

# FORENSIC BIOLOGY EVIDENCE AND CASE MANAGEMENT MANUAL

<b>Administrative Review</b>		
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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 within the Department.
  - 2.1.1 Anyone performing an administrative review on casework files must have access to Forensic Biology's Laboratory Information Management System (LIMS) as well as to the OCME Case Management System (CMS) and the NYPD Enterprise Case Management System (ECMS). Administrative review of proficiency test files only requires access to the LIMS.
  - 2.1.2 **Family Court cases** can ONLY be administratively reviewed by those who have received prior authorization to fill out the Delegation of Authority Form. Please contact an Administrative Team supervisor to confirm if you have such prior authorization.
- 2.2 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 a 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 Checklist is not maintained in the case record and may be discarded after the administrative review is complete.
- 2.3 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.

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- 2.4 The author of a test report may not conduct an administrative review of their own report and its associated records.

### 3 Administrative Review

- 3.1 Administrative review is conducted on the draft copy of the report in LIMS, or on the hard copy of the report (if a pre-LIMS case).

3.1.1 For LIMS paperless cases, do not move forward with an administrative review if the RA status is filled in, the pending analyst correction box is checked and/or both expected PDFs (administrative left side and technical right side) are not there, except for report-only cases. Contact the reporting analyst (RA) if those situations occur. If the technical side needs to be added, the RA should contact the LIMS Super Users to roll back the report.

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

- **Title block:** FB# or proficiency test # / victim name / suspect name / complaint # / ME # / arrest # / NYSID # // ME name & date of autopsy
- **Header:** FB#, the victim's or suspect's name and, if applicable, an ME#. The header must appear on all pages except the first page.
- **Text:** 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.
- **Appendix:** all pages are present
- **Entity names:** (victims, complainants, suspects) as well as item/sample names and descriptions are spelled consistently throughout the report.

- 3.1.3 Evidence received and disposition:

- Check for correct evidence itemization, voucher # and date evidence received.
- Check that all relevant chain of custodies are present and complete.

- 3.2 Review all administrative and examination records in the case record to ensure that the records are uniquely identified according to laboratory policy and/or procedure. The unique identifier may be the entire case number (e.g., FB17-12345) or just the numerical portion of the case number (e.g., 17-12345).

- 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 conducted during Technical Review but may also be verified upon administrative review.

- 3.3 Approval or rejection:

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- 3.3.1 If there are no corrections needed to the case record or the report, the administrative review will be approved, and report distribution can be completed.
- 3.3.2 For physical case files, if there is a minor error in the case record that needs correction (ex. missing page number, page missing analyst initials), the administrative review can be approved, and report distribution can be completed prior to alerting the analyst to the corrections needed.
- 3.3.3 For paperless case files, any type of case, proficiency tests included, must have the RA's name and/or the page numbers at the bottom of the paperwork. If this is missing from any or all of the pages, do not complete the admin review. Return the file to the RA to have them ensure that the previous approvals have all been signed off correctly. The Super Users can roll back the approvals to make sure the final case file will have the RA's name and the page numbers in the footer.
- 3.3.4 If there is a minor error in the report that needs correction (typographical error, duplicate words, misspelled words), the administrative review CANNOT be completed until the analyst and/or technical reviewer has been notified and the correction made. The admin reviewer will alert the analyst and/or the tech reviewer as to the corrections needed. Once the corrections are made, the administrative review will be approved, and report distribution can be completed.
- 3.3.5 If the case file and/or case report needs to be returned to an analyst for a technical correction, do not "reject" the administrative review in LIMS. The technical reviewer will need to be contacted in order to reject the review at the technical level. Please contact a LIMS Super User for assistance with this. The analyst will be responsible for making the needed corrections. Once the corrections are made and the technical review has been reapproved, the administrative review will be approved, and report distribution can be completed.
- 3.4 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.
- 3.5 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.

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- 4.2 For Administrative Completion of Cases of paperless LIMS case records, no certification is required after administrative review.

### 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.

5.1.2 LIMS generated proficiency test reports will be automatically e-mailed using "DNAproficiency" in the Distribution List tab for that case report.

- 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.

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- 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)
- 5.3.1 Click on the Internet Explorer icon and navigate to URL: <https://cases.nypd.org/ecms/login.action>. 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.
- 5.3.2.1 **Note:** If you do not log in to ECMS at least once a month your account will require the password to be reset.
- 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).
- 5.3.4.1 When uploading a suspect report to ECMS, the complaint number of the comparison EVIDENCE FILE should be the “primary” complaint number entered. This is so the NYPD can see the comparison report between the suspect and the evidence items of interest. This complaint number will be listed in the body of the suspect report. If the complaint report included within the suspect file is different (i.e. the suspect was initially submitted for comparison to another case, or it came in as a “database-only” suspect), that complaint number can be listed secondarily in the “additional complaint numbers” field at the bottom of the screen.
- NOTE: For suspect reports that are “database-only” comparisons and therefore have no complaint number listed in the body of the report, the complaint report included in the left side of the file should be used. These cases still need ECMS upload. Also, enter the FB number in its entirety into ECMS, i.e., “FB15-01455”, “FBS14-00448.” Do not leave out the “FB,” “FBS,” or the dash mark.
- 5.3.5 Click on the “View Complaint” button to compare the complaint to the one in the file. Verify that the information corresponds.

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- 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:
- 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:
- Notification may be documented in the LIMS Case Record Communication Log (if one exists).
  - Notification may be documented in the LIMS Case Record Notes Section (if one exists).
  - Notification may be documented in the Case Contacts Form.

## 6 Case Record Certification

- 6.1 Paperless LIMS case records are to be certified upon completion of the administrative review process, with the exception of Administrative Completion of Cases (refer to section 4). No Certification Request Form is needed for LIMS paperless cases to be certified. Refer to the Case File Certifications section of the LIMS Procedures Manual for further instructions.
- 6.2 Non-paperless LIMS cases and pre-LIMS cases do not have to be certified at the completion of the administrative review process. These cases can wait until a Certification Request Form is received by the Laboratory.

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- 6.3 The [Certification as Department of Forensic Biology File as a Business Record](#) Form must be attached to the LIMS record upon the completion of the certification of a case record.

## 7 Case file routing

- 7.1 For non-paperless LIMS cases and pre-LIMS cases, 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 record should be sent to be filed away (if hard copy).
- 7.2 For paperless LIMS case records, unless minor corrections are necessary, or additional testing needs to be scheduled, nothing more needs to be done once administrative review, report distribution and certification have been completed.

## 8 Troubleshooting

- 8.1 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.
- 8.2 A supervisor of the Administrative Team can help with any questions regarding report distribution or file routing. For case specific questions, consult your supervisor.