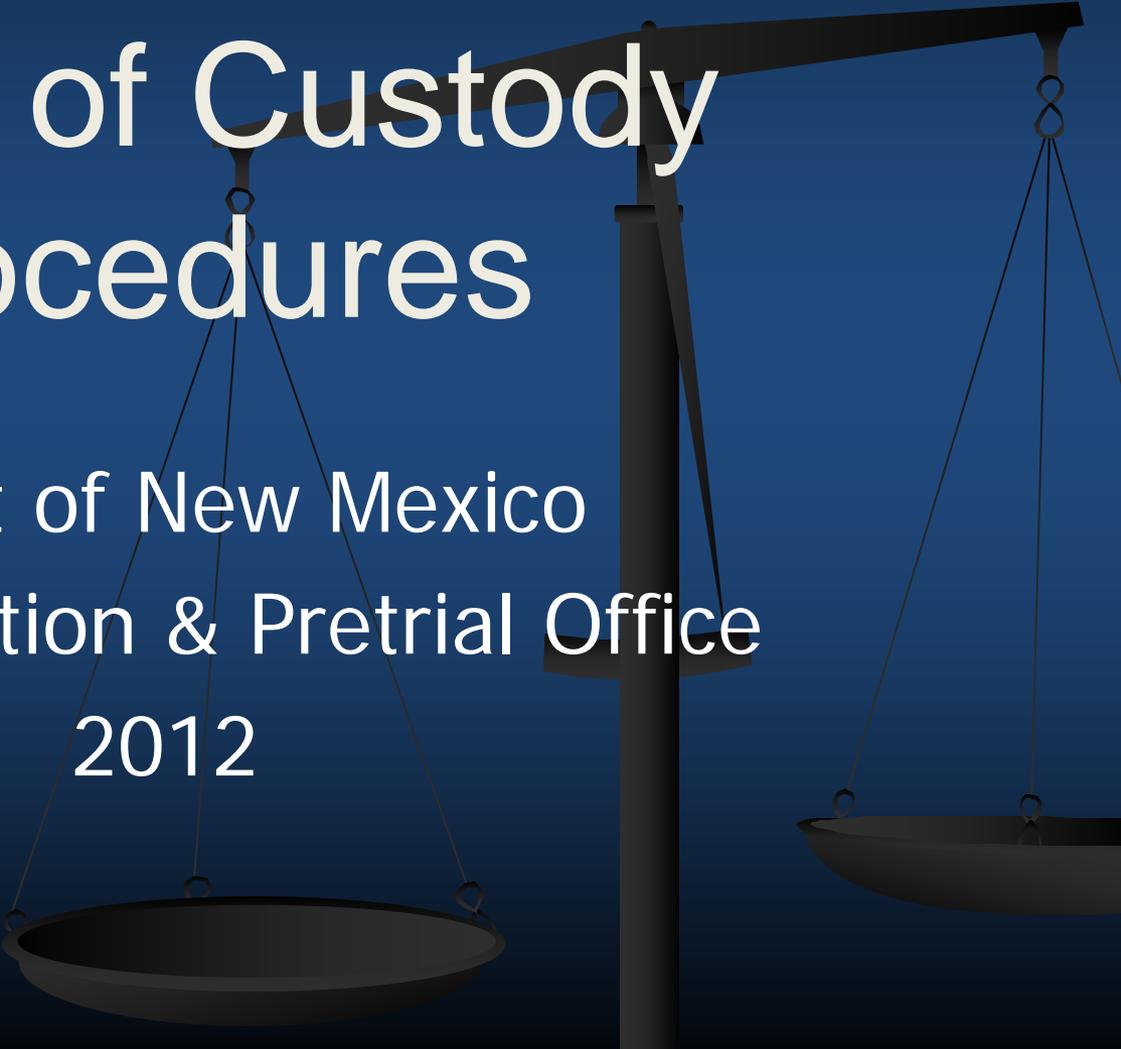
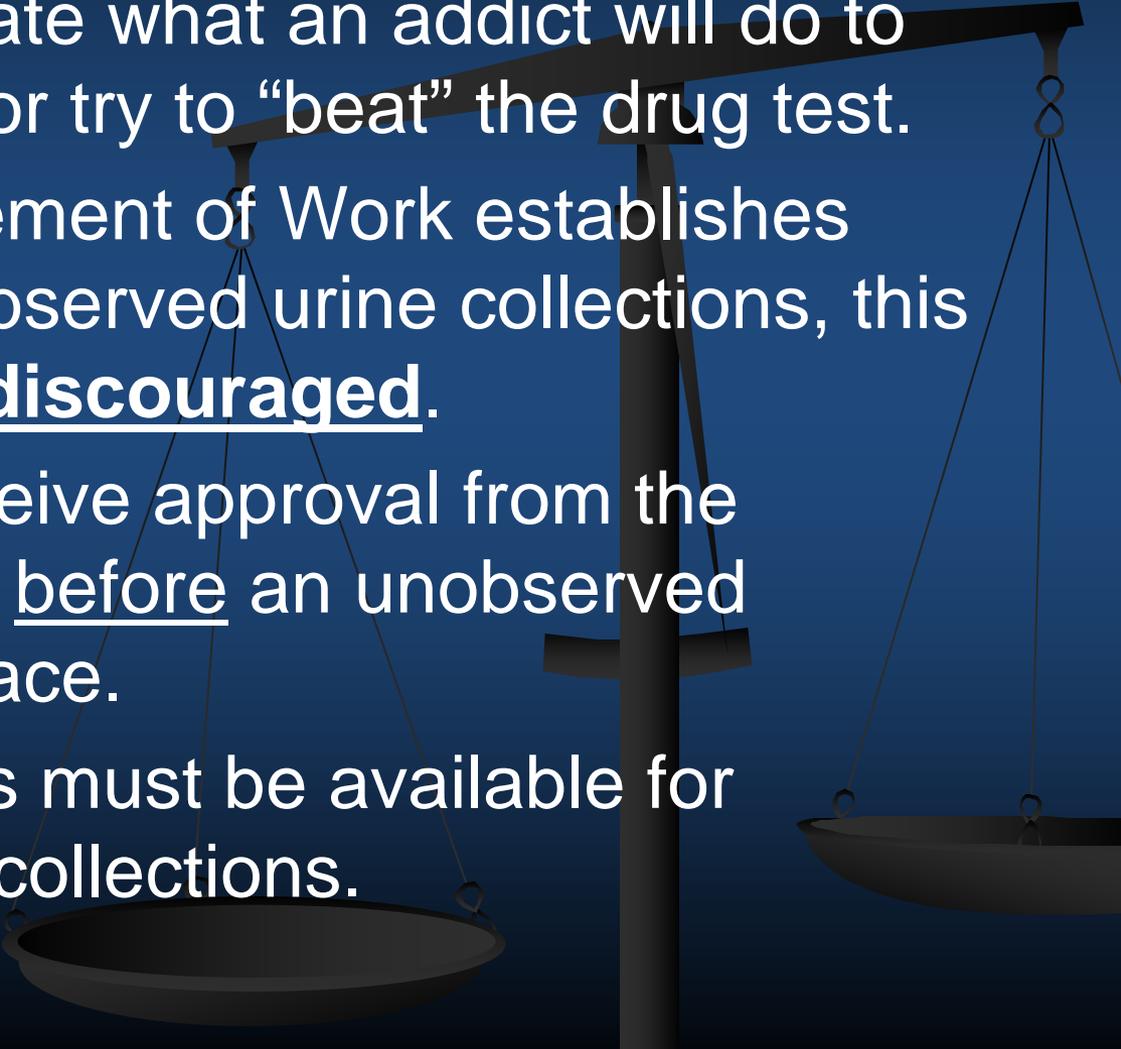


# Urine Collection and Chain of Custody Procedures



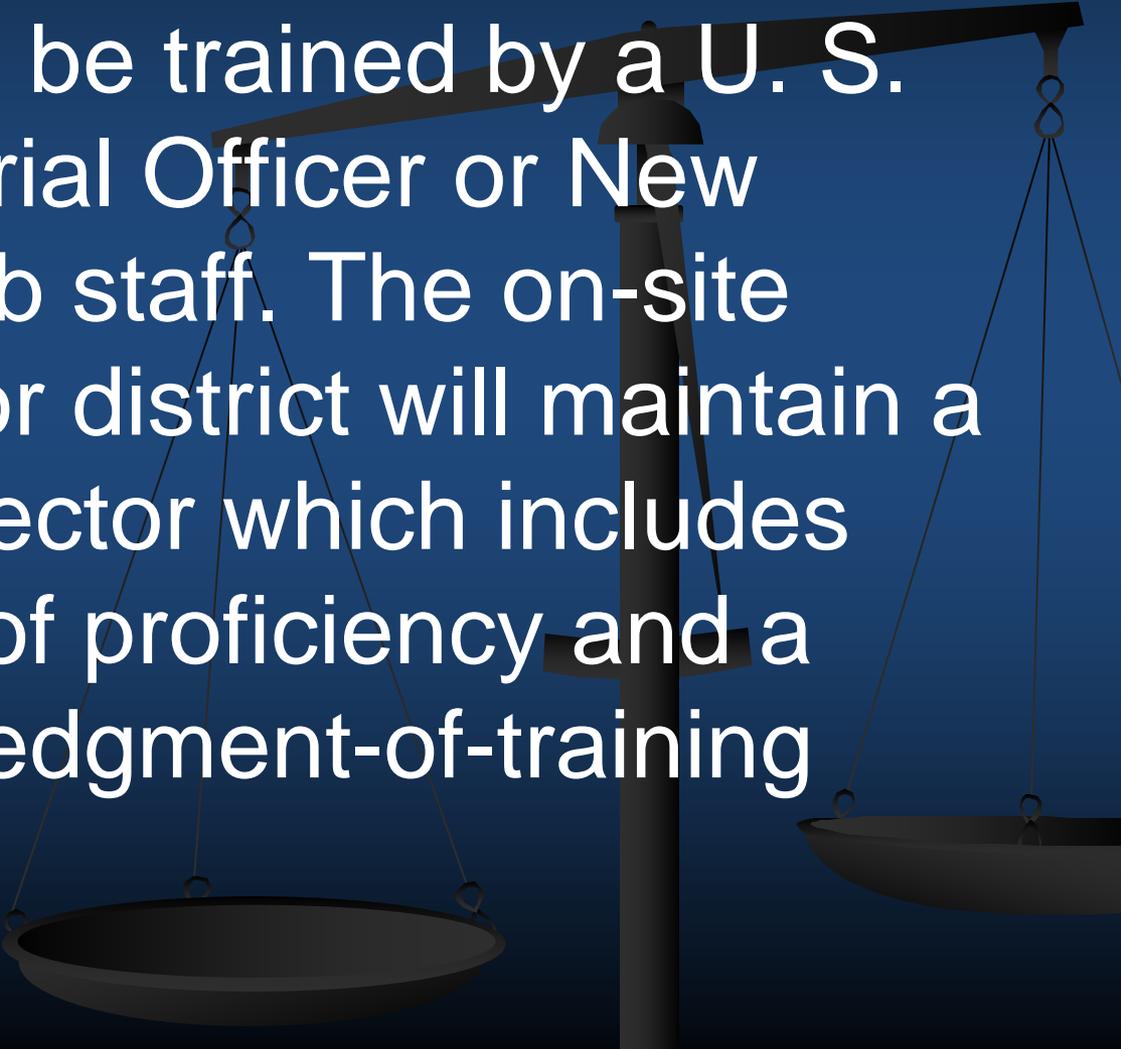
District of New Mexico  
U. S. Probation & Pretrial Office  
2012

# Importance of Observed Collection

- 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.
- 

# Collector Certification

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



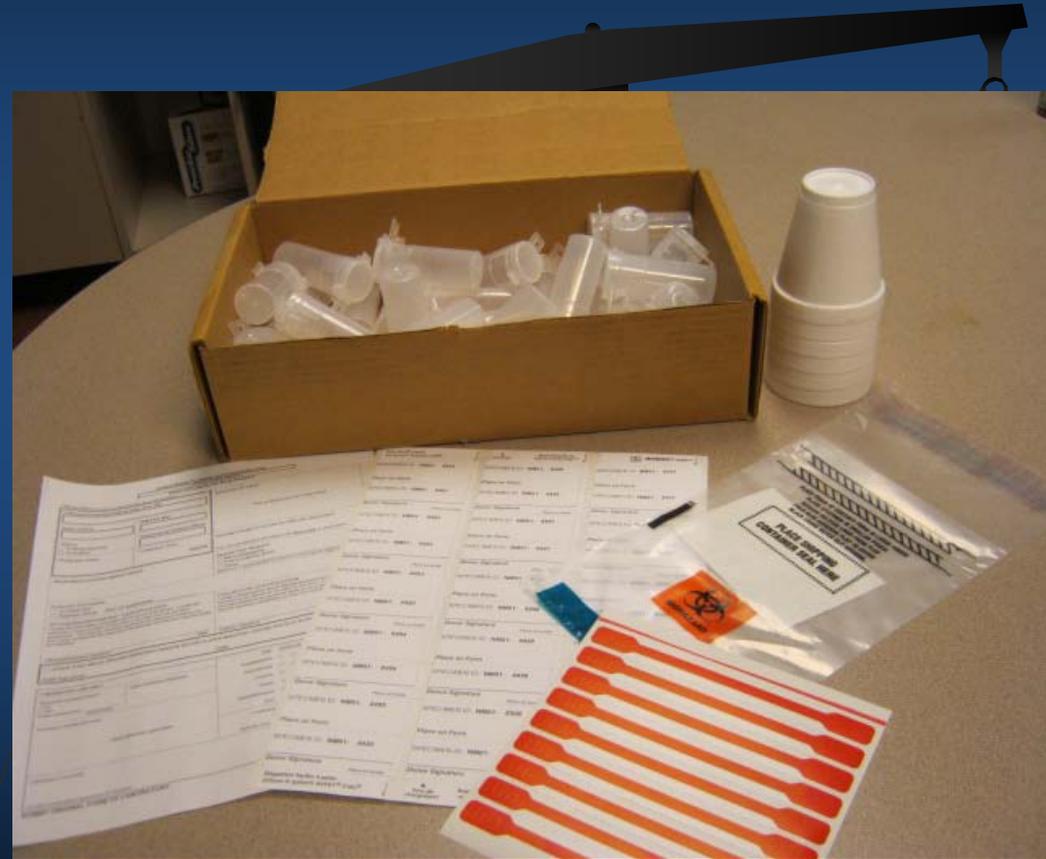
# Urine Collection- Step 1



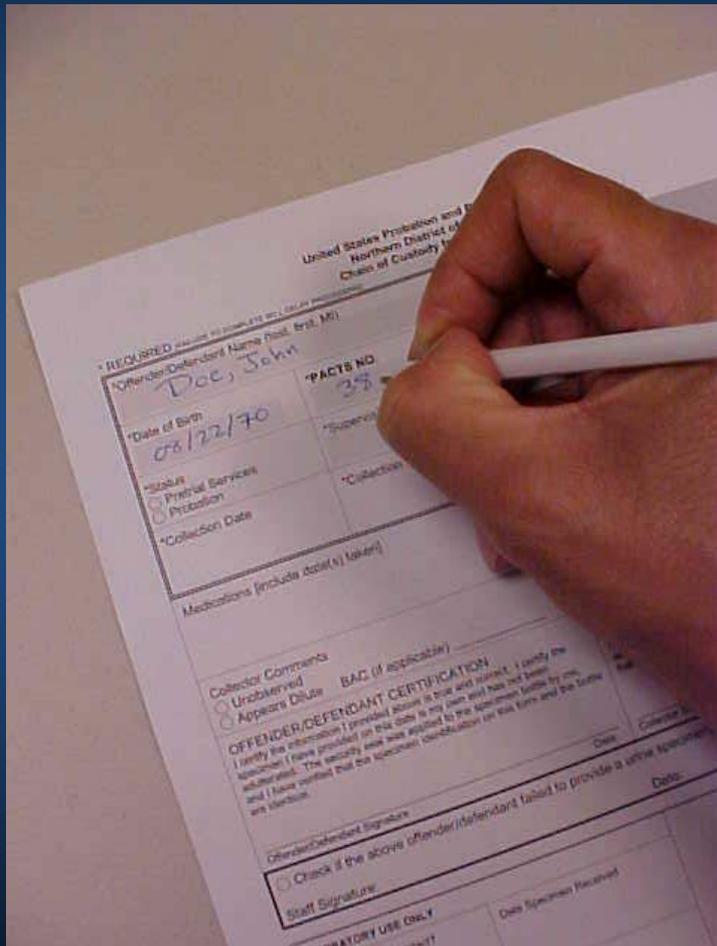
- The defendant should be escorted from the waiting area to the collection area by the collector.
- Be cognizant of body language and potential efforts to conceal a “cheating” device.
- The collector and the defendant are the only people present in the collection area at this time. **Multiple collections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

# Urine Collection – Step 2

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



# Urine Collection – Step 3



The image shows a close-up of a hand writing on a form. The form is titled "United States Probation and Northern District of California" and "Chain of Custody". It contains several fields for information: "Offender/Defendant Name (Last, First, MI)" with "Doe, John" written; "Date of Birth" with "08/22/70" written; "PACTS NO" with "35" written; "Supervising Officer" and "Collection Date" fields are present but empty. There are also checkboxes for "Status" (Probation Services, Probation) and "Collection Date". A section for "Medications (include dose(s) taken)" is also visible. At the bottom, there are sections for "Collector Comments" (with radio buttons for "Unobserved" and "Observed Dilute"), "OFFENDER/DEFENDANT CERTIFICATION" (with a signature line), and "Staff Signature" (with a signature line). A scale of justice is overlaid on the right side of the image.

- The collector fills out the top portion of the COC form (defendant's legal court name, date of birth, PACTS number, supervising officer, collection date/time, and medications).
- Verify information on pre-printed forms.

# Urine Collection – Step 4

- The defendant signs a specimen ID label.
- The defendant affixes the signed specimen ID label to the bottle, and affixes the matching specimen ID label to the COC form.

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

\*REQUIRED (PLEASE COMPLETE ALL LEGAL PORTIONS)

*Offender/Defendant Name (last, first, MI) Doc, John		Specimen ID Label SPECIMEN ID: ON01- 15 Place on Form
*Date of Birth 08/22/70	*PACTS NO. 3826	
*Status <input type="checkbox"/> Pretrial Services <input checked="" type="checkbox"/> Probation	*Supervising Federal Officer TS	
*Collection Date 9/18/06	*Collection Time 10:00 AM	Admitted Illegal Drug Use by Offender/Defendant _____ If an, list substance(s) and amount, with (gross weight) 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 contract lab for other special test.	
Collector Comments <input type="checkbox"/> Unobserved <input checked="" type="checkbox"/> Apparent Dilute BAC (if applicable) _____		

# Urine Collection- Step 5



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

# Urine Collection- Step 6



- Ask the defendant 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 defendant adjust clothing in order to adequately determine that a device is not being concealed on his/her body.

# Urine Collection- Step 7



- The defendant will rinse hands with cold water (no soap) and dry them thoroughly.
- Purpose of rinse is to eliminate any agent the defendant may use to contaminate his urine.

# Urine Collection- Step 8

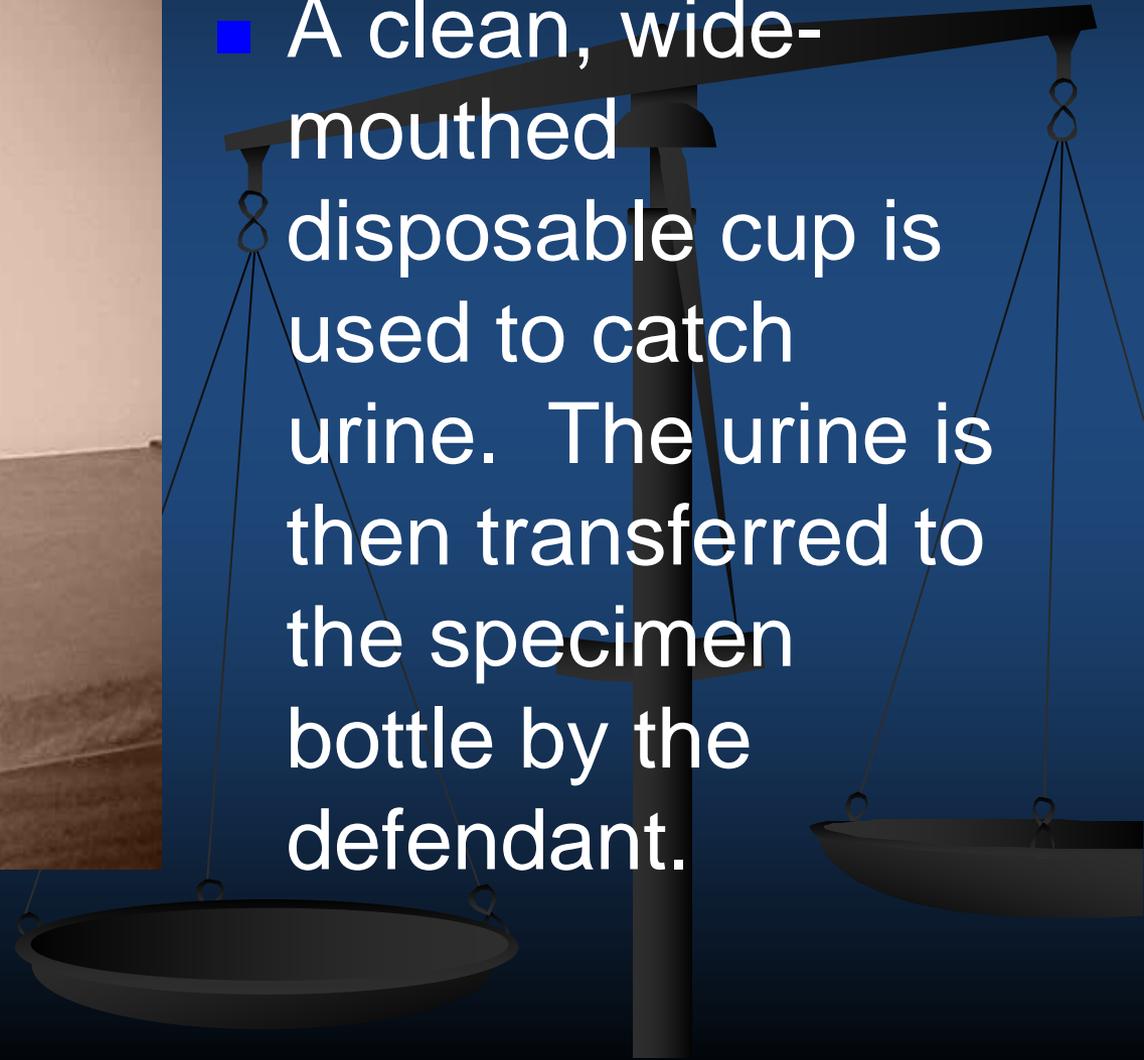


- The collector hands the labeled bottle to the defendant and positions himself in a manner to directly observe urine leave the body and enter the specimen bottle.
- Ask defendant to fill bottle to the top.

# Urine Collection- Female

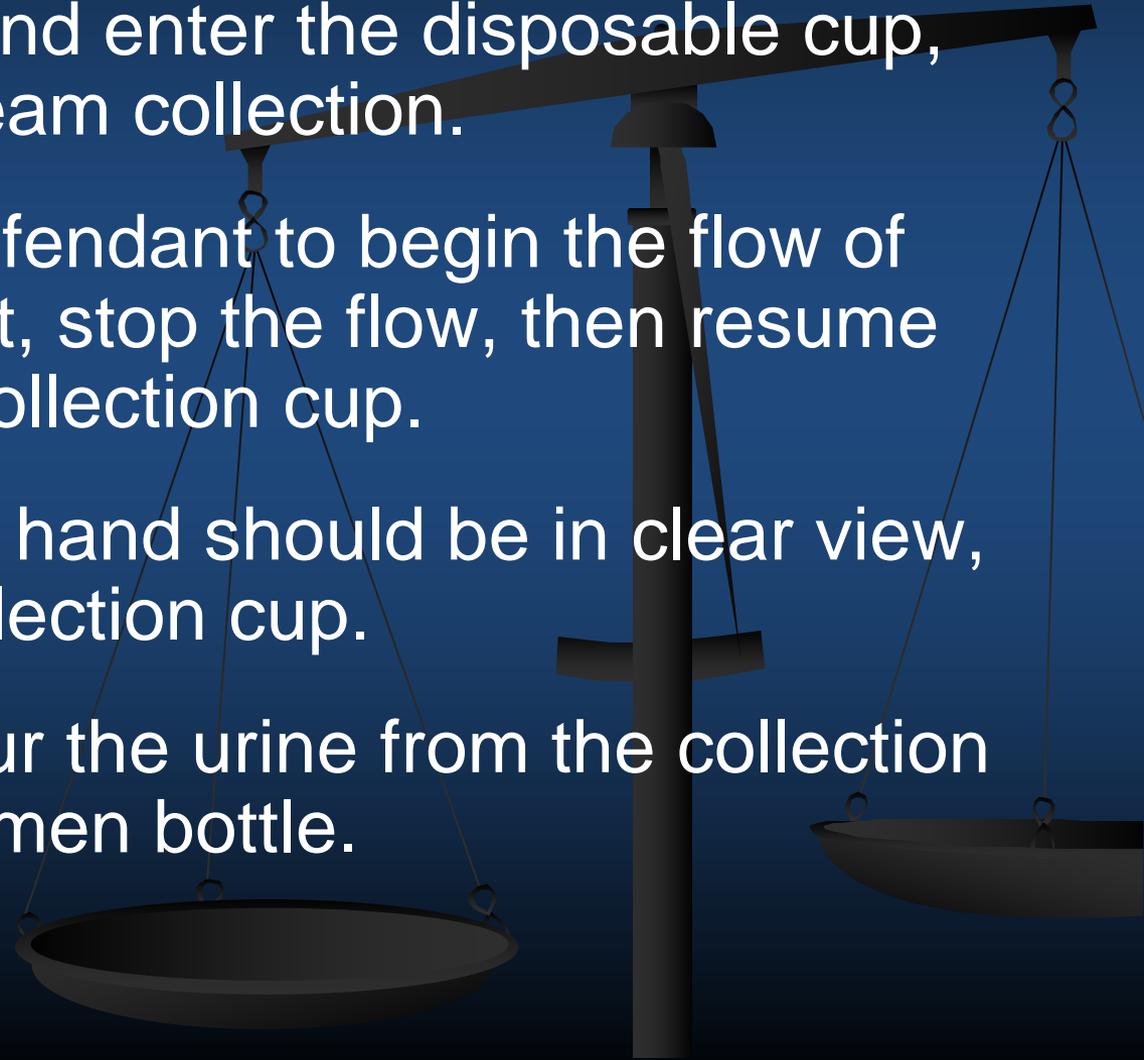


- A clean, wide-mouthed disposable cup is used to catch urine. The urine is then transferred to the specimen bottle by the defendant.



# Urine Collection- Female

- 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 defendant to begin the flow of urine into the toilet, stop the flow, then resume the flow into the collection cup.
- Defendant's other hand should be in clear view, away from the collection cup.
- Defendant will pour the urine from the collection cup into the specimen bottle.



# Urine Collection- Step 9



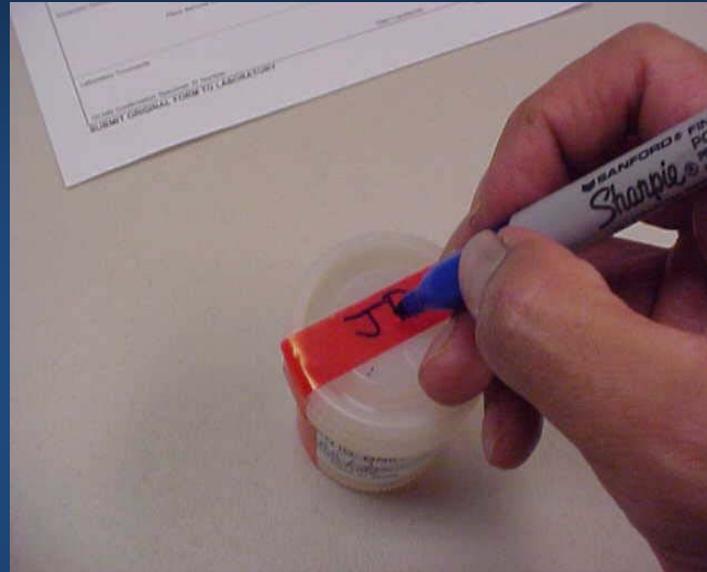
- After urine is collected, the defendant places the cap tightly on the bottle to prevent leakage.
- The defendant turns the bottle upside down over the sink to check for leakage.
- The **COLLECTOR** will **NEVER** handle the **filled** specimen bottle.

# Urine Collection- Step 10



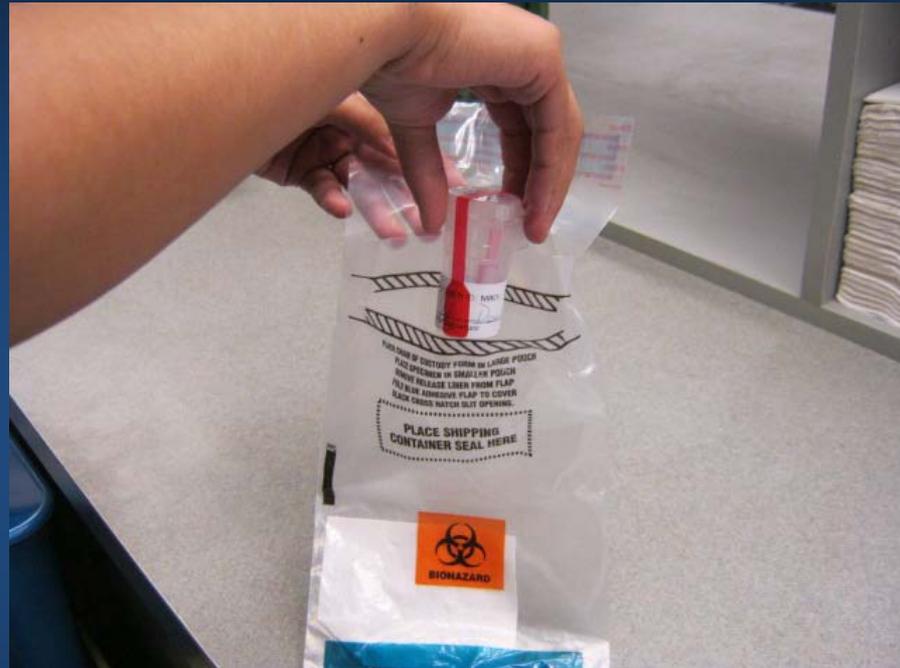
- At the collection area, the defendant places the tamper-evident seal over the top of the bottle with both sides of the seal securing the bottle top and adhering to the sides of the bottle. At least one end of the seal must be placed over the specimen ID label.

# Urine Collection – Step 10 (Continued)



- The defendant will write his/her initials on the tamper evident seal AFTER it is affixed to the bottle. Use a Sharpie marker for this.

# Urine Collection-Step 11



- The **defendant** places the UA specimen into the tamper evident bag, along with an absorbent sheet.

# Urine Collection- Step 12

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

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

Specimen ID Label  
SPECIMEN ID: 0861- 15

Date of Birth  
08/10/78

FACTS NO.  
3526

Supervising Federal Officer  
TS

Collection Date  
9/18/06

Collection Time  
10:00 AM

Admitted Illegal Drug Use by Offender/Defendant

Special Test Request  
Benzodiazepine  
Phencyclidine (PCP)  
Other

Medications (include date(s) taken)  
Prozac, Depoquil 4/16  
7/17

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 9/18/06

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

Specimen ID Label  
SPECIMEN ID: 0861- 8518

Date of Birth  
11/16/80

FACTS NO.  
47192

Supervising Federal Officer

Collection Date  
3/30/12

Collection Time  
7:10 AM/PM

Admitted Illegal Drug Use by Offender/Defendant

Special Test Request  
Benzodiazepine  
Phencyclidine (PCP)  
Other

Medications (include date(s) taken)

Collector Comments  
Unobserved  
Appears Dilute

BAC (if applicable)

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.

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.

Offender/Defendant Signature  
Jane Doe 3/30/12

Collector Signature  
Jane Smith 3/30/12

Staff Signature

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

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

# Urine Collection – Step 13

## (Continued)



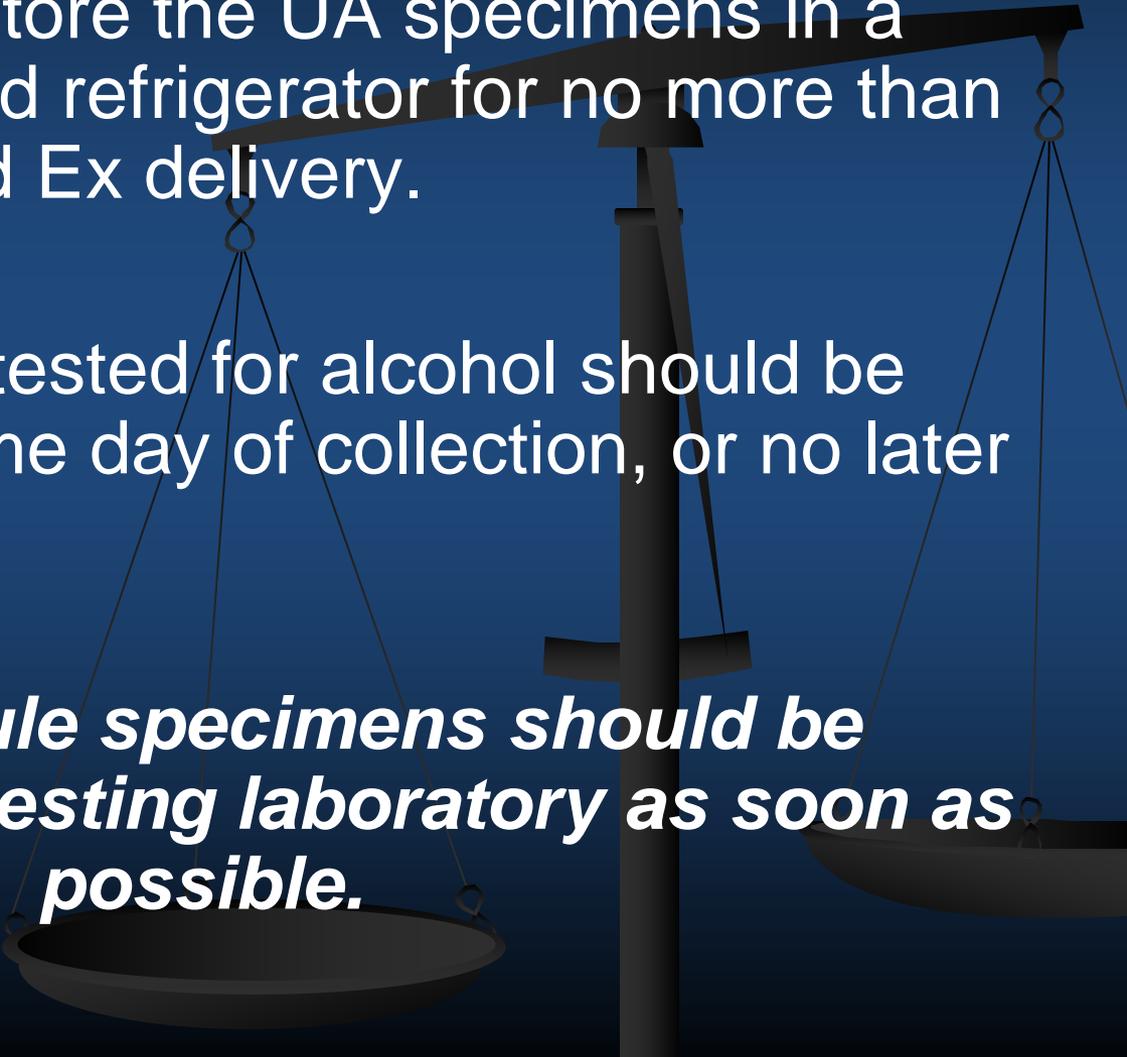
- The specimen bottle is **TIGHTLY** sealed.
- The specimen bottle is affixed with
  - **defendant-signed** specimen ID label.
  - **defendant-initialed** tamper-evident seal that is placed **OVER** the specimen ID label.
  - security seal is intact and adhering to both sides of the bottle.

# Urine Collection-Step 14



- The **collector** folds the form and places it into the document pocket of the tamper-evident bag.
- The **collector**, in the presence of the defendant, removes the adhesive strip and folds the top of the bag over the front pocket guidelines.

# Storage and Delivery

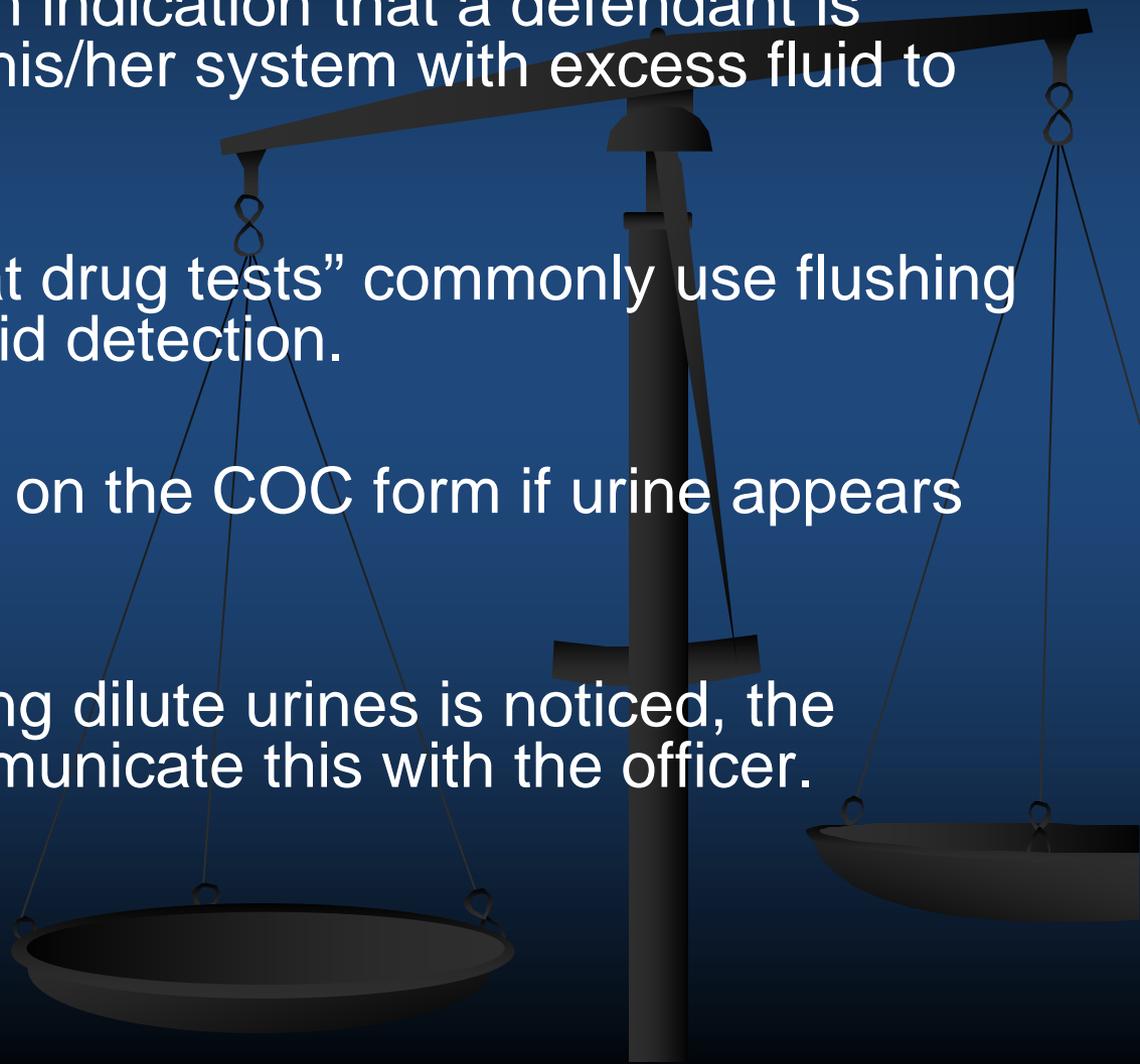


- The collector will store the UA specimens in a secured and locked refrigerator for no more than 3 days prior to Fed Ex delivery.
- Specimens being tested for alcohol should be sent off on the same day of collection, or no later than the next day.

***As a general rule specimens should be delivered to the testing laboratory as soon as possible.***

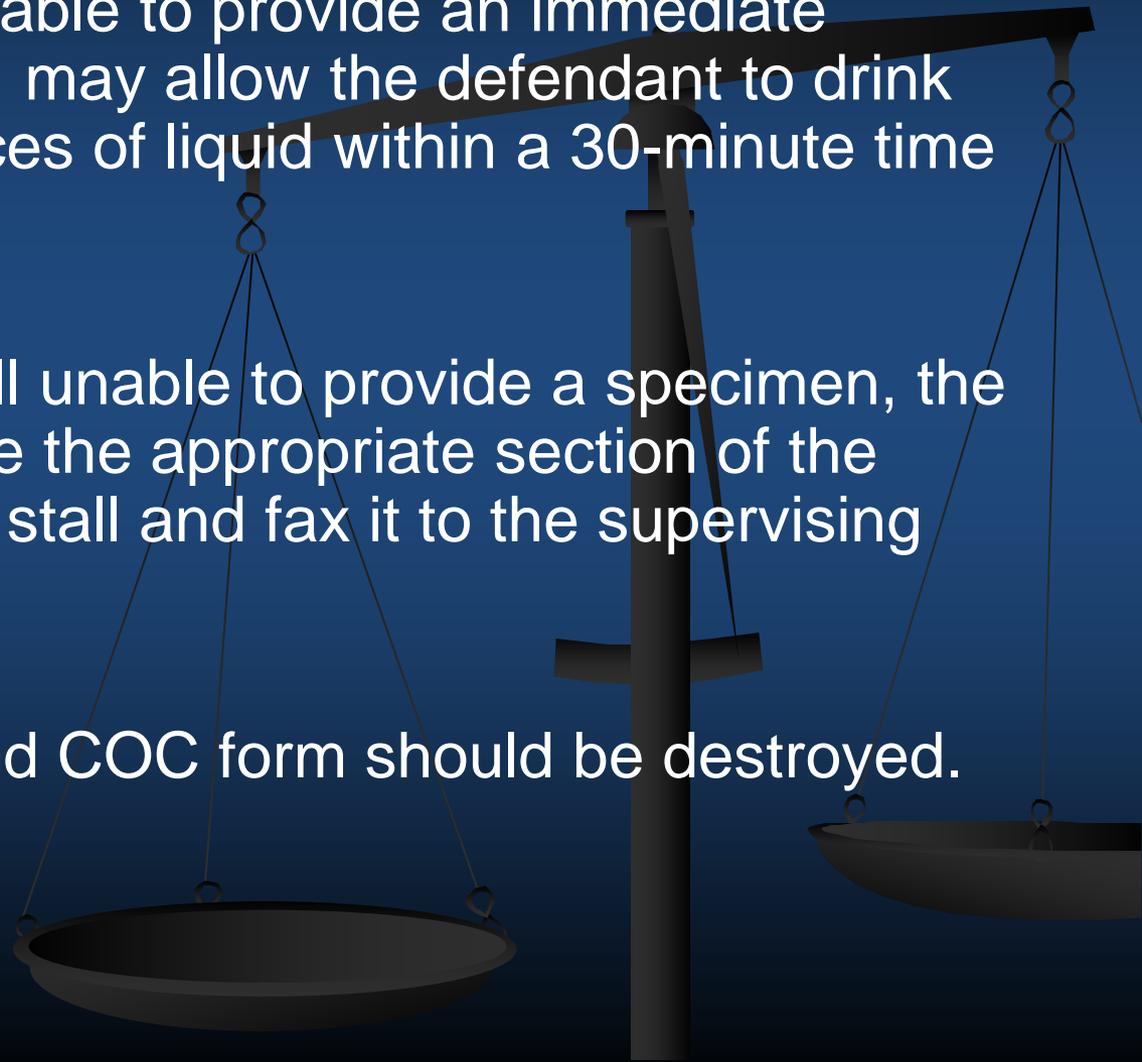
# DILUTE URINE

- 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.
- It is important to note on the COC form if urine appears dilute.
- If a pattern of providing dilute urines is noticed, the collector should communicate this with the officer.



# Stalling & Subsequent Attempts

- 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, 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 COC form should be destroyed.



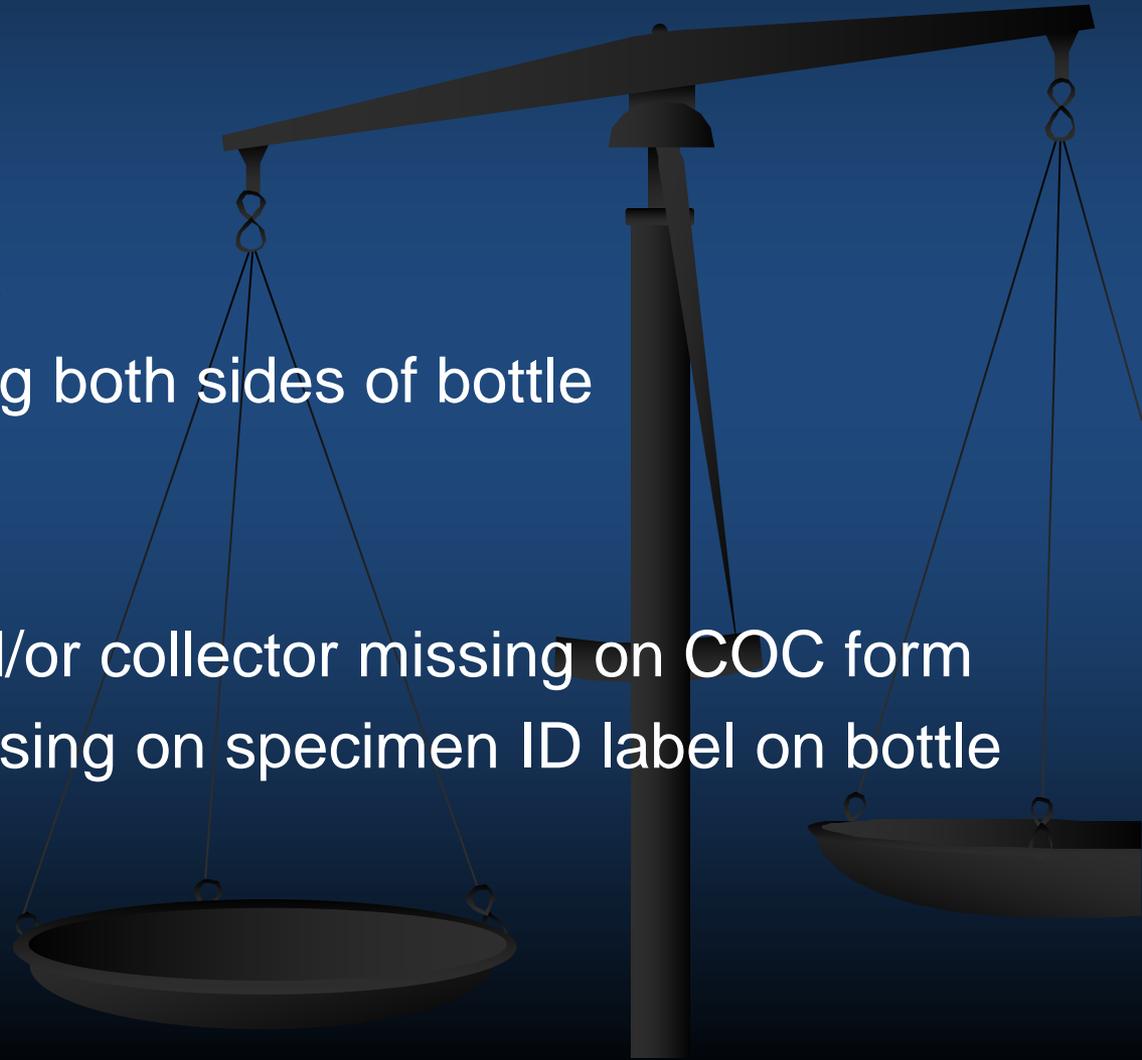
# “NO TESTS”

- TAMPER SEALS –

- 1) broken
- 2) no initials
- 3) none on bottle
- 4) not overlapping both sides of bottle

- SIGNATURES –

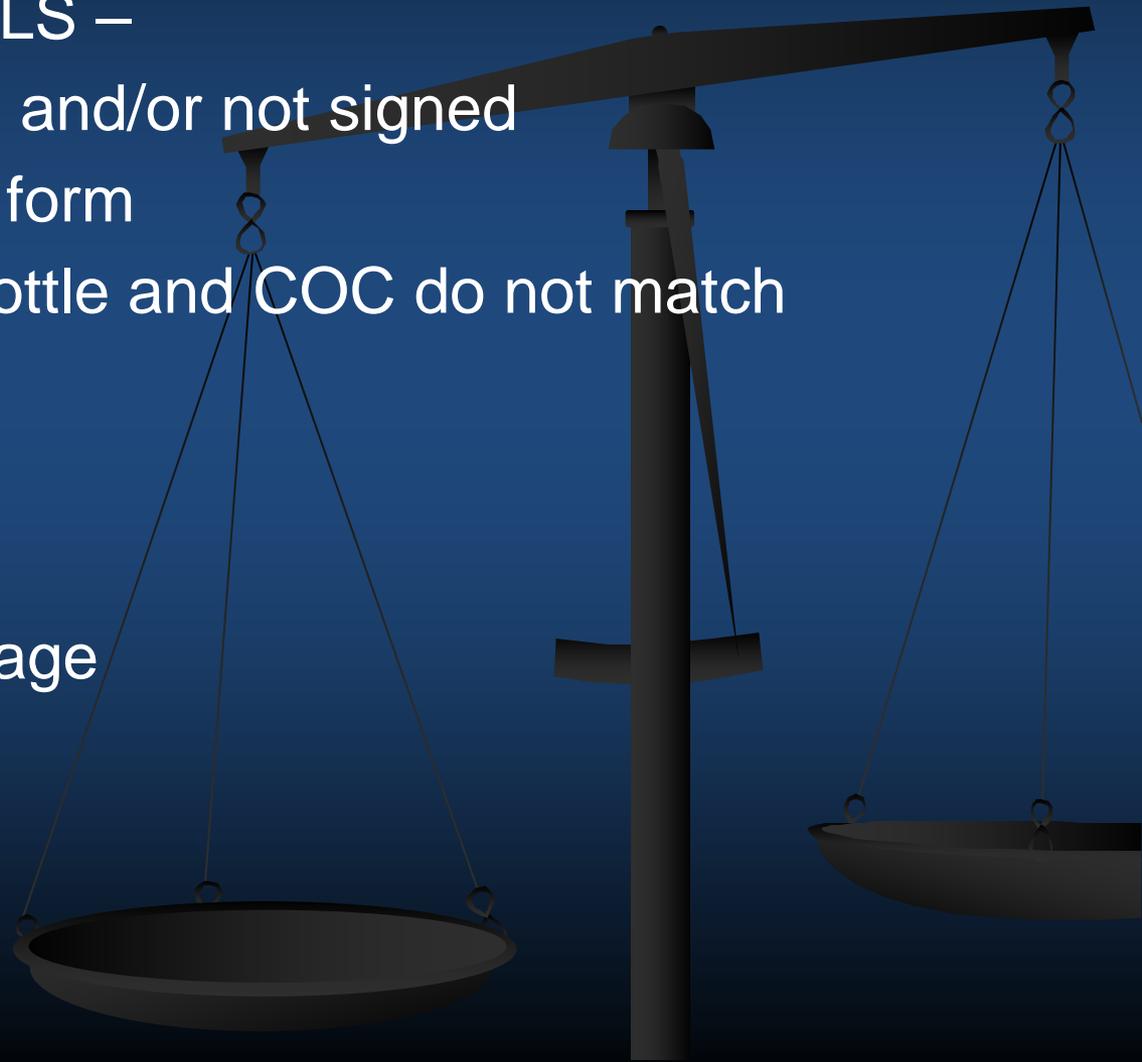
- 1) defendant and/or collector missing on COC form
- 2) defendant missing on specimen ID label on bottle



# “NO TESTS”

Continued

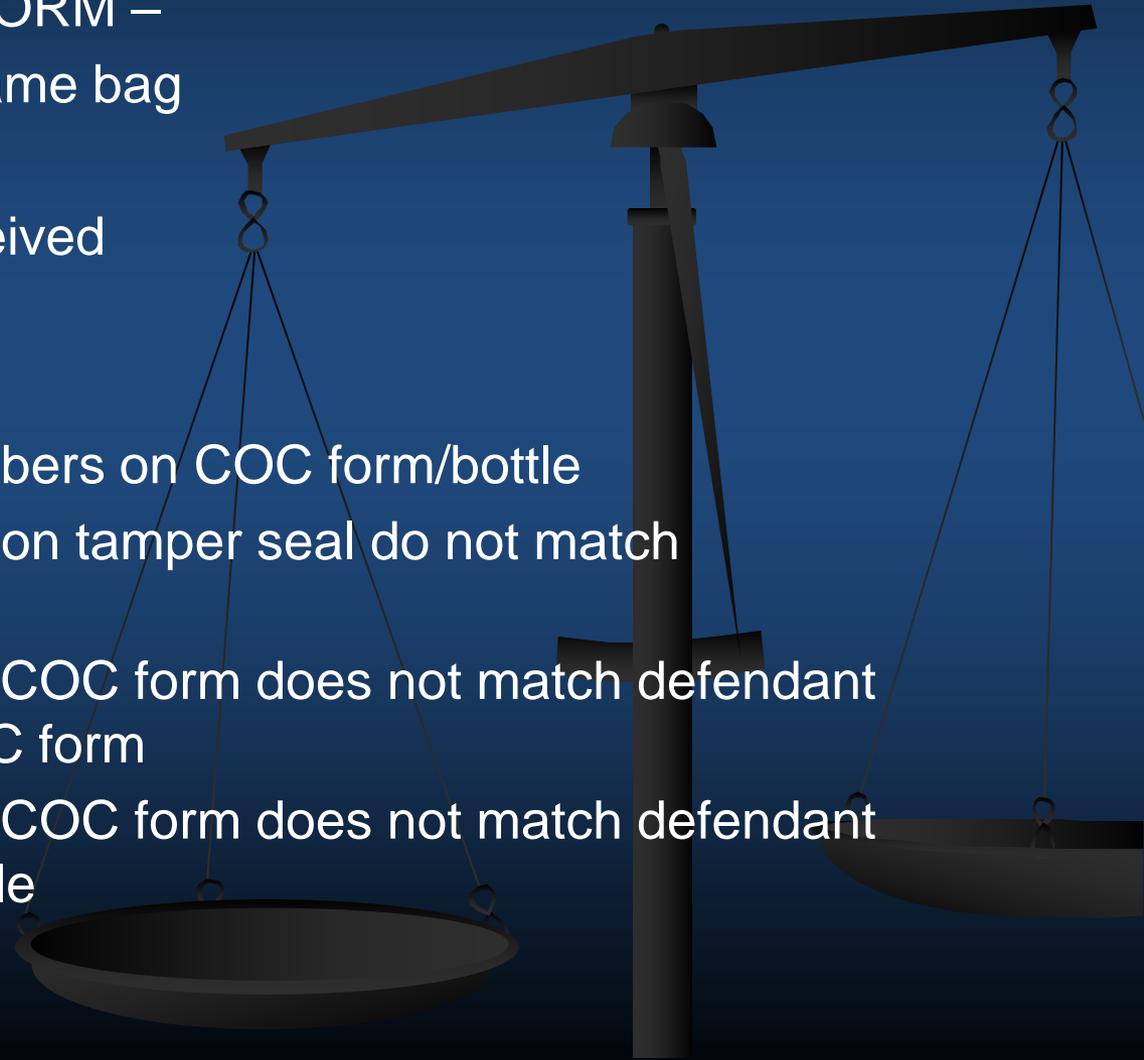
- SPECIMEN ID LABELS –
  - 1) none on bottle and/or not signed
  - 2) none on COC form
  - 3) numbers on bottle and COC do not match
  
- URINE VOLUME –
  - 1) insufficient
  - 2) complete leakage



# “NO TESTS”

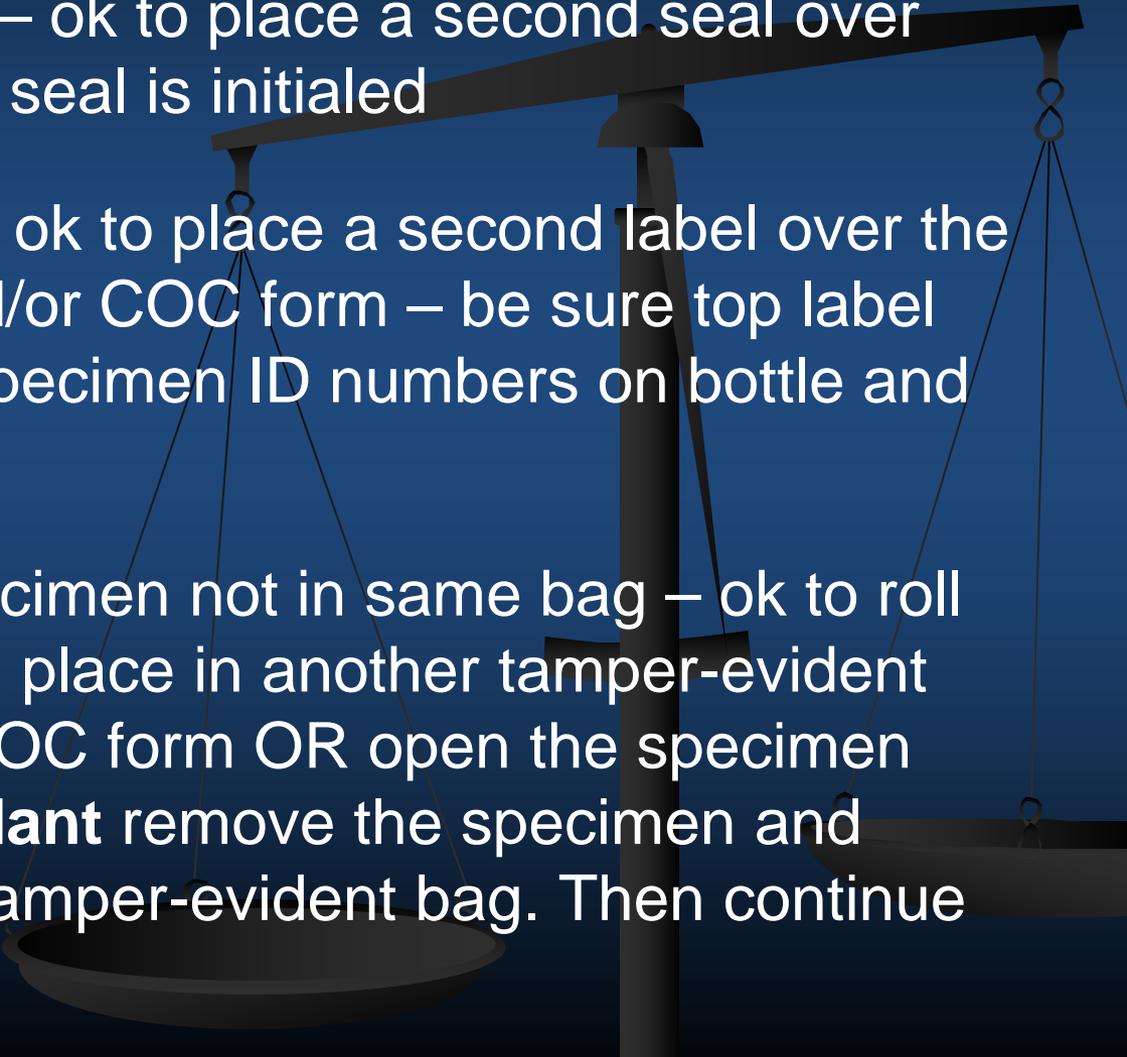
Continued

- SPECIMEN AND COC FORM –
  - 1) not received in same bag
  - 2) no COC received
  - 3) no specimen received
  
- NO MATCH –
  - 1) specimen ID numbers on COC form/bottle
  - 2) defendant initials on tamper seal do not match defendant name
  - 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)

- Broken tamper seals – ok to place a second seal over the first – be sure top seal is initialed
  - Specimen ID labels – ok to place a second label over the first, on the bottle and/or COC form – be sure top label on bottle is signed. Specimen ID numbers on bottle and COC must match.
  - 3) COC form and specimen not in same bag – ok to roll up specimen bag and place in another tamper-evident bag, along with the COC form OR open the specimen bag, have the **defendant** remove the specimen and place it into another tamper-evident bag. Then continue with step #14.
- 

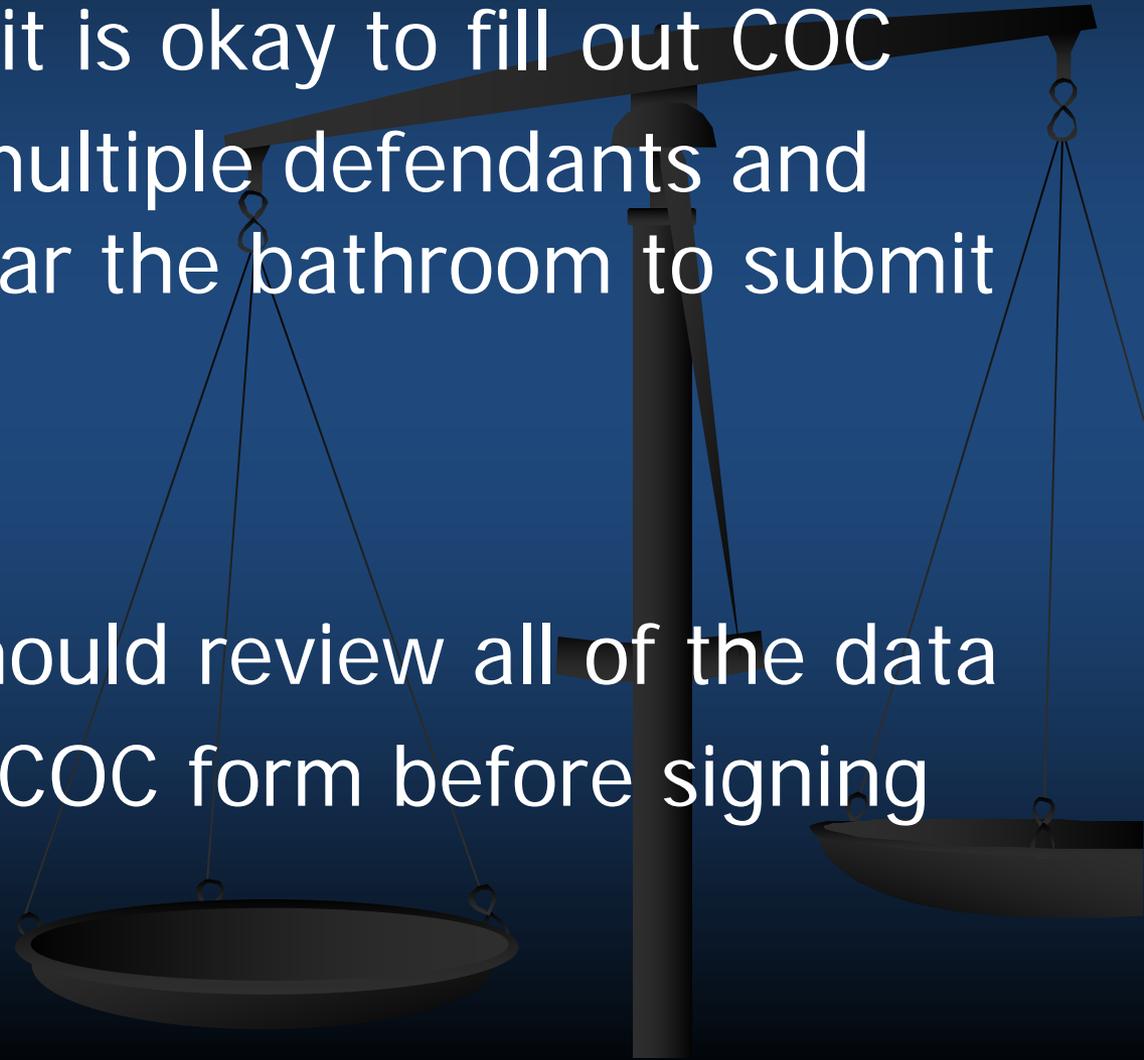
# POP QUIZ

- True or False?

On a busy day, it is okay to fill out COC forms first for multiple defendants and line them up near the bathroom to submit to collection.

- True or False?

The collector should review all of the data entered on the COC form before signing the COC form.



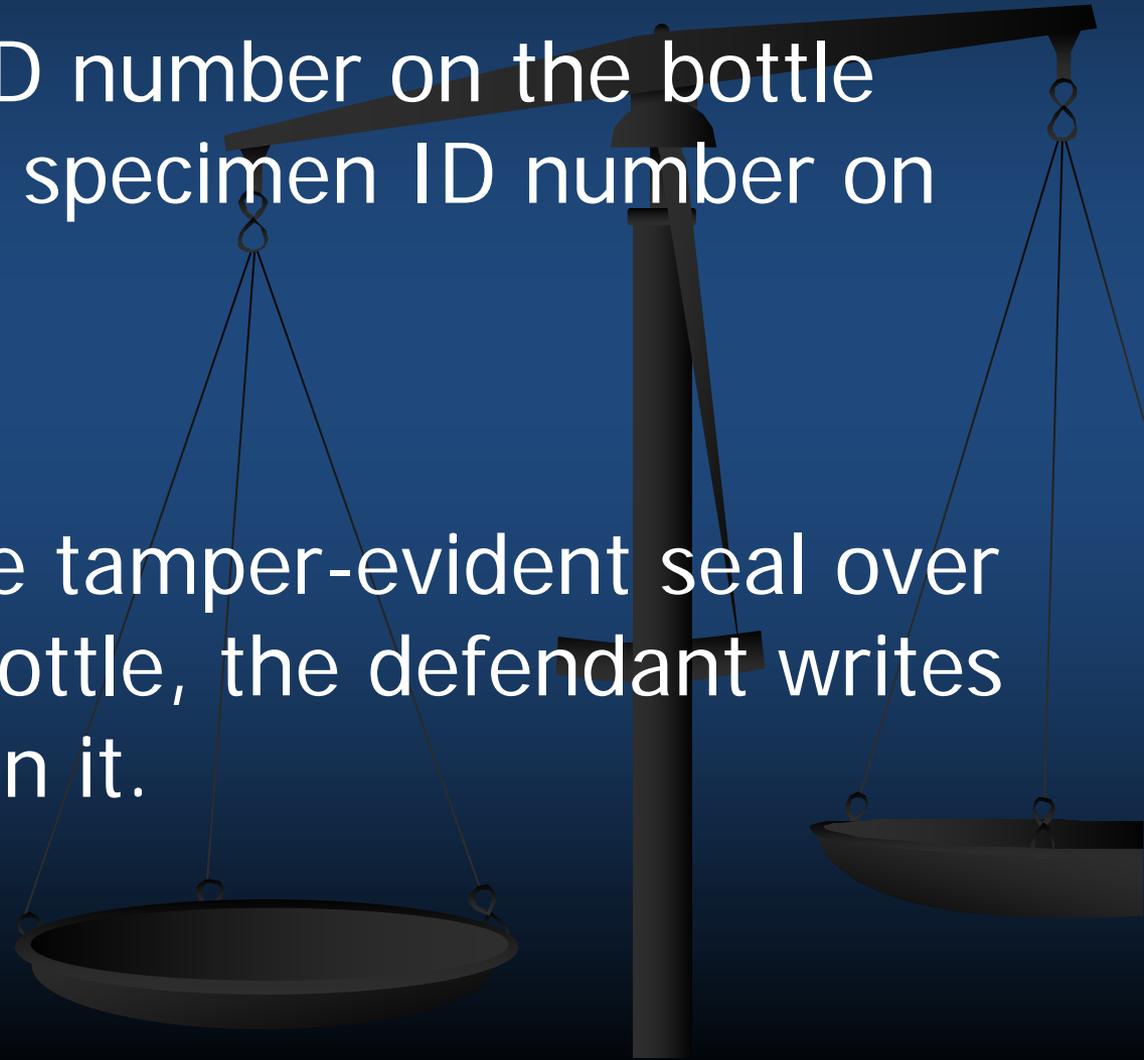
# POP QUIZ

- True or False?

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

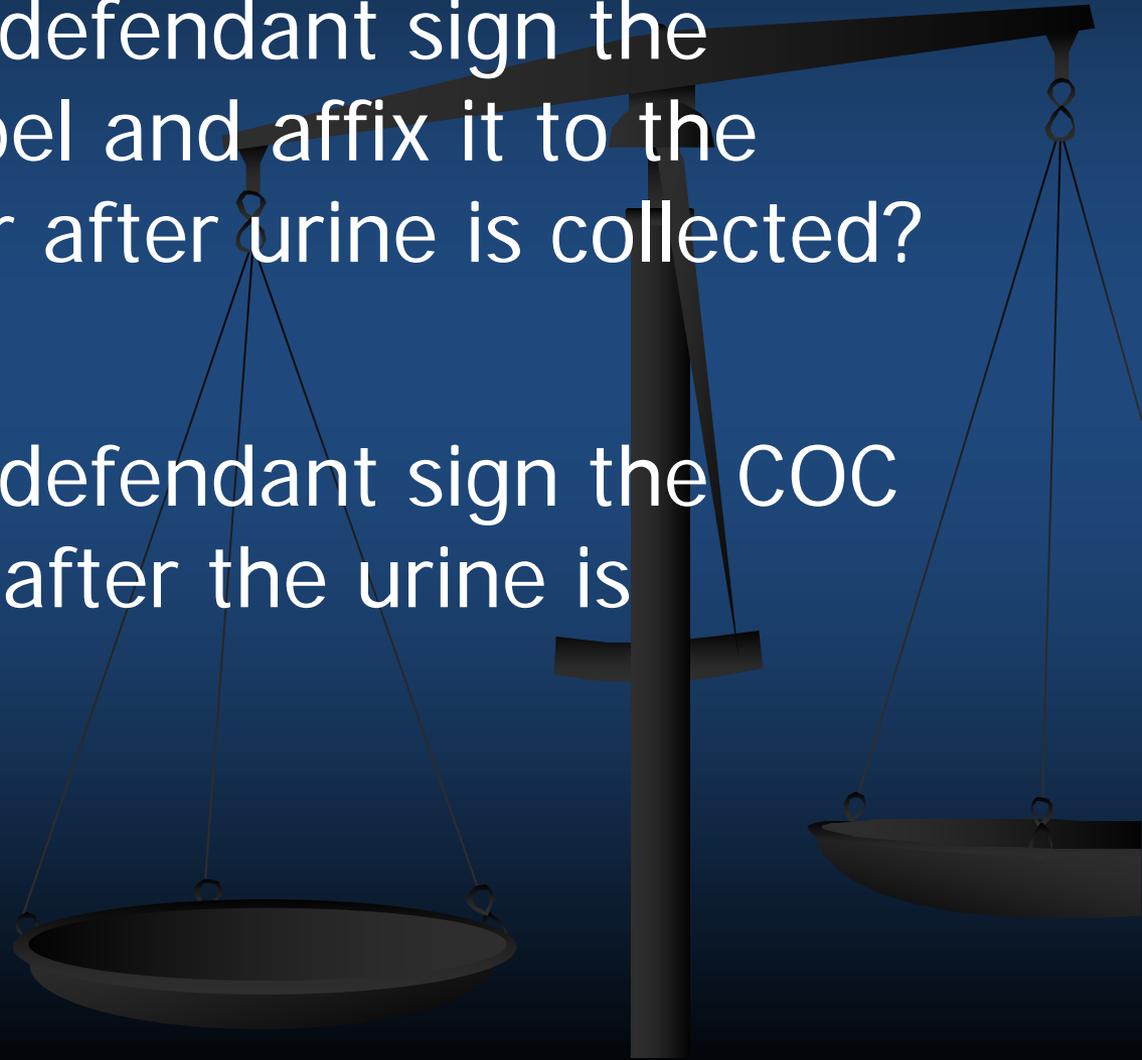
- True or False?

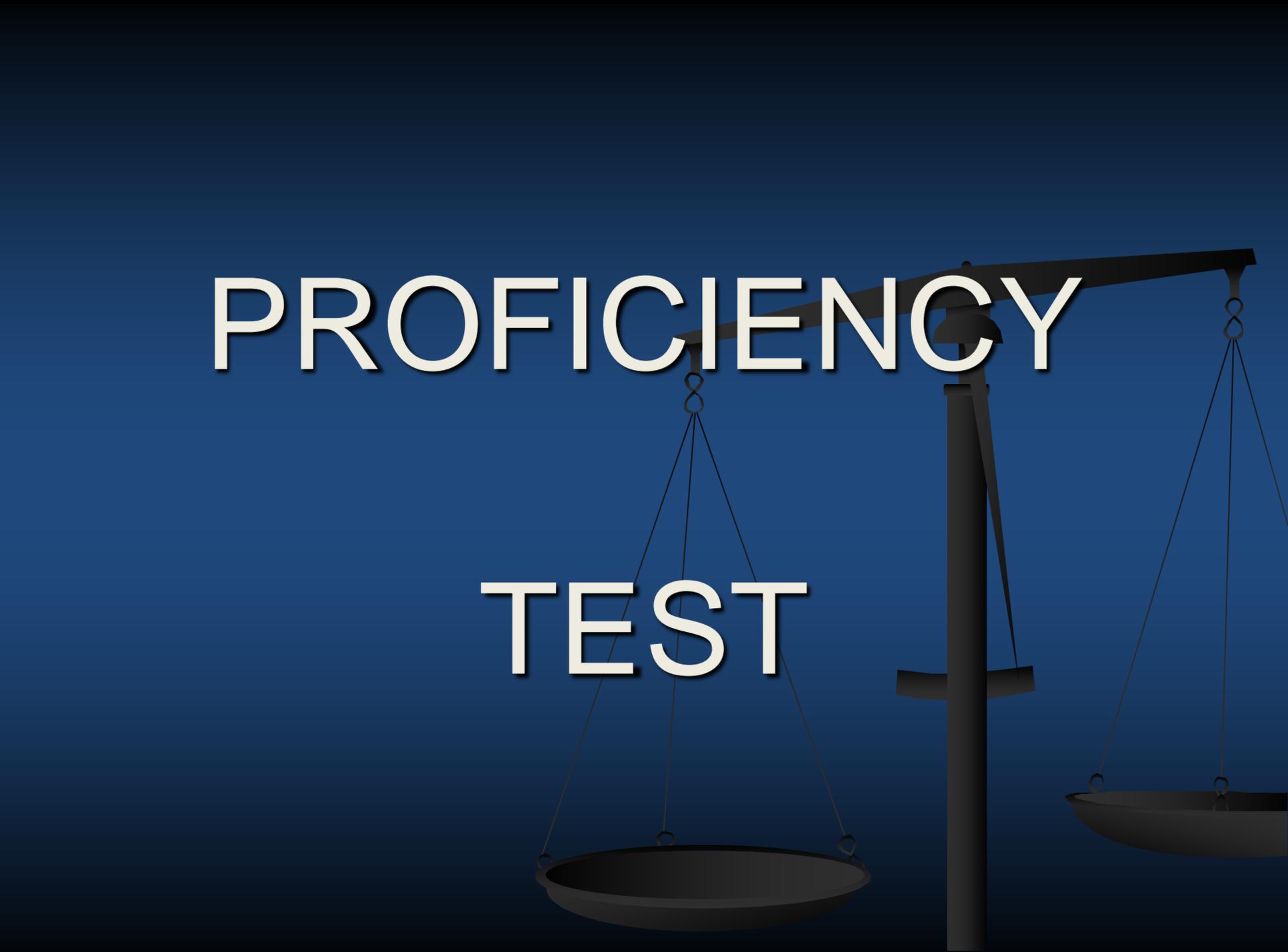
After placing the tamper-evident seal over the top of the bottle, the defendant writes his/her initials on it.



# POP QUIZ

- 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?



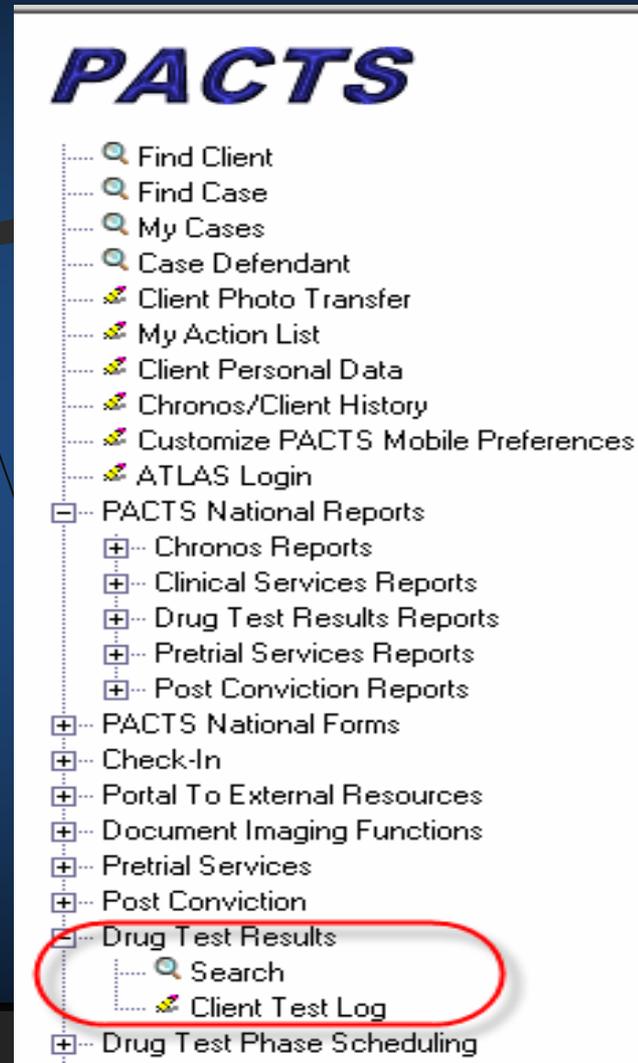
A balance scale is depicted against a dark blue background. The scale is tilted, with the left pan positioned lower than the right pan. The word "PROFICIENCY" is written in large, white, sans-serif capital letters across the top of the scale, appearing to be on the left pan. The word "TEST" is written in the same style below it, appearing to be on the right pan. The scale's beam, fulcrum, and pans are rendered in a dark, almost black color.

PROFICIENCY

TEST

# Test Results

- Officers can access results through the Drug Test Results Module (DTR) in PACTS for each client
- Results for all tests are exported daily and will be viewable in PACTS the day after testing is completed.



# Drug Test Results Module in PACTS

- In the Drug Test Results Module, each test will be identified as either negative or positive
- A flyover of the results will show the officer which drug(s) tested positive
- The DTR specifies if the results came from the on-site lab (LTL) or from the national lab (NTL)

Drug Test Results - Client Test Log Back to Chrono

Salvador Garza-Cardenas (000533)

Date	Status	Local Result	NTL Result	
<a href="#">02/07/2005</a>	Collected	<b>i</b> Positive	<b>i</b> Negative	Actions: <input type="button" value="v"/>
<a href="#">05/02/2005</a>	Collected	<b>i</b> Positive	<b>i</b> Negative	Actions: <input type="button" value="v"/>
<a href="#">06/27/2005</a>	Collected	<b>i</b> Positive	<b>i</b> Negative	Actions: <input type="button" value="v"/>
<a href="#">01/05/2006</a>	Collected	<b>i</b> Positive	<b>i</b> No Test	Actions: <input type="button" value="v"/>
<a href="#">04/03/2006</a>	Collected	<b>i</b> Positive	<b>i</b> Positive, Invalid	Actions: <input type="button" value="v"/>
<a href="#">05/05/2006</a>	Collected	<b>i</b> Positive	<b>i</b> Positive	Actions: <input type="button" value="v"/>
<a href="#">09/26/2006</a>	Collected	<b>i</b> Amphetamines	N	Actions: <input type="button" value="v"/>
<a href="#">02/21/2005</a>	Collected	<b>i</b> <b>THC Metabolite</b>	P	Actions: <input type="button" value="v"/>
<a href="#">03/07/2005</a>	Collected	<b>i</b> Benzoylcegonine	N	Actions: <input type="button" value="v"/>
<a href="#">03/21/2005</a>	Collected	<b>i</b> Opiates	N	Actions: <input type="button" value="v"/>
<a href="#">04/04/2005</a>	Collected	<b>i</b> Negative	No NTL Tests	Actions: <input type="button" value="v"/>
<a href="#">04/18/2005</a>	Collected	<b>i</b> Negative	No NTL Tests	Actions: <input type="button" value="v"/>
<a href="#">05/16/2005</a>	Collected	<b>i</b> Negative	No NTL Tests	Actions: <input type="button" value="v"/>
<a href="#">09/30/2005</a>	Collected	<b>i</b> Negative	No NTL Tests	Actions: <input type="button" value="v"/>
<a href="#">05/22/2006</a>	Collected	<b>i</b> Negative	No NTL Tests	Actions: <input type="button" value="v"/>

# PACTS Reporting

- In addition to the DTR, the result will automatically generate a result chrono and an administrative chrono

05/19/2009 **Post Conviction:**

The **Test for Drugs** specimen was collected *at the undisclosed location* under account/site *10840001P - Albuquerque Probation* from a client assigned to Officer *Dennison, Amber R.* The specimen was tested *locally* using the testing device *Unknown Device* and also sent to the *national lab* for confirmation testing. The National Testing Lab (NLT) received the specimen on *05/27/2009* and test results came back on *05/29/2009*. Results for 10 individual tests were **2** positive and **8** negative.

**Local Positive for Opiates**

**NLT Positive for Morphine**

*LTL Import Comments: Substantiated based on the reported medication(s) OXYCODONE, provided by the donor on the Chain of Custody form at the time of collection. Verification of a valid prescription will be the responsibility of the officer..*

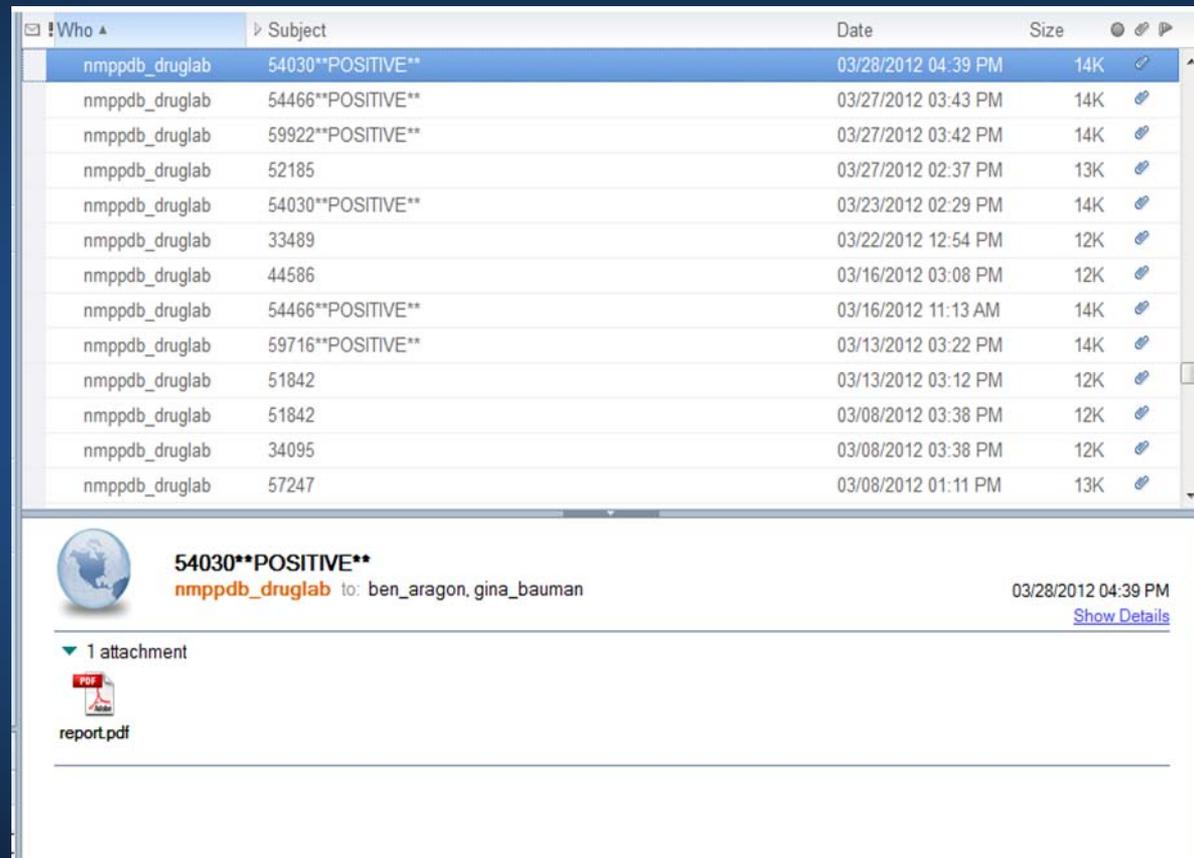
08/01/2012 **Post Conviction: UA-NEG**

*Entry in chronos at 21:07 by System Generated: NLT specimen # B02158447 collected 07/25/2012 at Albuquerque Probation returned Negative.*

- This communication with PACTS saves the officer time and improves efficiency as manual data entry is no longer required to enter either the collection information or results into PACTS
- Officers can focus on responding to noncompliance issues versus data entry

# Positive and Abnormal Tests

- All POSITIVE and ABNORMAL test results will be e-mailed to the officer and the officer's supervisor. Collection sites can be added as an e-mail contact
- This allows the officers to immediately respond to these issues with the defendant/offender



The screenshot shows an email client interface. The top part is an inbox list with columns for 'Who', 'Subject', 'Date', and 'Size'. The bottom part shows a detailed view of an email from 'nmppdb\_druglab' with the subject '54030\*\*POSITIVE\*\*'. The email includes a globe icon, the sender's name, a list of recipients, a timestamp, a 'Show Details' link, and one attachment named 'report.pdf' with a PDF icon.

Who	Subject	Date	Size
nmppdb_druglab	54030**POSITIVE**	03/28/2012 04:39 PM	14K
nmppdb_druglab	54466**POSITIVE**	03/27/2012 03:43 PM	14K
nmppdb_druglab	59922**POSITIVE**	03/27/2012 03:42 PM	14K
nmppdb_druglab	52185	03/27/2012 02:37 PM	13K
nmppdb_druglab	54030**POSITIVE**	03/23/2012 02:29 PM	14K
nmppdb_druglab	33489	03/22/2012 12:54 PM	12K
nmppdb_druglab	44586	03/16/2012 03:08 PM	12K
nmppdb_druglab	54466**POSITIVE**	03/16/2012 11:13 AM	14K
nmppdb_druglab	59716**POSITIVE**	03/13/2012 03:22 PM	14K
nmppdb_druglab	51842	03/13/2012 03:12 PM	12K
nmppdb_druglab	51842	03/08/2012 03:38 PM	12K
nmppdb_druglab	34095	03/08/2012 03:38 PM	12K
nmppdb_druglab	57247	03/08/2012 01:11 PM	13K

**54030\*\*POSITIVE\*\***  
nmppdb\_druglab to: ben\_aragon, gina\_bauman 03/28/2012 04:39 PM [Show Details](#)

1 attachment

report.pdf

# Positive Reports

- The positive/abnormal results are sent in a PDF report which can be printed out or immediately uploaded into PACTS
- Any notes from the chain-of-custody form will be on the report

**U.S. Probation & Pretrial Services**  
 333 Lomas Blvd., NW., Suite 170  
 Albuquerque NM, 87102  
 Phone:(505)348-2600 Fax:(505)348-2701

Final Copy

<b>Donor:</b>	<b>BYRD, LA-TERRIA TI-SHAWN</b>	<b>Birth:</b>	<b>1/10/1990</b>	<b>Acc #:</b>	<b>586226</b>
<b>Donor #:</b>	<b>OE7691</b>	<b>Age:</b>	<b>22 years</b>	<b>Collection Date:</b>	<b>2/21/2012 14:30</b>
<b>Officer:</b>	<b>Hendley, Michael</b>			<b>Received in Lab:</b>	<b>2/28/2012</b>

Collection Site: OE04 - The Oaks/SV  
 District: Oklahoma Eastern Pretrial  
 Region: U.S. P&P - Oklahoma Eastern

Soedmen ID      OE04-989

Test Name	Result	Units	Flag	Reference Range/Cutoff
<b>PANEL 1</b>				
CREATININE	108.9	mg/dL	NORMAL	Run By: SNH on 2/29/2012 16:52 >15.0
COCAINE			Negative	300
OPIATES			Negative	300
AMPHETAMINES			POSITIVE	1000
AMPHETAMINES			POSITIVE	1000
CANNABINOIDS			Negative	50

**Notes:** Officers should verify the names of any over-the-counter medications, and secure copies of any prescriptions that the defendant reports to have taken due to a possible substantiated positive.

Reviewed By: \_\_\_\_\_

Date: \_\_\_\_\_

# Result Reporting Procedures

- Negative Results - filed, PACTS chrono / DTR
- Positive Results - filed, e-mailed, PACTS chrono / DTR
- Abnormal Creatinine - filed, e-mailed, PACTS chrono / DTR
- No Test - filed, e-mailed, faxed to collection site, end of month (EOM) report

**U.S. Probation & Pretrial Services** Final Copy  
333 Lomas Blvd., NW., Suite 170  
Albuquerque NM, 87102  
Phone:(505)348-2600 Fax:(505)348-2701

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Donor: **DOE, J**      Acc #: **100101**  
Donor #: **JDOE**      Birth: **9/9/1999**  
Officer: **Phillips, Gary**      Age: **7 years**      Collection Date: **5/31/2007 16:20**

Collection Site: **CO01 - Denver Office/P**  
District: **Colorado Probation**  
Region: **U.S. P&P - Colorado**

Specimen ID: **CO01-697**

Test Name	Result	Units	Flag	Reference Range/Cutoff
<b>PANEL 1</b> <span style="float: right;"><i>Run By: BC on 6/7/2007 16:02</i></span>				
CREATININE	64.2	mg/dL	<b>NORMAL</b>	>15.0
COCAINE			<b>Negative</b>	300
OPIATES			<b>Negative</b>	300
AMPHETAMINES			<b>Negative</b>	1000
CANNABINOIDS			<b>Negative</b>	50

**Notes:** DEFENDANT'S DOB IS 4/3/77

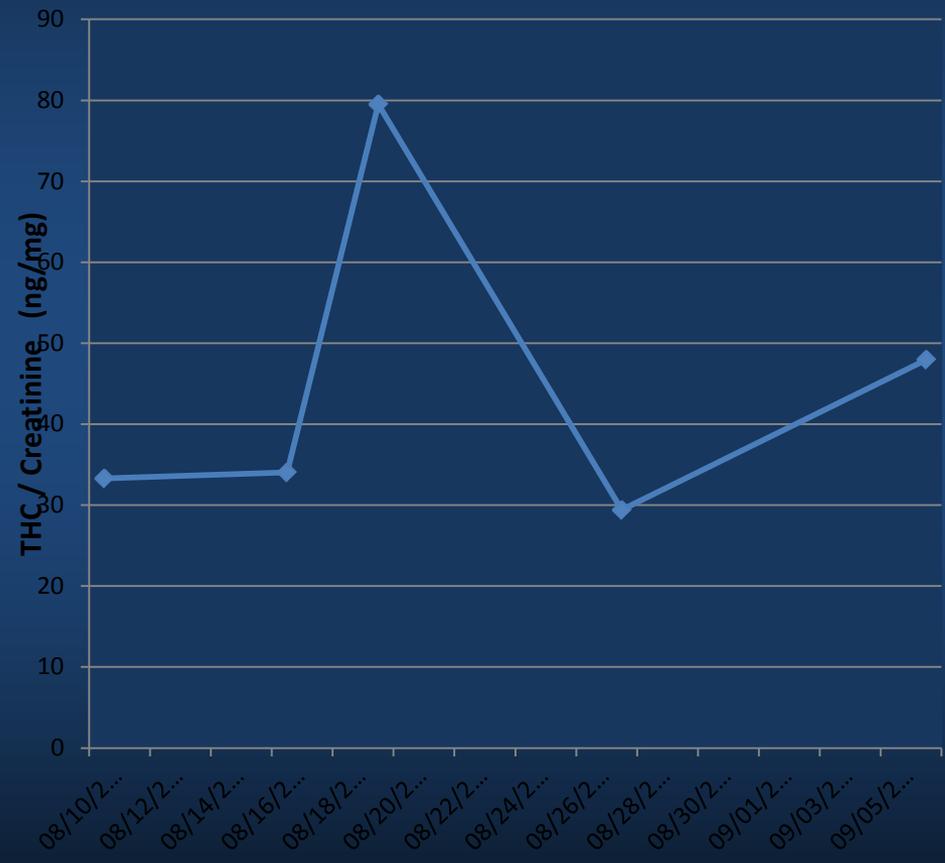
Reviewed By: \_\_\_\_\_ Date: \_\_\_\_\_

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# Challenges to Positive THC Tests

- In cases where the defendant/offender challenges a positive THC result, lab staff will compare normalized THC values and prepare a graph for court hearings
- If required, the drug lab staff can travel to testify in court



# Urine Collection and Chain of Custody Procedure

Questions may be directed to:

## Drug Lab Assistants

- Melodie Wacker
- Janean Perea
- Stephanie Dameron
- Jacqueline Daughtry

## Drug Lab Administrative Analyst

- Patricia Rodriguez

505-348-2715 or 505-348-2734

Email: [nmppdb\\_Druglab@nmcourt.fed.us](mailto:nmppdb_Druglab@nmcourt.fed.us)

