



Purpose

The purpose of this procedure is to define the process for establishing and storing case files at LSD&FC. Case files may exist in hard copy or electronic format or a combination of both electronic and hard copy formats.

Scope

This SOP applies to all technical personnel at LSDFC.

Guidelines & Requirements

- ISO/IEC 17025: 2017 (E) Standards
- R104 - A2LA General Requirements – ISO/IEC 17025:2017 Accreditation of Field Testing and Field Calibration Laboratories
- P113- A2LA Policy on Measurement Traceability for Life Sciences Testing and Forensic Conformity Assessment Bodies (CABs).
- P113a – Policy on Reference Material Traceability for Life Sciences Testing Laboratories.

Reagents/Materials/Equipment

Forensic or Relationship Case File

Procedure

Case Initiation

1. Forensic cases must be received through proper chain of custody. The LSD&FC chain of custody form and evidence tracking log must be established upon case receipt along with the case submission form. Refer to the Chain of Custody procedure for further guidance.



2. Relationship cases are initiated through the relationship collection from the date and time collection is noted on the collection form by the certified collector.
3. Each case received is assigned an LSD&FC case number. The case number will follow the below listed format:
 - a. Year (e.g., **2018**)
 - b. Letter Designation for case type
 - **R** = Relationship
 - **F** = Forensic
 - **PT** = Proficiency Test
 - **CT** = Competency Test
 - **QC** = Quality Control
 - **S** = Staff Profiles
 - c. Sequential Case Number

e.g., 2018R-001 (designates the 1st relationship case received in the year 2018)

4. All necessary case records are kept in the appropriately assigned case file or batch folder.
5. If there is too much material for the case-related materials to fit within one case file, additional folders may be used. The file jacket should be labeled Part 1 of 2 and Part 2 of 2 as appropriate.

Case File Organization

1. The left side of the case file shall contain the administrative paperwork. Administrative documentation includes paperwork related to the following (if applicable):
 - Case Notes (Administrative)
 - Phone Contact
 - Chain of custody
 - The case submission forms (Relationship or Forensic)
 - Submitting agency, customer paperwork
 - Information Exchanged via (Verbal, Email, Courier or Fax)



- Other agency reports
 - Other miscellaneous administrative paperwork
2. The right side of the case file shall contain the technical analysis documentation for the case. The following items should be organized on the right side of the folder (if applicable):
- Case notes (Technical)
 - Photo documentation
 - Case processing forms
 - Data
 - Results
 - Statistical analysis
 - Administrative and Technical review forms
 - Other technical paperwork relating to the case
 - Report of analysis
3. All hard examination records in the case file listed under paragraph 2 above, except for the report of analysis, shall be paginated using the x page of y system, “y” indicating the total number of pages.
4. Each page in the case file notes shall be marked with the case unique identifier, the initials of the analyst or technician who performed the examination, and the date of examination or analysis.

Document Correction

1. Documentation generated by LSD&FC staff and maintained within case files may not be erased or contain obliterations.
2. Changes to a file should be made with a single line strike through and contain the initials of the individual making the change notation.
3. Staff should avoid writing over the original text. If the change is made by someone other than the original text creator, (e.g., if the person is a former employee) the



correction should be made with a line strike through along with the date and initials.

Document Retention

1. Documentation generated by the LSD&FC staff for the Biology/DNA section will be maintained and archived in a secure area and retained for a period of at least five years.

Procedure History

Procedure History			
Initial Version Created			
Author		Date	
Shelley Johnson		September 1, 2017	
Current Version		Effective Date	
v3.0		July 9, 2019	
Review & Approval History			
Date	Reviewed & Approved by	Title	
7/9/2019		Annette Alchin, M.S. Director, DNA Technical Leader	
7/9/2019		Richard I. Somiari, PhD Center Director	
Revision History			
Date	Reason for Revision	Reviser	Version being changed
7/9/2018	Updated Guideline and Requirements Updated Requirements of Using Logs/Forms Removed Review History	Annette Alchin, MS	v3.0