

CODIS Administrative Manual

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1. **Introduction**

*Reference: NDIS Operational Procedures Manual, current version
FBI QAS for Testing and Databasing Laboratories, current versions*

1.1 **Background**

Alaska Statute (AS) 44.41.035 first went into effect on January 1, 1996; authorizing the Alaska Department of Public Safety (DPS) to collect a DNA-containing sample (e.g., blood sample, buccal swab, or both), from persons convicted of a crime against a person, for inclusion in a DNA Identification Registration System. The Alaska Scientific Crime Detection Laboratory is the entity responsible for maintaining this database.

The database was originally restricted to felony offenses or felony attempts under AS 11.41 (except AS 11.41.320) or AS 11.46.400. In the following decade, the law was expanded to include misdemeanor crimes against a person, felonies under AS 11 or AS 28.35, equivalent municipal convictions and registered sex offenders. In July 2007, HB90 further amended this law to include adults arrested for qualifying offenses. AS 44.41.035(b) identifies the offenses that qualify an individual for inclusion in the database.

As outlined in AS 44.41.035(f), the DNA Identification Registration System is confidential and may only be used for providing DNA identification for law enforcement purposes and for statistical blind analyses. Allowing unauthorized access to the database samples or data derived from those samples is a class C felony.

Offenders whose DNA profile is part of the database are entitled to a copy of their DNA profile.

Either the administrator or designee will reply to the offender (or the offender's legal representative), providing an STR table of the offender's profile. A record of this communication will be retained electronically, in the Laboratory Information Management System (LIMS). The Specimen Detail Report from CODIS will not be released to the offender. When access to the database, not permitted by statute, is requested, a CODIS Administrator will promptly notify the laboratory's legal representative and the NDIS custodian.

Law enforcement may request to use an offender sample as a known reference sample in a specific case or set of cases. The laboratory will inform the agency that database samples collected in accordance with AS44.41.035 are intended to provide investigative leads in unsolved cases, not for use as known reference samples. It will be recommended that the agency attempt to obtain a legal sample for use in forensic casework. If this is not possible, the laboratory's legal

representative may authorize exceptions. Forensic question sample(s) in the case may be eligible for CODIS entry and searching against offenders and other samples in the database. Matches are reported as described in this manual.

1.2 The Process of DNA Registration

Offender (qualifying convicted offender / qualifying arrestee) DNA samples are collected by correctional centers and law enforcement agencies in Alaska and submitted to the laboratory for inclusion in the DNA Identification Registration System. Thumb prints are collected simultaneously and submitted along with the DNA sample. The department provides agencies with DNA Database Collection Kits to facilitate the process of DNA and thumbprint collection. Each kit includes a DNA collection card, where the offender's personal information and thumbprints are recorded, and sterile swabs for collecting the DNA sample. Instructions for sample collection and submission are included with each DNA Database Collection Kit. The laboratory has also created a video for training law enforcement in the collection process.

The offender DNA sample and accompanying thumbprints are received by the laboratory via U.S. mail or hand delivery. DNA collection kits are typically opened, inspected and accessioned by a technician or the DNA database analyst.

Samples with questionable integrity are brought to the attention of a CODIS Administrator who will determine an appropriate course of action.

1.2.1 Accessioning of DNA Database Samples

The DNA Identification Registration System is managed in the LIMS. Offender samples received by the laboratory are logged into the LIMS and assigned unique numeric identifiers. Detailed information on this process is contained in the Forensic Biology Procedures Manual (FBPM, current version). The LIMS is used to track analysis of offender samples, verification of offender profiles and thumb prints, and verification of a qualifying offense. The LIMS interfaces with the Alaska Public Safety Information Network for sample accessioning and is designed to minimize the analysis of duplicate offender samples. CODIS hits are reported via the LIMS.

Once the sample is logged into the LIMS, the portion of the DNA collection card containing the offender's thumbprints is separated from the DNA sample. Both portions are barcode labeled with the unique identifier and stored at the laboratory pending analysis, and indefinitely thereafter (with exceptions described later in this manual). The portion of the card containing the thumbprints may be temporarily transferred to DPS Records and Identification (R&I) for confirmation of the offender's identity via the thumbprints. Successful verification is indicated by the date and initials, on the card, of the person performing the identification. Updates to the State Identification Number for an individual are noted on the card and then updated in the LIMS.

1.3 The Combined DNA Index System (CODIS)

CODIS is a computer database designed to house DNA profiles from convicted offenders, juveniles adjudicated as delinquents, arrestees, unidentified human remains, voluntary donors and forensic samples, in various searchable indices. The comparison of DNA profiles between different laboratories has the potential for generating investigative leads by locating DNA matches between cases previously thought to be unrelated, and to identify putative perpetrators in unknown suspect cases.

As previously described, Alaska Statute 44.41.035 authorizes the Alaska Department of Public Safety to establish a DNA Identification Registration System containing DNA samples from qualifying arrestees, convicted offenders and certain other individuals. DNA samples from qualifying individuals are analyzed in-house. The resulting genetic profiles are technically reviewed and entered in CODIS.

The CODIS database is comprised of indices at three distinct levels: Local, State, and National. The State of Alaska does not have local (LDIS) laboratories. The State DNA Index System (SDIS) for Alaska is located at the laboratory. The profiles from samples in the various indices are searched against each other at the state level.

The National DNA Index System (NDIS) is a centralized index of DNA profiles maintained by the Federal Bureau of Investigation (FBI). Eligible DNA profiles from offenders (including juveniles and arrestees) and forensic samples believed to be associated with “putative perpetrators” are contributed to NDIS by the state laboratory. The profiles from forensic samples are searched at this level against the Offender and Arrestee Indices, and against other forensic profiles in the Forensic Index. A set of 13 core STR loci for use in NDIS was established by the FBI-sponsored Short Tandem Repeat Standardization Project in November 1997: D3S1358, FGA, vWA, D8S1179, D21S11, D18S51, D5S818, D13S317, D7S820, D16S539, CSF1PO, THO1 and TPOX. Effective January 2017, the number of CODIS core loci was increased to 20 with the addition of the following seven loci: D1S1656, D2S441, D2S1338, D10S1248, D12S391, D19S433 and D22S1045.

As described in the NDIS Procedures Manual and the NDIS Standards for Acceptance of DNA Data, CODIS users who generate data for inclusion in the database are required to complete an annual review of the specimen categories accepted at NDIS, and additional rules governing the upload of data. The annual review and test are completed on the CJIS SEN (Criminal Justice Information Services Shared Enterprise Network; i.e. the NDIS network).

Upon successfully completing the test, the user receives a certificate that will be retained in the individual's training records in sharepoint. A record of the training for timekeeping purposes will be created in the LIMS.

Completion of the review and test are monitored electronically by NDIS and individuals not successfully completing the test by the deadline will be temporarily unable to contribute data to NDIS.

The CODIS software is provided to the laboratory by the FBI. Upgrades and modifications to the software are periodically provided to the laboratory by the FBI through an FBI contractor. CODIS is a dynamic system, and therefore undergoes both major and minor software upgrades, which may cause the actual operation of the software to vary slightly from what is described in this document. CODIS software upgrades will be validated and/or performance checked in accordance with Standard 8 of the FBI Quality Assurance Standards, current version. Periodic updates to this manual will be made to accommodate these changes.

The policies, procedures and work instructions outlined in this manual are meant to supplement the NDIS Procedures and applicable federal and state laws. The use of the CODIS system in Alaska is in accordance with the most current versions of this manual and the NDIS Operating Procedures, federal and state laws, and the policies and procedures of the FBI and their contractor(s). Portions of this manual are taken from these materials. In accordance with the CODIS License Agreement between the department and the FBI, the laboratory is strictly prohibited from copying or distributing the CODIS software and associated written material to individuals or organizations outside of the department without approval from the FBI.

2 The CODIS State Administrator

2.1 Duties and Responsibilities

The CODIS State Administrator serves as the manager in charge of the DNA Identification Registration System and CODIS (at the Alaska Scientific Crime Detection Laboratory) and is accountable for CODIS operations at the laboratory. In Alaska, one on-site individual serves as the administrator for both casework and database operations. The State Administrator reports to the NDIS Custodian and provides all required information and paperwork to the NDIS Custodian in a timely manner. This individual administers the laboratory's local CODIS network, is the central point of contact for CODIS operations in the laboratory and serves as the gatekeeper for DNA data entered into CODIS. The laboratory shall not upload data to NDIS if the administrator position is vacant.

The State CODIS Administrator has the following responsibilities:

- Process new CODIS users, update CODIS user information, remove CODIS users when appropriate
- Complete additional required CODIS training and ensure that CODIS users complete required annual training, CODIS computer training and other training, as necessary. Ensure training is documented.
- Review and/or approve protocols for the entry, searching and match resolution of records in the state's CODIS database; ensure that the laboratory's documented procedures address expungement, match confirmation, matches with non-qualifying offenders, uploads, specimen eligibility and access to DNA records
- Ensure that the security of data stored in CODIS is in accordance with state and/or federal law and NDIS operational procedures, perform hardware/software upgrades/updates, as required. Authorized CODIS IT users may assist with these responsibilities
- Ensure that the quality of data stored in CODIS is in accordance with state and/or federal law and NDIS operational procedures
- Ensure compliance with FBI QAS
- Ensure CODIS users determine specimen eligibility
- Uploads, expungements and administrative removals of profiles
- Review CODIS generated reports
- Backup CODIS data and perform periodic restores to ensure backups are viable. Authorized CODIS IT users may assist with this.
- Review matches and ensure they are dispositioned in a timely manner (as per NDIS operational procedures), whenever possible
- Review all CODIS materials and updates to NDIS Operational Procedures; update CODIS users and implement changes, as necessary.
- Compile monthly hit statistics and report to NDIS, as required

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- Complete the annual audit certification
- Attendance at required meetings/trainings
- Notify the NDIS Custodian, within five business day, if any of the following occur:
 - A CODIS user is arrested for or convicted of a criminal offense
 - The laboratory uses its criminal justice agency status
 - The laboratory loses its accreditation, or has its accreditation suspended or revoked
 - The laboratory loses the capability to perform DNA analysis at its facility
 - The laboratory has fewer than two full-time qualified DNA analysts
 - The laboratory Technical Leader position is vacated, and the laboratory has no one qualified to serve in the position on an interim basis
 - The laboratory is not in compliance with the external QAS audit requirement
- Additional responsibilities may be outlined in updates to the NDIS Operational Procedures

The CODIS Administrator shall coordinate with the Technical Leader to appoint a designated individual to serve as an alternate administrator. The alternate administrator will act, if required, in the absence of the State Administrator and may assist the State Administrator with routine management of the CODIS system. This individual must also complete the CODIS User Training Class and the FBI DNA Auditor training.

The DNA technical leader shall inform the CODIS Administrator or alternate CODIS Administrator of all non-administrative discrepancies that affect the typing results or conclusions (in an analyst's proficiency test) at the time of discovery. The State Administrator shall be advised if it may be appropriate to remove the analyst's profiles from CODIS or revoke/suspend their participation in CODIS. If any situation arises that affects the reliability or security of the data and operation of CODIS, the State Administrator has the authority to terminate an analyst's or the laboratory's participation in CODIS until the reliability and security of the computer data can be assured.

2.2 Qualifications

The CODIS administrator and alternate must be employees of the laboratory and must meet the educational and experience requirements as set forth in both the QAS for Forensic DNA Testing Laboratories and the QAS for DNA Databasing Laboratories. The persons must also be current or previously qualified casework DNA analysts with documented mixture interpretation training.

The administrator and alternate shall have training on the operation and management of the CODIS system. The FBI auditor training shall be completed within one year of appointment, if not previously attended. Although not required, it is recommended that both administrators complete training on the current Quality Assurance Standards. The FBI sponsored CODIS software training shall be completed (for the current version of the software) within six months of appointment, if not previously completed.

Additionally, these individuals shall have a minimum of 8 hours of continuing education per calendar year that is relevant to developments in DNA typing and shall participate in a program for review of scientific literature.

The laboratory shall maintain documentation of CODIS administrators that have had their education, experience, and training qualifications evaluated and approved during two external audits.

3 The CODIS Software

All CODIS software functions are accessed by opening the Analyst Workbench program.

3.1 STR Data Entry

All specimens to be entered into or searched in CODIS shall be subjected to two concordant assessments by a currently qualified analyst and a technical reviewer. Alternatively, the laboratory may use an NDIS approved Expert System package. At this time, the Alaska laboratory does not utilize an Expert System.

The manual technical review of a specimen shall include a review of all notes, worksheets and electronic data supporting the results; a review of all DNA types to confirm that they are supported by the raw or analyzed data; a review of all controls, internal lane standards and allelic ladders to confirm that the expected results were obtained; and a review to confirm that reworked samples have appropriate controls. The review of forensic specimens shall also include confirmation of the profile's eligibility for CODIS, that the correct DNA types are obtained and entered, and a means of assuring that the sample is assigned to the appropriate specimen category. The review of specimen eligibility and specimen category occur prior to entry in a searchable index. This is documented on a casework review checklist. The laboratory shall request appropriate elimination standards prior to entry of forensic unknowns/mixtures into CODIS. This request shall be documented in the LIMS. The technical review of a forensic profile is indicated on the sample electropherogram and Specimen Detail Report (reviewer's date and initials), and on the review checklist. The review of offender data is also documented with a review checklist. Additional information on the review of casework and offender samples can be found in the Forensic Biology Procedure Manual.

On occasion, it may be appropriate to update an offender entry based on subsequent typing of another sample from the same individual. For example, an offender sample may yield only a partial profile, but a sample submitted later in casework yields a complete profile. The offender entry may be updated with data obtained from the subsequent sample. Typically, this will be done only when the initial entry was incomplete at the original 13 core CODIS loci. Owing to software permission restrictions, modification may need to be coordinated with the original analyst or a CODIS administrator.

The analyst modifying the record shall confirm (through biographical information) that both samples are from the same individual. Modifications to the record [based on casework analysis] are noted in the comments section of the SDIS details. The updated record is technically reviewed and provided to the CODIS Administrator for reconciliation with the next NDIS upload. The updated SDIS details record should be retained in the LIMS.

Similarly, a casework sample originally entered as a mixture may later be modified based on additional evidence being worked or a CODIS match occurring.

Any updates to casework entries must be technically reviewed with the SDIS details record being added to the case in the LIMS. A copy should also be provided to the CODIS administrator for reconciliation with the next NDIS upload.

DNA profiles generated at the laboratory will be entered into CODIS either via manual entry or as a CMF file (common message format). DNA profiles from casework are entered into CODIS manually via the “STR/Y-STR Data Entry” function under the Tools drop-down menu. CMF files are used to upload offender batch files to SDIS via Specimen Manager. Detailed instructions on uploading offender batches are provided in the Forensic Biology Procedure Manual.

Each profile entered in CODIS will have a unique Specimen ID (typically the laboratory case and item #) and be assigned to a particular specimen category. The following specimen categories are accepted in Alaska’s SDIS: arrestee, biological child, biological father, biological mother, biological sibling, CO duplicate, convicted offender, deduced victim known, detainee, forensic mixture, forensic mixture Alaska, forensic partial, forensic partial Alaska, forensic targeted, forensic targeted Alaska, forensic unknown, maternal relative, missing person, multi-allelic offender (an offender with more than two alleles at two or more loci), paternal relative, staff (profiles of laboratory staff obtained by written consent), staff duplicate (analyst samples randomly placed in offender batches for quality assurance purposes), unidentified person/remains and volunteer (samples submitted by law enforcement that are accompanied by written consent for entry into the CODIS database).

Samples from relatives of missing persons that are submitted for voluntary entry into CODIS must be accompanied by a signed consent form that documents the identity of the relative having been confirmed via a government issued form of identification.

The laboratory may respond to inquiries from Alaska law enforcement or other SDIS labs regarding the presence of an offender in CODIS. These inquiries may be verbal or in writing and the laboratory will confirm the name and DOB. A record of the communication is kept in the offender case record in the LIMS.

3.1.1 Manual Entry of Profiles of Eligible Known Sample Profiles

Profiles of Convicted Offenders, Arrestees and specimens eligible in the “Other” category will be entered into CODIS with a specimen ID that corresponds to the unique identifier assigned to the sample upon receipt at the laboratory. Data is now required at all 20 core loci for the offender profiles to be submitted to NDIS.

The steps below outline the procedure for manually entering an offender profile into CODIS. The Forensic Biology Procedure Manual describes the use of a .cmf file to upload offender batches into CODIS.

- a. Open the STR Data Entry feature under the Tools drop-down menu
- b. Enter the numeric Specimen ID
- c. Select the Forensic Unreviewed specimen category
- d. The name of the analyst entering the profile will be populated automatically
- e. Case ID is left blank
- f. Select Yes for Source ID
- g. Additional pertinent information may be entered in the Comments field
- h. Enter both the first and second readings, confirming that there are no discrepancies between the readings.
- i. Set the partial profile flag to yes at any loci with partial dropout and save the entry.
Note: Marking a locus as partial will automatically trip the flag for the sample. A sample for which there is only complete locus dropout does not require a partial flag to be marked yes.
- j. The technical reviewer will review the entry in CODIS, update the specimen category, and initial and date in the box on the review checklist once the entry is verified.
 - Alternatively, the analyst may provide a .pdf of the original entry for a remote technical review
 - The technical reviewer will initial and date in the CODIS entry box once the forensic unreviewed entry has been verified
 - The technical reviewer may request that an on-site staff update the specimen category to the intended category as captured on the review checklist
 - CO Duplicate (for samples known to have an offender sample already in CODIS)
 - Arrestee (Samples originally entered as Arrestee should remain in the Arrestee specimen category even if the person is later convicted of the offense for which the arrestee sample was collected.)
 - The on-site staff member will upload an updated .pdf of the entry for final tech review
- k. The final entry (SDIS details), with analyst's name (or initials) and the initials (or name) and date by technical reviewer is retained in the case record. A second copy is provided to the State Administrator. This signals to the Administrator that the sample may be searched and uploaded to NDIS.

- The administrator copy is placed in the designated discipline folder on the lab network.

All central log documentation for offender analysis will be retained in sharepoint.

3.1.2 CODIS Entry of Data Generated by a Contract Laboratory

The procedure for importing data generated by a contract laboratory will vary depending on the version of the CODIS software and the format in which data is received. Therefore, as needed, detailed procedures will be written that are specific to the contract laboratory at the time of analysis. These procedures will be retained with the data and administrative paperwork associated with the specific contract.

Whenever samples for CODIS are to be analyzed at a vendor laboratory, the laboratory's DNA technical leader will document and maintain the approval of the technical specifications of the contract between the laboratory and the vendor laboratory. This approval must occur prior to awarding the contract. Additionally, the technical leader will maintain documentation of the vendor laboratory's compliance with the FBI QAS standards and the accreditation requirements of federal law. Similar procedures must be followed if the laboratory will be taking ownership of data generated as a result of a contract between a vendor laboratory and a law enforcement agency. An on-site visit of the vendor laboratory will be performed or adopted as outlined in standard 17 of the FBI QAS Standards.

All data generated by a contract laboratory must be technically reviewed by the laboratory prior to entry or searching in CODIS. This review must be performed by an employee or contract employee of the laboratory meeting the requirements in standard 17 of the FBI QAS Standards, and will include a review of the elements identified in standard 17 of the standards. This review is documented using a review checklist that will be retained by the laboratory. The laboratory will also incorporate random reanalysis of samples and/or the inclusion of QC samples to confirm the integrity of the data analyzed by a vendor laboratory under contract with the laboratory.

3.1.3 Forensic Casework Profiles

Profiles from biological samples found at the scene of the crime are entered into the Forensic Index of CODIS. As per the NDIS operational procedures, only forensic profiles that are attributable to the “putative perpetrator” may be entered into CODIS. Profiles or alleles unambiguously attributed to other individuals (i.e. victim, boyfriend, husband, known eliminations) are not acceptable. When there is ambiguity as to the origin of a profile or alleles, the profile may be entered if there is a possibility of the perpetrator being the source. Justification for entry of samples should be documented in the comments section during data entry.

A forensic casework profile that matches a suspect may be entered into CODIS. If the DNA results in a case indicate that only one perpetrator is involved, only the most complete or most probative STR profile for that case matching the suspect will be entered into CODIS. Additional profiles appearing to be from the same suspect, but with less genetic data, will not be entered into CODIS. In forensic cases involving more than one perpetrator, more than one STR profile may be entered into CODIS if the probative profiles from different items of evidence are found to be consistent with different individuals.

3.1.3.1 Forensic Unknown (Single Source) Profiles

The steps below outline the procedure for entering a complete, single-source forensic profile into CODIS. This is completed prior to submitting the case for technical review.

- a. Open the STR Data Entry feature under the Tools drop-down menu
- b. Enter Specimen ID (ex. U04-0652 55KC) with the following required elements
 - “U” is only entered for a sample whose source is unknown
 - 04-0652 is the laboratory case #
 - 55KC is the laboratory item # (may have the # sign in front of the item)
- c. Select the Forensic Unreviewed specimen category
- d. Select Yes or No for Source ID
- e. In the Case ID field, enter the investigating agency and agency case #
 - For all agencies except AST, type the city space case # as on RLS (ex. Anchorage 21-12345)
 - For AST, type AST/City space case # (ex. AST/Palmer AK20012345)
 - Other agencies: UAA, UAF, Military, FBI
- f. In Comments, enter type of case, brief CODIS eligibility details and other pertinent information (ex. profile from kit, deduced)
 - Use only the following for case types: homicide, kidnapping, terrorism, SA, SAM, MC, PC
 - Also include “Capital” as appropriate for those cases
- g. Enter the first and second readings, confirming that there are no discrepancies. Save the specimen detail report.

- h. The technical reviewer will review the entry in CODIS, update the specimen category, and initial and date in the box on the review checklist once the entry is verified.
 - o Alternatively, the analyst may provide a .pdf of the original entry for a remote technical review
 - o The technical reviewer will initial and date in the CODIS entry box once the forensic unreviewed entry has been verified
 - o The technical reviewer may request that an on-site staff update the specimen category to the intended category as captured on the review checklist
 - o The on-site staff member will upload an updated .pdf of the entry for final tech review
- i. The final SDIS details, with analyst's name (or initials) and the initials (or name) and date by technical reviewer is retained in the case record. A second copy is provided to the State Administrator. This signals to the Administrator that the sample may be searched and uploaded to NDIS.
 - o The administrator copy is placed in the designated discipline folder on the lab network.

3.1.3.1.1 DNA Index of Special Concern (DISC)

The DNA Index of Special Concern is a virtual index of Forensic Unknown profiles that are marked for inclusion in an NDIS level search against arrestees that are enrolled via a Rapid DNA process. Only complete, single-source profiles from unsolved violent crimes (homicide, sexual assault, kidnapping and terrorism) will be marked for the DISC searches. Prior to being marked, profiles must be searched at least once at both the SDIS and NDIS levels.

For all eligible profiles, a CODIS Administrator will provide the submitting agency with a summary of the Rapid program and the DISC form. These notifications will be sent to agencies approximately monthly. The form must be returned complete for the specimen to be enabled for this search. On an annual basis, agencies must recertify eligibility for the sample to remain in the index.

In order for a specimen to be enabled, the agency ORI must be entered into the Agency List in Options and all the required casework metadata must be entered. Once the metadata is complete, the Rapid-Enabled check box can be marked.

3.1.3.2 Forensic Mixtures

A forensic mixture profile composed of alleles from more than one individual may be suitable for entry into CODIS if all or part of the profile may be attributed to the putative perpetrator(s).

The mixture profile should be evaluated to determine whether it is appropriate to enter the whole mixture profile, only the major or minor component, only those alleles clearly foreign to the victim, or not enter the profile into CODIS at all. It is recognized that some mixture profiles are simply not suitable for entry into CODIS. Profiles that are not suitable for comparison (as per the Forensic Biology Procedure Manual) shall not be entered into CODIS.

A forensic mixture profile is not appropriate for entry into CODIS if it is concluded that a search of this profile will result in a large number of ambiguous offender hits, or that such a profile will frequently become an ambiguous candidate when searches are made of forensic profiles. The DNA analyst shall evaluate the profile as described in the next section.

When entering multiple alleles at one locus, the analyst may designate obligate alleles using a '+' sign after the allele. Only one obligate allele can be designated per locus. The goal is to capture the profile attributable to the "putative perpetrator." As necessary, the analyst may consult with a CODIS Administrator or another qualified analyst to make this determination.

When the method of entering the profile allows for the possibility of additional perpetrator alleles that were not entered, the analyst should indicate this with a Yes in the partial locus field. When alleles attributed to the victim or other known individuals are subtracted from the profile (intentionally not entered), this should be indicated in the Comments field.

3.1.3.3 Forensic Partial Profiles

For the purposes of CODIS, a forensic partial profile is a single source profile in which potential allelic peaks from the perpetrator(s) may be present below the reporting threshold (suggesting allelic dropout) at one or more loci.

The steps below outline the procedure for entering forensic mixtures and forensic partial profiles into CODIS:

- a. Open the STR Data Entry feature under the Tools drop-down menu
- b. Enter Specimen ID (ex. U04-0652 55KC) with the following required elements
 - "U" is only entered for a sample whose source is unknown
 - 04-0652 is the laboratory case #
 - 55KC is the laboratory item # (may have the # sign in front of the item)
- c. Select the Forensic Unreviewed specimen category
- d. Select Yes or No for Source ID

- e. In the Case ID field, enter the agency and agency case #
 - For all agencies except AST, type the city space case # as on RLS (ex. Anchorage 21-12345)
 - For AST, type AST/City space case # (ex. AST/Palmer AK20012345)
- f. In Comments, enter type of case, brief CODIS eligibility details and other pertinent information (ex. profile from kit, deduced)
 - Use only the following for case types: homicide, kidnapping, terrorism, SA, SAM, MC, PC
- g. Enter the first and second readings for all loci, confirming that there are no discrepancies between the readings.
- h. Set the partial profile flag to yes at any loci with partial dropout.

Note: Marking a locus as partial will automatically trip the flag for the sample. A sample for which there is only complete locus dropout does not require a partial flag to be marked yes.
- i. Save the entry. In accordance with the following guidelines, note the appropriate specimen category on the casework review checklist.
 - If the profile contains data for at least 8 of the original core loci and the MME satisfies the NDIS threshold of 10 million (1.0000E007) when all loci are entered, the profile is eligible for upload to NDIS and the specimen category will be either Forensic Partial or Forensic Mixture.
 - If the profile contains data for at least 8 of the original core loci and the MME does not satisfy the NDIS threshold of 10 million (1.0000E007), but does satisfy the MRE threshold of 10 million (1.0000E007), the specimen category will be Forensic Targeted.
 - If the profile contains less than 8 of the original core loci and/or the MME/MRE do not satisfy the NDIS threshold, but the MME does satisfy the SDIS rarity threshold of 10 thousand (1.0000E004), the profile is eligible for entry to SDIS and the specimen category will be either Forensic Partial Alaska or Forensic Mixture Alaska
 - If the profile contains less than 8 of the original core loci and the MME does not satisfy the SDIS threshold, but the MRE does satisfy the SDIS rarity threshold of 10 thousand (1.0000E004), the profile is eligible for entry to SDIS and the specimen category will be Forensic Targeted Alaska
 - If the profile does not meet any of the above criteria, the profile is not eligible for CODIS. The entry will be deleted, a note made on the review checklist, and a copy of the specimen delete report provided for the technical reviewer. The form need not be retained in the case record.
- j. The technical reviewer will review the entry in CODIS, update the specimen category, and initial and date in the box on the review checklist once the entry is verified.
 - Alternatively, the analyst may provide a .pdf of the original entry for a

- remote technical review
 - The technical reviewer will initial and date in the CODIS entry box once the forensic unreviewed entry has been verified
 - The technical reviewer may request that an on-site staff update the specimen category to the intended category as captured on the review checklist
 - The on-site staff member will upload an updated .pdf of the entry for final tech review
- k. The final SDIS details, with analyst's name (or initials) and the initials (or name) and date by technical reviewer is retained in the case record. A second copy is provided to the State Administrator. This signals to the Administrator that the sample may be searched and uploaded to NDIS.
 - The administrator copy is placed in the designated discipline folder on the lab network.

3.1.3.4 Profiles of Missing Persons, Unidentified Human Remains and Relatives of Missing Persons

Profiles of missing persons or unidentified human remains are entered into CODIS in the Specimen Category Unidentified Person. Source ID will initially be No for these samples. These samples must contain at least 8 STR loci and Amelogenin to be eligible for upload to NDIS. Loci with possible allele dropout should not be entered for profiles from missing persons and unidentified remains.

Relatives of Missing Persons must contain all 20 core loci and may be entered into one of the following specimen categories with the Source ID marked Yes: Biological Child, Biological Father, Biological Mother, Biological Sibling, Maternal Relative or Paternal Relative. A completed volunteer form (with identification verified by a government ID) must accompany submission of these samples. The Specimen ID for these samples consists of the laboratory case and item #s as described above for forensic casework profiles. Relative samples shall be removed if: (1) a complete set of remains has been identified or the missing person has been located, (2) it is determined that the person is not related or (3) the individual requests that their sample is removed.

3.1.3.5 Composite Profiles

Composite genetic profiles are defined as being created by combining typing results from multiple injections of a single amplification and/or multiple amplifications of a single DNA extract.

The laboratory allows for entry of composite profiles of forensic samples when doing so is likely to have the impact of reducing the number of coincidental matches to a profile. A composite genetic profile should not be entered into CODIS when the

reportable STR results are not suitable for comparison (see Interpretation section of the Forensic Biology Procedure Manual).

When composite genetic profiles are entered into CODIS, descriptive comments should be included in the comments section during STR data entry.

Composite profiles of offender samples, created by combining the typing results from separate extracts, are acceptable for entry and upload to NDIS.

Prior to creating this type of composite profile, the biographical information and overlapping loci shall be confirmed as being concordant.

3.2 Administrative Removal / Expungement of Profiles

It is recognized that occasionally a profile that was previously entered into CODIS will need to be removed or expunged. A CODIS Administrator will promptly delete a profile from a Convicted Offender (including a juvenile) or Arrestee upon receipt of a court order to expunge (in accordance with AS44.41.035, DNA Identification Act of 1994, DNA Analysis Backlog Elimination Act of 2000, and DNA Fingerprint Act of 2005), if the individual does not have another offense that currently qualifies them for inclusion in the database.

Expungement is the removal of a DNA record at the state and/or national index levels in response to the following:

- A court order that has overturned an offender's conviction for a qualifying offense.
- A court order establishing that charges were dismissed or resulted in acquittal, or no additional qualifying charges were filed within the time period established by the court order.

An *Expungement Checklist* is to be started any time a court order directing deletion of a profile from a Convicted Offender (including a juvenile) or Arrestee is received. A CODIS Administrator will search LIMS to determine if the laboratory has a DNA database sample(s) from the individual and/or a profile has been entered into CODIS.

If no samples are located and no profile has been entered, a letter is sent to the originator of the expungement request indicating that the laboratory does not have any offender samples from the individual and no profile has been entered. This letter may be authored by a CODIS Administrator or designee. The letter and completed checklist are retained in the offender record in LIMS.

If any samples are located and/or a profile has been entered, the CODIS Administrator will provide the laboratory's legal representative with information relating to the expungement order. The laboratory's legal representative (or designee) will be asked to search for any currently qualifying offenses. If any are found, this is noted on the checklist. All DNA samples, DNA profiles, and personal information are to be retained by the laboratory until a course of action is determined by the department's legal representative (or designee). If the laboratory is advised that the sample may be retained, this will be communicated, in writing, to the originator of the expungement request. If the legal representative (or designee) directs that a profile be deleted and/or samples destroyed, a CODIS administrator (or designee) will proceed with expungement as described below.

If no other qualifying offense is identified, the CODIS administrator (or designee) will retrieve the offender information card and DNA sample, transfer custody of the items to him/herself and then to the expunged location. If there is a pending request in the LIMS, it shall be cancelled. Notify the assigned analyst if analysis is in progress. If a DNA profile has been entered into CODIS, details of the reason for removal should be placed in the Comments section of the specimen record and the specimen deleted from CODIS.

- a. Locate the sample in Specimen Manager, highlight the specimen and then click on the STR Data Entry icon in the toolbar.
- b. The specimen will open in STR Data Entry where the comments can be recorded. These comments will be captured on the SDIS Specimen Deletion Report.
- c. Save the specimen and close STR Data Entry.
- d. Right-click on the specimen in Specimen Manager and select Delete Specimen from the drop-down menu. The corresponding SDIS Specimen Deletion Report will be retained for documentation purposes.
- e. If the profile of the specimen requiring administrative removal / expungement has been uploaded to NDIS, deletion from NDIS will occur at the upload session immediately following specimen deletion from SDIS. Reconciliation reports documenting the specimen's removal from NDIS will be retained along with the other relevant documentation.

The personal information record in LIMS will also be expunged. This is accomplished by locating the offender's record and removing the name, date of birth and APSIN (State ID) number in the Individuals tab. The record is then secured by right mouse clicking on the Case Info tab in LIMS and selecting Restrict Case. This should only be done by the Laboratory Chief, Assistant Laboratory Chief or a CODIS Administrator and only these individuals should retain access to the record.

When records for offenders are expunged/removed, R&I should be notified to reset the appropriate flag in APSIN (if the card was previously sent to R&I for latent confirmation). This notification may be done by e-mail. A record of this communication will be retained with the other related paperwork.

The buccal sample is discarded (biohazard receptacle if a blood sample) and the print portion of the card is shredded. Both of these steps must be witnessed and recorded. A letter confirming compliance with the order to expunge will be sent to the originator of the expungement request.

The court order to expunge, the *Expungement Checklist*, Specimen Deletion Reports from CODIS and a copy of the letter indicating compliance will be retained in the LIMS.

3.2.1 Samples Collected for Non-Qualifying Offenses

Occasionally, a sample received by the laboratory for entry into CODIS is destroyed prior to being logged into LIMS. Typically, this occurs when the laboratory becomes aware, prior to the sample being logged into LIMS, that the individual does not have a qualifying offense.

A record of these samples (individual's name and date of birth) is retained by a CODIS Administrator. These samples do not require an *Expungement Checklist* and destruction of these samples does not need to be witnessed.

Prior to reporting a CODIS hit, the qualifying offense for the offender must be confirmed.

If it is determined that the sample was collected for a non-qualifying offense, and no other qualifying offenses are located, the sample will be destroyed, and the individual's record secured in LIMS. Removal of these samples from LIMS and CODIS is accomplished by the same procedure as an expungement, except that notification is not required upon completing the removal. The process may be initiated by an analyst. After completing the first two steps on the *Expungement Checklist*, the analyst will transfer the checklist to a CODIS Administrator for completion of the process.

If it is determined that the sample was collected for a qualifying offense, but is eligible for expungement in accordance with AS44.41.035, the laboratory may retain the sample and related records as long as no court order for expungement has been received by the laboratory. This will be determined by the legal representative (or designee).

3.2.2 Samples Determined not to be from the Putative Perpetrator

Additionally, forensic samples in CODIS that are later identified as originating from someone other than the putative perpetrator must be removed from CODIS.

Prior to deleting a specimen, details of the reason for removal should be placed in the Comments section of the specimen record as described above. The corresponding SDIS Specimen Deletion Report will be in the case record in the LIMS. These administrative removals do not require an *Expungement Checklist*.

As previously indicated, if the profile of the specimen requiring administrative removal / expungement has been uploaded to NDIS, deletion from NDIS will occur at the upload session immediately following specimen deletion from SDIS. The relevant page of the reconciliation report, documenting the specimen's removal from NDIS, will also be retained in the case record in the LIMS.

3.3 Searching the CODIS Indices

The Searcher and Autosearcher programs are the CODIS software modules that permit the searching of DNA profiles from various indices against other DNA profiles. Different search configurations are used depending on the type of sample being searched. Searches are conducted in accordance with federal/state law and the NDIS procedures. Detailed information on the use of these programs is contained in the computer-based training modules available on the CJIS-SEN.

After review of a newly entered forensic or offender sample into CODIS, the analyst or reviewer may perform a search of the appropriate sample indices for potential matches between the new sample and samples already in the database. Default search configurations, titled Duplicate Offenders, NDIS eligible and SDIS only have been created for routine use. Manual searching is not required since these searches are automatically run each weeknight. Configurations in addition to these may be used on a case by case basis or run periodically by a CODIS Administrator.

If matches other than self matches are returned during a manual search, the analyst should evaluate the match(es) and initiate follow-up, if necessary. Detailed procedures for match confirmations are provided in Section 3.6 of this manual. Matches from manual searches are not saved as they will be duplicated in the nightly autosearch. Matches which have been assigned a match ID (AA..... or DC.....) are dispositioned as in Section 3.5 of this manual.

3.3.1 NDIS eligible

The NDIS eligible configuration requires 8 CODIS core loci and searches at moderate stringency with one mismatch. It does not include the Relatives of Missing Persons, Forensic Mixture Alaska and Forensic Partial Alaska specimen categories.

3.3.2 SDIS only

The SDIS only configuration requires that profiles have at least 6 of the CODIS core loci. Matches will be returned for samples that match at moderate stringency with no mismatches.

When searched with these search parameters, some forensic profiles (such as mixture profiles, partial profiles, and profiles that are homozygous at several loci) may result in a large number of ambiguous candidate matches. The search configurations may be customized to high at some loci to allow for a more efficient search. If a sample has less than 6 loci, the analyst will need to modify the SDIS only configuration to require less than 6 loci to report a match. Customization of the search configurations must be done with careful consideration. The main goal is to not erroneously eliminate the actual perpetrator from the pool of candidates by improper stringency customization when the search is conducted.

CODIS analysts should seek the assistance of a CODIS Administrator or another qualified analyst for non-routine searches.

3.3.3 Duplicate Offenders

The Duplicate Offender configuration is used to search for offenders with more than one offender sample in CODIS. This search is performed after an upload of an offender batch to SDIS, and before the batch is uploaded to NDIS. Approximately 5% of the samples in an offender batch will be quality control samples. These samples may be staff duplicates, previously typed offender samples, or an offender duplicate for a sample in the current run. The results of the duplicate offender search will be checked to determine if the matching samples are indeed duplicate samples from the same offender, or in some cases, samples from identical twins.

When the samples were anticipated to match, one of the samples should have been uploaded with the specimen category of CO duplicate. These matches simply need to be dispositioned as Offender Duplicate.

When the match was not expected, the following steps are taken:

- Assess the profiles to determine if they are likely from the same source. Disposition as a No Match if there are more than two inconsistent locus and one of the profiles is not known/likely to be partial.
- If the profiles are likely from the same source, compare the biographical information (name/DOB at a minimum). If the biographical information is consistent, disposition as Offender Duplicate.

- If the profiles are likely from the same source but the biographical information is inconsistent, consult with a CODIS Administrator for assistance. The administrator will reference the Alaska Public Safety Information Network (APSIN) and may ask a latent examiner to do a side by side comparison of the thumbprints from the database cards to resolve the discrepancy.
- The following outcomes are possible:
 - Information needs to be corrected in APSIN (via Records & Identification [R&I] staff)
 - Information needs to be corrected in LIMS
 - Discrepancy cannot be resolved and sample/profile are administratively removed as previously described. **Notify DNA Technical Manager** to discuss possibility of a sample switch or contamination within the batch.

***Samples from the batch with the discrepancy will not be uploaded to NDIS until the discrepancy is resolved and/or approval is received from the DNA Technical Manager.**

Once the samples are confirmed as duplicates, update the specimen category of one of the samples as follows:

- If samples have the same specimen category (i.e. both arrestees or both convicted offenders), the specimen category of the sample with the most complete profile remains as is and the other is changed to CO Duplicate.
 - If both profiles are complete, the most recently entered is changed to CO Duplicate.
- When the match is between a convicted offender sample and an arrestee sample, the specimen category for the arrestee is changed to CO Duplicate.
 - If the convicted offender sample is incomplete at the original 13 core CODIS loci or a less complete profile overall, it can be changed to CO duplicate and the arrestee sample changed to Convicted Offender.
- If the original sample was not at NDIS, it will be necessary to manually mark it for upload.

If a sample already at NDIS is changed to CO Duplicate, the sample is automatically unmarked and removed from the NDIS level upon the next upload from the state laboratory. This will be indicated on the next reconciliation report from NDIS.

Once all matches from the search have been reconciled, Staff Duplicate samples (processed and uploaded as part of the 5% quality assurance samples) and Staff Duplicate matches may be deleted. This is done periodically by a CODIS Administrator.

3.3.4 Search Requests from/to Agencies Outside of Alaska

Occasionally, the laboratory receives requests from law enforcement and other agencies outside the State of Alaska for searches of the Alaska database. Requests from the FBI, Interpol and other CODIS Administrators may be searched. The request must be received on the Laboratory to Laboratory DNA Search Request form available on the CJIS SEN (similar forms acceptable). All such requests will be directed to the State Administrator, or designee, who will process the search request.

When a request is received from someone in another state, other than the state's CODIS Administrator, the person will be asked to contact their state's CODIS Administrator to have the request made. Alternatively, the Alaska State Administrator may contact the other state's administrator to discuss the request.

Routinely, only profiles with six or more loci in common with the STR loci utilized by the laboratory will be searched. However, at the discretion of the State Administrator fewer than six loci may be searched.

An administrator will search the profile using searcher and respond to the requesting lab with a match detail report, via e-mail. Occasionally, it may be appropriate to run an offender with the expanded core to assess a possible match. For profiles with no matches or matches determined to be a No Match, the search request, match report and any written response to the request will be retained by the State Administrator. These matches do not need to be saved to Match Manager.

CODIS matches (not determined to be a No Match) generated as a result of such requests will be dispositioned as User Defined #1, and confirmed and reported in the manner outlined in Section 3.6, with due consideration given to the specific needs of the requesting agency. These matches should be saved to Match Manager.

Requests can be made by law enforcement agencies within the State of Alaska for searches of the CODIS Indices of other states.

The request, made in writing or verbally, will be brought to the attention of the State Administrator, who will make the official written request for the search. The State Administrator, or designee, may contact other State Administrators directly, to search the profile, or may make a request via the CODIS-SA group. Requests to

other State Administrators will be made in writing, using the Laboratory to Laboratory DNA Search Request form available on the CJIS SEN. All documentation related to such requests will be retained in the case record in LIMS.

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CODIS matches generated as a result of such requests will be confirmed and reported in the manner outlined in Section 3.6 using information provided in writing by the other state. The search results and other information regarding the match received from the other state(s) will be retained in the case record.

Requests can be made by law enforcement agencies within the State of Alaska for a search of the DNA databases of foreign countries via Interpol. The request, made in writing or verbally, will be documented in the case record and brought to the attention of the State Administrator, who will make the official request.

3.4 Uploading data to NDIS

DNA profiles that meet NDIS criteria as well as criteria specified in this document may be subsequently uploaded to NDIS.

Only data from users authorized by the FBI will be entered into CODIS. Required documentation will be completed for each potential CODIS user (defined by NDIS as personnel who have log on access to the CODIS server and/or are qualified DNA analysts who are responsible for producing the DNA profiles stored in NDIS) and provided to the FBI for security clearance. Current requirements can be found on the CIS/SEN and/or in the current version of the NDIS Operational Procedures.

Only data in SDIS that complies with the Memorandum of Understanding signed between the FBI and the Department of Public Safety, the NDIS Procedures Manual, the NDIS Standards for Acceptance of DNA Data, and the FBI's "Quality Assurance Standards for Forensic DNA Testing Laboratories" and "Quality Assurance Standards for DNA Databasing Laboratories" will be uploaded to NDIS.

The State Administrator, or designee, will be responsible for uploading eligible DNA profiles to NDIS. Alaska does not collect or upload profiles from suspects or juvenile arrestees.

STR profiles from forensic samples that can be "attributed to the putative perpetrator", contain results at 8 or more of the CODIS core STR loci, and meet the MME/MRE requirements as in section 3.1.3., are uploaded to NDIS. New Convicted Offender and Arrestee profiles, with data at all 20 of the core STR loci, are uploaded to NDIS. Profiles from unidentified human remains, missing persons and relatives of missing persons must contain the Amelogenin locus to be uploaded to NDIS.

Periodically, typically at least twice a month, a CODIS Administrator will upload eligible samples to NDIS. A view has been created in Specimen Manager for samples that are marked for upload. The Administrator will reconcile the view with forensic and offender samples that have been technically reviewed and are eligible for NDIS.

- If the Administrator has been provided SDIS details for upload or the samples are in a project in the folder for NDIS upload, and the samples are not marked, they will need to be marked manually.
- Samples in the view for which the administrator has not been provided an SDIS details report will be unmarked and manually remarked once they are ready for upload. The administrator retains a list of samples that have been unmarked until they are uploaded.

Typically, the upload will be an Incremental Upload, except when Full uploads are specifically requested by NDIS or the FBI contractor.

Once an upload has been processed by the NDIS custodian, a reconciliation report will be received via the CODIS software. The CODIS Administrator will reconcile the report with database batch worksheets and with the Specimen Detail Reports provided by the DNA analysts. The second administrator will also review the reconciliation reports to confirm the upload of eligible forensic profiles to NDIS. This review is indicated by the administrator's initials on the first page of the report. Reconciliation reports (except the pages solely listing uploaded offender/arrestee samples) are retained by the State Administrator.

All complete DNA profiles uploaded to NDIS are regularly searched at NDIS against the eligible DNA profiles from other states.

Matches obtained as a result of such searches will be sent to SDIS automatically via the CODIS software. These matches will be reviewed by a CODIS Administrator, or designee, who will communicate with the other laboratory agencies and the laboratory analysts to ensure timely disposition, confirmation and reporting of any hits.

The evaluation and confirmation of NDIS hits will be in accordance with the NDIS procedures (most current version, published by the FBI, US-DOJ), and Section 3.6 of this document, with due consideration given to the requirements and needs of the other state(s) involved in the NDIS match.

3.5 Match Dispositions

Matches are assessed and dispositioned by a CODIS Administrator or a qualified DNA analyst. Matches that have not been viewed show the disposition as Candidate Match. Once viewed, the match disposition becomes Pending.

Each possible match is assessed by a locus to locus comparison of all available loci. When one or both of the matching samples are mixtures, it may be necessary to review the electropherograms from which the profiles were obtained to assess the match. Candidate matches, at less than high stringency, between an offender and an unknown forensic specimen or between two forensic specimens require assessment by two qualified analysts. This assessment is documented by the name/initials of both analysts (along with the disposition) on the match details report (for true matches) and in CODIS. Matches that do not require confirmation as a hit should be assigned a disposition (by right-clicking on the match) as soon as possible after it has been assessed. Matches that require confirmation and reporting are left as pending until the confirmation is completed and the CODIS communication is being drafted for review.

- No match
 - The initials of both analysts should be added to the match notes (ex. confirmed by MLC/CMD) or on the match details provided to a CODIS Administrator.
- Conviction match
 - Profile that has already been identified with DNA then matches an offender sample in the database
 - Apparent conviction matches with other states can be confirmed verbally or in writing (via secure e-mail or password protected .pdf) with the other State Administrator. When possible, both the name and date of birth of the offender should be confirmed. The e-mail is retained in outlook and a match note is added in CODIS
- Benchwork match
 - Two profiles are identified as being from the same person or two cases are submitted as being related (cross-referenced by agency) and then, the profiles match in the database. This is only used when the link was known with certainty prior to entering the profiles in CODIS.
- Investigative information
 - A match in the database that links two cases where the source was already identified via a known submitted in casework or a previous match in CODIS. These matches must still be reported to the submitting agencies. A match note should be added regarding this notification (ex. both sources prev ID, match reported in hit letter for 21-12345)

- A match where one of the specimens is found to be ineligible for CODIS. A match note should be added (ex. non-qualifying offender, consent partner).
- Duplicate
 - A match between a casework profile and an offender duplicate. A match note should be added referencing the initial match (ex. match to CO dup; see AA12345)
- Duplicate match
 - A second match between two identical specimen IDs (happens when labs split)

The following match dispositions are defined specifically in the Alaska laboratory as follows:

User defined – the dispositions identified as User Defined are available for the laboratory to assign when matches arise that are not defined by any of the other available dispositions. These are defined as below for the Alaska SDIS. User defined dispositions should not be used for matches occurring at NDIS.

User defined #1 – this disposition is used when a sample that was searched as a one-time keyboard search hits to another sample in the database.

User defined #2 – this disposition is used when a volunteer sample hits to a forensic sample in the database

User defined #3 – this disposition is used when two samples that match with high stringency are not from the same individual or an identical twin (i.e. a bone marrow donor and recipient)

The State Administrator will periodically run queries for matches with discrepant dispositions and matches that still require a final disposition. These matches should be reconciled in a timely manner whenever possible.

Once all matches have been reviewed and properly dispositioned for a given month, the State Administrator (or designee) will generate a list of matches for the month, and their dispositions. The administrator will confirm all dispositions and verify that Alaska casework matches dispositioned as No match and all moderate stringency Alaska casework matches were reviewed by two qualified analysts. This report will be initialed and retained by the State Administrator.

3.6 Confirming and Reporting a Candidate Match

A hit is a match that results in the identification of the source of an unknown sample, or that links two cases where at least one of the sources is unknown. Every effort is made to ensure that only qualifying forensic and offender samples are entered into the database. The laboratory presumes that agencies submitting offender samples to the laboratory collect only from individuals who qualify under Alaska Statute. However, specimen eligibility will be confirmed for all matches prior to reporting to law enforcement. All hits and releasable matches disposition as Investigative Information must be reported to the affected law enforcement agencies.

Whenever possible, candidate matches should be resolved and reported, if appropriate, within 30 days (and within 14 days of receiving personally identifiable information from another laboratory). In general, the casework analyst that identifies the match or that worked a case involved in the match is responsible for initiating the confirmation process, dispositioning the match and authoring the hit letter. A CODIS Administrator may also complete the process and author the letter. While confirmation is in progress, a match note to that effect should be added to CODIS.

When the hit results in the identification of the source of a sample, the source ID should be changed to Yes. If at least one probative source of DNA remains unidentified [in a mixture], the source ID remains No. A comment is added to the specimen record regarding the identification of one source.

All CODIS hit letters require an administrative review prior to release. This review is conducted using the review procedure contained in this manual. A working copy of the checklist may be used to facilitate the review.

The following documentation is retained (for reported matches/hits) as part of the case record in LIMS: match detail reports, LIMS individual report with scanned database print card, communication from other CODIS lab (for interstate matches).

The extent to which a hit requires confirmation depends on whether the hit is a Warm hit or a Cold hit. A Warm hit is one where the samples were previously suspected to originate from the same source. For example, forensic samples from unsolved burglaries with similar MOs (modus operandi) or a forensic sample from an assault victim matches an offender sample from a named suspect for whom no reference sample was available. A Cold hit is one in which there was no prior indication that the cases or individuals may be related.

On occasion, when there is a severe and immediate threat to public safety, the laboratory may choose to release the name of an offender prior to completing a re-analysis of the offender sample to confirm the profile. This is done at the discretion of

a CODIS Administrator, or designee. Confirmation of the biographical information and qualifying offense is still required prior to release and the profile will still be confirmed at the earliest possible time.

Whenever a CODIS hit letter is issued, the final hit disposition and number of investigations aided will be recorded in the appropriate record in LIMS. The analyst will click on the Case Activities button on the Case Info tab, scope the activity using the Context drop down menus (as shown in Figure 1), and select the appropriate disposition in the Activity drop down menu. Investigations aided, if applicable, are recorded on the Testimony drop down menu (as shown in Figure 2). For intrastate forensic hits, a hit is only recorded in one of the case records. In the other record, the activity is recorded as Investigative Information. For SDIS hits, the original match date is recorded as the start date for the activity. For NDIS hits, the start date is the date that the confirmation request was received. The end date is the date the hit letter is submitted for review. If a match disposition is modified after receiving additional information, this may be recorded in the notes field.

3.6.1 Intrastate Offender/Arrestee to Unidentified Forensic Unknown

The following procedure describes the confirmation process for hits with Alaska offenders/arrestees. Confirmation for matches to forensic specimens from another lab will not proceed until a confirmation request is received from the other lab.

Steps 3 and 4 may be completed concurrently to decrease the turnaround time for confirmations and hit reporting. Create a CODIS communication request in the forensic case record in the LIMS.

- 1) Verify the specimen eligibility of the forensic specimen (Alaska forensic specimen)
- 2) Relate the offender and forensic case records in the LIMS.
- 3) Obtain the offender print card from CODIS storage
 - a) If the print card has not been submitted to R&I for verification, request print verification by a qualified latent examiner
 - b) Consult a CODIS Administrator when the prints are verified to an APSIN # other than the one on the print card
 - c) Confirmation may proceed when the prints cannot be verified owing to poor or no prints on the card or no prints on file for comparison. This shall be included in the CODIS communication
- 4) Scan the print card onto the individual report from LIMS and provide to the designated individual for verification of the qualifying offense
 - a) Stop and refer to Section 3.2.1 for non-qualifying offenders.
 - b) Matches to offender samples collected "in good faith" may be reported at the discretion of the legal representative.
 - c) If the sample was legally collected, but a qualifying offense no longer exists, the laboratory may release information relating to the match as long as a court

- order to expunge the sample has not been received at the discretion of the legal representative or designee. The DNA profile and personal information may be retained until a court order to expunge is received by the laboratory.
- 5) Verify the offender profile via one of the following means
 - a) The offender and the named suspect have the same name (and DOB if available)
 - b) Concordance with a previously analyzed duplicate offender sample
 - c) Concordance with a previously analyzed casework known
 - d) Offender information verified via an NDIS conviction match
 - e) Offender previously matched to a case where they were named as a possible source (i.e. a warm hit)
 - f) If none of the above are available, the second swab of the offender sample is analyzed via a CODIS confirmation request in the offender record in LIMS. The original profile is placed in the appropriate bin in the Forensic Biology office area (SDIS details or match detail report) to facilitate the concordance check by the analyst completing the CODIS confirmation request. A CODIS Administrator and/or DNA Technical Manager must sign off on a profile confirmation when less than 50% of the original core alleles are confirmed at 60 rfu.
 - i) If the sample was consumed during the original analysis (no second swab submitted), a duplicate offender sample may be analyzed provided the prints for the duplicate have been verified to the same APSIN number as the original sample.
 - ii) If verification of the offender profile is not possible, this shall be stated in the CODIS communication.
 - 6) Once all confirmation steps are completed and any discrepancies are successfully resolved, proceed with reporting as in section 3.7.

3.6.2 Interstate Offender/Arrestee to Unidentified Forensic Unknown

The following procedure describes the confirmation process for hits with offenders/arrestees from outside of Alaska.

- 1) Verify the specimen eligibility of the forensic specimen (Alaska forensic specimen)
- 2) Create a CODIS Communication request to request confirmation from the out of state lab. See section xxx for content. No CODIS metrics are recorded at this time.
- 3) Create a CODIS Communication request for reporting the hit to law enforcement.
- 4) Once the confirmation response is received from the other lab, proceed with reporting as in section 3.7.

3.6.3 Intrastate Forensic to Forensic (at least one specimen is unidentified)

The following procedure describes the confirmation process for hits between two unidentified forensic specimens, or one identified and one unidentified forensic specimen, when both of the samples are from the Alaska lab.

- 1) Verify the specimen eligibility of both forensic specimens
- 2) Create a CODIS Communication request in the case record of the unsolved case or, if both cases are unsolved, in the case record of the most recently entered case.
- 3) Proceed with reporting as in section 3.7.

3.6.4 Interstate Forensic to Forensic (at least one specimen is unidentified)

The following procedures describe the confirmation process for hits between two unidentified forensic specimens, or one identified and one unidentified forensic specimen, when only one of the samples is from the Alaska lab.

3.6.4.1 Both Specimens Unidentified

- 1) Verify the specimen eligibility of the Alaska forensic specimen
- 2) Contact the other lab via phone or e-mail to confirm that their source is still unknown.
 - a. If yes, request case information via the case exchange form. If the form (or pertinent information) was already received from the other lab, complete the remainder of the form. This exchange may occur without the form if that is how the exchange was initiated by the other lab. Proceed to the next step.
 - b. If no, go to section 3.6.3.2
- 3) Create a CODIS Communication request for reporting the hit to law enforcement.
- 4) Once the case information is received from the other lab, proceed with reporting as in section 3.7.

3.6.4.2 Alaska Specimen is Unidentified

- 1) Verify the specimen eligibility of the Alaska forensic specimen
- 2) Create a CODIS Communication request to request confirmation from the out of state lab. See section 3.7 for content. No CODIS metrics are recorded at this time.
- 3) Create a CODIS Communication request for reporting the hit to law enforcement.
- 4) Once the confirmation response is received from the other lab, proceed with reporting as in section 3.7.

3.6.4.3 Alaska Specimen Previously Identified

Confirmation for matches to forensic specimens from another lab will not proceed until a confirmation request is received from the other lab.

- 1) Verify the specimen eligibility of both forensic specimens
- 2) Create a CODIS Communication request for reporting the Alaska case information to the other lab.
- 3) Proceed with reporting as in section 3.7.

3.6.5 Forensic to Forensic (both cases solved)

Notification to law enforcement must occur even in matches where both of the cases have previously had their sources identified. This is also done via a CODIS Communication.

- 1) Verify the specimen eligibility of the Alaska forensic specimen(s).
- 2) Create a CODIS Communication request in the case record. If both cases are from Alaska, the request is created in the record of the most recently entered case.
- 3) If one of the cases is from outside of Alaska, exchange information with the other lab using the case exchange form. This exchange may occur without the form if that is how the exchange was initiated by the other lab.
- 4) Proceed with reporting to law enforcement as in section 3.7.

3.6.6 Discrepancies Identified During the Confirmation Process

These situations will be addressed on a case by case basis. A CODIS Administrator should immediately be notified when any of the following occur during the confirmation process. When the discrepancy may be the result of a technical issue, the DNA Technical Manager should also be notified.

- It is determined that the Alaska sample (regardless of specimen category) is not eligible for CODIS entry or should have been removed previously. The department's legal representative (or another designated individual) will also be consulted regarding the appropriate course of action.
- The DNA profile obtained during the confirmation process is not consistent with the profile already in the CODIS database
- A CODIS match brings to light that a profile interpretation may have
- A known forensic sample matches an offender whose identity is not consistent with the known source of the forensic sample.

If it is determined that the match cannot be reported, the match will be dispositioned as Investigative Information. Ineligible samples and samples where the accuracy of the profile is in question will be removed from CODIS as per Section 3.2. If an offender hit cannot be released, the source ID for the forensic specimen should remain or be returned to Source ID No.

For matches involving another laboratory, the CODIS Communication request is used to communicate the reason for non-reporting of the match. Consult with a CODIS Administrator for reporting language.

For SDIS matches, the CODIS communication request is cancelled.

3.7 CODIS Communication Reports

The following reporting guidelines and may be modified as appropriate to ensure the necessary and available information is communicated.

CODIS Communications are distributed to all relevant agencies and case officers.

The current CODIS Procedure Manual version is entered in the Reviewer notes field in the LIMS request.

The term "offender" is used in reports and is inclusive of both convicted offenders and arrestees.

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If the laboratory reports a hit and is later advised that a match is not probative (case was previously solved or the source of the DNA is not a putative perpetrator), the case activity (in LIMS) and disposition in CODIS are changed to Investigative Information. The Investigation Aided is removed from the activity in LIMS and the communication is recorded in the LIMS.

Notification of Completed Expungement

RE: SOA v. [offender name], [court case #], Expungement of DNA Sample and Record

As requested in your letter dated [date], and in compliance with the court order issued by Superior Court Judge [name], the DNA sample and records pertaining to the DNA sample collected from [offender name] following his/her arrest in the above referenced case, have been destroyed. Please do not hesitate to contact me with any questions at [e-mail] or [phone].

All Hits / Matches Reported

Match Level: [State DNA Index System] or [National DNA Index System]

Match Stringency: [High] or [Moderate]

Match ID:

Specimen #1: [spec ID], [lab ORI], [item description], [qualifying offender, single source, mixture, partial]

Specimen #2: [spec ID], [lab ORI], [item description], [single source, mixture, partial]

This match has been confirmed and this is to inform you of a possible investigative lead related to the casework specimen(s).

If you have any questions, please contact the reporting analyst or a CODIS Administrator:

Michelle Collins, (907)269-5620 or michelle.collins@alaska.gov

Jennifer Foster, (907)269-4074 or Jennifer.foster@alaska.gov

Hits with Alaska offenders

Individual information for [spec ID]:

Name:

DOB:

Alaska State ID: if known

FBI #: for reporting out of state only

Qualifying offense: for reporting out of state only

Offender whereabouts: for reporting out of state only, if known

Offender profile: confirmed

Identity: confirmed

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Forensic Hits or Matches where the source of Alaska casework specimen(s) is known

Individual information for [spec ID]:

Name:

DOB:

Alaska State ID: if known

FBI #: for reporting out of state only

Alleged offense: for reporting out of state only

Offender whereabouts: for reporting out of state only, if known

Offender profile: confirmed

NDIS Forensic Hits or Matches

The following agency contact information was provided for the [state] law enforcement agency:

Contact name:

Agency:

Agency case #: if provided

Agency case type and year: if provided

Address: if provided

Phone: if provided

E-mail: if provided

The following agency contact information was provided to the [state] lab, to forward to their law enforcement agency:

Contact name:

Agency:

Agency case #:

Agency case type and year:

Phone:

E-mail:

NDIS Forensic Hits or Matches

Please respond with contact information for your investigating agency and information regarding the identity of the source of your forensic specimen, if known.

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Offender Hits to Alaska law enforcement

It is recommended that your agency obtain and submit to the Alaska Scientific Crime Detection Laboratory a legal reference buccal sample from the individual (with a documented chain of custody) that could be used in future legal proceedings.

Offender Hits to Out of State Lab

It is recommended that your agency obtain a legal reference buccal sample from the individual (with a documented chain of custody) and that this sample be analyzed in your laboratory.

All Hits/Matches to Alaska law enforcement

Please provide the reporting analyst with information regarding the current status of your case(s) and the probative nature of the match. [You must notify the laboratory if the offender named above is determined not to be a perpetrator in this case].

Additions when offender profile or prints could not be confirmed

- The offender profile could not be confirmed by reanalysis (as the sample was consumed during the initial processing), but the identity has been confirmed by latent prints.
- The offender profile has not yet been confirmed by reanalysis in order to provide expedited notification of this hit. You will be advised if the offender profile is not confirmed.
- The laboratory was not able to verify the identity of the offender by latent prints as
 - the prints submitted with the offender sample were of insufficient quality.
 - no prints were submitted with the offender sample.
 - there were no prints on file for comparison

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Offender Confirmation Requests

Match Level: [State DNA Index System] or [National DNA Index System]

Match Stringency: [High] or [Moderate]

Match ID:

Specimen #1: [spec ID], [lab ORI], [item description], [single source, mixture, partial]

Specimen #2: [spec ID], [lab ORI], [item description], [single source, mixture, partial]

Please begin the match confirmation process. Once the process is completed, please respond with the match disposition, the offender's name and at least one additional piece of identifying information, and last known whereabouts, if available.

3.8 Recording CODIS Metrics

CODIS Metrics are recorded in the data extension fields for the CODIS Communication request.

3.8.1 All Matches / Hits

The screenshot shows a web-based form for recording CODIS metrics. It features three tabs at the top: 'Required for All Matches' (active), 'Additional Data for NDIS Matches / Hits', and 'Metrics for Identifications of Remains / Persons'. The form is organized into two identical sections for 'Match 1' and 'Match 2' (labeled '2nd hit'). Each section contains the following fields:

- Match Date:** A date-time input field with a calendar icon.
- Date Submitted for Review:** A date-time input field with a calendar icon.
- Communication Type:** A dropdown menu.
- Match / Hit Level:** A dropdown menu.
- Match / Hit Type:** A dropdown menu.
- Cold or Warm Hit (Match to Named Suspect?):** A dropdown menu.
- # Investigations Aided:** A numeric input field with up/down arrows.
- Match Date (for 2nd hit):** A date-time input field with a calendar icon.
- Communication Type (for 2nd hit):** A dropdown menu.
- Match / Hit Level (for 2nd hit):** A dropdown menu.
- Match / Hit Type (for 2nd hit):** A dropdown menu.
- Cold or Warm Hit (for 2nd hit):** A dropdown menu.

At the bottom of the form are two buttons: a green 'OK' button with a checkmark and a red 'Cancel' button with an 'X'.

Cold / Warm hit information refers to matches with an offender/arrestee/volunteer sample. If the individual was named as a suspect or was otherwise believed to be a possible source of the DNA, the hit is a warm hit.

An investigation aided should only be recorded the first time an unidentified/unsolved forensic profile is involved in a hit and the forensic specimen is from the Alaska lab. When two unidentified/unsolved forensic profiles hit to each other, two investigations are aided. An investigation aided should not be counted twice for the same case.

3.8.2 NDIS Matches / Hits

The following additional information is recorded, when available, for NDIS matches/hits.

ⓘ Required for All Matches
Additional Data for NDIS Matches / Hits
Metrics for Identifications of Remains / Persons

Date Confirmation Requested

yyyy-MMM-dd hh:mm:ss tt

📅

🕒

State for NDIS matches / hits

▼

Case Type for Interstate Investigations

▼

Case Year for Interstate Investigations

▲

▼

OK ✓

Cancel ✕

3.8.3 Metrics for Identification of Remains / Unidentified Persons

The following additional information is recorded, when available, for hits that result in the identification of remains/unidentified persons. Unless the laboratory is advised that the medical examiner has made an official identification based on the DNA match, the Identification Type is recorded as Putative.

ⓘ Required for All Matches
Additional Data for NDIS Matches / Hits
Metrics for Identifications of Remains / Persons

Identification Type

▼

Location of Remains

▼

OK ✓

Cancel ✕

3.9 Review of CODIS Communications

All CODIS Communications and Case Exchange forms require an administrative review prior to release. The uncontrolled review checklist may be used to facilitate the review. The checklist may be discarded once the review is completed.

The review of case exchange forms for accuracy is documented by the initials and date of the reviewer on the form.

The review of CODIS Communications includes the following content and is documented via milestones in the LIMS.

- Cases related in LIMS, if intrastate
- Match disposition updated in CODIS, source ID updated
- Match level, stringency and ID included in communication
- Specimen eligibility verified (qualifying offense documented in case activities)
- Correct specimen information, including type of profile
- Where appropriate the following language is included
 - “This match has been confirmed and this is to inform you of a possible investigative lead related to the casework specimen(s). Please provide the reporting analyst with information regarding the current status of your case(s) and the probative nature of the match. [You must notify the laboratory if the offender named above is determined not to be a perpetrator in this case].”
 - “Please respond with contact information for your investigating agency and information regarding the identity of the source of your forensic specimen, if known.”
 - “It is recommended that your agency obtain and submit to the Alaska Scientific Crime Detection Laboratory a legal reference buccal sample from the individual (with a documented chain of custody) that could be used in future legal proceedings.”
 - “It is recommended that your agency obtain a legal reference buccal sample from the individual (with a documented chain of custody) and that this sample be analyzed in your laboratory.”
- Where appropriate:
 - Individual information for Alaska Offenders / identified forensic specimens: name, DOB, Alaska State ID, FBI #, qualifying offense, offender whereabouts, profile confirmed, latents confirmed.

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- For case to case NDIS matches:
 - Agency contact information for Alaska law enforcement
 - Agency contact information for out of state law enforcement
- For confirmation requests
 - “Please begin the match confirmation process. Once the process is completed, please respond with the match disposition, the offender's name and at least one additional piece of identifying information, and last known whereabouts, if available.”
- Disclosure of unverified profiles or latents
- CODIS Metrics recorded
- CODIS SOP linked to request in LIMS

3.10 Partial Matches and Familial Searching

Occasionally, a candidate match may occur between two samples where it is determined that the samples are not from the same source. However, based on the degree of similarity between the profiles, it is possible that the samples are from close biological relatives. Personally identifiable information will only be released when the two samples are determined to likely be from the same source. In instances where it is determined that the offender profile and the forensic profile are likely not from the same source, no information about the offender will be released.

Likewise, the laboratory will not request confirmation, or the release of personally identifiable information, for a partial match with another state.

When an out of state laboratory requests personally identifiable information on an Alaskan offender involved in an NDIS partial match, the department attorney will be consulted to determine whether the information can be released.

Familial searching describes an attempt to identify the source of a forensic sample by searching the CODIS database for close biological relatives of the source. Familial searching is not currently performed by the laboratory.

3.11 Hit counting

One of the responsibilities of a CODIS Administrator is monthly reporting of the state's hits to NDIS. Hits for a calendar month should be reported on the CJIS SEN by the 10th of the following month. After the 10th, hit counts can be e-mailed to the NDIS unit.

Hit counting is a complex process and the rules for counting hits and investigations aided are detailed in the NDIS Procedures.

3.12 CODIS Security

The Department of Public Safety's (DPS) Information Technology (IT) unit will have at least one individual who has been cleared by the FBI as a CODIS IT User. In coordination with the State Administrator, this person may perform hardware and software updates/upgrades to the CODIS computers and backups of the data on the server. These duties may also be performed by the State Administrator. The CODIS IT User will also assist with troubleshooting computer issues that may arise in the daily operations of CODIS.

The CODIS server and three CODIS workstations are housed in the Forensic Biology office area of the laboratory. The office area is accessible to laboratory staff and authorized IT personnel. Login access to the CODIS computers is restricted to authorized CODIS/IT users. The CODIS router is located in the IT section of DPS. The server and workstations are not maintained on the network with other laboratory computers and do not have access to the internet.

3.12.1 CODIS User Security Requirements

CODIS Administrators have elevated user accounts (username) and shall use these accounts to login when performing administrator functions.

CODIS Administrators retain CODIS user documentation related to all account types. Users will be provided with CODIS client login access once clearance is received from NDIS. Users are not given login access to the CODIS software until the relevant portions of their training are completed. Training activities are completed under the supervision of a qualified analyst with login access.

Upon receiving notification that a CODIS IT user has left employment, the CODIS Administrator will promptly put a stop date on the account. For laboratory staff with CODIS website or software access, a CODIS Administrator will put a stop date on the account equal to the employees expected last day of employment.

3.12.2 CODIS Server/Client Requirements

When possible, a CODIS Administrator will apply windows and antivirus updates (to the server and each workstation) on a weekly basis, or as they are available. The updates may be provided by NDIS via the CJIS SEN. Alternatively, updates may be provided by authorized IT personnel.

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Software upgrades/patches/fixes for off the shelf software (residing on a CODIS computer) are applied within 30 days of release, when possible.

Encrypted full backups of the database, to an off-site server, are conducted at least once a week. The back-ups are monitored by either the CODIS Administrator or a CODIS IT user. The back-up should be tested on a quarterly basis, when possible.

Appendix A **Revision History**

2021 R0 page	2019 R0 page	Location	Revision made
n/a	n/a	Entire document	<p>Corrected grammatical and spelling errors, and formatting as required.</p> <p>Updated page and section numbers, as appropriate</p> <p>Updated references to other documents/manuals, as appropriate</p> <p>Reformatted to highlight step by step processes.</p> <p>Removed actions that are redundant and provided in another discipline manual in greater detail.</p> <p>Updated storage locations for records</p>
5	5	Section 1.3	Added requirement to validate/performance check CODIS software updates in accordance with Standard 8 of QAS standards.
6-7	6-7	Section 2.1	Updated CODIS administrator responsibilities to align with FBI QAS updates.
9	9	Section 3.1	Updated to reflect that record of technically reviewed update to an offender record is retained in the LIMS
10	10	Section 3.1	<p>Added forensic targeted and forensic targeted Alaska as accepted specimen categories at SDIS.</p> <p>Added underlined sentence on page, regarding consent form for missing person relatives.</p>
11-12	11	Section 3.1.1	<p>Updated to incorporate forensic unreviewed specimen category for manual entry of offenders, etc. pending review of entry.</p> <p>Updated to account for electronic review.</p> <p>Updated storage location for batch documentation.</p> <p>Removed step regarding use of Searcher</p>
13-14	13-14	Section 3.1.3.1 (formerly 3.1.3)	<p>Updated procedure for entering forensic unknown profiles.</p> <p>Removed step regarding use of Searcher</p>
14	n/a	Section 3.1.3.1.1	Added section

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15-17	15-16	Section 3.1.3.3 (formerly 3.1.3.2)	Updated the procedure for entering partials and mixtures, added the forensic targeted and forensic targeted Alaska specimen categories. Removed step regarding use of Searcher
17	16	Section 3.1.3.4 (formerly 3.1.3.3)	Added that entries for missing persons and remains should only include complete loci. Added reference to volunteer form and conditions under which relative samples are removed from CODIS.
29	20	Section 3.3	Moved information on match follow-up to section 3.6
22-23	21-22	Section 3.3.3	Added steps for resolving matches from the Duplicate Offender search
25-26	24	Section 3.4	Clarified a procedure for NDIS uploads.
27-28	25	Section 3.5	Added descriptions of common dispositions and action item for dispositioning matches.
28	25	Section 3.5	Removed requirement for alternate administrator to review monthly match reports. Reordered last two paragraphs in section.
29	26	Section 3.6	Added the requirement to release PII within 14 days of obtaining from another laboratory. Added last sentence in 2 nd paragraph about match notes while confirmation is in progress.
38-40	27-29	Section 3.6	Moved CODIS metrics to Section 3.8
30-34	30-39	Section 3.6	Reorganized and Reformatted all subsections. Added more detail on steps to take for different hit types
31	32	Section 3.6.1 (formerly 3.6.2.1)	Updated to indicate that profile confirmations can be analyzed at 60 rfu.
34	33	Section 3.6.6 (formerly in 3.6.2.1)	Added separate section to address discrepancies identified during confirmation.
34-38	44-50	Section 3.7 (formerly Appendix A)	Moved and Reformatted section on CODIS Communications (formerly hit letters)
38-40	27-29	Section 3.8	New Section
41-42	43	Section 3.9	New Section in lieu of checklist
43	40-41	Section 3.12 (formerly 3.9)	Updated location of CODIS server at the lab.
43	41	Section 3.12.1 (formerly 3.9.1)	Added procedures for CODIS user access and exit
43-44	41	Section 3.12.2 (formerly 3.9.2)	Added timeliness requirements for off the shelf software updates

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na	42	Expungement Checklist	Updated and Removed Expungement Checklist and made it a controlled form.
na	43	Review Checklist	Updated and Removed CODIS Communication Review Checklist and made it an uncontrolled form.
34-38	44-50	Appendix A	Updated content and moved to section 3.7
45-47	51-21	Appendix A (formerly Appendix B)	Updated