I. PURPOSE:

The purpose of this policy and administrative procedure is to establish a urinalysis program for offenders in Department of Correction facilities.

II. POLICY STATEMENT:

It is the intent of the Department of Correction that offenders in its facilities are to be free from illicit use of both controlled and non-controlled substances. As a part of the Department’s “zero tolerance” for the illegal and inappropriate use and possession of controlled substances, the Department shall implement a urinalysis testing program that will incorporate random, follow-up, saturation, and suspect testing for the illicit use of both controlled and non-controlled substances.

All offenders in the Department of Correction shall be subject to testing through a urinalysis program. This program shall be conducted by staff with the suspected positive specimens provided by offenders sent to a selected laboratory for analysis. Initial analysis at the facility which indicates the presence of illicit use of both controlled and non-controlled substances shall be subject to a confirmation test. Additionally, this testing program shall incorporate procedures for when offenders fail to provide an adequate specimen or refuse to participate in the urinalysis program. Offenders who receive positive urinalysis results indicating the use of a controlled substance(s), who provide inadequate or adulterated specimens or who refuse to participate in the testing shall be subject to disciplinary action in accordance with the appropriate disciplinary code.

All staff involved in administering the urinalysis program shall receive training in the proper collection techniques and this policy and administrative procedure. Staff shall be trained in, and shall ensure that, correct chain-of-custody procedures are followed.

Information shall be collected on all urinalysis samples and reported in a database established and maintained by the Department. This information shall be used to measure the illicit use of both controlled and non-controlled substances within the Department.
Department and to assist in the development of appropriate treatment programming for the offender population.

III. DEFINITIONS:

For the purpose of this policy and administrative procedure, the following definitions are provided:

A. BASELINE TESTING: The testing of an offender to inform treatment decisions or program enrollment. Baseline testing establishes the bar for which future screens are compared.

B. CHAIN OF CUSTODY: The process which provides and documents the proper handling and storage of a specimen from the time it is collected until the time of its proper disposal.

C. FOLLOW-UP TESTING: The testing of a specific offender after he/she has previously tested positive to monitor whether continued illicit substance use has occurred.

D. OFFENDER: An adult or juvenile person committed to a department of correction (federal, state, or local) and housed or supervised in a facility either operated by the department of correction or with which the department of correction has a contract, including an adult or juvenile under parole supervision; under probation supervision following a commitment to a department of correction; in a minimum security assignment, including an assignment to a community transition program.

E. OFFENDER CASE MANAGEMENT SYSTEM (OCMS): The electronic database utilized by the Unit Team to record, store, and review offender data including case plans and progress reports.

F. RANDOM SAMPLE: The process to select a set sample of offenders for urinalysis testing at each facility that gives each offender in the facility an equal chance of being selected at each sampling.

G. SUBSTANCE ABUSE MANAGEMENT SYSTEM (SAMS): The computerized system that provides for management of caseloads, treatment, treatment documentation, statistical reports, and system administration.

H. SATURATION TESTING: The testing of a group of similarly situated offenders, such as those offenders on a work crew or living in the same housing unit.
I. SUSPECT/FOR CAUSE TESTING: The testing of a particular offender due to a reasonable belief that the offender may have used or be under the influence of a controlled substance.

J. UNIVERSAL PRECAUTIONS: An approach to infection control in which all human blood and certain human body fluids are treated as if known to be infectious for HIV, HBV, and other bloodborne pathogens.

K. URINALYSIS: Testing using a urine sample to determine the presence of controlled or non-controlled substances in an offender’s system.

L. URINALYSIS PROGRAM COORDINATOR: The staff person designated at the facility to oversee the implementation and coordination of the urinalysis program.

IV. URINALYSIS PROGRAM COORDINATOR:

The Warden at each facility shall designate a staff person to serve as the Urinalysis Program Coordinator. This staff person shall have responsibility for the implementation and coordination of the urinalysis program. The Urinalysis Program Coordinator shall be of the same gender as the offender population (exceptions shall be determined by the Warden).

The Warden shall determine the number of assistants to the Urinalysis Program Coordinator based upon the size and need of the facility.

The facility Computer Access designee shall submit all requests for SAMS directly to the Department’s Technology Services Division (DOCTSD) Helpdesk for those staff responsible for conducting the routine drug testing business contained within the SAMS system.

The Urinalysis Program Coordinator shall be responsible for completing all training designated by the Department and ensuring that all his/her assistants receive the designated training as well.

V. RANDOM SELECTION:

A. A randomly selected sample of the offender population at each facility shall be tested monthly. Generally, this sample shall consist of, minimally, five percent (5%) of the offender population at the facility; however, it may be necessary to select a larger sample at certain locations if it appears necessary to do so in order to obtain a statistically significant sample or if there appears to be a need for a different size sample.
This list shall be generated by the Division of Research and Technology prior to the first day of each month. This list is computer-generated and drawn from existing offender populations in the offender information systems. The Division of Research and Technology shall forward the list to the Warden prior to the first day of each month. Upon receipt of the list, the Warden shall forward the list to the Urinalysis Program Coordinator. The list shall remain in a secure location at all times and testing shall not begin until the first of the month.

B. Random testing of offenders shall be distributed throughout the month, whenever feasible (i.e., if forty [40] offenders are selected for the month, approximately ten [10] should be tested each week). If a small number of offenders is to be tested, the day of the month that testing is conducted is to be varied. The days on which specimens are collected shall include both weekdays and weekends, if feasible. Collections should occur at different times during the day, if feasible. Only the Warden or designee is to provide the names of offenders from the random list that are to be tested in the near future. The Warden or designee may waive random urinalysis on an offender whose projected release day may occur prior to receipt of the test results.

Facilities shall not use count letters or pass systems to bring offenders to the testing area for urinalysis.

VI. SUSPECT TESTING OFFENDERS (PROBABLE CAUSE/FOR CAUSE):

Testing may be conducted for offenders suspected of being under the influence of alcohol or drugs using such factors as, but not limited to:

A. Slurred speech;
B. Redness of the eyes;
C. Hyperactive behavior;
D. Absence from direct staff supervision during off-grounds activity or returning from a temporary leave or work. (For Youths: All “Temporary Leaves” are to be marked “Saturation” request type);
E. Known association and activity in drug related incident;
F. Possession of a controlled substance;
G. Loss of memory;
H. Drastic change of eating habits and appetite; or,
I. Appearance of being intoxicated with alcohol.

VII. SATURATION TESTING:

A group of offenders (by dorm, work crew, range, program, etc.) may all be tested when a high incidence of drug use or trafficking is suspected. Additionally, all
offenders returning from a temporary leave shall be tested which shall be considered a “saturation” test. Criteria for saturation testing may include, but are not limited to:

A. A high percentage of positive results from the random testing process;
B. A high incidence of trafficking offenses;
C. A high incidence of conduct violations; or,
D. Intelligence information indicating saturation testing is appropriate.

No group shall be selected for saturation testing based upon an offender’s race, religion, national origin, sex, disability, or political views.

VIII. BASELINE TESTING:

The Warden/designee or Addiction Recovery Specialists may submit a request to the Urinalysis Program Coordinator for baseline testing of an offender when testing data is required to inform treatment admission decisions.

VIII. TESTING OFFENDERS IN A WORK RELEASE/COMMUNITY RE-ENTRY PROGRAM:

Offenders assigned to a Work Release/Community Re-Entry program shall be subject to the same substance abuse testing as offenders in other facilities. Offenders in the Work Release/Community Re-Entry program shall participate in the random urinalysis program. Offenders who receive a positive test result on a random urinalysis shall be subject to a disciplinary action based upon the positive test result. However, offenders found guilty of receiving a positive test result shall not be transferred from the Work Release/Community Re-Entry program. Instead, the facility shall keep these offenders in the Work Release/Community Re-Entry program and subject them to a loss of all pass privileges, except for those to go to work. These offenders shall be referred the Substance Abuse Counselor immediately and placed in the appropriate substance abuse treatment program, if not already in treatment. Additionally, the Work Release/Community Re-Entry staff may impose any other appropriate sanctions in accordance with the disciplinary code. As offenders shall not be subject to removal from the Work Release/Community Re-Entry program or deprived of earned Credit Time or demotion in Credit Class for the first positive test result, it shall not be necessary to hold these offenders in the Work Release/Community Re-Entry Center pending the test results.

Offenders in the Work Release/Community Re-Entry program who receive a positive test result on any urinalysis other than the initial test, including on a follow-up urinalysis based upon an initial positive test result, shall be subject to a disciplinary action, including removal from the Work Release/Community Re-Entry program. These offenders shall be considered a threat to the safety and security of
the facility, transferred from the Work Release/Community Re-Entry program to a higher security level and subject to demotion in Credit Class and the loss of earned Credit Time. Any offender in the Work Release/Community Re-Entry program who has previously received a positive test result shall be held in the facility pending receipt of the urinalysis results.

IX. TESTING OF OFFENDERS ON PAROLE STATUS:

Offenders on Parole status shall be subject to random and for cause testing in accordance with the division directives developed by the Division of Parole Services. Parolees who receive positive results from a urinalysis, shall be subject to a disciplinary action which may include return to a Department facility as a parole violator and a hearing before the Indiana Parole Board.

X. OBTAINING A SPECIMEN (See Facility Directive):

The Division of Staff Development and Training shall develop a lesson plan to provide training to Urinalysis Program Coordinators and assistants in the technical aspects of various drug testing systems and collection of specimens.

A. Staff of the same gender as the offender being tested shall directly supervise the process of obtaining the urine specimen.

B. Any staff member observing and/or obtaining the urine specimen shall observe all Universal Precautions procedures. All staff shall wear latex exam gloves at all times when handling the specimen bottle.

C. No waiting period or extra time need be allowed for an offender who directly and specifically refuses to provide a urine specimen. Refusal to submit a urine specimen is considered the same as receiving a positive test result and shall subject the offender to disciplinary action under the appropriate disciplinary process.

D. An offender is expected to provide a urine specimen within two (2) hours of the request. To assist the offender in providing the specimen, staff shall offer the offender no more than eight (8) ounces of water at the beginning of the two-hour time period, if requested.

E. To reduce the possibility of diluted or adulterated specimens, staff shall keep the offender under direct visual supervision during this two-hour period, or until a specimen is furnished. Where direct supervision is not practical throughout a lengthy waiting period, one (1) of the following two (2) procedures shall be utilized by staff:
1. If the offender fails to provide an adequate sample on the initial attempt, staff shall empty the sample and keep the offender confined. Within the original two-hour time frame, staff shall give the offender a new specimen bottle and directly supervise the offender when he/she indicates the ability to again attempt to provide a specimen.

2. Staff may provide indirect supervision (e.g., confinement in a dry room or cell or other secure restricted area). Reasonable precautions shall be implemented to ensure the offender is not able to dilute or adulterate the specimen (e.g., strip searches, no access to water, chemical, detergents, bluing agents in toilet, etc.) A facility directive shall be developed, in accordance with Policy and Administrative Procedure 00-04-101, “The Development, Approval, and Implementation of Policy,” by each facility to specifically identify the location to be used for this purpose.

F. An offender may also be dry celled, at the discretion of the Shift Supervisor, if there is adequate reason to believe the offender has a history of difficulty in providing an observed specimen. The same precautions described in Procedure X, E, 2 shall be followed.

G. In obtaining the urine specimen, if at all possible, the offender should submit enough urine to fill the entire specimen bottle but no less than the amount required to perform the initial testing. If an offender refuses to provide a urine specimen within the allotted time, staff shall document that the offender refused to provide a specimen. The waiting period and amount of water given shall be documented in the conduct report.

1. The facility shall designate a specific location where offender urine specimens can be collected that includes a desk or table and chair where the staff person collecting the sample can test the sample, complete the chain-of-custody and prepare the sample for transport to the laboratory, if necessary. Additionally, this space shall ensure for an adequate amount of privacy for the offender providing the urine specimen while allowing the staff person the proper ability to observe the providing of the specimen.

2. When possible a second staff person should be available to observe the collection and testing process and to serve as a back-up for the primary staff person.

3. The staff person shall give the offender a sealed specimen cup and advise the offender that he/she should attempt to fill the cup as much as possible with urine.
4. The staff person shall observe the offender while the offender is providing the specimen as indicated above.

H. If the result is positive, and the offender does not admit to using the substance detected, the staff person shall complete the pre-printed chain-of-custody form to send the specimen to the laboratory for confirmation testing. The staff person shall remove the “Security Seal” and bar code from the chain of custody form and secure the “Security Seal” over the lid of the cup and the bar code to the cup. Once the “Security Seal” is attached, the offender shall initial the “Security Seal.”

The Urinalysis Program Coordinator shall be responsible for entering the results of the specimen testing after the laboratory results are returned to the facility. If the lab results confirm a positive result, a conduct report for violation of the disciplinary code shall be submitted, in accordance with Policy and Administrative Procedure 02-04-101, “The Disciplinary Code for Adult Offenders,” after the results are entered into SAMS.

If the result is positive and the offender signs the admission of guilt, the specimen shall not be sent for laboratory confirmation. The positive result shall be documented in OCMS and SAMS and conduct report for violation of the disciplinary code shall be submitted, in accordance with Policy and Administrative Procedure 02-04-101, “The Disciplinary Code for Adult Offenders.”

I. If the result is negative, the urine specimen may be disposed of in accordance with proper safety/hygiene precautions. The negative result shall be documented in OCMS and SAMS.

J. The Shift Supervisor, Physician or Health Services staff, at their discretion, may increase the amount of water consumed, particularly in hot weather, and/or extend this two (2) hour period an additional hour where warranted by the specific situation. (e.g., where the offender has a documented medical or psychological problem, or where the offender may be dehydrated).

K. Re-testing at the offender’s request is not permitted on a positive test result.

L. Offenders who refuse to give a urine specimen or test positive to a urine test shall be disciplined. Additionally, offenders may be charged with the appropriate disciplinary code violation for refusal to submit to a test on the basis of failure to provide an adequate specimen for testing.
NOTE: A positive result represents unauthorized use when that use has not been approved by authorized Health Services personnel.

M. If it is determined by the laboratory that a urine specimen has been adulterated or diluted, the offender shall be re-tested as soon as possible. Special precautions shall be taken to ensure that the offender does not have the opportunity to adulterate or dilute the new specimen. Specimens that are returned from the laboratory as either diluted OR positive shall be treated as any other positive test result. However, a diluted negative sample CANNOT be considered as a positive test result. If any offender’s results repeatedly are returned as diluted, Health Services staff shall be consulted to determine if the offender is on medication that could cause the diluted results.

N. Offenders who test positive for unauthorized use of a controlled substance or alcohol or refuse to submit to a test shall be re-tested monthly for a period of three (3) months following the receipt of the positive test results or refusal. These offenders shall remain on the follow-up testing schedule until they complete a three (3) month testing cycle with no positive test results. This testing shall be in addition to the random testing being conducted monthly. The first retest should be conducted at least thirty (30) days from the original test.

O. If a urine sample tests positive for a controlled substance, facility staff shall determine if the positive result occurred due to use of an authorized medication prior to sending the specimen to the laboratory for confirmation testing. Health Services staff (or staff authorized by the Warden) shall contact the laboratory toxicologist to determine if the positive result may have been the result of an authorized medication. If the positive result was due to an authorized medication, the sample shall not be sent to the laboratory but shall be entered into the database by the Urinalysis Program Coordinator as an “Authorized Positive.”

P. The Urinalysis Program Coordinator shall be responsible for monitoring all facility testing and sample data entry for all testing results, including: Instant test negatives, confessed positives, and specimens submitted to the laboratory for GCMS confirmation (Negative or Positive results from laboratory reports after GCMS confirmation testing) using the data entry screens in SAMS.

Q. When a Conduct Report is written on a positive test result, the date of incident shall be the date the positive result of the confirmation test was received from the laboratory.
If the offender has been transferred to another Department facility while awaiting test results, the facility where he/she tested positive shall be responsible for entering the test results into OCMS and SAMS.

R. Central Office shall generate the monthly executive staff cumulative drug testing reports on the 10th of each month (Or next business day, when the 10th falls on a weekend or holiday) for the prior month of testing. Central Office will not be monitoring the data entry. The reports will reflect the data entered into the system as of date the reports are issued.

S. The Urinalysis Program Coordinator shall report all offenders with positive urinalysis results to the respective Unit Team Manager, who shall cause the offender to receive a referral for Addiction Recovery Services.

All test results shall be entered into the database by the Urinalysis Program Coordinator via the data entry screens available in the SAMS or Parole OCMS systems.

XI. CHAIN-OF-CUSTODY:

A. All staff collecting specimens shall have documented training in Collection and chain-of-custody procedures. The approved Preliminary Drug Screen Result and laboratory chain-of-custody forms shall be used for documenting urine specimen collection. All chain of custody forms shall be completed in non-erasable ink. Only permanent ink and no liquid paper/white-out supplies shall be used on the chain-of-custody forms.

B. The staff member who observes the specimen collection or receives the specimen directly from the offender shall complete the approved Preliminary Drug Screen Result form and, if the result of the initial drug screen is “positive,” the pre-printed laboratory chain-of-custody form shall be completed.

C. The collection date and time on the chain-of-custody forms shall be completed by the collector.

D. The collector shall print the offender’s name. The collector shall verify the identity of the offender by looking at the offender’s Department Identification Card and ensuring that it matches the offender. The offender's Department of Correction number shall be placed in the ID section of the chain-of-custody form. The Urinalysis Program Coordinator shall ensure that all information requested on the chain-of-custody forms is provided.
E. The request type section of the chain-of-custody form shall be appropriately marked by the collector to indicate if the test was Random, Follow-up, For Cause, Saturation, or Baseline.

F. The collector shall provide the specimen bottle to the offender. The collector shall directly observe the offender urinate into the bottle as indicated in Procedure X, E. The offender shall then place the cap on the collection bottle, ensuring that the cap is closed as tightly as possible.

G. The collector shall verify the specimen temperature is within the specified range.

H. The collector shall place the seal over the bottle, centered over the cap, ensuring that all tape edges lay flat. On Step 3 of the chain-of-custody form, the collector shall check all suspect positive substances from the I-cup test that are to be GCMS confirmed. The collector must hand print “BUP-5292” to request Buprenorphine/Suboxone GCMS next to the pre-printed substance options on the Urine Drug Testing Custody and Control form. Staff shall either check or circle the hand-printed BUP-5292 request.

I. The collector shall have the offender initial the white tamper proof Security Seal, if the initial drug screen result is positive and the specimen shall be sent to the laboratory for confirmation testing. If the offender refuses to initial the Security Seal, the collector shall note on the seal that the offender refused to initial the seal. The collector shall then initial the white tamper proof seal.

J. The collector shall place the individually sealed specimens into the large zip-lock style bag. All specimens must be secured within the zip-lock bag.

K. The collector shall have the offender sign and date the Donor's Signature section of the chain-of-custody form. If the offender refuses to sign, the collector shall note the offender’s refusal in the Donor's signature section, then initial and date this section.

L. The collector shall sign and date the Collector's Signature section of the chain-of-custody form.

M. The collector shall place the top copies of the chain-of-custody form in the box (outside the zip-lock bag). The FedEx Large Clinical Box shall be sealed and a preprinted FedEx Express Billable Stamp for FedEx Standard Overnight shipping. The collector shall keep the bottom copy of the chain-of-custody form for retention by the facility.

N. Specimens shall be stored in a secured area until shipped.
O. Specimens shall be shipped within twenty-four (24) hours of specimen collection, whenever possible.

XII. FACILITIES WITH HIGH INCIDENCES OF POSTIVE URINALYSES:

A. When a facility’s positive urinalysis screens reach five percent (5%) of total urinalysis screens for the month, the following shall be implemented until the facility’s positive urinalysis screens drop below five percent (5%):

1. If the facility operates a K-9 unit, the facility shall utilize a K-9 unit at the front entrance in accordance with Section 15 of the Department Emergency Manual during visitation hours and shift changes; and,

2. Offenders entering the Visiting Area for a visit shall be required to change into a “visitation jumpsuit,” prior to the visit. After the visit and subsequent strip search, the offender shall switch back to his/her original clothes before returning to the housing unit, work assignment, or program.

B. When a facility’s positive urinalysis screens reach ten percent (10%) for the month, the following shall be implemented until the facility’s positive urinalysis screens drop below ten percent (10%), at which time the facility shall revert to the procedures of A, 1, and 2, of this section:

1. If the facility operates a K-9 unit, the facility shall utilize a K-9 unit at the front entrance in accordance with Section 15 of the Department Emergency Manual during visitation hours and shift changes; and,

2. Offenders entering the Visiting Area for a visit shall be required to change into a “visitation jumpsuit,” prior to the visit. After the visit and subsequent strip search, the offender shall switch back to his/her original clothes before returning to the housing unit, work assignment, or program.

3. During visitation, offenders and visitors shall not be allowed to share food or beverages;

4. The facility shall implement “no-contact” visitation. This is not to be confused with “non-contact” visitation. No-contact visitation is the prohibition of hugging and kissing at the beginning and end of the visit, and no hand-holding during the visit; and,
5. At the Warden’s discretion, offender incoming correspondence shall be photocopied. The offender shall receive photocopies of all authorized correspondence.

XIII. RESTITUTION FOR COST OF CONFIRMATION TEST:

If the results of the initial drug screen are positive, the offender shall be advised of the results. The offender shall be advised that the specimen will be sent to the designated laboratory for a confirmation test. The offender shall also be advised that if the results of the confirmation test support the initial positive result the offender shall be charged with a violation of the applicable Disciplinary Code. Additionally, the offender shall be advised that if he/she is found guilty of this violation, he/she shall be required to pay restitution in the amount of the cost of the confirmation test, as well as any other appropriate sanctions.

The offender shall also be given the opportunity to enter a plea of guilty to using a controlled substance in violation of the applicable Disciplinary Code. Staff shall explain to the offender that the results of the initial drug screen indicated that the offender had used a controlled substance and that the offender may enter a plea of guilty at this time and avoid the potential cost for the confirmation test, if it confirms the presence of a controlled substance. If the offender indicates that he/she wishes to plead guilty to the possession and/or use of a controlled substance, the offender shall be asked to read and sign, “Admission of Guilt to Using Possessing Controlled Substance.” The offender shall be advised that by admitting guilt and signing this form, the offender will be waiving certain rights as indicated on the form and that the offender shall not have the specimen submitted to the laboratory for a confirmation test. The offender shall also be advised that he/she will be subject to any disciplinary sanctions deemed appropriate in accordance with the applicable Disciplinary Code. Additionally, the offender shall be assessed restitution for the cost of the initial test. If the offender admits guilt and signs this form, the staff person collecting the sample shall sign the form as a witness and shall forward the form to the staff that will be responsible for hearing the Disciplinary case.

Offenders who receive positive test results to the initial drug screen and who do not admit guilt shall be advised that the specimen will be forwarded to the approved laboratory for a confirmation test. The offender shall also be advised that if the confirmation test also results in a positive finding for controlled substances, the offender shall be charged with a violation of the applicable Disciplinary Code. Additionally, the offender shall be advised that if he/she is found guilty in a hearing, as a sanction, the offender will be assessed restitution for the initial test and the confirmation test.
When “Suboxone” GCMS confirmation is requested, restitution shall be charged for the I-cup, and the I-cup confirmation fee for each confirmed drug. Total restitution depends on total confirmed drugs.

Offenders whose initial test result is negative or whose confirmation test is negative shall not be charged for the cost of the initial drug screening or the confirmation test.

XIV. OBTAINING DRUG TESTING SUPPLIES:

Facilities shall order all drug test supplies (Single Panel Dip tests, I-cups, Preliminary Result forms, Chain-of-Custody forms, and shipping supplies) from the Uniform Distribution Center (UDC) in lots of twenty-five (25) tests. The facilities shall use the normal procedures for ordering the drug test kits that are used for ordering uniform and other items from the UDC. Each Facility shall be billed monthly by Central Office for drug testing supply items requested from the UDC.

XV. TEST RECORDS:

A. A copy of all laboratory result reports (positive and negative) shall be retained in the Disciplinary Section of the Offender’s Facility Packet.

B. If an offender requests a copy of a positive or negative test result, the facility shall provide the offender with a copy of the report in accordance with Policy and Administrative Procedure 01-04-104, “The Establishment, Maintenance and Disposition of Offender Records.”

XVI. QUALITY ASSURANCE:

The Division of Research and Technology shall provide quality assurance measures by auditing the monthly lists of offenders selected, by name, for random testing against the urinalyses obtained.

XVII. APPLICABILITY:

This policy and administrative procedure is applicable to all adult facilities and their staff, including any facilities contracting with the Department to house offenders, and all offenders in those facilities.

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Robert E. Carter, Jr.     Date
Commissioner