1.0 PURPOSE:

The purpose of this procedure is to establish the processes for preparation, storage and retention of case documents in the Toxicology Unit.

2.0 DEFINITION:

2.1 Analyst (FSE or Chemist): the FSE or Chemist assigned to perform a specific test with in the unit. The analyst is responsible to properly prepare case documentation.

2.2 Batch Reviewer or Batch Technical Reviewer: any Chemist or FSE that performs the task of reviewing analytical batches. The batch reviewer must be competent/authorized to perform the analysis being reviewed. The batch reviewer can not be the analyst/author of the batch.

2.3 Technical Reviewer: any unit analyst, the Unit Lead or the Deputy Director that performs the review of the case in totality. The Technical reviewer need not review the portions of batches that are previsiously batch reviewed (such as blanks, controls and calibrators). The Technical reviewer must review the analytical data, for the substances being reported, to assure the data supports the reported findings. The technical reviewer can not be an analyst of the case.

3.0 PROCEDURE

3.1 Preparation of case jacket: When evidence is transferred to the Toxicology Unit, it is transferred with the related case paperwork. For each case a case jacket is prepared using a manila or colored file folder.

3.1.1 A self-adhesive label with the checklist for Toxicology cases is placed on the front of the file folder.

3.1.2 A bar code label for each specimen submitted is placed on the upper left corner of the file folder.

3.1.3 A red file folder is used if the “Request for Examination of Physical Evidence” form indicates that the evidence is related to a fatality.
A yellow folder is used for DFSA.
A Green folder is used for Proficiency Tests

A Manilla folder is used for DUI, DOC and other cases

3.1.4 The "Request for Examination of Specimens for Alcohol/Drugs" form(s) and Evidence Receipt are placed in the case jacket.

3.2 Case jackets for all Toxicology cases are stored within the unit. When the case is completed (all analysis alcohol and drug report are issued) the report is filed in file cabinets in the Toxicology unit.

3.3 Analytical Batch Review: Each analysis in the Toxicology Unit is performed as part of a unique batch, including calibrators and controls as specified in individual SOP's. Each analytical batch is subjected to both analyst review, and a "Batch Technical Review" by a reviewer competent to evaluate the forensic validity of the batch as a whole, and individual case results. All batch review processes are clearly annotated on the batch summary pages, and individual case data sheets. Both analyst and Batch Technical Review are completed prior to inclusion of copies of the batch summary pages, and the individual case data in the case jacket.

3.4 Case Final Review (Technical Review): A "final review" of the case is performed by the Unit Lead or Deputy Director (or designee) upon completion of analytical work, and preparation of the "Draft" final report. In other Toxicology SOPs there is a reference to "Directors Review" this is a case technical review and can be performed by the Deputy Director, Unit Lead or their designee. This review is documented on the case jacket, and consists of:

A. An evaluation of the case documentation to ensure consistency between the analytical batch data, screen information and reported findings.

B. An evaluation of case findings, vis-à-vis case information and screen results, to ensure that all appropriate testing has been performed.

The final reviewer (technical reviewer) will document those items checked or evaluated by initials and comments as appropriate. Following a final review (technical review), the case will be submitted for Administrative Review.

3.5 Administrative Review: An administrative review is performed upon completion of the Final/technical review.

3.5.1 The information from the Draft Report is compared with the information provided on the "Request for Examination of Specimens for Alcohol/Drugs". If conclusions cannot be determined, the report shall reflect the reasons.

3.5.2 The following items are reviewed for acuracy on the Draft Report (If the analyst or technical reviewer has checked the items, the reviewer does not need to recheck the information).

a. Name of Submitting Agency
b. Subject's Name
c. Subject's Address
d. DSS Case Number
e. Agency Case Number
f. Date the evidence was received by the DSS
g. Time the evidence was received by the DSS
h. Name of the ECO that received the evidence
i. Name of the Agency Representative that delivered the evidence

3.5.2.1 If typographical or other non-trivial errors are discovered in the case demographic information during the Administrative Review process, the case jacket is given to the Unit Lead. The supervisor returns the jacket to the appropriate ECO for corrections. Any Clerical errors are brought to the attention of the Unit Lead.

3.5.2.3 The reviewer examines each page of the report for the DSS case number and the analyst's initials, and the following:

- The analyst that generated the result must have initialed each page of the batch.
- The batch technical reviewer has documented review of the batch technical review (generally by initialing the cover page of the batch).
- The final technical reviewer must have initialed at minimum the Toxicology Technical and Administrative review worksheet.
- If the case number and/or the analyst's initials are missing or in error, or other non-trivial error is noted, the case jacket is given to the Unit Lead or the analyst for correction. Any errors or changes shall be maintained in the case file along with any communication relating to the analysis of the evidence.

3.5.3 When the Administrative Review is completed the reviewercompletes the Admin. Review section of the checklist label on the front of the file folder. The administrative reviewer also updates the milestone in Justice Trax and prints the final report to be signed.

3.5.4 The case file is returned for signature by the analyst(s) and Technical Reviewer. The administrative reviewer verifies that the report was signed, and dated and the title of the analysts are present prior to preparing the report for distribution. The report is issued as listed in section 3.6.

3.5.5 If the AR is being performed following an alcohol analysis, the Case Jacket is returned to the Toxicology Unit for any further analysis needed, e.g. confirmation of screen positive results, following issuance of the alcohol report.

3.6 Ethanol Conversion Reports. Ethanol conversions cases are maintained electronically in Justice Trax. Technical and Administrative review will be documented in JT in the milestones, there will be no case file maintained within the Toxicology unit. These report do not fall under guidance of 3.1 to 3.5 above.

3.6.1 The Technical reviewer will verify the value and check the calculation.

3.6.2 The Administrative reviewer will check the demographic information. Note the Technical and Administrative reviewer may be the same person.

3.6.3 Documentation of both the Technical and Administrative review will be though updating the milestone in JT.

3.7 Issuance of the Final Report

3.7.1 The original final report is kept in the case jacket and the photocopies of the final report are placed in two envelopes.

3.7.1.1 A copy of the alcohol report is mailed to the Subject.

3.7.1.2 The alcohol report is faxed to the submitting agency.

3.7.1.3 Copies of the report are mailed to the submitting agency and the appropriate State's Attorney's Office.

3.7.1.4 The drug reports are distributed similarly but without faxing.

3.7.1.5 If a report is sent out with an error, a clearly marked REVISED REPORT will be prepared and sent after notification is made to the submitting agency.

3.7.1.6 If additional testing is requested after a final report is sent, a clearly marked Supplemental Report is produced and noted in the case file.

3.8 General Order Of Documents In The Case Jacket

3.8.1 Final Report

3.8.2 Request for Examination of Specimens for Alcohol/Drugs

3.8.3 Batch List for Volatile Analysis

3.8.4 Analytical Data

3.8.5 EMIT Drug Screen

3.8.6 Batch List for Drug Analysis

3.8.7 Analytical Data

3.8.8 Photographs

3.8.9 Administrative Documents

3.9 Record Retention

3.9.1 Refer to GL-11 Records Control