

CASE RECORDS AND REPORTS**5.1 PURPOSE**

5.1.1 To complete case paperwork and write a report of examination results when applicable.

5.1.2 To perform technical and administrative reviews on the applicable cases in which a report has been generated.

5.2 RESPONSIBILITY

Personnel qualified to perform Forensic Biology duties.

5.3 DEFINITIONS/ABBREVIATIONS

- A. LIMS: Laboratory Information Management System
- B. SAECK: Sexual Assault Evidence Collection Kit
- C. QRW(s): Quality Record Worksheet(s) (Appendix 1)
- D. QMS: Quality Management Software

5.4 GUIDELINES FOR RECORDS, REPORT WRITING AND REVIEW**5.4.1 General**

- A. A secure and password protected LIMS computer system is used in accordance with GL-3 (Security) and GL-4 (LIMS).
- B. Case paperwork will be maintained in a case jacket in an organized manner and will include the following:
 - 1. Completed QRW(s) for examination(s) conducted
 - 2. All photographs taken
 - 3. Completed General Reagent Sheet (FB QR-09) when applicable

Additional paperwork may include:

- 1. LIMS evidence transfer receipt(s):
 - a. Will be printed for consumption samples forwarded to DNA and samples being retained.
 - b. Will be verified against the appropriate retained and consumption samples.
 - 2. Evidence Receipt/Request for Analysis form
 - 3. Report (see F.5.4.2.A)
 - 4. Checklist Review Sheet (FB QR-12)
 - 5. Review Notes (FB QR-21)
 - 6. LIMS case notes/emails
 - 7. Conversation/Message Forms
- C. The case number will be documented on every page in the case jacket. Initials will be recorded on the appropriate pages according to GL-11 (Control of Records).

- D. If samples are being forwarded to another Unit for further examination, the appropriate paperwork will be forwarded.
- E. Forensic Biology reports will be issued for "Blood/Body Fluids", "Hair Analysis", "FB-Amended Report", "FB-Case Closed" and "Sexual Assault Kit Analysis" LIMS requests.

5.4.2 Reports

- A. When Forensic Biology reports (including Supplemental and Amended reports) are written, they will be generated according to GL-1 (Quality Manual), GL-4, GL-11 and below. Closed case reports will be generated according to 5.6 (Guidelines for Closed Case Report Writing).

Reports will include the following:

1. List of evidence with Laboratory submissions/sub-items and submitting agency item numbers (if available). Include only the initials of the victim's name in a sexual assault case report.
 2. Examination method
 3. Evidence description
 4. Results of examination/test(s)
 5. Date and location of off-site examination when applicable
 6. Disposition of sample(s) collected/sub-itemized and preserved for future testing
 7. Disposition of evidence
 8. Report statements (see below or relevant SOPs)
 9. Signatures of the Analyst and Technical Reviewer
 10. Analyst's and Technical Reviewer's names and titles
- B. Supplemental reports will be identified as such in the report header.
 - C. A statement referencing other or previously generated report(s) will be included when applicable.
 - D. Amended reports
 1. An "Amended Report Required" QMS workflow will be initiated and approved.
 2. An "FB-Amended Report" request will be generated in LIMS.
 3. The report will be identified as Amended in the header and include:
 - a. A statement referencing the original report to be replaced
 - b. The amendment identified in bold font or similar
 4. A cover letter may accompany the amended report at the discretion of a Unit Manager. If generated, it will reference the original report and what was amended.
 - E. Refer to FB SOP-01 (Evidence Examination and Sample Collection Guidelines) for reports generated for proficiency cases.

5.4.3 Review Process

- A. The Analyst will save the draft report to the shared drive and update the LIMS request to "Draft Complete" before the case is given to the Technical Reviewer (TR) and assigned in LIMS accordingly.
- B. The TR will review all paperwork in the case jacket, LIMS and report as specified on Checklist Review sheet (FB QR-12). The TR will complete Review Notes (FB QR-21), when applicable, before giving the case jacket to the Administrative Reviewer (AR).
- C. The Administrative Reviewer will review the case jacket and report and perform all checks as specified on FB QR-12. FB QR-21 will be completed, when applicable, before giving the case jacket back to the analyst.
- D. Analyst
 - 1. Corrections added to FB QR-21 are addressed, if applicable.
 - 2. The report will be finalized by making the necessary edits and adding the date.
 - 3. The finalized report will be saved as a PDF to the shared drive and signed electronically.
- E. Technical Reviewer
 - 1. A check of FB QR-21 and finalized report will be done to ensure all necessary corrections were addressed by the analyst.
 - 2. The report will be electronically signed and printed.
 - 3. The LIMS milestone will be updated to "Tech. Reviewed".
 - 4. The case will be given to the AR and assigned in LIMS accordingly.
- F. Administrative Reviewer
 - 1. A final check of FB QR-21 and the finalized report will be done.
 - 2. The LIMS milestone will be updated to "Admin. Reviewed" and the case given back to the analyst.
- G. Analyst
 - 1. FB QR-12 will be completed and any additional necessary copies of the final report will be printed.
 - 2. Reports will be sub-itemized in LIMS for return to the submitting agency according to GL-4 and GL-11.
 - 3. The report will be uploaded as an attachment in LIMS.
- H. For additional information, refer to GL-18 (Case Reviews).

5.5 SUGGESTED REPORT STATEMENTS

Serological test result statements and other examination related statements are included in the specific FB SOPs. Statements may be reported in table format as applicable.

[] = appropriate description

A. Supplemental Report

See Forensic Biology Report(s) dated [] for additional information.

B. Amended Report

This report is issued to replace Forensic Biology Report dated []

C. Report containing serological results written due to a case closure

This case was requested to be closed.

D. Referencing a DNA report

See DNA Report dated [] for additional information.

E. Examination method

All examinations were conducted macroscopically unless otherwise noted.

Serological results reflect the analysis of only the portion of the sample tested.

May be otherwise noted: Stereoscopic/microscopic examination was conducted on this item.

F. General Description

1. *Submission/item # [] consisted of one (1)/a Sexual Assault Evidence Collection Kit containing the above-/previously listed items.*

2. *Submission/item # [] consisted of one (1)/a [].*

G. Tissue-like Material

1. *Tissue-like material(s)/reddish-brown tissue-like material was/were located on [].*

2. *Tissue-like material(s)/reddish-brown tissue-like material was/were located upon/during microscopical examination of [].*

3. *No tissue-like material(s) was/were noted on [].*

4. *No tissue-like material(s) was/were noted upon/during microscopical examination of [].*

H. No further/serological testing/examination

1. *No further serological testing was conducted on this/these [] at this time.*

2. *No serological testing was conducted on this/these [] at this time.*

3. *No further examination was conducted on this/these [] at this time*

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- I. Not Examined At This Time
Submission(s)/item(s) # [] was/were not examined at this time.
- J. Unsuitable for testing/examination
This [] was determined to be unsuitable for further serological testing/further examination due to [].
- K. Disposition of evidence
 - 1. Retained
Submission(s)/item(s) # [] was/were/will be retained at the Laboratory.
 - 2. Forwarded/Transferred
 - a. *A sample(s) from submission(s)/item(s) # [] was/were forwarded/transferred to the [] Unit for further analysis/examination.*
 - b. *Submission(s)/item(s) # [] was/were forwarded/transferred to the [] Unit for further analysis/examination.*
 - 3. Returned
Submission(s)/Item(s) # [] will be returned to the (appropriate) Submitting Agency.
- L. The following statements are included at the end of each report:
 - 1. ***Further analysis upon request***
 - 2. *Results apply to the evidence as received by the Division of Scientific Services and relate only to the items tested. This report reflects the test results, conclusions, interpretations, and/or the findings of the analyst as indicated by their signature below.*

5.6 GUIDELINES FOR CLOSED CASE REPORT WRITING

5.6.1. General guidelines

- A. Closed Case reports will be written for closed cases when samples were collected but no serological testing was conducted.
 - 1. The report will be written under a "Blood/Body Fluids" LIMS request (see 5.4).
 - 2. The analyst writing the closed case report will be referred to as the author.
 - 3. Only an administrative review and the author's signature are required.
 - No TR will be conducted
 - 4. The AR will update both the TR (administratively) and AR milestones in LIMS.
- B. A Closed Case report will also be written if an item was designated as "not tested".

5.6.2 Author responsibilities**A. Evidentiary Items/Samples**

1. FB prepped samples will be transferred to 'Freezer Storage'.
 - a. The closure notification date will be noted on the original DNA transfer receipt.
 - b. If the transfer was not previously verified, print out the transfer receipt for verification according to FB SOP-01.
2. DNA Knowns (not processed) and any remaining submissions will be transferred to the Evidence Receiving Unit (ERU) for return to the appropriate submitting agency.

Note: DNA knowns previously processed will be reported out by the DNA Unit.

 - All known OCME submissions will be retained.

B. QRW(s)

1. The disposition for each sample originally forwarded to DNA will be updated to 'retained'.
2. Closed Case Checklist Review (FB QR-12b) will be added to the case jacket.
3. The appropriate pages in the case jacket will be initialed according to 5.4.C and GL-11.
4. It is NOT necessary for the original examiner to initial paperwork that was placed in the case jacket after the work was completed.

C. LIMS

1. The appropriate submissions/sub-items (examined and unexamined), including unprocessed DNA knowns, will be related to the "FB-Case Closed" request and self-assigned.
2. The report will be sub-itemized and the request updated accordingly.

D. Closed Case reports are generated using the Word report template on the shared drive.

1. Click on "FB Report Tools" tab.
2. Select "Closed Case report" and then "FB Closed Case" to transform the document to the closed case report template.

E. Closed Case report shortcut buttons are utilized to enter the final disposition of each item of evidence listed.

Once the report is completed, the LIMS milestone will be updated to 'Draft Complete' and the technical review assigned to the AR.

5.6.3 AR responsibilities

- A. The report, case jacket and LIMS will be reviewed according to FB QR-12b. FB QR-21 will be utilized when necessary.
- B. If necessary, the AR will give the case jacket to the original examiner (if available and other than the author) to address notes added to FB QR-21.

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1. It is NOT necessary for the original examiner to initial paperwork that was placed in the case jacket after the work was completed.
2. If the original examiner is not available, then the author may make the corrections with proper notation.

5.6.4 Author final responsibilities

- A. Corrections will be made to the case jacket and report.
- B. The report will be finalized for release accordingly.

5.7 REFERENCES

- A. GL-1 (Quality Manual)
- B. GL-3 (Security)
- C. GL-4 (LIMS)
- D. GL-11 (Control of Records)
- E. GL-18 (Case Reviews)
- F. Case Management Work Instruction-01