

**CASE RECORDS AND REPORTS****5.1 PURPOSE**

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

**5.2 RESPONSIBILITY**

Forensic Science Examiners (however titled) from the Division of Scientific Services who have been trained in case completion and writing of reports according to FB SOP-26 (Training Manual and Checklist) and GL-4 (LIMS).

**5.3 DEFINITIONS**

- A. LIMS: Laboratory Information Management System
- B. SAECK: Sexual Assault Evidence Collection Kit

**5.4 PROCEDURE**

- A. A secure and password protected LIMS computer system is used in accordance with GL-3 (Security) and GL-4 (LIMS).
- B. The case number and analyst's initials must be on every page in the case jacket. The case number (when necessary to write) and analyst's initials are typically written in the upper right hand corner.
- C. Place all completed Quality Record Worksheets in the labeled case jacket.
- D. Place the completed General Reagent Sheet (FBQR-09) in the case jacket if reagents are used and the Quality Record Worksheets utilized don't provide a space to record this information.
- E. If further examination in another Unit is required, print the appropriate LIMS Evidence Transfer Receipt(s) when necessary. Additional LIMS Evidence Transfer Receipt(s) will be printed for verification purposes when necessary. Include a copy of the print out(s) in the FB case jacket.
- F. For cases in which a Forensic Biology report is issued, follow the instructions below. (Forensic Biology reports may not be issued for cases examined according to Case Management Work Instruction-01 (DNA Outsourcing and Sample Prep) or those with only a Biology Knowns request, an Autopsy Sample request, a Forensic Biology Sample Prep request or a 'CT 100' Male Screen Sample Prep request.
- G. Place any additional paperwork in the case jacket. Examples may include but are not limited to:
  - 1. Casework Checklist Review Sheet (FBQR-12)
  - 2. Review Notes Worksheet (FBQR-21)
  - 3. Evidence Receipt/Request for Analysis Form
  - 4. LIMS case notes/Emails as needed
  - 5. Conversation/Message Forms

6. Amended Report Checklist Review Sheet (FBQR-12A)
- H. Generate a report (including Supplemental and Amended/Revised reports) through the LIMS computer system according to GL-4 (LIMS). Note: Notifications will be generated for closed cases through LIMS requiring only the author's signature. Notifications will not be technically reviewed but will be administratively reviewed.
  1. Include the following:
    - a. List of evidence with Laboratory submission numbers, include submitting agency item numbers if available. Note: Include only the initials of the victim's name in a sexual assault case report.
    - b. Examination method
    - c. Evidence description
    - d. Results of examination/test(s)
    - e. Date and location of off-site examination when applicable
    - f. Disposition of sample(s) collected/sub-itemized and preserved for future testing
    - g. Disposition of evidence
    - h. Report statements (see below)
    - i. The signatures of the Analyst and Technical Reviewer
    - j. The Analyst's and Technical Reviewer's names and titles
    - k. Glossary of Terms and Concepts
  2. Maintain the draft report(s) and a copy of the final report in the case jacket.
  3. If samples are being forwarded to another Unit for further examination, forward the appropriate paperwork.
  4. Supplemental Reports will be identified within the report header.
    - a. Include a statement referencing a previously generated report(s).
    - b. Maintain the draft report(s) and a copy of the final report in the case jacket.
  5. Amended/Revised Reports will be identified within the report header.
    - a. A letter will accompany the Amended/Revised Report referencing the original report.
    - b. Maintain the draft report(s) and a copy of the letter and final report in the case jacket.
  6. Reports and Notifications will be sub-itemized in LIMS for return to the submitting agency according to GL-4 (LIMS) and GL-11 (Control of Records).
- I. All paperwork in the case jacket and the report are reviewed by the Technical Reviewer and Administrative Reviewer (a Lead of the Forensic Biology Unit or designee).

- J. The Technical and Administrative Reviewers will check off, date and initial the Casework Checklist Review Sheet (FBQR-12) and Review Notes Worksheet (FBQR-21). The duties of the Technical and Administrative Reviewers are specified on quality record FBQR-12.
- K. The Analyst and the Technical Reviewer will complete the LIMS computer system milestones according to GL-4 (LIMS) when their case review responsibilities have been completed.
- L. For additional information, please refer to GL-18 (Case Reviews).

### **5.5 SUGGESTED REPORT STATEMENTS**

Serological test result statements, Trace material and Physical match report statements are included in the specific FB SOP.

[ ] = appropriate description

A. Supplemental Report

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

B. 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.*

C. 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 [ ].*

D. Tissue-like Material

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

E. No further/serological testing/examination

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

*Approved by Director: Dr. Guy Vallaro*

- F. Not Examined At This Time  
*Submission(s)/item(s) # [ ] was/were not examined at this time.*
- G. Unsuitable for testing/examination  
*This [ ] was determined to be unsuitable for further serological testing/further examination due to [ ].*
- H. Disposition of evidence
1. Retained
    - a. *A sample(s) from submission(s)/item(s) # [ ] was/were retained at the Laboratory.*
    - b. *Submission(s)/item(s) # [ ] was/were retained at the Laboratory.*
    - c. *All extracts retained from the above-tested items will be retained at the Laboratory.*
    - d. *SAECKs and other evidence related to sexual assault cases: Submission [ ] will be retained at the Laboratory per Public Act No. 15-207.*
  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  
*Evidence not related to sexual assault cases: Submission(s)/Item(s) # [ ] will be returned to the (appropriate) Submitting Agency.*
- I. No suspect  
*If a suspect is developed in this case, please notify the Case Management Unit as soon as possible.*
- J. Request for a known sample from victim/suspect  
*A known biological sample is requested from the victim/suspect for comparison purposes.*
- K. The following statements are to be included at the end of each report:
1. ***Further analysis upon request***
  2. *This report reflects the test results, conclusions, interpretations and/or findings of the Analyst and Technical Reviewer as indicated by their signatures below. Results relate only to the items tested.*

## **5.6 REFERENCES**

**State of Connecticut Department of Emergency Services and Public Protection  
Division of Scientific Services**

*Documents outside of Qualtrax are considered uncontrolled.*

*Approved by Director: Dr. Guy Vallaro*

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

ARCHIVED