

N. C. State Bureau of Investigation

Quality Assurance Program

for

Questioned Documents Examinations

June 1996

North Carolina State Bureau of Investigation
Quality Assurance Program Manual
for the
Questioned Documents Unit

Issue Date: _____ Supersedes: _____

Prepared By: _____ Date: _____

Approved By: _____ Date: _____

Provisions for Modification and Updating of This Manual

Any updates, modifications, additions, or deletions to this manual prepared after the issue date on the cover sheet must be approved by the SAC prior to their implementation.

Any part of the manual that is updated shall be archived in Section X. Archived document should state date of update, modification, additions, or deletions.

The Assistant Director and Laboratory Quality Manager will review any updates, modifications, additions or deletions to the Quality Assurance Manual on a yearly basis.

Table of Contents

Section 1.....	Planning and Organization
Section 2.....	Qualification and Training of Personnel
Section 3.....	Documentation
Section 4.....	Control of Equipment, Instruments, Materials, Chemicals and Supplies
Section 5.....	Procedures
Section 6.....	Evidence Handling Procedures
Section 7.....	Internal Quality Control and Standards
Section 8.....	Case Reporting
Section 9.....	Proficiency Testing
Section 10.....	Audits
Section 11.....	Safety
Section 12.....	Abbreviation Log
Section 13.....	Signature Log
Section X.....	Archives

1. Planning and Organization

1.1 Goals

Provide state and local law enforcement agencies laboratory services for the examination of Questioned Documents associated with an official criminal investigation.

Ensure the quality, integrity, and scientific accuracy of the Documents Examinations through the implementation of a detailed Quality Assurance/Quality Control (QA/QC) program.

1.2 Scope

The QA/QC program described in this manual is intended to support scientific findings gathered from Questioned Documents evidence and to ensure that the quality and integrity of the data is scientifically sound.

1.3 Program Objectives

The objectives of this quality assurance program are:

Ensure uniformity and accountability in records and analysis techniques.

Measure quality performance with known standards and to be able to act on any differences encountered.

Ensure the accuracy of the data generated.

Document corrective actions taken.

Monitor personnel and equipment performance.

Terminate non-conforming work or materials.

Prepare and certify all control materials used.

Ensure the use of documented and valid materials and procedures.

Provide feedback to management on performance standards.

Provide guidelines to employees so they will know what is expected of them.

Ensure that personnel performing these examinations have the appropriate level of training and education.

Ensure that analysts are competent in performing the examination and interpreting exam results through a series of proficiency tests.

Provide for a safe workplace.

Provide for competent external audits to see that the operating policies and procedures are being followed and that they are adequate.

1.4 Authority and Accountability

Individual analysts in the Questioned Documents Section with delegated responsibilities, are empowered by the Section SAC to carry out these responsibilities and to act in his place. Specific delegated responsibilities include:

The section SAC is responsible for the Quality Assurance functions pertaining to proficiency tests and audits.

A Senior Analyst has the responsibility to see that Quality Control functions are being carried out in the section on a day-to-day basis.

One (1) Questioned Documents Analyst is designated as Quality Control Officer. It is this individuals responsibilities to monitor Quality Control within the Section.

The Documents Assistant assigned is responsible for maintaining calibration records and quality control data from equipment manufacturers.

One (1) Questioned Documents employee is designated Section Safety Officer and is responsible for safety within the section.

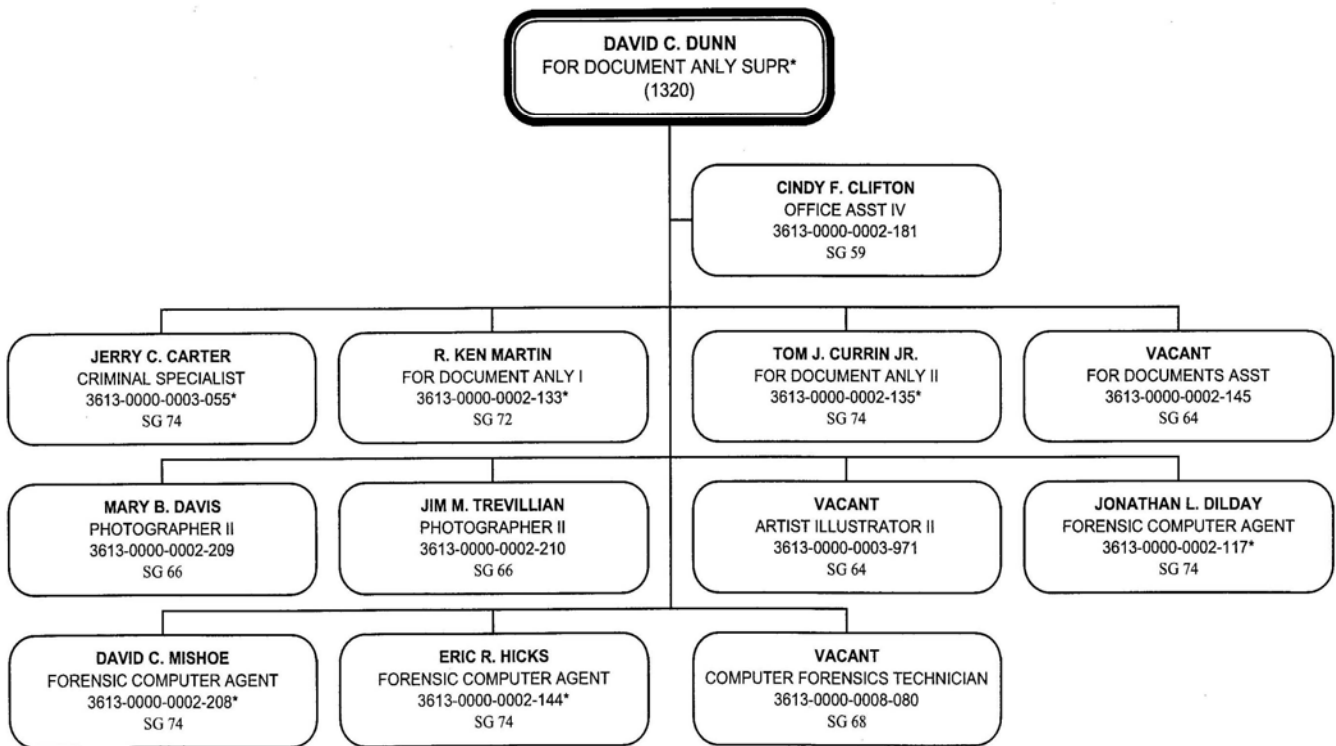
Analysts are responsible for the prioritization of casework. Protocol for case prioritization and the protocol for departing from these procedures can be found in Procedure 38 of the SBI Policy and Procedure Manual.

All Bureau employees are responsible for handling any complaints against the Bureau as set forth in Procedure 24 of the SBI Policy and Procedure Manual.

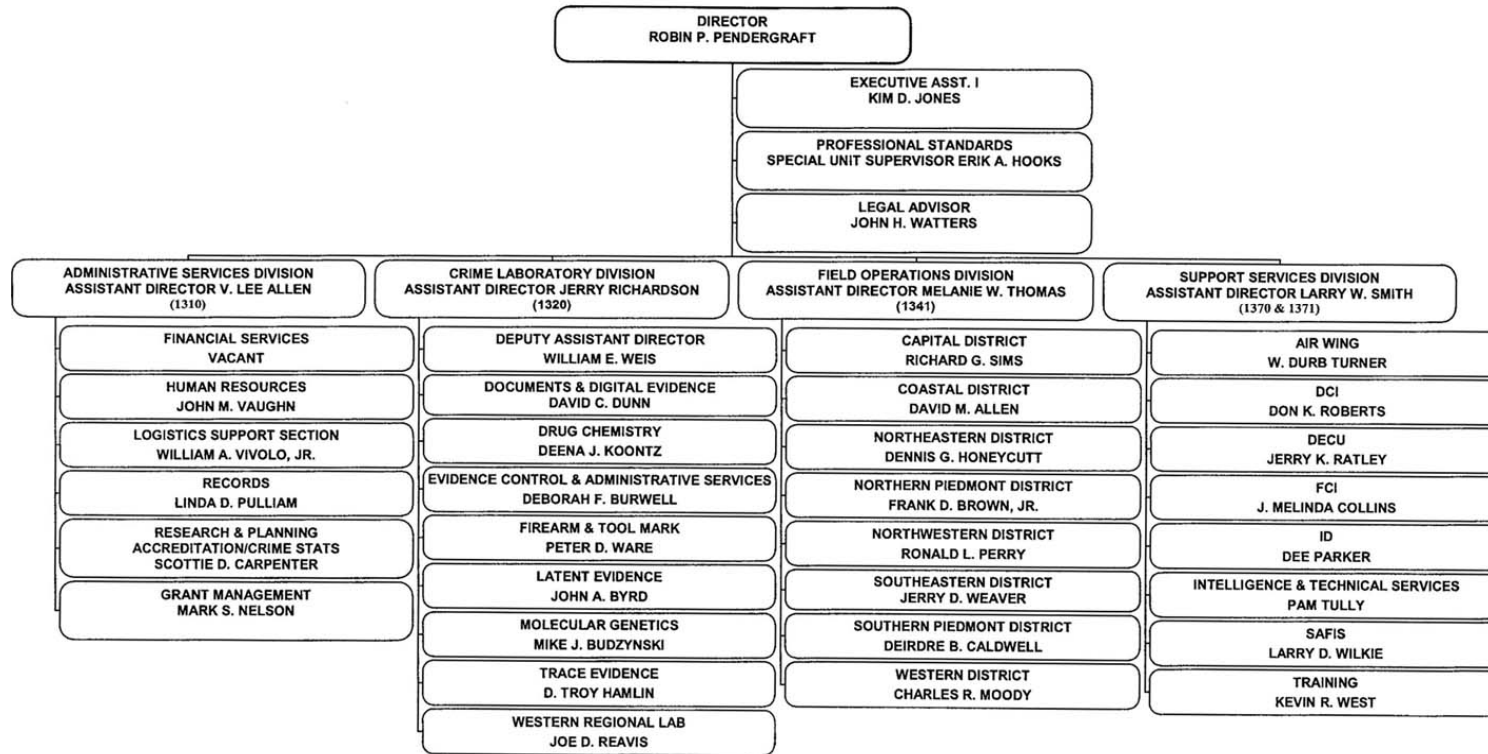
1.5 Organizational Structure

The organizational structure of the Documents and Digital Evidence section and the sections place within the organization within the Bureau is documented in the following organizational charts.

**N. C. State Bureau of Investigation
CRIME LABORATORY DIVISION
Documents & Digital Evidence**



**N. C. State Bureau of Investigation
ADMINISTRATION**



2. Qualification and Training of Personnel

All persons involved in the actual recovery, evaluation, analysis, and interpretation of Questioned Documents Evidence shall have a background appropriate to their duties.

2.1 Job Description

A current copy of job descriptions within the Questioned Documents Section will be maintained by the Section SAC in each employee's personnel file.

2.2 Education, Training, and Qualifications of Personnel Engaged in Questioned Documents Analysis. General Requirements:

All analysts in the SBI Questioned Documents Section must possess a minimum of a baccalaureate degree in the field of Science, Graphic Arts, Computer Science or a combination of education and training.

Requirements for Forensic Documents Analysis:

All analysts will have completed the following additional training prior to performing Questioned Documents Analysis. These requirements will also apply to the Section SAC.

Successfully complete a two year in-house training program. (See Questioned Documents Training Manual)

Completion of the SBI Special Agents Academy.

Successful completion of a series of competency tests.

Depending on their availability the following schools should be attended:

Fundamentals of Document Examinations for Laboratory Personnel - FBI Academy, Quantico, Virginia

Crime Lab Forensic Photography School - FBI Academy, Quantico, Virginia

United States Secret Service - Questioned Documents Course, Federal Training Center, Glynco, Georgia

Internship in the United States Postal Service Crime Laboratory, Questioned Documents Section, Dulles, Virginia - (4 weeks)

Experience:

Forensic Documents Analyst Trainee - two years

Forensic Documents Analyst I - two years

After two years as a Forensic Documents Analyst I, the analyst is eligible for promotion to an Analyst II.

Continuing Education:

Questioned Documents analysts must stay abreast of developments within the field by reading current scientific literature and by attendance at seminars, college courses, or professional meetings. Management must provide analysts with an opportunity to comply with the above requirements.

Training Records:

Documentation of all training will be maintained by the Section SAC. A copy of the employee's training transcript is maintained in each employee's personnel file and should be updated yearly.

3. Documentation

3.1 Current Procedures Manual

A copy of the current analytical procedures used in the analysis of Questioned Documents will be maintained and available to each Questioned Documents analyst.

3.2 Operational Guidelines

Guidelines for the receipt, identification, storage and handling of evidence submitted to the Crime Lab are documented in the SBI Evidence Accountability policy. A copy of this policy is found in the SBI Policy and Procedure Manual.

Guidelines For The Proper Recording of all Analytical Data

The following information will be recorded in the permanent file of every case submitted for Questioned Documents analysis:

A SBI Physical Evidence Examination Request Form (SBI-5)

Notes which describe analysis used in case shall be entered into LIMS.

Photographs or photocopies of questioned and known documents or a representative sample of each.

Final Lab Report (All analysis results will be reviewed by at least one Questioned Documents Analyst or the Section SAC.) The review will be approved through LIMS.

The analyst will record incoming and outgoing phone calls regarding the case into LIMS for each case file. A copy of the phone log shall be stapled to the front inside cover of the case file.

Data Handling, Storage and Retrieval

All original thin layer chromatography plates, video tapes, diskettes, CD Rom disks and some photograph illustrations of evidence that is too large for the original file folder will be maintained by the case agent and stored in their office. These items will be filed in such a manner that they are easily retrieved and will be identified with case numbers, dates and analyst initials.

Historical and Archival Records

Analytical procedures that are outdated or revised will be maintained in the Questioned Documents Procedures Manual under Section K titled Historical and Archival Records. Each procedure will indicate the effective date and the termination date.

Material Safety Data Sheets

Material safety data sheets will be maintained on all chemicals and reagents used in the Questioned Documents Lab. The Section Safety Officer will file these sheets in the MSDS manual.

Personnel Records

The Section SAC maintains a personnel file on each analyst which is subdivided into the following categories:

- Personnel history, assignments, promotions, etc.
- Commendations
- Complaints and disciplinary action
- Training
- Evaluations

The Section SAC and the Deputy Assistant Director of the lab also maintain a separate file of proficiency test results from each trainee, and proficiency test results from, trained analysts.

Quality Assurance and Audit Reports

Copies of audit reports will be maintained in section files. Those reports generated by the SBI Inspection Program will be stored according to Bureau procedure. Results from the external audit program described in Section 10 of this manual, will be maintained by the SAC.

Safety Manuals

Copies of the safety manuals described in Section 11 of this document will be available to every employee of the section.

4. Control of Equipment, Instruments, Materials Reagents, Chemicals & Supplies

4.1 Equipment and Instruments

Procurement

All equipment and instruments will be ordered by the Section SAC.

Equipment Inventory Log

An inventory log will be maintained on each piece of equipment in the Documents Section. This log will include the asset number, location, sticker number, who equipment is issued to, and serial number whenever the information is available. (See Appendix A)

Operating Manuals

Operating manuals will be maintained in the laboratory and warranty information provided by the manufacturer will be maintained in a file in the Questioned Documents Section office.

Training

Operators of scientific instruments will be knowledgeable in their use. Operator training will occur during the in-house Questioned Documents training program and will cover the manufacturer's instructions, theory of application, procedures to be used, and any calibration requirements.

Equipment Maintenance Forms and Annual Inspection Reports

When a piece of equipment requires service or maintenance outside routine maintenance, that fact will be documented on a "Laboratory Instrument and Equipment Repair Record" form. (See Appendix B) This information is maintained in the section Laboratory Equipment Manual.

Every year, every piece of lab equipment will be inspected and this inspection will be documented using the "Annual Equipment Inspection Form". (See Appendix B) The documentation and inspection are the responsibility of the Questioned Documents Assistant.

Certification Log

Each piece of equipment that needs to be monitored and/or certified, will be checked on an appropriate schedule. Certification will be done using appropriate standards and will be documented on a certification log kept by the

Questioned Documents Assistant on a monthly basis. Currently, the ESDA, IBIS and Visual Graphics POS III camera system are certified once a month in the Questioned Documents Section. (See Appendix C)

Certification Methods

Visual Graphics POS III Camera System:

Certification for the purpose of this instrument is defined as determining the correctness of the enlargements made with this copy camera. A two inch scale is placed on the copy board. The scale is photographed at the 100%, 200% and 300% settings. The photographed scale is then measured to insure that it is correct.

ESDA:

Certification for the purpose of this instrument is defined as determining that this instrument is a detector of indentations. Indentations are created on a pad of paper. This document is then processed using the ESDA procedure. The results are compared to the original document to insure that they are the same.

IBIS Imaging System:

Certification for the purpose of this instrument is defined as determining if the instrument is a detector of infrared luminescence and reflectance. Known standards that show infrared reflectance and infrared luminescence are placed on the copy stand under the MTI infrared camera. These images are digitally acquired using the IBIS imaging software. The results are then compared to the original known standards to insure that they do show infrared reflectance and luminescence.

Fume Hoods

The fume hood is certified by an outside agency on a yearly basis.

4.2 Materials, Reagents, Chemicals, and Supplies

Sources of Materials, Reagents, Chemicals and Supplies

A listing of all materials, chemicals and supplies used in the Questioned Documents lab will be maintained.

Procurement

All orders for materials, chemicals and supplies will be placed by an assigned Questioned Documents employee and approved by the Section SAC.

Receipt of Chemicals, Supplies, Reagents and Materials by the Questioned Documents Lab

All chemicals, reagents, supplies and materials will be received into the Questioned Documents Section by an employee in the section. The employee shall verify the items received against the orders placed.

All inventory will be stored under the conditions specified by the manufacturer. Any materials which require special handling will be handled appropriately and under conditions specified in the section's Safety Manuals.

Material Safety Data Sheets

Material Safety Data Sheets will be maintained in the Questioned Documents Section on all chemicals and reagents used in the Questioned Documents Lab.

Laboratory Prepared Reagents and Solutions

All lab prepared reagents and solutions will be made with great care and using good lab practices. All lab prepared reagents and solutions will be clearly labeled as to the contents of the container, date of preparation, and initials of the preparer. All reagents will be stored under the appropriate conditions.

A standard or control will be run on all ink examinations utilizing Thin Layer Chromatography to insure that the prepared reagents and plates are working properly. A reagent log will be maintained. (See Appendix D) This information will be reflected in the analyst's case notes.

A standard or test will be run on each Electro-Static Detection Apparatus (ESDA) examination to insure the instrument is working properly. This information will be reflected in the analyst's case notes.

Preparation of Glassware and Plasticware

All glassware and plasticware will be clean prior to use.

APPENDIX A
INVENTORY LOG

Asset	Description	Make	Serial Number	Location
306867	CPU	Dell		Plotter Room
211634	Computer	Dell	3YY3601	Plotter Room
211343	Tower	Forensic Computers.Com	SST-0201-0007	CFU Lab
211344	Monitor	Forensic Computers.Com	1983BAA21031146	CFU Lab
215120	Caprice	Chevrolet	PM-2045	
801549	Drafting Chair	United Chair	UC-D44LC	Hicks
209024	LaserJet 4050 Printer	HP ScanJet	C4251A	Trevillian
803875	Printer	HP 895CXI	MX8C22VIMI	Hicks
	Printer	Okidata	801A2004746	
211351	CPU	Forensic Computers.Com	HANZ5ABT026	Smith
211346	Monitor	Forensic Computers.Com	1983BAA21031233	Smith
211352	CPU Workhorse II ATX	Forensic Computers.Com	HANZ5ABT027	Smith
211345	CPU Deluxe Tower	Forensic Computers.Com	SST02010004	Smith
803246	Garment Rack			Dilday
215089	Crown Vic	Ford	HTW-7115	Vehicle
213941	Transceiver	Motorola	621HPG0124	HTW-7115
207333	Rolling Desk Chair	Miller		Dunn
206733	Imaging System	IBIS	93999991	Instrument Lab
209118	Credenza	Walden		Carter
209151	Camera Lens 80-200mm	Nikon	832457	
209135	Portrait Package	Calumet Travelite	PB-0428	Studio
209131	Color Copier	Ricoh	HH0100200030	
209152	Camera Lens AF35-70	Nikon	810128	
209082	Imaging System	IISI	239951105	Instrument Lab
	Desk	Walden		Carter
207940	CPU	Dell	6ESV1	Studio
207940	Monitor	Dell	8832535	Studio
205442	Video Recorder	Zenith	77061824	
	25" TV / VCR	Samsung	3CBK201795M	Break Area
204905	Refrigerator	Kenmore		Break Area
207763	Visual Board / Dry Erase	Nucraft		Break Area
803981	File Cabinet 5-drawer			Carter
803980	File Cabinet 5-drawer	Steelecase		Carter
202948	Desk Lamp	Dazor		Carter
206563	LaserJet III Printer	HP	3207A91610	Carter
209086	Microscope	Leica	10446371-S092624	Carter
206963	Video Camera		1643	Instrument Lab
206972	Monitor / High Resolution	Image Systems	413407	Instrument Lab
205723	Comparison Microscope	Leitz	72529	Instrument Lab
	Electronic Flash	Metz	73042	Instrument Lab
205722	Infrared Camera	Bencher / MTI	15192	Instrument Lab
	Exposure Meter	Gossen	1A51258	Instrument Lab
200554	Camera	Polaroid	MP4	Photo Lab

APPENDIX B
LABORATORY INSTRUMENT AND EQUIPMENT
REPAIR RECORD and INSPECTION FORM

LABORATORY INSTRUMENTATION AND EQUIPMENT REPAIR RECORD
Questioned Documents Unit

MONTH _____ YEAR

EQUIPMENT/ INSTRUMENT	MANUFACTURER	MODEL NO.	BUILDING #	ROOM #	DATE OF SERVICE	COST

Annual Equipment Inspection Form

Equipment Description	
SBI Sticker Number	
Location	
Date of Last Inspection	
Date of Present Inspection	
Name of Inspector	
Is this instrument functioning properly?	
If this instrument needs to be certified, has it been certified?	
Date of certification	
List any service work done on this instrument since the last inspection	
List any defects, or potential defects, in this instrument	
Should this instrument be considered for replacement due to obsolescence?	

Rate the overall condition of this piece of equipment by circling the appropriate category:

New **Excellent** **Good** **Fair** **Poor** **Needs Replacing**

APPENDIX C

Certification Logs for IBIS, ESDA and POS III

ESDA Certification Log

Date	Case Number	Test	Results	Certified by

IBIS Certification Log

Date	Case Number	Results	Certified By

Total Camera III (POS) Certification Log

Date	Results	Certified by

Appendix D

Solvent System Preparation Log

Solvent System Preparation Log

Date	Examiner	Solvent	Quality Control	Notes

5. Analytical Procedures

Any analytical procedure used in the course of a Document Examination will follow the procedures set forth in the Questioned Documents Section Procedure Manual.

6. Evidence Handling Procedures

6.1 Evidence Labeling and Documentation

Each item of evidence will be labeled with a unique identifier according to the Bureau's Evidence Accountability Policy.

6.2 Evidence Handling

Evidence will be handled in a manner to prevent loss, alteration, contamination, or mixing. Analysts will wear gloves while handling evidence that is to be processed for latent prints. Safety gloves will be used for personal protection, when handling contaminated evidence. If evidence is lost or accidentally destroyed, the Questioned Documents Analyst will immediately cease work, document the incident in the case file and notify the SAC. The final lab report will indicate the reason why no results were reported.

6.3 Operational Guidelines for the Receipt, Identification, Chain of Custody of Evidence

The operational guidelines set out in Section 3.2 of this document will be followed to insure that evidence is accounted for and that a proper chain of custody is maintained on the evidence through LIMS or the SBI-5 if LIMS is not available. (See Appendix A)

6.4 Items developed during the examination and analysis of physical evidence received in the Questioned Documents Unit shall be designated as a sub-item of the original evidence submitted. This shall include the following:

Electro Static Detection Apparatus Film (both positive and negative results).

Infra-Red and Ultraviolet Photographs of invisible or obliterated writing.

Photographs of Thin Layer Chromatography plates, depicting the results of ink analysis.

The sub-items shall be designated as follows:

Items developed from Evidence Item 1 will be designated as Item 1.1.

Photographs of sub-items will be returned, along with the evidence submitted to the requesting agency.

7. Internal Quality Control and Standards

All Questioned Documents Examinations will be performed in accordance with the Questioned Documents Section Procedures Manual and will follow the guidelines in this Document.

- 7.1 All examinations will be subjected to peer review. Each case will receive a technical review and an administrative review. The reviews will be approved or rejected through LIMS. Each reviewer will initial their electronic signature on the cover sheet of the case notes generated through LIMS. (See Appendix A)

All reports generated will also receive a final clerical review by a member of the section. The section employee conducting the review will initial the coversheet to indicate that the review has been completed.

- 7.2 Errors noted during case review

If analytical errors are noted during the case review, the analyst may be removed from casework and corrective action taken. The corrective actions may include remedial training, the analyst being placed back into a trainee status, or termination of employment.

- 7.3 Testimony Review

Analyst court testimony will be reviewed as set forth in Procedure 34 of the SBI Policy and Procedure Manual in order to ensure that the testimony is consistent with the documented findings.

- 7.4 If the Questioned Documents Section has an analyst in training, that trainee will be required to review every case possible. On the cover sheet the trainee will sign his/her name and print in block letters the word **■TRAINEE■** after it. This should assist the analyst in their training.

8. Case Reporting

8.1 Report Writing

Lab reports will be issued on all cases received by the Questioned Documents Section and these reports will be prepared in accordance with existing Bureau policy through LIMS. Prior to issuance of the report, the analyst assigned to the case will have all data and conclusions independently verified by a second analyst.

8.2 Review of Reports

All lab reports will be reviewed by appropriately designated personnel through LIMS.

8.3 All rough draft reports will be destroyed at the completion of the Technical and Administrative Review.

8.4 Case Conclusions

Terminology used by the Questioned Documents Section.
(See Appendix A)

8.5 Case Information

All case related information will be distributed only as dictated in Procedure 35 of the SBI Policy and Procedure Manual.

APPENDIX A
CASE CONCLUSIONS

Documents Examination Results and Case Conclusions

Explanation of Handwriting Conclusion Terminology

I Identification:

This is the highest degree of confidence expressed by a Document Examiner in handwriting comparisons. The Examiner has no reservation whatsoever, he/she is certain, based on evidence contained in the handwriting, that the exemplar writer wrote the writing in question.

Examples: Based on the evidence submitted it has been determined that (person) wrote/prepared the questioned material, or it is my conclusion that (person), the author of the known material wrote /prepared the questioned material.

II Strong Probability:

The evidence is very persuasive, yet some critical feature or quality is missing so that an *identification* is not in order. However, the Examiner is virtually certain that the questioned and known writings were written by the same individual.

Examples: There is strong probability that (person) prepared item(s) (#s).

There is strong probability that (person), the author of the known material, wrote/prepared the questioned material.

It is this examiner's conclusion that the author of the known material very probably wrote/prepared the questioned material.

III Probable:

A qualified conclusion that the evidence contained in the handwriting points rather strongly toward the questioned and known writings having been written by the same individual, however, it falls short of the **virtually certain** degree of confidence.

Examples: It is probable that (person) prepared item(s) (#s).

It has been concluded that the exemplar writer probably wrote/prepared the questioned material.

It has been concluded that the author of the known material probably wrote/prepared the questioned material.

It is my conclusion that the author of the known material probably wrote/prepared the questioned material.

IV Indications:

The evidence contained in the body of writing has few features which are of significance for handwriting comparison purposes, but those features are in agreement with another body of writing.

Examples: There are indications that (person) prepared Item(s) (#s).

There is evidence which indicates or suggests that the author of the known material may have written/prepared the questioned material but the evidence falls far short of that necessary to support a definite conclusion.

Discussion: This is a very weak conclusion, and a report may be misinterpreted to be an identification by some readers if the report simply states, ■The evidence indicates that the (person) of the known material wrote the questioned material.■ There should always be additional limiting words or phrases (such as ■may have■ or ■but the evidence is far from conclusive■) when this conclusion is reported, to ensure that the reader understands that the conclusion is weak.

V No Conclusion:

This is the zero point of the confidence scale. It is used when there are significantly limiting factors, such as disguise in the questioned and /or known writing or a lack of comparable writing, and the examiner does not have even a leaning one way or another.

Examples: There is no conclusion regarding the author of Item(s) (#s).

No conclusion could be reached as to whether or not the author of the known material wrote/prepared the questioned material.

This examiner could not determine whether or not the author of the known material wrote/prepared the questioned material.

VI Indications Did Not:

This conclusion carries the same weight as the indications term on the positive side of the scale, it is a very weak conclusion.

Examples: There are indications that (person) did not prepare Item(s).

There is very little significant evidence present in the comparable portions of the questioned and known writings, but that evidence suggests that the author of the known material did not write/prepare the questioned material.

This Examiner found indications that the author of the known material did not write/prepare the questioned material but the evidence is far from conclusive.

VII **Probably Did Not:**

The evidence points rather strongly against the questioned and known writings having been written by the same individual, but, as in the probable range in the identification side, the evidence is not quite up to the **■virtually certain■** range.

Examples: (Person) probably did not prepare Item(s) (#s).

It has been concluded that the author of the known material probably did not write/prepare the questioned material.

It is my conclusion that the author of the known material probably did not write/prepare the questioned material.

VIII **Strong Probability Did Not:**

This conclusion carries the same weight as strong probability on the identification side of the scale; that is, the examiner is virtually certain that the questioned and writings were not written by the same individual.

Examples: There is a strong probability that (person) did not prepare Item(s) (#s).

There is a strong probability that the author of the known material did not write/prepare the questioned material.

This Examiner concludes that it is highly probable that the author of the known material did not write/prepare the questioned material.

IX **Elimination**

This conclusion, like the definite conclusion of identity is the highest degree of confidence expressed by the document examiner in handwriting comparisons. By using this conclusion the examiner denotes no doubt in his/her opinion that the questioned and known writings were not written/prepared by the same individual.

Examples: (Person) did not prepare Item(s) (#s).

It has been concluded that the author of the known material did not write/prepare the questioned material.

It is this Examiners conclusion that the author of the known material did not write/prepare the questioned material.

References

- (1) ASTM, Standard Terminology for Expressing Conclusions of Forensic Document, American Society for Testing and Materials, Philadelphia, Pa, 1996

9. Proficiency Testing

9.1 Open Proficiency Testing

Each Questioned Documents analyst will be tested at least once each year with an open proficiency test. These tests may be prepared internally and/or may be part of an external proficiency testing program.

9.2 Proficiency Test Files

The Section SAC will maintain records of all proficiency tests taken, any deficiencies noted and corrective action taken. When deficiencies are noted, the file will identify the likely cause of the deficiency. (See Appendix A for copy of the Proficiency Testing Log)

9.3 Consequences of error

If deficiencies are noted as listed above, the analyst will be removed from casework and corrective action will be taken. The corrective actions may include remedial training, the analyst being placed back into a trainee status, or termination of employment.

Appendix A
Proficiency Testing Log

10. Audits

Audits are an important aspect of the quality assurance program. They are an independent review conducted to compare the Questioned Documents Section and performance with a standard for that performance. These audits are designed to provide management with an evaluation on the Question Documents Section's performance in meeting its quality policies and objectives.

10.1 SBI Internal Audit

The SBI Question Documents Section is routinely audited by a SBI Inspection Team. This unit is composed of several agents and individuals from various SBI divisions. A typical inspection will last one week. During this time, all phases of the operation of the section are scrutinized including: evidence handling and accountability, case turn around time, report writing, note taking, management practices, leave and time management policies, security, records security, inventory of equipment and supplies, personnel records.

10.2 Quality Assurance Audit

The section will undergo an ASCLD/LAB Internal Compliance Audit every year. (See Appendix A)

10.3 Inspection by ASCLD/LAB every five (5) Years

10.4 Inspection by CALEA every five (5) Years

The Section SAC will review all findings from the audits with the section personnel. A report, along with any documentation of steps taken to resolve any problems detected will be maintained.

APPENDIX A

Annual Internal ASCLD/LAB Compliance Audit

11. Safety

Policy

The Questioned Documents Unit will operate in strict concordance with the regulations of the pertinent federal, state, and local health and safety authorities.

Written Manuals

General Laboratory Safety guidelines are covered in the N. C. Department of Justice Employee Safety and Health Manual and the N. C. State Bureau of Investigation Crime Laboratory Procedure Manual. Each employee is expected to follow these guidelines.

12.

Abbreviation Log

13.

Signature Log

Section X

Archives