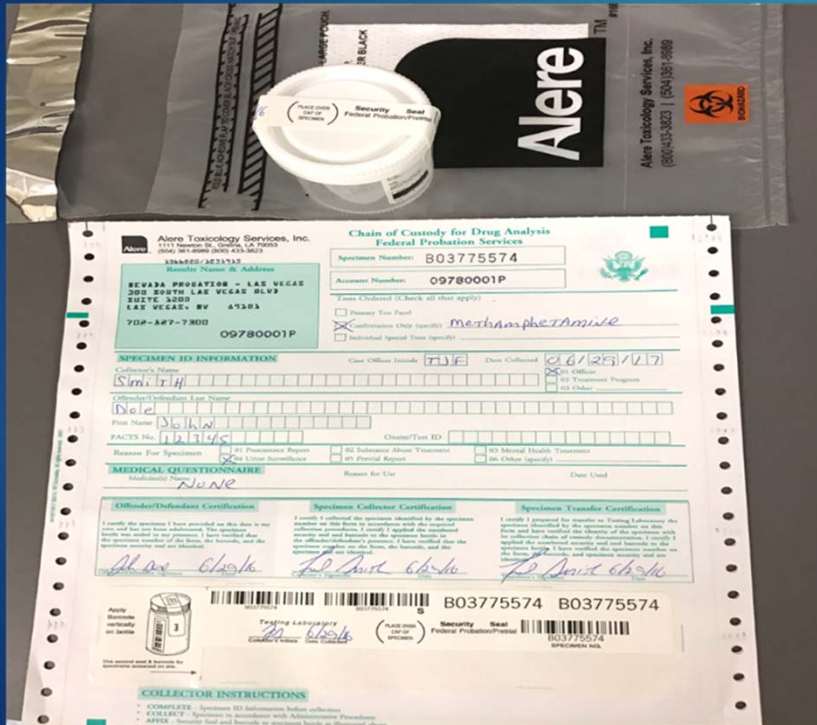
Apply Barcode vertically on bottle

Testing Laboratory: **Alere** Security Seal: **Alere**
Barcode: **B03775574** Barcode: **B03775574**
Specimen No.: **B03775574**

COLLECTOR INSTRUCTIONS

- COMPLETE - Specimen ID information before collection
- COLLECT - Specimen in accordance with Administrative Procedures
- AFFIX - Security Seal and barcode to specimen bottle on (illustrated) side

Urine Collection-Step 10 Completing the Chain of Custody

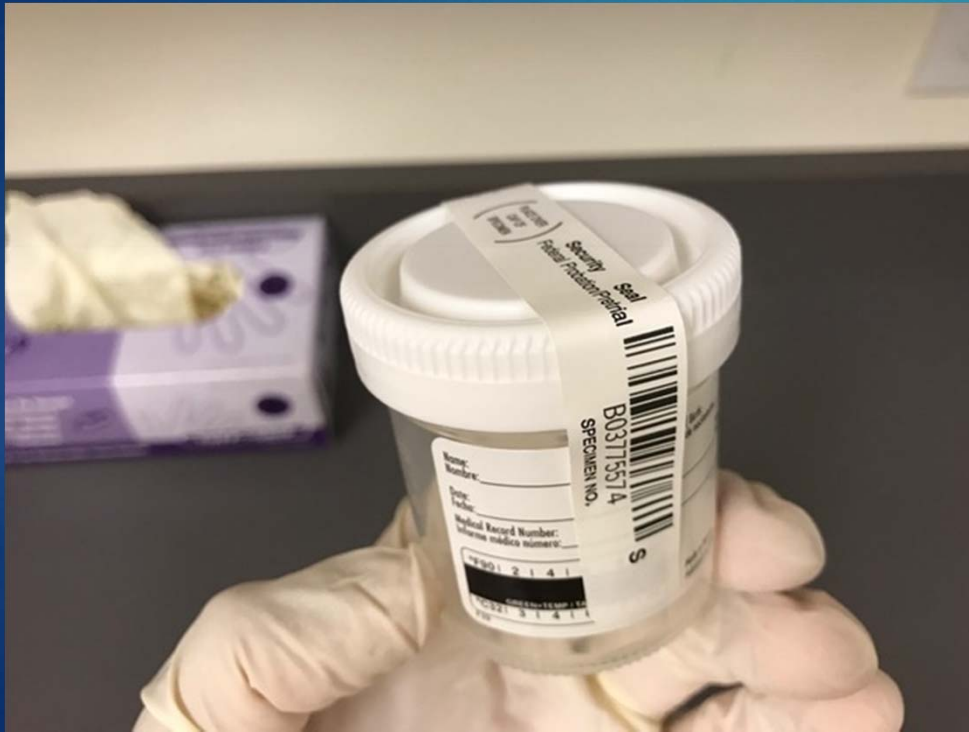


10) Subject shall read, sign, and date the Chain of Custody (if refuses, simply document the chain of custody)

11) The collector shall sign and date the Specimen Collector Certification and Specimen Transfer Certification

12) Always use ball point pen, press hard and print legibly in ALL CAPITAL letters

Preparing Sample for Submission to the Laboratory –Step 1



After completing the Chain of Custody The collector will transfer the specimen to a national laboratory bottle

Preparing Sample for Submission to the Laboratory –Step 2

The image shows a specimen collection form with several sections. A green arrow points to the 'Collector Certification' section, which contains a box for the collector's initials and a date field. The form also includes fields for 'Offender/Defendant Last Name', 'First Name', 'FACTS No.', 'Offense/Case ID', 'Reason For Specimen', 'MEDICAL QUESTIONNAIRE', and 'Offender/Defendant Certification'. There are two barcode areas, each with a 'Security Seal' and 'SPECIMEN NO.' field. The form number '8656350856' is visible at the bottom right.

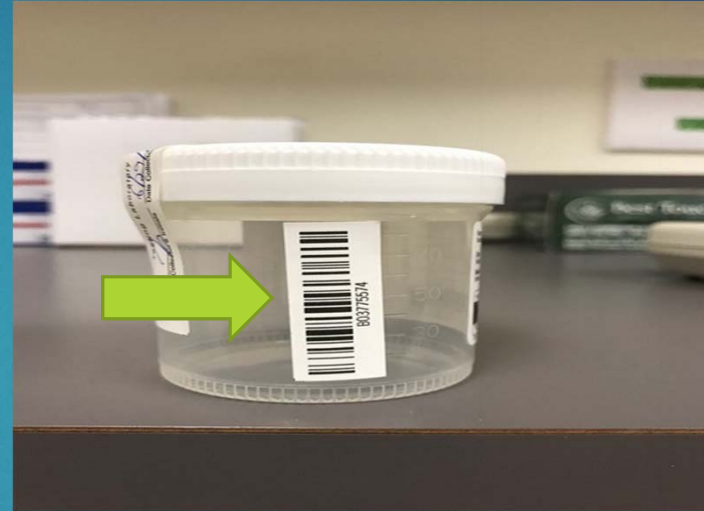


The collector will write his/her initials on the white tamper seal and date it.

The collector places the white tamper seal over the top of the bottle with at least one end adhering over the specimen ID label.

Preparing Sample for Submission to the Laboratory – Step 3

The image shows a 'Specimen Transfer Certification' form. A green arrow points to the barcode area. The form includes fields for 'Offender/Defendant Last Name', 'First Name', 'PACTS No.', and 'Center/Test ID'. It also has checkboxes for 'Reason For Specimen' (01 Prostitution Report, 02 Substance Abuse Treatment, 03 Mental Health Treatment, 04 Unlabeled Specimen, 05 Period Report, 06 Other (specify)). Below these are sections for 'MEDICAL QUESTIONNAIRE' and 'Offender/Defendant Certification'. The 'Specimen Collector Certification' section contains three columns of text for the collector, transporter, and testing laboratory. The 'Specimen Transfer Certification' section contains three columns of text for the collector, transporter, and testing laboratory. The form includes two barcode areas with the number 'B03775575'. The bottom of the form has 'COLLECTOR INSTRUCTIONS' and a footer with the number '8656350856' and the instruction 'PLY 1 TEAR OFF TOP COPY AND RETAIN FOR YOUR RECORDS'.



From the Chain of Custody, peel off bar code and apply bar code vertically on bottle

Preparing Sample for Submission to the Laboratory –Step 4



The collector, in the presence of the subject, will place the specimen into the specimen pocket (pocket containing absorbent sheet)

Preparing Sample for Submission to the Laboratory –Step 5



The collector will fold the Chain of Custody into quarter sections, place the Chain of Custody into the document pocket, tear adhesive lining, and fold adhesive flap over front pocket to insure a secured seal.

Preparing Sample for Submission to the Laboratory –Step 6

- ▶ Following the completion of the collection, the collector places the bagged specimen in a locked refrigerator.
- ▶ At the end of each business day, all specimens must be placed into a FedEx lab pack to be shipped to the laboratory.

Chain of Custody Facts

The following will be used as evidence that a urine specimen does indeed belong to the subject:

- ▶ Arrival of Chain of Custody and urine specimen together into the lab
- ▶ Signature on Chain of Custody form
- ▶ Initials and date on tamper evident seal

NO TEST

- ▶ Sample arrives at lab without the Chain of Custody form
- ▶ Tamper seal is broken or missing
- ▶ Chain of Custody form is not signed by the collector and subject (if subject refuses to sign simply write refused in the offender/defendant certification portion of the Chain of Custody)
- ▶ Specimen ID on label and Chain of Custody form do not match
- ▶ No initials by collector on tamper seal