

**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. Applicable Casework Checklist Review Sheet (FBQR-12) or Amended Report Checklist Review Sheet (FBQR-12A).
  - 2. Review Notes Worksheet (FBQR-21)
  - 3. Evidence Receipt/Request for Analysis Form

4. LIMS case notes/Emails as needed
5. Conversation/Message Forms

H. Generate a report (including Supplemental and Amended reports) through the LIMS computer system according to GL-4 (LIMS).

Note: Notifications will be generated for closed cases according to section 5.6 (Guidelines for Closed Case Notification Writing).

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 Reports will be identified within the report header.
  - a. A cover letter will accompany the Amended Report referencing the original report and what was amended.
  - b. The amendment will be identified in bold font or similar, according to GL-1 (Quality Manual).
  - c. Maintain the draft report(s) and a copy of the letter and final report in the case jacket.
6. Reports 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 the Administrative Reviewer (a Lead of the Forensic Biology Unit or designee).
- J. The Technical and Administrative Reviewers will check off, date and initial the applicable Casework Checklist Review Sheet (FBQR-12)/Amended Report Checklist Review Sheet (FBQR-12A) and Review Notes Worksheet (FBQR-21). The duties of the Technical and Administrative Reviewers are specified on quality records FBQR-12 and FBQR-12A.
- 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 [ ].*

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- 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*
- 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. *Any remaining extracts from the above-tested item(s) are retained at the Laboratory.*
    - d. SAECKs and other evidence related to sexual assault cases:
      - i. *Submission [ ] will be retained at the Laboratory per Public Act No. 15-207.*
      - ii. *Item [ ], as previously listed, was not examined at this time and was retained at the Laboratory. Further examination may be conducted upon request.*
  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 GUIDELINES FOR CLOSED CASE NOTIFICATION WRITING**

- A. ***Notifications will be generated for closed cases through LIMS requiring only an administrative review and the author's signature.***
- B. ***Notifications cannot be written if serological testing was performed on any item in the case. A REPORT must be written to include the results of the testing.***

### **5.6.1 Author**

A. Evidentiary Samples

1. FB prepped samples
  - a. Transfer to 'Freezer Storage' - physically and in LIMS.
  - b. Write on the original transfer sheet (from examiner to 'Freezer Storage – DNA Sample' sheet) that case has been closed and the date of closure notification. As always, date and initial.
  - c. If the transfer was not previously verified (i.e. prior to 3/5/18) then you must print out the transfer receipt (from you to 'Freezer storage'). This transfer must be verified by someone other than yourself and the original examiner.
2. DNA Knowns – Not processed by DNA
  - a. Physically transfer from storage to self. (If you do not have access, contact Case Management (CM) to complete the next 2 steps.)
  - b. Photocopy packaging and place in case jacket.
  - c. Transfer Knowns to Evidence Receiving (ER) for return to Agency.
  - d. Write on the photocopy that case has been closed, evidence returned to ER/Agency, date and initial.

B. Worksheets

1. Cross-off the "to DNA" for each sample.
2. Document: Retained at laboratory for each sample.
3. Initial and date each entry appropriately.
4. Add FB QR-12b and FB QR-21 to case jacket.

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5. Initial all pages in case jacket.
  6. If additional paperwork was added after the original examiner completed the work, there is no need for the original examiner to initial the additional paperwork.
- C. LIMS – General
1. If not already done:
    - a. Un-assign and cancel appropriate FB/DNA requests.
    - b. Choose "FB Case Closed" request (not "FB-other") and relate submissions and sub-items to the request.
      - i. This list will appear on the notification. Remember to include Known Samples in this list.
      - ii. Check/edit the request date, as necessary, to reflect when it was requested to be closed. This date will appear on the notification.
    - c. Assign "FB Closed Case" request to yourself.
  2. Sub-itemize a barcode for the Notification.
    - a. Make sure this Notification sub-item is in your name.
    - b. Affix barcode and Notification sticker to envelope.
- D. LIMS – Creating Notification Document:
1. Highlight the "FB case closed" request line and right click.
  2. Click on "Edit findings".
  3. In the menu: right click on FB Case Closed.
  4. In 'Results Menu' click on "Add Result" Click "Apply".
  5. You will see a window temporarily pop up saying "generating word final report document" while the report is being created. Click "Close".
  6. The milestone will change to "Findings Entered" in the request line.
  7. Highlight the "FB case closed" request line and right click.
  8. Choose "Print Final Report" – a window may appear that says "your PC printer is not configured to your machine..." click OK to remove this window.
  9. "Print report" window appears, choose screen, click OK and the *Report* template will appear (may need to minimize/move JusticeTrax window).

10. Click the red "Close Print Preview" button located on the top bar and the document will open in Word (with 'FB Report Tools' tab located on the top bar) – If you do not have the tab, contact your supervisor.
  11. Click on "FB Reports Tools" tab.
  12. Click "FB Notification" button (located on far right). This will transform the document from the Report Template to the Notification template.
- E. Enter Data into DRAFT Notification
1. Use the Notification shortcut buttons to enter the final disposition of each item of evidence.
    - a. Place the cursor at the end of each listed item. Click on the appropriate disposition button to enter the disposition next to the item.
    - b. If necessary, edit request date to the date that the case was requested to be closed.
    - c. Remove "Analyst" from the signature line (Author's name and title only should be beneath the signature line!).
  2. SAVE your changes before exiting as usual.
  3. REMEMBER: Every time you need to go back to the notification for editing you must choose "Print Final Report" or risk losing the previous edits.
  4. If an FB Report was previously written, use the shortcut button to include "See Forensic Biology report(s) dated xx/xx/xx for additional information".
  5. All pages need "DRAFT xx/xx/xx", where xx/xx/xx is the draft date. Watermarks are useful for this.
  6. Print and initial all pages of Draft Notification.
  7. Give to AR for review.

### **5.6.2 Administrative Reviewer (AR)**

- A. Ensures Draft Notification is accurate. Edits hard copy as needed.
- B. Reviews Case Jacket and enters comments onto FB QR-21 for Author and Examiner as appropriate.
- C. Completes appropriate portions of FB QR-12b.
  1. If necessary, gives case jacket to examiner to address FB QR-21 comments.

2. It is NOT necessary to have examiner initial paperwork that was placed in case jacket after the work was completed. (Those placing the paperwork into the case jacket need to initial those pages.) If the examiner's initials are missing from a page that should have been initialed at or around the time of examination, then those pages need to be flagged for the examiner to initial.
3. When necessary, Examiner addresses issues noted by AR on FB QR-12b and returns case jacket to AR.
4. AR completes FB QR-12b and gives case jacket back to author.

**5.6.3 Author****A. Write FINAL Notification**

1. Addresses issues noted by AR on FB QR-12b.
2. Make all corrections to Draft Notification.
3. Print Final Notification with date.
4. Sign Notification.
5. "Draft complete" in LIMS.
6. Completed Milestone sticker – End Date is same as the date on Final Notification.
7. Make two (2) copies of Notification:
  - a. Copy of Notification (no initials) placed in barcoded envelope.
  - b. Copy of Notification (with original) initials placed in case jacket.
8. Bring to ER:
  - a. Original Notification
  - b. Barcoded envelope containing copy of Notification.
9. File case jacket appropriately.

**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