

KERN REGIONAL CRIME LABORATORY

Laboratory Services Section, Quality Assurance Unit



Information Bulletin on the Structure and Components of Provided Laboratory Discovery

QT287338 v8

Creation Date: 02/27/2020

INTRODUCTION

The purpose of this document is to provide guidance to criminal justice and law enforcement agencies as to the structure, naming convention and components of case discovery released by the Kern Regional Crime Laboratory. Laboratory discoveries contain a variety of document formats that are dependent on the source software. Instrument source software is usually required to view instrument raw data files. To maximize efficiency, laboratory discoveries are created and released digitally.

Additional non-standard discovery items can be requested once agreed upon by both parties or court ordered by a judge.

DISCOVERY STRUCTURE

Breath Alcohol Case Discovery

Breath alcohol case discoveries typically have four PDF items in one zip file.

Main folder title: [incident date]_[instrument serial number]_[test number(s)]_[court case number or DL# for defense]

 230601_ARBH0105_1296-1298_BF123456A

1. [incident date]_[instrument serial number]_[test number(s)] (*Qualtrax case file*)

 230601_ARBH0105_1296-1298.pdf

- a. Completed discovery notification, if applicable;
- b. Discovery folder screenshot (*The screenshot will show the Qualtrax folder ID number and revision number.*);
- c. Initial Discovery request email or subpoena, if defense;
- d. Analyst email reply;
- e. Affidavit, if applicable;
- f. Device service log, if applicable;
- g. Case-specific RQV, if applicable; and
- h. Existing Qualtrax case file if present.

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2. [instrument serial number]_[test number]_Reports

 ARBH0105_1296-1298_Reports.pdf

- a. Breath accuracy report(s)
- b. Preliminary screening report(s)
- c. Evidentiary report(s)

3. [Incident Date]_[instrument serial number]-[# of maintenance events]-QT ID-ver#

 210223_ARBH-0105-2-315625-2.pdf

- a. Calibration certificate and supporting records
- b. Maintenance worksheet(s) and supporting records
- c. Procedures used for calibration and maintenance

4. PEBT Operator-Key Operator Discovery-QT ID-ver#

 PEBT Operator-Key Operator Discovery-221577-43.pdf

- a. List of all PEBT operators and key operators

Analytical Unit Case Discovery

Main folder: [lab number]_[court case number or DL# if defense]

 > 23-CL-01425_BM123456A
1. [lab number using underscores]-QT ID-ver# (*Qualtrax Case file*)
 23_CL_01425-378280-1.pdf

- a. Completed discovery notification, if applicable;
- b. Discovery folder contents screenshot;
- c. Initial Discovery request email or subpoena, if defense;
- d. Analyst email reply;
- e. Affidavit, if applicable;
- f. Case-specific RQV, if applicable; and
- g. Existing Qualtrax case file, if present.

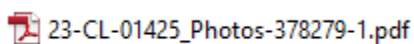
2. [lab number]_CasePacket-QT ID-ver# (*information from LIMS*)
 23-CL-01425_CasePacket-378278-1.pdf

- a. Case notes report (case overview);
- b. Milestones (dates and times requests were entered and analyses and reviews were completed and by whom);
- c. Technical review sheet, if applicable, request 0001; Report request 0001, Request Notes, if applicable, Request 0001; additional requests using the same ordering; and
- d. Case evidence chain of custody.

3. [lab number]_[unit]_Photos-QT ID-ver#

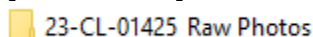
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- a. Mideo photographs with descriptions (the unit name may be omitted if there are only photos from one unit)

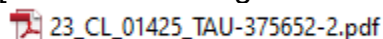
4. [lab number] Raw Photos



- a. Raw images in JPG format

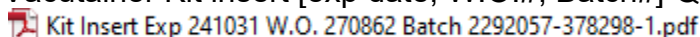
Toxicology Specific Items

1. [lab number using underscores]_[unit]-QT ID-ver#



- a. Case specific chromatograms, data files, case specific technical review sheets (if applicable), etc.

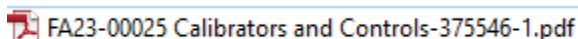
2. Blood Vacutainer Kit insert [exp date, W.O.#, Batch#]-QT ID-ver#



- a. Blood vacutainer Certificate of Compliance

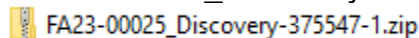
Note: starting August 16, 2024, the Certificate of Compliance will no longer be provided in discovery. This certificate can be obtained at the following BD regulatory website: <https://regdocs.bd.com/regdocs/qcinfo>. The catalog number is needed which is 367001 (also on kit box) and the BD lot # which is on a label on the kit box. A photo of the kit box is provided in discovery.

3. FAYY-XXXXX Calibrators and Controls-QT ID-ver# (*alcohol analysis*)



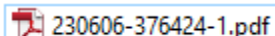
- a. Sequence technical review sheet for alcohol run
- b. Sequence run list
- c. Calibrators and controls Chromatogram data

4. FAYY-XXXXX_Discovery-QT ID-ver# (*alcohol analysis discovery zip file*)



- a. Procedures and protocols
- b. Maintenance
- c. Raw data
- d. Standards & Controls
- e. Instrument records

5. YYMMDD-QT ID-ver# (*Tox drugs sequence information*)



- a. Tox drug Technical Review sheet
- b. Sequence Summary & Component Summary
- c. Results data for sequence including calibrators etc.

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d. Acquisition Method and Processing Method

6. YYMMDD_Discovery-QT ID-ver# (*Tox Drugs discovery zip file*)

 230606_Discovery-376425-1.zip

- a. Procedures and protocols
- b. Maintenance records for year prior to analysis
- c. Certificates of Analysis or Quality Control workflows for reagents used in analysis
- d. Reagents list

Seized Drug Specific Items

1. [lab number using underscores]_[unit]-QT ID-ver#

 23_CL_01944_DTU-379001-1.pdf

- a. Case specific chromatograms, data files, case specific technical review sheets (if applicable), etc.

2. A[1, 2 or 3]-YYMMDD-QT ID-ver# (*instrument sequence information*)

 A2-250715-379003-1

- a. Sequence technical review sheet
- b. Instrument parameters
- c. Controls/blanks/standards data
- d. Sequence run list

3. A[1, 2 or 3]-YYMMDD_Discovery-QT ID-ver# (*discovery zip file*)

 A2-250715_Discovery-379002-1

- a. Sequence raw data folder
- b. Procedures/protocols
- c. Reagent lists
- d. Instrument and equipment maintenance logs

Firearms & Toolmarks Unit Specific Items

1. [lab number]_FTU_Discovery-QT ID-ver#

 23-CL-01296_FTU_Discovery-379828-1.zip

- a. Procedures and protocols using for analysis
- b. FTU worksheets (case notes)

DNA Specific Items

Files from requests completed before 2024:

1. [lab number#]_[unit]_data-QT ID-ver#

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-  23-CL-00964_DAU_data-376706-2.pdf
 - a. Case specific allele tables, Popstats calculations and CODIS offender match request, if completed.
2. [Initials]_[lab#]_[request#]_[kit initials]_YYMMDD-QT ID-ver#.ser
 br_23-CL-00964_0001_GF_230512-376707-1.ser
 - a. GeneMapper IDX project for request
3. DAU_data-QT ID-ver#
 DAU_data-376708-1.zip
 - a. Raw data files for the case plus controls for the batch
4. YYMMDD_[initials of analyst]-QT ID-ver#
 230424_AH-373187-1.xlsm
 230508_AH-374025-1.xlsm
 - a. DNA workbook(s) for the batch – input/out data files for batch
5. [lab#]_[request#]_TrueAllele_[initials]-QT ID-ver#
 23-CL-00964_0001_TrueAllele_br-376705-1.zip
 - a. All TrueAllele data files for the case including Match spreadsheets
6. [lab#]_Specimen Report_[DNA#]-QT ID-ver# (CODIS)
 23-CL-00964_Specimen Report_E2923X-376954-1.pdf
 - a. LDIS Specimen Details Report
7. DAU_Procedures_Protocols-QT ID-ver#
 DAU_Procedures_Protocols-376709-1.pdf
 - a. Procedures and protocols used in the case

Files from requests completed in 2024 or later:

1. [lab#]_[request#]_DAU-QT ID-ver# (zipped folder containing the following):
 24-CL-00030_0003_DAU-397478-1
 - a. Request specific TrueAllele data (if applicable);
 - b. Request specific raw data files (including ladders and controls) (if applicable);
 - c. Request specific PDF data file including but not limited to allele tables and Popstats calculations;
 - d. Request specific procedures/protocols (if applicable); and
 - e. Request specific GeneMapper ID-X project(s).
2. [lab#]_DAU_CODIS-QT ID-ver#

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 24-CL-00030_DAU_CODIS-397761-1

- a. Case specific CODIS documents including but not limited to Specimen Details Report(s), Hit Letter(s), and Match Requests.

Workbook from SeqStudio Genetic Analyzer

1. YYMMDD__[initials of analyst]-QT ID-ver# (Excel workbook containing the following):

 250716_gss-434525-2

- a. Procedures folder
- b. Run folder
 - i. Instrument Files folder
 - ii. Reports
 - iii. PrepFiler input file
 - iv. Quantitation results (.txt)
 - v. Seqstudio run list(s)
- c. PDFs folder
 - i. Quantitation Standard Curve and technical notes (if applicable)
 - ii. Globalfiler/Yfiler electropherograms

Note: If Next Generation Sequencing (NGS) was run for the case, the data is provided on a USB/flash drive.

Nonstandard Discovery

1. [lab number]_Nonstandard Discovery
 - a. Each nonstandard item must be specifically requested, for example, temperature logs/alarms, analyst curriculum vitae, analyst RQV, DNA electropherograms.

Note: The penultimate number of most numbered components is the Qualtrax ID (QT ID) number, and the last number is the revision number (ver#).

Discoveries provided prior to March 16, 2020 may adhere to the following general structure, mainly in one PDF document:

1. Initial request
2. Analyst email reply
3. Affidavit, if applicable
4. Case notes
5. Chain of custody
6. Inbound and outbound evidence receipts

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7. Milestones
8. Analytical reports
9. Photographs
10. Unit-specific items (sequence data, maintenance documentation, additional requested information, etc)
11. Qualtrax documentation (procedures and protocols)
12. Temperature logs and alarms (if requested)
13. Blood kit insert
14. Case specific RQVs
15. Electronic case file

Document Abbreviations	
CODIS	Combined DNA Index System (DNA database)
DAU	DNA Analysis Unit
DL	Driver's License
DTU	Drug Testing Unit
EXP	Expiration
FA	Forensic Alcohol
FTU	Firearms and Toolmarks Unit
GeneMapper IDX	DNA interpretation software
ID	Identification
JPG	Joint Photographic Experts Group (photograph image format)
LDIS	Local DNA Index System (local DNA database that is part of CODIS)
LIMS	Laboratory Information Management System (software)
PDF	Portable Document Format
PEBT	Portable Evidentiary Breath Testing (breath alcohol testing instrument)
QC	Quality Control
QT	Qualtrax (document and record control software)
RQV	Report of Quality Variance
.ser	File type for GeneMapper IDX files
TAU	Toxicological Analysis Unit
Tox	Toxicology
TrueAllele	DNA mixture interpretation software
ver	Version number
W.O.	Work Order (for blood vacutainer kit inserts)

END OF DOCUMENT

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