



# LPU – 5

## Case Files and Records

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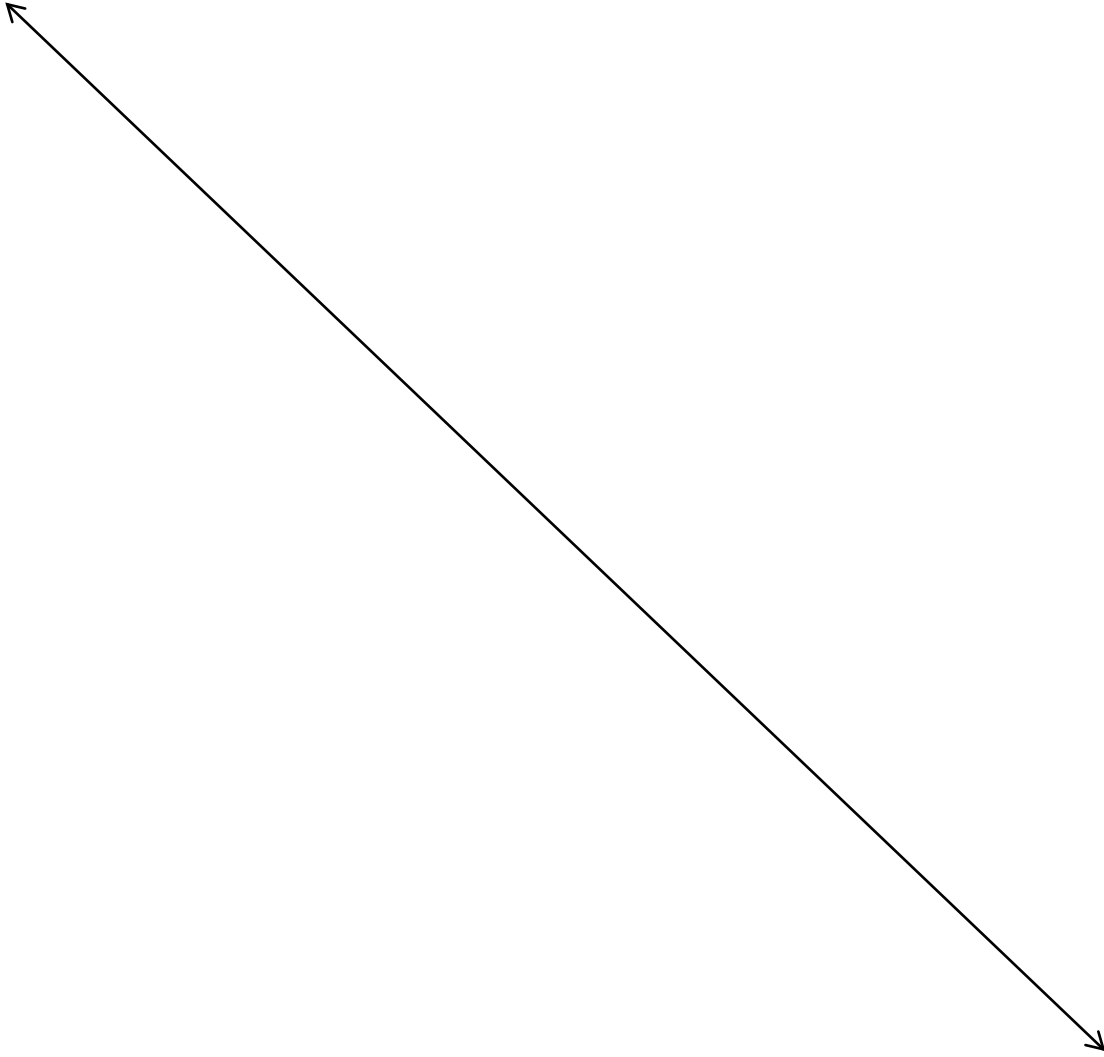
# Charlotte-Mecklenburg Police Department

## Purpose

The purpose of this SOP section is to clearly define the content and supporting documentation required to meet the documentation standards of the Crime Lab QM 5.10 and ASCLD Lab Supplemental C Latent Print reporting standards.

In general, analytical reports and case files and records shall be electronically completed and submitted according to current policies set forth in the Crime Lab QM 5.10 and current ASCLD Lab minimum reporting standards. This policy mandates specific requirements that shall be adhered to, *in addition*, to the policies outlined in the QM.

**Note:** *As of 04/06/2014 the Latent Print Section of the CMPD Crime Lab has transitioned to electronic paperless case records. For purposes of this policy, files indicates a hard copy and record indicates an electronic record in PLIMS.*

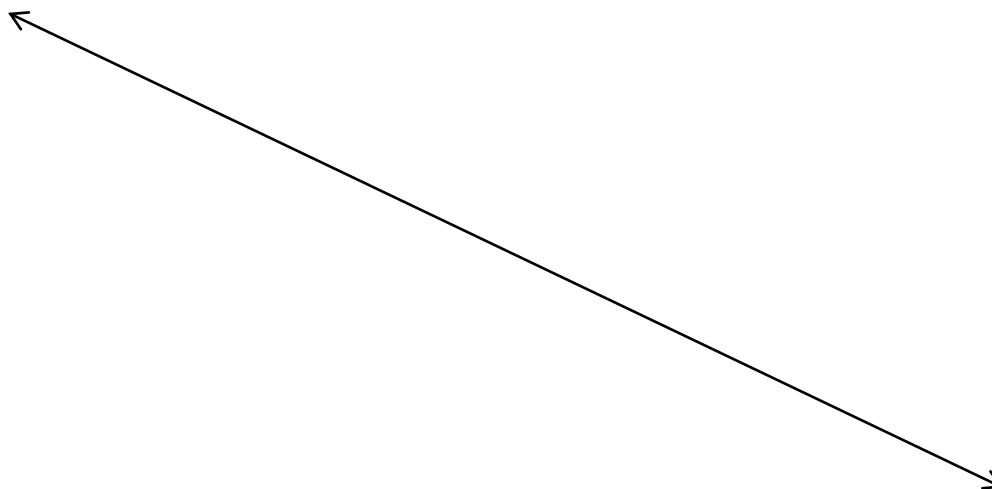


# Charlotte-Mecklenburg Police Department

Crime Laboratory – Latent Fingerprint Unit	
Standard Operating Procedure Manual	
SOP # 5-1	Subject: General Requirements
Approved: David C. Schultz	Matthew C. Mathis

## General Requirements

1. An analytical report shall be issued for all latent print comparative analysis or evidence processing that comes to a conclusion or opinion. An electronic case record shall be generated in PLIMS and any required case information shall be attached to the electronic case record. Analytical reports shall not be issued for latent print inventory and intake evaluations, electronic searches when there is no contributing candidate returned and for ten print validations of electronic standards.
2. All latent fingerprint analytical reports and case Record/file contents shall meet the minimum requirements of the CMPD Crime Laboratory QM 5.10, and ASCLD-Lab appendix “C” latent print reporting standards requirements as outlined in this SOP. Section 5-2-1 shall meet the requirement of inconclusive analysis documentations as contained in the report footer and required by QM 5.10.3.7.
3. The release of Latent Print case files and records for discovery, prosecutors, defense attorneys or police/investigators shall be managed by the Section Administrator or their designee and the release shall meet all current QM requirements as well as 5.6.3 of this policy.
4. Existing original master paper case files issued prior to electronic conversion shall not be released by the latent print section.



# Charlotte-Mecklenburg Police Department

Crime Laboratory – Latent Fingerprint Unit	
Standard Operating Procedure Manual	
SOP # 5-2	Subject: Analytical Reports
Approved: David C. Schultz	Matthew C. Mathis

## Analytical Reports

1. All analytical reports generated by the Latent Print Unit shall clearly display the following statement contained within the footer of the analytical report. This statement shall meet the requirement of QM 5.10.3.7 for inconclusive results.

**This report contains opinions and interpretations. Detailed methodology on the processes used to reach these opinions and interpretations can be found in CMPD Latent Fingerprint Unit Policy and Procedure. Only latent print impressions of value are contained in this report. Other latent impressions or marks of no value may be present in the original submissions that were not subject to comparative analysis.**

### **Identified:**

Indicates that the fingerprint impression has been individualized to a specific source.

### **Dissimilar:**

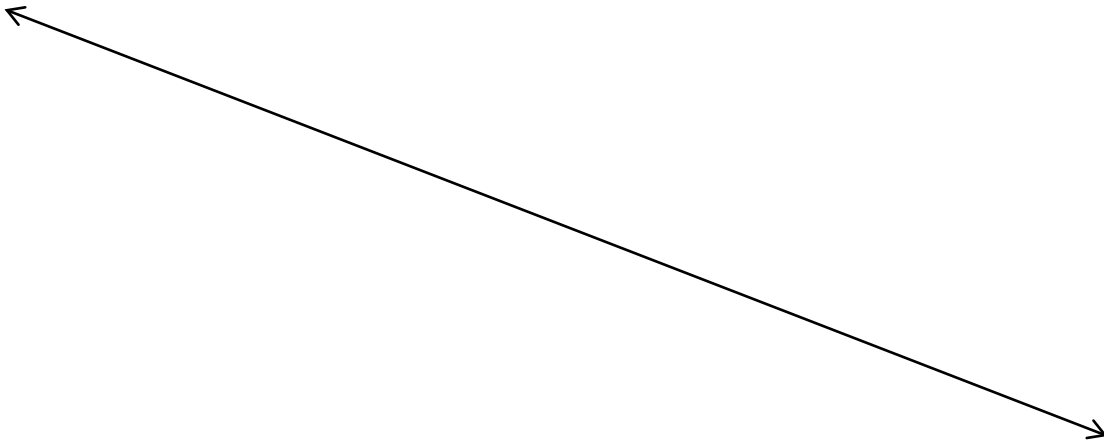
Indicates that the fingerprint impression originated from another source and that the listed subject has been excluded as the contributor.

### **Inconclusive:**

Indicates no conclusion has been reached due to factors such as poor quality, clarity, or insufficient information present in the latent fingerprint or known standard impression.

### **Not Identified:**

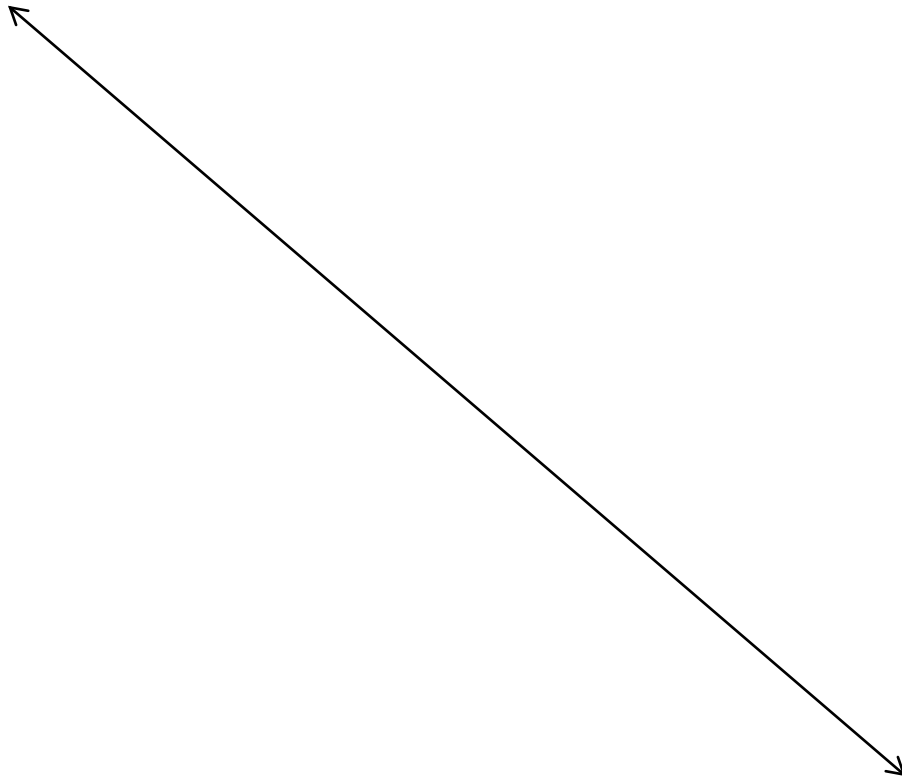
Indicates no identification of an impression has been made and applies only to individual cards that may possess both dissimilar and inconclusive clustered or overlain impressions.



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## Analytical Reports Continued

2. At a minimum, all analytical reports shall contain the following information if applicable to the specific case. It is understood that all of the required information may not exist for every case, but if such information exists and is legible it shall be included in the report.
  - a. Suspects
  - b. Contributors
  - c. Case number
  - d. Date of report
  - e. Type of case analysis
  - f. Evidence analyzed
  - g. If individualized, the surface the latent was recovered from.
  - h. Any known standards examined as part of the analysis.
  - i. State Identification Number (SID) of identified contributors.
  - j. All latent prints that were subject to analysis and any conclusions reached.
  - k. The date and analyst that completed the peer review.
  - l. Analyst electronic signature.
  - m. The basis for conclusions is clearly described in LPU-2 and shall not be required to be communicated on every analytical report.



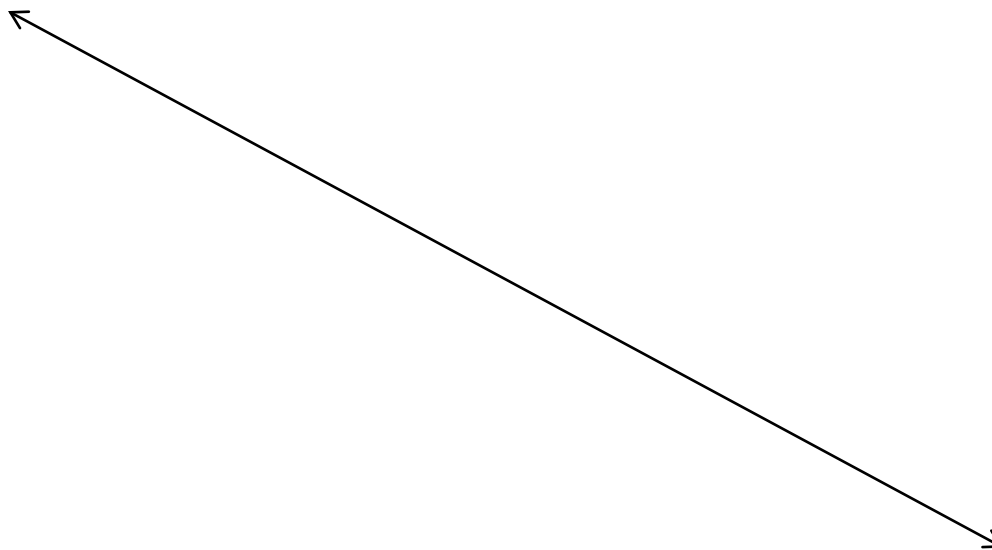
# Charlotte-Mecklenburg Police Department

Crime Laboratory – Latent Fingerprint Unit	
Standard Operating Procedure Manual	
SOP # 5-3	Subject: Case Record/File Contents
Approved: David C. Schultz	Matthew C. Mathis

## Case Record/File Contents

Case Record/Files shall contain the following documentation, if applicable, so that another competent examiner or supervisor can evaluate what was done and be able to interpret the data.

1. Latent card scans/copies if impressions of value are present.
2. Analytical Report.
3. Any notes entered into the PLIMS Matrix screens.
4. Exemplar scans/copies of ten print and palm prints.
5. Any applicable charts, photos or graphic displays.
6. Scans/copies of latent print submission envelope 0-21-PD front and back.
7. Any existing communications, e-mails, and documented phone calls regarding the case as scanned attachments or directly imported electronic files. These may be scanned to the assignment or entered directly into case correspondence link.

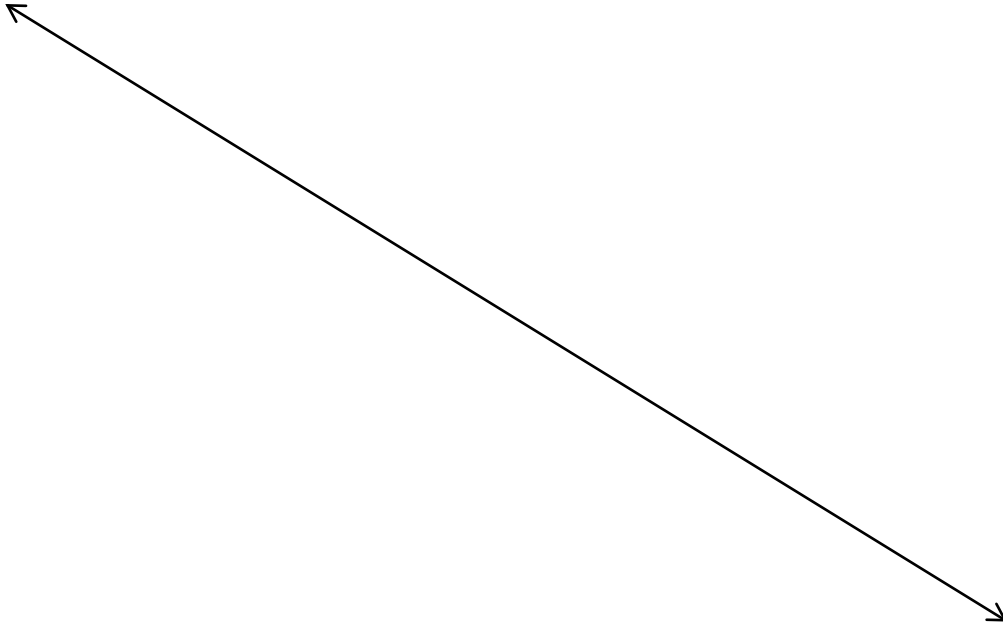


# Charlotte-Mecklenburg Police Department

Crime Laboratory – Latent Fingerprint Unit	
Standard Operating Procedure Manual	
SOP # 5-4	Subject: Technical/Administrative Review
Approved: David C. Schultz	Matthew C. Mathis

## Technical / Administrative Review

1. All case files will be reviewed in accordance with the CMPD Crime Lab **QM 5.9**.
2. All case files resulting in individualization shall be technically and administratively reviewed at 100% by the section supervisor or his designee. All reports that do not result in an individualization or do not result in physical development of ridge detail will be 100% administratively reviewed by the section supervisor or his designee and at a minimum 10% technically reviewed by the section supervisor or his designee.
3. Reviewing analyst/supervisor or designee shall electronically review the case assignment in PLIMS. Clicking on the Review Complete tab in PLIMS indicates successful review of assignment contents. Assignments that are rejected will be sent back to the analyst. Reviews are tracked in PLIMS and do not require an electronic signature.
4. Administrative and technical reviews may not be conducted by the author of the test report.



# Charlotte-Mecklenburg Police Department

Crime Laboratory – Latent Fingerprint Unit	
Standard Operating Procedure Manual	
SOP # 5-5	Subject: Release of Case Files and Records
Approved: David C. Schultz	Matthew C. Mathis

## Release of Case Files and Records

1. All release of case files and record information, at a minimum, shall be in accordance with **CMPD QM 5.10.3.3..**
2. All requests for discovery shall be routed through the Latent Print Unit supervisor or his designee.
3. All case files and records released shall be documented within the original case file/record. Emails requesting the release of the files/records and emails indicating the files/records were transferred to the requester shall be electronically attached to the case file.

