

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)
- D. QMS: Quality Management Software

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 (FB QR-09) when applicable

Additional paperwork may include:

- 1. LIMS evidence transfer receipt(s):
 - a. Will be printed for consumption samples forwarded to DNA and samples being retained.
 - b. Consumption samples and samples retained will be verified against the appropriate transfer receipt(s).
 - 2. Evidence Receipt/Request for Analysis form
 - 3. Report (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 be issued for "Blood/Body Fluids", "Hair Analysis", "FB-Amended Report" and "FB-Case Closed" LIMS requests.

- F. When Forensic Biology reports (including Supplemental and Amended reports) are written, they will be generated according to GL-1 (Quality Manual), GL-4, 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 as such in the report header. A statement referencing any previously generated report(s) will be included.
 3. Amended reports
 - a. An "Amended Report Required" QMS workflow will be initiated and approved.
 - b. An "FB-Amended Report" request will be generated in LIMS.
 - c. The report will be identified as Amended in the header and include:
 - i. A statement referencing the original report to be replaced
 - ii. The amendment identified in bold font or similar.
 - d. A cover letter may accompany the amended report at the discretion of a Unit Manager. If generated, it will reference the original report and what was amended.
 4. All draft reports, clearly marked as such, should be located on the shared drive while in edit and/or in the review process.
 5. The Analyst will update the LIMS request to "Draft Complete".
 6. All paperwork in the case jacket, LIMS and report will be reviewed by the Technical Reviewer (TR) and Administrative Reviewer (AR).
 7. The duties of the TR and AR are specified on Checklist Review sheet FB QR-12. The TR and AR will complete FB QR-12 and Review Notes Worksheet (FB QR-21), when applicable.

8. The TR and AR will each complete the LIMS milestones.
9. The draft report is edited and changed from a draft report to the final report.
 - a. The analyst finalizes the report by making the necessary edits and adding the date.
 - b. It will be saved on the shared drive without signatures.
10. The final report will be:
 - a. Saved as a PDF to the shared drive
 - b. Electronically signed by the analyst
 - c. Electronically signed by the TR after final review
 - d. Uploaded as an attachment in LIMS
11. The final signed report and draft report(s) (including Supplemental and Amended) will be maintained in the case jacket along with:
 - a. Checklist Review Sheet (FB QR-12)
 - b. Review Notes Worksheet (FB QR-21), when applicable
 - c. The Amended report cover letter, when applicable
12. Reports will be sub-itemized in LIMS for return to the submitting agency according to GL-4 and GL-11.
13. 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. Statements may be reported in table format as applicable.

[] = appropriate description

- A. Supplemental Report
See Forensic Biology Report(s) dated [] for additional information.
- B. Amended Report
This report is issued to replace Forensic Biology Report dated []
- C. Report containing serological results written due to a case closure
This case was requested to be closed.
- D. Referencing a DNA report
See DNA Report dated [] for additional information.

*Approved by Director: Dr. Guy Vallaro***E. 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.***F. 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 [].*

G. Tissue-like Material

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

H. 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*

I. Not Examined At This Time*Submission(s)/item(s) # [] was/were not examined at this time.***J. Unsuitable for testing/examination***This [] was determined to be unsuitable for further serological testing/further examination due to [].***K. Disposition of evidence**

1. **Retained**
 - a. *Submission(s)/item(s) # [] was/were retained at the Laboratory.*
 - b. *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.

L. 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. A Closed Case report will not be written if serological testing was conducted or if an item was designated as "not tested". The report must be written under a "Blood/Body Fluids" LIMS request (see 5.4).
- C. The analyst writing the Closed Case report may be other than 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 receipt ("FB-Case Closed" LIMS request date).
 - c. If the transfer was not previously verified, print out the transfer receipt to 'Freezer storage'. This transfer must be verified according to FB SOP-01 (Evidence Examination and Sample Collection Guidelines).
 2. DNA Knowns (not processed) and any remaining submissions will be transferred to the Evidence Receiving Unit (ERU) (physically/electronically in LIMS) for return to the appropriate submitting agency. Note: DNA knowns previously processed will be reported out by the DNA Unit.

- a. All known OCME submissions will be retained
- b. All sexual assault evidence will be retained per Public Act No. 15-207.

B. QRW(s)

1. Document 'retained at laboratory' for each sample originally forwarded to DNA.
2. Add FB QR-12b to the case jacket.
3. Initial appropriate pages in the case jacket according to 5.4.C and GL-11.
4. 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

1. Relate appropriate submissions/sub-items (examined and unexamined) and DNA knowns (not processed) to the "FB-Case Closed" request.
 - a. This list will appear in the report.
 - b. Self-assign.
2. Sub-itemize the report, print a barcode according to GL-4 and affix to an envelope.
3. Update the request to "Findings Entered".

D. 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" and then "FB Closed Case". This will transform the document from the report template to the closed case report template.

E. Enter data into DRAFT report

1. Use the Closed Case report shortcut buttons to enter the final disposition of each item of evidence.
2. If an FB Report was previously written, include statement "See Forensic Biology report(s) dated xx/xx/xx for additional information".
3. Print and initial all pages of draft report.
4. "Draft complete" in LIMS and assign TR to the AR in LIMS.
5. 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 LIMS/case jacket and add FB QR-21 to case jacket with corrections 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 and someone other than the reporting analyst) 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. Make all corrections to case jacket and report as needed.
- B. Finalize report:
 - 1. Date and create PDF
 - 2. Electronically sign
 - 3. Print signed report for:
 - a. Case jacket
 - b. Barcoded envelope for each appropriate submitting agency
- C. Upload report as an attachment in LIMS.
- D. Transfer to ERU:
 - 1. Copy of final report in barcoded envelope
 - 2. Any applicable submissions, including knowns, may be returned at this time
- E. 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