

**\* 1. Urine Collection, Instrumented Testing and Reporting (1010)**

The vendor shall perform the following procedures related to the collection, testing and reporting of urine specimens:

**a. Storage of Urinalysis Supplies**

The vendor shall:

(1) Store all urinalysis supplies in a secure area with access limited only to authorized vendor employees involved in the collection process.

(2) Prevent defendant/offender access to the secure storage areas.

**b. Secure Collection Area**

The vendor shall:

(1) To the extent possible provide a lavatory only for collecting urine specimens that is not used by staff or others not providing a urine specimens.

(2) If the lavatory is used by others not providing a urine specimen the vendor shall:

(a) Limit the possibility of any interference with the collection process or adulteration of the specimen; and

(b) Limit access during the collection process to only those involved in the collection of urine specimens.

**c. Safety Precautions and Collector Training.**

(1) The vendor shall ensure that collectors receive appropriate detailed training that includes a review of the federal OSHA Bloodborne Pathogen regulations (29 C.F.R. 1910.1030). The vendor shall document such training in their personnel file and the employee must certify they have received and understand such training. The vendor shall provide the documentation to the USPO/USPSO upon request.

(2) The vendor shall ensure that all personnel handling urine specimens wear disposable gloves designed for protection against bio-hazards, and are familiar with standard precautions for handling bodily fluids.

**d. General Urine Specimen Collection Procedures**

(1) The vendor shall ensure defendants/offenders:

(a) Remove jackets, coats and large pocket items before entering the

collection area.

(b) Leave purse or other carried items outside the collection area, or in the control of the specimen collector.

(c) Rinse their hands in cold water and thoroughly dry them prior to voiding to remove any adulterant from under the fingernails or on the skin.

(d) Roll up long-sleeved shirts or blouses so the collector can examine defendant/offender's arms to detect tampering devices or adulterants.

(2) The vendor shall ensure that the collectors:

(a) Verify the identity of the defendant/offender by means of a state driver's license, state identification or other acceptable form of photo identification.

(b) Collect specimens from only one donor at a time. Both the donor and the collector shall keep the specimen bottle/container in view at all times prior to it being sealed and labeled.

(c) Complete a Chain of Custody or NIDT Collection Form (provided by the USPO/USPSO) before a defendant or offender voids following the chain of custody procedures, and then unless the vendor is using an NIDT that yielded a negative result, peel the Barcode label from the Chain of Custody form and place it on the bottle.

(d) Collect a minimum of 30 milliliters of urine, to allow the laboratory to conduct the initial presumptive screen and confirmation tests. A specimen with less than 10 milliliters of urine is not acceptable for testing and shall not be submitted as the laboratory will not test it due to insufficient quantity.

(e) Not flush urinals until the collection is completed and the defendant/offender has left the urinal area (coloring agent is not necessary).

(f) Observe and document any indication (unusual color, odor) of specimen dilution and/or adulteration, or any unusual collection events or discrepancies.

(g) Screw the top on the bottle or ensure the defendant/offender tightly screws the top on the bottle, and that the top is secure to the

bottle and is not leaking.

(h) Review the temperature of the specimen to determine if it is near body temperature, if applicable. The temperature of the specimen should be measured within 4 minutes of collection and should be within a range of 90 - 100 degrees.

(i) Use a tamper evident sealing system (e.g. tape) across the top of the bottle cap and down the sides of the bottle, and initial the evidence tape. (This procedure is not mandatory for NIDTs when an instant negative result is obtained and no further testing will be done on that sample).

(j) Sign the Specimen Collection Statement of the Chain of Custody Form. This is not mandatory for NIDTs when an instant negative result is obtained and no further testing will be done on that sample.

(k) Have the defendant/ offender sign or initial the Chain of Custody Form. This is not mandatory for NIDTs when an instant negative result is obtained and no further testing will be done on that sample. The donor and collector shall not sign the certification area of the form until the collection process is completed.

#### **e. Observed Urine Specimen Collection Procedures**

The vendor shall:

(1) Directly observe defendants/offenders voiding into a specimen collection container. Collectors observing the voiding process shall be the same gender as the defendant/offender providing the specimen (no exceptions).

(2) The use of mirrors is acceptable if the mirrors aid the collector in viewing the voiding process. The USPO/USPSO must approve such use of mirrors.

(3) Notify the USPO/USPSO within 24 hours if the defendant/offender fails to report for a drug test or does not provide a urine specimen that is suitable for testing (e.g. insufficient amount, stall, adulterated).

#### **f. Unobserved Urine Specimen Collection Procedures**

The vendor shall perform the following urine specimen collection procedures if circumstances prevent the observed collection of a specimen. The vendor shall ensure that collectors:

(1) Take unobserved specimens **only** when the defendant/offender and the

collector are not of the same gender or it is virtually impossible to collect an observed specimen

(2) Clearly document on the Chain of Custody Form or NIDT Collection Form any unobserved collection.

(3) When using NIDTs for unobserved collection of a specimen, ensure that an adulteration test is performed that at a minimum includes temperature, pH and specific gravity tests. Adulteration test panels are performed on all specimens sent to the national laboratory for testing.

(4) Use a temperature strip to measure urine specimen temperatures which should range between 90 and 100 degrees Fahrenheit. The time from voiding to temperature measurement is critical and in no case shall exceed 4 minutes.

(5) Obtain a second specimen from defendants/offenders whose urine specimen temperature is outside the range in (4) above.

(6) Place a blue or green colored toilet bowl cleaner or coloring agent in the commode to deter dilution of the specimen with commode water.

(7) Pour the coloring agent into the bowl when using commodes without holding tanks (e.g., commercial commodes).

(8) Follow all general collection procedures in subsection d above.

(9) Secure any source of water in the area where the collection occurs, by either shutting off the water or securing its access with tamper evident tape.

(10) Remove and/or secure any agents that could be used in an attempt to adulterate the specimen, such as soaps, cleaners and deodorizers.

**g. Urine Specimen Mailing and Storage** (For specimens shipped or transferred to contract national drug testing laboratories or on-site instrumented drug testing laboratories).

The vendor shall ensure that:

(1) Every specimen shipped or transferred to a testing facility is contained in a bottle or container specifically designed to withstand the rigors of transport. All bottles and containers shall be provided by the Government. NIDT cups/bottles may only be used for shipping with the advanced approval of OPPS. Vendors shall seek approval for each type of NIDT device intended for shipping.

(2) The collector places the specimen and corresponding Chain of Custody Form or NIDT collection form in the approved shipping container and places such containers in the custody of an approved delivery service or courier;

(3) The collector notifies the shipper/delivery service/courier that specimen(s) are ready to be delivered to the laboratory. This notification shall be given no later than the close of business on the day the specimens are collected.

(4) Urine specimens are refrigerated if specimens are retained and not shipped the same day.

(5) Refrigerated urine specimens are not retained **longer than** 48 hours before they are sent to the laboratory. If urine specimens are retained longer than 48 hours the specimens must be frozen.

(6) Urine specimens are stored in a secure area or locked refrigerator/freezer with access limited only to collectors or other vendor authorized personnel. The refrigerator temperature shall not exceed 43 degrees Fahrenheit and its temperature should be periodically monitored and documented.

#### h. "No Test" Policy

The urinalysis laboratories under contract with the AOUSC **will only test** urine specimens if all of the following conditions are met.

(1) The specimen bottle contains no less than 10 milliliters of urine.

(2) The specimen security seal or tamper evident system (e.g. tape) is present and intact.

(3) The specimen bar code label is present.

(4) The specimen is accompanied by the Chain of Custody Form.

(5) The specimen identifier (i.e., bar code number) on the bottle is identical to the number on the Chain of Custody Form.

(6) The collector's signature is on the Chain of Custody Form.

When any of the above conditions are not met, "No Test" will be stamped on the request report form and the reason for the no test will be checked or written in the space provided. Specimens that cannot be tested will be discarded. The vendor shall ensure that **all** of the above conditions are present for specimens sent to the national drug testing laboratories for testing.

### **i. Random Urine Specimen Collection Procedures**

The vendor shall provide random urine specimens collections in accordance with the following:

#### **(1) Urine Collection Phases**

The frequency of testing for defendants /offenders shall follow the Three Phase Program, which requires a minimum of three (3) random tests with less than 24 hours notice per month during Phase I; a minimum of two (2) such tests monthly during Phase II; and a minimum of one (1) such test monthly during Phase III. The length of the phases is determined by the USPO/USPSO and can range from 60 days to 6 months. If a defendant or offender tests positive, more frequent urine collections may be required.

(2) The vendor shall collect random urine specimens when the defendants/offenders have less than 24 hours prior notice that a urine specimen is to be submitted.

(3) The vendor shall not alter a randomly scheduled urine collection without the approval of the USPO/USPSO. The frequency of random urine collections shall be determined and authorized by the Program Plan (Probation Form 45).

(4) Upon request of the USPO/USPSO the vendor shall develop and operate an automated phone based notification system for random urine collections. The vendor shall obtain the approval of the USPO/USPSO for the design and operation of the phone-based system before putting it into use.

### **j. Urine Specimen Collection Records and Reports**

#### **(1) Urinalysis Log**

The vendor shall maintain a log approved by the USPO/USPSO for all urinalysis specimens collected which shall indicate:

- (a) Defendant and/or offender's name and PACTS number.
- (b) Collection date
- (c) Specimen ID/Chain of custody (bar code) number.
- (d) Drugs or medications prescribed and date taken.
- (e) Collector's initials.
- (f) Special tests requested, and
- (g) Test results and date received /(if applicable/)

**Note:** Allowing anyone undergoing treatment to see the names or signatures of defendants/offenders violates federal confidentiality regulations regarding disclosure of drug or alcohol treatment records as well as the HIPPA privacy rule.

**k. National Contract Urinalysis Laboratories**

Urine specimens are analyzed under a separate contract with the AOUSC. The vendor shall notify the USPO/USPSO of positive specimen results reported from a national laboratory within 24 hours. Upon award, the USPO/USPSO shall notify the vendor that it uses a national contract testing laboratory and provide supplies and instructions for the shipping and handling of specimens.

**l. Onsite Screening Urinalysis Laboratory**

Urine specimens are analyzed by onsite laboratories at some locations in probation and/or pretrial services offices. Specimens sent to these facilities shall be processed in the same manner as listed above. Upon award, the USPO/USPSO shall notify the vendor that it uses an on-site testing laboratory and provide supplies and instructions for the shipping and handling of specimens.

**\* 2. Urine Collection/Testing Non-Instrumental Drug Testing Devices (NIDTs) (1011):**

The USPO/USPSO shall provide NIDT devices to the vendor. The vendor shall use the previously stated general specimen collection procedures and the following testing procedures:

**a. Urine Testing**

The vendor shall:

- (1) Ensure that personnel who perform drug testing using NIDTs have documented training by the device manufacturer or their designee, certification of successful completion of the training, and demonstrated proficiency in the use of the test device(s).
- (2) Test for drug(s) only as directed by the USPO/USPSO, using only devices provided by the USPO/USPSO.
- (3) Perform test(s) according to the manufacturer's procedures with the defendant/offender observing the process.
- (4) Record the NIDT test result on the Urinalysis Log and an NIDT log provided and/or approved by the USPO/USPSO if applicable.
- (5) Notify the USPO/USPSO within 24 hours of positive specimen results , if the defendant/offender fails to report for a scheduled drug test, or does not provide a urine specimen that is suitable for testing (e.g. an insufficient amount, stall, adulterated).
- (6) Send specimens to the national drug testing laboratories under the explicit instruction of the USPO/USPSO, using the procedures outlined on Section 1 g above.

**b. Specimen Processing**

(1) If the test(s) is negative the vendor shall:

(a) Discard urine specimen. Urine is to be flushed down the toilet. Rinse the emptied bottle. Urine not considered biohazardous waste and can be disposed of in the trash.

(b) Discard the test device in compliance with federal, state and local regulations. The test device or any other solid waste exposed to urine as part of the collection and testing process may require biohazard disposal. If such disposal is required, the vendor shall ensure it is conducted in compliance with federal, state and local regulations.

(c) Log the result(s) on the approved urinalysis log(s) mentioned above.

(2) For presumptive positive test result(s), the vendor shall:

(a) Remind the defendant/offender that the test(s) result is presumptive, and will be reported to the assigned officer.

(b) At the direction of the USPO/USPSO, prepare the specimen(s) to send to the national laboratories by transferring the specimen(s) to a national laboratory bottle and completing the Chain of Custody Form(s). All bottles and containers shall be provided by the Government. Once transfer of the specimen is completed, the Vendor shall discard the NIDT device(s). Send the specimen(s) to the national laboratory within 48 hours unless otherwise instructed by the USPO/USPSO.

(c) Within 24 hours of the presumptive test result notify the USPO/USPSO by telephone and/or fax and document that the notification was done in the defendant/offender's file.

If the defendant/offender refuses to sign the Chain of Custody form, the vendor shall:

(d) Note the refusal on the Chain of Custody form and instruct the defendant/offender to personally contact his/her assigned USPO/USPSO immediately to provide notification of their refusal to sign the form.

(e) Within 24 hours, notify the USPO/USPSO of the defendant/offender's refusal to sign the form.

(f) Ensure collectors do not insist that the defendant/offender's sign the Chain of Custody Form. The vendor shall record the defendant/offender's refusal

to sign on the Chain of Custody Form and in the defendant/offender file (the specimen will be tested by the national laboratory even if the defendant/offender fails to sign the form).

**c. Drug Testing Invoicing (NIDTs)**

The vendor shall:

(1) Invoice only one unit of NIDT (PC 1011) per defendant/offender per per tested specimen. For example, if the NIDT device **does not** provide a test result or the test result is not readable, the test shall be conducted using another NIDT device at no additional charge to the government. This may occur approximately five percent of the time when using NIDT devices. The vendor shall include the "multiple test" factor in the unit price for this service.

(2) Charge only one NIDT (PC 1011) to the Government if the specimen is also sent to a national laboratory. Charging for **PC 1010** (-urine collection) and PC 1011 for the same specimen is not permitted. The vendor may include the additional work related to sending a specimen to a national laboratory and reporting the result in the unit price (PC 1011) for this service. Approximately one out of ten samples will be prepared for mailing to a national laboratory, but not all samples will be sent because defendants/offenders will admit drug use.

**Breathalyzer (1504):**

The vendor shall:

- a. Provide a breath alcohol content (BAC) test and all supplies and consumables necessary to operate the instrument, in accordance with the Form 45. The vendor shall provide and use a reliable instrument approved by the USPO/USPSO.
- b. Ensure all staff using the instrument are trained and familiar with its operation as outlined in the manufacturer's operation instructions, and their training is documented.
- c. Report a positive BAC test, no show, or refusal of the defendant/offender to take the BAC test to the USPO/USPSO within 24 hours.
- d. Maintain a log to indicate those defendants/offenders tested, the staff performing the test, the reason for the test, the test results, and a column for additional comments, to include refusal by the defendant/offender. This log shall be approved by the USPO/USPSO.
- e. Maintain an instrument log that will document the instrument's serial number, requirements for calibration, dates of calibration, and the date for the

next calibration. Instrument log shall be approved by the USPO/USPSO.

f. Include Breathalyzer administration and results information in each Monthly Treatment Report.

### (3) **Local Services**

**NOTE:** Insert statement of work and project codes for local services. On the required service line an asterisk (\*) shall be used to denote which project code in Section B will be amended in the local services section. The local services section shall be used for districts to further define a specific need. **Additional codes shall not be created under any circumstances without written approval from Office of Probation and Pretrial Services (OPPS) at the Administrative Office of the United States Courts. All local needs shall be approved, in writing, by OPPS.**

#### **1010 Urine Collection Testing & Reporting**

#### **1011 Urine Collection/NIDT Device Testing**

The vendor shall ensure that collectors:

Use a clinical refractometer to test all urine specimens for specific gravity. Refractometer must be purchased and calibrated by vendor.

Permit a defendant/offender no more than two hours in which to provide a urine specimen of 30 milliliters; a specific gravity of 1.003 or greater; and temperature within the specified range. If specific gravity is below 1.003 and tests negative, collect another sample after one hour, for no additional charge.

The probation officer shall be notified within 12 hours if a valid specimen is not collected within the permitted period. Immediately upon receipt from the lab, fax the USPO/USPSO a copy of the results, positive or negative, for all confirmations for presumptive positive tests.

The vendor shall provide Random Urine Collections where the vendor shall:

Collect observed samples. When necessary, the vendor may collect no more than one unobserved test per defendant/offender per month. Any exception must be pre-approved by the Government. Permission to perform unobserved testing must be obtained prior to collecting the specimen.

Collect all urine specimens seven days a week, including holidays. The vendor must collect random specimens from defendants/offenders one weekend a month and perform back-to-back collections. Back-to-back consists of testing on two consecutive days and should occur once monthly for defendants/

offenders in Phase I of the testing program.

Non-Instrumented Drug Tests (NIDTs) are to be utilized for all of the substance abuse testing. MTRs for programs providing testing services are to include days of week of testing, type of test (on-site vs. lab), result of test(s), specific gravity and medication, if indicated.

Vendors shall ensure the collector can be reached directly by the USPO/USPSO via phone, cell phone, or email.

Safeguarding and Inventory of Supplies:

Supplies shall be made available to Probation/Pretrial Services inspection by aftercare agency personnel, and shall only be used in substance abuse monitoring of federal defendants/offenders.

U.S. Probation supplies are to be kept separately from U.S. Pretrial supplies.

Testing devices, shall be properly accounted for by a monthly inventory and reconciliation with the number used, as recorded on the Specimen Log. By the tenth day of each month, send the Substance Abuse Coordinator (SAC) a monthly inventory count which specifies the number of tests used during the preceding month and number of tests in stock at the end of the preceding month.