

# URINE COLLECTION AND CHAIN OF CUSTODY PROCEDURES

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DISTRICT OF NEW MEXICO

U. S. PROBATION & PRETRIAL OFFICE

# IMPORTANCE OF OBSERVED COLLECTION

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- Never underestimate what an addict will do to conceal drug use or try to “beat” the drug test.
- Although the Statement of Work establishes guidelines for unobserved urine collections, this method is **highly discouraged**.
- Collector must receive approval from the supervising officer before an unobserved collection takes place.
- Temperature strips must be available for unobserved urine collections(temperature should be between 90-100 degrees).
- For safety reasons, do not observe a collection from someone you know unless it has been disclosed to your supervisor.

# COLLECTOR CERTIFICATION

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- All personnel who perform urine collections must be trained by a U. S. Probation/Pretrial Officer or Lab staff. The on-site laboratory will maintain a file on each collector which will include documentation of proficiency and a signed acknowledgment-of-training form.

# URINE COLLECTION- STEP I

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- The defendant/offender should be escorted from the waiting area to the collection area by the collector.
- Be cognizant of body language and potential efforts to conceal a “cheating” device.
- The collector and the client are the only people present in the collection area at this time. **Multiple collections should not occur at the same time.**

# URINE COLLECTION – STEP 2

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- The collector shall obtain supplies from a **secured area** in view of the defendant/offender.
- Chain of Custody (COC) form
- Specimen ID labels
- Tamper-evident seals
- Specimen bottles
- Wide-mouthed cups
- Tamper-evident bag
- PPE/Gloves



# URINE COLLECTION – STEP 3

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The image shows a close-up of a hand using a white marker to fill out a urine collection form (COC). The form is titled "United States Probation and Northern District of California Chain of Custody". The "REQUIRED" section includes the following fields:

- \*Offender/Dependant Name First, Last, MI: Doe, John
- \*Date of Birth: 08/12/70
- \*PACTS NO: 33
- \*Supervising Officer: [blank]
- \*Collection Date: [blank]
- \*Collection Time: [blank]
- \*Collection Site: [blank]
- \*Collection Method: [blank]
- \*Collection Date/Time: [blank]
- \*Medications (include tablet (s) taken): [blank]

Below the "REQUIRED" section, there are checkboxes for "Collector Comments" (Unobserved, Appears Dilute, BAC (if applicable)) and "OFFENDER/DEPENDANT CERTIFICATION". The certification section includes a statement: "I certify the information I provided above is true and correct. I certify the specimen I have provided on this date is my own and has not been adulterated. The security seal was applied to the specimen bottle by me, and I have verified that the specimen identification on the form and the form with the bottle." There are also fields for "Offender/Dependant Signature", "Staff Signature", and "Date Specimen Received".

- The **collector** fills out the top portion of the COC form (Client's legal court name, DOB, PACTS number, supervising officer, collection date/time, and medications).
- Client information will be provided on Prob45 or other forms provided to the vendor
- Have client initial next to medications and admitted drug use section

# URINE COLLECTION – STEP 4

## Before urine is collected

- The **client** signs a specimen ID label.
- The **client** affixes the **signed** specimen ID label to the bottle and affixes the **matching** specimen ID label to the COC form.
- Affix label to bottle BEFORE going into the bathroom to ensure bottle mix-up does not occur

United States Probation and Pretrial Services  
Northern District of Oklahoma  
Chain of Custody for Drug Analysis

\*REQUIRED (PLEASE DO NOT COMPLETE THIS SECTION)

*Offender/Defendant Name (last, first, MI) Doc, John		Specimen ID Label SPECIMEN ID: ON01- 15 Place on Form
*Date of Birth 03/22/70	*FACTS NO. 3826	
*State <input type="checkbox"/> Pretrial Services <input checked="" type="checkbox"/> Probation	*Supervising Federal Officer TS	
*Collection Date 9/16/06	*Collection Time 10:00 AM	Admitted Illegal Drug Use by Offender/Defendant _____ If so, list substance(s) and date(s) with (approx. amt.) in space above.
Medications (include date(s) taken) Prozac, Dayquil 9/16 11/7		Special Test Request <input type="checkbox"/> Benzodiazepine <input type="checkbox"/> Phencyclidine (PCP) <input type="checkbox"/> Other Specimens to be forwarded to national reference lab for other special test.
Collector's Comments <input type="checkbox"/> Unobserved <input checked="" type="checkbox"/> Apparent Dilute - BAC (if applicable) _____		

# URINE COLLECTION- STEP 5

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- The **collector** maintains control of all supplies and escorts the defendant into the restroom.



# URINE COLLECTION- STEP 6

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- Ask the Client 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 client adjust clothing in order to adequately determine that a device is not being concealed on his/her body.
- The client's personal belongings (purse/coat) should be placed on a hook or a table in the collection area.

# URINE COLLECTION- STEP 7

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- The client will wash hands with soap and water and dry them thoroughly.
- Make sure Offender/defendant rinses soap off entirely before drying hands.
- Purpose of wash is to eliminate any possible agents on client's hands.

# URINE COLLECTION- STEP 8

- Hand bottle to client
- Collector positions themselves to directly observe client voiding urine into collection container
- Ask defendant to fill bottle to the top.
- Client must provide a minimum of 10 mL for testing
  - Submitting a sample less than 10 mL may result in rejected UA



# URINE COLLECTION- FEMALE

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- A clean, wide-mouthed disposable cup is used to catch urine. The urine is then transferred to the specimen bottle by the defendant/offender.

# URINE COLLECTION- FEMALE

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- Because it may be impossible to see urine leave the female body and enter the disposable cup, request a mid-stream collection.
- Ask the female client to begin the flow of urine into the toilet, stop the flow, then resume the flow into the collection cup.
- Client's other hand should be in clear view, away from the collection cup.
- Ensure client does not dip cup into toilet bowl to collect water
- Client will pour the urine from the collection cup into the specimen bottle.

# URINE COLLECTION- STEP 8

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- Observe for any instances of adulteration
- In any instances of suspected falsifications, Probation Office must be notified immediately after the collection

# URINE COLLECTION- STEP 9

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- After urine is collected, the defendant places the cap tightly on the bottle to prevent leakage.
- The **COLLECTOR** will **NEVER** handle the **filled** specimen bottle.

# URINE COLLECTION- STEP 10

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- At the collection area, the **CLIENT** places the tamper-evident seal over the top of the bottle with both sides of the seal securing the bottle top and adhering to the sides of the bottle. At least one end of the seal must be placed over the specimen ID label.



# URINE COLLECTION – STEP 10 (CONTINUED)

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- The client will write his/her initials on the tamper evident seal **AFTER** it is affixed to the bottle. Sharpie/permanent markers are recommended

# URINE COLLECTION – STEP 10 (CONTINUED)

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- The **offender/defendant** places the UA specimen into the tamper evident bag, Ensure the sample goes in the pocket that has the zip lock closure, and have defendant close the bag.

# AFTER URINE HAS BEEN COLLECTED

United States Probation and Pretrial Services  
Southern District of California  
Chain of Custody for Drug Analysis

Offender/Defendant Name (Last, First, MI)  
Doe, John

Date of Birth  
04/12/70

Supervising Federal Officer  
TS

Collection Date  
9/18/06

Collection Time  
10:00 AM

Specimen ID Label  
SPECIMEN ID: 15

Admitted Illegal Drug Use by Offender/Defendant

Special Test Request  
 Benzocaine  
 Phencyclidine (PCP)  
 Other: alcohol

Collector Comments  
 Unobserved  
 Appears Dilute

OFFENDER/DEFENDANT CERTIFICATION  
I certify the information I provided above is true and correct. I certify the specimen I have provided on this date is my own and has not been adulterated. The security seal was applied to the specimen bottle by me, and I have verified that the specimen identification on this form and the bottle are identical.

Offender/Defendant Signature  
John Doe

Date  
9/18/06

The **client** shall read, sign, and date the COC form under offender/defendant certification.

United States Probation and Pretrial Services  
Southern District of California  
Chain of Custody for Drug Analysis

Offender/Defendant Name (Last, First, MI)  
Doe, John

Date of Birth  
04/12/70

Supervising Federal Officer  
TS

Collection Date  
9/18/06

Collection Time  
7:10 AM

Specimen ID Label  
SPECIMEN ID: 15

Admitted Illegal Drug Use by Offender/Defendant

Special Test Request  
 Benzocaine  
 Phencyclidine (PCP)  
 Other: alcohol

Collector Comments  
 Unobserved  
 Appears Dilute

OFFENDER/DEFENDANT CERTIFICATION  
I certify the information I provided above is true and correct. I certify the specimen I have provided on this date is my own and has not been adulterated. The security seal was applied to the specimen bottle by me, and I have verified that the specimen identification on this form and the bottle are identical.

Offender/Defendant Signature  
John Doe

Date  
9/18/06

COLLECTOR CERTIFICATION  
I certify I witnessed the above offender/defendant provide the specimen identified by the Specimen ID Label on this form. I certify that the security seal was applied to the specimen bottle in my presence, and I have verified that the specimen identification on this form and the bottle are identical.

Collector Signature  
TS

Date  
9/18/06

The **collector** shall complete the notes section of COC form, **REVIEW** the form for completeness, and then read, sign and date under collector certification.

# URINE COLLECTION – STEP 13



Before placing the COC form into the specimen bag, the **collector** has the opportunity to do a final review and verify that –

- 1) specimen ID numbers on the COC form and specimen bottle match.

# URINE COLLECTION – STEP 13 (CONTINUED)



2) specimen bottle is  
**TIGHTLY** sealed.



3) specimen bottle is affixed with  
A) **defendant-signed** specimen ID label.  
B) **defendant-initialed** tamper-evident seal that is placed  
**OVER** the specimen ID label.  
C) security seal is intact and adhering to both sides of the  
bottle.

# URINE COLLECTION-STEP 14

- The **collector** folds the form and places it into the document pocket of the tamper-evident bag (this pocket is located on the back of the zip lock pocket)
- Once the defendant has left, the zip lock portion of the bag cannot be opened, and paperwork cannot be removed.



# DILUTE URINE

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- Dilute urine can be an indication that a defendant is attempting to “flush” his/her system with excess fluid to avoid drug detection.
- Products sold to “beat drug tests” commonly use flushing as the method to avoid detection.
- If a pattern of providing dilute urines is noticed, the collector should communicate this with the Probation Officer.

# STORAGE AND DELIVERY

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- Postal Delivery – bagged specimen with COC form shall be placed in a mailer box provided by USPO. Verify mailer boxes address below:

US PROBATION

P.O. Box 777

Albuquerque, NM, 87103-9861

- Staff Courier – bagged specimen with enclosed COC form will be delivered to

500 Gold Avenue SW, Suite #10226

Albuquerque, NM 87102



# STORAGE AND DELIVERY

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- *Ideally, specimens should be delivered to the testing laboratory as soon as possible.*
- UA specimens should be mailed to the lab **daily**. If the collection is done late in the day, it can be sent the following morning. All specimens must be mailed off within 24 hours of collection. Specimens cannot be held over the weekend.
- Staff couriers should drop off specimens at least **2** times per week, **3** if possible. If the sample cannot be delivered due to a holiday or weekend, the collector will store the UA specimens in a secured and locked refrigerator for no more **3** days.

# STALLING & SUBSEQUENT ATTEMPTS

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- If the defendant is unable to provide an immediate sample, the collector may allow the defendant to drink not more than 8 ounces of liquid within a 30-minute time period.
- If the defendant is still unable to provide a specimen within two hours, the collector will complete the appropriate section of the COC form noting the stall and fax it to the supervising officer.
- The unused bottle and any other supplies used should be destroyed.
  - Save COC for documentation

# FAILURE TO PROVIDE

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- If the client does not appear for random drug testing, or if the client does not provide sufficient volume, the vendor must notify the Probation Office within 24 hours.

# SUPPLIES

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- Supplies are provided by USPO. The vendor provides the gloves, temperature strips, and coloring agent.
- Use only supplies provided by USPO and do not use USPO supplies for other collections
- Submit a Supply Request Form via e-mail to Probation when more supplies are needed.

# COMMON “NO TESTS” OR REJECTED SAMPLES

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- TAMPER SEALS

- 1) broken

- 2) no initials

- SIGNATURES

- 1) defendant and/or collector missing on COC form

- 2) defendant missing on specimen ID label on bottle

# NO TESTS

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- SPECIMEN ID LABELS
  - 1) none on bottle and/or not signed
  - 2) none on COC form
  - 3) numbers on bottle and COC do not match
  
- URINE VOLUME
  - 1) insufficient (less than 15mL)
  - 2) complete leakage

## SPECIMEN AND COC FORM –

- 1) No COC received
- 2) No specimen received

## NO MATCH –

- 1) specimen ID numbers on COC form/bottle
- 2) defendant initials on tamper seal do not match defendant name(do not allow nick names, or aliases)
- 3) name/Pacts # on COC form does not match defendant signature on **COC form**
- 4) name/Pacts # on COC form does not match defendant signature on **bottle**

# CORRECTABLE ERRORS (DETECTED IN PRESENCE OF DEFENDANT)

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- **Broken tamper seals** – ok to place a second seal over the first – be sure top seal is initialed



# POP QUIZ

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- True or False?

The specimen ID number on the bottle must match the specimen ID number on the COC form.

- True or False?

After placing the tamper-evident seal over the top of the bottle, the defendant writes his/her initials on it.

# POP QUIZ

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- When does the defendant sign the specimen ID label and affix it to the bottle, before or after urine is collected?
- When does the defendant sign the COC form, before or after the urine is collected?

# CONTACT INFORMATION

Questions may be directed to:

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## Drug Lab Training Specialist

- Janean Perea

## Drug Analysis Technicians

- Spencer Brill
- Brianna Hubble
- Crystal Bernal

## Drug Lab Supervisor

- Patricia Rodriguez

505-348-2734

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