



PROCESS AND PROCEDURES

THE COLLECTION PROCESS

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The first step in the testing process is the collection of the specimen from the donor (either an employee or applicant). You will need to identify a qualified collection site, obtain the proper supplies, and send your employees and applicants to the site to have a urine collection performed. Once an adequate sample has been provided, the sample will be shipped to the laboratory for analysis.

Who can act as a collector / collection site?

Under DOT regulations anyone who is properly trained can act as a collector with a couple of minor exceptions:

1. You cannot be the immediate supervisor of the employee (donor) providing the sample unless there are no other collectors available.
2. You cannot be in a position at the laboratory that could allow you to link the donor to the specimen as it is being analyzed.

So, if you as an employer want to act as your own collection site, you may do so subject to the training requirements. Most employers choose to utilize a third party to perform this service.

Outside of the federal regulations many states have regulated the collection process. We recommend you consult the applicable state laws to ensure compliance.

What is involved in being properly trained?

To be qualified to act as a collector under the DOT regulations, you must meet each of the following requirements:

1. **Basic Information:** You must have knowledge of DOT regulations and the current “DOT Urine Specimen Collection Procedure Guidelines” and applicable DOT agency regulations.
2. **Qualification Training:** This training must provide instruction in the following:
 - a. All steps necessary to properly complete a collection;
 - b. How to handle “problem” collections (shy bladder, attempts to tamper with a specimen, etc.);
 - c. Fatal flaws, correctable flaws, and how to correct problems in collections;
 - d. How to maintain the integrity of the collection process (privacy of the employee, security of the specimen, proper conduct, etc.).
3. **Initial Proficiency Demonstration:** You must demonstrate proficiency in collections by performing five consecutive error-free mock collections. These need to include two uneventful collections, one insufficient quantity scenario, one temperature out of range scenario and one where the employee refuses to sign the CCF and initial the tamper evident seal. These must be monitored by a qualified individual (trainer).
4. **Refresher Training:** You must participate in refresher training at least every five years.

5. **Error Collection Training:** If you make a mistake in the collection process that causes a test to be cancelled (fatal flaw or uncorrected flaw), you must undergo error correction training within 30 days of the date of the error.
6. **Documentation:** You must maintain documentation that shows you meet all of these requirements.

If you are interested in acting as your own collection site there are also a number of requirements and procedures relating to the actual physical collection site. This detailed information can be found in 49 CFR Part 40 Subpart D.

I want to use a third-party for my collections. How can I find a qualified site?

WIN has a National Network database of thousands of collection sites. You can search this database through On-Demand. When contacting a collection site, be certain to obtain documentation of the company's qualified collector status.

What does the individual donor need to bring to the Collection Site? What supplies does the Collection Site need to have to perform the collection?

The employer should provide the donor with a completed copy of the, "Service Authorization Form" located in the *Forms Section* of this material and the appropriate Custody and Control Form (CCF) with instructions to provide it to the chosen collection site or provider. While some collection sites are willing to store CCF's for employers, we strongly recommend that you have the employee hand- carry the form to the site. This dramatically increases the likelihood that the proper form will be used in the collection process. WIN will provide both of these forms for your use.

The collection site should also obtain collection kits and shipping materials from the laboratory. They should be able to stock these supplies for you.

Do I need to set an appointment with the Collection Site?

This will depend on the collection site. Once you have established an account with the Collection Site detailing the services to be provided, your specific protocols and service providers and their fees, you can also determine their procedures. Some sites will allow employees to walk-in for collections while others may recommend or even require appointments. You should also ensure that the chosen site has the necessary supplies to perform all collections and tests, as you may require (i.e. lab-specific collection kits, breath alcohol testing equipment, etc.)

What happens at the Collection Site? What procedures do they follow?

Details regarding the collection process may vary according to applicable state laws. However, for a DOT testing situation the procedures can be found in 49 CFR Part 40 Subpart E. Some major points follow:

1. The Employee / Donor should arrive at the site with your Authorization Form, the DOT CCF, and positive photo Identification.

2. The collector will briefly explain the collection process and will ask the donor to remove any outer clothing and place any personal belongings (purse, briefcase, etc.) in a secure location. The donor will also be asked to empty all pockets and show their contents to eliminate the possibility of any item being used to dilute or adulterate the specimen.
3. The collector will then complete the initial sections of the CCF, have the donor wash their hands, and ask the donor to select and open a collection kit.
4. The donor will then be directed to the facility and told to provide a sample of at least 45 ml of urine. They are not to flush the toilet and are to return to the collector as soon as they have completed the void. Generally, the void will not be witnessed although there are special circumstances where this is required.
5. Upon receipt of the specimen, the collector will check for the sufficiency of the specimen (at least 45 ml of urine), confirm that the temperature of the specimen is within normal limits, and check for any signs of tampering with the specimen.
6. The collector will then pour a portion of the sample from the collection cup into the primary (30 ml) and split (15 ml) bottles. Close the bottles and place the security seals over the tops of the bottles, date the bottles and have the donor initial the security seals. Any excess urine will be discarded.
7. The collector will have the Donor read, complete and sign the Certification Statement on the CCF. The collector will then complete the remainder of the CCF and provide the donor with their copy of the form.
8. The collector will then place the specimens and copy 1 of the CCF in the security bag and prepare and ship the specimens to the laboratory. The collector will also distribute the MRO, Employer and Collector copies of the CCF as appropriate. The MRO and Employer copies should be faxed or otherwise transmitted within 24 hours of the collection or by the next business day.

The process described above is what takes place when the process goes smoothly. There are specific directions for handling difficult situations such as shy bladder (inability or refusal to provide adequate sample), attempts to dilute or adulterate the specimen, or refusal to be tested. Again, these details are available in the regulations or you can contact WIN with questions.

How long should this process take?

Typically, the collection itself will take less than a half hour, however, this does not including any necessary time to travel or wait time. This wait time can vary considerably from site to site and can be another factor in determining which collection site you choose to utilize.

If there are complicating factors in the collection process such as “shy bladder” the process can take much more than a half hour.

Is the collection site in the same physical location as the laboratory? How does the sample get to the laboratory for analysis?

Almost without exception, the collection site is a separate physical facility from the laboratory that performs the analysis. Once the specimen has been collected, the collection site will ship the sample to the laboratory for analysis.

The laboratory may have its own courier pick up the sample or it may utilize a third-party or next-day shipping service to ship the sample to the lab. While this shipping cost is included in your laboratory fee, do not forget the shipping time when setting your turnaround-time expectations!

Also, keep this in mind when scheduling your collections. If you send an employee / donor in for a collection in the late afternoon or evening, it is likely that the sample will sit at the collection site overnight until the courier picks it up the next afternoon. This can increase the turnaround time delay if the collection is on a Friday night or the day before a Holiday. Try to have your collections take place in the morning so the samples can be shipped out that same day.