FORENSIC BIOLOGY EVIDENCE AND CASE MANAGEMENT MANUAL

	Administrative Review	
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Administrative Review

1   GUIDING PRINCIPLES AND SCOPE:

1.1   An administrative review is the final evaluation (editorial review) of the report and case file documentation (examination and administrative) and must be completed prior to the distribution of the report. Reports cannot be issued without a completed administrative review.

1.2   A program of administrative review for reports issued by the Department of Forensic Biology helps to ensure that reports and case file documentation are in compliance with the guiding principles and procedures in the Department's management system.

1.3   This procedure describes the administrative review and report distribution process for the Department.

2   PROCEDURE:

2.1   Administrative reviews can be performed by the Forensic Biology Administrative Team as well as by Criminalists and other titles. The Administrative Review Checklist shall be referenced by the administrative reviewer to ensure that all aspects of the Administrative Review Procedure have been completed. The Administrative Review Checklist is summary of all key points of the Administrative Review Procedure. The Checklist does not replace the need to follow the Administrative Review Procedure detailed in this manual, but instead acts to enhance the administrative review process. The electronic signature of the administrative reviewer in LIMS indicates completion of the administrative review and signifies that all aspects of the Administrative Review Procedure, and by extension the Administrative Review Checklist, have been adhered to.

2.2   The author of a test report may <u>not</u> conduct an administrative review of their own report and its associated records.

3   Administrative Review

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3.1   Administrative review is conducted on the draft copy of the report in LIMS (this may be printed out to aid administrative review).

    3.1.1   Ensure the following key information is accurate and complete in the report:

        3.1.1.1   <u>Title block:</u>   FB# or proficiency test # / victim name / suspect name / complaint # / ME # / arrest # / NYSID # / / ME name & date of autopsy

        3.1.1.2   <u>Header:</u>   FB#, the victim's or suspect's name and, if applicable, an ME#. The header must appear on all pages except the first page.

        3.1.1.3   <u>Text:</u>   Check page numbering; ensure the report is signed. For LIMS-created case reports, this signature is electronically validated. Case reports created outside of the LIMS contain a handwritten inked signature.

    3.1.2   Evidence received and disposition:

        3.1.2.1   Check for correct evidence itemization, voucher # and date evidence received.

3.2   Review all hard copy administrative and examination records in the paper case file to ensure that the records are uniquely identified according to laboratory policy and/or procedure.

    3.2.1   Check examination notes for analyst's initials, FB# and page #.

    3.2.2   Ensure that the FB# appears on all pages of administrative documentation.

    3.2.3   **Note**: The review of the report for spelling and grammatical accuracy is primarily is conducted during Technical Review, but may also be verified upon admin review.

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3.3 The case file is routed back to the analyst if major corrections to the case file are needed, such as changes to the report. However, the case file may stay with the admin reviewer and an email can be sent to the analyst if there is a minor error that can be fixed on their end (such as a typo, misspelling). When minor problems are noted, such as missing page numbers or initials, report distribution can be completed prior to routing the case file back to the analyst for corrections.

3.4 Document the administrative review in LIMS. For case reports created outside of LIMS (pre-LIMS cases), the administrative reviewer signs in the designated area on the hard copy of the report.

3.5 Case reports created outside of the LIMS are scanned to .pdf format and distributed to the appropriate customers. The LIMS-created reports are generated as .pdf documents when the "Final Report" button is selected.   Report distribution should be done on the same day as the administrative review.

3.6 A copy of the case report .pdf must be saved to a location on the FBio server to allow for distribution to the NYPD's ECMS system and other agencies (as necessary).

4 Additional Information on Administrative Reviews

4.1 For **Administrative Completion of Cases** (a case file is closed out without issuing a technical report on the findings; for example after a stop testing request) a report is written and submitted for administrative review only; no technical review is required.

5 Report Distribution

5.1 All reports with a complaint number are uploaded to NYPD Enterprise Case Management System (ECMS). All reports with a Medical Examiner number are needed for Medical Examiner identification purposes and should be sent and uploaded to the OCME Case Management System (CMS). Reports (.pdf files), are to be sent to the DA's Offices through LIMS.

5.1.1 LIMS generated reports will be automatically e-mailed to any DA's office, AUSA, or NYPD personnel in the Distribution List tab for that case report.

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5.2   OCME CMS (via electronic upload)

    5.2.1   From the OCME Intranet site, click on the "UVIS-CMS" tab at the top of the page.

    5.2.2   Click on the line that states "Click Here to Access the UVIS-CMS Application".

    5.2.3   A pop-up window will appear asking you to "Please Click on My Silos to Select Silos", click OK.

    5.2.4   Type the ME# for the case report you are uploading into CMS into the search box at the top right hand side of the screen that states "Type Case No."

    5.2.5   Uncheck the box at top right side of the screen that states "Last One Year Case" if the case is older than the current year.

    5.2.6   Hit enter to search for case.

    5.2.7   Click on the case number when the case entry appears on the screen.

    5.2.8   From the drop-down menu under the "Documents" tab select "Forensic Biology report".

    5.2.9   Click the "Upload Files" button.

    5.2.10   Click the "Browse" tab at the bottom of the screen.

    5.2.11   Search for and select the case report you need to upload into CMS from the folder where Forensic Biology reports are kept in PDF format. You can browse and select multiple case reports for upload to CMS as needed.

    5.2.12   Click the "Upload" button at the bottom of the screen.

    5.2.13   A PDF icon of the case report should appear on the screen. Click "Open" to view the report to ensure the correct report was uploaded to CMS. Click "Open" when the pop-up window appears asking if you want to open or save the PDF.

    5.2.14   Click the "Update" button on the bottom right hand side of the screen to ensure the report has been uploaded to CMS.

5.3   NYPD ECMS (via electronic upload)

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5.3.1   Click on the Internet Explorer icon and navigate to URL: http://10.152.144.123/ecms. This is the log in screen.

5.3.2   On the Log in screen: enter the Login ID and Password. Then click on the "Login" button. During an initial log in, the user will be prompted to change their password.

5.3.3   After successful log in, the NYPD ECMS Screen will appear. To upload a new Forensic Biology report, click on the "DNA Attachment" button (bottom right corner).

5.3.4   Another NYPD ECMS screen will appear. Fill in the following information: the identification date (the date that a report is being scanned and uploaded); the Forensic Biology number (format: FB09-00001); OCME number and EU number are optional (can be left blank), and the complaint number (format: year – precinct – number).

5.3.5   Click on the "View Complaint" button to compare the complaint to the one in the file. Verify that the information corresponds.

5.3.6   To attach the file (Forensic Biology report), click the "Upload" button. This will open a file browser. Browse for the file, highlight the pdf version, and click open.

5.3.7   The uploaded file can be viewed by clicking on the "View" button. If an incorrect file was uploaded then click on the "Upload" button again, browse for the correct file and click open. This will overwrite the previous attachment.

5.3.8   Once the correct report is uploaded, click on the "Save" button located at the bottom right corner of the screen. At this point, the entry will be forwarded to the case folder and a system message "The Forensics Entry is successfully inserted" appears. Click on the "Close Window" button.

5.3.9   The entry must be approved prior to being forwarded to the NYPD system. Click on the "Action" button to the right of the entry to approve. Select either the "View" option or view the entry and approve using the "Approve" button on the bottom right.

5.3.10   To delete the entry and not approve, select the "Delete" option from the "Action" button. At this point, the entry will not be forwarded to the case folder and a system message "The Forensics Entry is deleted successfully" appears. Click on the "Close Window" button.

5.4   Non-LIMS case reports:

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5.4.1   Hardcopy Case Reports are not to be emailed through the DNALab mailbox. These reports can be faxed and/or be picked up by the DA office, AUSA, or NYPD personnel requesting it.

5.4.2   When the A Team is notified that a case report needs to be faxed or mailed in hard copy form, the notification should be documented by the A Team in one of the following ways:

5.4.2.1   Notification may be documented in the LIMS Case Record Communication Log (if one exists).

5.4.2.2   Notification may be documented in the LIMS Case Record Notes Section (if one exists).

5.4.2.3   Notification may be documented in the Case Contacts Form.

6   Case file routing

6.1   After the administrative review and distribution of the case report(s), unless minor corrections are necessary, or additional testing needs to be scheduled, the case file should be sent to be filed away.

7   Troubleshooting

7.1   ECMS will suspend user accounts after three unsuccessful logins. In the event this happens or there are any issues with accounts, please contact the designated FBio liaison for ECMS.

7.2   A supervisor of the Administrative Team can help with any questions regarding report distribution or file routing. For case specific questions, consult your supervisor.