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## CHAPTER FOUR

## COLLECTION AND CONTROL

SECTION 1. Collection Control. Collection site personnel will always have the urine specimen bottle or other catch container within sight before and after the individual has urinated. The specimen bottle must also remain in sight from the time the sample is transferred from the catch container, if used, until tightly capped, properly sealed, and labeled. A Urine Sample Custody Document, OCPM 12792/2, will be utilized for maintaining absolute control and accountability from point of collection to final disposition of specimens. With each transfer of possession, the form will be dated, signed by the individual releasing the specimen, signed by the individual accepting the specimen, and include the purpose for transferring possession. Every effort should be made to minimize the number of people handling specimens. While any part of the chain-of-custody procedures are being performed, it is essential that the urine specimen(s) and Urine Sample Custody Document(s), OCPM 12792/2, be under the direct control of the involved collection site personnel. If that person must leave the site, the specimen(s) and form(s) will be taken along or secured in a manner to preclude any break in the chain of custody.

SECTION 2. Collection Procedures (Unobserved)

a. Procedures for providing urine specimens will allow for individual privacy unless the activity/command has reason to believe that a particular individual may alter or substitute the specimen to be provided. The actual collection may be administered by the DPC or a CSC, who will take precautions to ensure that a urine specimen has not been adulterated or diluted and that all information on the urine bottle and in the Permanent Record Book can be identified as belonging to a given individual. To facilitate the following explanation, the procedural steps are written as though the collection is conducted by a CSC. The collection steps are as follows:

(1) Upon the individual's arrival at the collection site, the CSC will request a photo identification. If the individual does not have proper identification, the CSC will contact the DPC who will contact the employee's supervisor for positive identification. If the individual's identity cannot be established, the CSC will not proceed with collection and this fact will be noted on the Urine Sample Custody Document, OCPM 12792/2, and in the Permanent Record Book.

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(2) If the individual fails to appear at the collection site or refuses to be tested, the CSC will contact the DPC, who will follow the guidance provided in paragraphs 7g and 7h of this CPI.

(3) The CSC will give the employee a copy of the OMB approved Privacy Act Statement and Paperwork Reduction Act Notice. (This form is included in the six-part carbonized Chain of Custody Form.)

(4) The CSC will require the individual to remove any unnecessary outer garments (e.g., coat, jacket, coveralls) that might conceal items or substances that might be used to tamper with or adulterate the urine specimen. The individual may retain his or her wallet but all other personal belongings (purses, briefcases, lunch pails, etc.) will remain with the outer garments. The CSC will ensure that these personal belongings are placed in a secure area.

(5) The individual will be instructed to wash and dry his or her hands prior to urination. After washing, the individual will remain in the presence of the CSC or observer and will not have access to water fountains, faucets, soap dispensers, cleaning agents, or other materials which could be used to adulterate the specimen.

(6) The individual may be given the specimen bottle or other type of "catch container" such as a styrofoam cup, a device specifically designed for collection, or a wide-mouth bottle.

(7) To deter dilution of specimens at the collection site, toilet bluing agents will be placed in the toilet tanks for each collection so that the standing water in the toilet bowl always remains blue. This requirement may be met by:

(a) Inserting a continuously releasing bluing agent, commonly used in households and available in local stores, into the toilet tank.

(b) Adding a bluing agent such as food coloring to the bowl after each flush.

(8) The observer (same gender as the individual) will accompany the individual into the rest room and remain there while the individual is providing the urine specimen. The individual will provide the sample in the privacy of the rest room stall or other partitioned area that allows for individual privacy.

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Although direct observation is not permitted except under certain circumstances, the observer will be aware of any unusual sounds, behavior, or delays by the individual. The individual, upon exiting the stall, will be instructed to flush the toilet before the specimen is delivered to CSC.

(9) If a "catch container" is used, the specimen must be transferred by the individual to the specimen bottle. This transfer must be watched by the observer.

(10) After the specimen has been provided, submitted to the CSC, and the documentation complete, the individual should be permitted to wash his or her hands.

(11) The CSC, upon receipt of the specimen, will immediately measure the temperature of the urine. The time from urination to delivery of the sample for temperature measurement is critical and in no case should it exceed 4 minutes. If the temperature of the specimen is outside the range of 32.5-37.7C/ 90.5-99.8 F, it may give rise to reasonable suspicion of adulteration/substitution of the sample. In this case, another specimen will be collected under direct observation and both specimens forwarded to the NDSL (see Section 3). To avoid possible contamination of the sample, a non-intrusive method of obtaining the temperature of the sample will be used. Activities/commands can use the type of temperature gauge that adheres to the outside of the bottle, purchase a bottle which has a permanent temperature gauge affixed to the inside of the bottle (readable outside), or after the individual transfers the sample from a "catch container" to the bottle, the CSC or observer could insert a thermometer into the urine remaining in the "catch container." See Attachment 1 for a description and purchase information on these thermometers. An individual may volunteer to have his or her oral temperature taken to provide evidence to counter the reason to believe an individual may have altered or substituted a specimen when the temperature is outside the prescribed range.

(12) The CSC will examine the specimen for color and signs of contaminants. Any unusual finding resulting from the inspection must be included in the remarks section of the permanent record book.

(13) The CSC will ensure that the specimen bottle contains at least 60 milliliters of urine. (The DFWP must use the same specimen bottles as those used in the Department of the Navy military drug testing program, which hold up to 100 milliliters of

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urine.) When an individual is unable to provide the minimum urine sample, he or she should be given a reasonable amount of fluid to drink. Additional urine should be collected in a separate container so that both samples together total 60 milliliters. The temperature of each partial specimen will be measured per paragraph (11), and if each sample is within the acceptable range, the partial specimens will be combined into one container.

If an individual still fails to provide the necessary specimen, the CSC will contact the DPC to obtain guidance on action to be taken per paragraph 7i of this CPI.

(14) Whenever there is reason to believe that a particular individual may alter or substitute the specimen to be provided, a second specimen will be obtained as soon as possible under direct observation as provided in Section 3.

(15) All specimens suspected of being adulterated or contaminated will be forwarded to the laboratory for testing.

(16) Both the individual being tested and the CSC should keep the specimen in view at all times prior to its being sealed, labeled, and the necessary documentation process completed. The CSC will place the identification label securely on the bottle. The CSC will place the tamper-proof tape over the bottle cap and down the sides of the bottle, making sure not to obliterate the information on label.

(17) The individual will initial the label on the specimen bottle, using initials corresponding with the name on the Urine Sample Custody Document, OCPM 12792/2.

(18) The CSC will enter the identifying information in the Permanent Record Book. The individual must read the statement and certify that the specimen identified is in fact his or hers by signing the Permanent Record Book. A sample page from a Permanent Record Book is provided at Attachment 3. The CSC must ensure that all information pertaining to previous individuals is not visible to the current individual.

(19) The CSC will complete the Urine Sample Custody Document, OCPM 12792/2, and the Permanent Record Book and deliver both with the specimens to the DPC for shipment unless instructed otherwise.

b. Attachment 7 is a checklist that was developed to assist the DPC/CSC and can be used to ensure that the correct steps have been taken during the collection and chain-of-custody process.

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SECTION 3. Collection Procedures (Direct Observation)

a. Collection under direct observation will not be made except with proper authorization and only in those circumstances as detailed in paragraphs 11 and 13 of this CPI. The collection steps are as follows:

(1) through (5) are identical to the unobserved procedural steps in Section 2.

(6) The CSC will inform the employee that the sample will be collected under direct observation and, if the basis is reasonable suspicion, the employee should be issued a copy of the written notice provided at Appendix F.

(7) Only the individual providing the sample and the CSC/observer (same gender) will be permitted in the area where the collection is being taken. The CSC/observer will be positioned in such a way during collection that he or she can be certain that the sample passes directly from the individual's body to the specimen bottle or "catch container."

(8) Once the specimen is provided, the procedures described in steps (8) through (19) of Section 2 will be followed. The CSC will code the Urine Sample Custody Document, OCPM 12792/2, to indicate the sample was collected under direct observation due to reasonable suspicion or as part of follow-up testing.

b. Attachment 7 is a checklist that was developed to assist the DPC/CSC and can be used to ensure that the correct steps have been taken during the collection and chain of custody process.

SECTION 4. Special or Emergency Collection Procedures (Unobserved)

a. If an event such as an accident or reasonable suspicion of drug use, possession, or impairment triggers the need for an immediate collection and an activity/command collection site is not available, any public rest room facility may be used. The collection steps are as follows:

(1) Upon the employee's arrival, the CSC will request a photo identification. If the individual does not have proper identification, the CSC will contact the DPC who will contact the employee's supervisor for positive identification.

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(2) The CSC will inform the employee of the basis for the collection, either accident or reasonable suspicion, and, if possible, ensure that the employee receives a copy of the written notice of accident or reasonable suspicion testing provided at Appendix F.

(3) The CSC will require the individual to remove any unnecessary outer garments (e.g., coat, jacket, coveralls) that might conceal items or substances that might be used to tamper with or adulterate the urine specimen. The individual may retain his or her wallet but all other personal belongings (purses, briefcases, lunch pails, etc.) will remain with the outer garments. The CSC will ensure that these personal belongings are placed in a secure area.

(4) The individual will be instructed to wash and dry his or her hands prior to urination. After washing, the individual will remain in the presence of the CSC or observer and will not have access to water fountains, faucets, soap dispensers, cleaning agents, or other materials which could be used to adulterate the specimen.

(5) The individual may be given the specimen bottle or other type of "catch container" such as a styrofoam cup, a device specifically designed for collection, or a wide-mouth bottle.

(6) The site will be secured during the collection and, if possible, toilet bluing agents will be placed in the toilet tank and any accessible toilet bowl. This requirement may be met by:

(a) Inserting a continuously releasing bluing agent, commonly used in households and available in local stores, into the toilet tank.

(b) Adding a bluing agent such as food coloring to the bowl.

(7) The CSC/observer will be of the same gender and accompany the individual into the public rest room, remaining there while the individual is providing the urine specimen. The individual will provide the sample in the privacy of the rest room stall or otherwise partitioned area that allows for individual privacy. Although direct observation is not permitted except under certain circumstances, the observer will be aware of any unusual sounds, behavior, or delays by the individual. If no bluing agent was available, the individual will be instructed not to flush the toilet or permitted to wash his or her hands, until after the specimen is delivered to the CSC.

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(8) The documentation for the collection will be completed by following steps (8) through (19) of Section 2.

b. Attachment 7 is a checklist that was developed to assist the DPC/CSC and can be used to ensure that the correct steps have been taken during the collection and chain-of-custody process.

**SECTION 5. Special or Emergency Collection Procedures (Direct Observation)**

a. If an event triggers the need for an immediate collection under circumstances of reasonable suspicion, and there is specific reason to believe that the employee will adulterate or tamper with the specimen, any public rest room facility may be used if no activity/command collection site is available. The collection steps are as follows:

(1) Upon the employee's arrival, the CSC will request a photo identification. If the individual does not have proper identification, the CSC will contact the DPC who will contact the employee's supervisor for positive identification.

(2) The CSC will inform the employee that the sample will be collected under direct observation and, if possible, ensure that the employee is issued a copy of the written notice for reasonable suspicion provided at Appendix F.

(3) The CSC will require the individual to remove any unnecessary outer garments (e.g., coat, jacket, coveralls) that might conceal items or substances that might be used to tamper with or adulterate the urine specimen. The individual may retain his or her wallet but all other personal belongings (purses, briefcases, lunch pails, etc.) will remain with the outer garments. The CSC will ensure that these personal belongings are placed in a secure area.

(4) The individual will be instructed to wash and dry his or her hands prior to urination. After washing, the individual will remain in the presence of the CSC or observer and will not have access to water fountains, faucets, soap dispensers, cleaning agents, or other materials which could be used to adulterate the specimen.

(5) The individual may be given the specimen bottle or other type of "catch container" such as a styrofoam cup, a device specifically designed for that purpose, or a wide-mouth bottle.

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(6) The site will be secured during the collection but it is not necessary to add a bluing agent to the toilet bowl because of direct observation.

(7) Only the individual providing the sample and the CSC/observer (same gender) will be permitted in the area where the collection is being taken. The CSC/observer will be positioned in such a way during collection that he or she can be certain that the sample passes directly from the individual's body to the specimen bottle or "catch container."

(8) The documentation for the collection will be completed by following steps (8) through (19) of Section 2. The CSC will code the Urine Sample Custody Document, OCPM 12792/2, to indicate the sample was collected under direct observation due to reasonable suspicion.

b. Attachment 7 is a checklist that was developed to assist the DPC/CSC and can be used to ensure that the correct steps have been taken during the collection and chain-of-custody process.

**SECTION 6. Procedures for Submission of Blind Performance Test Specimens (BPTSS)**

a. The BPTSS are prepared by and obtained from the Armed Forces Institute of Pathology (AFIP). The credibility of the Department of the Navy DFWP and, in particular, drug testing depends on how well samples are processed. The OCPM DPC is the point of contact regarding the BPTS and can be reached at (703)696-5880 or DSN 226-5880.

b. The OCPM DPC will notify the activity/command DPC that the activity/command is required to process a specified number of BPTSS within a quarter. The BPTS and the AFIP Quality Control Sample Log (Log), AFIP OCPM 12792/3 may be sent directly from the AFIP to the activity/command or to the OCPM DPC who will mail them to the activity/command. In any case, the AFIP provides the SSNs to be used for the samples (AFIP uses inactive numbers provided by the Social Security Administration). The BPTSS must be processed as follows:

(1) Upon receipt, the DPC will verify the number of the BPTSS received against the number shown on the AFIP Log, AFIP OCPM 12792/3. Attachment 8 is an example of an AFIP Log, AFIP OCPM 12792/3 sent with the BPTSS.

(2) The BPTSS should be refrigerated upon receipt until shipped and kept in a secured area. If refrigeration of these

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samples is impossible, the BPTSS should be kept in a cool place. In this situation, be sure to note on the AFIP Log, AFIP OCPM 12792/3 that the samples were not refrigerated.

(3) These samples should be submitted within the timeframe specified by the OCPM DPC with regular activity/command specimens.

If no specimens are collected during that timeframe, submit the BPTSS following the guidance received from the OCPM DPC. No more than 12 BPTSS should be submitted at one time. It should be annotated on the AFIP Log, AFIP OCPM 12792/3 that no activity/command specimens were collected during the designated timeframe.

(4) Pour the BPTS from the AFIP specimen bottle into the specimen bottle used for collected samples so that all bottles submitted are identical. It is essential that the NDSL not be able to distinguish between BPTSS and regular samples.

(5) An activity/command label should be prepared with the SSN provided by the AFIP. Complete the bottle label with the required information including the initials of the CSC or DPC and the initials allegedly belonging to the individual. The process will be completed by placing the tamper-proof seal/tape on the bottle cap and down the sides of the bottle, making sure not to obliterate the information on the label. Proper entries should be made to the Urine Sample Custody Document, OCPM 12792/2, and Permanent Record Book.

(6) Enter the date that each specimen was shipped under item 4 of the AFIP Log, AFIP OCPM 12792/3. Once all BPTSS are submitted, complete and return the AFIP Log, AFIP OCPM 12792/3 to the following address: DOD Drug Detection Quality Control Laboratory, AFIP, Bldg. 54, Room 4031, Washington, DC 20306-6000.

(7) These samples, either separately or with regular samples, will be transported following Section 7.

(8) A copy of the Urine Sample Custody Document, OCPM 12792/2, should be immediately forwarded to the MRO with the BPTSS annotated so that the MRO can promptly forward those results to the activity/command without further review.

(9) Attachment 9 is a sample of a properly completed AFIP Log, AFIP OCPM 12792/3. (See Attachments 4 and 6 for proper entries on the Urine Sample Custody Document, OCPM 12792/2, and Permanent Record Book.)

c. Immediately upon receipt of the report from the MRO, forward a copy of all results of each BPTS to the AFIP at the

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address in paragraph (6). The AFIP will score the accuracy of the processing of the samples and report all results to the OCPM DPC.

**SECTION 7. Preparation for Shipment and Transportation of Samples**

a. The urine specimen(s) and Urine Sample Custody Document, OCPM 12792/2, are now ready for shipment preparation. All specimens should be shipped as soon as possible after collection. However, if the specimen is not immediately prepared for shipment, it should be refrigerated and must be appropriately secured during temporary storage. The handling and transportation of urine specimens from one authorized individual or place to another must always be accomplished through the use of chain-of-custody procedures on the reverse side of Urine Sample Custody Document, OCPM 12792/2.

b. After collecting all of the samples, the CSC or DPC will complete the chain of custody on the reverse side of the document and enter the means of shipment at item 11 on the Urine Sample Custody Document, OCPM 12792/2.

c. All samples must be placed inside a leak-proof container (a single ziplock type bag is not leak-proof) and packed with absorbent material. The samples, including BPTSS, will be packed in appropriate cartons, specimen boxes, or padded mailers that are securely sealed to prevent tampering. A copy of the Urine Sample Custody Document, OCPM 12792/2, will be enclosed in a waterproof mailer and inserted into the shipping container.

d. The DPC will seal all sides of the box or mailer with adhesive tape and sign and date across the tape on the top and bottom of each shipping container. The original custody document will be placed in a sealed envelope and attached to the outside of the shipping container. The box will be wrapped in brown mailing paper or larger outer mailing wrapper, or, if shipping several containers, placed in a larger outer container. The package should be clearly labelled as containing "Clinical Specimens." The package will be shipped or transported to the appropriate NDSL using a yellow address label so that civilian samples are readily identifiable.

e. The samples may be sent to the NDSL by one of several acceptable modes of transportation; for example, hand delivery, U.S. Postal Service, commercial overnight delivery services, Military Airlift Command, commercial U.S. airlines or foreign commercial airline (to be used when no other means is available). It is not necessary to send specimens by registered mail. The address(es) of the NDSL is (are) shown in Attachment 10 and activities/commands must use a yellow mailing label. The

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following are examples of shipment entries made on the Urine Sample Custody Document, OCPM 12792/2, at item 11:

- (1) Released to U.S. Mail.
- (2) Released to Certified Mail #XXXX (enter number).
- (3) Released to Registered Mail #XXXX (enter number).
- (4) Released to \_\_\_\_\_ (enter individual's name) to hand carry to the NDSL. (In such case, the individual would sign the chain of custody portion of the Urine Sample Custody Document, OCPM 12792/2, upon receiving the specimens.)
- (5) Released to Military Airlift Command, Bill of Lading #XXXX (enter number).
- (6) Released to Airlines Flight #XXXX, Bill of Lading #XXXX (enter airline, flight number, and lading number).

When the Registered number or Bill of Lading number is not determined prior to sealing the container, indicate only the mode of shipment on the original and the copy enclosed and annotate the activity/command copy with the appropriate number when the container is accepted for shipment. Any package shipped by the U.S. Postal Service must be prepared following those requirements, if any.

NOTE: The DPC, CSC, and observers, if scheduled for testing, must be tested separately from other individuals and their samples should be shipped separately from others being tested so that none are involved in handling or processing their own specimens.