

Urine Collection and Chain of Custody Procedures

- 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**.

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
- UA kit (contains cup, tamper seal, tamper evident bag)
- Gloves (not supplied by USPO)



Urine Collection – Step 3

United States Probation and Pretrial Services Office
Northern District of California
Chain of Custody Form

* REQUIRED

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

*Date of Birth
08/22/70

*Supervising Officer
John Doe

*FACTS NO.
33

*Collection Date

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 form 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 contribution on this form and the bottle are identical.

Offender/Defendant Signature
Date

Staff Signature
Date

LABORATORY USE ONLY
Date Specimen Received

- 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.
- Females can affix to bottle after giving sample.
- Defendant initials and dates the tamper seal.

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

* REQUIRED (PLEASE PRINT OR TYPE IN ALL CAPS)

*Offender/Defendant Name (last, first, MI) Doe, John	Specimen ID Label SPECIMEN ID: ON01- 15 Place on Form
*Date of Birth 08/22/70	*PACTS NO. 3526
*Status <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 gross wt(s) in space above.

Medications (include date(s) taken)
Prozac, Dayquil 9/16
11/7

Special Test Request
 Benzodiazepine
 Phencyclidine (PCP)
 Other

Collector Comments
 Unobserved
 Appears Dilute - BAC (if applicable)

SECURITY SEAL DO NOT TAMPER

Collector Date: 9/16/06
Offender Signature: John Doe

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.

Step 8 - continued

- **MUST collect at least 10 ml of urine.**
- **30 ml is ideal**
- **The lab cannot test if less than 10 ml of urine is received; therefore, DO NOT send in a sample containing less than 10ml. It will be a “no-test” -- and your agency is not paid for when specimens are not tested.**

Urine Collection- Female

- Because it may be impossible to see urine leave the female body and enter the 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.

Urine Collection- Step 9



- After urine is collected, the defendant places the cap tightly on the bottle to prevent leakage. (Close lid and snap tab in place).
- The defendant turns the bottle upside down over the sink to check for leakage.

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 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: 0801- 15

Date of Birth
08/12/78

PACTS NO.
3526

Status
Pretrial Services

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, Dayquil, 9/16

Collector Comments
Unobserved
Appears Dilute (DAC 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.

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: 0801- 8516

Date of Birth
08/12/78

PACTS NO.
3526

Status
Pretrial Services

Supervising Federal Officer

Collection Date
9/18/06

Collection Time
7:10 AM

Admitted Illegal Drug Use by Offender/Defendant

Special Test Request
Benzodiazepine
Phencyclidine (PCP)
Other

Medications (include date(s) taken)

Collector Comments
Unobserved
Appears Dilute (DAC 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.

- 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

A photograph showing a hand holding a clear plastic specimen bag with an orange label that reads 'UARD' and 'SPECIMEN ID: MM01-8517'. The bag is partially filled with a white substance. To the left of the bag is a 'United States Probation and Pretrial Services' form titled 'Specimen Collection and Control Form (COC) for Drug Analysis'. The form contains handwritten information: 'FACTS NO.' 1712, 'Supervising Federal Officer' [signature], 'Collection Time' 7:10 AM, 'Special Test Request' with 'Other' checked and 'alcohol' written in, and 'Collector Signature' James Smith dated 3/30/12. The form also includes sections for 'CERTIFICATION' and 'COLLECTOR CERTIFICATION'.

- 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.
- 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

- 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.

Stalling & Subsequent Attempts

- If the defendant is 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/date
- 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.