



# Intermountain Forensics

SOP #

DOC-201

Revision #

04

Forensic DNA Technical Leader Approval

Issue Date

11/28/2022

## Case File Assembly

### 1. Purpose

To detail the components of Preliminary Report Case Files, Final Report Case Files, Forensic Investigative Genetic Genealogy and Amendments.

### 2. Summary

Preliminary reports are issued with processing data through quantification and may include recommendations on possible applicable testing or suitability for testing beyond quantification. Final reports are issued for testing beyond quantification and include any comparisons with their applicable statistics. Any case which requires modification after the case file has been sent to the client will require an amendment file.

### 3. Procedure

#### Case File Components

1. The Preliminary case file includes, as applicable:
  - a. Report
  - b. Supporting Documents
    - i. Client documents and communications
    - ii. Laboratory notes through Quantification
  - c. DOC-304 Technical and Administrative Review form
2. The Final case file includes, as applicable:
  - a. Report
  - b. Supporting Documents
    - i. Allele Summary Table
    - ii. Statistics worksheet(s)
    - iii. Sample electropherogram(s)
    - iv. Client documents and communications
    - v. Laboratory notes of testing beyond Quantification
    - vi. Control electropherograms
  - c. DOC-304 Technical and Administrative Review form
3. The Forensic Investigative Genetic Genealogy case file includes, as applicable:
  - a. Report
  - b. Supporting Documents
    - i. Laboratory notes of testing associated with library preparation and sequencing
    - ii. Bioinformatics Documentation
    - iii. Client documents and communications
  - c. DOC-304 Technical and Administrative Review form
4. Amendments
  - a. Amendment Summary Document
  - b. Document(s) needing amendment
    - i. Including any additional documents affected by the amendment
  - c. DOC-304 Technical and Administrative Review Form

#### General Instructions

5. The Case File is the combination of documentation created during the testing process and is intended to provide the information to support the conclusions communicated in the report.
6. Any dates on each document are from the time in which the document or note was created or finalized.
  - a. The report date is "stamped" automatically by the LIMS upon completion of that document within that system.
  - b. Typed notes from the analyst include the date in which the note was added.
  - c. The review form dates are the final dates in which any modification was performed within the file by the case analyst.



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- i. The analyst date represents the final date that the file was modified by the case analyst. It should be the same or later than all dates within the case file. The only exception being if a reviewer date is later and no modifications were performed after the analyst date.
  - ii. The reviewer(s) date must be the same or later than the case analyst date.
7. An identifier (initials and/or signature) of the individual responsible for performing the work and date the work was performed must be included on all documents within the case file.
  - a. If a field does not exist for the identifier to be entered, the initials must be added (i.e., YHRD report or ArmedXpert documentation).
8. Support Document and DOC-304 Pagination Technical and Administrative Review Form
  - a. Pagination will be added to every page of the support documentation and will include the following information:
    - i. IMF case number
    - ii. Request Number
    - iii. Initials of Report Author
    - iv. Page number using the X of Y format
      1. X = Current page number
      2. Y = Total page number
  - b. Report pagination is separate from the page numbers present on the supporting documents and DOC-304 Technical and Administrative Review Form as part of the document formatting.

#### 4. References

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N/A

#### 5. Definitions

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Allele Summary Table (AST) – Summary table of all called DNA alleles in a sample  
Amendments – Any changes to a document included in a case file, after is the case file has been released to a client  
LIMS – Laboratory Information Management System  
Report – Document with laboratory and client case information, item conclusions, and statistics  
Case File – Assembly of all case documents generated during processing and analysis for a case