

## CQR: Maintenance of Case Records

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**Definition of case record**

4.13.2.4

The case record includes all files containing administrative and examination records and any other applicable technical records (electronic or hard copy) generated or received by the laboratory pertaining to a particular case.

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**Case records**

4.4.2

4.13.1.1

4.13.2.1

4.13.2.4

Case records contain records related to the analysis of evidence and reporting of results and may include

- report(s) including
    - original
    - supplemental
    - amended
  - summary sheet
  - laboratory examination records including
    - notes
    - photos and digital imaging
    - sketches
    - subcontractor's reports
  - Request for Crime Lab Examination (DA-7)
  - assignment sheet
  - other administrative documentation
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**ASCLD/LAB declaration**

5.10 Note 1

The case record contains all of the relevant information required by ISO/IEC 17025 in the sub-clauses of 5.10.2 and 5.10.3.

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**Case record storage**

4.13.1.2

4.13.1.3

4.1.5.c

Case records are filed in the file room in numerical order according to the laboratory's unique case number. Access to the file room is secured and controlled by proximity card readers; access is limited to laboratory personnel. Case records that are part of an on-going investigation or needed for trial preparation may be stored in the analyst's work or desk areas.

NOTE: Quality control records for toxicology and blood alcohol analyses are filed in the respective laboratories or in the file room.

NOTE: Batch files for DNA cases are filed in the Biology laboratory or the DNA file room.

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## CQR: Maintenance of Case Records, Continued

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**LIMS data** The Sacramento County District Attorney Bureau of Information Technology is responsible for the

[4.13.1.4](#)

[4.1.5.c](#)

- protection and backup for technical records stored electronically, and
  - prevention of unauthorized access to or amendment of technical records
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**Filing case records**

The administration staff should file case records.

Laboratory staff should place case records in the designated laboratory filing space located in the administration area.

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**Multiple submissions or activities in a case**

If a case has more than one submission or activity, case records should be placed in a case folder or binder, as appropriate, which is labeled with the laboratory's unique case number.

NOTE: Case records consisting of one report on a single submission or activity do not require a case folder.

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**File room access**

[4.13.1.3](#)

The file room is locked; laboratory personnel gain access using their security access cards. Refer to *FAS: Access Card Control* in the *Quality Manual* for further information regarding security access cards.

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**Obtaining case records**

Laboratory staff may obtain case records from the file room in one of the two following ways:

- submit a *Request for Laboratory Case File* to the administration staff, or
  - personally check out case records
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## CQR: Maintenance of Case Records, Continued

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### Checking out case records

To check out case records from the file room, use the following procedure.

Step	Action
1	Completely fill out an <i>Out Card</i> including:  initials case number (including request number) of the records you are removing date
2	Place the <i>Out Card</i> in the location from which the records were removed.

**IMPORTANT:** Remove only the case records that pertain to your work.

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### Removal of original records from the laboratory

In most cases, original case records should not be removed from the laboratory.

Laboratory staff should make copies of case records to take to court.

Exception: Original case records may be taken to court in unusual circumstances, for example:

- the case is excessively large
  - a clear, accurate copy of the records cannot be made
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### Refiling case records

The administration staff should refile case records in the file room and remove the out card.

Laboratory staff should place case records in the designated laboratory filing space located in the administration area.

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### Retention of case records [4.13.1.2](#)

Case records will be stored in the laboratory for at least one accreditation cycle or five years (whichever is greater). After five years they may be transferred to long-term county warehouse storage. Exception: DNA case records with case numbers prior to 2009 may be stored at the county warehouse.

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