

## Purpose

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This procedure provides the necessary guidance to initiate, maintain and complete the COC documentation. The COC is retained within the human identity case file.

## Scope

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This SOP applies to all technical personnel at LSDFC.

## Guidelines & Requirements

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- 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)
- P102a – A2LA Policy on Metrological Traceability for Life Sciences Testing and Forensic Conformity Assessment Bodies for all Calibrations and Verifications of Measurement and Test Equipment
- AABB’s Guidelines “Guidance for Standards for Relationship Testing Laboratories”, 12th Edition.

## Reagents/Materials/Equipment

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Evidentiary & Reference case materials  
Chain of Custody Form

## Procedure

### Definitions

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1. The **Chain of Custody (COC)** is a chronological record of the acceptance, custody, control, transfer, storage, analysis, disposal and/or final disposition of evidence and reference specimens and the work product generated during the analysis process.
2. Evidence and Reference specimens are defined as the **original items** received at LSD&FC for analysis.

3. **Work product** is defined as DNA extracts from evidentiary material.

### Case Acceptance

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1. Each case received within the forensic Biology/DNA Division will be maintained via the use of the Chain of Custody (COC) document.
2. All cases shall be received within the laboratory through proper COC.
3. COC is a process used to maintain and document the chronological history of the evidence. COC must be maintained throughout all steps of the analysis procedure from receipt to disposition.
4. Cases will be accepted via common carrier such as FedEx, UPS, DHL etc. or by hand delivery and signed for by the individual designated to accept the package. This may include the Center Director, Technical Leader/Director, Forensic Analyst or designated Evidence Technician.
5. Once the case has been accepted within the Center, the outer packaging is photo documented to detail the condition of the evidence seals and packaging upon arrival at the Center.
6. Refer to the Photo documentation Procedure for guidance on case and item photographing.

### Case Numbering and Item Inventory

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1. Upon receipt, the forensic case is logged into the Forensic Case log and given a case number. Refer to the Case File documentation and Storage Procedure for further guidance on case initiation and storage.
2. LSD&FC cases are accessioned into two main types:
  - a. R for Relationship Testing
  - b. F for Forensic Testing
3. The case number follows the following format:

**2018**

Designates the year the case was received.

**R and F**

Designates the case type (e.g., Relationship, Forensics).

**001, 002, 003**

Designates the case # in the sequential order it was received

4. Each sample that is received shall be assigned and labeled with a specimen designator or number.
5. The *specimen number* follows the LSD&FC case number, separated by a dash.
  - For Human Identity Casework
    - CH = Child
    - AF = Alleged father
    - MO = Mother
  - For Forensic Casework
    - 01 = Item 01
    - 02 = Item 02
    - 03 = Item 03
6. The individual logging in the forensic case should document the case number, specimen item number, initials and date on each package. All documentation must be legible and must not obscure any previous markings on the packaging. Do not open individual specimens at this time.
7. Retrieve all documentation submitted with the case.
8. A Case Submission Form should be included with each case. If the Case Submission Form was not received, contact the submitting agency/individual to request a completed form.

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### COC: Package Receipt (Tab 1 of the Excel Spreadsheet)

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1. Initiate the package COC by completing the following information:
    - a. Method of Delivery
    - b. Package condition
    - c. Date and time Delivered
    - d. Delivered by, Name & Signature (or Tracking #)
    - e. Delivered to, Name and Signature
    - f. Submitter Information
    - g. Authorized points of contact
    - h. Package #
    - i. Package Description
    - j. Date/Time of Transfer
    - k. Transfer Released & Received by
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# Chain of Custody

Chain of Custody

- 2. The package number is generated in the following format:
  - a. **Month/Day/Year-XX**, where **XX** designates sequentially the package number received for that day.
  - b. The first package received on February 12<sup>th</sup>, 2018 would be:
    - i. **021218-01**








CHAIN OF CUSTODY:				
Method of Delivery:		Condition:		
Date Delivered:		Time:		
Delivered By:	<small>(Printed Name)</small>	Signature:		
Delivered To:	<small>(Printed Name)</small>	Signature:		
Submitter Information		Authorized Point(s) of Contact Information		
Submitting Agency:		Name:		
Submitter ID Number:		Address:		
Name:				
Address:		Phone:		
		Email:		
Package #	Package Description			
Date/Time	Pkg # (s):	Released by	Received by	Purpose of change:
Date		<small>(print)</small>	<small>(print)</small>	
Time		<small>(sign)</small>	<small>(sign)</small>	
Date		<small>(print)</small>	<small>(print)</small>	
Time		<small>(sign)</small>	<small>(sign)</small>	
Date		<small>(print)</small>	<small>(print)</small>	
Time		<small>(sign)</small>	<small>(sign)</small>	
Date		<small>(print)</small>	<small>(print)</small>	
Time		<small>(sign)</small>	<small>(sign)</small>	
Date		<small>(print)</small>	<small>(print)</small>	
Time		<small>(sign)</small>	<small>(sign)</small>	
Date		<small>(print)</small>	<small>(print)</small>	
Time		<small>(sign)</small>	<small>(sign)</small>	

## Excel Tab 1: Chain of Custody Package Receipt

Chain of Custody

### COC: Sample Itemization & Work Product (Tab 2 of Excel Spreadsheet)

1. This tab allows for documentation of the items contained within the package or multiple packages within the same case.
2. The following example will be given to assist with completion of this COC page:

<b>Examples or Evidence and Work Product Numeric Designators</b>	
<b>Evidence</b>	<b>Work Product</b>
 <i>Shirt with Stain Item 01</i>	Cutting from Shirt 1 <sup>st</sup> Extraction: 01A1
	Cutting from Shirt 2 <sup>nd</sup> Extraction: 01A2
	 Swab of Stain, then cutting from swab: 01.1A1 Same Swab of Stain, 2 <sup>nd</sup> cutting from swab: 01.1A2
 <i>Vaginal Swabs Item 02</i> <i>Swabs received packaged together taken from the same global specimen</i>	1 <sup>st</sup> Swab, 1 <sup>st</sup> Extraction: 02A1
	1 <sup>st</sup> Swab, 2 <sup>nd</sup> Extraction: 02A2
	2 <sup>nd</sup> Swab, 1 <sup>st</sup> Extraction: 02B1
	2 <sup>nd</sup> Swab, 2 <sup>nd</sup> Extraction: 02B2
 <i>Whole Blood Item 03</i>	3 <sup>rd</sup> Swab, 1 <sup>st</sup> Extraction: 02C1
	3 <sup>rd</sup> Swab, 2 <sup>nd</sup> Extraction: 02C2
	Liquid Blood 1 <sup>st</sup> Extraction: 03A1
	Liquid Blood 2 <sup>nd</sup> Extraction: 03A2
	 Portion of whole blood dried on filter paper Cutting taken from filter paper, 1 <sup>st</sup> Extraction: 03.1A1

3. Disposition is what ultimately occurred with the evidence or work product. The following are examples of item/work product disposition:
  - a. Not Tested (NT) = the item was not tested at LSD&FC





# Chain of Custody

# Chain of Custody

CHAIN OF CUSTODY: Item & Work Product Custody				
Case #:				
Date/Time	Item # (s)	Released by	Received by	Purpose of change:
Date		(print)	(print)	
Time				
Date		(print)	(print)	
Time				
Date		(print)	(print)	
Time				
Date		(print)	(print)	
Time				
Date		(print)	(print)	
Time				

## COC: Package Return (Tab 4 of Excel Spreadsheet)

1. This tab allows for documentation of the return of the package (containing the case evidence, references & work product) to the submitting person and/or agency.
2. Fields contained within this page include the following:
  - a. Method of Return
  - b. Tracking
  - c. Date Returned
  - d. Case Number
  - e. Delivered to, Name and Signature
  - f. Delivered to, Name and Signature
  - g. Return Information
    - i. Submitting Agency
    - ii. Name
    - iii. Address
    - iv. Phone
  - h. Package #
  - i. Package Description
  - j. Date/Time of Transfer
  - k. Transfer Released & Received by
  - l. Purpose of Transfer







### Assigning Custody

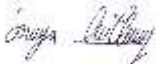

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1. Once the LSD&FC case is assigned to an analyst for case processing, the COC document shall include the signature, date and time of transfer.

LSD&FC Property - Do Not Copy



## Procedure History

<b>Procedure History</b>			
<b>Initial Version Created</b>			
<b>Author</b>		<b>Date</b>	
Shelley Johnson		September 1, 2017	
<b>Current Version</b>		<b>Effective Date</b>	
v2.0		November 25 <sup>th</sup> , 2018	
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<b>Date</b>	<b>Reviewed &amp; Approved by</b>		<b>Title</b>
11/25/2018			Soraya McClung, MFS Director, DNA Technical Leader
11/25/2018			Richard I. Somari, PhD Center Director
<b>Revision History</b>			
<b>Date</b>	<b>Reason for Revision</b>	<b>Reviser</b>	<b>Version being changed</b>
11/25/2018	Updated Photo documentation Section Updated Guidelines & Requirements Updated Footer	Soraya McClung	v1.0
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<b>Reviewed By</b>		<b>Date</b>	<b>Version</b>