



**Houston Police Department LIMS
As-Is Workflow Document**

Version 2 Release 4

REQUEST FOR PROPOSAL

S37-T22904

EXHIBIT XI

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1. HPD Laboratory Overview

The Houston Police Department (HPD) Crime Laboratory (Crime Lab) Division and the Identification Division (ID) serve Houston, Texas the fourth largest city in the US. The Crime Lab operates on the 10th, 24th, 25th and 26th floors and ID operates on the 10th and 25th floor of the HPD Headquarters Building in downtown Houston. Plans call for the laboratories to co-locate with the Property Room located approximately 1½ miles away.

The relationship of the Crime Lab and ID within the HPD organization is shown in the next figure:

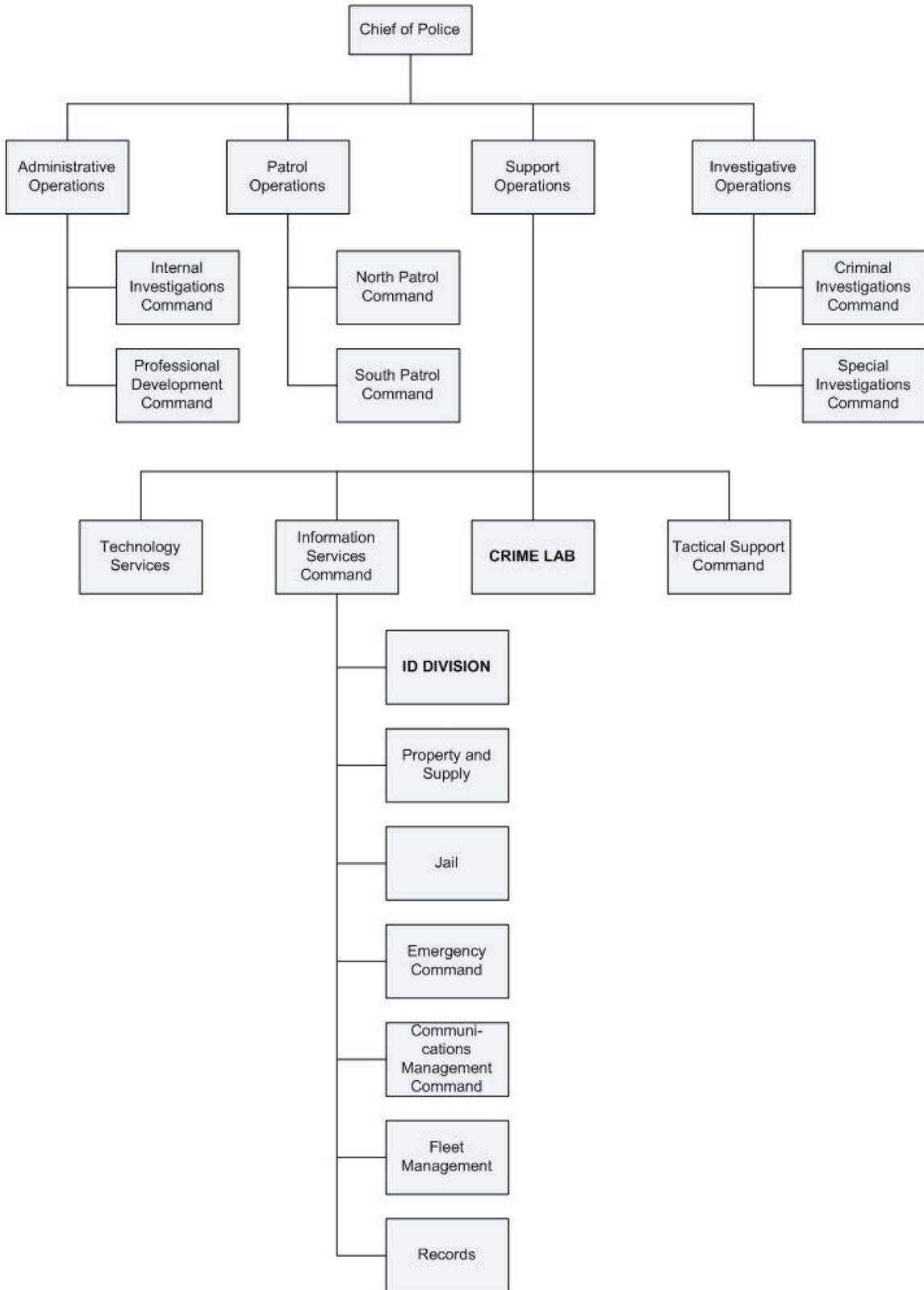


Figure 1 HPD Organization

1.1 Crime Lab

On average the Crime Lab processes more than 50,000 pieces of evidence from more than 15,000 criminal cases annually conducting more than 100,000 analyses. The Crime Lab recently received full accreditation by the American Society of Crime Laboratory Directors / Laboratory Accreditation Board (ASCLD/LAB) under its Legacy program and plans to reaccredit to the ASCLD/LAB International Standard, which is based on ISO/IEC 17025. The Crime Lab is also regulated by the Texas Department of Public Safety (DPS) and the US Drug Enforcement Administration (DEA).

The Crime Lab, which is headed by a Laboratory Director who reports to the Executive Assistant Chief of Support Operations, has four technical sections – Controlled Substances / Toxicology, Biology / Trace Evidence, Firearms, and Questioned Documents – as well as a Centralized Evidence Receiving section. Each Section is supervised by a Manager, Supervisor or Administrator who reports to the Laboratory Director. The Quality Assurance (QA) Manager coordinates adherence to the laboratory Quality System. Clerical and administrative staff provides support to the Laboratory including information technology (IT) and budgetary support.

The organization of the Crime Lab is shown in the next figure:

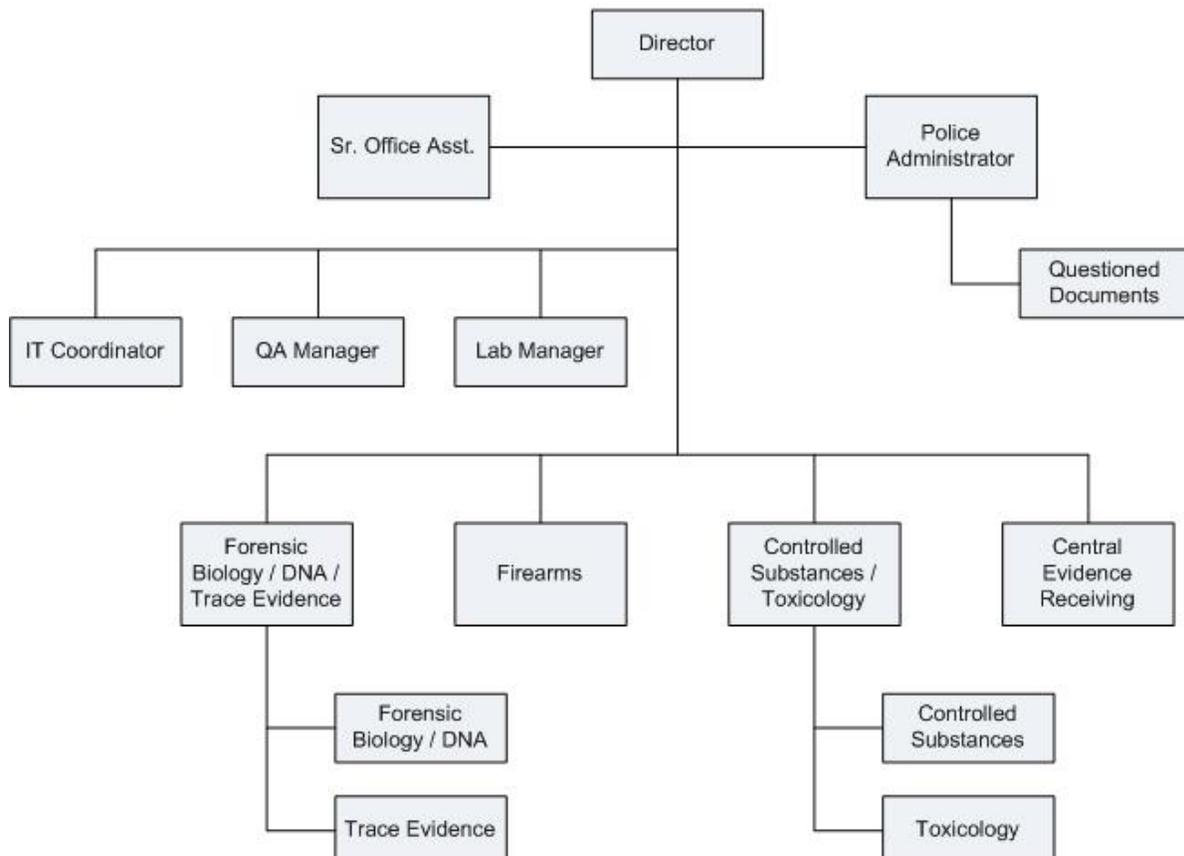


Figure 2 HPD Crime Lab Organization

1.2 Identification Division

The primary function of ID is to match suspects with case evidence supporting prosecution. Customers of ID include Case Investigators, the District Attorney's (DA) Office, the Crime Laboratory, HPD Administrators and Outside Agencies. The ID Division is headed by an Administrator who reports to the Assistant Chief of the Information Services (IS) Command. ID has six technical units - Latent Prints, LiveScan AFIS, Audio Video, Photography, Microfilm, and Polygraph – as well as administrative support. Each Section is headed by a Supervisor who reports to the ID Deputy Administrator. The quality system of ID is coordinated by a Quality Manager who also reports to the Administrator.

ID plans to seek ASCLD/LAB accreditation for its operations except Polygraph, Microfilm and the Photo Lab. Accreditation will initially be to the Legacy program and eventually to the International Program. The organization of ID is shown in the next figure:

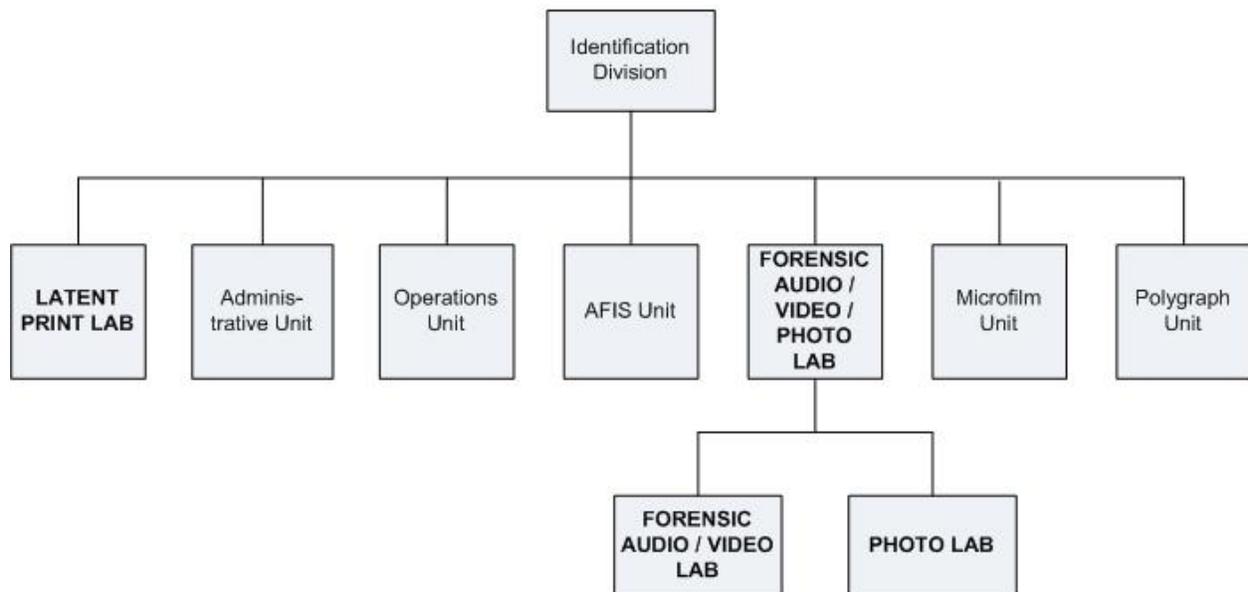


Figure 3 HPD Identification Division Organization

The following sections of the document describes existing practices of HPD operations, including workflow diagrams of key processes, interactions with systems and other organizations, decision points, inputs and outputs. It is intended as a descriptive summation of the processes in place to enable the reader to gain a clearer understanding of HPD operations. It is also intended to help clarify why certain LIMS functions are required by capturing the elements of processes that are beneficial with the anticipation of incorporating those elements into a new LIMS. This document will uncover elements of processes that are lacking or labor intensive, and will be provided by a new LIMS. Specific LIMS functional requirements will become more apparent when this document is combined with the LIMS Functional Requirements document to be delivered as a follow-on to this deliverable.

2. LIMS and IT Architecture

With a highly decentralized technology environments in eight different Houston City organizations, the City Chief Information Officer (CIO) implemented the concept of Chief Technology Officers (CTO) in each business unit. The CTOs are in most cases assistant director level executives who report to the department director as well as the CIO. This management structure provides the citywide benefits of some centralization, or in this case collaboration at the Information Technology (IT) Executive level, while retaining the effectiveness of IT support within each business unit. City Departments that currently have CTOs include the Houston Airport System (HAS), the Houston Public Library (HPL), the Houston Emergency Center (HEC), the Houston Police Department (HPD), Municipal Courts Administration (MCA), and Health and Human Services (HHS).

The HPD Technology Services Division (TSD) provides information services and technologies to all HPD operations. HPD TSD provides network and application infrastructure hardware and software support to numerous HPD facilities located throughout the city.

TSD supports HPD specific applications and desktops; City of Houston ITD (Information Technology Division) has responsibility for the network infrastructure and performance.

2.1 Infrastructure Platforms

HPD currently uses a variety of IBM Mainframe, Novell and Windows based network operating systems. Each floor of the HPD headquarters complex at 1200 Travis Street is a cordoned subnet of the HPD intranet for management purposes. The following diagram depicts the HPD network infrastructure:

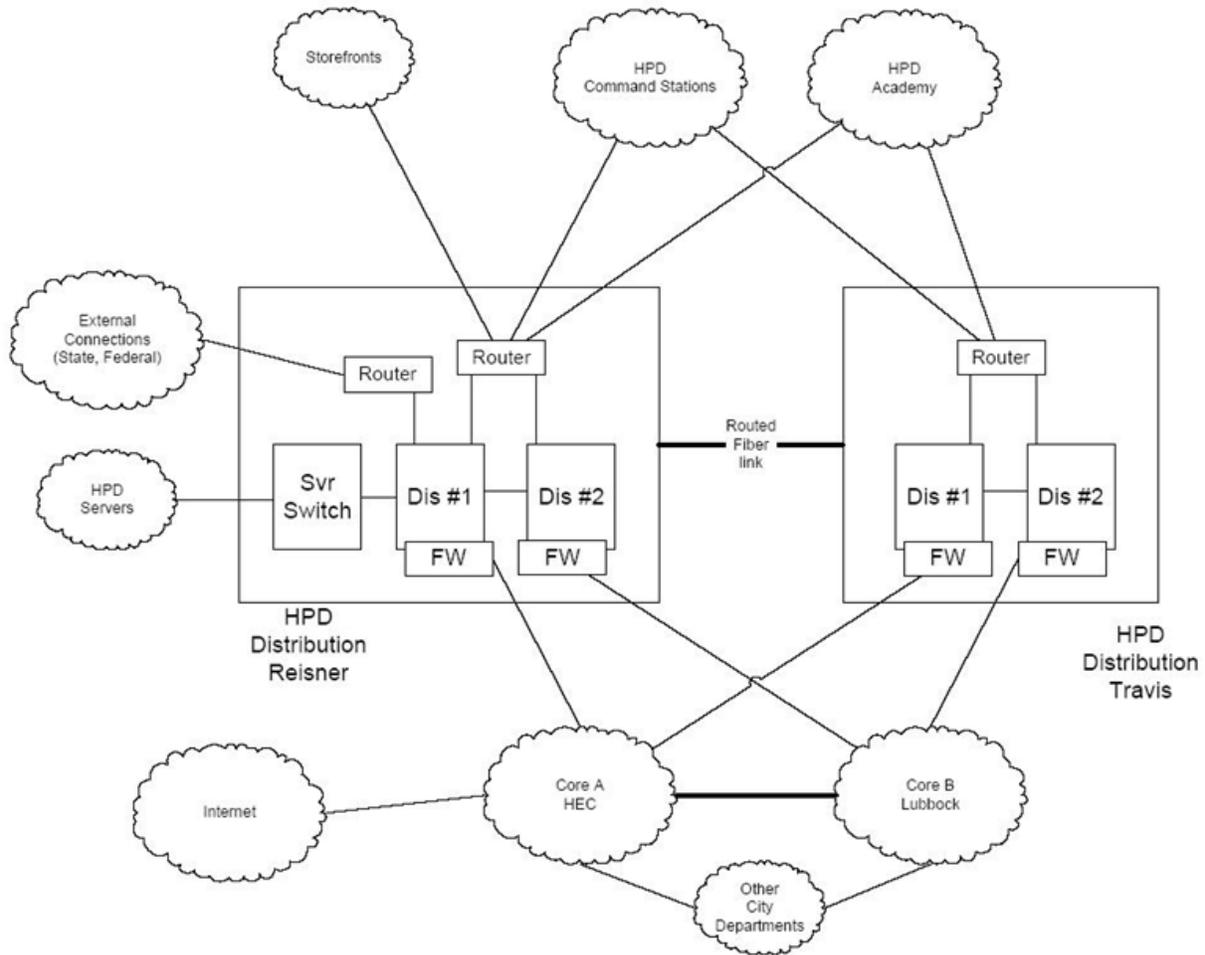


Figure 4 HPD Network Infrastructure

HPD is running 1GB at the core and distribution layers and 100MB at the access layer. All Criminal Justice Information System (CJIS) data are encrypted if they are transmitted via a public communication infrastructure (i.e., Verizon, Sprint, Phonoscope fiber optic lines, T1s, frame relay, etc).

The HPD server environment utilizes Novell GroupWise v6.5 for messaging, Novell Netware v6.5 operating system for file/print, and Microsoft (MS) Server 2003 Standard and Enterprise operating systems for Internet Information Services (IIS), MS SQL200X, and other specialized applications. Remote sites (major police stations) run Novell Netware 6.5 on Hewlett Packard DL385 Opteron servers in a flat eDirectory tree.

The Novell environment, using nSure Identity Manager, acts as the authoritative source for account moves, adds, and changes. Novell accounts are migrated and synchronized to the MS Active Directory domain.

The Novell GroupWise v6.5 environment currently consists of 4,000 end-user accounts running GroupWise client v6.5 SP5/6. The number of accounts will be expanded to 6,350 within the

year. There are three post office domains, nine post offices, two web access servers, and a Blackberry Enterprise Server for GroupWise v4.0 SP6 with 117 handheld devices. A connector server processes e-mail between HPD and the City of Houston MS Exchange 5.5 environment. Internet e-mail flows through the City of Houston messaging environment and uses the *firstname.lastname@cityofhouston.net* addressing convention.

All e-mail data transmitted server-to-server and server-to-client are encrypted with 128-bit encryption to National Institute of Standards and Technology (NIST), Computer Systems Laboratory certifications that meet Federal Information Processing Standards (FIPS) Publication 140-2 Security Requirements for Cryptographic Modules as required by CJIS policies. E-mail account archives are stored on the local desktop and are also encrypted to the certifications outlined above.

TSD is moving rapidly to rely solely on MS Active Directory Services. Novell's GroupWise will be replaced by Exchange Server. MS Internet Information Services 5.1 supports intranet web applications and ZenWorks is used to manage updates to client/server systems.

TSD performs industry standard backups of all mainframe and server systems with off-site storage provided by CommVault.

2.2 Workstation Computing

2.2.1 Hardware/Software Standards

TSD has provided the Crime Lab and ID with approximately 65 modern workstation platforms with supporting peripherals. Workstations operate on Windows XP in most areas. Analytical instrumentation computer systems are network compliant in most deployments and can be upgraded when necessary. Virtual Private Network (VPN) can be used where necessary to provide third-party access for instrument station maintenance, upgrade and troubleshooting.

2.2.2 Standard Applications

Internet Explorer 6.0 and MS Office 2003 Professional are current standards. McAfee products provide platform protection.

2.3 Network Software Applications

The HPD Intranet serves a variety of networked applications residing on mainframe and server systems. Gateways to the Harris County systems expose and deliver application services jointly used by the DA's Office. Limited area networked applications and silo database applications exist to support operations of the HPD Property Room, the Crime Lab, and the ID Laboratories. Applications impacting this project include the following:

2.3.1 On Line Offense System

The COBOL-based On Line Offense (OLO) system serves as HPD's case management system. HPD Central Dispatch creates incident files as necessary for Dispatch and Patrol Units. An Incident Number, or case number as commonly referred to, is generated sequentially by OLO and follows the format of *nnnnnnny-L*, where *L* is a random suffix letter acting as a check sum

in transmissions. In addition, new cases can be created at various other points such as the Property Room, the Crime Lab and ID, when necessary. HPD Crime Units initiate forensic analytical requests in OLO.

Crime Lab and ID reports are created as OLO Supplements. Essentially all final reporting is done through OLO; however, supplements are printed and signed and case details are extensively maintained with hardcopy forms to a physical case folder. OLO does not provide any audit trail or digital signing, so the signed hardcopy supplements serve as court-acceptable evidence.

The Crime Lab and ID frequently use MS Word templates to assist in the preparation of supplemental entries to OLO, which will accept paste operations facilitated by macros. However, OLO only accepts text character entries in a fixed-width ASCII format. Also, OLO does not facilitate text copying from existing supplements or evidence descriptions within it, does not facilitate supplemental attachments, and does not permit real-time multiple-user entry on the same incident file.

Capital murder, homicide, and rape case files are tagged confidential within OLO. Confidential files are accessible to a limited number of workstations and individuals.

HPD TSD is leading the effort to acquire a Records/Reports Management System (RMS) with the primary purpose being to replace OLO by 2010. With the intent to aggressively implement improvements in HPD's IT environment, the new RMS will result in decommissioning of the mainframe/data center at 1400 Lubbock and the move to a client / server environment, enabling the deployment of next generation technology in vehicles to provide electronic transmission of documents, i.e., reports, citations, etc, and serve to assign incident records for organizational follow-up.

2.3.2 Evidence Management System

The HPD Property Room currently uses a Paradox database application known as Windows Evidence Tracking (WinET). WinET limits tracking numbers to four alphanumeric digits and as such numbers are re-used when the original item is disposed or permanently transferred. Procurement efforts are in progress to replace WinET with an Evidence Management System (EMS) in the immediate future. The preferred software architecture will use web services and XML with MS SQL providing the back end. The EMS database will be available to HPD units via Open Database Connectivity (ODBC).

2.3.3 Justice Information Management System

The Harris County Justice Information Management System (JIMS) is the product of a long-term cooperative effort between the Harris County Commissioner's Court, Executive Board and Southeast Texas Area Chiefs of Police. HPD subscribes to JIMS. JIMS is available to a select few within the Crime Lab and ID.

JIMS serves as a central repository for court activity, warrant and pawnshop information, and allows law enforcement agencies to share data. JIMS is a primary tool of the Harris County DA's Office. JIMS organizes adjudication files, which are referred to as Causes, by Cause

Number. A Cause may relate to one or many OLO incident numbers. Because JIMS does not include incident numbers in a searchable field, searches conducted in JIMS by the Crime Lab and ID often rely on Name and Date of Birth (DOB) of suspect / accused individuals to relate cause numbers to incident numbers.

2.3.4 Enterprise Management

The Houston City Enterprise Resource Planning (ERP) system, provided by SAP, performs financial management, materials procurement services, and Human Resources (HR)/payroll functionality to multiple City organizations including HPD. A Houston City IT objective is to properly leverage the ERP investment. Crime Lab/ID purchasing is conducted in ERP. The SAP Personnel database is the definitive source for all City of Houston Personnel and related information.

2.4 Laboratory Information Management

The laboratories rely on MS Access applications, manual log books, MS Excel spreadsheets, and OLO sub-functions to manage evidence identification and tracking, as well as supporting information. Descriptions of MS Access applications in use are provided throughout this document when applicable. Each primary section of HPD forensic operations uses its own numbering scheme for evidence identification and tracking. MS Excel is the predominant means of keeping and reporting production related statistics.

A MS Access database application named the "TOY" was developed in-house and is maintained by Crime Lab Administration. Intended to familiarize Crime Lab staff with features they may experience in a Commercial-off-the- Shelf (COTS) LIMS, the TOY is deployed on the HPD intranet and available to all Crime Lab and ID Sections. Its primary features include the following:

- Track Case Evidence (limited, does not track sub/child evidence to parent)
- Track Case Assignments
- Track Case Technical and Administrative Reviews
- Provide a Contact/Communication Log
- Track Non-Case Related Activity
- Relate Requests (printed from OLO) to Laboratory Section and Relate Evidence Items to a Request
- Relate Individuals (Suspect and Claimant) to a Request
- Track Chronological Status of Case Work

The TOY is utilized to varying degrees throughout HPD forensic operations and is depicted where applicable in the figures proved herein.

2.5 Forms and Data Collection

HPD uses a variety of custom-designed worksheets and forms to meet individual needs. Some worksheets are stand-alone MS Word templates or MS Excel spreadsheet forms used for entering data. Others are printed, multi-copy paper forms developed by a variety of publishing

tools. Bar-coding is used sparingly within the Crime Lab and ID and does not follow any particular technology preference.

2.6 IT Support

TSD maintains proficiency in MS SQL Administration, provides training programs in support of application and infrastructure operations, and hosts a web-enabled Help-Desk.

Additionally, the Crime Lab uses temporary personnel to provide technical support for computer hardware, software and peripherals. Issues and requests made by phone or e-mail are first addressed at this level and raised to HPD TSD when necessary. An MS Excel spreadsheet is used for tracking IS-related issues.

3. Evidence Collection

The Crime Lab and ID examine evidence collected by HPD, as well as other agencies such as the Airport Police, Houston Metropolitan Transit (Metro) Police, Houston Independent School District (HISD) Police, and County Sheriff. The HPD Crime Scene Unit (CSU) collects 80 to 90 percent of the evidence that is examined by the Crime Lab and ID.

With some exceptions, all collected evidence – whether from HPD or from the other agencies – is first brought to the HPD Property Supply Division Property Room and then transferred to the Crime Lab and ID upon request. Exceptions include: controlled substances, blood and urine, latent prints, audio/video evidence, and film, which are delivered directly to the Crime Lab and ID; and titled evidence (e.g., automobiles & boats) and large evidence (e.g., bedding, furniture and appliances), which are delivered to the Vehicle Compound Yard or Homicide Drying Racks maintained by other HPD Units.

3.1 HPD Crime Scene Unit

The Crime Scene Unit (CSU) is a separate entity from the Crime Lab and ID. CSU's responsibility is to collect evidence at crime scenes. CSU may undertake multiple investigations with respect to a single incident. For example a weapon recovered at the scene may be related to bullets recovered from a vehicle at the vehicle examination room.

The following figure summarizes this process for collecting evidence and delivering it to the laboratories:

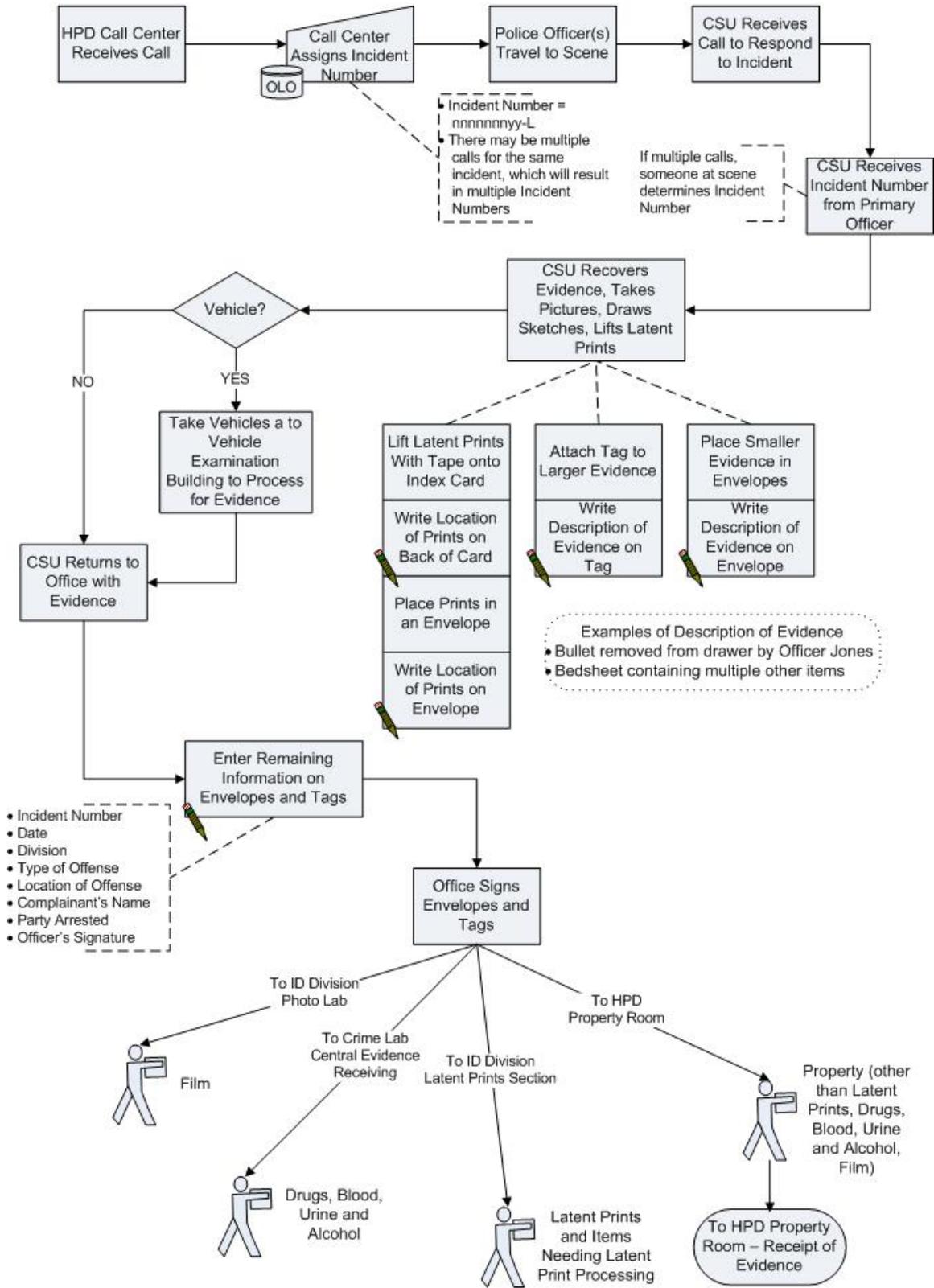


Figure 5 HPD Crime Scene Unit

Accurately labeling the evidence package is of primary importance for effective prosecution of a case. Also, the officer's signature on a package is needed for that officer to identify evidence during trials.

CSU currently uses film to capture still pictures and video. However, they will be converting to digital technology in the near future. The concept would be for officers to go to a computer (at a location to be determined), place the camera chip in the computer and download the images. The officer's payroll number and a password will be used for security. At the time of download, the officer will get a confirmation from the computer in the form of a printed receipt. These images will be available to the photo lab to print.

It is possible that images taken from two different cameras at a single incident will have the same incident number and image number. This can occur because the camera is the source of the image number but cameras are not uniquely identified. Thus, the officer's payroll number entered when downloading the images will be the unique identifier for each image.

3.2 HPD Property Supply Division Property Room

The section describes the processes for receiving and releasing evidence at the HPD Property Supply Division Property Room. The processes for receiving controlled substances, blood and urine, latent prints, audio/video evidence, and film are included in the write-ups for Central Evidence Receiving (controlled substances, blood and urine), the Latent Print Lab and the Forensic Audio/Video Lab (audio/video evidence and film).

The Property Room currently maintains about 500,000 evidence items in inventory. All items stored in the Property Room must have an HPD incident number whether it comes from HPD or one of the other agencies. A new facility to replace the existing Property Room is under construction.

The Property Room is open for receipt of items 24 hours a day, seven days a week. The Property Room staff includes three sworn officers in addition to civilians.

The following figure shows the procedure for receiving items at the Property Room:

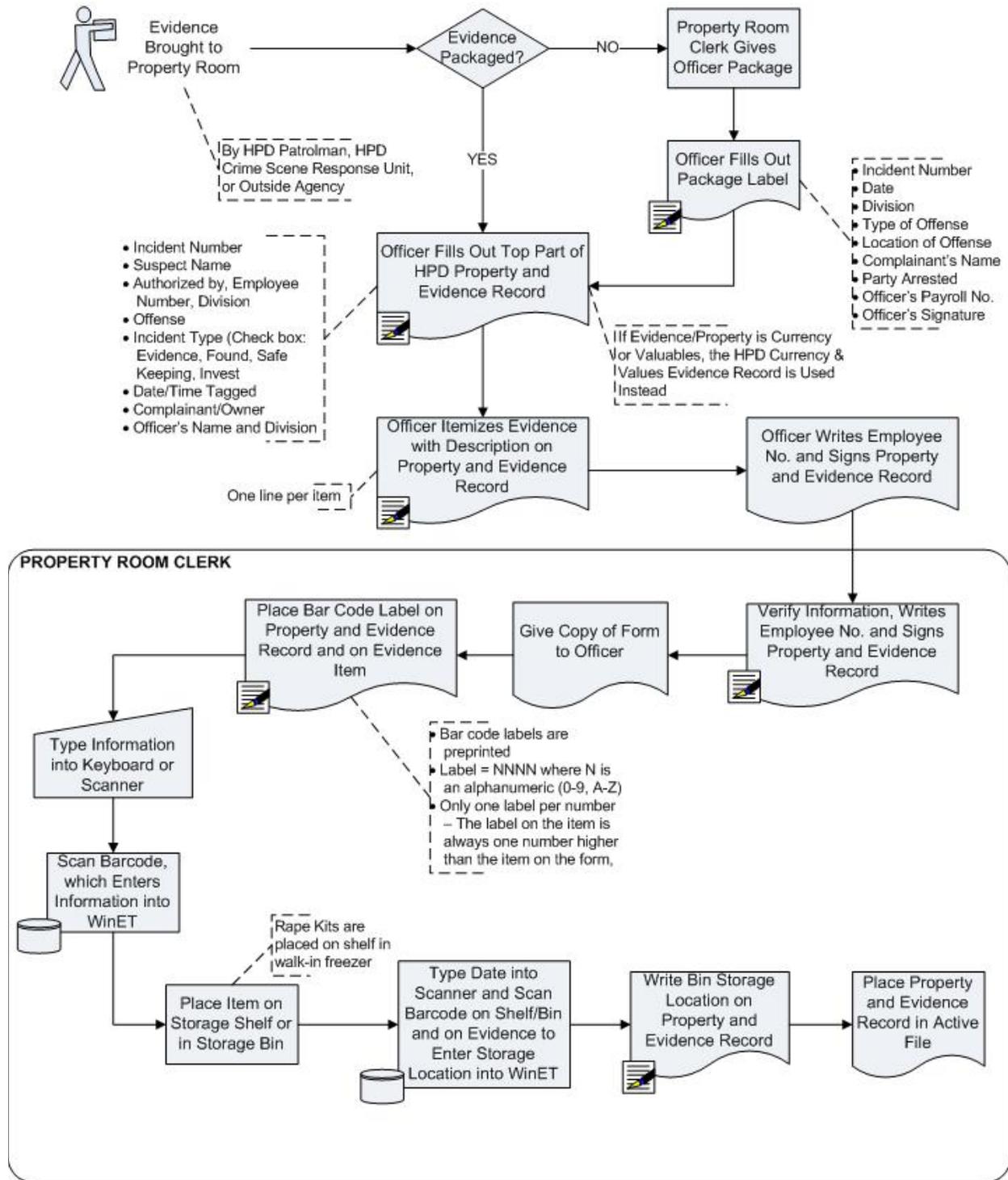


Figure 6 HPD Property Room – Receipt of Evidence

A variant of the HPD Property and Evidence Record exists for use with Currency and Valuables evidence. Such evidence is further detailed to include counts of bills and grand total calculations when applicable. A separate vault within the Property Room is utilized for storage

of this type of evidence. Similar storage requirements exist within the Crime and ID Laboratories.

The Property Room releases items to the Crime Lab, the ID Latent Prints Lab, the County DA and the County Court System. The following flow diagram demonstrates the process for releasing forensic biology evidence to the Crime Lab:

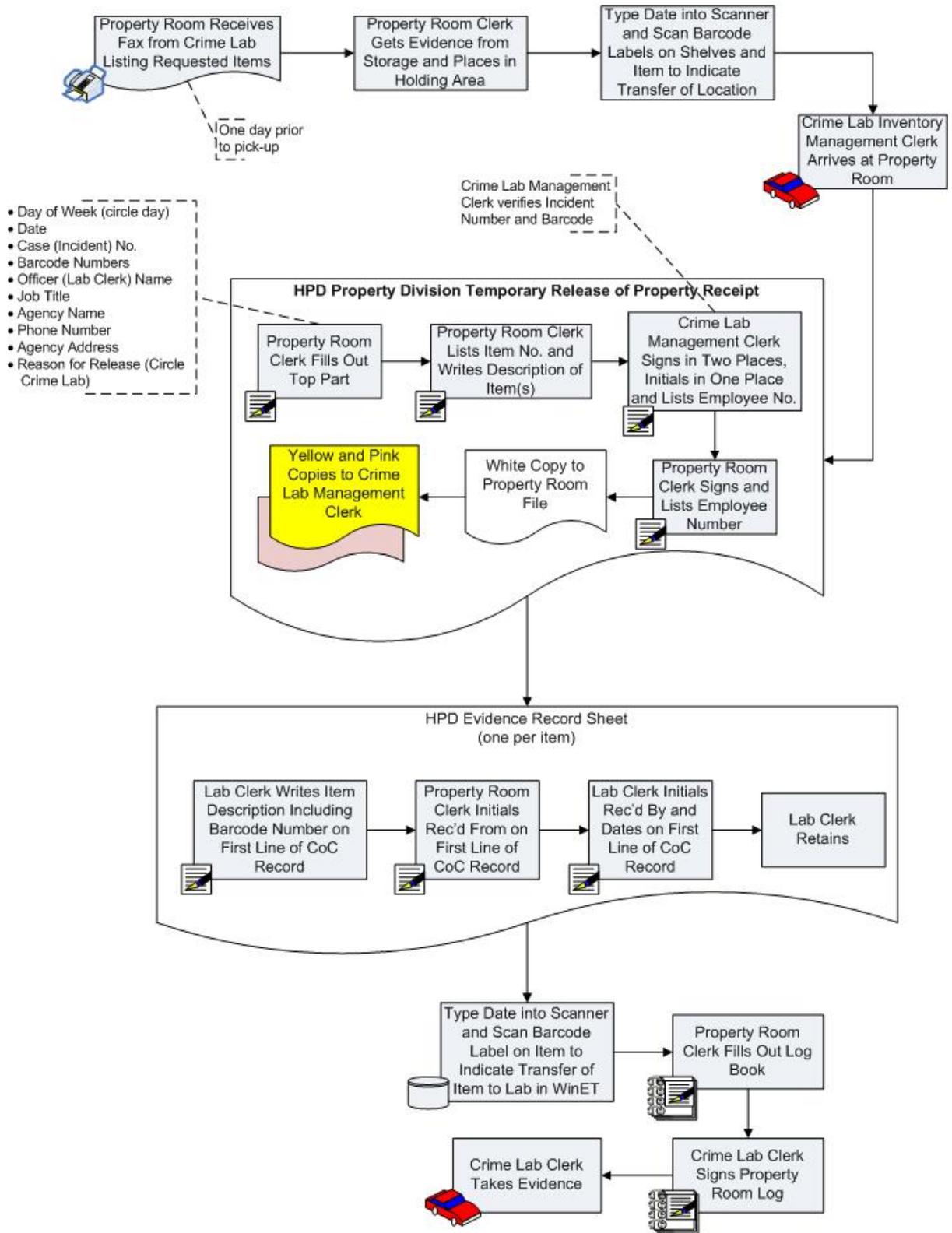


Figure 7 HPD Property Room – Release of Forensic Biology Evidence to Crime Lab

Similar procedures are used for releasing questioned documents to the Crime Lab, as well as items to ID.

The release of firearms evidence to the Crime Lab is similar to that of other evidence with the additional requirement to maintain a Firearms Evidence Submission Form. Firearms suitable for Integrated Ballistics Identification System (IBIS) testing are transferred to the Crime Lab within one business day of receipt at the Property Room. The Firearms Section processes evidence for IBIS comparisons and returns the evidence within one business day of receipt; other firearm-related evidence may be temporarily or permanently withdrawn for forensic analyses in case work. If an evidence item is permanently released by the Property Room to the Firearms Section, the Property Room may "close out" their barcode identification for that item. If the same item is later returned to the Property Room, they will receive the item and apply new barcode identification.

Items are released to the Crime Lab, investigators and the court system upon request. If an item has not been requested within 90 days, the Property Room sends a disposition request to the Division that authorized the property to be tagged.

Items must be returned to the Property Room within 14 days unless alternate arrangements have been made, e.g., for Questioned Documents.

The following figure illustrates the process for the Crime Lab returning Forensic Biology items to the Property Room:

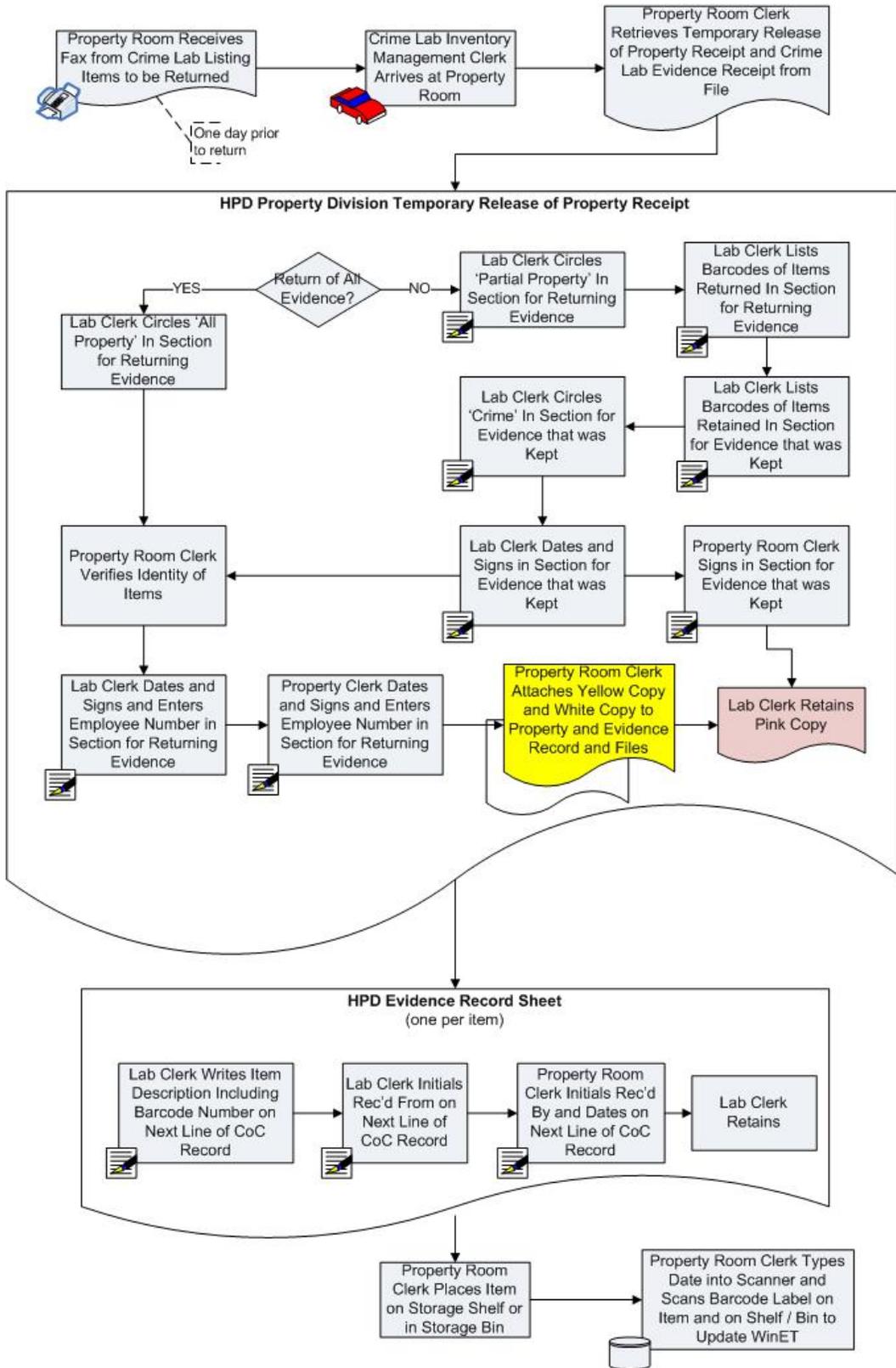


Figure 8 HPD Property Room – Return of Forensic Biology Evidence from Crime Lab

Firearms are returned in the same manner by Firearms Section staff with the except that a Fax is not sent prior to the return of the items.

If the Crime Lab has created daughter evidence from evidence previously in custody of the Property Room, the Crime Lab delivers this evidence when returning other evidence. Items created by the Crime Lab are received into the Property Room as new evidence following the procedure illustrated in [Figure 6](#).

Forensic biology items are stored in the Property Room forever. CSU may specify that certain evidence items be stored frozen. However rape kits are shipped to a store room at HPD headquarters on a weekly basis. The store room at headquarters is treated as another storage location within WinET with the identification *TV330-mmddyy*, where *mm* = month, *dd* = date and *yy* = year.

Although the Property Room does not receive items that appear to be controlled substances, it does provide a drop-off box for such items as described in the Controlled Substance section. Also, in the future the Property Room will provide a kiosk where photographs from digital cameras will be downloaded and transferred to a CD. The CD will be tagged and taken into custody as evidence.

4. Crime Laboratory

4.1 Evidence Management

4.1.1 Forensic Biology and Trace Evidence

This section discusses the procedures used by the Crime Lab for managing the receipt and release of forensic biology and trace evidence.

The Crime Lab Inventory Management Clerk is responsible for retrieving evidence from the HPD Property Room for forensic biology and trace evidence and for returning this evidence, as well as created evidence, to the Property Room upon completion of the analyses. In addition, the Inventory Management Clerk releases evidence to investigators and the courts and retrieves and delivers cold-case evidence for outsourced DNA analysis.

The following two figures illustrate the procedures for 1) receiving requests for analysis of evidence from investigators and the courts and 2) for retrieving forensic biology evidence from the Property Room and transferring custody to the Forensic Biology Section, respectively:

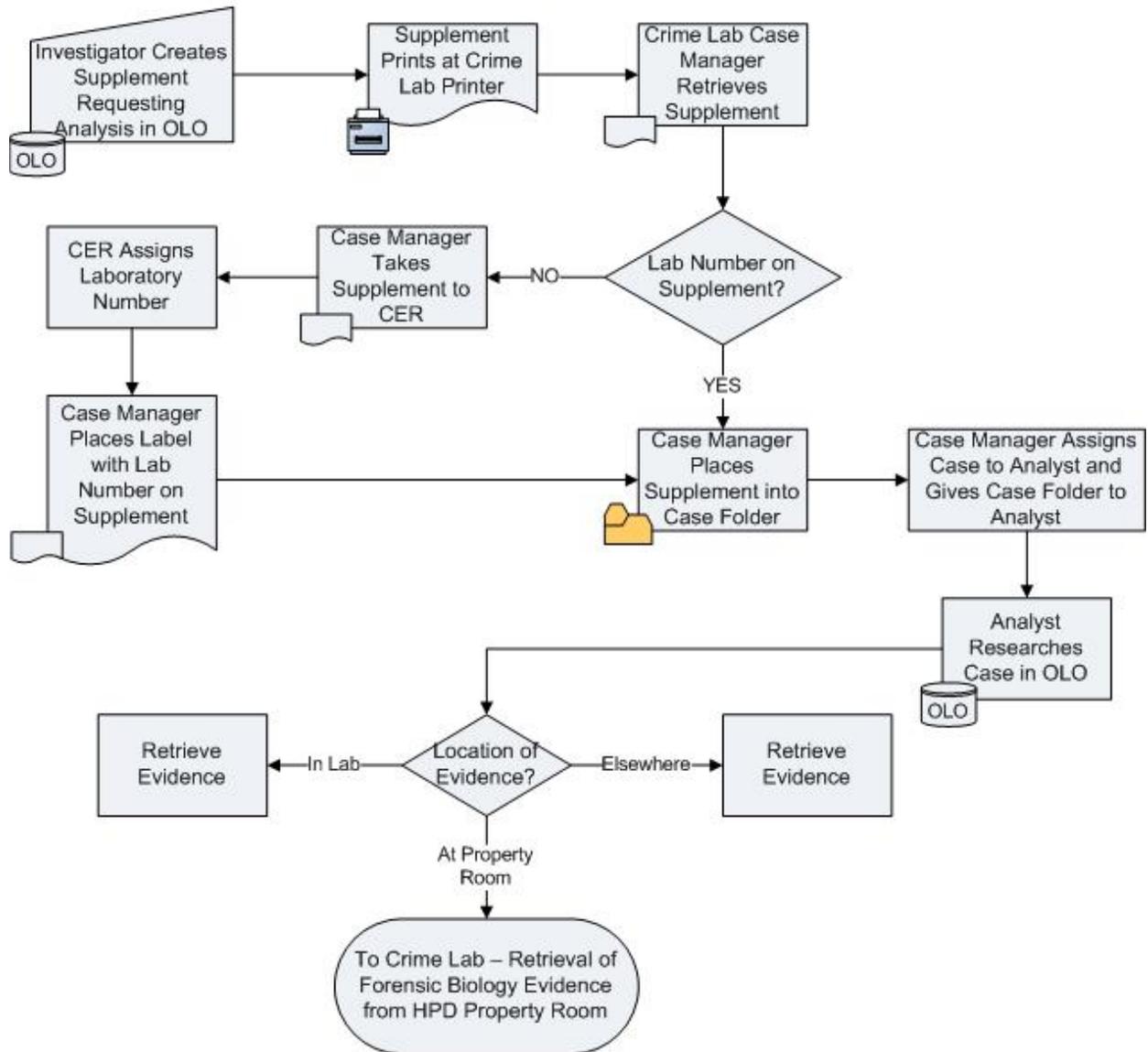


Figure 9 Crime Lab – Request for Forensic Biology Analysis

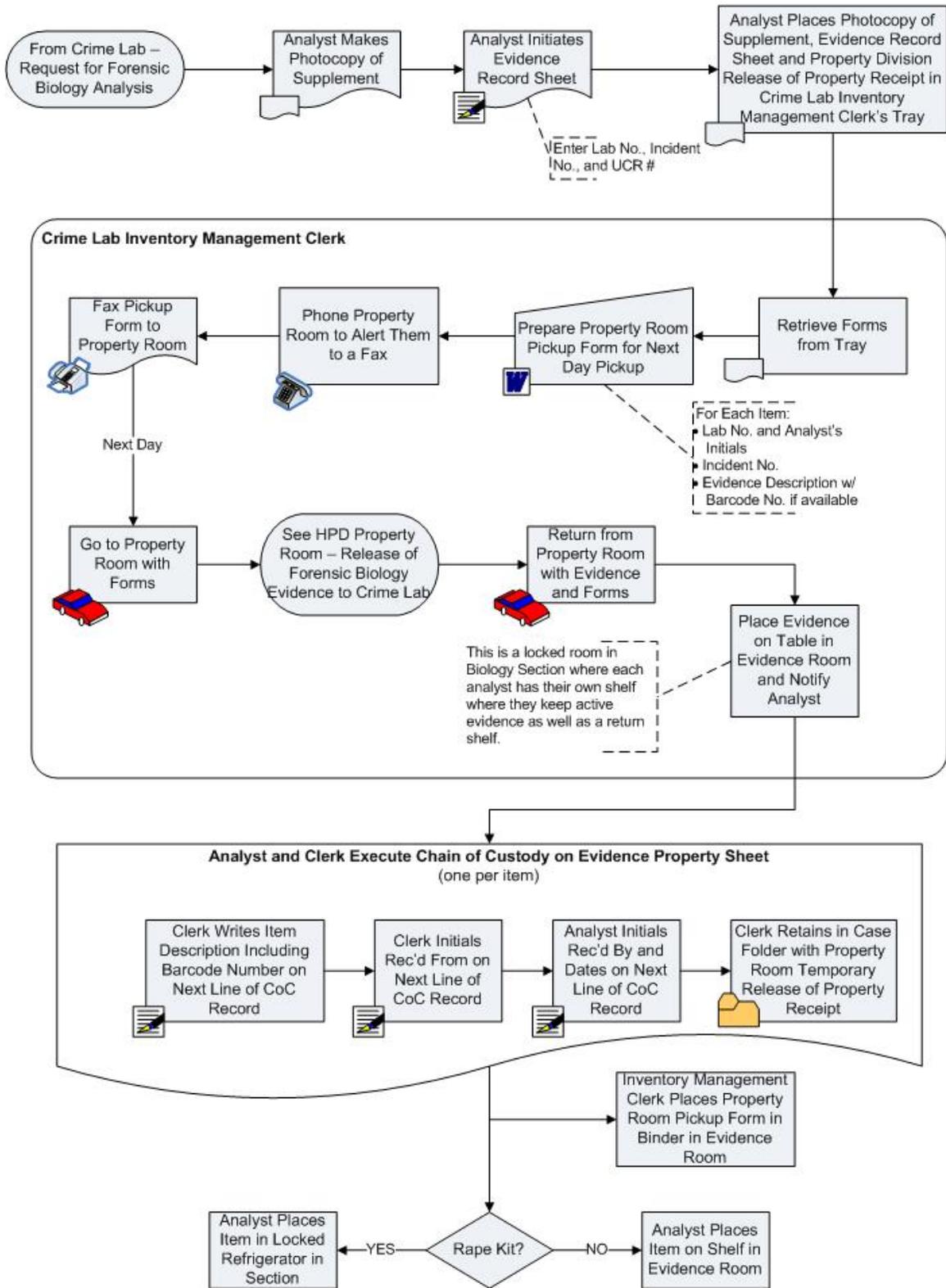


Figure 10 Crime Lab – Retrieval of Forensic Biology Evidence from HPD Property Room

Upon completion of the analyses, analysts transfer custody of remaining evidence, as well as created evidence, to the Inventory Management Clerk, who returns the evidence to the Property Room. The following figure illustrates this process:

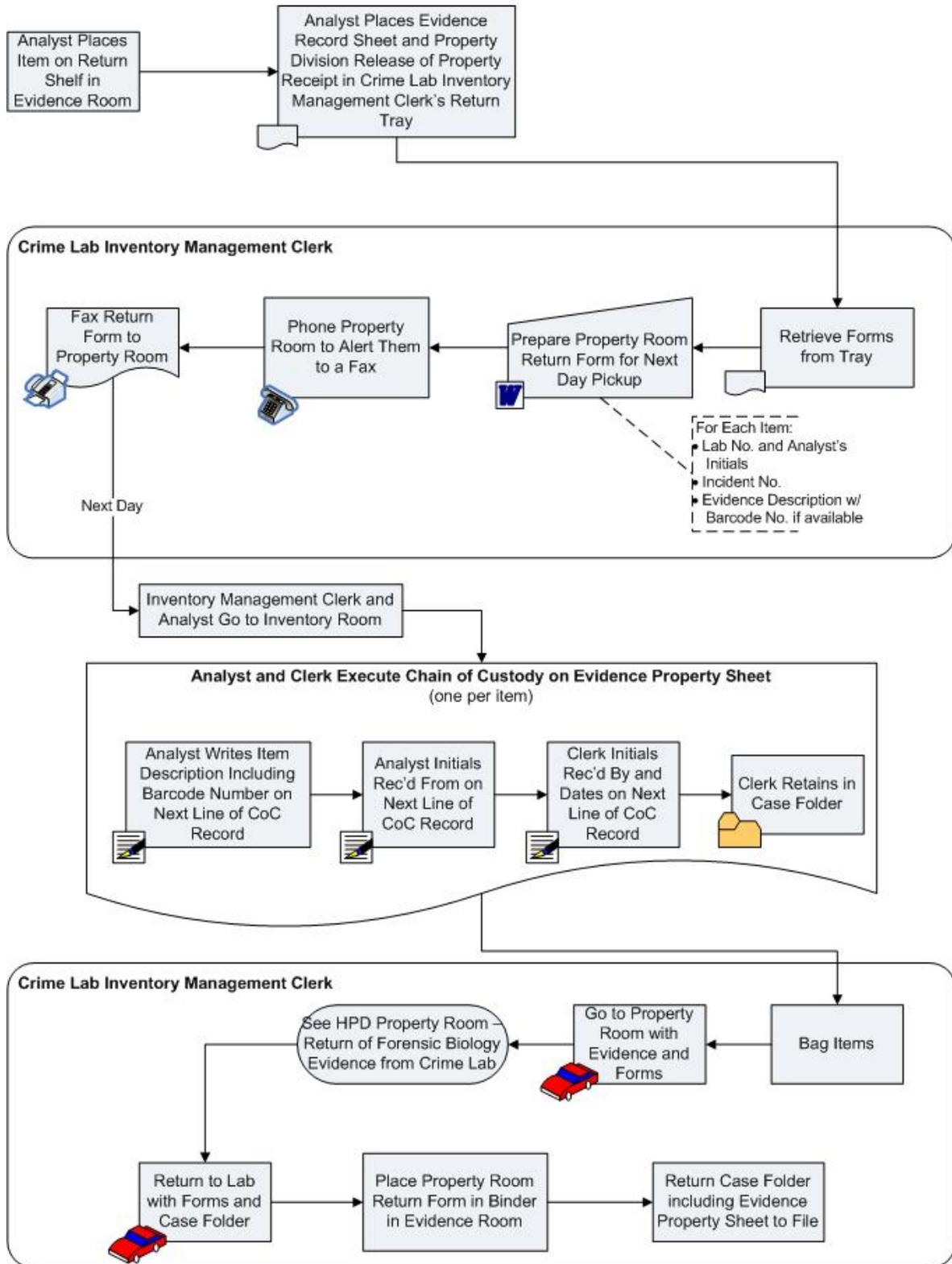


Figure 11 Crime Lab – Return of Forensic Biology Evidence to HPD Property Room

The following figure illustrates the procedure for releasing forensic biology evidence from the Crime Lab to investigators and the courts:

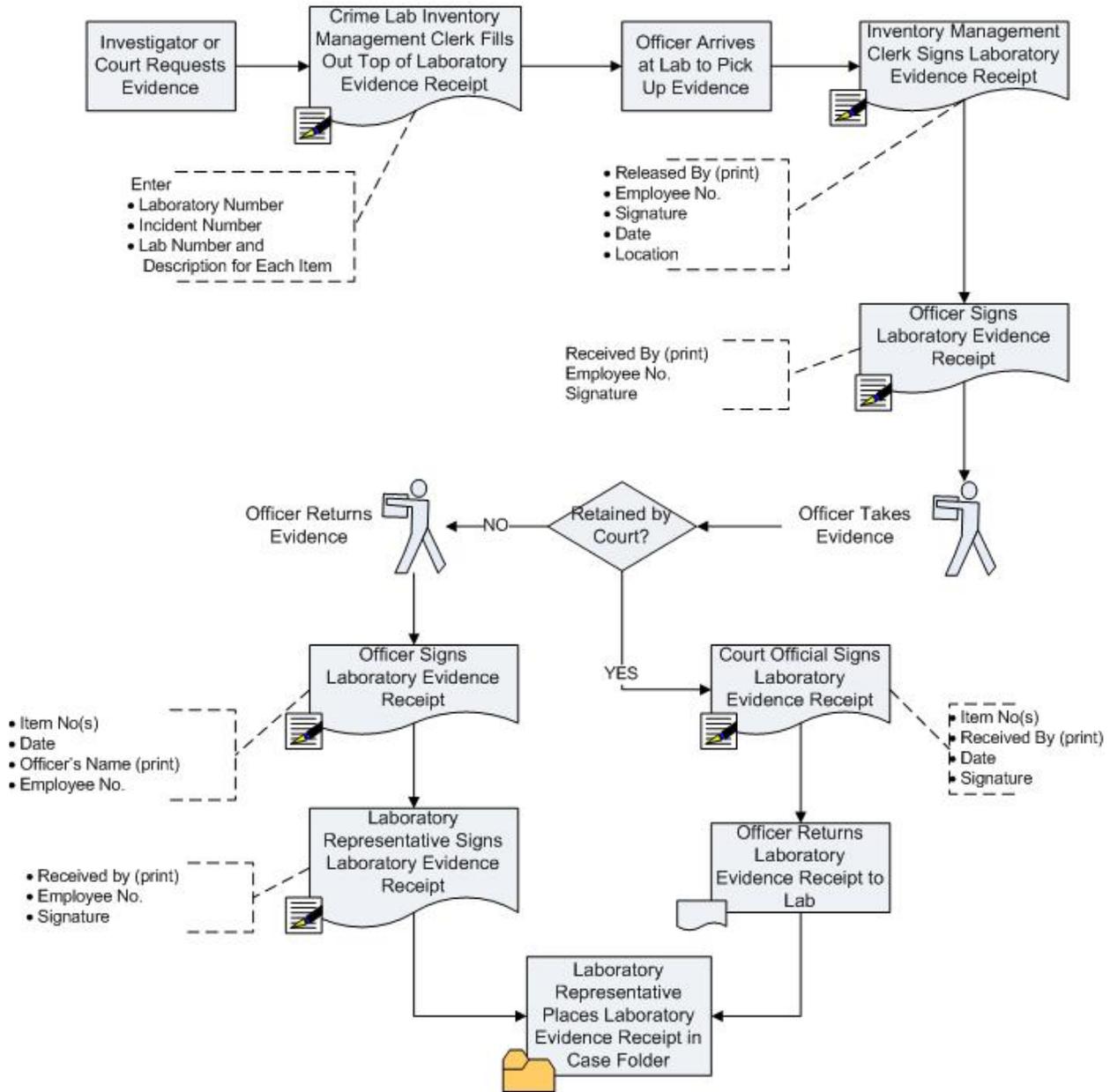


Figure 12 Crime Lab – Release of Forensic Biology Evidence

4.1.2 Controlled Substances and Toxicological Evidence

The Crime Lab's Central Evidence Receiving (CER) section receives controlled substances – which includes illegal and legal drugs, as well as alcohol – and toxicological / serological

evidence (blood and urine). CER processes approximately 250 cases for narcotics per day and approximately 20 cases for blood, urine and alcohol per month. In addition to receiving these items from HPD, CER also receives evidence from HISD, the airport, the county, outlying area sheriffs, and the Metro police. CER, which is located on the 25th floor of HPD Headquarters, handles this load with three people, although there are openings for two more. CER uses an Access 97 database for tracking evidence and property.

Approximately 40% of submissions to CER need to be analyzed as evidence. The remaining items are 'Found' narcotics or the case pleads out and analysis is not required.

The procedures for collecting and delivering controlled substances to CER differs for Narcotics Division officers and other HPD officers in that CER maintains a drop-box on the first floor of HPD headquarters for the submission of evidence by Narcotics Division Officers.

The procedures for the two groups are illustrated in the following two figures:

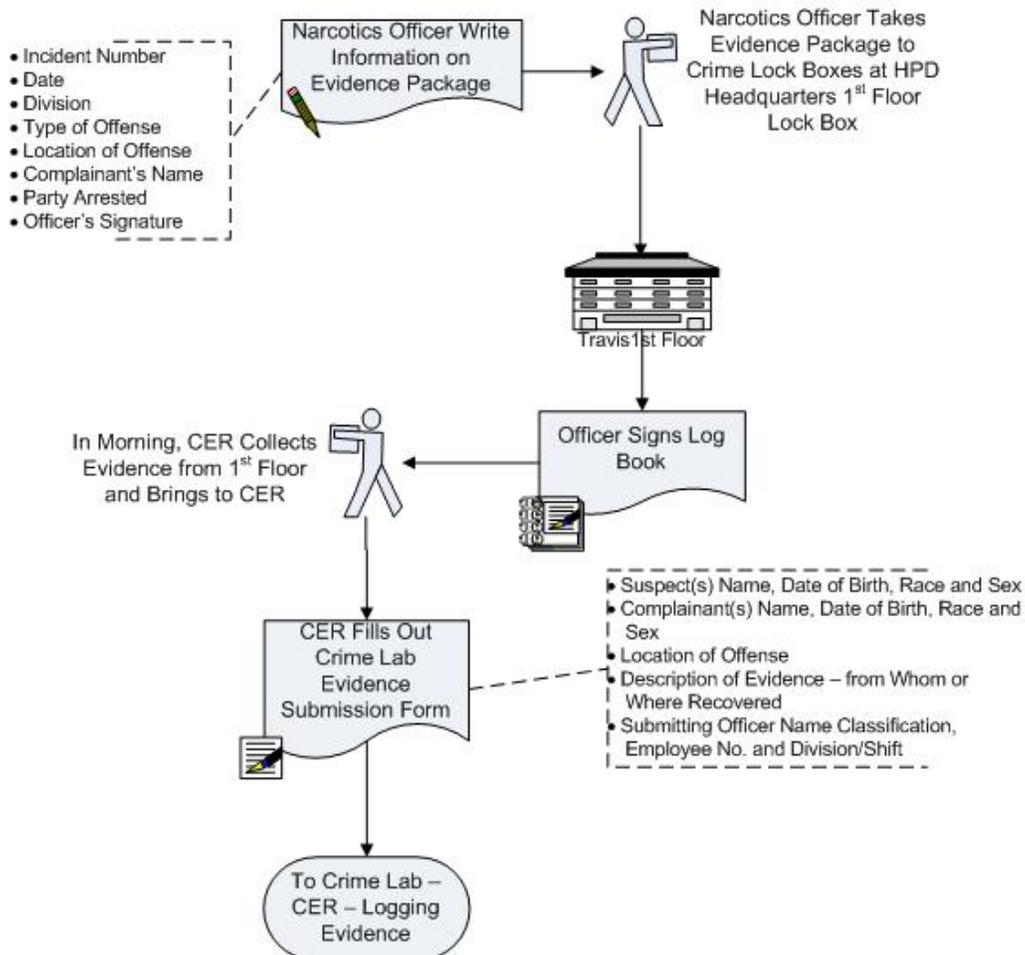


Figure 13 Crime Lab – CER – Submission of Controlled Substances (Narcotics Division Officers)

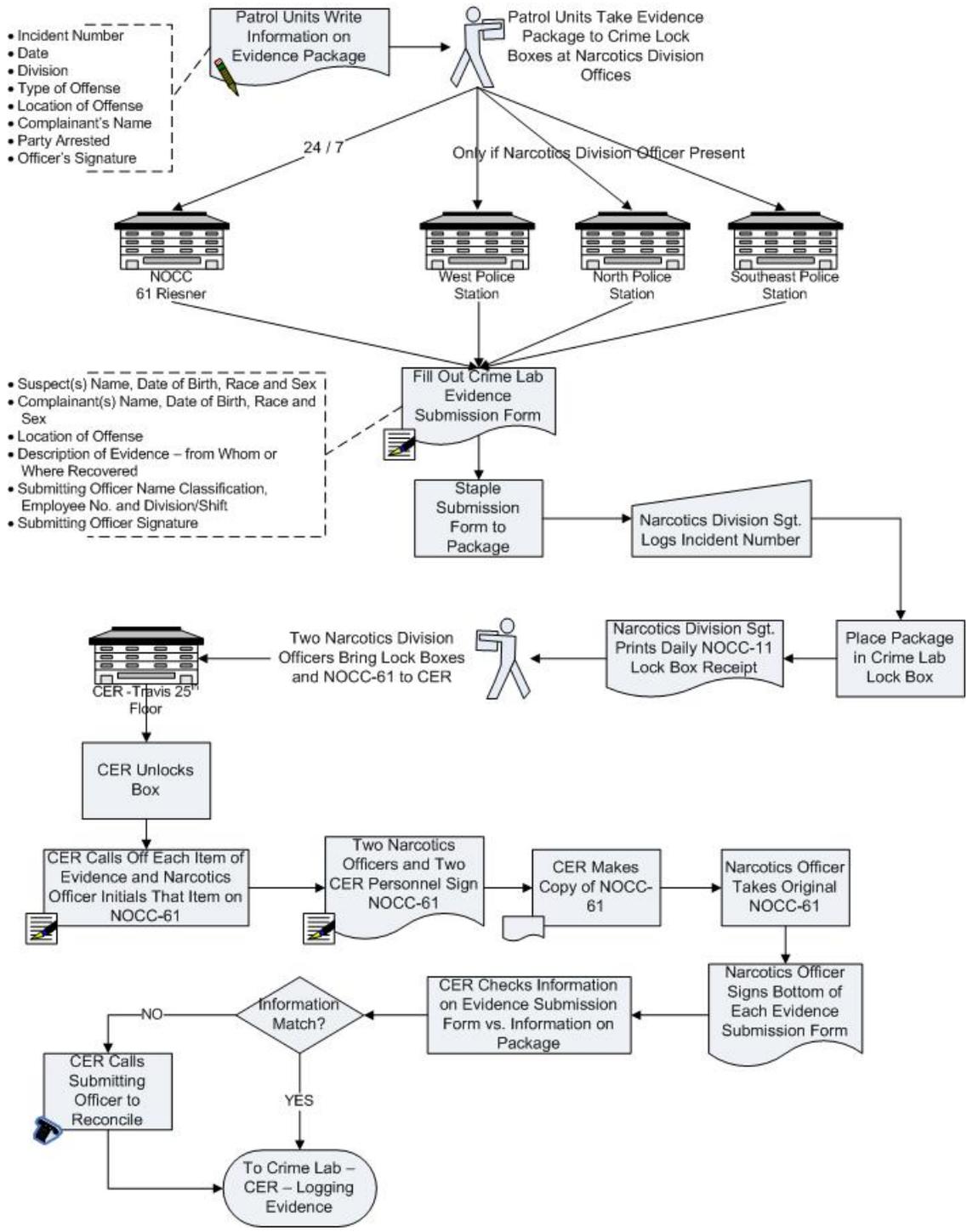


Figure 14 Crime Lab – CER – Submission of Controlled Substances (Patrol Officers)

The following figure shows the procedure for collecting and delivering toxicological evidence:

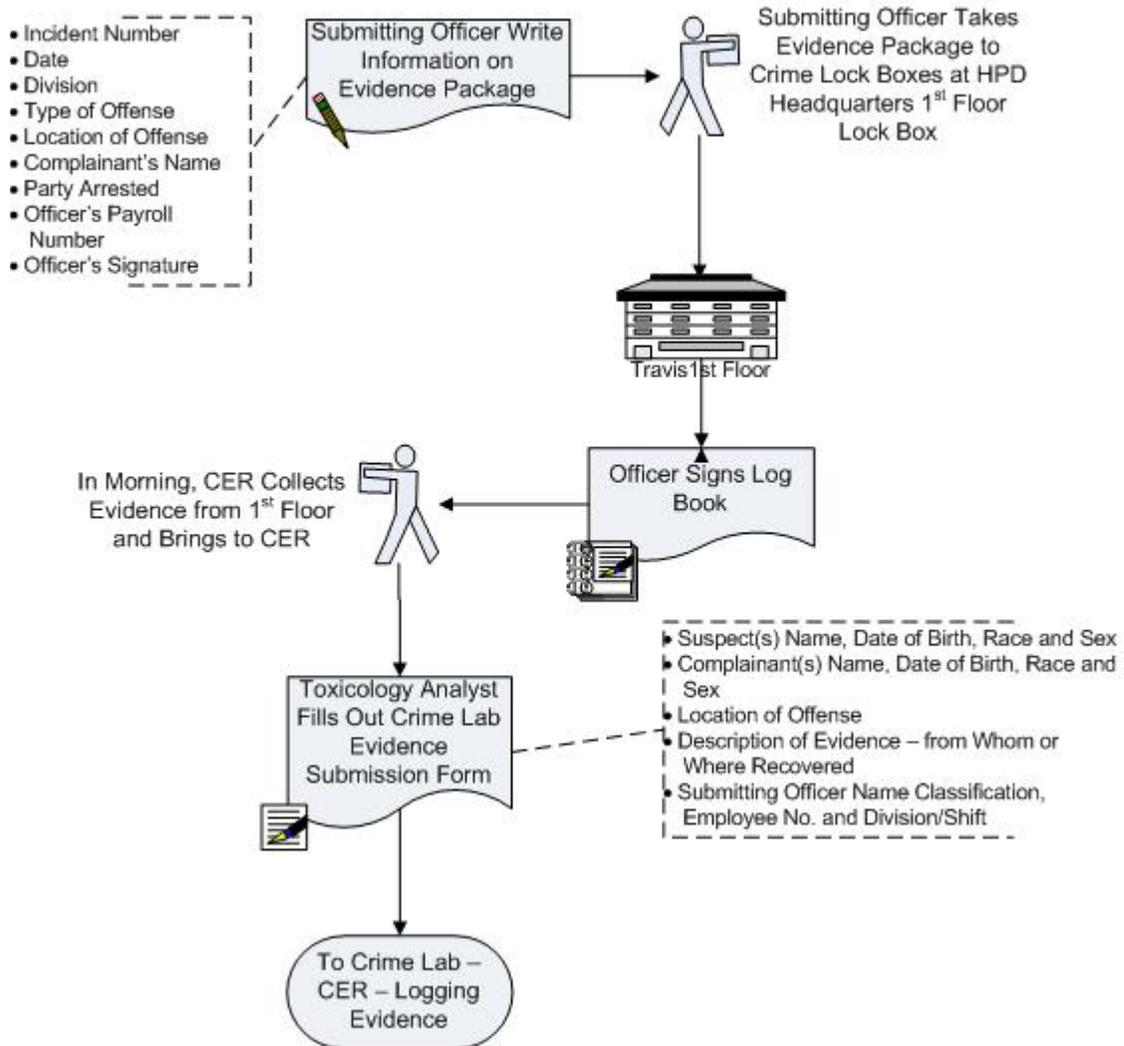
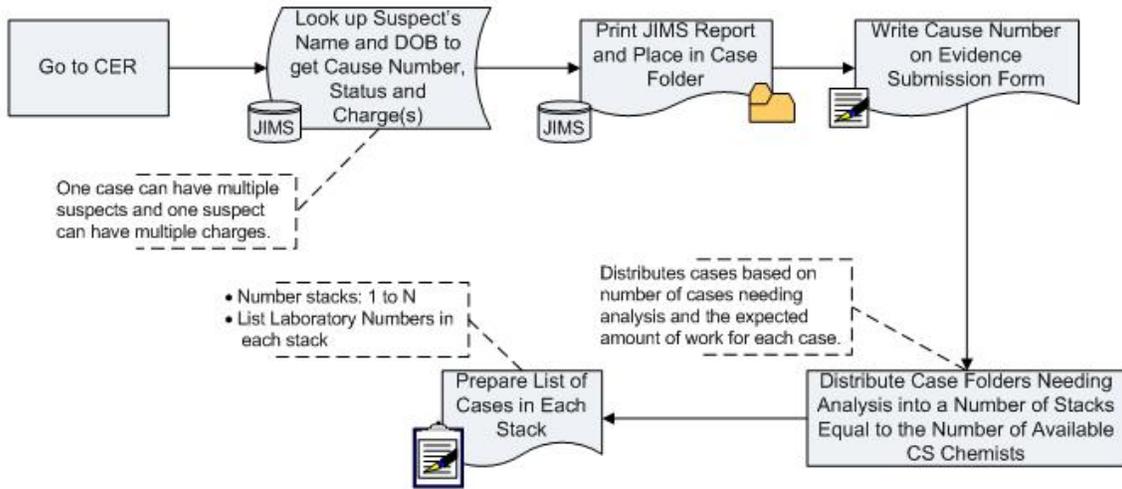


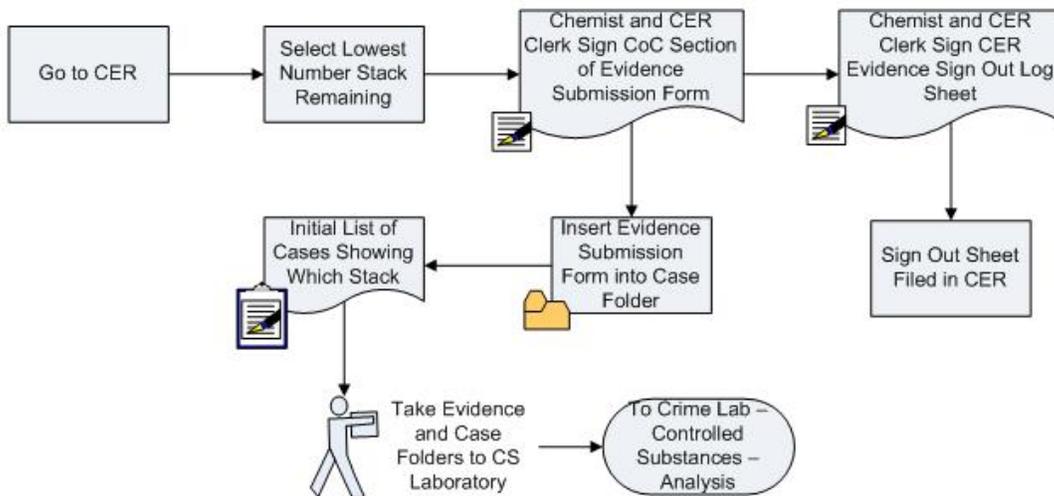
Figure 15 Crime Lab – CER – Submission of Toxicological Evidence

Upon receipt of evidence, CER logs the items as shown in the following figure:

Controlled Substance Supervisor - Daily



Controlled Substance Chemists – Next Morning



Controlled Substance Supervisor or Chemist or CER – After all Cases Assigned

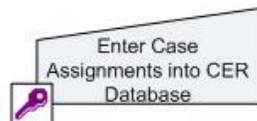


Figure 17 Crime Lab – CER – Transferring CS to Controlled Substances Section

In addition to the assignment procedure shown in the preceding figure, the Section Supervisor receives priority requests from the DA and officers.

After analysis, the Controlled Substances Section returns evidence to CER as shown in the next figure:

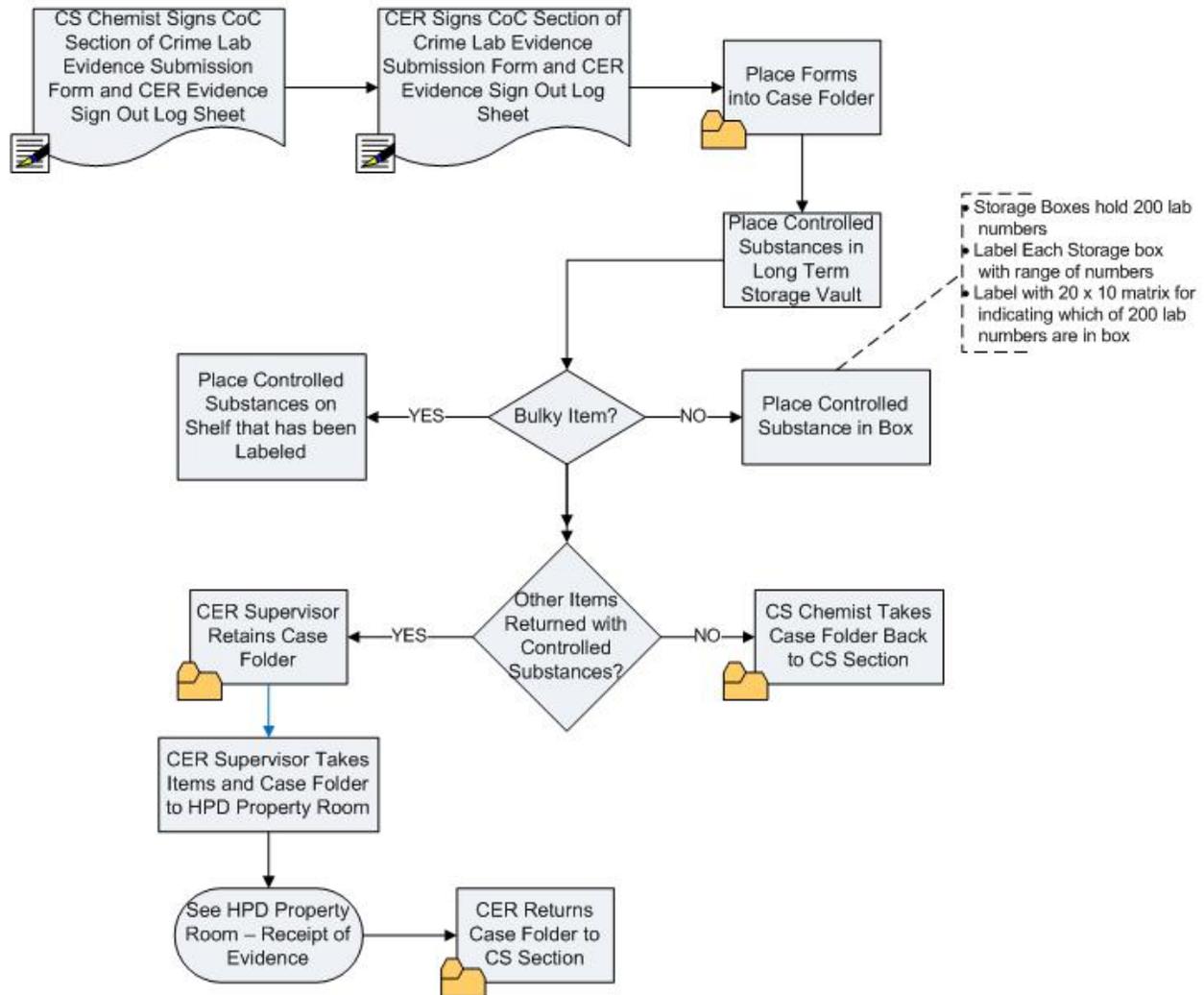
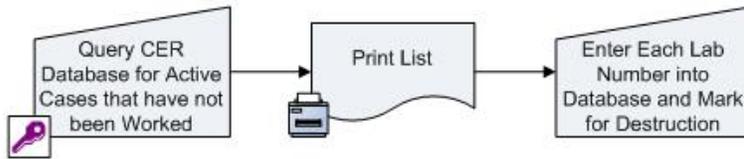


Figure 18 Crime Lab – CER – Return of Evidence from Controlled Substances Section

CER destroys controlled substances by delivering them for burning after cases related to the evidence have been adjudicated and after found property has been stored for one year. The procedure for processing controlled substances for destruction is illustrated in the next figure:

CER Staff



CER Supervisor

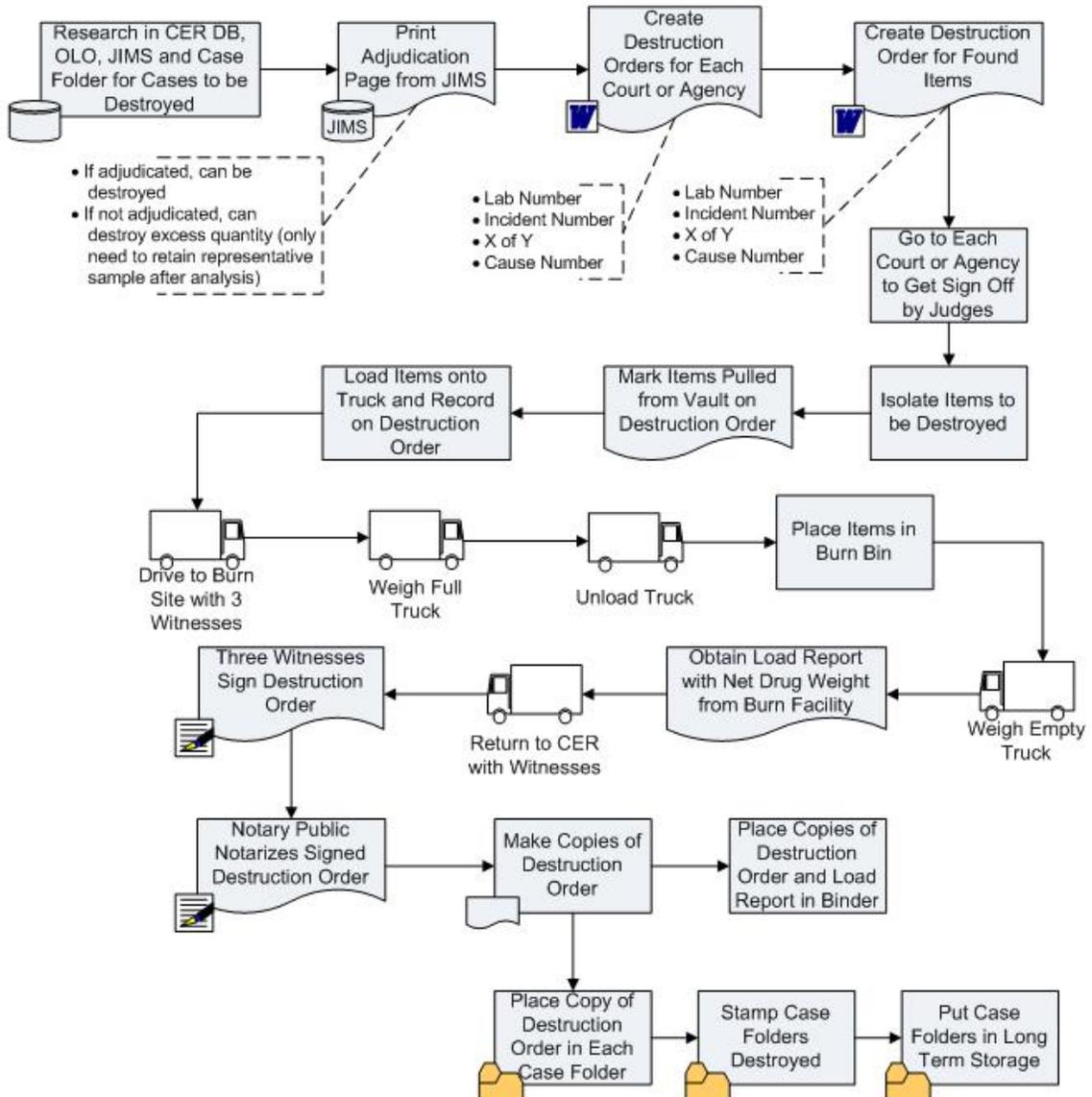


Figure 19 Crime Lab – CER – Destruction of Evidence and Found Property

CER also releases evidence to investigators and officers using a process similar to that described for releasing forensic biology evidence.

The CER Supervisor produces a monthly report listing how many pieces of evidence were received from outside agencies. This report is produced from a MS Word template where each row represents a month in a calendar year.

The CER Supervisor maintains a training record for each employee, which consists of a list of tasks to be performed, the date the task was mastered and the trainer's and trainee's initials.

4.1.3 Firearms

In most cases, the evidence processed by the Firearms Section (FA) is first received at the HPD Property Room. Exceptions include: 1) assisting an officer who cannot unload a gun safely and 2) urgent investigations when evidence may be submitted directly to FA at the scene or as a walk-in to the FA front desk. When responding to officer-involved shootings, the scene is diagrammed and notes and observations are made regarding officers' firearms at the scene during a call-out.

The following figure describes the evidence receipt process for firearms:

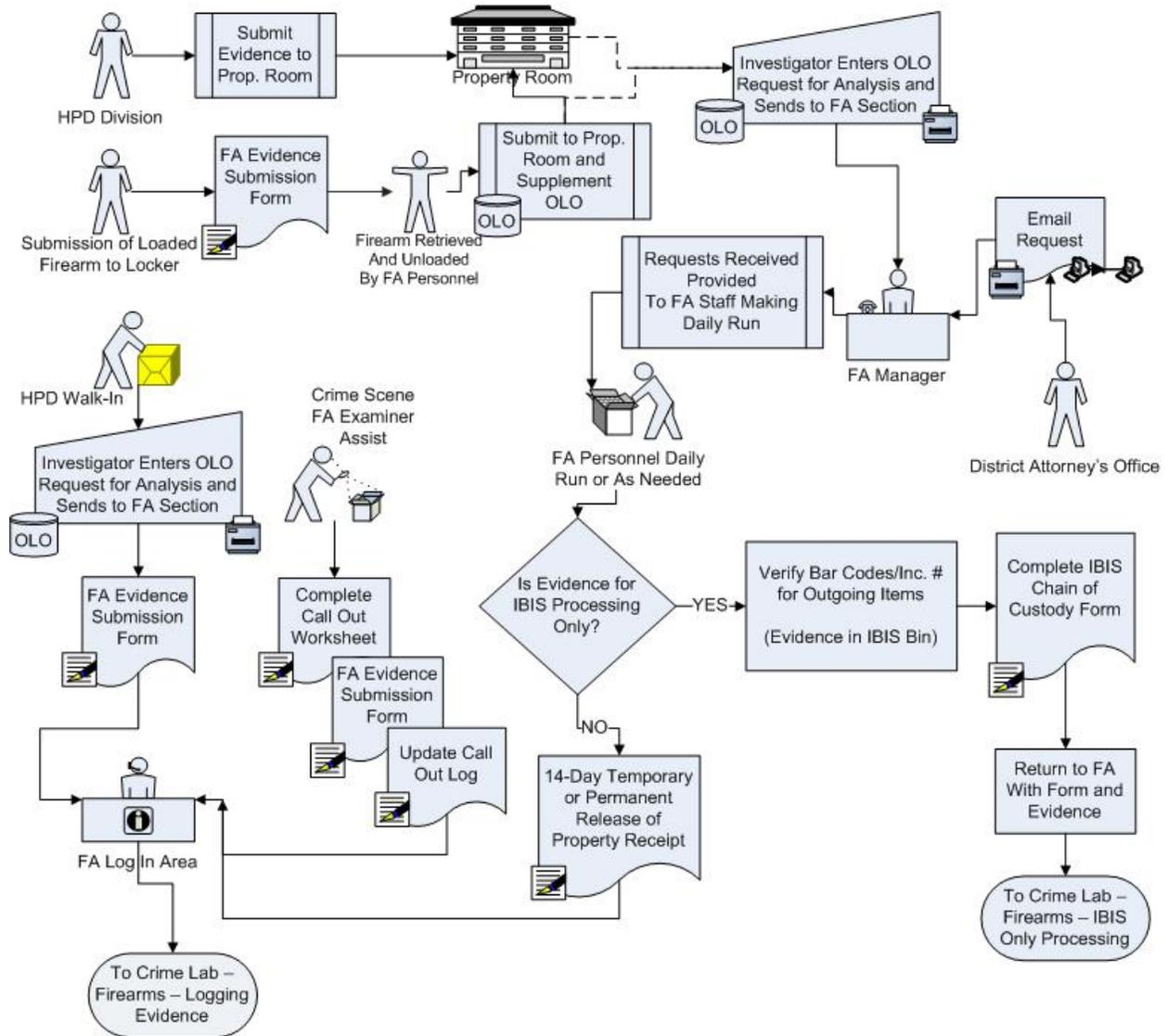


Figure 20 Crime Lab – Firearms – Receiving Evidence

A very large quantity of “permanent evidence” is maintained in the FA Laboratory Evidence Room, this evidence is comprised of permanent transfers from the HPD Property Room as well as direct submissions from officers. Reference guns and parts are not typically transferred or shared with other agencies and are stored in a segregated area of the Evidence Room. All FA personnel are currently responsible for in/out/maintenance of evidence stored. A current managerial goal is to reconfigure the evidence vault for greater efficiency of evidence flow. The following figure represents the return of evidence to the HPD Property Division:

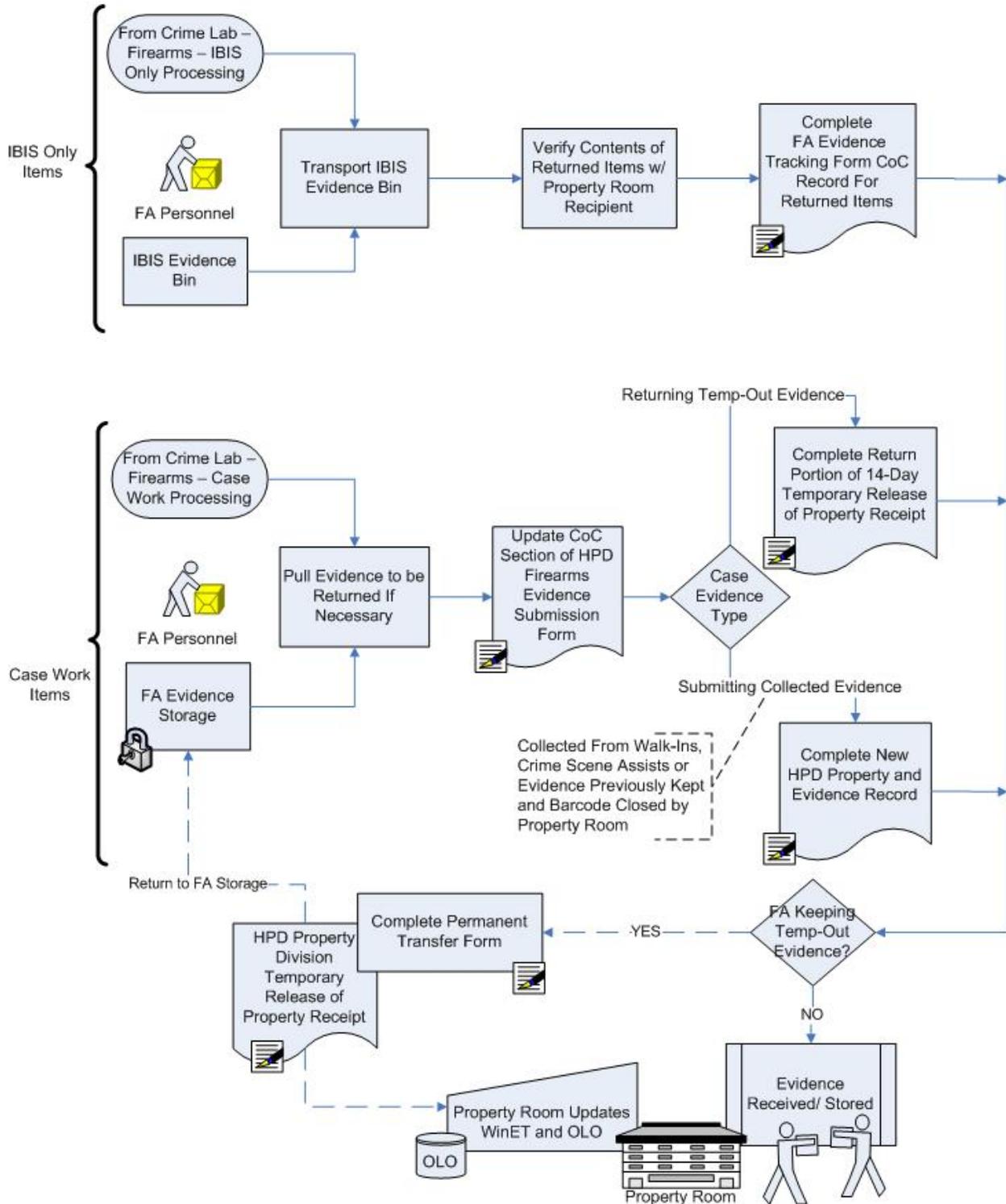


Figure 21 Crime Lab – Firearms – Returning Evidence

4.1.4 Questioned Documents

Evidence management for questioned documents is discussed in the write-ups for the Questioned Documents section.

4.2 Controlled Substances (CS) Section

The Controlled Substances Section identifies substances for approximately 21,000 cases annually. In addition to identifying the substance, the section weighs the evidence because the quantity in possession or sold determines the penalty.

The quantity of evidence for a case varies from milligrams to thousands of kilograms. Evidence comes in the form of plant material, solids, powders, crystals, tar, liquids and tablets. Packaging for one case may contain multiple items and involve multiple suspects and multiple charges. For example a suspect may be charged with possession of one item and for sale of a second item.

4.2.1 Analysis, Reviewing and Reporting

Each chemist works one case at a time with the expectation that each case will be analyzed, reviewed and reported in a timely manner. The following four figures illustrate the analytical and reporting processes in CS:

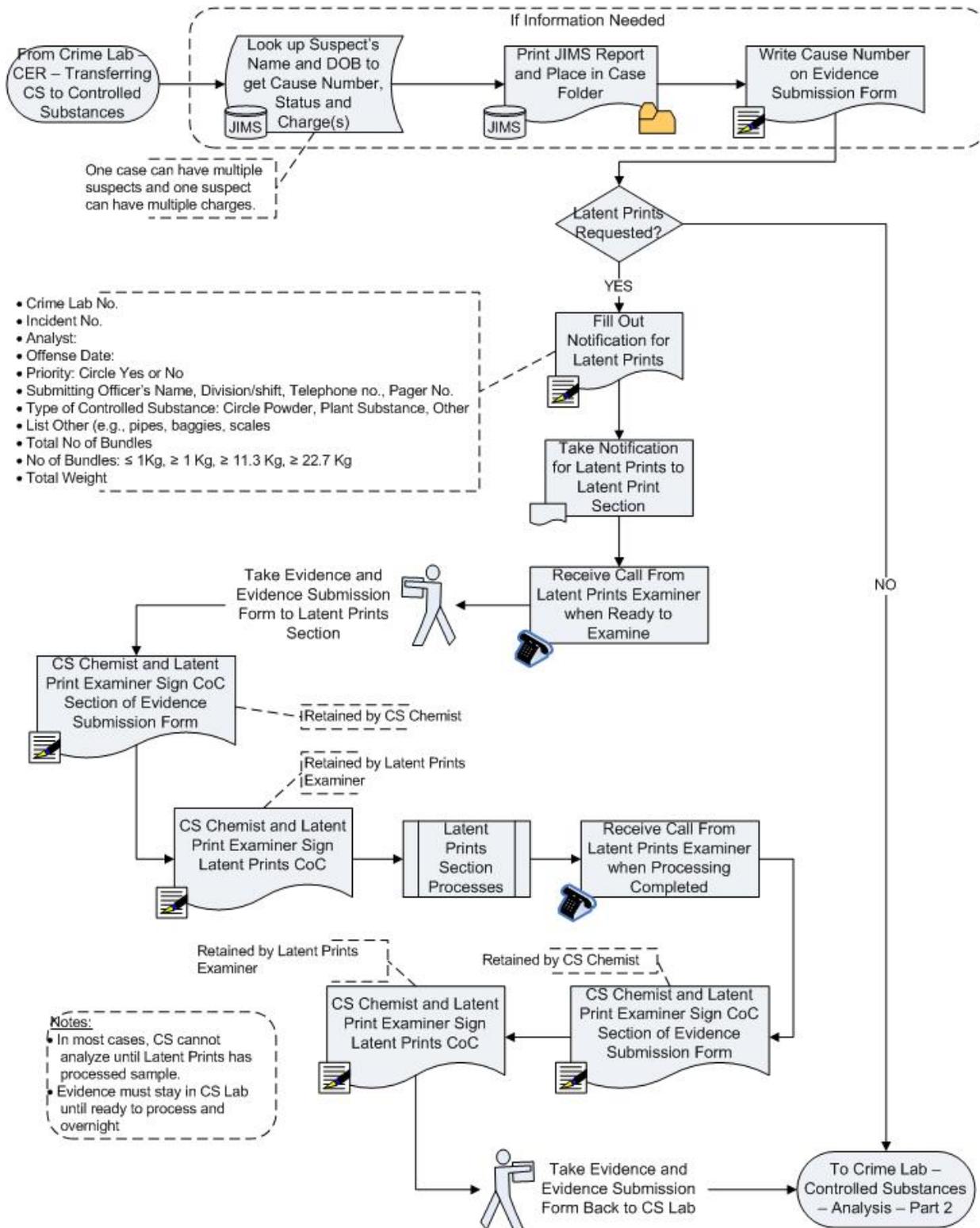


Figure 22 Crime Lab – Controlled Substances – Analysis – Part 1

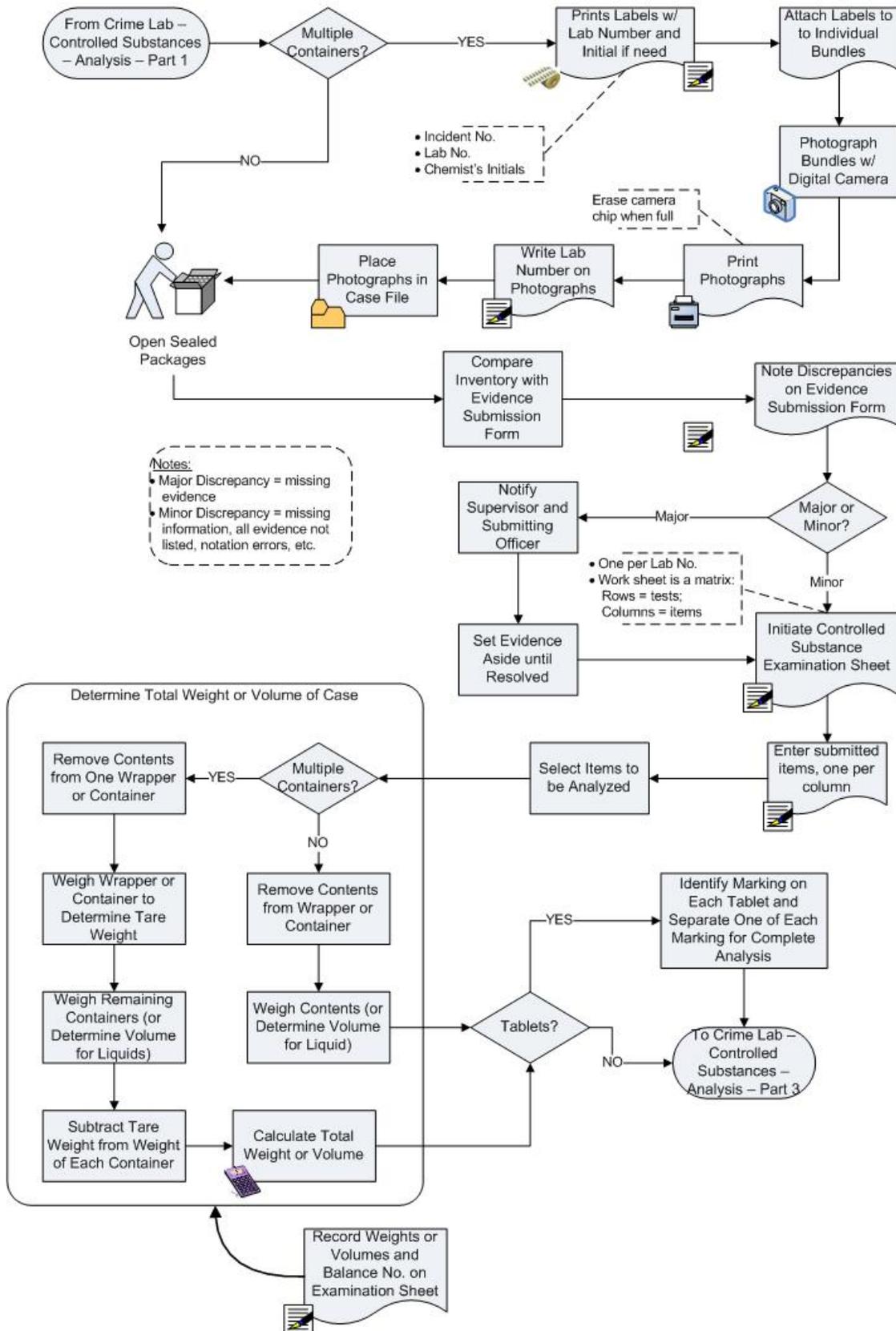


Figure 23 Crime Lab – Controlled Substances – Analysis – Part 2

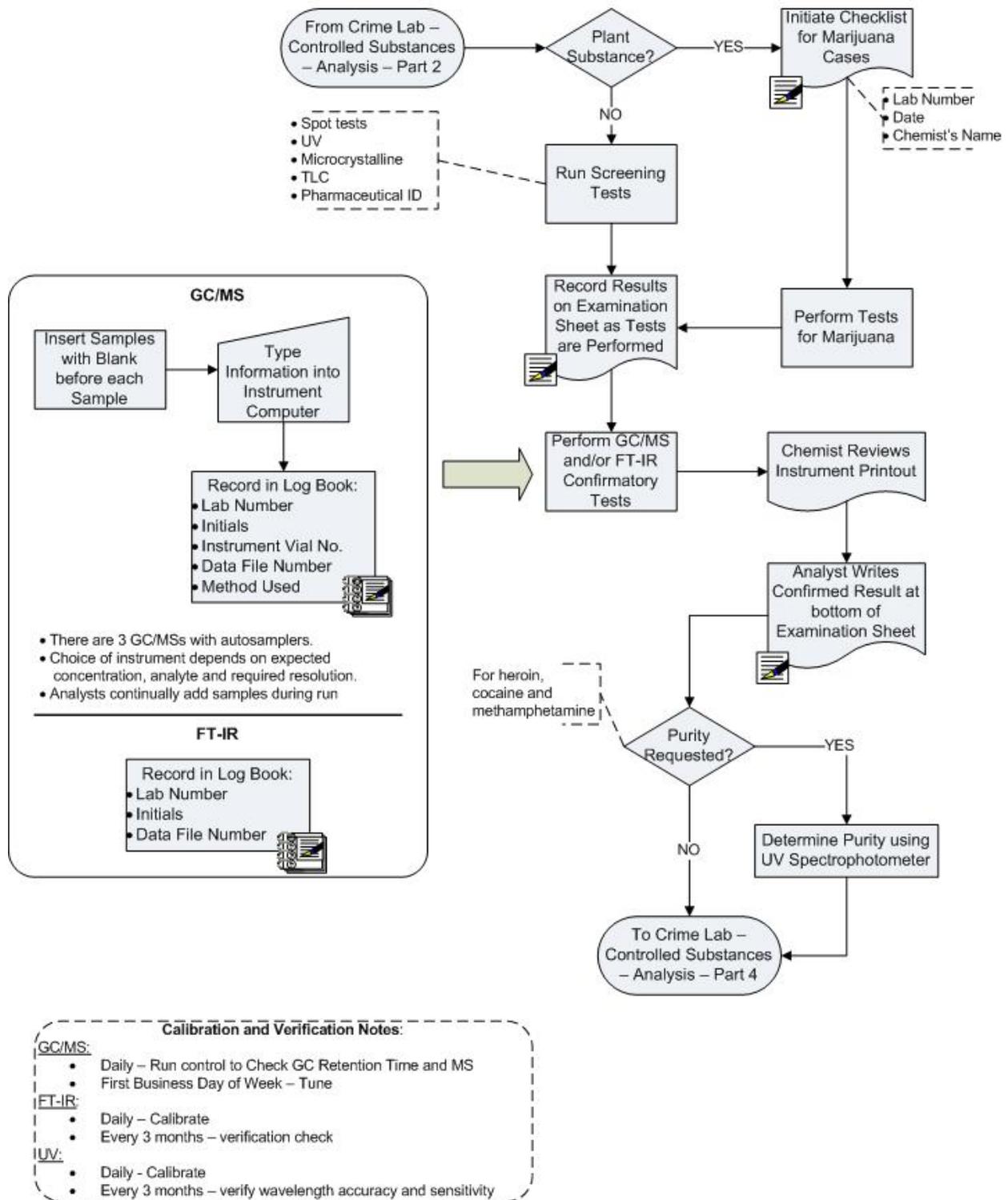


Figure 24 Crime Lab – Controlled Substances – Analysis – Part 3

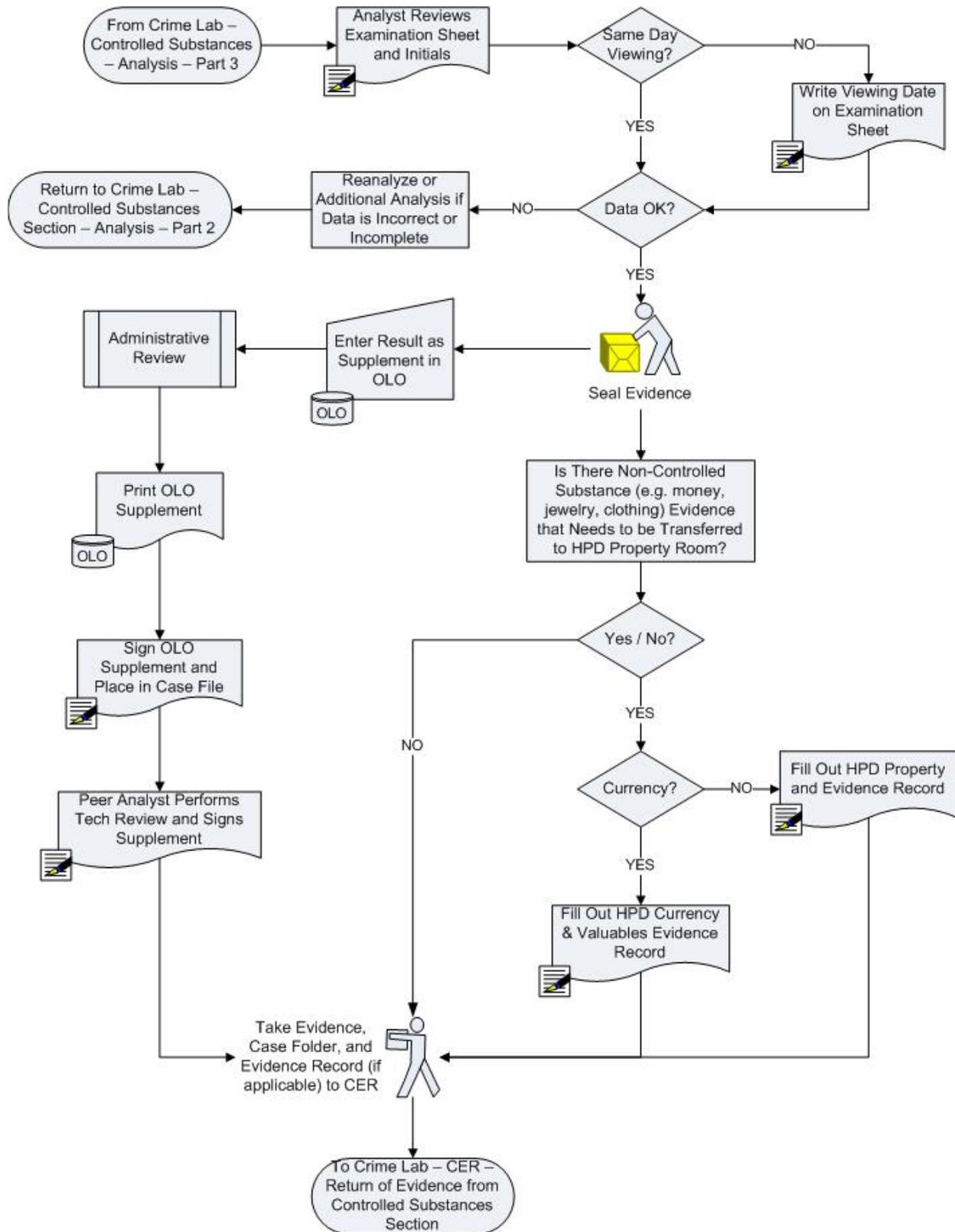


Figure 25 Crime Lab – Controlled Substances – Analysis – Part 4

4.2.2 Undercover Operations

The CS Supervisor provides drugs to HPD for use in undercover operations as shown in the following figure:

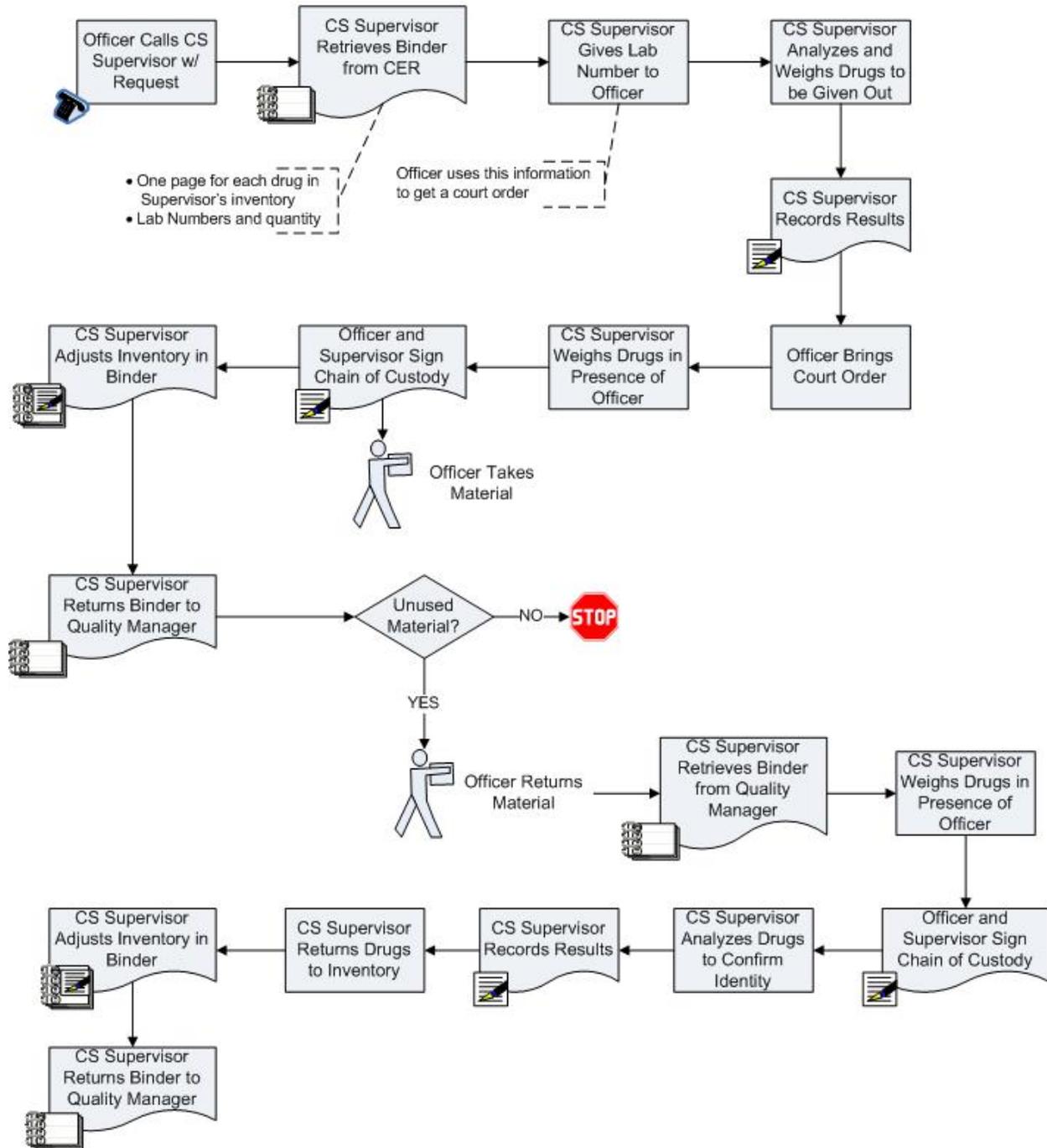


Figure 26 Crime Lab – Controlled Substances – Undercover Operations

4.2.3 Quality Control (QC)

Chemists perform daily and periodic calibration checks on instruments and record the results, date, time and their initials in log books.

CS uses three types of balances, whose accuracy is checked and recorded in logs at different intervals:

- Top loading – checked at a minimum, monthly
- Analytical balance – checked weekly
- Oversize balance – checked prior to use.
- All balances are checked by an external vendor annually

Chemists record reagent preparation and quality checks in a reagent log. CS quality checks frequently-used reagents monthly and infrequently used reagents prior to use. The pH of all acid and base reagents is verified at the time they are prepared. Thin layer chromatography reagents are checked at the time of use. Reagents are used until there is none left or if they do not pass a quality check.

CS performs daily temperature checks of the one refrigerator it uses for storage and records this information in a log.

4.2.4 Management Reports

Chemists prepare a weekly CS worksheet on which they record the number of items, number of tests and results for each laboratory number analyzed. Each chemist also prepares a monthly inventory by recording daily the quantity of each substance that they have identified. At the end of the month, the chemists give their monthly summary sheets to the Section Supervisor, who compiles them and sends a report to the Laboratory Director.

4.3 Firearms (FA) Section

The Firearms Section performs functional testing of weapons, test firing and documentation of weapon condition, as well as trigger pull weight testing. Practically all work performed is for HPD with the exception of firearms processing into the Alcohol, Tobacco and Firearms Bureau (ATF) Integrated Ballistics Identification System (IBIS) for regional law enforcement agencies. Ninety percent of FA's analytical work is performed on homicide cases. Robberies, narcotics, and other case work complete the remainder. Cases may be inter-connected, i.e., the same weapon may be used in multiple incidents and by several suspects. Also, through relationship with other cases to which a weapon is linked, associations may be drawn between that weapon and other weapons in the related cases. Tying such cases together is an arduous task. During testing an Examiner may freely add or alter the testing specified in the case.

Evidence received falls into one of five categories: 1) IBIS-processing only; 2) case work requests called out by OLO; 3) requests from the DA that are received via e-mail 4) Officer involved shootings, or 5) Firearms that cannot be safely unloaded by officers. FA works cases, numbering about 400 annually, with a staff of four Examiners, two Trainees, a Clerk and the section Manager. FA intends to add a grant-funded Evidence Technician, who will be

responsible for receiving, tracking, and categorizing evidence and similar responsibilities. This position will be responsible for periodic spot and scheduled full audits of maintained evidence and reference collection firearms.

4.3.1 Logging Evidence into FA

The following figure illustrates the process for logging evidence into FA:

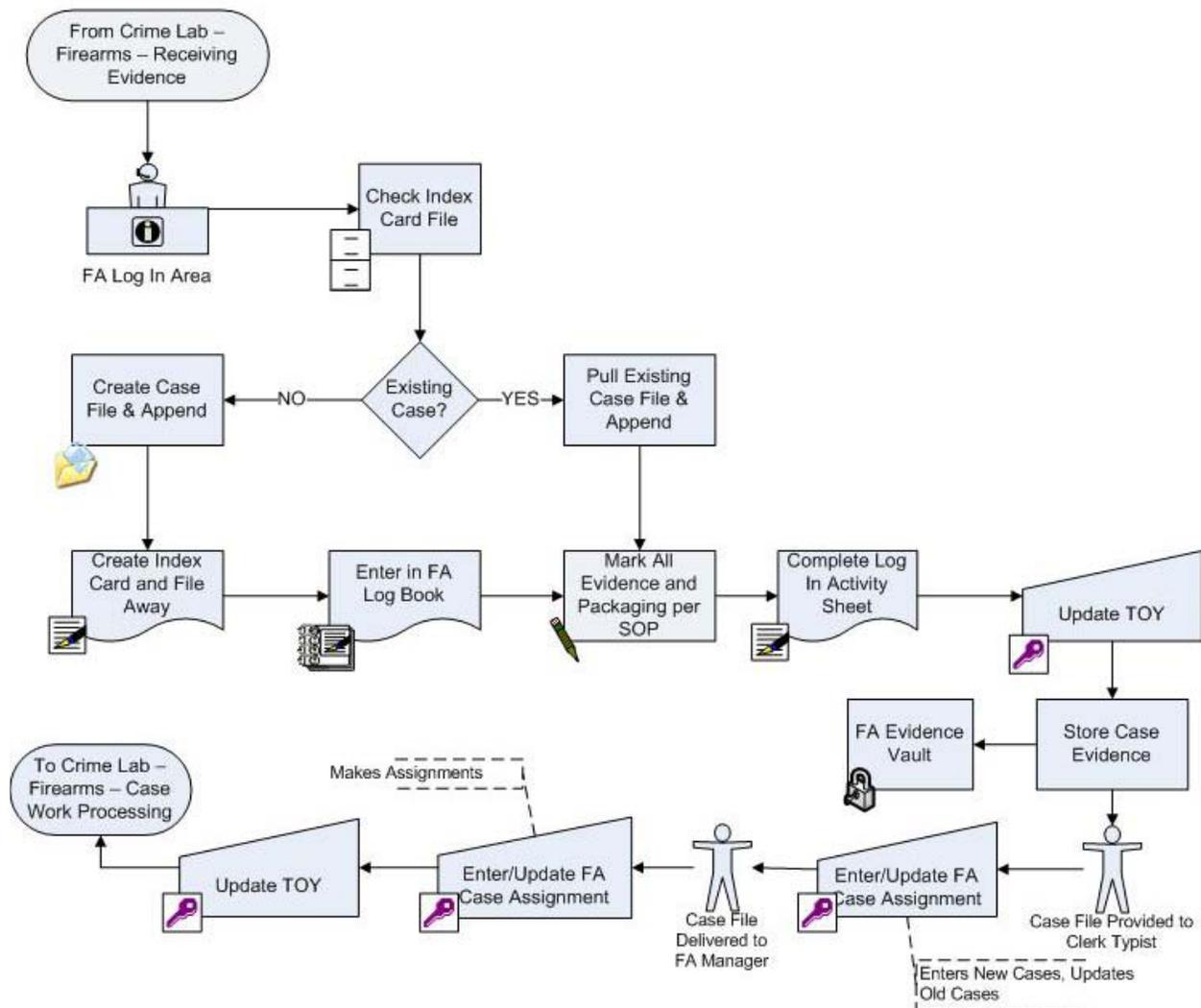


Figure 27 Crime Lab – Firearms – Logging Evidence

4.3.2 Case Work Processing

Assignments are made in a cyclical order by the Section Manager to even the workload. Capital murder cases or large-quantity analyses are usually assigned to Examiners with greater seniority or related experience. The Section Manager or an appointed designee also sees to the administrative and technical review of supplements prepared for case work, as well as reviews scientific conclusions.

All evidence processed through/by FA receives its own unique FA case number. A single inventory sheet in the case file is used to record additional evidence sub-generated from existing evidence. Reference gun parts, inventoried in a MS Access database, are infrequently used during functional testing. Notes are recorded on comparison worksheets as open and free-form narratives. Forms used during examinations are associated with the type of evidence being tested and the tests conducted. Forensic photographs are incorporated into the electronic worksheets, which are in turn saved on a network drive. These electronic worksheets are then printed and placed in the case file.

Approximately 2500-3000 test fires are conducted annually on the 24th floor of the HPD headquarters complex. FA uses evidence cartridges for test firing when available and appropriate for use. Otherwise, examiners utilize stock ammunition for test firing. The analysis of evidence for tool marks is so infrequent that the current intent is to sub-contract such work to the Texas Department of Public Safety (DPS).

Reports are prepared first in MS Word utilizing canned/boiler plate comments, with expounding as necessary. The Word reports are formatted in ASCII fixed width to facilitate copy and pasting into the OLO system. The reports are then transferred by floppy disc to the confidential OLO workstation where they are pasted and entered into OLO.

The following figure represents the workflow for case work:

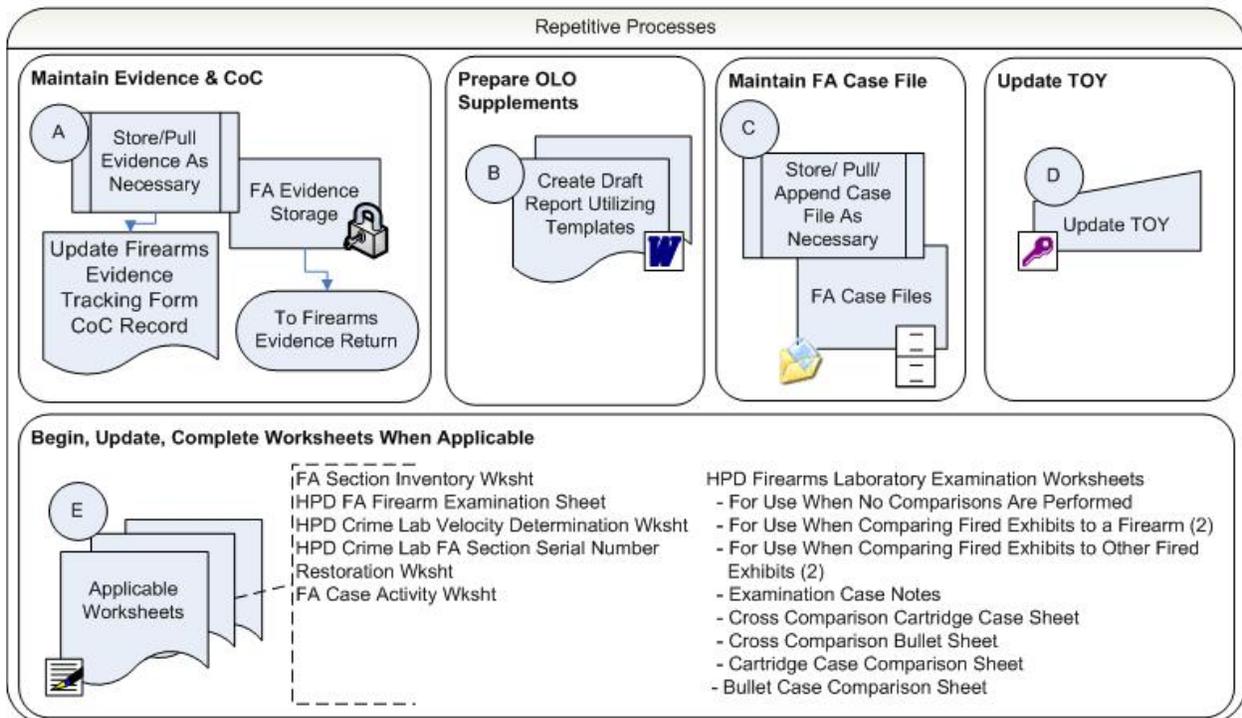


Figure 29 Crime Lab – Firearms – Case Work Processing – Repetitive Processes Key

4.3.3 IBIS-Only Processing

IBIS intake and processing is aggressive with the recording of firearms and related evidence in IBIS required within 24 hours of receipt. Approximately 300 to 400 of these “IBIS Only” cases occur monthly. IBIS is provided by Forensic Technology Inc. as funded by ATF and includes two Data Acquisition Systems and one Match Point System. Administrative and technical reviews are not conducted if data entries in IBIS do not result in a match. Examiners follow-through any matches made in IBIS with the appropriate case Investigator or matching agency.

The following figure represents the IBIS-Only workflow:

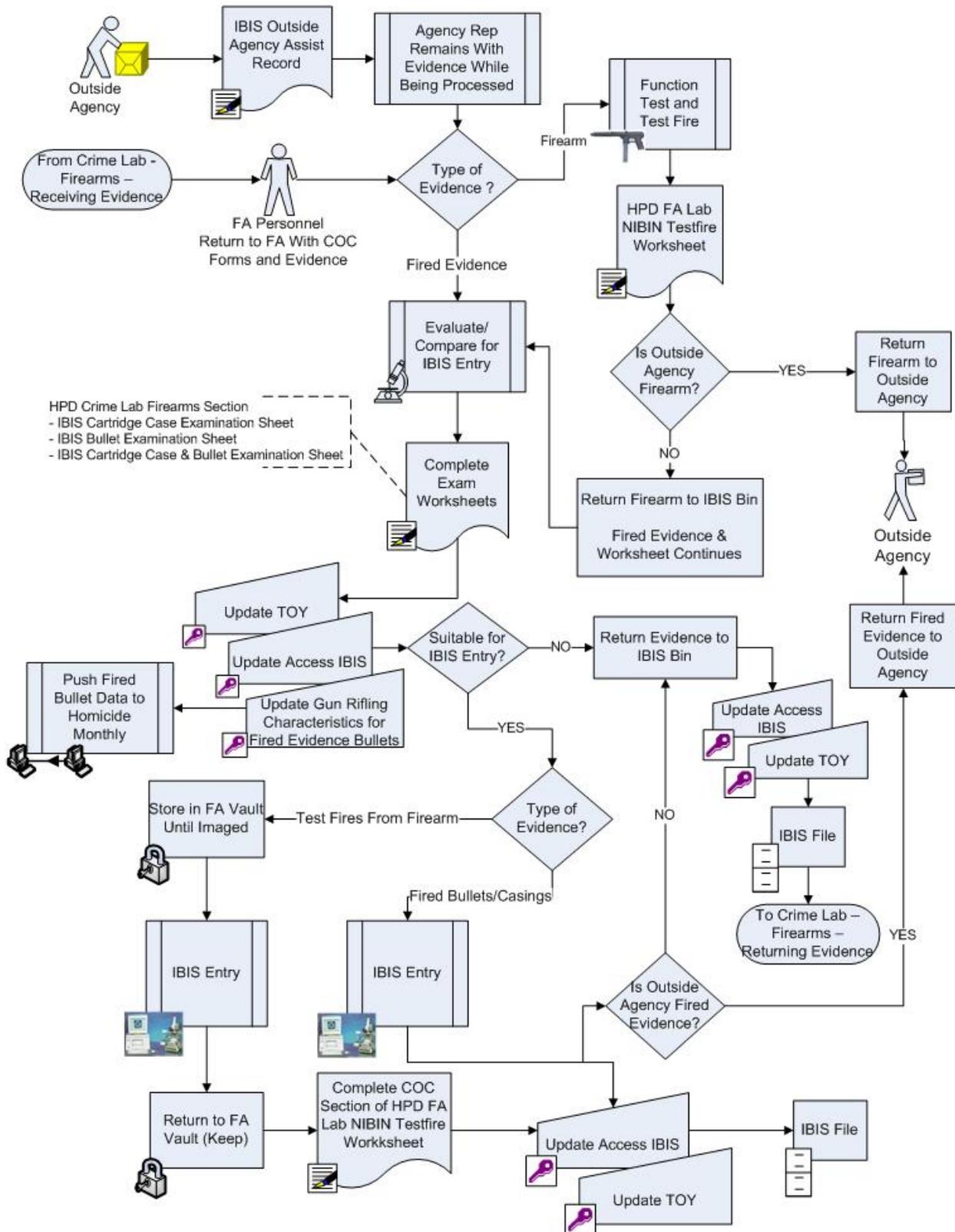


Figure 30 Crime Lab – Firearms – IBIS-Only Processing

4.3.4 Data Management

On a weekly basis IBIS data are backed up to tape. Each time a user logs in, the IBIS unit performs a calibration check. Weekly, an analyst verifies the calibration of the camera's zoom motor. This activity is recorded in the IBIS Logbook. A variety of internally developed MS Access databases are in use. A General Rifling Characteristics (GRC) MS Access database developed and provided by the FBI is also used. Six microscopes with video and frame grabber ability are utilized for case work processing and all computers are networked. Reagents, supply and ammunition inventories are not automated.

4.3.5 Instrumentation

Examiners perform equipment tracking and calibrations within the Crime Laboratory's Quality Management System requirements.

4.3.6 Management Reports

Statistical reports to the Crime Laboratory Director are compiled to report productivity and workload values. A backlog of case work performed, IBIS processing tasks, case examinations, data regarding court testimonies, particulars on Officer-involved shootings, items received, and crime scene assist investigations are collected and reported. It is often difficult to attribute exact figures to a particular category or individual as the nature of the work is often collectively accomplished with assistance rendered generously among the team.

4.3.7 Laboratory Access

Access to the Firearms Laboratory is restricted to authorized individuals; all visiting individuals are escorted and required to record their visit in a log sheet.

4.4 Forensic Biology (FB) Section

Priority assignments are reviewed to organize the work of trace/stain preservation, DNA and other evidence processing on the basis of suitability for testing, court requirements and comments recorded during collection. For example, suspects in custody may be swabbed and require priority analyses. The Section Manager may determine priorities from conversations with HPD Officials and County DAs. Items requested for testing are selective and only chosen to answer a particular question of the case. FB may notify an agency that no work will be conducted on their submitted evidence based on suitability or that methodologies other than those requested are warranted. FB examinations are performed on a variety of materials by a staff of 17 Examiners/Technicians and a Combined DNA Index System (CODIS) Specialist.

Sexual Assault Kits, reference bloods, and case evidence suspected of containing DNA are routinely sent to analysts for sub-sampling, stain identification, slide preparation, cutting and preservation. An FB Analyst stores evidence in his/her individual locker when not actively being processed. Cuttings, stains and swatches remain in FB storage for life while large case evidence items are returned to the Property Room.

It is not uncommon to perform tests, return the evidence and have it again resubmitted when the case is re-opened, sometimes years after the first investigation.

The following figure depicts the evidence processing for FB Trace and Serology examinations:

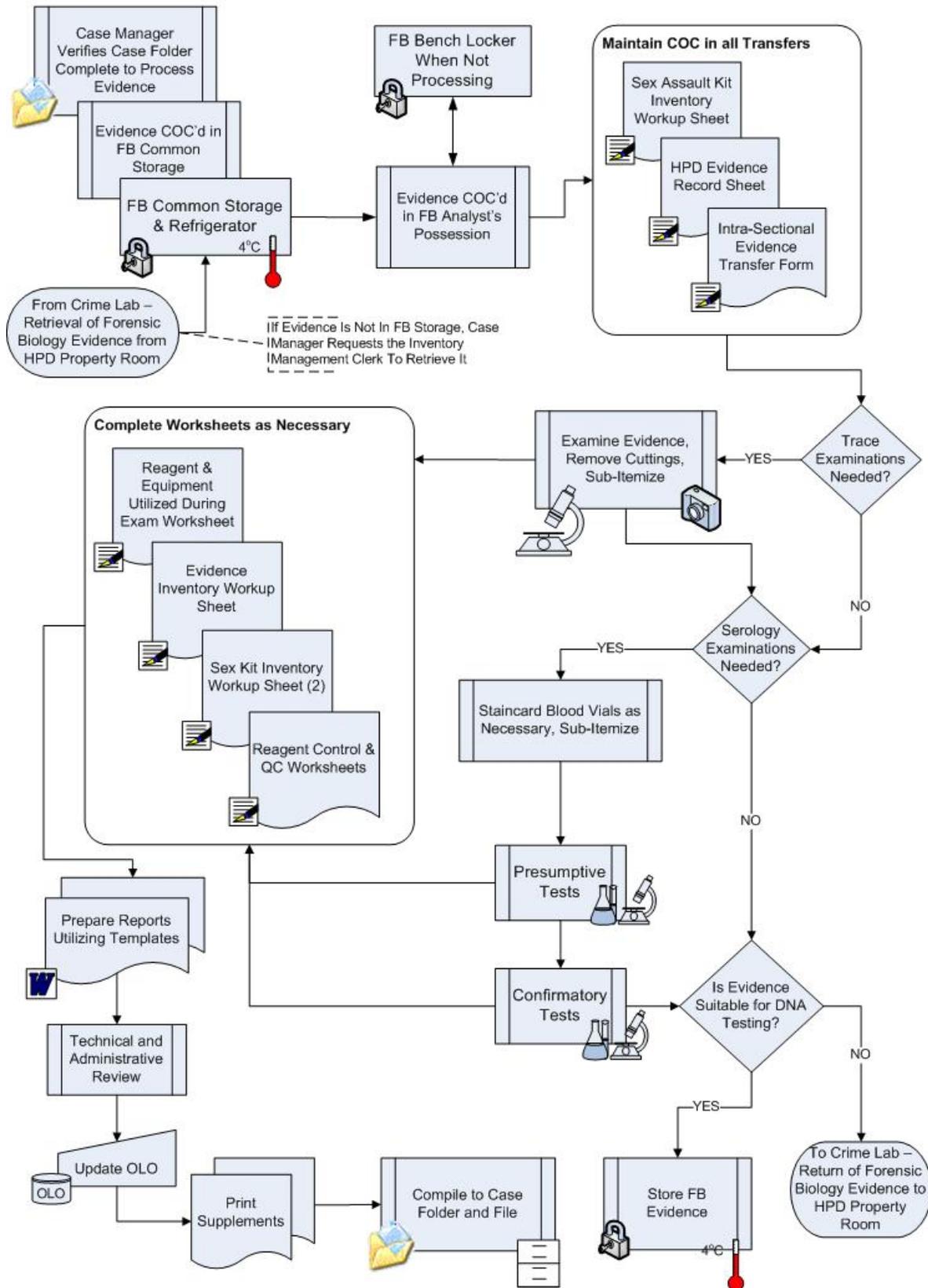


Figure 31 Crime Lab – Forensic Biology – Trace Serology Examinations

Sub-samples are then chained out of Trace and Serology and processed for DNA extraction, yield, quantification, amplification and short tandem repeat (STR-DNA) analysis. Traceability is maintained on chemical lots, controls and instruments used throughout FB. QC verification of reagent stocks is employed before, during or after testing as required by the methodologies.

The following figure describes this process of DNA work:

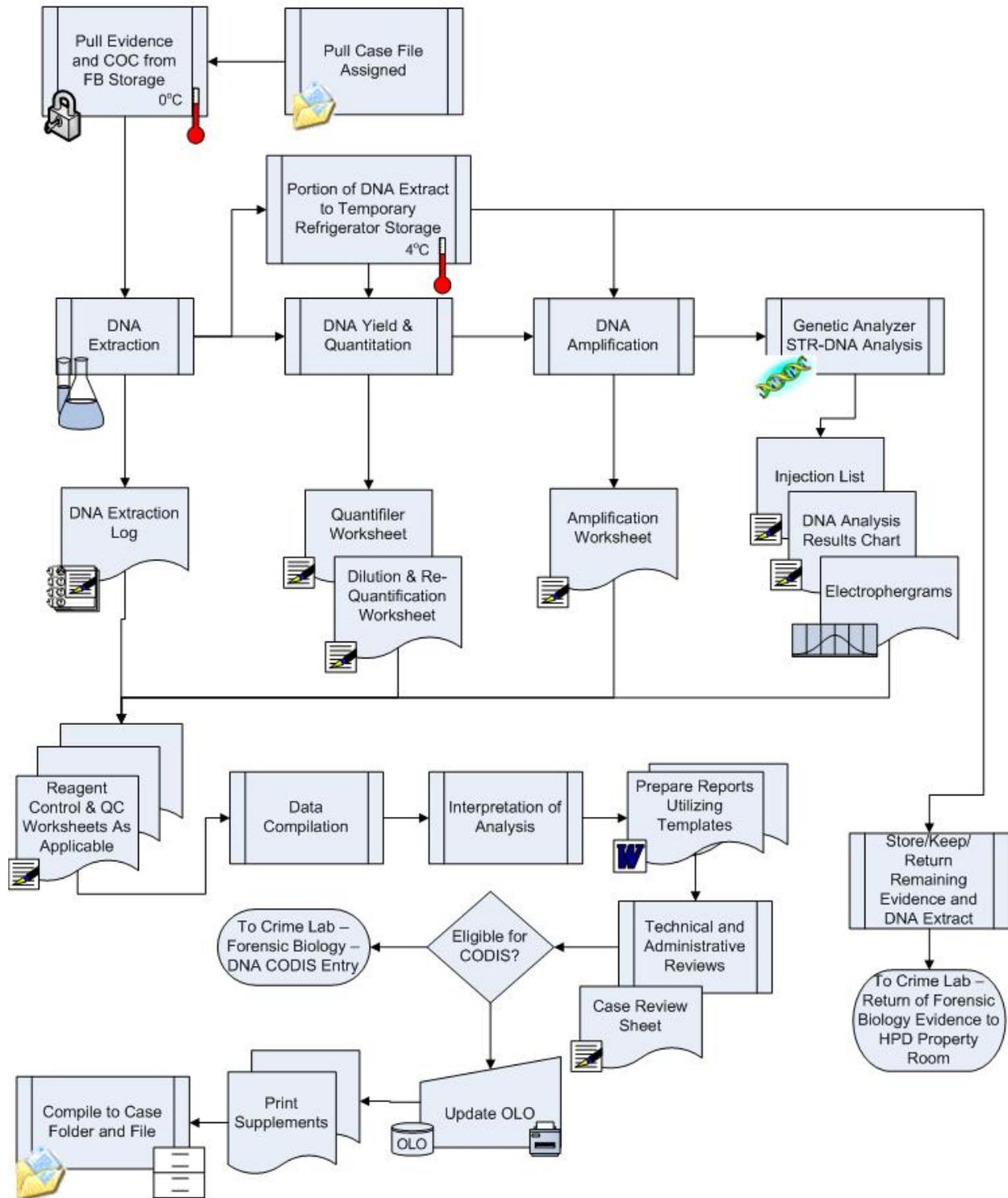


Figure 32 Crime Lab – Forensic Biology – DNA Analysis

Genome data is submitted to the CODIS for attempted matching and identification. The following figure describes this process:

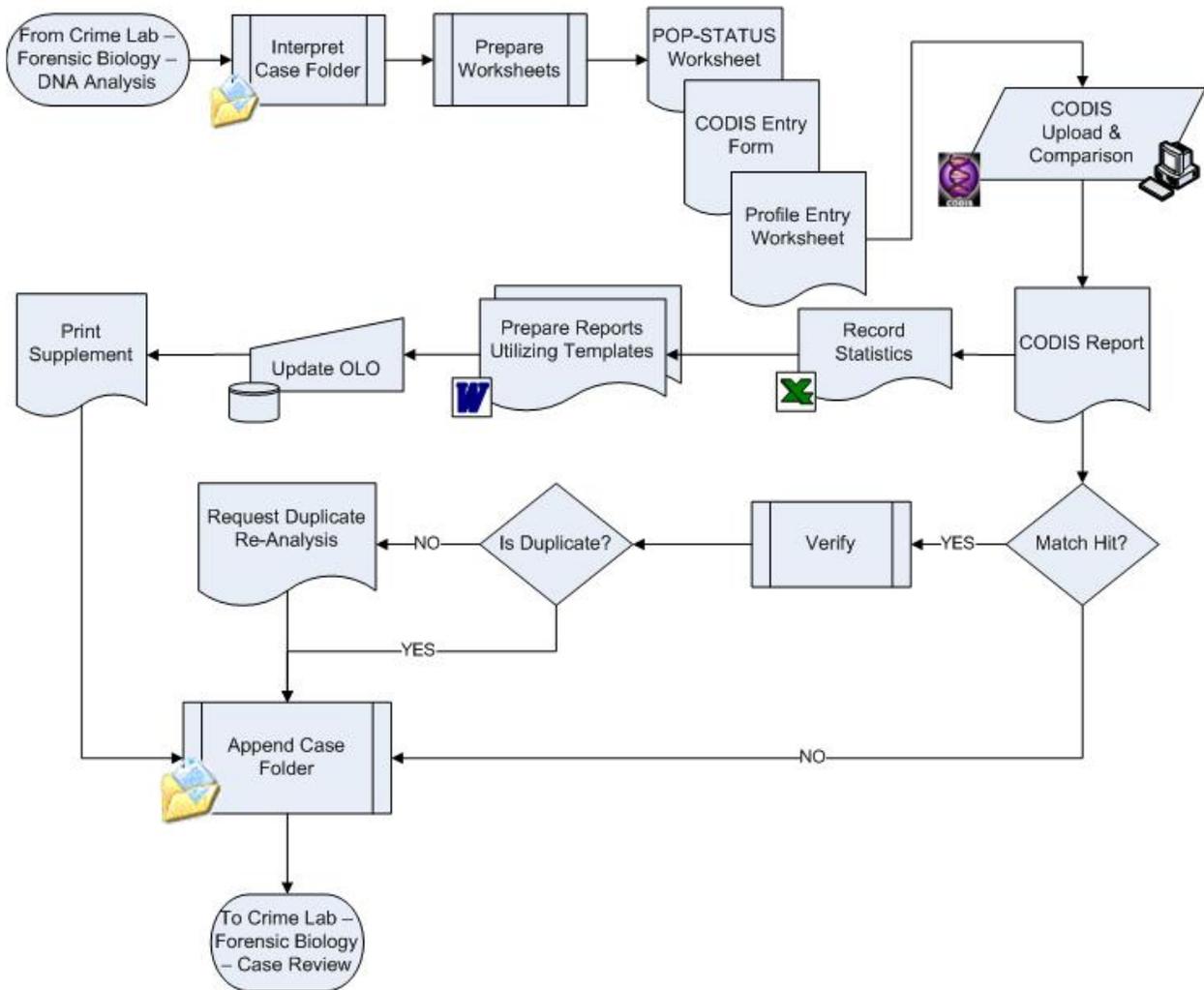


Figure 33 Crime Lab – Forensic Biology – DNA CODIS Entry

Case Folders returned to the FB Case Manager are reviewed for completeness and appropriate actions are taken when identifications are made with DNA results. The following figure describes this process:

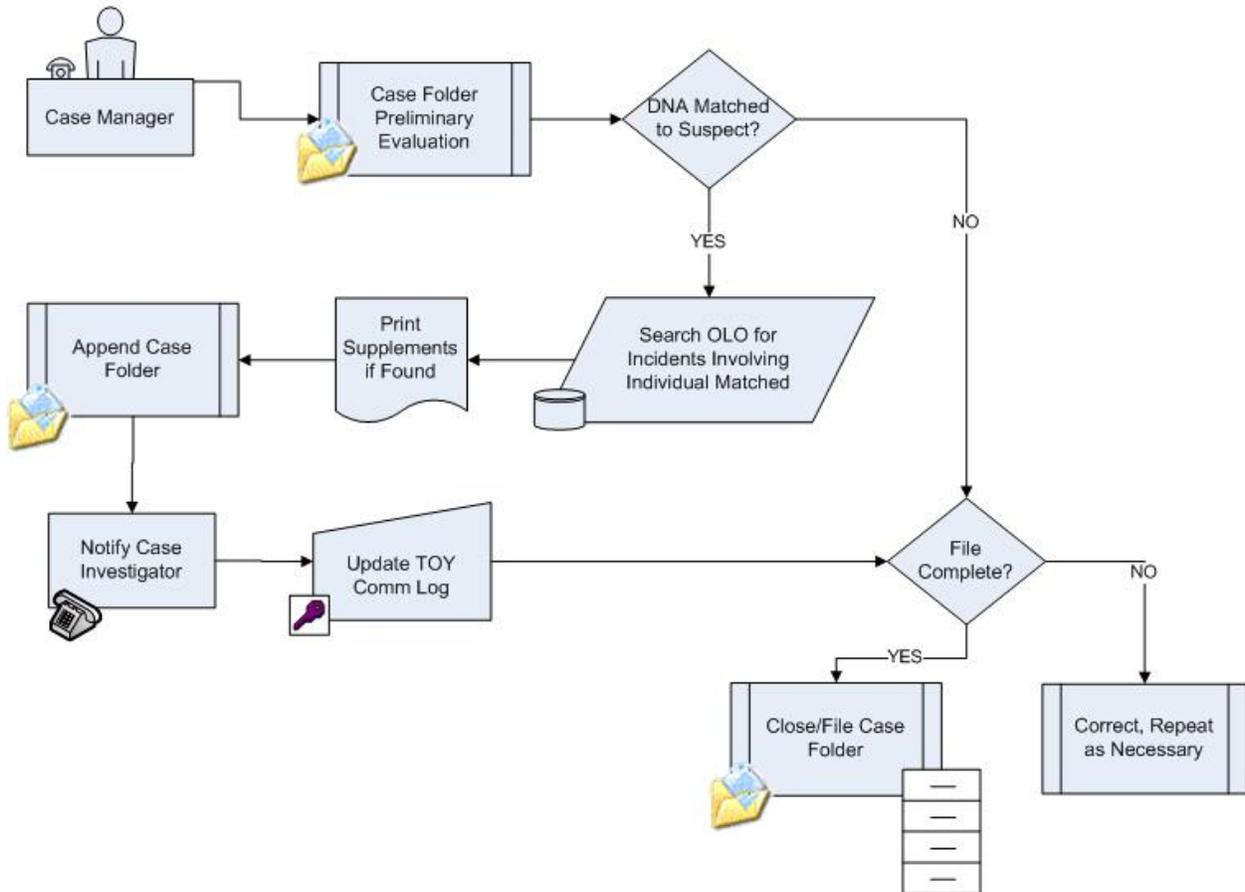


Figure 34 Crime Lab – Forensic Biology – Case Review

FB maintains a spreadsheet system for the collection of statistical data on the efforts/tasks expended during profiling and testing conducted. The recording of testimonies and QA conducted by FB staff are similar to other Crime Lab sections.

4.5 Questioned Documents (QD) Section

The Questioned Documents Section typically examines case-related materials such as robbery notes, suicide notes, drug tally sheets, gambling tip sheets, bomb threats, threatening letters, and a wide variety of documents in fraud cases. In QD, an exhibit is a separate, single item examined. Although similar items (e.g., questioned checks on the account or known writings of one person) are often grouped together for the purpose of exhibit numbering, the number of exhibits still represents the total number of items examined.

QD receives about 90% of their work from HPD internal sources such as Investigators. The remaining 10% of the work comes directly from outside agencies such as the DA's Office, Harris County Sheriff's Office, the Galveston County Sheriff's Office, HISD and Fort Bend County. Non-HPD evidence must always be received directly into the QD section.

The current case load for QD is approximately five (5) samples per month. The QD section also testifies in court, provides charts for court, and performs QC routinely.

4.5.1 Receiving QD Evidence

The following figure illustrates the transfer of evidence from both internal sources and external agencies to QD:

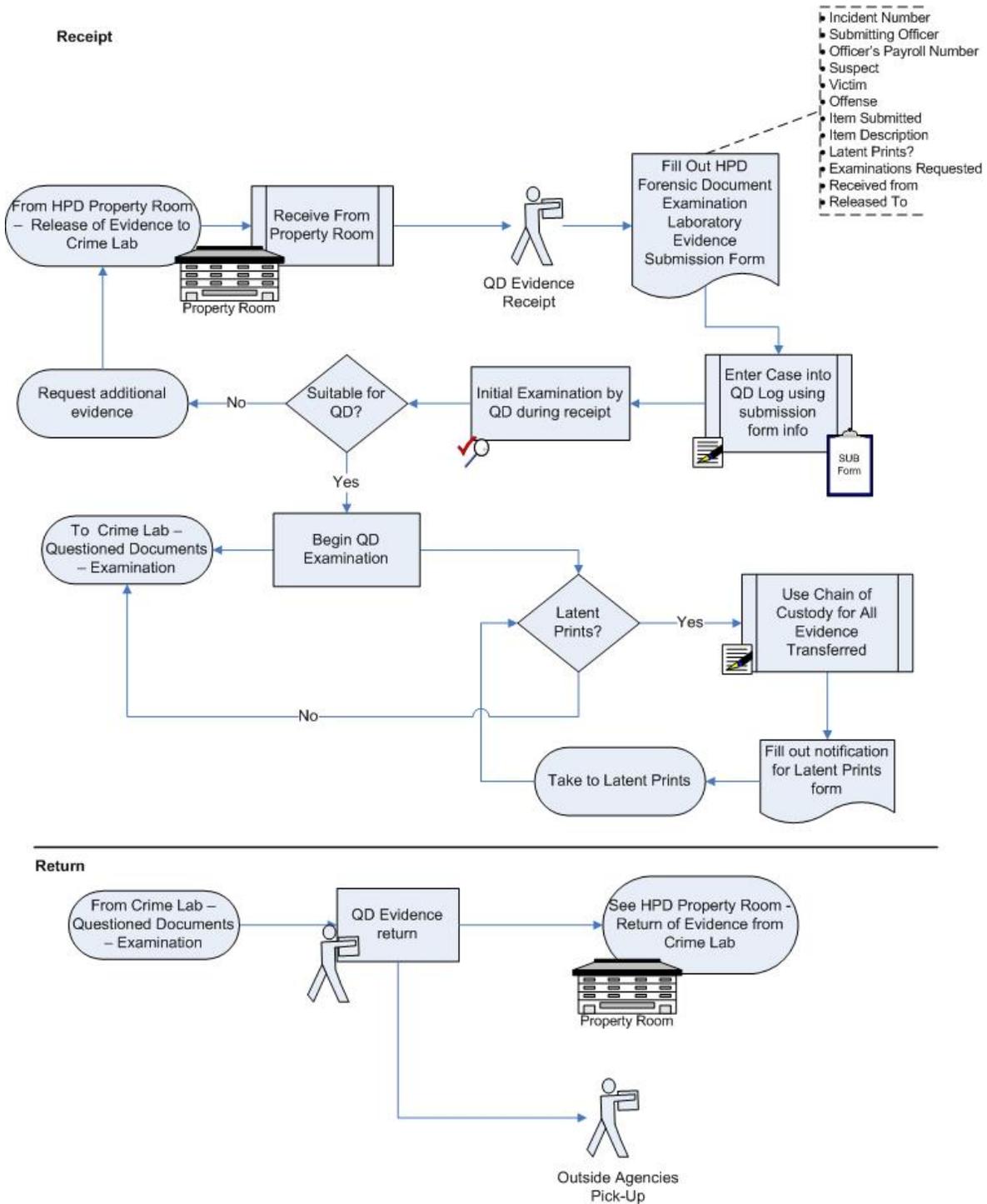


Figure 35 Crime Lab – Questioned Documents – Receiving/Returning

4.5.2 QD Examination, Reviewing and Reporting

The QD Examination performed is highly dependent upon the type of sample or evidence submitted. The Examiner also often makes this determination based upon findings as he/she works through the examination. The figure below shows some of the potential examination types and decisional aspects of the examination:

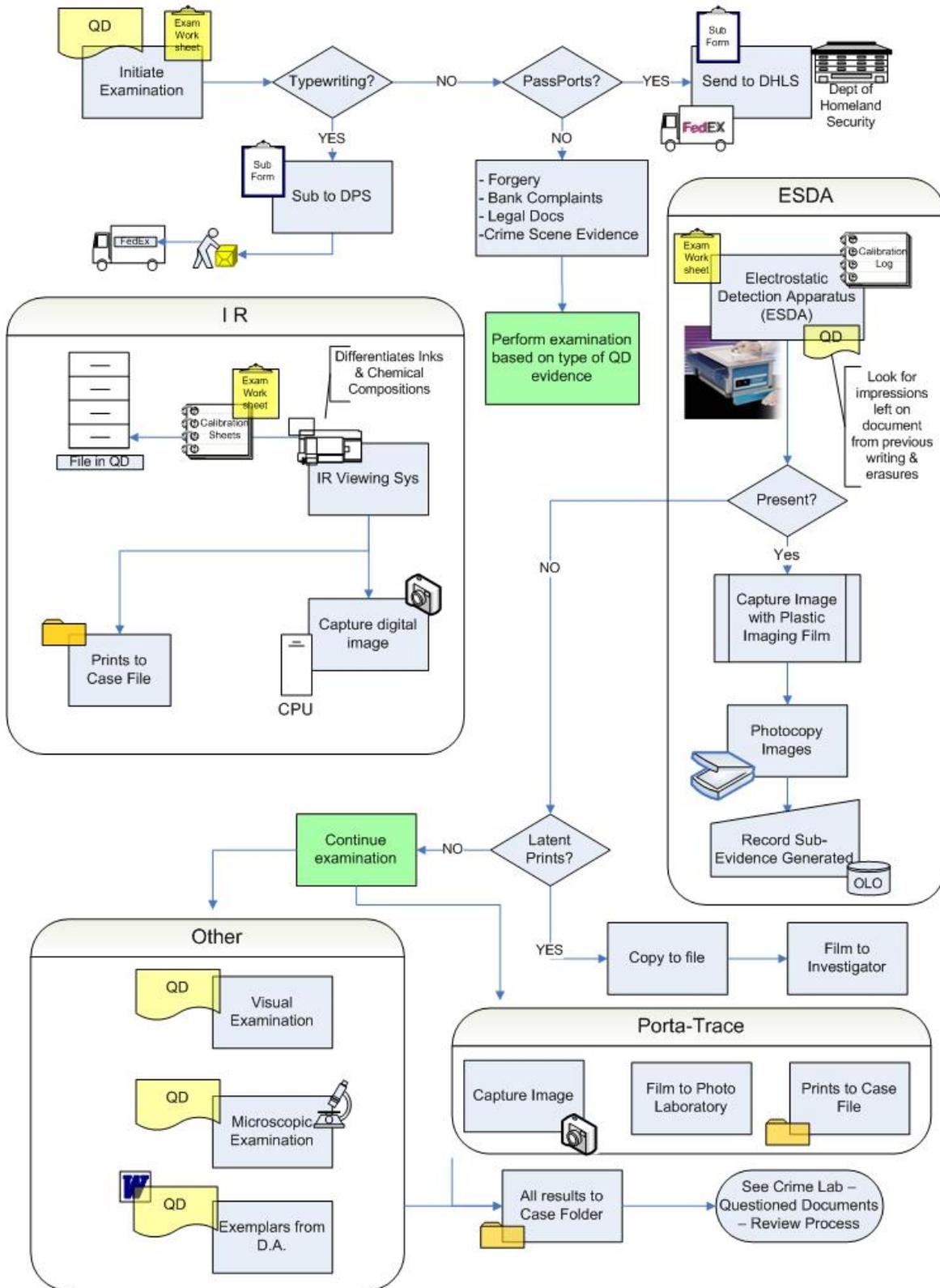


Figure 36 Crime Lab – Questioned Documents – Examination

The next figure illustrates the review process once the examination is complete. The technical review is performed outside of the HPD organization by a qualified examiner.

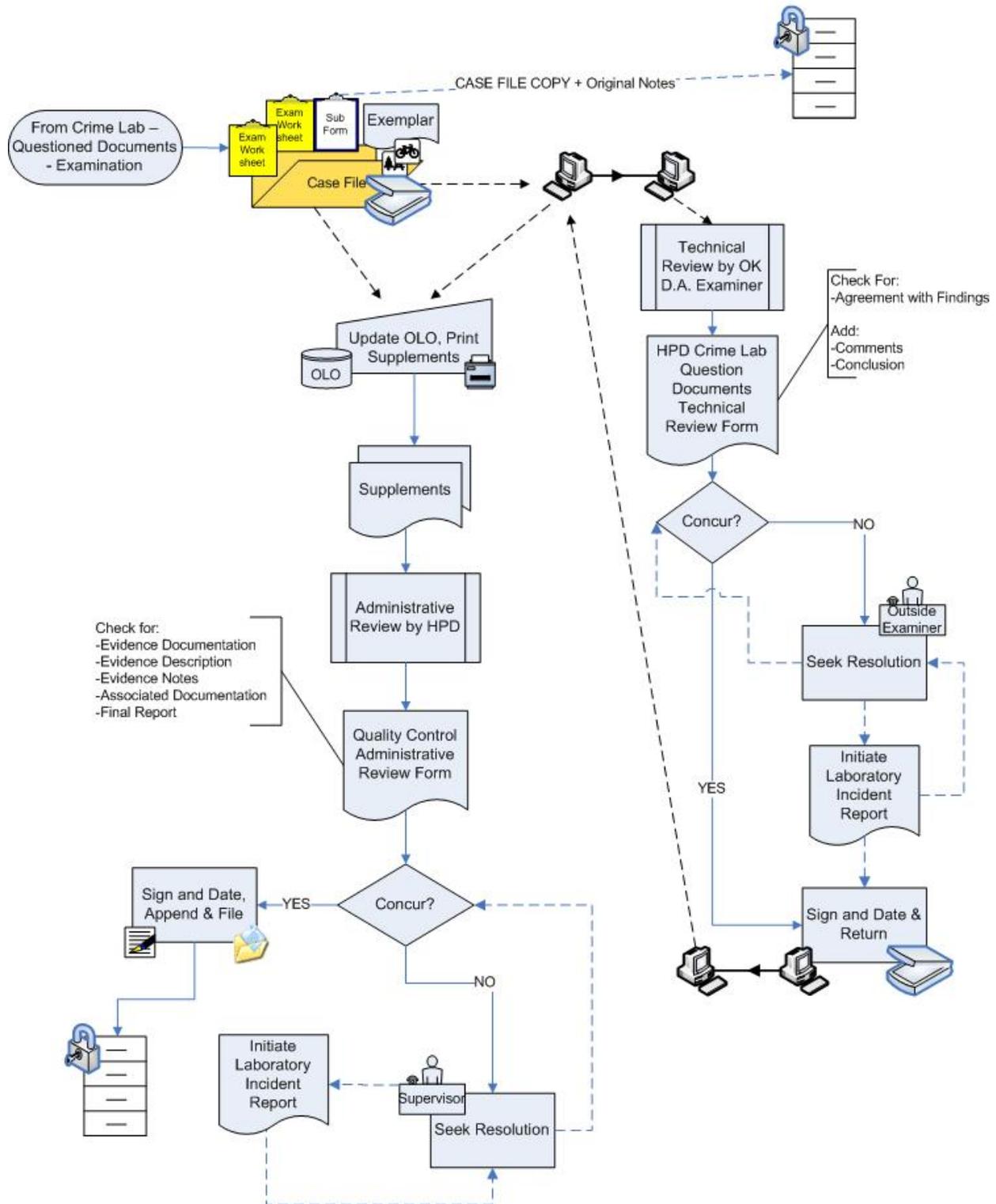


Figure 37 Crime Lab – Questioned Documents – Review Process

4.5.3 Quality Control (QC)

The QD examiner performs calibrations on the IR and ESDA instruments each time they are used. The calibration check results, toner QC, etc are recorded with the date, time, and Examiner's initials. QC and Calibrations are kept on file in the QD section.

4.6 Toxicology Section

The Toxicology Section measures blood alcohol content, arranges for outsourcing of drug screens and analysis confirmations in blood and urine and maintains the breath alcohol testing program and instrumentation for HPD. The section anticipates an expansion in the services offered to include drug testing in both blood and urine.

4.6.1 Blood Alcohol Content Analysis

The following figure illustrates the workflow for determining blood alcohol content:

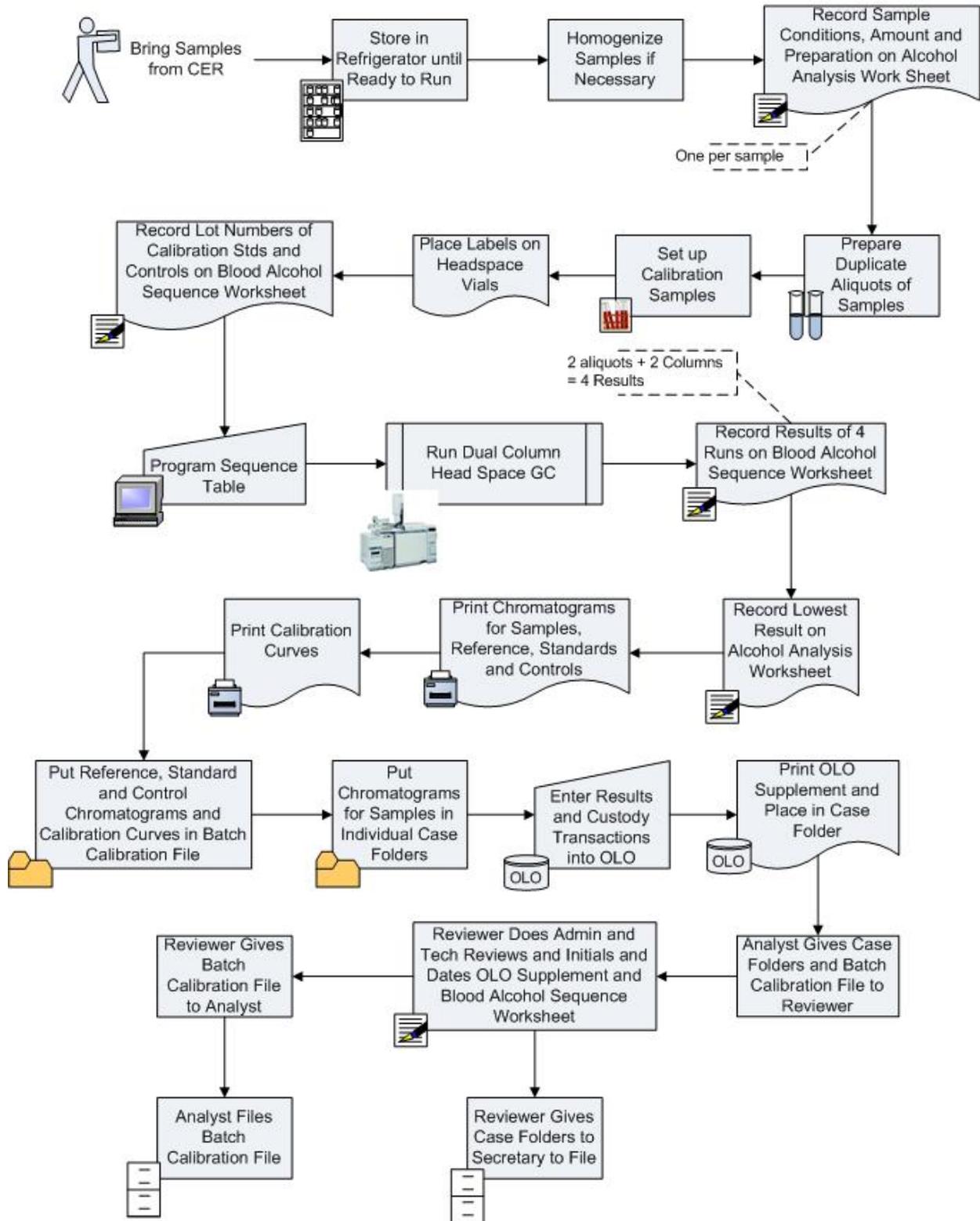


Figure 38 Crime Lab – Toxicology – Blood Alcohol Content Analysis

4.6.2 Breath Alcohol Testing Program

HPD administers a state program for measuring breath alcohol in the field. Within this program, the Toxicology Section performs annual recertification of HPD officers in use of the breath alcohol testers.

In addition, the Toxicology Section maintains the five breath alcohol instruments. The certified Toxicology Section Technical Supervisors visit the instruments in the field once a week to pick up evidentiary breath testing slips. Once a month the Certified Technical Supervisors perform inspections of the instruments and recalibrate the instruments, as needed.

4.7 Outsourcing

The Crime Lab processes outsourcing of evidence from cold cases for DNA analysis and blood and urine for drug screens:

Requests for outsourcing evidence for DNA analysis come from the DA and from the Cold Case Squad.

4.7.1 Requests from the DA's Office

When the DA desires to outsource cold-case evidence, the DA's office contacts the Crime Lab, which is responsible for retrieving the evidence and delivering the evidence to the contract laboratory, as illustrated in the following figure:

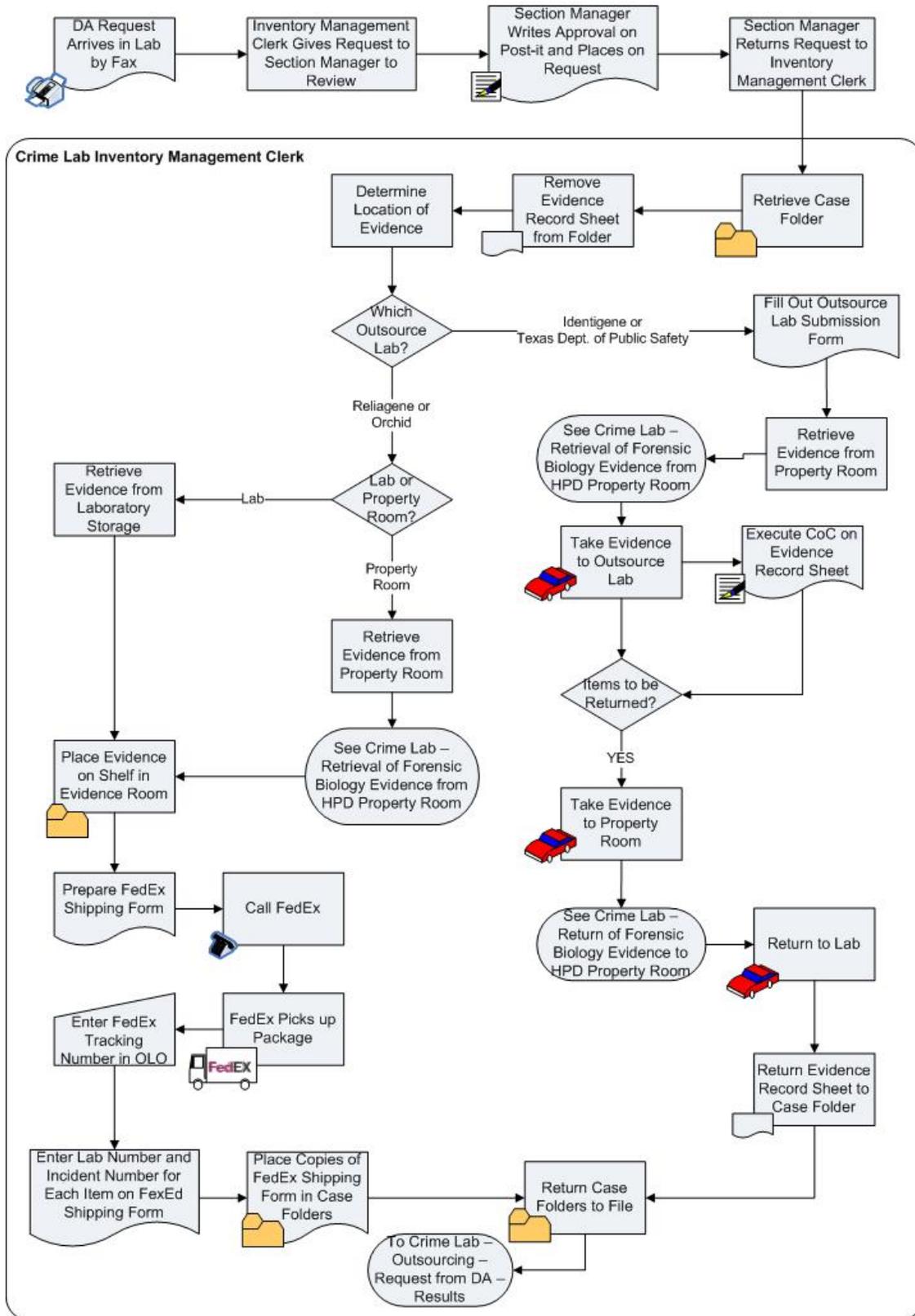


Figure 39 Crime Lab – Outsourcing – Requests from DA

The Crime Lab approves the cost of analysis and processes testing results as shown in the next figure:

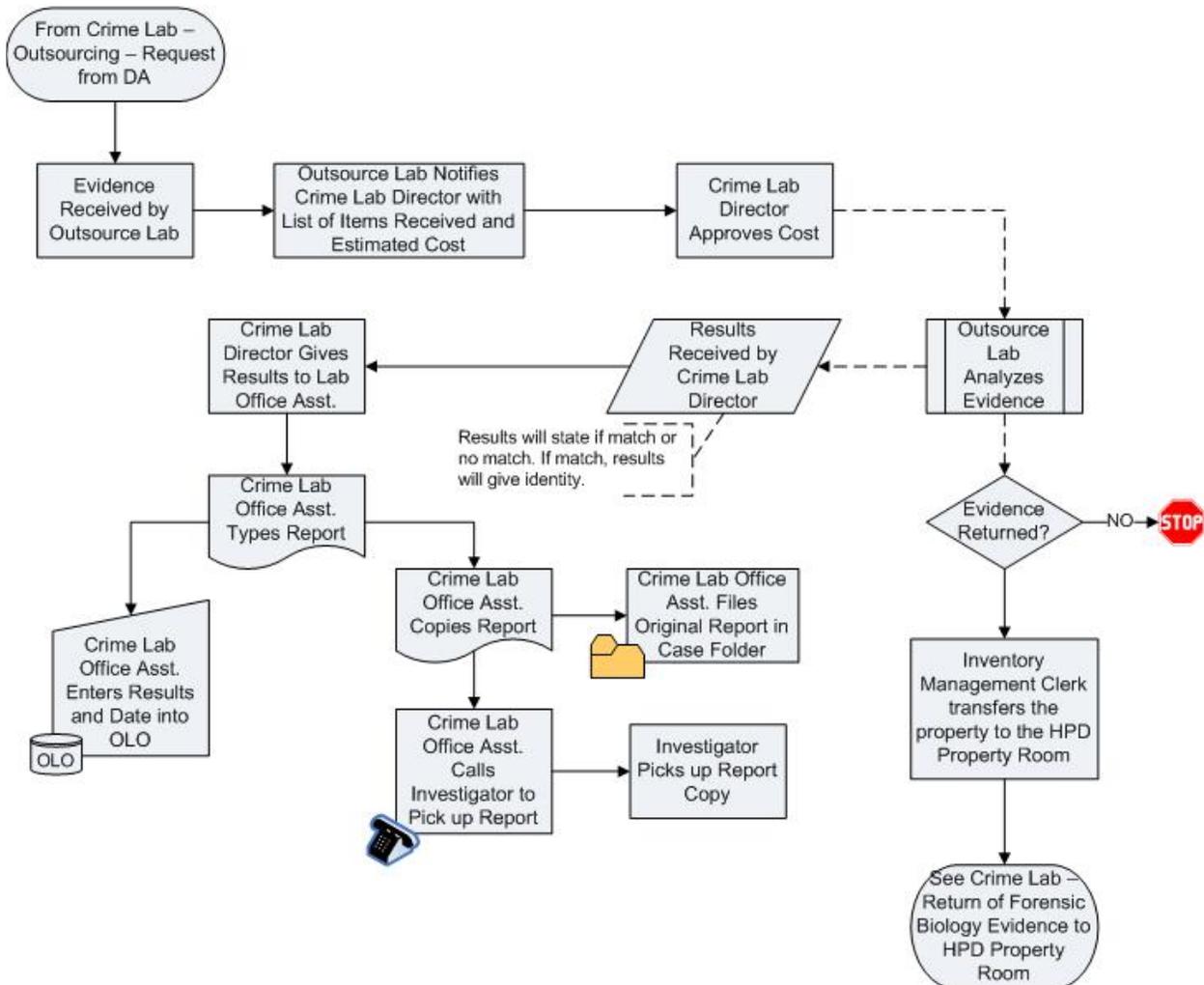


Figure 40 Crime Lab – Outsourcing – Requests from DA – Results

4.7.2 Requests from Cold-Case Unit

The Inventory Management Clerk processes outsourcing of cold-case evidence retrieved by the HPD Cold-Case Unit using the procedure illustrated in the following figure:

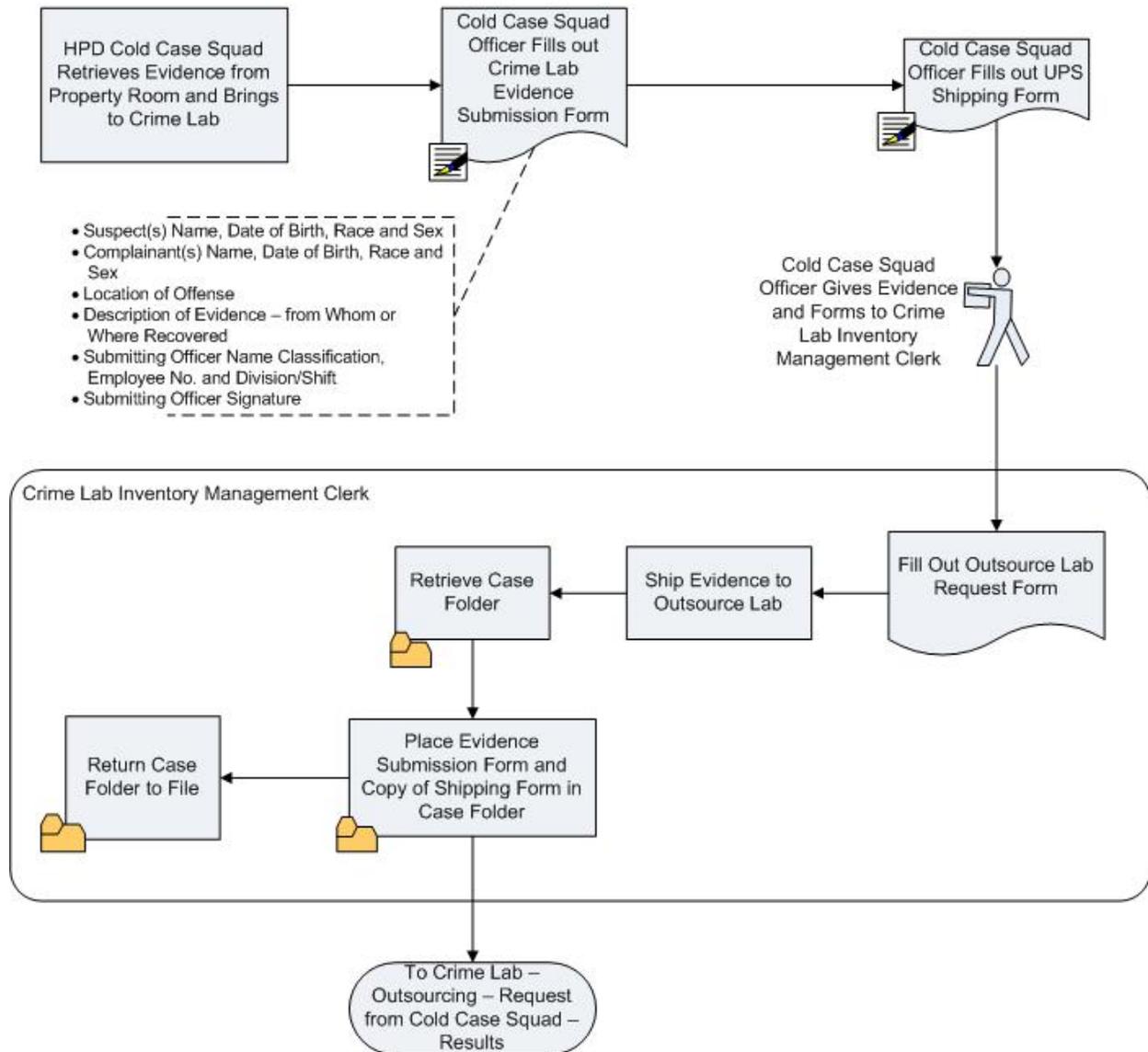


Figure 41 Crime Lab – Outsourcing – Requests from Cold-Case Squad

The Crime Lab approves the cost of analysis and processes testing results as shown in the next figure:

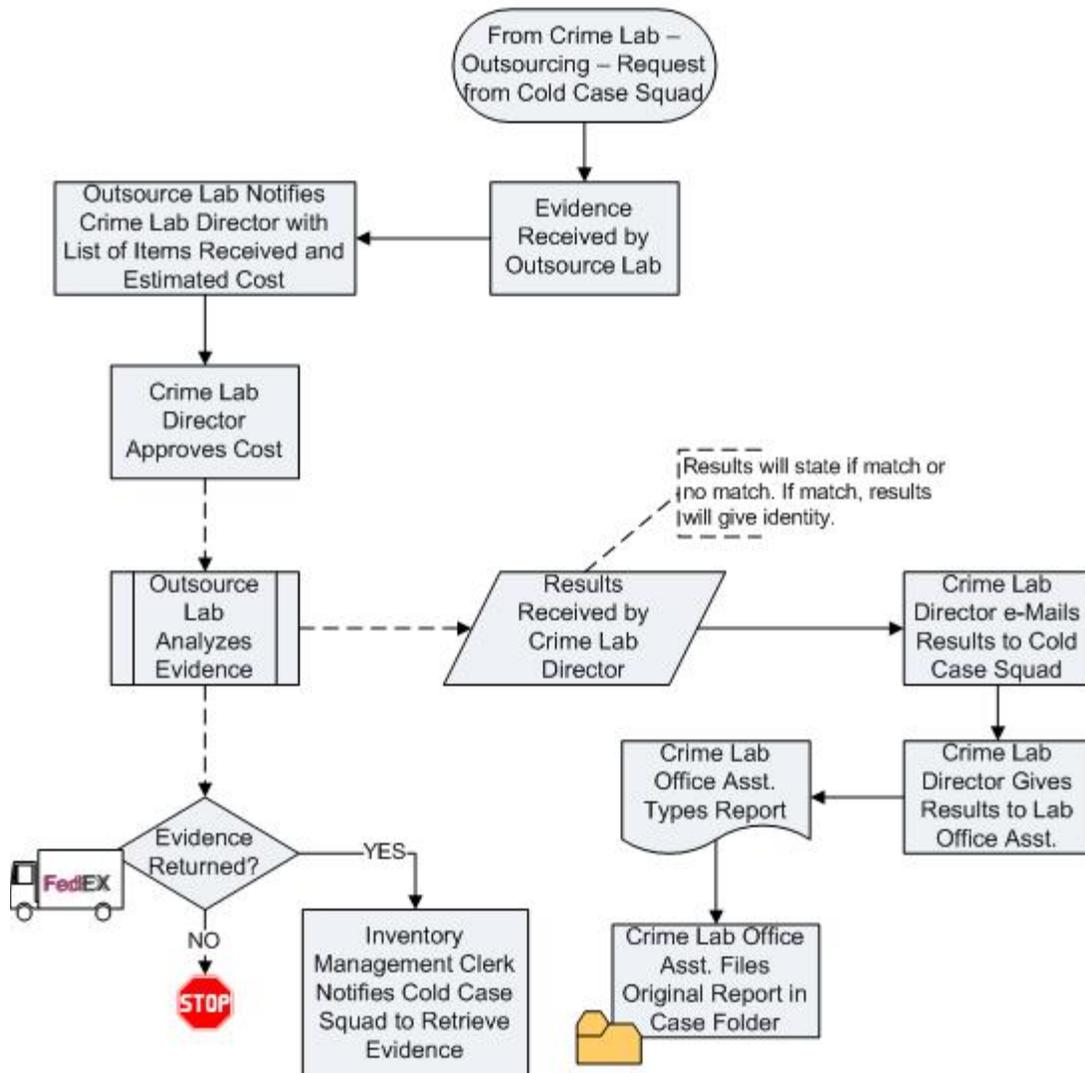


Figure 42 Crime Lab – Outsourcing – Requests from Cold-Case Squad – Results

4.8 Quality Assurance (QA)

The QA Manager is responsible for:

- Developing and Updating the Crime Lab Quality Manual
- Day-to-day monitoring of laboratory practices that affect the quality of laboratory results, e.g., instrument calibration and maintenance, reagents and standards, case reviews, corrective actions, and training
- Scheduling, monitoring and/or conducting internal audits per ASCLD/LAB requirements
- Coordinating proficiency and competency testing
- Coordinating monitoring of court testimony

4.8.1 Proficiency Testing (PT)

The following figure illustrates the external PT process:

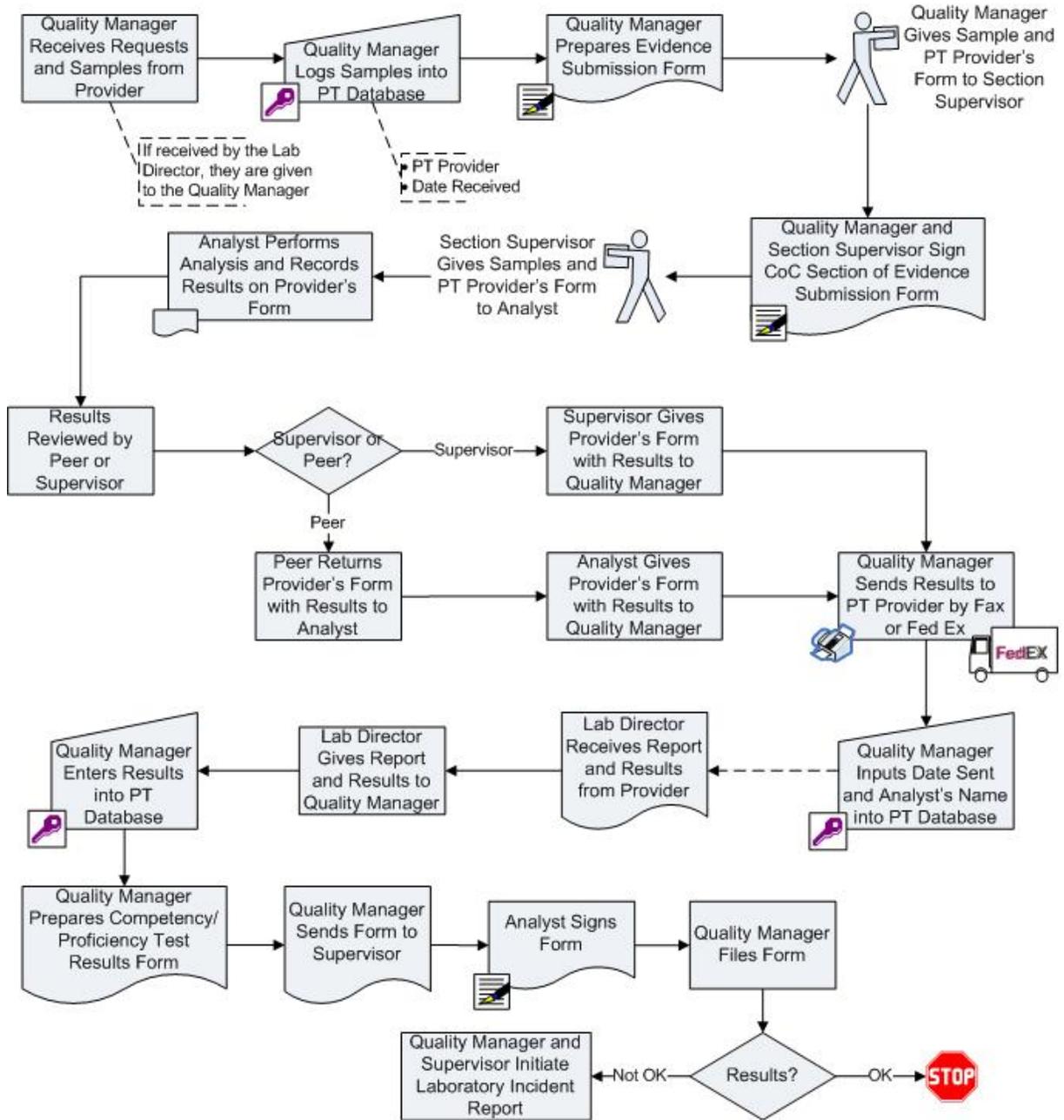


Figure 43 Crime Lab – QA – External Proficiency Testing

When external PT programs are not available, the QA Manager prepares samples for internal PT testing and follows a procedure similar to the one used for external PT.

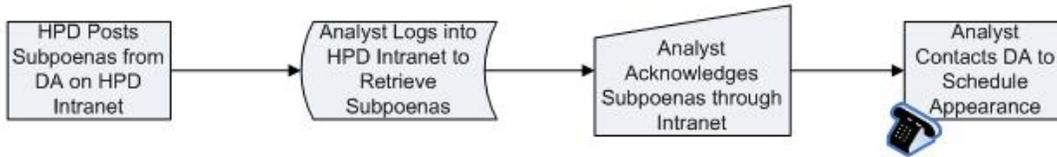
4.8.2 Corrective Actions

By whatever manner a problem requiring corrective action comes to light, the person observing the problem prepares a Laboratory Incident Report in the form of a City of Houston Interoffice Correspondence. The QA Manager assigns an Incident Number and tracks Incident Reports in an Access database. Upon resolution of the incident, the QA Manager files the Report for the current year plus four years.

4.8.3 Court Room Testimony Monitoring

The Crime Lab receives approximately 200 subpoenas per month requiring examiners to provide testimony in court. The examiner going to court must have analyzed the evidence in question. If the examiner who performed the initial analysis is not available to go to court, the individual responsible for the technical review will go in his or her place. Should the analysis be for controlled substances, the case is reanalyzed in its entirety. Examiners take the case folder with them when going to court. A testimony tracking form is filled out after every pre-trial meeting, court appearance, testimony and deposition. This is maintained in the case file and a copy is sent to the QA Manager.

The following figure illustrates the processes by which subpoenas are received and testimony is monitored:



Annual Testimony Evaluation

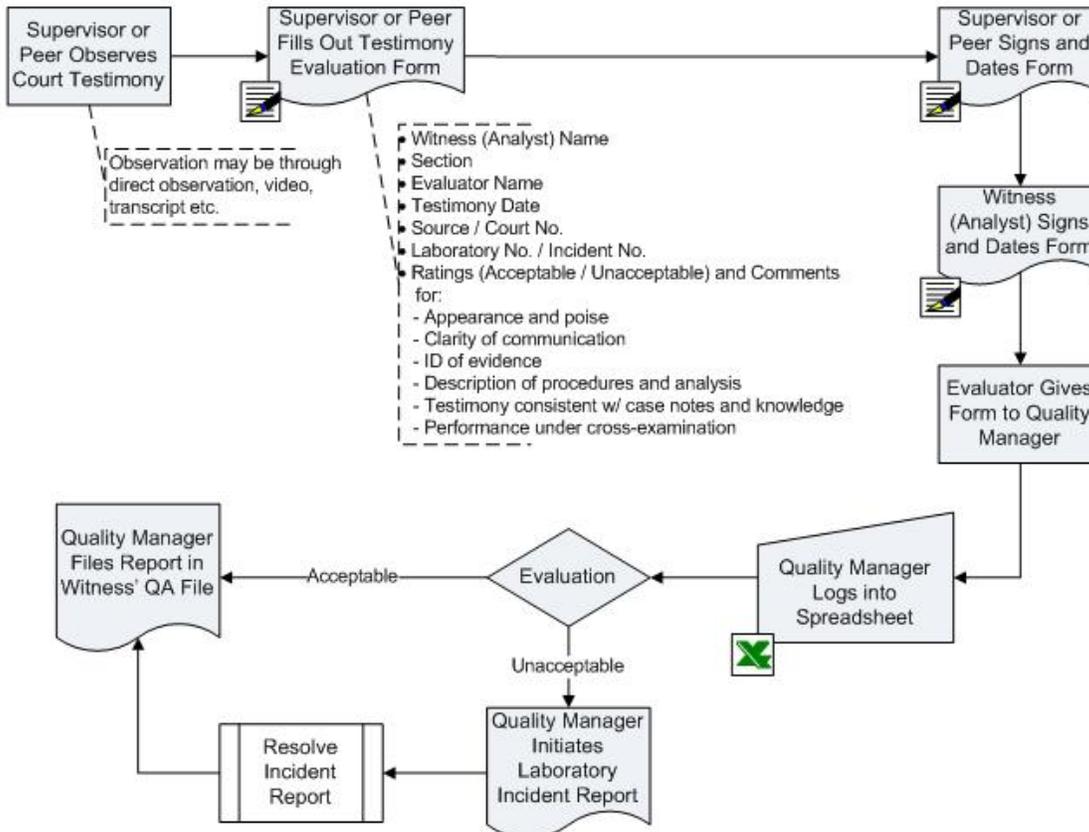


Figure 44 Crime Lab – QA – Court Room Testimony Monitoring

4.9 Administrative Support

Administrative support in the Crime Lab includes purchasing, and general clerical support.

4.9.1 Purchasing

The Crime Lab Purchasing Agent purchases supplies through HPD Central Purchasing via SAP or by P-Card. P-Card purchases are limited to \$2,000 per line item and \$5,000 per month and purchases that can be made electronically at vendors’ websites, by phone or at the vendor’s place of business. P-card purchases are generally reserved for office supplies and for rush items.

The following two figures illustrate the processes for purchasing through Central Purchasing and by using the P-Card, respectively:

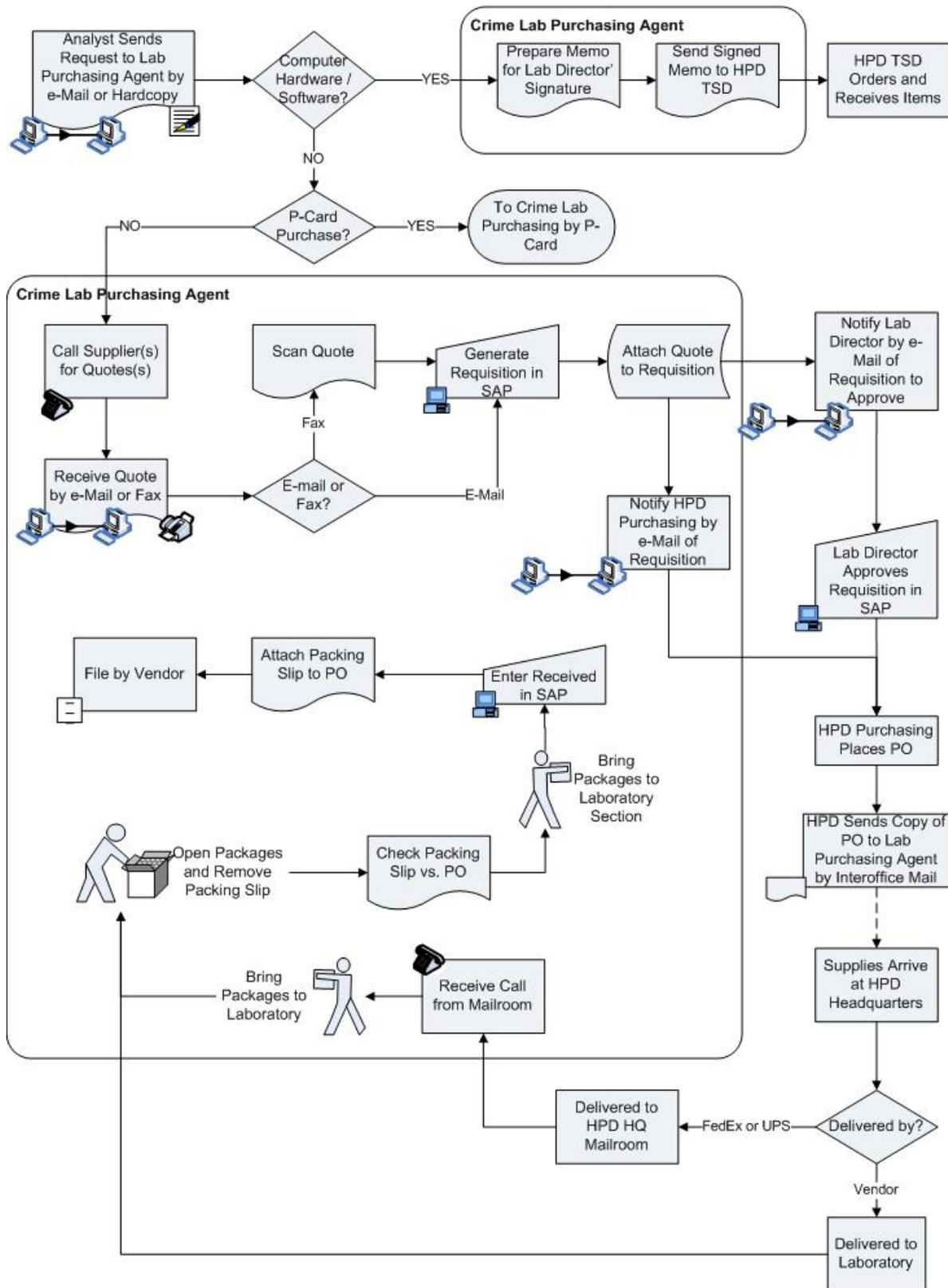


Figure 45 Crime Lab – Purchasing

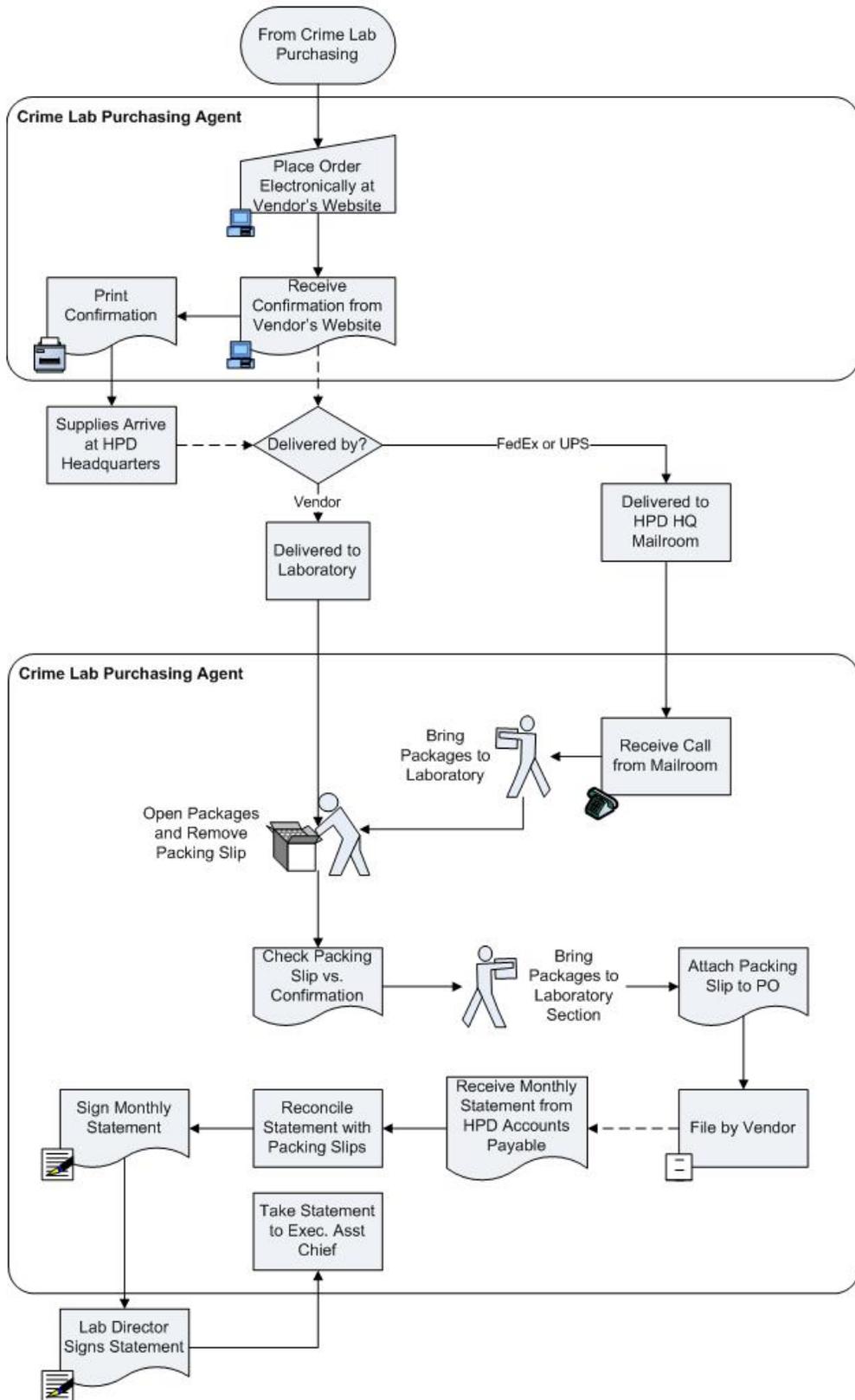


Figure 46 Crime Lab – Purchasing by P-Card

Although, there is a lab-wide general storage area for common supplies, e.g., gloves and glassware, the storage area is segregated by section. Currently, individual lab sections order and store their own supplies without regard to what other sections might have on order or in storage.

In addition to laboratory and office supplies, the Purchasing Agent renews maintenance contracts and places purchase requisitions for temporary personnel. With respect to maintenance contracts, HPD Purchasing provides the Purchasing Agent with a list of contracts and their expiration dates. The Purchasing Agent obtains quotes from the vendors and places orders for maintenance contracts through SAP.

4.9.2 General Clerical Support

Three clerks provide general clerical support to the Crime Laboratory. Their duties include:

- Typing reports
- Looking up and pulling cases and reports, especially older cases that are stored on microfilm (pre-1995) where the incident number is not always available
- Initiating cases in OLO if not previously initiated
- Payroll support
- Filing
- Answering and directing phone calls and requests for analysis
- Entering attendance in SAP
- Typing letters, memos
- Giving tours
- Picking up mail

5. Identification Division

5.1 *Forensic Audio / Video / Photo Laboratory*

The Forensic Audio / Video / Photo Lab consists of two sections: One known as the Forensic Audio / Video Lab and the Photo Lab.

5.1.1 Forensic Audio / Video (AV) Lab

The primary functions of AV include clarifying and enhancing audio and video evidence, making copies of audio and video evidence, and converting such evidence to other formats, e.g., VHS to CD. The majority of work is performed in support of HPD. However, as the only non-Federal audio / video laboratory in Texas, the Section receives requests for audio services from agencies throughout the state. One Senior Identification Officer and three examiners process 750 to 800 cases per year, with a case consisting of one to multiple items. Rather than operate in a first-in / first-out mode, the Section works on whatever case is in the highest crisis mode. For example, creating surveillance videos to go on television for the Crime Stoppers program is consider time-sensitive and therefore receives highest priority.

The following three figures illustrate the workflows for receiving evidence; processing evidence; and returning, reviewing and closing out cases:

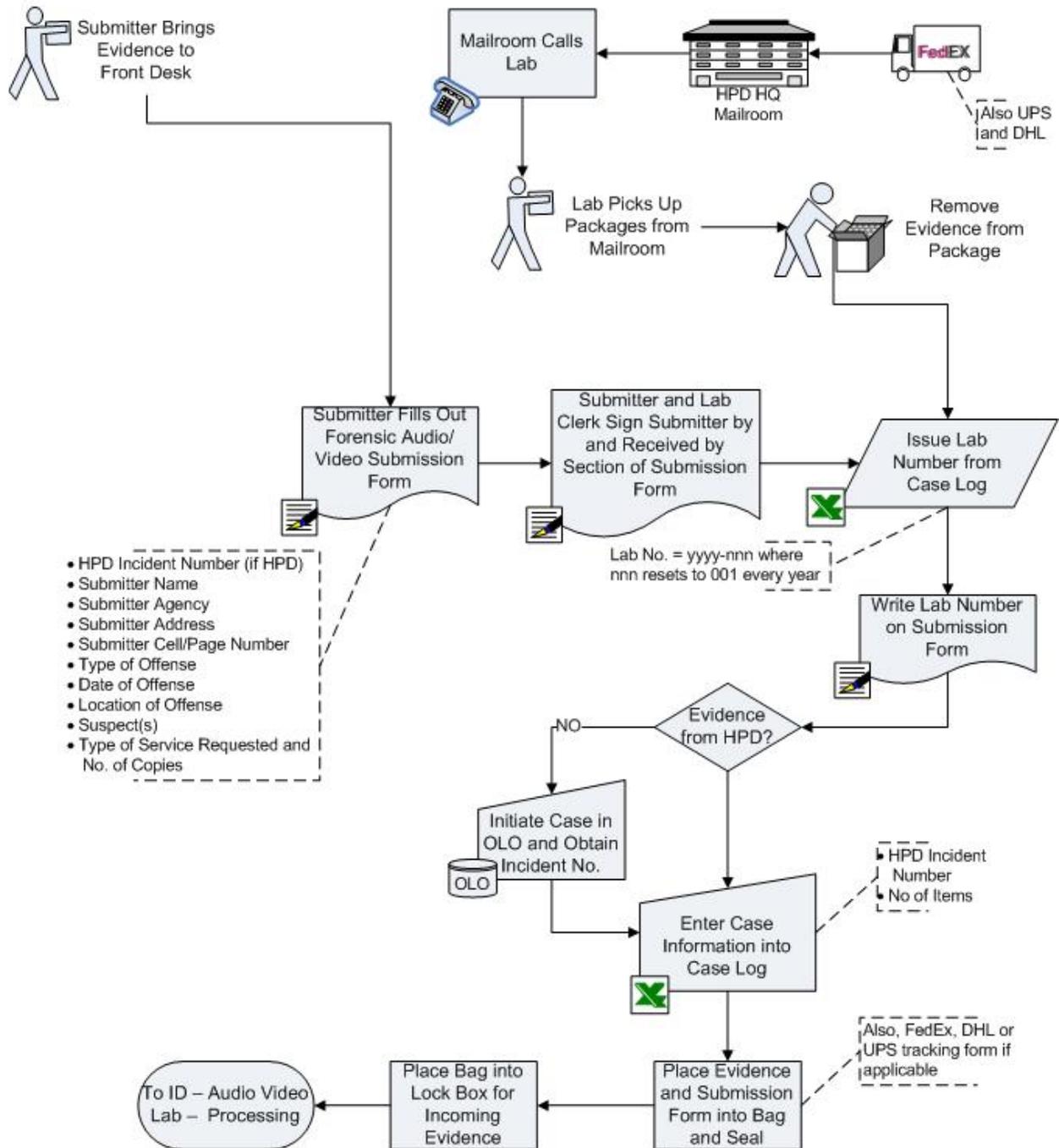


Figure 47 ID – Audio / Video Lab – Receiving

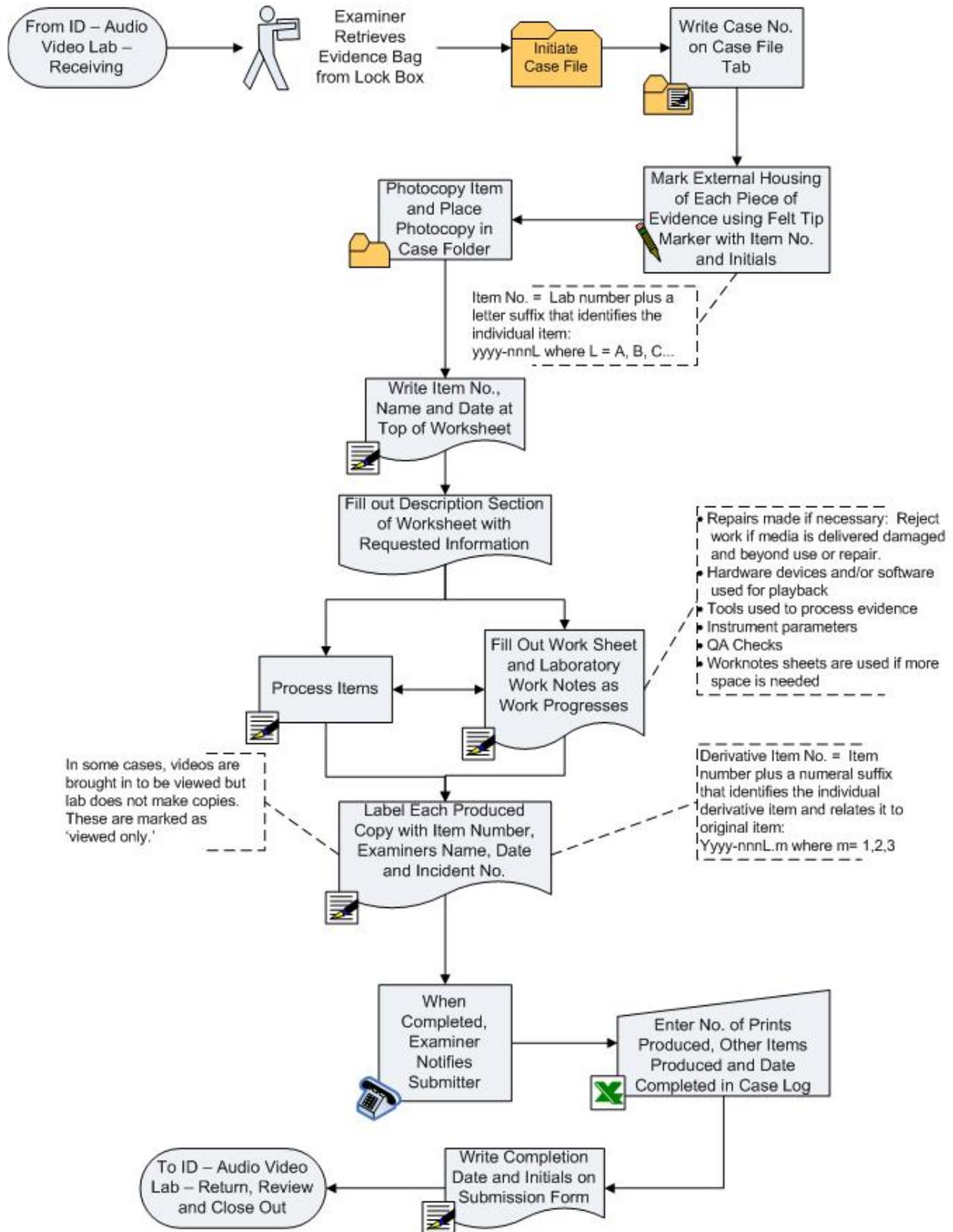


Figure 48 ID – Audio / Video Lab – Processing

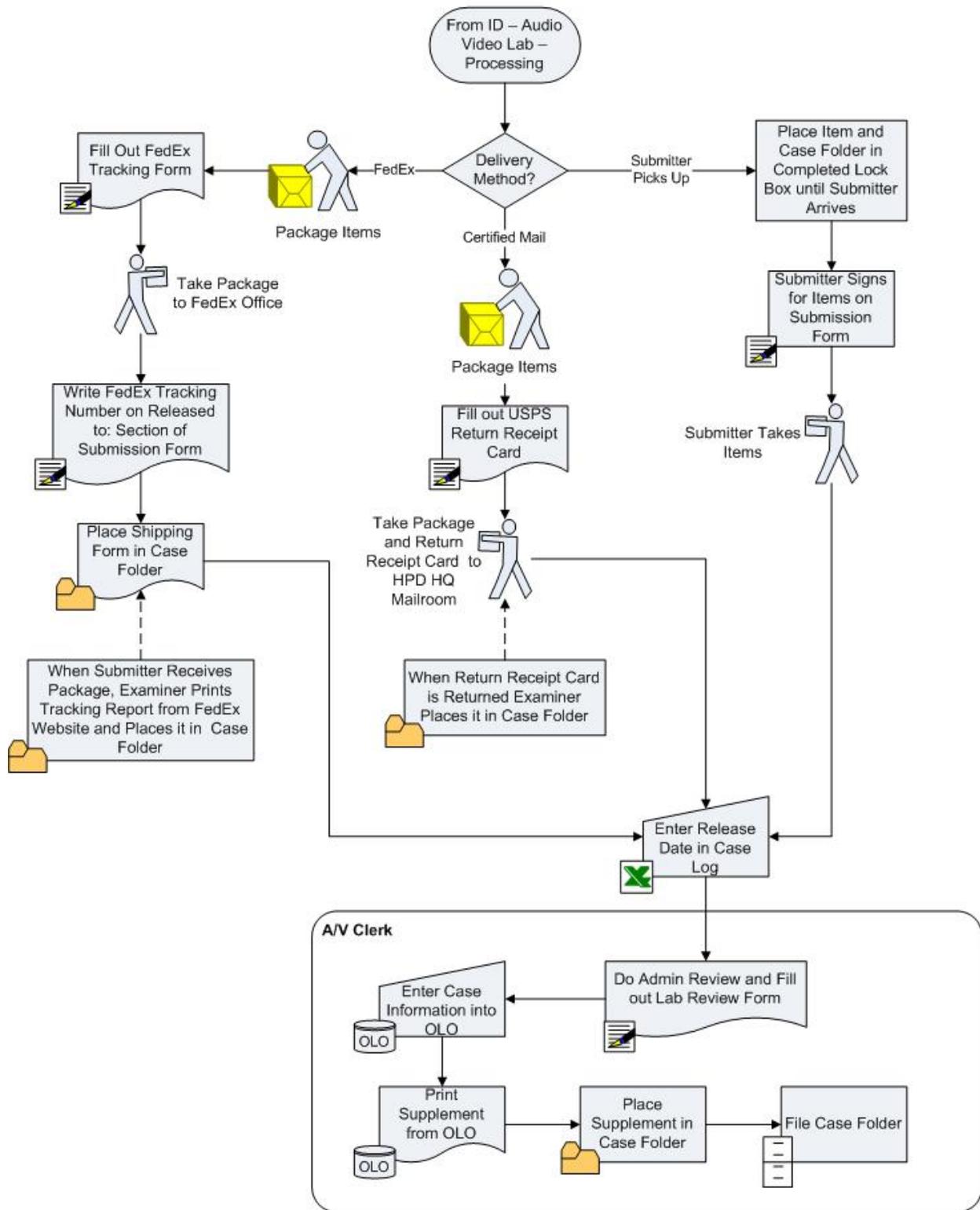


Figure 49 ID – Audio / Video Lab – Return, Review and Close Out

AV produces monthly and weekly reports using MS Word 97 templates. The weekly report, which is produced by transcribing information from the Case Log spreadsheet to the template, consists of three sections: Completed cases; Work-in-progress cases; and Backlogged cases. The Section Clerk starts with the previous week's report, and adds and deletes cases, as applicable, to indicate the week's status. The monthly report is a summary count of submitted cases, submitted evidence, prints and still photos produced, and copies produced. These counts come from the Case Log. The totals do not include pending cases for the month or cases completed but received in prior months thereby requiring that the clerk go through individual records.

AV keeps maintenance and calibration logs for both video equipment and audio equipment. Rather than repair equipment in-house, AV sends equipment that needs to be repaired to a repair facility.

5.1.2 Photo Lab (PL)

The Photography Laboratory provides development and print/duplication services of 1) photographic documentation taken at crime scenes by CSU, and 2) photographic evidence – e.g., film, digital cameras, memory discs and other confiscated / seized photographic materials – retrieved from crime scenes. Photographs taken by CSU, which are considered to be documentation of evidence, not evidence itself, are delivered to drop boxes. Photographic evidence is submitted via the evidence management process at the HPD Property Room. The Investigator in charge of the case must first obtain this material from the HPD Property Room to submit to PL or the ID AV Lab as evidence items for processing.

The Photography Laboratory also provides:

- HPD Public Relations photography
- HPD employee photos for HR/Payroll systems
- Photographic supply services to HPD Patrol Officers
- Storage / retrieval / printing of Mug Shots from 35 mm systems
- Incident related photography for HPD Internal Affairs Division

As of 2002, Mug Shots and HPD Personnel Photos capture and filing became a function of the LiveScan system.

The DA's Office is PL's largest customer, accounting for 75% of the work requests made.

5.1.2.1 Requesting Items from the Photo Lab

DAs, Case Investigators, Police Officers, Outside Agencies, CSU Officers, and any other authorized person may request photographic prints, materials and services from PL.

The following figure illustrates the request process:

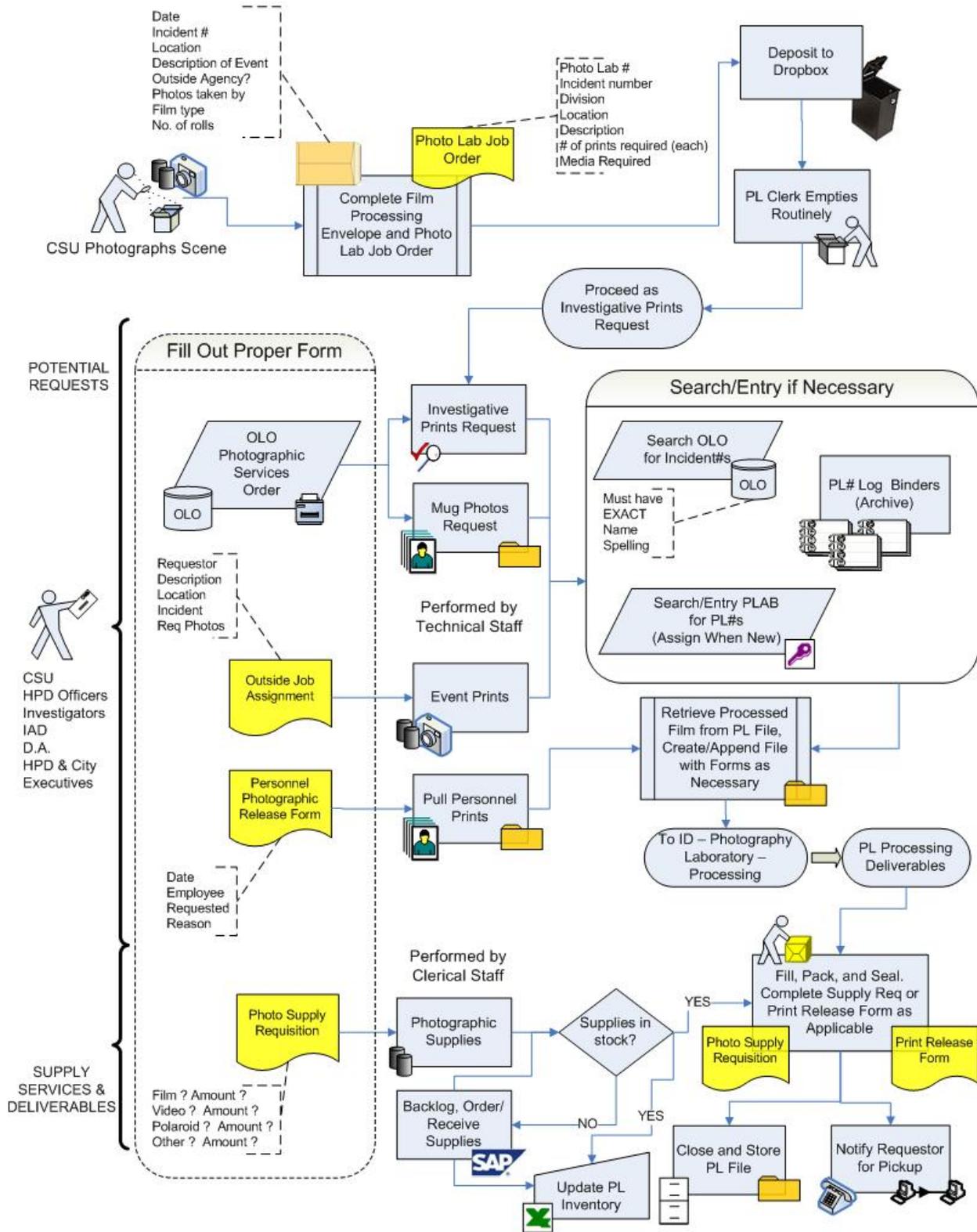


Figure 50 ID – Photography Laboratory – Requests

5.1.2.2 Photography Laboratory Processing

The following figure illustrates the development of submitted 35mm film and filed negatives:

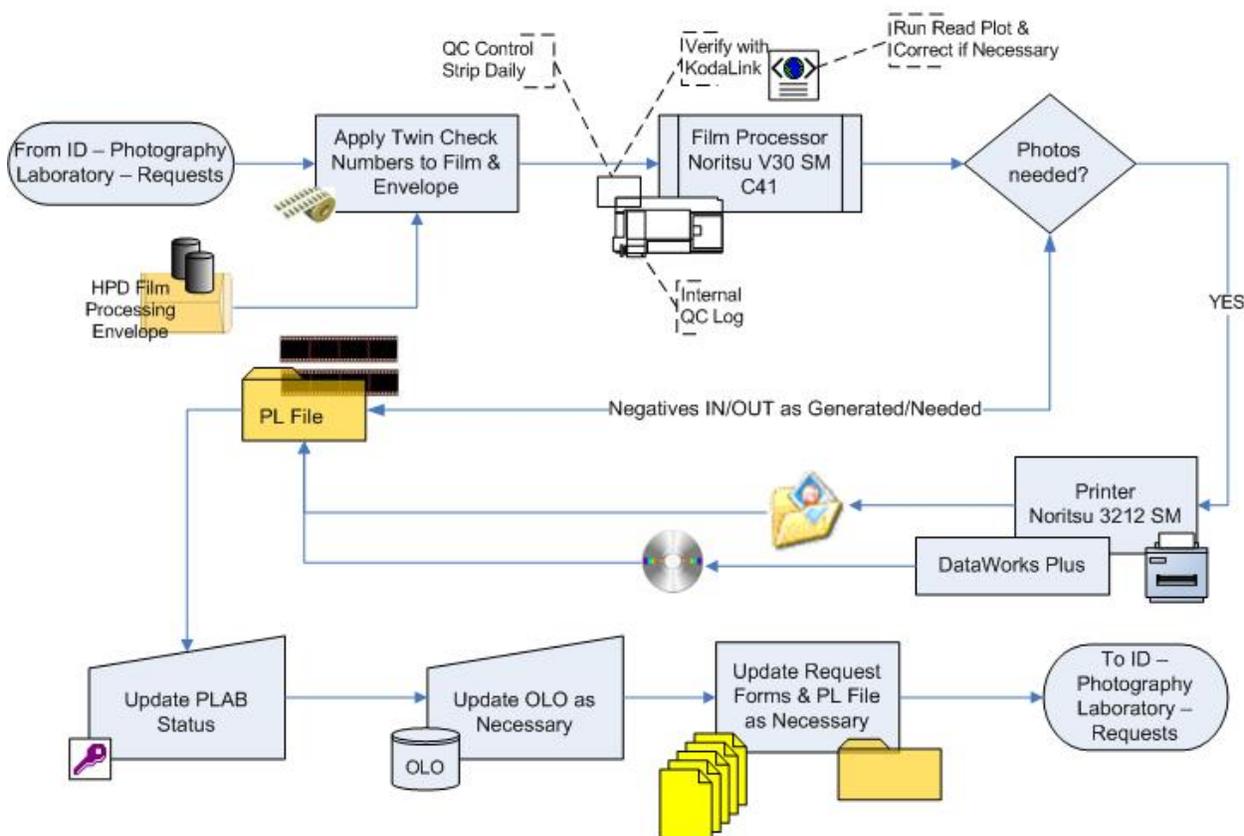


Figure 51 ID – Photography Laboratory – Processing

5.2 Latent Prints (LP)

Latent prints are submitted to LP as either lifts or photographs. LiveScans are transferred to LP over the AFIS system when a LiveScan AFIS unit examination results in a preliminary match. The majority of lifts are submitted by CSU; external agencies and designated LP Unit Officers may submit prints to Latent Prints directly. LP also performs latent print lifting on evidence items when requested by OLO and internal/external call-outs.

It is not uncommon to receive additional lifted prints on a case as it is progressing. Internal chain of custody is maintained for all lifts received and internally generated. The following diagram represents the receipt process of lifts and evidence items by LP:

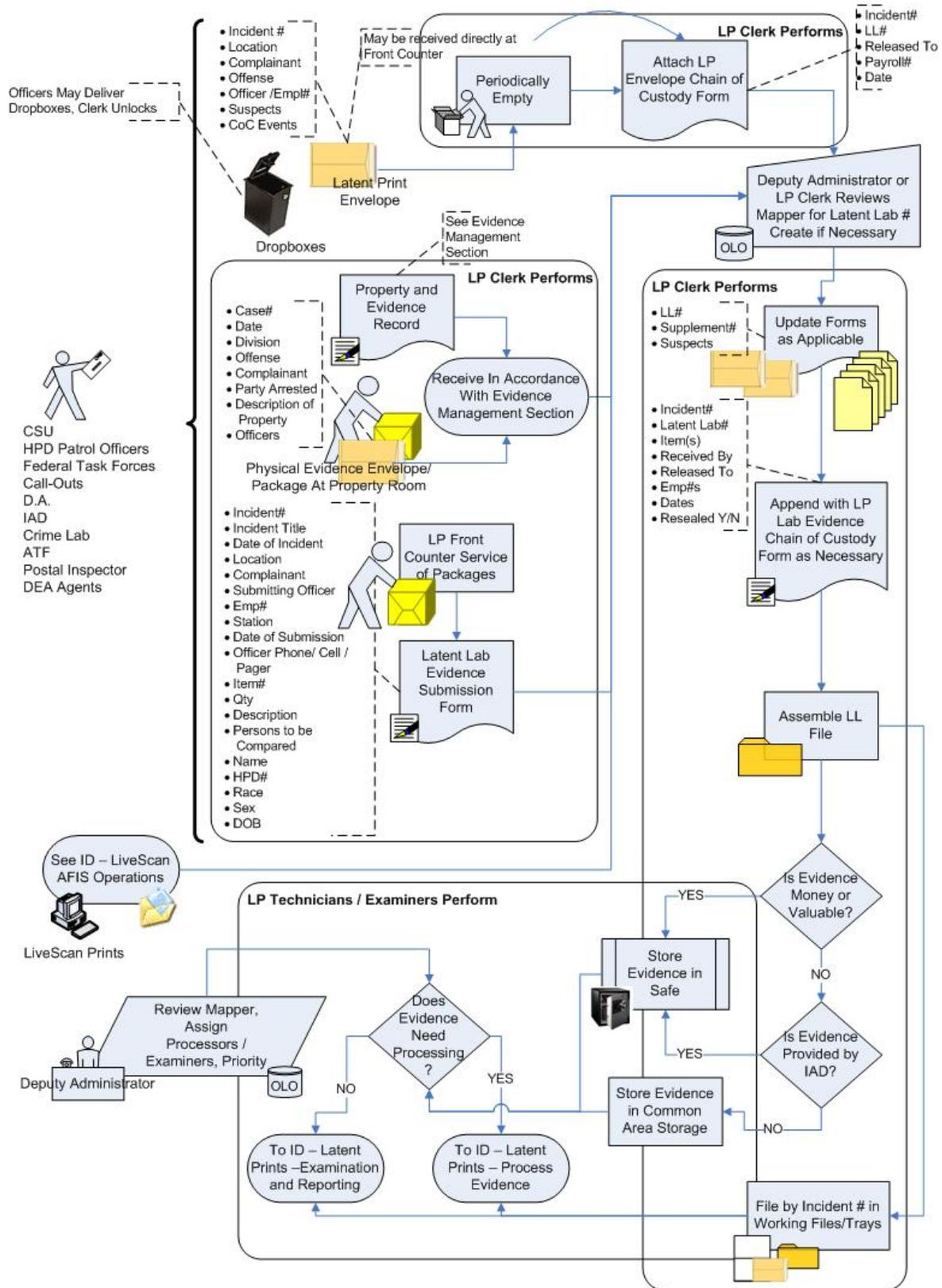


Figure 52 ID – Latent Prints – Receiving

Print evidence is itemized in a sub-function of OLO called "Mapper." Mapper is used to assign Latent Lab (LL) Numbers to evidence, assign case work to Processors/Examiners, record activity conducted, enter notes and observations documented on forms during the examination process, and serve as LP's backlog. Priority case work is assigned in Mapper by the ID Deputy Administrator giving attention to homicides, other-persons crimes and then property-only cases.

Technical processing generates lift cards and photographs of prints. LP maintains a significant inventory of reagents and supplies for processing tasks. Hazardous material controls and Reagent QC are employed. QC conducted on reagents is logged in hardcopy record books. LP compiles and distributes latent lift kits for use by HPD personnel.

The following diagram shows the processing that may be conducted by LP on evidence items:

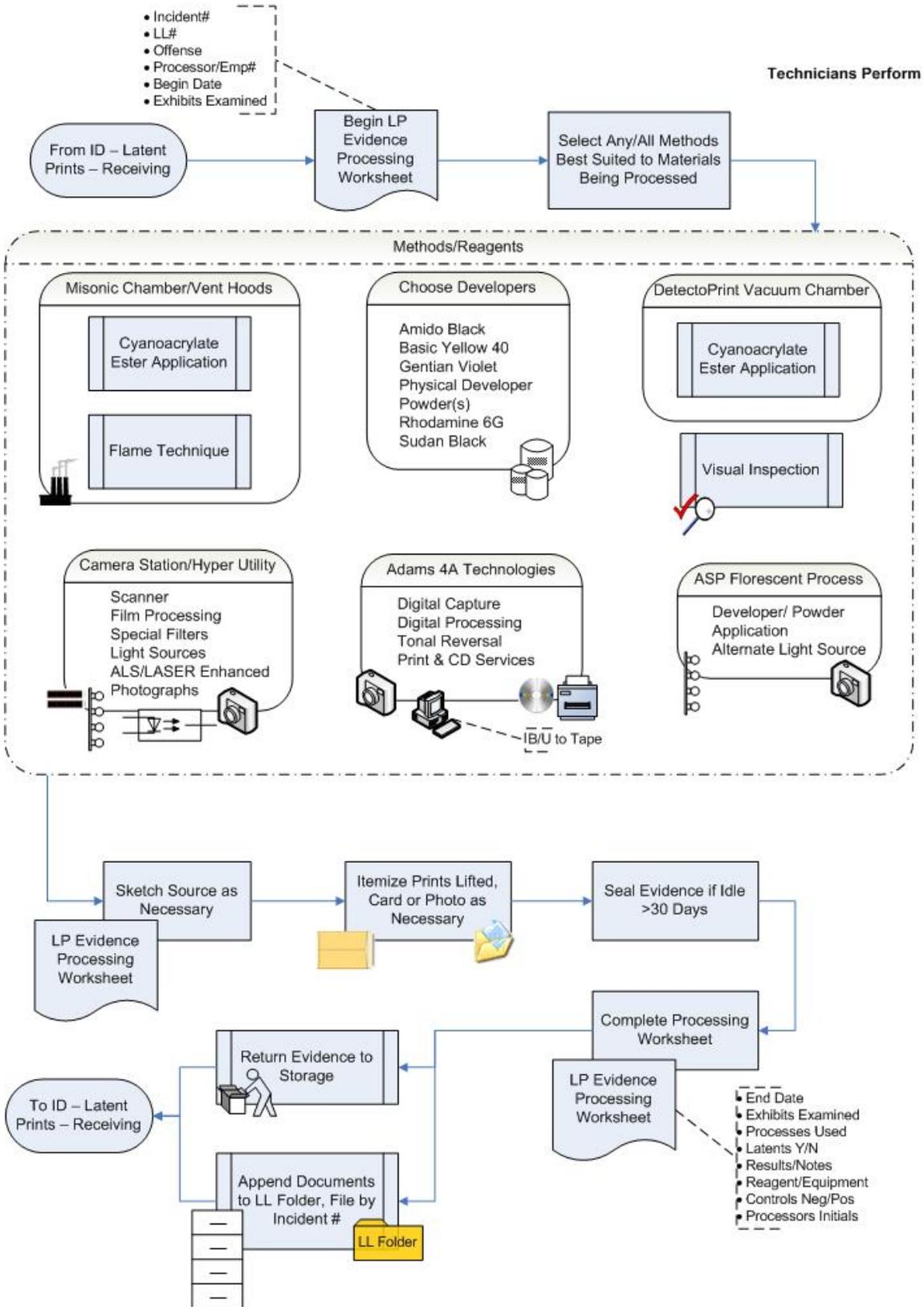


Figure 53 ID - Latent Prints - Processing

Latent Examiners conduct partial/full latent finger, palm, and impression print comparisons with the aid of AFIS (See Section **5.3**). Investigators may contact LP with new suspect names. Examiners may stop their process, may request additional processing of lifts or photographs be conducted, and then start over or in mid-stream.

The following figure depicts the examination and reporting steps performed by LP:

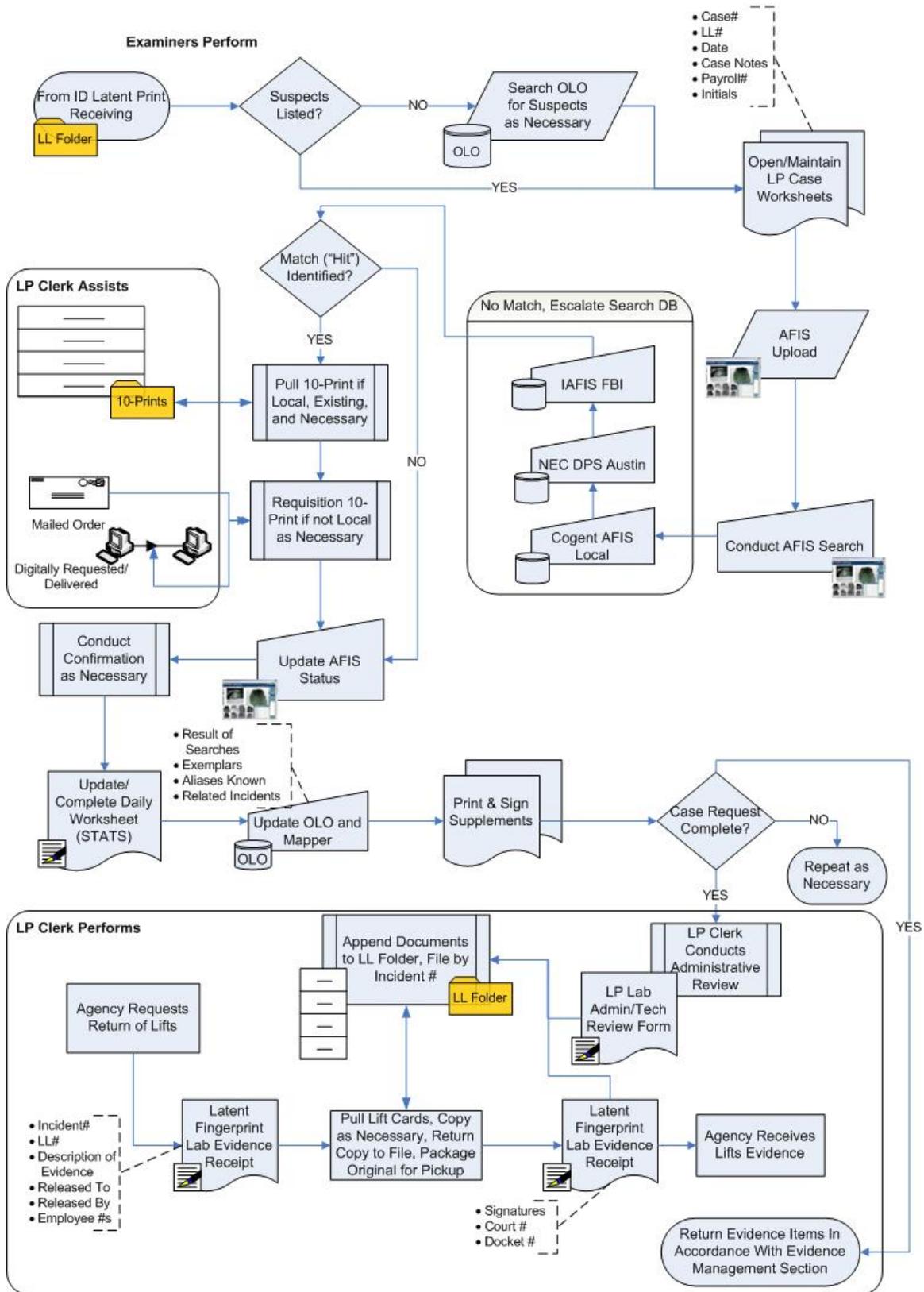


Figure 54 ID – Latent Prints – Examination and Reporting

The DA's office may request additional re-comparisons from the ID Deputy Administrator with subsequent report amendments prior to a case going to trial.

5.3 ID LiveScan AFIS Unit Operations

Jail and detention facilities use LiveScan to capture digital finger and palm prints, which are then transferred over established T1 lines to the ID LiveScan AFIS Section. Approximately 300 suspect entries are made on LiveScan daily and the AFIS Section processes these digital prints to match digital latent prints of suspects to past/present incidents. AFIS checks its 10-print database and unsolved latent database. Examiners use three manned AFIS work stations in the unit to conduct searches regionally first, then nationally if necessary. If an identification match, or "hit," is made indicating the suspect is local the Examiner may pull the individual's 10-Print card from archive files (if it exists) to complete the examination. If a "hit" is not local, LP may request a certified copy of the suspect's prints be mailed from the holding agency.

LiveScans may also be conducted for agency background checks, registering certain employee categories (e.g., exotic dancers, wrecker and taxi drivers, auto salesman), and registering sex offenders.

The Section operates from 8 am to 4 pm M-F, and 8 am to noon on Saturday and is responsible for the conduct of a cursory examination and search for matches for applicants to the HPD. A portion of the AFIS Unit operates 24/7 and process prints from arrested prisoners.

Priority work is self-assigned giving attention to homicides, other-persons crimes and then property-only cases. The DA's Office may contact LiveScan Operations to check on the status or escalate the priority of a particular case/suspect evaluation.

The following figure depicts the processing of LiveScan prints by the Section:

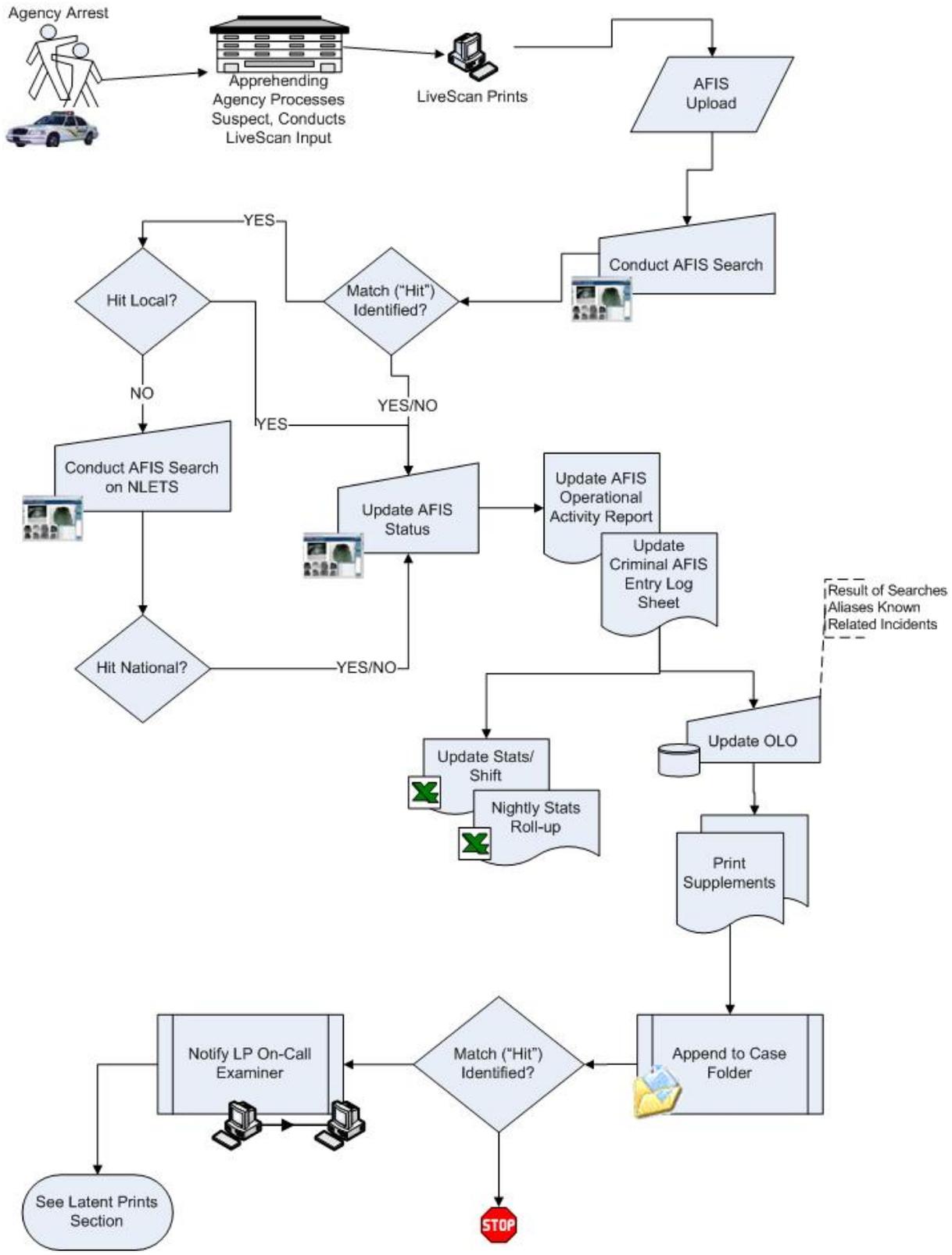


Figure 55 ID – LiveScan AFIS Operations

The AFIS system is provided by Cogent Systems and runs on standard HPD IT platforms. AFIS reports are currently being configured by Cogent to provide the production statistics currently being kept in MS Excel.

The unit maintains a 10-Print file system containing approximately 700K cards for use by LP Examiners when desired. These cards are kept in the Henry Classification order. The AFIS unit does not print new cards to continue this system; it is maintained for historical use only.

5.4 *Quality Assurance (QA)*

5.4.1 Proficiency Testing (PT)

The ID Division Quality Manager maintains a folder for each examiner that contains PT records, training records and technical reviews.

Every examiner is given an annual PT, either internal or external, that is administered by either the Quality Manager or the Section Manager. As an example, latent print examiners take an external test from a provider (Collaborative Testing Services) that sends both a set of print cards related to 'potential suspects' and a set of latent prints recovered from an unsolved 'crime scene'. The test requires that the examiner either match each latent print to specific finger and palm prints from the print cards or rate the latent print as 'not identified'. Latent print processors are administered an internal test by the Quality Manager that measures their ability to process evidence to determine if latent prints are present.

The following figure illustrates the administration of external PT to the latent print examiners:

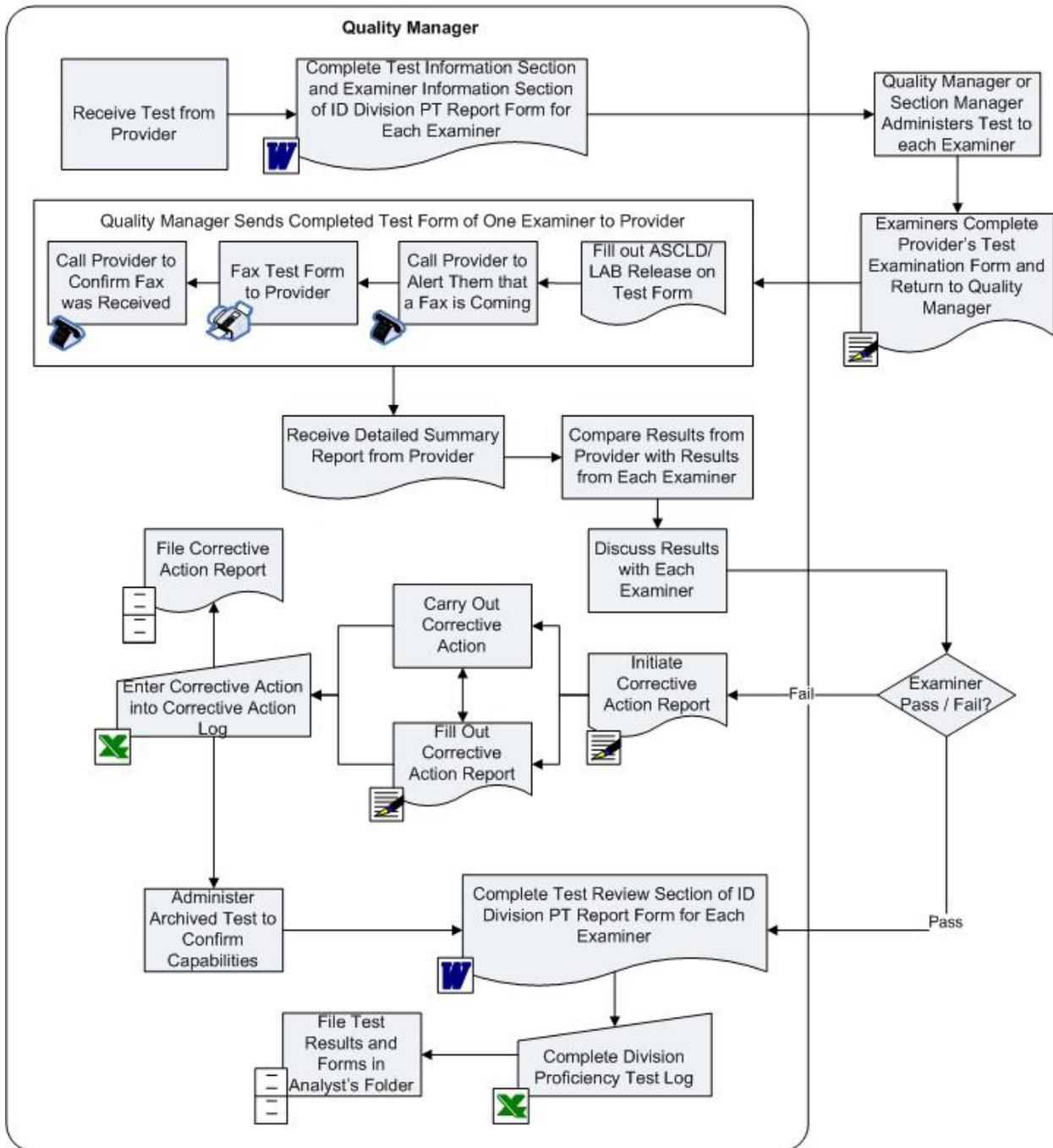


Figure 56 ID – QA – External PT – Latent Prints

5.4.2 Corrective Action Reports

As indicated in the workflow for External PT, the ID Division uses a Corrective Action Report to record corrective actions. The Quality Manager or a Section Manager initiates the Corrective Action Report. The report includes sections for recording the alleged deficiency, the findings resulting from the review of technical procedures and employee performance, the classification

of the deficiency (one of three categories), the recommended corrective actions and the confirmation of the effectiveness of corrective actions. In addition, the Quality Manager maintains a Corrective Action Log spreadsheet that lists the date, analyst, laboratory section, corrective action class and corrective action number.

5.4.3 Technical Reviews

Ten technical reviews per analyst per month are conducted to comply with ASCLD/LAB requirements. All of an analyst's work is reviewed for a month when the analyst works less than ten cases that month. The reviewer, usually a peer but sometimes a supervisor, fills out a Review Form as he/she conducts the review. If a technical review (or an administrative review) fails, the reviewer either goes to the analyst to get the issue corrected or reports to the Section Manager or Quality Manager to begin the corrective action process. The following figure illustrates the technical review process:

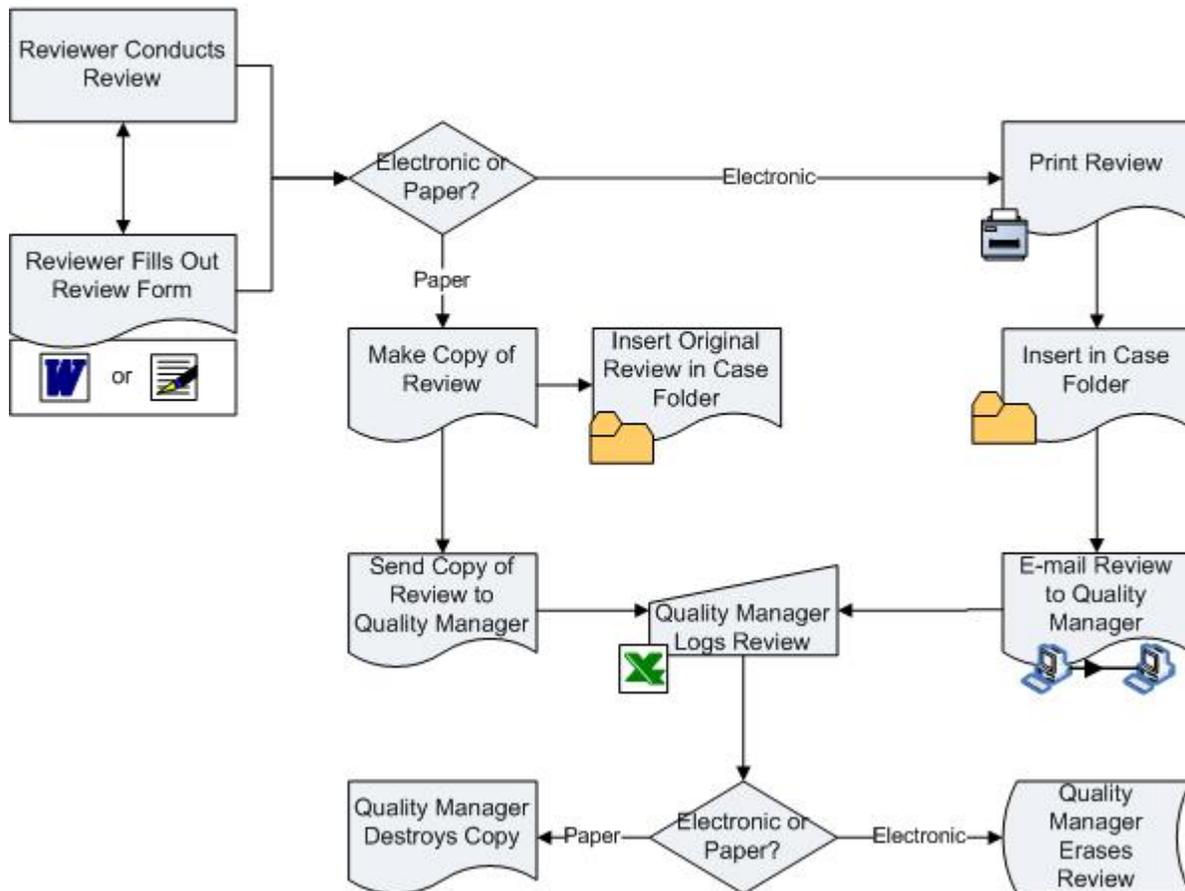


Figure 57 ID – QA – Technical Reviews

5.4.4 Other Logs and Reports

Other QA logs and reports used in the ID Division include:

- Maintenance and Calibration Logs (Master and Individual Equipment)

- Critique of Court Testimony Log
- Training Record Log
- Audit Report
- Chemical Reagent Log
- Validation Study Reports

5.4.5 Weekly Lab Observation Report

The Quality Manager prepares a Weekly Observation Report that he/she issues to the Section Managers. The report is a weekly check of all of the quality reports, e.g., PT log, Corrective Action log, Review log and maintenance logs.

5.5 Administrative Support

The Administrative Unit of ID provides guidance and support to the division's forensic laboratories and technical units. It is responsible for project management in the division. The Admin Unit manages authorized strength of personnel and provides budget, inventory and procurement services to each unit.

The division is managed by a classified police Administrator (Lab Director for ASCLD/LAB purposes).

An ID Deputy Administrator acts as the Latent Print Lab's Case Manager and has access to supplemental information provided by the DA. The Deputy Administrator is responsible for the management and accuracy of the following reports supporting the ID Administrator:

- Latent Print Section Attendance
- HPD Roll Call
- Latent Print Section Daily Report
- Latent Print Report (Statistical)
- Monthly Mapper Reports
- Backlog Report
- Total (Monthly) Incidents Report
- Monthly (Counts Matrix) Report

Access to ID workspaces is restricted to authorized individuals under escort and documented in Visitor Sign-In logs.