

**A. Purpose**

The Division of Scientific Services (DSS) utilizes a document repository for the storage and control of electronic records that are not stored in the Laboratory Information Management System (LIMS), Quality Management System (QMS) or other DSS systems. The DSS document repository is used to store, organize and access organizational information (documents, images, case jackets) as electronic files in a central repository.

The document repository will be used to store converted, archived, paper records in an electronic format for safe keeping and historical preservation. The maintenance of the document repository will be overseen by the Scientific Services Administrative Manager (SSAM) and the Bureau of Information Technology (BITS).

**B. Responsibility**

1. Managers: Responsible for providing directions to subordinate staff under their purview as indicated by the organizational chart.
2. Supervisors: Responsible for providing supervision to subordinate staff under their purview as indicated by the organization chart.
3. Forensic Science Examiners (FSE2): Responsible as a working lead to subordinate staff as indicated on the organizational chart
4. FSE1, Connecticut Career Trainee (CCT), Fusion Centers Analysts (FCA) and Lab Assistants (LA): Responsible to adhering to this procedure as it pertains to their Unit.
5. Evidence Control Officers (ECO): Responsible to adhering to this procedure as it pertains to their Unit.
6. Support Personnel (however titled): Responsible for adhering to this procedure as it pertains to their Unit.

**C. Definitions**

1. Document Repository: Allows information to be organized and accessible from a central location. The repository contains documents, the folder structure in which they are contained, and additional information such as metadata, annotations, and security.
  - a. The DSS is using Laserfiche as its document repository.
2. LAN (Local Area Network): Used for intranet access, internet access, and access to data storage areas for the DSS. The LAN is managed by BITS
3. Scientific Services Administrative Manager (SSAM): The Director's designee responsible for managing the implementation, maintenance and expansion of the LIMS. In addition, the SSAM is responsible for coordinating services with the department's Information Technology section.
4. Laboratory Information Systems Manager (LISM): The SSAM's designee responsible for assisting in managing the LIMS operations and Information Technology needs of the laboratory.
5. System Administrator: DESPP IT designee assigned to oversee the LAN system for the DSS. The system administrator reports to the SSAM.
6. Bureau of Information Technology Solutions (BITS): The Information Technology section under the Division of Administrative Services (DAS) responsible for managing servers and network infrastructure of the LIMS.

7. Folder: A folder aids the organization of documents. Folders can contain imaged documents, electronic documents, shortcuts, and other folders. Expanded folders will be defined as folder, sub-folder, child folder, grand-child folder and so forth.
8. Documents: A way of storing information, but the type of information can vary greatly from document to document.
9. Electronic File: PDF, Word document, .mp3 file. Note: Electronic files can be checked out, even if they are not versioned.
10. Imaged Document: Documents created by scanning or importing pages into the repository. Imaged documents can contain searchable text and metadata, but they do not contain electronic files. Note: Imaged files can only be checked out if they are versioned.
11. Electronic Document: A document associated with an electronic file. An electronic file is any non-image file that was created in an application other than the document repository.
12. Text Only Document: A document that consists of only text pages and has neither image pages nor an electronic file
13. Empty Document: A document that has no image pages, no electronic file, and no text. Also known as a zero-page document.
14. Scanning: Converting paper documents into an imaged or electronic formatted document using copier or scanning hardware.
15. Optical Character Recognition (OCR): Electronic or mechanical conversion of documents containing typed, handwritten or printed text into machine-encoded text to allow users to search for specific words or phrases within the document.
16. Metadata: A general term used to refer to information associated with a document in the repository. Metadata consists of template and field data, tags, links, version information, and digital signatures.
17. Field: A field stores supplemental information on a document or folder. Fields provide a quick overview of the content or important identifying characteristics of a document or folder and increase the entry's searchability.
18. Version: Provides a way to save changes to a document without overwriting the document or losing the document history.
19. Annotations: Information applied to a specific page of a document, such as a highlight, a sticky note, or a redaction.
20. User: A trusted Windows (BITS Active Directory) account that can log in to a repository. Once a user logs in, their rights will be limited to those that a repository administrator has granted to them.
21. Group: A collection of users who share a particular role or who will be performing similar actions in the repository. Groups facilitate security administration. It allows a repository administrator to configure the security for a set of users, instead of having to configure security for each individual user.
22. Briefcase: A group of files containing entries created by an outside scanning vendor. The briefcase is used to securely transfer large quantities of scanned repository information from the vendor to the DSS document repository.
23. Record: Any document (whether imaged document or electronic document) that is stored in a record folder and governed by a set of life cycle instructions.
24. Record Series: A collection of records, which usually (but not always) have a similar set of properties, such as year, agency, discipline or the same retention schedules.

25. Record Folder: A folder that contains a group of records which are usually all governed by the same properties.

**D. Procedures**

1. This SOP is intended to work in conjunction with other DSS SOPs and it does not supersede any policies or procedures outlined in other DSS SOPs.
2. It is the user's responsibility to ensure they are in compliance with SOPs such as GL-11, Control of Records and GL-19, Document Control.
3. Other than the Training Folder, all documents stored in the DSS Document Repository will:
  - a. Be treated the same as an "Original" paper document. Users must follow the same applicable SOPs, policies and procedures when handling image documents and electronic documents stored in DSS Document Repository, that they would if they were handling the "Original" paper copies.

**E. Access**

1. The document repository is maintained by the System Administrator(s) and BITS.
  - a. To protect the overall systems, only the designated System Administrator(s) and specified designees will have authorization, and the necessary passwords to work on the server unit or conduct system administrator functions.
  - b. To create a new document repository or LAN Account, an employee's supervisor will send the Unit Manager, SSAM and LISM an email with the request.
    - i. Security classifications will be issued by the System Administrator(s) on the LAN.
    - ii. The SSAM, LISM or designee assigns the appropriate Rights and Privileges to each user. The rights and privileges define what document repository features the user can utilize.
    - iii. The repository rights and privileges will be commensurate with a user's responsibilities, as determined by the Director or their designee.
  - c. To deactivate an account, a Manager or supervisor will notify the SSAM or LISM who will ensure the appropriate actions are taken to deactivate the account.
  - d. Secure access to the document repository is via assigned usernames and secure passwords.
    - i. Users may be periodically prompted to update system passwords.

**F. Folder Structure**

1. The folder structure of the document repository will be defined by the SSAM and LISM and will be determined by the needs of the DSS.
2. Users should consult with their Manager concerning the creation of new folders, sub-folders or child folders.
3. Request for the creation of a new folder, sub-folder, or child folder will be forwarded to the SSAM, LISM or designee. The SSAM, LISM or designee will evaluate and create the necessary folders.
  - a. Examples of an expanded folder structure:
    - i. Folder = Repository
    - ii. Sub-Folder = Case Jackets

- iii. Child Folder = Year
- 4. Internal Case folders, no matter if they are a sub, child, grandchild, etc., can be created by the user without permission of a manager, SSAM or LISM.
  - a. An example of an Internal Case folder would be when a case jacket contains different media formats, such as .wav, that do not readily convert to the same format as the case file, which is typically in a PDF format. The internal case file can be created by the user to store the non-PDF format file.
    - i. The Internal Case file must be named using the same naming convention as the case jacket.
- 5. At a minimum, the document repository will contain the following folders.
  - a. Ubeo Imports
    - i. This folder will be used by Repository Administrators to store all briefcase information received from the scanning vendor.
    - ii. Case jackets and briefcase information should remain in the Import folder, even after the case jackets are copied and pasted into the Repository folder.
  - b. Repository
    - i. This folder will be used to store all the permanent DSS images and electronic documents.
    - ii. This folder will be the primary folder used by most repository users.
    - iii. All folders and documents in this Folder should have Versions and Auditing activated.
  - c. Training
    - i. A temporary storage folder that can be used to train and test out different features in the repository without creating edits to official documents.
  - d. Quality Check
    - i. A temporary storage folder that can be used to store images and electronic documents that are being validated.

**G. Versioning**

- 1. When a document is under version control, changes to that document will be saved as new versions within the document. Users can then view the changes to a document, keep track of edits, compare versions, or revert to a previous version.
- 2. Documents in the Repository Folder should be under Version control.
- 3. Any changes made to a document (changing the value of a field, Metadata, modification of pages, annotations, templates or digital signatures) and saved will create a new version.
  - a. Any changes made to the original, non-electronic version of the document or changes made to the electronic document prior to being placed in the Repository Folder will not be reflected.
  - b. The “original” version of the document will be created the first time the document is saved or pasted into the Repository Folder.
- 4. If a user is going to be working on a repository document that requires changes and multiple saves, it is recommended that the user checks out the document prior to making changes or edits.
- 5. Older versions of a document can be opened from the document history.
  - a. Older versions can only be opened as Read-Only.

- b. If a user needs to open an older version for editing, contact the SSAM or LISM for assistance.

## **H. Checking Out Documents**

- A. Checking out a document is a way to indicate that the document is currently being edited by a user.
- B. When a document is checked out, other users can open the document in the repository and view its contents, but will not be able to make or save changes.
- C. A checked-out document will have a pencil on the bottom right of the document icon.
- D. Changes to a checked-out document will not be visible to other users until the document is checked back in.
- E. It is the best practice to check out documents in the Repository Folder (under version control) before making changes to the document.
  - a. Checked out edits and saves to a document under version control, will not create new versions.
  - b. Changes to a checked-out document can be discarded without causing new versions to be created.
  - c. Checked out documents are saved locally and are not backed up until they are checked back in.
- F. To check out a document:
  - a. Highlight the document to be checked out.
  - b. Right click on the document
  - c. In the drop- down menu, highlight “Check In / Check Out”
  - d. Select Check Out Documents
  - e. Enter a reason for checking out the document
  - f. The document will be opened in the repository Document viewer or your default PDF viewer depending on the type of file.

## **G. Editing Documents**

- 1. The term Editing a Document refers to adding or rearranging the order of pages to a document.
- 2. Removing or making pages to a document in the Repository folder should only be done by the Case Management Unit after following the appropriate Quality Management procedures.
- 3. Files contained in the Quality Check and Training folders can be modified as needed.
- 4. Once a document has been checked out, it will open. If you need to edit a document that was previously checked out and not saved, there are two methods for editing.
  - a. Repository Document Viewer
    - i. This option can be used for both PDF and TIF files
    - ii. Documents can be edited in the document repositories Document Viewer.
    - iii. Using the Thumbnails Pane of the document viewer, pages can be dragged and dropped or cut and pasted from one document to another.
  - b. PDF Adobe
    - i. This option can only be used for PDF files.
    - ii. To open the file directly from the document repository.
      - 1. Highlight the PDF files.

2. Right click on the file and select Open.
3. Select View Electronic File.
4. The PDF will open in your default PDF application.
- iii. To save the file directly to your PC or a network location.
  1. Highlight the PDF file.
  2. Click on the Download button in the top Navigation Menu.
  3. Choose the save location in the Save As (Download) Window.
  4. Do not change the file name.
  5. Once the PDF has been edited, it must be returned to the document repository.
    - a. Cut the document from your PC or network drive and past it into the appropriate repository folder, or.
    - b. Drag and Drop the document from your PC or network drive and past it into the appropriate repository folder.
      - i. If prompted, select Add as a new version.
    - c. Do not select Add as a new document.
    - d. Documents should only be saved in the document repository if they are not actively being edited.

**H. Checking In Documents**

1. Once changes have been made to a Checked-Out document, they need to be checked back into the document repository.
2. If the document was edited in the repository's document viewer,
  - a. Select Tasks from the document viewer tool bar.
  - b. Select Check In/Check Out.
  - c. Select Check In Documents
3. If the document was edited from a version that was saved on a PC or network drive, it must first be returned to the appropriate repository folder. See Editing Documents
  - a. Once the document has been returned to the repository, highlight the document.
  - b. Right click and select Check In/Check Out.
  - c. Select Check In Documents
  - d. If prompted about searchable text, select Yes.
  - e. If prompted about Generating Pages, select Ok.
  - f. If asked to delete the local copy, select Yes.
4. If you are asked to Generate Searchable Text or Generate document repository pages, select yes.

**I. Internally Scanned or Imported Documents**

1. Archived paper documents scanned or created by DSS personnel should be scanned to a network folder or the appropriate location in the Validation Folder.
  - a. Once the new files have been reviewed and are acceptable, they will be moved to the appropriate location in the Repository Folder.

**J. Externally Scanned Documents**

1. External vendors will provide scanned documents in a Briefcase or to an SFTP site.

- a. Briefcases or SFTP data will be saved to the Imports Folder for review before being saved into the Repository Folder.
- b. Once the new files have been reviewed and are acceptable, they will be copied to the appropriate location in Repository Folder.
- c. The original briefcase or SFTP data should be saved in the import folder to preserve their original state.

**K. Internal Edits to Documents During the Conversion from Paper to Electronic Storage**

1. DSS personnel who need to view documents in the Document Repository can open and view any items they have permission to access.
2. DSS personnel who need to make changes to an existing document in the repository should first determine in which folder the document is located.
  - a. If the document is in the Validation Folder.
    - i. Contact the Evidence Receiving Unit or the Case Management Unit for assistance with adding to or editing the document.
  - b. If the document is in the Import Folder.
    - i. Contact the LISM or SSAM for assistance with adding to or editing the document.
  - c. If the document is in the Repository Folder.
    - i. Check out the document and follow the instructions in chapters H & I.

**L. Redacting Documents**

1. Managers and members of the Case Management Unit may have permission to redact information on documents saved in the Document Repository.
2. All redactions will be done using Black Fill color.
3. All redactions should be conducted on the most recent version of the document, located in the Repository Folder
4. Every new redaction of the original document should be created as a new document.
5. When creating a redacted document, the following process will be followed:
  - a. Find the most recent version of the document from the Repository folder.
  - b. Right click on the document and choose Copy.
  - c. Right click inside the documents home folder and choose Paste
  - d. In the Rename window, rename the document using the original name and add withing parentheses, write "Redact" along with the current date.
    - i. Use the date format of MMDDYY
    - ii. Example: DSS-25-0001 (Redact020525)
  - e. Open the new "Redaction" version of the document.
  - f. Select the page to be redacted
  - g. Select the Add Redaction button from the toolbar.
  - h. Click and drag the redaction icon to create the redaction.
  - i. The user should be prompted to enter a Redaction Reason
    - i. Select the appropriate reason
    - ii. If none of the reasons apply, choose "No reason assigned"
    - iii. Right click on the newly created redaction box and select "Properties"
    - iv. Select the Metadata Tab

- v. The user should enter the Redaction reason in the Comments field
- j. The user must save the document for the redaction to be saved.

**M. Exporting Documents**

1. Any document that derives from a document in the Document Repository, no matter by what means, is considered not controlled.

**N. Deleting Documents**

1. Except for the Training Folder, only LIMS Administrators, SSAM or LISM are allowed to delete documents, or folders.
  - a. Users who create documents or folders in the Training Folder are responsible for maintaining and deleting the items when they are no longer being used.
  - b. Documents in the Training folder are subject to deletion 30 days after being created or inactivity.
2. Users who need to delete a document from a folder in the Document Repository, other than the Training folder, must complete the Document Repository Modification Request workflow in the DSS Quality Management System (QMS).
  - a. Once the workflow has been approved, the LIMS Administrator, SSAM or LISM will make the necessary changes to the repository.
  - b. Users will be notified though the workflow once the requested modification has been completed.

**O. File Naming**

1. All documents will have a unique identifier
2. All case jackets should be named the same as the LIMS designation on the tab on the case jacket.
  - a. If more than one document is needed for the same case jacket, use (\*) as a suffix to the document name, with the \* being the chronological order number of the duplicate document.
    - i. DSS-24-000000 (1)
    - ii. DSS-24-000000 (2)
    - iii. DSS-24-000000 (3)

**P. Internal Edits to Documents During the Conversion from Paper to Electronic Storage**

1. As the DSS moves to a paperless environment, there will be a period of time when both paper documents are created, and electronic case jackets and files will be maintained.
2. During this transition period, the paper document(s) will be considered the original copy.
  - a. For additional information please reference GL 11 “Control of Records”
3. The original paper document must be added to the electronic case jacket maintained in the document repository.
  - a. Original paper documents for electronic files that are not located in the Repository folder
    - i. Personnel who have paper documents that need to be added to a case jacket are required to search for the document repository for the location of the electronic case jacket.



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- ii. DSS personnel who need to make changes to an existing document in the repository should first determine in which folder the document is located.
  - 1. If the document is in the Validation Folder.
    - a. Contact the Evidence Receiving Unit or the Case Management Unit for assistance with adding to or editing the document.
  - 2. If the document is only located in the Ubeo Import Folder.
    - a. Contact the LISM or SSAM for assistance with adding to or editing the document.
  - 3. If the document is in the Repository Folder.
    - a. Check out the document and follow the instructions in chapters H & I.