

FORENSIC BIOLOGY ADMINISTRATIVE MANUAL

Control of Records		
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Control of Records

1 Guiding Principles and Scope

- 1.1 All Department of Forensic Biology quality and technical records will be legible and readily retrievable from storage.
- 1.2 This section will establish the procedures for the identification, collection, indexing, access, filing, storage, maintenance, and disposal of quality and technical records.

2 Procedure

- 2.1 **Quality Records** include, but are not limited to, audit reports, personnel qualifications, training records, continuing education records, corrective actions, management system reviews, validation studies, proficiency test records, archived manuals, court testimony monitoring records, quality incident review reports, preventative actions, and reagent and equipment performance verifications and maintenance.
- 2.2 **Technical Records** are defined as examination and administrative documentation as part of individual laboratory case files. These include, but are not limited to, written reports of analytical findings, interpretations, and conclusions formed from these findings; bench notes, worksheets, computer data files associated with electropherograms, printed electropherograms, etc. used to reach these conclusions.; records of phone conversations, court orders, and discovery requests.

3 Identification

- 3.1 Technical records are prepared whenever examinations are performed and are marked (either handwritten or computer printed) with a laboratory number for identification and association to a case record.
- 3.2 Quality records are identified by appropriate information on the records, such as a header with the title of the record.

4 Indexing

- 4.1 Technical records are indexed by the laboratory case numbers. Quality Records are indexed according to the type of record (i.e., audit reports, management system reviews) and by the date the record was created.

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5 Collection

- 5.1 Records are collected for filing and/or storage in a timeframe which varies according to the specific type of record. For example, electropherograms are collected with other records that are associated with the same laboratory number; calibration records are collected with other calibration records associated with the same equipment.

6 Maintenance – Filing, Storage, and Access to Records

- 6.1 All Departmental records are filed or otherwise stored in designated areas within the DNA Building, the Forensic Biology network, Qualtrax or the LIMS. Access to Departmental records is restricted to those individuals with approved access to the secure areas of the building where records are stored. All Forensic Biology members are granted access to the Forensic Biology network, to Qualtrax and to the LIMS. The Director of the Department of Forensic Biology may grant limited access to designated areas within the DNA Building, to the Forensic Biology network, to Qualtrax and/or to the LIMS to non-Forensic Biology personnel as deemed necessary for support of Department of Forensic Biology activities.

Note: Use of the LIMS system demonstrates the user's agreement to abide by the DOHMH Standards of Conduct, OCME Policy Manual, and the standard operating procedures of the Department of Forensic Biology (if applicable), including the ANAB Guiding Principles of Professional Responsibility for Forensic Service Providers and Forensic Personnel. All keystrokes and activities conducted in the LIMS system are recorded in the LIMS audit trail. Any unauthorized activity or violation of these standards, policies or procedures is subject to applicable non-conforming work procedures, OCME disciplinary action, and if deemed appropriate, civil and criminal prosecution.

- 6.1.1 Most hard-copy case files are stored in the OCME Records department and are accessible by Forensic Biology personnel upon request.

- 6.1.2 Electronic case files are stored in the LIMS. Electronic scanned casefiles and validation studies are stored on the network and are accessible to Forensic Biology personnel and non-Forensic Biology personnel as deemed necessary for support of Department of Forensic Biology activities.

- 6.1.3 Hard-copy quality records that have any degree of confidentiality (such as personnel qualifications and court testimony monitoring records) are stored in the Quality Assurance Unit and are accessible to Quality Assurance personnel and Management Team members only.

- 6.1.4 Electronic quality records that have any degree of confidentiality (such as non-conforming work forms) are stored on the Forensic Biology Network, in Qualtrax or in the Forensic Biology Data Management System in a secure manner accessible to Quality

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Assurance personnel and Management Team members. Limited access may be granted to other Forensic Biology and non-Forensic Biology personnel as needed to support Department of Forensic Biology activities.

- 6.1.5 Electronic quality records that are not of a confidential nature are stored on the Forensic Biology Network, in Qualtrax, or in the Forensic Biology Data Management System in an appropriately designated folder and are accessible to Quality Assurance personnel and Forensic Biology personnel.
- 6.1.6 Other hard-copy technical and quality records are stored appropriately with the person/unit responsible for the record, such as the OCME Records department, the Quality Assurance Unit, the Training Unit, or with the DNA Technical Leaders.
- 6.1.7 Electronic Technical records are saved on the Department's secure network, Qualtrax or in LIMS and are accessible only to Forensic Biology personnel or non-Forensic Biology personnel as deemed necessary for support of Department of Forensic Biology activities.
- 6.2 The Department's network is backed-up by the NYC Department of Information Technology and Telecommunications (DOITT) to ensure the availability of data.
- 6.3 Records produced by the Department of Forensic Biology may be converted to another format should storage space become an issue (e.g., hard copies scanned and uploaded to a secure network). See the [*Protocol for Digitization of Forensic Biology Records section of the Forensic Biology Administrative Manual*](#). Alternatively, the New York City Department of Records and Informational Services (DORIS) can arrange for storage space of hard copy records for all New York City agencies. Should the services of DORIS be needed, the OCME Legal Department will be consulted and will act as the Department's liaison with DORIS.

7 Retention

- 7.1 The Department of Forensic Biology follows the New York City Charter which prohibits the destruction of any record without consent from the New York City Department of Records and Informational Services (DORIS), Corporation Counsel and the Office of the Chief Medical Examiner.

8 Disposal

- 8.1 In the unlikely event that the destruction of records becomes necessary, the OCME Legal Department will be consulted first, and will act as a liaison with DORIS and the Corporation Counsel.