

CASE RECORDS AND REPORTS**5.1 PURPOSE**

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

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)

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. 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. Completed General Reagent Sheet (FBQR-09) when applicableAdditional paperwork may include:
 - 1. LIMS evidence transfer receipts:
 - a. Will be printed for samples forwarded to DNA and being retained.
 - b. Consumption samples and samples retained will be verified against the appropriate transfer sheet(s).
 - 2. Evidence Receipt/Request for Analysis form
 - 3. Reports (see F)
 - 4. LIMS case notes/emails
 - 5. 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 not be issued for cases examined according to Case Management Work Instruction-01 (DNA Outsourcing and Sample Prep) or for 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.

- F. When Forensic Biology reports (including Supplemental and Amended reports) are written, they will be generated according to GL-4 and GL-11 and below. Closed case reports will be generated according to 5.6 (Guidelines for Closed Case Report Writing).
1. Reports will include the following:
 - a. 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.
 - 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. Signatures of the Analyst and Technical Reviewer
 - j. Analyst's and Technical Reviewer's names and titles
 2. Supplemental reports will be identified in the report header. A statement referencing a previously generated report(s) will be included.
 3. Amended reports will be identified in 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).
 4. The original signed report and draft report(s) (including Supplemental and Amended) will be maintained in the case jacket along with:
 - a. Checklist Review Sheets FBQR-12 (Casework) or FBQR-12A (Amended)
 - b. Review Notes Worksheet (FBQR-21)
 - c. The Amended report cover letter, when applicable
 5. Reports will be sub-itemized in LIMS for return to the submitting agency according to GL-4 and GL-11.
 6. The Analyst will complete the appropriate LIMS milestones according to GL-4.
 7. All paperwork in the case jacket and LIMS will be reviewed by the Technical Reviewer (TR) and Administrative Reviewer (AR).

8. The TR and AR will complete the applicable Checklist Review Sheets FBQR-12 (Casework)/FBQR-12A (Amended) and Review Notes Worksheet (FBQR-21). The duties of the TR and AR are specified on quality records FBQR-12 and FBQR-12A.
9. The TR and AR will each complete the LIMS milestones according to GL-4 and the Applicable Checklist Review Sheet.
10. For additional information, refer to GL-18 (Case Reviews).

5.5 SUGGESTED REPORT STATEMENTS

Serological test result statements and Trace material 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. 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
Submission(s)/Item(s) # [] will be returned to the (appropriate) Submitting Agency.
- I. 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 generated requiring only an administrative review and the analyst's signature.
1. Will be written for closed cases in which samples were collected but no serological testing was conducted.
 2. No TR will be conducted.
 3. The AR will update both the TR and AR milestones in LIMS. The TR milestone will be administratively updated only.

- B. Closed Case reports cannot be written if serological testing was performed. The report must be written under a Blood/Body Fluid LIMS request to include the results of the testing (see 5.4).
- C. The Analyst writing the Closed Case report may not be the original examiner/analyst.

5.6.2 Analyst responsibilities

A. Evidentiary Items/Samples

- 1. FB prepped samples
 - a. Transfer to 'Freezer Storage' (physically/electronically in LIMS).
 - b. Note the closure notification date on the original DNA transfer sheet.
 - c. If the transfer was not previously verified then print out the transfer receipt to 'Freezer storage'. This transfer must be verified according to FB SOP-01 (Evidence Examination and Collection Guidelines).
- 2. DNA Knowns (not processed) and any remaining submissions will be transferred to the ERU (physically/electronically in LIMS) for return to the appropriate Submitting Agency.
 - a. All known OCME submissions will be retained
 - b. All sexual assault evidence will be retained

B. QRW(s)

- 1. Cross-off the "to DNA" for each sample.
- 2. Document retained at laboratory for each sample.
- 3. Add FB QR-12b and FB QR-21 to the case jacket.
- 4. Initial appropriate pages in the case jacket according to 5.4.C and GL-11.
- 5. 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 – General

- 1. If not already done:
 - a. Un-assign and cancel appropriate FB/DNA requests.
 - b. Choose "FB-Case Closed" request and relate submissions/sub-items (examined and unexamined) and DNA knowns (not processed) to the request.
 - i. This list will appear in the report.
 - ii. Check the request date and edit if necessary to reflect the closure notification date.
 - c. Self-assign the "FB-Case Closed" request.
- 2. Sub-itemize the report and print a barcode according to GL-4.

- a. Create sub-item "RPT-FB" under parent item "RPT" in LIMS entering "FB Closed Case report" as the description.
- b. Affix barcode and report sticker to envelope.

D. LIMS

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 the "Results Menu" select "Add Result", then "Apply" and "Close".
5. The milestone will change to "Findings Entered" in the request line.

E. Create Closed Case report

1. Generate the report using the Word report template on the shared drive.
2. Click on "FB Report Tools" tab.
3. Select "Closed Case report" (located on far right) and then "FB Closed Case". This will transform the document from the report template to the closed case report template.

F. Enter data into DRAFT report

1. Use the Closed Case report 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. Enter the request date (i.e. the date of closure notification).
2. SAVE to the appropriate location before exiting.
3. 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".
4. All pages need "DRAFT xx/xx/xx" (xx/xx/xx = draft date). Watermarks are typically used.
5. Print and initial all pages of report.
6. Draft complete in LIMS.
7. Assign TR to the AR in LIMS.
8. Give to AR for review.

5.6.3 AR responsibilities

- A. Review report and make notes directly on the hard copy as needed.
- B. Review case jacket and add notes to FB QR-21 for analyst and/or original examiner as

appropriate.

- C. Complete appropriate portions of FB QR-12b.
- D. If necessary, AR will give case jacket to original examiner (if available) to address FB QR-21 notes.
 - 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's initials are missing from any page(s) that should be initialed, then mark the page(s) for the original examiner to add.
 - 3. When necessary, the original examiner will address notes on FB QR-21 and return case jacket to AR.
- E. Finalize FB QR-12b.
- F. TR and AR in LIMS and return to analyst.

5.6.4 Analyst final responsibilities

- A. Address notes on FB QR-21.
- B. Make all corrections to report.
- C. Date, print and sign final report.
- D. Make one (1) copy of final report and place into barcoded envelope for Submitting Agency. The original signed report will remain in the case jacket.
- E. Scan and save to the shared drive.
- F. Add the scanned version as an attachment in LIMS case.
- G. Transfer to ERU:
 - 1. Copy of final report in barcoded envelope
 - 2. Any applicable submissions, including unexamined knowns, may be returned at this time
- H. File case jacket.

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