



Racing New South Wales

Guidelines for Human Urine Collection

Version 3.0

Adopted by Racing NSW Board 21 February 2011

Amended 15 March 2018

INDEX

Page 3	1. OBJECTIVES
Page 3	2. SCOPE
Page 3	3. RULES OF RACING
Page 5	4. TESTING KITS
Page 7	5. PERSONNEL
Page 8	6. PROCEDURES FOR THE SAMPLING PROCESS
Page 11	7. PACKAGING & SECURITY
Page 15	8. CUSTODY & TRANSPORTATION
Page 17	9. ANALYSIS & RESULTS

1. OBJECTIVES

These guidelines detail the recommended procedures to adopt for the collection of human urine samples by Swab Officials or Stewards. The guidelines identify the Rules of Racing pertaining to this sampling, along with an explanation of the contents of testing kits and procedures to adopt when conducting drug testing. The guidelines should be strictly adhered to by persons partaking in the testing process, as they ensure the integrity of the sample at all times.

2. SCOPE

These guidelines commence with the selection process of persons to supply a urine sample and conclude with the transportation of the samples to the Australian Racing Forensic Laboratory (ARFL) for analysis.

3. RULES OF RACING

AR 8(jj) – Powers to order sample be taken

AR8 – To assist in the control of racing, Stewards shall be appointed according to the Rules of the respective Principal Racing Authorities, with the following powers:-

(jj) To take or cause to be taken from any Donor either prior to or after riding in any race, trial or trackwork any sample, and to make or caused to be made any test to determine whether any banned substance defined in AR 81B is present in such sample.

AR 81(4) – Obligation to provide under rules

It shall be a condition precedent to the granting under this rule of any licence or permit or permission to ride that the applicant undertakes to submit, prior to, during or after fulfilling his riding engagements in any race, official trial, jump out or riding trackwork to any tests that are intended to detect in his body the presence of any alcohol or drug or its metabolites or artefacts.

AR81A(1) - Offences

AR 81A(1) - Any Donor commits an offence and may be penalised if-

- (a) a sample taken from him is found upon analysis to contain the presence of a substance banned by AR81B;
or
(b) He refuses or fails to deliver a sample as directed by the Stewards to do so.

LR82B – Offences

(1) Any person employed by or assisting a trainer in the training, care or superintendence of a racehorse upon any racecourse, training centre or registered stable commits an offence and may be penalised if

(a) a sample taken from him/her is found upon analysis to contain the presence of a substance banned by AR81B; or

(c) he/she refuses or fails to deliver a sample as directed.

AR 81B – Banned Substances

The following substances and/or their metabolites, artefacts and isomers are declared as banned substances in Donors when present in a urine sample (unless otherwise stated) at a concentration above the applicable cut-off level::

Lysergic acid diethylamide (LSD) (0µg/L);

All barbiturates (0µg/L);

11-Nor-delta-9-tetrahydrocannabinol-9-carboxylic acid (15µg/L):

All diuretics (0µg/L):

Probenecid: (0µg/L)

Alcohol (at a concentration in excess of 0.02% on a breath analyser):

All stimulants – substances in this group include, but are not restricted to, Amphetamine (150µg/L): Methylamphetamine (150µg/L): Methylenedioxyamphetamine (MDA) (150µg/L): Methylenedioxyethylamphetamine (MDEA)(150µg/L): Methylenedioxymethylamphetamine (MDMA) (150µg/L): Methylphenidate (0µg/L): Modafinil (0µg/L): Cocaine (100µg/L): Ephedrine (10,000µg/L).

Substances in this group excluded are: Levo-amphetamine: Levo-methylamphetamine: Phenylpropanolamine: Pseudoephedrine.

All anorectics – substances in this group include, but are not restricted to, Phentermine (500µg/L): Diethylpropion (0µg/L): Sibutramine (0µg/L).

All opiates and opioids – substances in this group include, but are not restricted to, Morphine (0µg/L), (save as specified by AR.81C) : Codeine (0µg/L), (save as specified in AR.81C): Oxycodone (0µg/L): Fentanyl (0µg/L): Alfentanil (0µg/L): Pethidine (0µg/L): Methadone (0µg/L): Heroin (0µg/L): Monoacetylmorphine (0µg/L): Hydromorphone (0µg/L):Buprenorphine (0µg/L).

Substances in this group excluded are: Dihydrocodeine: Dextromethorphan: Pholcodine: Propoxyphene: Tramadol

All dissociative anaesthetics and related substances – substances in this group include, but are not restricted to: Ketamine (0µg/L): Phencyclidine (0µg/L): Tiletamine (0µg/L).

Gamma-hydroxybutyrate (GHB) and pro-drugs of GHB (1,4-butanediol: gammabutyrolactone) (10,000µg/L).

*Benzylpiperazine (500 µg/L) and phenylpiperazine (0µg/L) and their derivatives (0µg/L).
Tryptamine derivatives (0µg/L) (e.g. dimethyltryptamine: alphamethyltryptamine:
hydroxydimethyltryptamine and related substances)*

All benzodiazepines – substances in this group include: but are not restricted to: Diazepam (200µg/L): Nordiazepam (200µg/L): Oxazepam (200µg/L): Temazepam (200µg/L): Alprazolam (100µg/L, as alpha-hydroxyalprazolam): Clonazepam (100µg/L, as 7-aminoclonazepam): Flunitrazepam (100 µg/L, as 7-aminoflunitrazepam): Nitrazepam (100µg/L, as 7-aminonitrazepam): Bromazepam (0µg/L): Clobazam (0µg/L): Flumazenil (0µg/L): Lorazepam (0µg/L): Midazolam (0µg/L): Triazolam (0µg/L): and substances with similar structure or pharmacological activity – benzodiazepine receptor agonists (zalplon: zolpidem: zopiclone).

4. TESTING KITS

4.1 LARGE TESTING KIT



- Green cool carry bag with security bag label attached
- Yellow plastic outgoing seal which seals the zip of the bag
- Bar-coded Sampling kit ID label
- Client identity tag
- Inside the bag is:
 - Orange plastic return seal
 - 8 x Human sample packs consisting of: numbered self-sealing TRI-PAK bag; 1 x Yellow capped bottle with temperature strip, 1 x white capped bottle (B Sample), one red capped bottle containing control solution; a pair of disposable gloves and one ARFL Sample Identity Card
 - 1 x Icepack
 - Sample Kit Audit Document

4.2 SMALL TESTING KIT



- Blue cool carry bag with security bag label attached
- Yellow plastic outgoing seal which seals the zip of the bag
- Bar-coded Sampling kit ID label
- Client identity tag
- Inside the bag is:
 - Orange plastic return seal
 - 2 x Human sample packs consisting of: numbered self-sealing TRI-PAK bag; 1 x Yellow capped bottle with temperature strip, 1 x white capped bottle (B Sample), one red capped bottle containing control solution; a pair of disposable gloves and one ARFL Sample Identity Card
 - 1 x Icepack
 - Sample Kit Audit Document

Note:

The **TRI-PAK** number is usually the same as the **Sample Identity Card** number. If the number on the card does not match the TRI-PAK number use the number on the card for the sample and record the TRI-PAK number in a blank area on parts A and B of the Sample Identity Card. Make a comment on the Sample Kit Audit Document to that effect.

5. PERSONNEL

The selected **SAMPLE DONOR** (hereinafter referred to as 'Donor')
The donor's **INDEPENDENT WITNESS** (hereinafter referred to as 'Witness')
DRUG SAMPLING OFFICIAL (hereinafter referred to as 'Official')

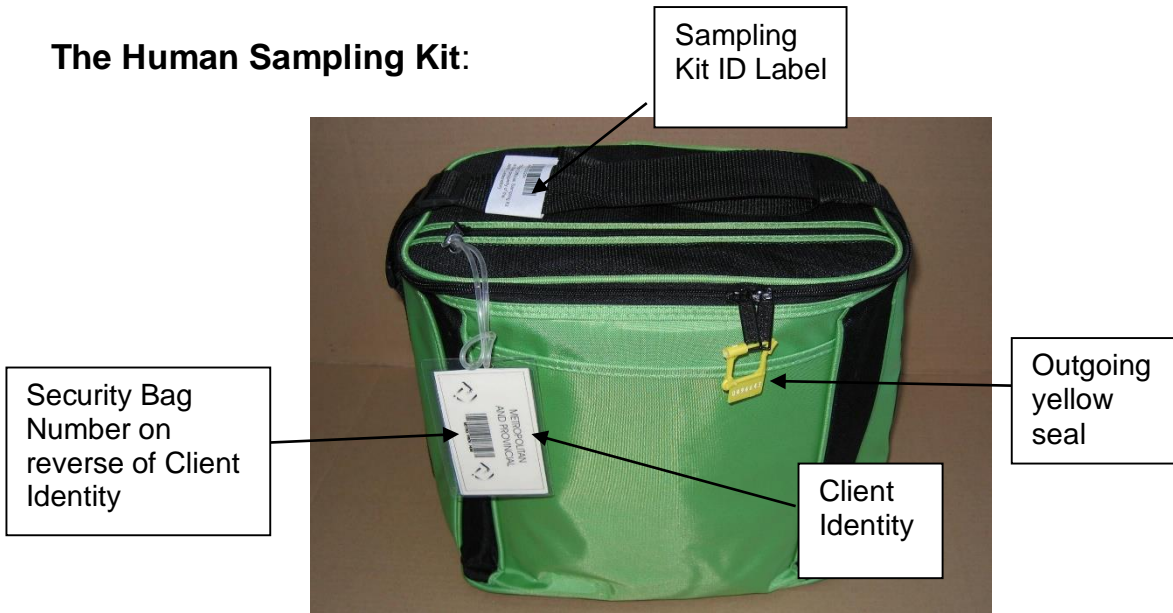
Note: In the case of a female donor, a female club medical officer, or another suitable appointed female, should whenever possible, act as the Official to witness the collection of the sample.

- 5.1 The Stewards shall direct the selected Donor under the Rules of Racing that a urine sample must be provided and give details as to the appointed time for collection and the location of the collection area. If a behavioural problem is observed, then the Stewards may direct such Donor immediately provide a urine sample and the Stewards may make such orders as they see fit in regards to the fulfilling of further riding engagements / work commitments by such Donor on the day.
- 5.2 Prior to the commencement of the taking of the sample, the Donor shall nominate a Witness. If the Donor refuses or is unable to do so the Official must nominate a suitable person to witness the procedure. **Witnessing of the sample collection process must occur.**
- 5.3 If a witness is not nominated or available, the donor may waive their right to an independent witness by nominating the Drug Sampling Official as the witness to the collection, sealing and packaging of the sample. A Nomination of Witness - Human Sampling form must be completed.
- 5.4 When the Donor advises he/she is ready to provide a sample, such Donor, the Witness and the Official will proceed to a designated collection area.
- 5.5 The Official shall inform the Donor of the collection process and that he/she has been selected to provide a urine sample which will be analysed for substances banned by the Rules of Racing as defined in AR81B.
- 5.6 Donors may request drinks to assist in providing a urine sample. These must be in the form of drinks from sealed containers or directly from a water fountain or tap and **must be supervised.**

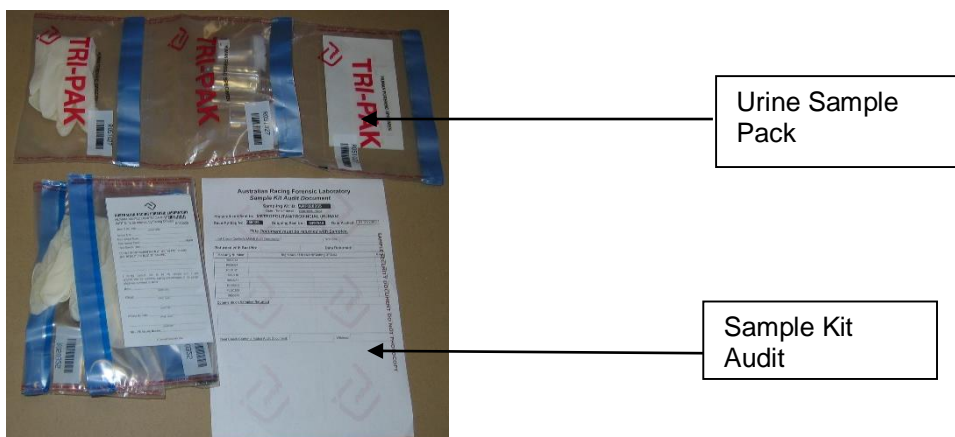
6. PROCEDURES

Ensure that all security guidelines are followed during sample collection and any comments are recorded on the Sample Kit Audit Document

The Human Sampling Kit:

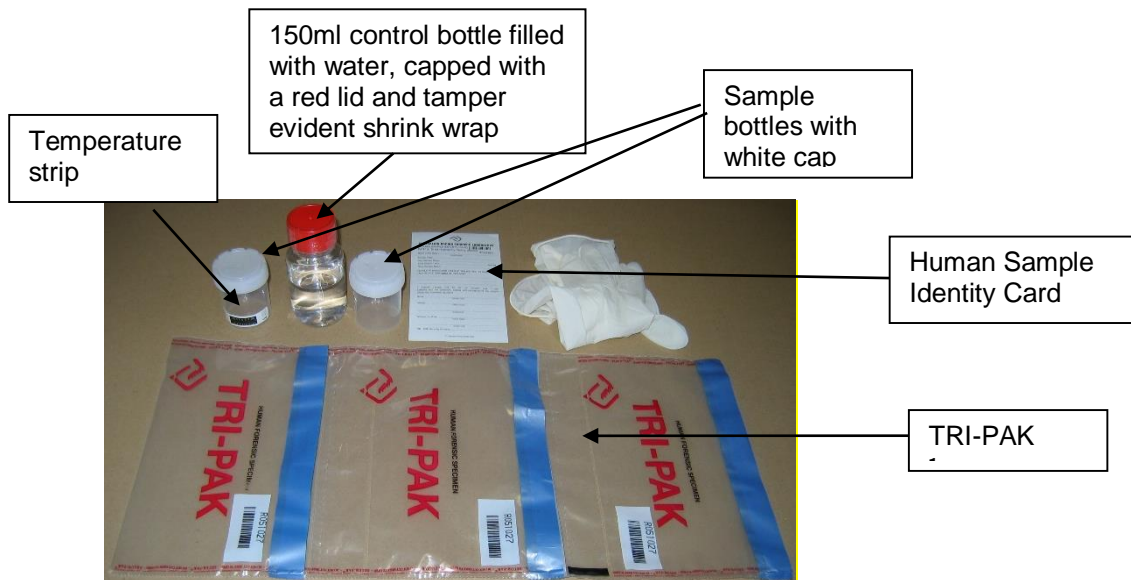


6.1 After opening the Sampling Kit, the Official must cross check the sampling kit and contents with the Sample Kit Audit Document. This check requires a witness. Sign the Sample Kit Audit Document after the Initial Check has been done.



Note: the security number is the Sample Identity Card/TRI-PAK number of the sample packs dispatched in the kit.

- 6.2 The Official shall place the ice pack into a freezer if available.
- 6.3 Prior to the commencement of the collection, the Donor shall wash and dry his/her hands. The Official shall direct that there be no unauthorized voiding of the bladder and be vigilant of any apparatus or adulterant.
- 6.4 The Official shall obtain a sample pack for the sample and place the contents onto the bench.



Note: At all times the sample bottles shall be kept under supervision to ensure the integrity of the sample.

- 6.5 The Official must place the disposable gloves on his/her hands.
- 6.6 The Official shall open the red-capped plastic bottle containing the control solution. In clear view of the witness, rinse the two empty white & yellow capped bottles with the control solution and return the rinsing to the red-capped plastic bottle. Place the red lid firmly back on the control bottle so that the control solution will not leak.
- 6.7 The Official shall hand the rinsed yellow capped bottle, that has the **temperature indicator strip attached**, to the Donor and direct that he/she donate a sample of his/her urine into the bottle.
- 6.8 The Official and the Witness shall then accompany the Donor to the collection area and the Official shall physically observe the donating of the sample. At all times the other bottles shall be kept under supervision to ensure the integrity of the sample.
- 6.9 After the sample is donated, the parties return to the preparation area. The Official shall ensure the temperature indicated on the strip is between 38°C and 32°C. If the temperature is less than 32°C the

Official may require the Donor to deliver another sample. In such circumstances, the sample shall be sealed in accordance with these protocols and a notation made that it did not reach the required temperature.

- 6.10 The Donor shall be directed by the Official to pour half of the sample into the other white capped bottle. Both bottles should contain an approximately equal amount of urine. There should be at least 40 mls in each bottle and if the Donor is unable to supply the required amount of urine at that time, the samples should be sealed in accordance with these protocols and the procedure repeated using a fresh sampling kit.

Note: that the laboratory may reject the sample if the volume in either bottle is less than 10 mls.

- 6.11 The Official must secure the lids **firmly**, to ensure the contents will not leak. The disposable gloves may now be removed.

- 6.12 In the event of the donor being unable to supply a sample of their urine at the first attempt, following a period deemed reasonable by the Official, the Official in the presence of the donor and witness shall whenever circumstances permit render the sample test kit void. A new sample kit shall then be used at the next collection attempt.

- 6.13 Should an additional test kit not be available to the official the original test kit may be re-used subject to the following conditions:-

6.13.1 The original testing kit be repackaged with both the empty urine bottles and the control bottle (including control solution) placed back into the tri-bag along with the Sample Identity card, bottle seals and gloves.

6.13.2 The sample identity number is to be provided by the Official to the Donor and Witness for future reference.

6.13.3 The Official shall complete an Human Urine Sample – Reuse of Sample Kit form that must be signed by the Donor and Witness, to acknowledge the sample pack has been reused but has been under supervision.

6.13.4 The sample test kit is then placed back into the Security Bag and the Security Bag is to be stored in a secure environment, preferably a lockable swab facility or alternatively remain under the supervision of the Official.

6.13.5 Subject to the Donor advising he/she is now able to provide a sample the Official shall remove the original testing kit from the security bag and provide the Donor and Witness with the sample identity number to ensure the original test kit is being used again.

- 6.13.6 The Official shall in the presence of the Donor and Witness repeat steps 5.3 to 5.11 including the re-rinsing of both urine bottles with the control solution.

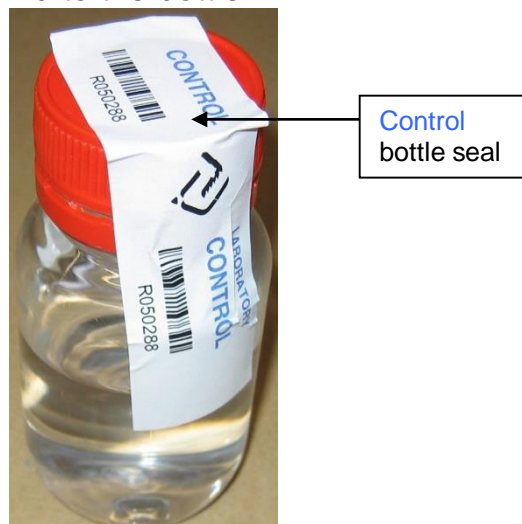
7. PACKAGING & SECURITY

- 7.1 The Donor, Witness and Official must check that the number on the ARFL Sample Identity Card is also the number on the seals at the back of the card and on the TRI-PAK bag.



Note: Part B of the card is a carbon copy of Part A, therefore whatever is written on Part A will also be written on Part B.

- 7.2 The Official must promptly place the blue seal labelled “**CONTROL**” over the top of the red lid of the bottle of control solution and down each side of the bottle, sealing the lid to the bottle.



7.3 The Official must promptly seal the two bottles filled with urine similarly with the two remaining seals.



7.4 The Official must record details on the ARFL Sample Identity Card part A (and therefore part B).

Note: No one should sign the card until all procedures are complete.

The Official must complete Part C of the card for the following:

- Date and CLIENT. "Client" refers to the local racing authority (eg, in Sydney metropolitan, either AJC or STC).
- Complete the details of medication.
- Tick the relevant sample type (eg, Jockey)
- Enter the TRI-PAK bag Security Number.

IT IS IMPERATIVE THAT ALL DETAILS OF MEDICATION TAKEN WITHIN THE PAST 14 DAYS ARE DECLARED BY THE DONOR.

AUSTRALIAN RACING FORENSIC LABORATORY
HUMAN SAMPLE IDENTITY CARD R050043
PART C

DETAILS OF MEDICATION TAKEN WITHIN THE PAST 14 DAYS
(ALL MEDICATIONS MUST BE DECLARED)

TICK ONE
 JOCKEY TRAINER OTHER

TRI - PAK Security Number.....

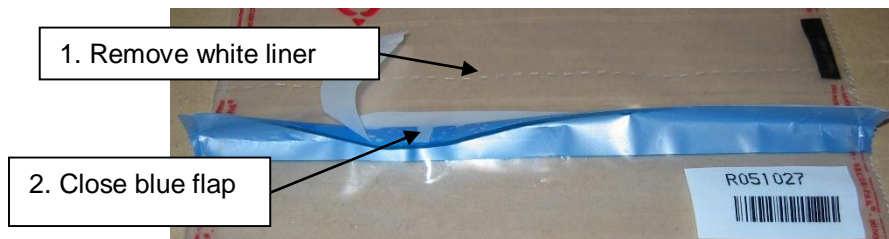
PART C: Place in with a urine sample prior to sealing
DO NOT FOLD

© Copyright Racing NSW 2004

7.5 **The Official must place the sealed bottle containing the control solution in the centre pouch of the TRI-PAK Bag.** Place the two sealed bottles containing urine into the **end pouches** of the TRI-PAK Bag. The three bottles must be placed **the same way up**. **Place Part C of the Sample Identity Card in the end pouch**, which contains the most urine. **Ensure details on the card are visible through the TRI-PAK Bag.**

Note: Do **NOT** place Part C of the Sample Identity Card with the bottle containing the control solution

7.6 The Official must remove trapped air from one of the pouches of the TRI-PAK Bag, turn over the blue flap and remove the white liner strip. Then **press the blue tape down firmly from the centre to the edges to seal the pouch.** Request that the Donor and witness confirm the security of the seal.



Repeat the above for the remaining two pouches.

Note: If the original TRI-PAK bag is damaged as a result of packaging the sample or Part C of the Sample Identity Card is inadvertently omitted from its contents the re-opening of the TRI-PAK Bag must only be done in the presence of the Donor and the Witness. A replacement TRI-PAK Bag may be taken from the same sampling kit. It will be necessary to note the new TRI-PAK Bag Security Number on parts A, B and C of the Sample Identity Card as it replaces the original TRI-PAK bag security number. The new number must be initialled by both the Donor and the Official, noting this change. The original TRI-PAK® Bag is returned to the Sampling Kit and all changes noted on the audit document of the Sampling Kit. The sample identity card associated with the replacement TRI-PAK bag must be returned to the sampling kit.

7.7 The Official must ensure that the Donor and Witness are satisfied with the collection and packaging procedures. If so, then the Donor and Witness must sign Part A (and therefore Part B) of the Sample Identity Card.

7.8 The Official must then sign where indicated on Part A (and therefore Part B) of the Sample Identity Card and give the Donor Part B, and ensure that Part A of the Sample Identity Card is retained for the Stewards.

- 7.9 The Official must place the Sample Pack containing the urine samples and control solution into the Sampling Kit, which is kept in a secure, preferably cool location. Ensure that the bottles stand upright.
- 7.10 The Official signs the Sample Kit Audit Document in the space immediately to the right of the “Security Number” for the urine sample collected, and tick in the relevant space under “Used”.
- 7.11 The Official must record any discrepancies in the packaging and sealing of the sample in the section “Comments on Samples Returned”.
- 7.12 The Official must return all unused and voided sample packs in the Sampling Kit in which they were originally dispatched.
Note: When the control bottle is removed from a sample pack and the seal is broken but then **NOT** used, empty the contents. Do **NOT** replace the red cap back on the control bottle. Return the cap and the bottle separated in the Sampling Kit.
- 7.13 The Official, when the Sampling Kit is filled with its complement of samples and unused sample packs, must enter the orange return security seal number and the “Date Returned” (the date sample was taken) in their appropriate locations on the Sample Kit Audit Document.
- 7.14 The Official must crosscheck the Sampling Kit and contents with the Sample Kit Audit Document for the following:
- Sampling kit ID number
 - Number of samples
 - Sample security numbers
 - Signatures and ticks for used sample packs
- This crosscheck requires a witness.**
- 7.15 The Official must sign the Sample Kit Audit Document after the Final Check has been done. The witness also signs the Sample Kit Audit Document. Place the document in the sampling kit.
- 7.16 Place the frozen ice-pack into the sampling kit.
- 7.17 The Official must seal the Security Bag after the zipper is closed with the orange return security seal (located in bottom of the Cool Carry bag). Ensure that the return seal is completely closed.

The sampling kit should be kept upright and cool and must be sent as soon as possible to the Australian Racing Forensic Laboratory. If the kit cannot be dispatched on the day of collection the samples must be refrigerated.

8. CUSTODY & TRANSPORTATION

- 8.1 Following the sealing of the security bag the Human Sample Custody Document (annexure a) must be completed by the Official signing the samples over the relevant Official/Steward who is responsible for the transportation of the sample to the Australian Racing Forensic Laboratory.
- 8.2 At each stage the samples change custody during transportation the document must be completed.

9. ANALYSIS & RESULTS

- 9.1 All Human Samples shall be submitted to the Australian Racing Forensic Laboratory (ARFL) for analysis for the detection of banned substances in accordance with AR81B.
- 9.2 Upon notification from the ARFL that it has detected a banned substance in accordance with AR81B in a urine sample, the Stewards shall notify the Donor of such finding and under the provisions of AR81A(3) may stand down such person from riding.
- 9.3 The donor may request that the “B” sample and/or the control solution be analysed by an Official Racing Laboratory. Such request must be relayed to the Stewards within 24 hours of the donor being notified of the result.
- 9.4 Should no such request be made the result and certification of the “A” sample from the ARFL shall be prima facie evidence that a banned substance was found to be present in the urine sample referred to.



Record of Human Sample Custody and Dispatch (Metropolitan)

Race Club _____ Venue _____ Date _____

1. Supply of Sampling Kits -

I verify that the Sampling Kits listed below were received with outgoing seals intact at _____ am/pm.

Security Bag No. _____ Outgoing Seal No. _____

Name of Official _____ Signature _____

2. Sample Collection/Security

Following collection the samples were packaged, sealed and securely kept in accordance with the approved guidelines until delivery to Stewards or authorised delegate at _____ am/pm.

Name of Swab Official _____ Signature _____

3. Receipt/Storage of Samples

We verify that the Sampling Kits listed below were received with return seals intact at _____ am/pm. The Sampling Kits were then secured in an approved storage facility at _____ am/pm.

Security Bag No. _____ Outgoing Seal No. _____

Name of Steward/Delegate _____ Signature _____

Name of Witness _____ Signature _____

4. Delivery of Samples

the above Sampling Kits were consigned for delivery to the Australian Racing Forensic Laboratory with return seals intact at _____ am/pm on ____ / ____ / ____ .

Name of Race Club Official _____ Signature _____

Name of Courier/Agent _____ Consignment no. _____

5. ARFL Receipt

I acknowledge custody of the Sampling Kits listed above and have examined the Kits and return seals for integrity at _____ am/pm on ____ / ____ / ____ .

Name of ARFL Employee _____ Signature _____



Record of Rider Sample Custody and Dispatch (Provincial)

Race Club _____ Venue _____ Date _____

1. Supply of Sampling Kits -

I verify that the Sampling Kits listed below were received with outgoing seals intact at _____ am/pm.

Security Bag No. Outgoing Seal No.

_____ _____
_____ _____

Name of Swab Official _____ Signature _____

2. Sample Collection/Security -

Following collection the samples were packaged, sealed and securely kept in accordance with the approved guidelines until delivery to Stewards or authorised delegate at _____ am/pm.

Name of Official _____ Signature _____

3. Receipt of Samples -

I verify that the Sampling Kits listed below were received with return seals intact at _____ am/pm.

Security Bag No. Return Seal No.

_____ _____
_____ _____

Name of Steward/Delegate _____ Signature _____

4. Custody/Delivery of Samples -

The above Sampling Kits were securely kept and transported before being consigned for delivery to the Australian Racing Forensic Laboratory with return seals intact at _____ am/pm on ____ / ____ / ____ .

Name of Steward/Delegate _____ Signature _____

Name of Courier/Agent _____ Consignment no. _____

5. ARFL Receipt -

I acknowledge custody of the Sampling Kits listed above and have examined the Kits and return seals for integrity at _____ am/pm on ____ / ____ / ____ .

Name of ARFL Employee _____ Signature _____



Record of Rider Sample Custody and Dispatch (Country)

Race Club _____ Venue _____ Date _____

1. Supply of Sampling Kits -

I verify that the Sampling Kits listed below were received with outgoing seals intact at _____ am/pm.

Security Bag No.	Outgoing Seal No.
_____	_____
_____	_____

Name of Swab Official _____ Signature _____

2. Sample Collection/Security -

Following collection the samples were packaged, sealed and securely kept in accordance with the approved guidelines until delivery to Stewards or authorised delegate at _____ am/pm.

Name of Official _____ Signature _____

3. Receipt of Samples -

I verify that the Sampling Kits listed below were received with return seals intact at _____ am/pm.

Security Bag No.	Return Seal No.
_____	_____
_____	_____

Name of Steward/Delegate _____ Signature _____

4. Custody/Delivery of Samples -

The above Sampling Kits were securely kept and transported before being consigned for delivery to the Australian Racing Forensic Laboratory with return seals intact at _____ am/pm on ____ / ____ / ____ .

Name of Steward/Delegate _____ Signature _____

Name of Courier/Agent _____ Consignment no. _____

5. ARFL Receipt -

I acknowledge custody of the Sampling Kits listed above and have examined the Kits and return seals for integrity at _____ am/pm on ____ / ____ / ____ .

Name of ARFL Employee _____ Signature _____



Human Urine Collection – Reuse of Sample Kit

Race Club _____ Venue _____ Date _____

I, _____ (Donors name) do hereby declare that subsequent to not being able to supply a sample of my urine to the Stewards at _____ (Venue) on _____ (date) at _____ (time) I have witnessed the Urine Sample Kit number _____ (insert number) being repackaged and I am satisfied that the sample has been stored in a secure location.

Name _____
(Donor) (Witness) (Official)

Signed _____
(Donor) (Witness) (Official)

I, _____ (Donors name) do hereby declare that subsequent to not being able to supply a sample of my urine to the Stewards at _____ (Venue) on _____ (date) at _____ (time) I have witnessed the sample bottles in Urine Sample Kit number _____ (insert number) being rinsed with the control solution prior to providing a sample of my urine for analysis.

Name _____
(Donor) (Witness) (Official)

Signed _____
(Donor) (Witness) (Official)



NOMINATION OF WITNESS HUMAN SAMPLING

1) I having been directed by the stewards or authorised official to provide a sample of my urine at on hereby declare as per (section 5.2 & 5.3 of the *Racing NSW Guidelines for Human Sample Collection*) that I do not require an independent witness to verify the collection sealing and packaging of my urine sample numbered and advise that the sampling official has authority to act as my witness.

Signed: (Donor)

(Official)

Date:

Time: