

# 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.
- 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.**

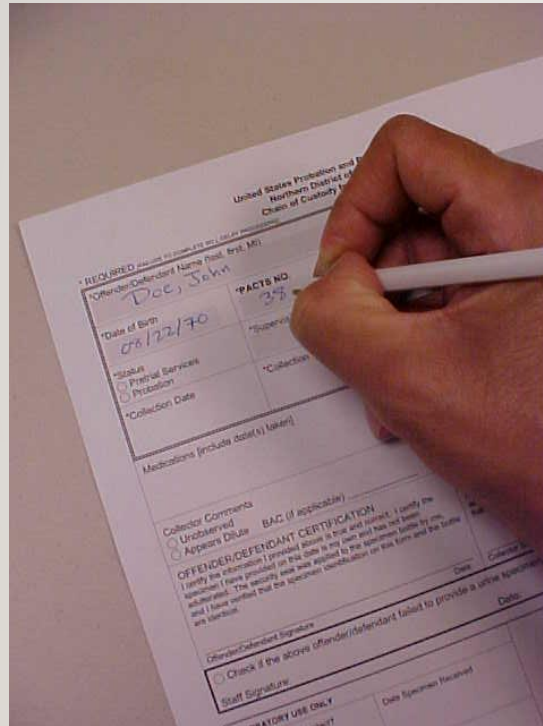
# URINE COLLECTION – STEP 2

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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



# URINE COLLECTION – STEP 3

A close-up photograph of a person's hand using a white pen to fill out a form. The form is titled "United States Probation and Northern District of Michigan Chain of Custody". It contains several fields: "Offender/Defendant Name First, Last, MI" with "Doe, John" written in; "Date of Birth" with "08/12/70" written in; "FACTS NO" with "37" written in; "Supervisor" and "Collection" fields which are empty; "Medications (include date(s) taken)" which is empty; "Collector Comments" with radio buttons for "Unobserved" and "Appears Dilute"; "OFFENDER/DEFENDANT CERTIFICATION" section with a signature line and date; and "Staff Signature" and "Date Specimen Received" fields at the bottom.

- 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 (ALL INFO TO COMPLETE MUST BE HAND WRITTEN)

*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. 3526	
*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. only) 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	Specimen to be forwarded to national reference lab for other special test.
Collector Comments <input type="checkbox"/> Unobserved <input checked="" type="checkbox"/> Apprais. 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.
- Do not allow clients to carry in any items such as purses and phones

# URINE COLLECTION- STEP 7

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- The client will rinse hands with cold water (no soap) and dry them thoroughly.
- Make sure Offender/defendant rinses under fingernails
- Purpose of rinse 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 15mL for testing



# 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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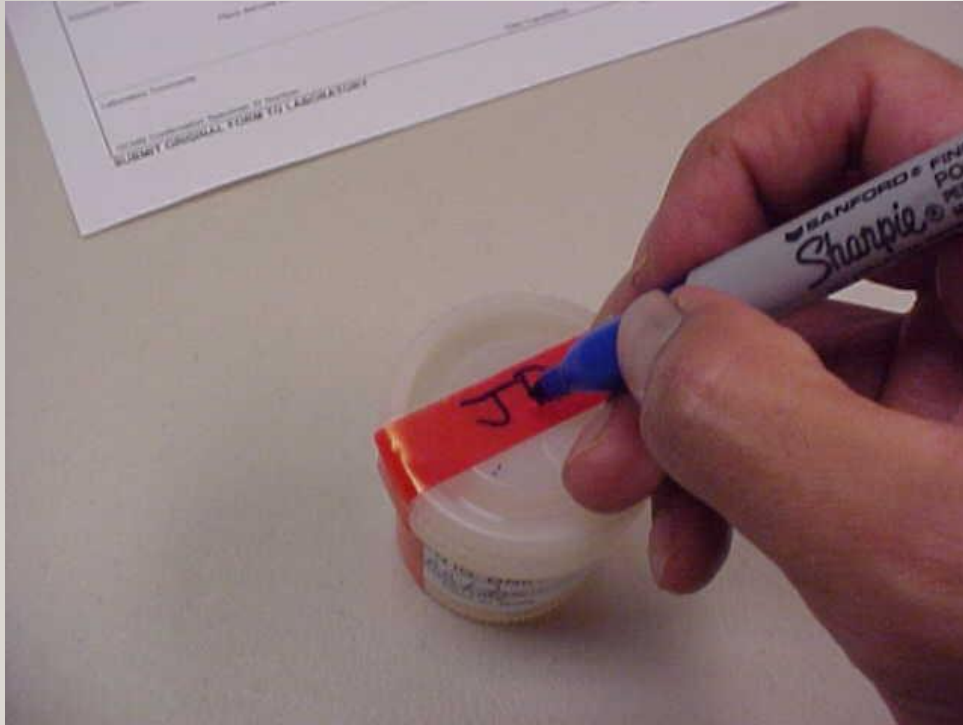


- At the collection area, the **CLIENT** places the tamper-evident seal over the top of the bottle with both sides of the seal securing the bottle top and adhering to the sides of the bottle. At least one end of the seal must be placed over the specimen ID label.



# 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, along with an absorbent sheet.

# 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: 04/12/74  
FACTS NO.: 3576  
Specimen ID Label: 15  
Collection Date: 9/16/06  
Collection Time: 10:00 AM  
Supervising Federal Officer: TS  
Medications: Prozac, Divalproin  
Offender/Defendant Signature: John Doe  
Date: 9/16/06

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: 04/12/74  
FACTS NO.: 3576  
Specimen ID Label: 15  
Collection Date: 9/16/06  
Collection Time: 7:10 AM  
Supervising Federal Officer: TS  
Medications: Prozac, Divalproin  
Collector Comments:  Unobserved,  Appears Dilute  
Offender/Defendant Signature: John Doe  
Date: 9/16/06  
Collector Signature: Jane Smith  
Date: 9/16/06

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

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

Specimen ID Label  
SPECIMEN ID: MM01- 8517

Place on Form

Admitted Illegal Drug Use by Offender/Defendant

Special Test Request  
 Benzodiazepine  
 Phencyclidine (PCP)  
 Other: *alcohol*

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 the same.

Collector Signature: *Jane Smith*  
Date: *3/30/12*

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

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- 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.



# 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.
- 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 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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- The collector will store the UA specimens in a secured and locked refrigerator for no more than 3 days for postal delivery, or no more than 4 days for staff courier.
- Specimens being tested for alcohol should be mailed 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.***

# 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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- All supplies are provided by USPO
- Use only supplies provided by USPO and do not use USPO supplies for other collections
- Submit a Supply Request Form via e-mail to [nmppdb\\_druglab@nmp.uscourts.gov](mailto:nmppdb_druglab@nmp.uscourts.gov) or fax 505-348-2716 when more supplies are needed. Please allow 7-10 days for shipping

# 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
  - 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
- **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.



# 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

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Questions may be directed to:

## Drug Analysis Technicians

- Janean Perea
- Stephanie Dameron
- Rose Rivera
- Marissa Castillo

## Drug Lab Supervisor

- Patricia Rodriguez

505-348-2734

Email: [nmppdb\\_Druglab@nmp.uscourts.gov](mailto:nmppdb_Druglab@nmp.uscourts.gov)

Physical Address: 500 Gold Ave. SW, Suite 10226, Alb, NM 87109