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Introduction

*References: NDIS Operational Procedures Manual, current version
FBI QAS for Testing and Databasing Laboratories (and associated Guidance Document),
current versions*

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. Upon receipt of the request, from an offender or their legal representative, a table is created containing the DNA data. Do not provide the Specimen Detail Report directly. The data is provided via mail (with return receipt) or secure e-mail. A record of the request and response are retained as attachments or case activities in the LIMS, depending on the communication method.

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.

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.

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

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). The CJIS SEN may be accessed via a CODIS workstation or the user’s state issued computer.

Upon successfully completing the test, the user receives a certificate that will be retained in the individual’s training records 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.

The CODIS State Administrator

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 in 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
- 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.

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.

The CODIS Software

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

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. On occasion, casework specimen entries may also require an update based on a CODIS match or further interpretation. Owing to software permission restrictions, modification may need to be coordinated with the original analyst or a CODIS administrator. These updates are completed as per [Appendix B](#).

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 "Specimen 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.

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 procedure for manually entering an offender profile is detailed in [Appendix C](#).

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 under 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.

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.

The procedure for entering a complete, single-source forensic profile is found in [Appendix D](#). This is to be completed prior to submitting the case for technical review.

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 a 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 the SDIS level.

For all eligible profiles, a CODIS Administrator will periodically provide submitting agencies with a summary of the Rapid program and the DISC form. Alternatively, for eligible profiles, the information may be referenced in the laboratory report issued to the submitting agency. 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.

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.

Matches between profiles in the DISC and rapidly enrolled arrestees result in an automatic Unsolicited DNA Notification (UDN) to the involved agencies. A CODIS Administrator will follow-up with the investigating agency within 3 business days, when possible, to ensure the agency received the UDN. A record of the communication will be retained in the case record in the LIMS. The source ID of the forensic profile will be updated to yes, the profile is removed from the DISC and the match disposition will be updated.

Booking Stations must be compliant with the National Rapid DNA Booking Operational Procedures Manual and Standards for the Operation of Rapid DNA Booking Systems by Law Enforcement Booking Agencies to participate in CODIS via Rapid DNA. There are currently no agencies within the State of Alaska who are approved for Rapid DNA at the booking station.

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 many ambiguous candidate matches, or that such a profile will frequently become an ambiguous candidate when searches are made of forensic profiles.

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 DNA analyst shall evaluate and enter mixture and partial profiles as described in [Appendix E](#).

Profiles of Missing Persons, Unidentified Human Remains, Relatives of Missing Persons, Volunteers and Staff Profiles

Profiles of these types are entered as described in [Appendix F](#).

Relatives of Missing Persons are entered into one of the following specimen categories: 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. 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.

When one of these profiles is removed from CODIS, a notification is provided to the investigating agency using the CODIS Removal service type in the LIMS. Sample language may be found in [Appendix N](#).

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.

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.

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).

Composite profiles are entered as described in the relevant Appendix. When composite genetic profiles are entered into CODIS, a comment to this effect should be included in the comments section during STR data entry.

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 established by the court order.

An [Expungement Checklist](#) is to be started in the following situations:

- a court order directing deletion of a profile from a Convicted Offender (including a juvenile) or Arrestee is received.
- A CODIS administrator is advised to remove a profile for a non-qualifying offender. This typically occurs during the confirmation process for a CODIS match.

The steps for completing an expungement / administrative removal are found in [Appendix G](#).

Offender 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 if no court order for expungement has been received by the laboratory. This will be determined by the legal representative (or designee).

Removal of Forensic Specimens from CODIS

When a forensic profile is removed from CODIS, a notification is issued to the investigating agency via a CODIS Removal request in the LIMS. Sample language may be found in [Appendix N](#).

The CODIS delete reports (SDIS and NDIS) are retained as attachments under the CODIS Removal request. These administrative removals do not require an Expungement Checklist, but an administrative review of the notification is required.

Samples Determined not to be from the Putative Perpetrator

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

Samples Determined not to be Interpretable or Suitable for Statistics under Current SOP

Occasionally, a match occurs to a forensic specimen that was entered [often many years ago] under less stringent interpretation guidelines and CODIS eligibility thresholds. When one of these specimens is encountered and it is determined that the specimen would not be interpretable/eligible for statistics under current SOP, the specimen should be removed.

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 (typically each weeknight). Additional configurations 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 this manual. Matches from manual searches are not saved as they will be duplicated in the nightly autosearch.

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.

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 SDIS only configuration will need to be modified to require less than 6 loci to report a match. Customization of the search configurations must be done with careful consideration and should not be done without consulting a CODIS administrator. 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.

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

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. The procedure for reconciling the results of this search is found in [Appendix H](#).

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 this manual, 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.

CODIS matches generated because of such requests will be confirmed and reported in the manner outlined in this manual, 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.

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 [Appendix E](#), 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 meet the requirements as in [Appendix F](#).

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.

Approximately monthly, a CODIS administrator will run a query to identify and upload eligible profiles that may have been overlooked.

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. A 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 as per the [NDIS Procedures](#).

Matches obtained because 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 this document, with due consideration given to the requirements and needs of the other state(s) involved in the NDIS match.

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 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. If the match is reported as a hit, this requirement is met if the reporting analyst and technical reviewer are both qualified analysts.

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 assessing 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

Arrestee Hit

Profile with the category of Arrestee is matched to a Forensic specimen where the source of the Forensic Specimen was unidentified prior to the match. The steps for confirming and reporting this type of match are in Appendices I-K.

Offender Hit

Profile with the category of Convicted Offender or Multi-allelic Offender is matched to a Forensic specimen where the source of the Forensic Specimen was unidentified prior to the match. The steps for confirming and reporting this type of match are in Appendices I-K.

Forensic Hit

A match between two profiles in Forensic specimen categories where the source of at least one of the Forensic specimens as unidentified prior to the match. The steps for confirming and reporting this type of match are in Appendices L and M.

Benchmark 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 previously 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). These matches are not reported, and the non-qualifying specimen is removed as previously described.

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)

This disposition may also be used when a specimen is entered in more than one way and both entries match to the same candidate. [ex. a forensic specimen is entered as a mixture and a deduced single source, and both match to the same offender]

Duplicate match

A second match between two identical specimen IDs (happens when labs split)

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. Matches, as described below, that occur at NDIS will have the disposition of Investigative Information. The User Defined disposition is added as a match note.

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)

User defined #4 – this disposition is used when a match is not assessed as one of the specimens does not meet the current MME/MRE thresholds and the sample should not have been searched.

User defined #5 – this disposition is used when one of the specimens in the match has an unresolvable discrepancy in the personally identifiable information (PII).

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 reviewed by the second administrator and retained by the State Administrator.

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).

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

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.

Once a match is viewed and the disposition changes from Candidate Match to Pending, the person who viewed the match must initiate the confirmation or alert the analyst or CODIS Administrator to do so. The match note field in CODIS is used to capture the current status of the match and the initials of the person responsible for the processing, dispositioning and reporting the match.

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.

All CODIS communications require an administrative review using the CODIS communication [checklist](#).

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, similar to the release of preliminary results (as outlined in the [Quality Assurance Manual](#)). Confirmation of the biographical information and qualifying offense is still required prior to the preliminary release of information. The routine confirmation procedure will continue, and the official release of information will occur as outlined in this manual.

Intrastate Offender/Arrestee to Unidentified Forensic Unknown

If the match is at less than high stringency or the forensic specimen is a mixture or partial profile, two qualified analysts must affirm that the samples match (or likely match), before proceeding with

The confirmation process for matches between Alaska offenders and forensic specimens is detailed in [Appendix I](#).

Interstate Offender/Arrestee to Unidentified Forensic Unknown

If the match is at less than high stringency or the forensic specimen is a mixture or partial profile, two qualified analysts must affirm that the samples match (or likely match), before proceeding with confirmation.

The confirmation process for matches between Alaska offenders and out of state forensic specimens is detailed in [Appendix J](#).

The confirmation process for matches between out of state offenders and Alaska forensic specimens is detailed in [Appendix K](#).

Intrastate Forensic to Forensic (at least one unidentified specimen)

If the match is at less than high stringency or the forensic specimen is a mixture or partial profile, two qualified analysts must affirm that the samples match (or likely match), before proceeding with confirmation.

The confirmation process for matches between two Alaska forensic specimens, where at least one is unidentified, is detailed in [Appendix L](#).

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

If the match is at less than high stringency or the forensic specimen is a mixture or partial profile, two qualified analysts must affirm that the samples match (or likely match), before proceeding with confirmation.

The confirmation process for interstate matches between two forensic specimens, where at least one specimen is unidentified, is detailed in [Appendix M](#).

Forensic to Forensic (both cases solved)

Notification to law enforcement must occur even in matches where both cases have previously had their sources identified. This is also done via a CODIS Communication and CODIS Communication Reprint requests. [Appendix L](#) can be followed for reporting these matches as well. When there are several matches between a series of cases with the same DNA source, multiple reprint requests can be used to report all the matches in a single letter.

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 locus was interpreted incorrectly, even though the analyst correctly interpreted the locus as per SOP
- 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 this manual. 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.

CODIS Related Communications

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

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

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 CODIS metric (in LIMS) and disposition in CODIS are changed to Investigative Information. The Investigation Aided is removed from the data extension field in LIMS and the CODIS software, and the communication is recorded in the LIMS.

Recording CODIS Metrics

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

All Matches / Hits

The screenshot shows a software interface with a blue header bar containing three tabs: "Required for All Matches" (selected), "Additional Data for NDIS Matches / Hits", and "Metrics for Identifications of Remains / Persons". Below the header, the form is organized into two rows of three fields each. The first row contains: "* Match Date" (text input with date/time format and calendar icon), "* Date Submitted for Review" (text input with date/time format and calendar icon), and "* Communication Type" (dropdown menu). The second row contains: "Match / Hit Level" (dropdown menu), "Match / Hit Type" (dropdown menu), and "Cold or Warm Hit (Match to Named Suspect?)" (dropdown menu). A third row of three fields is visible, starting with "# Investigations Aided" (spin button), followed by "Match Date (for 2nd hit)" (text input with date/time format and calendar icon), and "Communication Type (for 2nd hit)" (dropdown menu). A fourth row of three fields is also visible, starting with "Match / Hit Level (for 2nd hit)" (dropdown menu), followed by "Match / Hit Type (for 2nd hit)" (dropdown menu), and "Cold or Warm Hit (for 2nd hit)" (dropdown menu). At the bottom center, there are two buttons: a green "OK" button with a checkmark and a red "Cancel" button with a close icon.

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. This information is useful in determining whether additional profile confirmation is required, but is not always clear and therefore, recording this metric is not required.

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. This metric should also be recorded in the CODIS software.

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 State for NDIS matches / hits

yyyy-MMM-dd hh:mm:ss tt

Case Type for Interstate Investigations Case Year for Interstate Investigations

OK Cancel

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.

The screenshot shows a software interface with a dark header bar containing three tabs: 'Required for All Matches' (with a red warning icon), 'Additional Data for NDIS Matches / Hits', and 'Metrics for Identifications of Remains / Persons' (highlighted in blue). Below the header, the main content area is white and contains two dropdown menus. The first dropdown is labeled 'Identification Type' in green text and has a small downward arrow on its right side. The second dropdown is labeled 'Location of Remains' in green text and also has a small downward arrow on its right side. At the bottom of the interface, there are two buttons: a green 'OK' button with a white checkmark icon, and a red 'Cancel' button with a white 'X' icon.

Review of CODIS Communications

All CODIS Communications and Case Exchange forms require an administrative review prior to release. The [CODIS Communication review checklist](#) may be used to facilitate the review. The checklist may be discarded once the review is completed.

The completion of the review of CODIS Communications is documented via milestones in the LIMS.

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 a 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.

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](#).

Performance Monitoring Activities

Approximately once a month, a CODIS Administrator will query the CODIS software to identify eligible profiles not yet uploaded to NDIS and profiles that have been in the Forensic Unreviewed category for more than one month. As needed, staff reminders will be given if there are systemic lapses in the procedures that result in profiles not being updated to a searchable category or not being uploaded to NDIS.

Additionally, as needed, a CODIS Administrator will provide refresher training and guidance on

procedural updates. This may occur in the weekly discipline meetings.

At least once per calendar year, staff knowledge of CODIS procedures will be monitored via a pop quiz. This quiz will serve as a supplement to the required NDIS Annual Refresher Training.

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 four 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 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.

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.

CODIS Server/Client Requirements

When possible, a CODIS Administrator will apply windows and antivirus updates (to the server and each workstation) approximately weekly, 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.

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

Location	Revision made
Entire document	Updated header/footer formatting and versioning. Corrected grammatical and spelling errors, and formatting as required. Removed page and section number references, as appropriate. Updated references to other documents/manuals, as appropriate. Updated references to CODIS software naming owing to version updates, as needed. Reformatted to move stepwise procedures and CODIS Communication sample language to Appendices . Updated storage locations for records, as needed.
Introduction	Added FBI Guidance Document as a reference.
The Combined DNA Index System	Added last sentence to 5 th paragraph, about access to CJIS SEN.
The Combined DNA Index System	Updated to reflect that certificate is stored in the LIMS.
DNA Index of Special Concern	Added that DISC information may be referenced in laboratory report. Updated that information will be periodically provided by the CODIS Administrator rather than monthly. Removed requirement for profiles to be searched at NDIS prior to being rapidly enabled. Added additional laboratory responsibilities following a UDN. Added reference to requirements for booking stations to participate in CODIS via Rapid DNA.
Profiles of Missing Persons, Unidentified Human Remains, Relatives of Missing Persons, Volunteers and Staff Profiles	Added reference to CODIS Removal service type in LIMS.
Removal of Forensic Specimens from CODIS	New section header. Added reference to CODIS Removal service type in LIMS. Removed requirement to add reason for deletion in specimen comments.
Searching the CODIS Indices	Updated that CODIS autosearches are “typically” run each weeknight.
Uploading data to NDIS	Added that a query is used to identify eligible profiles that have not been uploaded.
Match Dispositions	Updated how assessment by two qualified analysts is documented.
Match Dispositions	Added Arrestee Hit, Offender Hit, Forensic Hit, User Defined #4, User Defined #5. Added additional note about User Defined and NDIS matches.
Match Dispositions	Added another situation where the Duplicate disposition is used

Alaska Scientific Crime Detection Laboratory
CODIS Administrative Manual

Version: 2.0

Effective: 12/30/2022

Confirming and Reporting a Candidate Match	Removed the paragraph about reporting CODIS metrics in the case activities section in LIMS.
Confirming and Reporting a Candidate Match	Added information on CODIS reprint requests
Discrepancies Identified During the Confirmation Process	Completed 3rd bullet in section.
CODIS Related Communications	Updated that current manual version is entered in the Assigner notes field in the LIMS request.
Recording CODIS Metrics	Added that recording whether the hit is warm or cold is not required in the data extension fields.
Recording CODIS Metrics	Added that Investigations Aided should be recorded in the CODIS software as well as in the LIMS.
Review of CODIS Communications	Removed reference to case exchange form.
Review of CODIS Communications	Removed contents of review checklist since review form was made a controlled document.
Performance Monitoring Activities	New Section
CODIS Security	Updated that there are now four CODIS workstations in the Forensic Biology office area.
Appendices D and E	Updated steps to reflect current workflow of CODIS entry and review. Added CS [controlled substance] as a case type descriptor.
Appendix E	Added that Forensic Targeted Alaska profiles must have at least one or two single source loci.
Appendix G	Added LIMS administrator as individual who can restrict / access an expunged record.
Appendix H	Added that LIMS case records should be related for duplicate offenders.
Appendices I and J	Added that the laboratory staff while will be authoring the CODIS communication should be the requesting rep for a CODIS confirmation.
Appendices I, K, L, M	Added to CC current designated agency reps for DOL and DPS on relevant CODIS communications.
Appendices I, K, L, M	Added that Investigations Aided should be recorded in the CODIS software as well as in the LIMS.
Appendix L	Added CODIS reprint requests to procedure for confirming and reporting intrastate matches/hits between two forensic specimens.

Appendix B Updating Entry of Previously Entered Specimens

- For offender records, 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 the updated SDIS details are retained in the case records in the LIMS.
- A copy is provided [physical or electronic] to the CODIS Administrator for reconciliation with the next NDIS upload.
- The updated SDIS details record should be retained in the LIMS.

Appendix C Manual Entry of an Offender Profile in CODIS

- Open the Specimen Data Entry feature
- Enter the numeric Specimen ID
- Select the Forensic Unreviewed specimen category
- Case ID is left blank
- Select Yes for Source ID
- Additional pertinent information may be entered in the Comments field
- Enter the first and second readings, confirming that there are no discrepancies, and save the entry
- 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.
- The technical reviewer will review the entry [physical copy, electronic copy or directly in CODIS] and initial/date in the CODIS entry box once the forensic unreviewed entry has been verified
- Upon completion of the initial review, the specimen category may be updated to the appropriate category, as noted on the review checklist.
 - Note: Arrestees (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 technical reviewer will then review the final entry (with the updated specimen category) and initial/date the electronic copy of the SDIS details
- 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 in the LIMS.
- A copy [physical or electronic] is provided to the State Administrator. This signals to the Administrator that the sample may be searched and uploaded to NDIS.
- All central log documentation for offender analysis will be retained in Sharepoint and non-batch bench notes are retained in the case record in the LIMS.

Appendix D Manual Entry of Forensic Unknown (Complete, Single Source) Profiles

- Open the Specimen Data Entry feature
- 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)
- Select the Forensic Unreviewed specimen category
- Select Yes or No for Source ID
- 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
- 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, CS
- Enter the first and second readings, confirming that there are no discrepancies, and save the entry
- 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.
- The technical reviewer will review the entry [physical copy, electronic copy or directly in CODIS] and initial/date in the CODIS entry box [on the review checklist] once the forensic unreviewed entry has been verified
- Upon completion of the initial review, the specimen category may be updated to the appropriate category, as noted on the review checklist.
- The technical reviewer will then review the final entry (with the updated specimen category) and initial/date the electronic copy of the SDIS details
- 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 in the LIMS.
- A copy [physical or electronic] is provided to the State Administrator. This signals to the Administrator that the sample may be searched and uploaded to NDIS.

Appendix E Manual Entry of Forensic Mixtures and Partial Profiles

- Open the Specimen Data Entry feature
- 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)
- Select the Forensic Unreviewed specimen category
- Select Yes or No for Source ID
- 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
- 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, CS
- Enter the first and second readings, confirming that there are no discrepancies, and save the entry
 - 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.
 - 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.
 - 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.
- 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 [but at least one or two loci are

single source] 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.
- The technical reviewer will review the entry [physical copy, electronic copy or directly in CODIS] and initial/date in the CODIS entry box [on the review checklist] once the forensic unreviewed entry has been verified
- Upon completion of the initial review, the specimen category may be updated to the appropriate category, as noted on the review checklist.
- The technical reviewer will then review the final entry (with the updated specimen category) and initial/date the electronic copy of the SDIS details
- 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 in the LIMS.
- A copy [physical or electronic] is provided to the State Administrator. This signals to the Administrator that the sample may be searched and uploaded to NDIS.

Appendix F Manual Entry of Profiles of Missing Persons, Unidentified Persons, Relatives of Missing Persons, Volunteers and Staff Profiles

- Open the Specimen Data Entry feature
- Enter the Specimen ID as follows:
 - Casework Profiles:
 - “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)
 - Staff Profiles
 - STAFFXX where XX is the staff number assigned by a CODIS administrator
- Select the Forensic Unreviewed specimen category
- Select Yes or No for Source ID
- In the Case ID field, enter the investigating agency and agency case #, if relevant
 - 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
- Enter the first and second readings, confirming that there are no discrepancies, and save the entry
 - Missing Persons and Unidentified Persons (Remains), must meet the eligibility guidelines for match rarity as in Appendix E. Loci with possible allele dropout should not be entered for profiles from missing persons and unidentified remains.
 - Relatives of Missing Persons must contain the 20 CODIS core loci and Amelogenin
 - Volunteers and Staff Profiles must meet the requirements as outlined for Offender samples in the [Forensic Biology Procedure Manual](#).
- For all casework profiles, the technical reviewer will review the entry [physical copy, electronic copy or directly in CODIS] and initial/date in the CODIS entry box once the forensic unreviewed entry has been verified
 - Staff profiles require a second review if entered manually. These may also be uploaded via a .cmf file as described for offender samples. No documentation is retained in LIMS for staff profiles.
- Upon completion of the initial review, the specimen category may be updated to the appropriate category, as noted on the review checklist.
- The technical reviewer will then review the final entry (with the updated specimen category) and initial/date the electronic copy of the SDIS details
- 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 in the LIMS.
- A copy [physical or electronic] is provided to the State Administrator. This signals to the Administrator that the sample may be searched and uploaded to NDIS.

Appendix G Expungement / Administrative Removal of Offender Profiles from CODIS

- Obtain the [Expungement Checklist](#) and begin completing the top portion of the form.
- 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 by a CODIS Administrator and archived annually.
 - If any samples are located and/or a profile has been entered, the CODIS Administrator will continue with the remainder of the checklist.
- 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.
 - Locate the sample in Specimen Manager, select the specimen and open in Specimen Data Entry.
 - Record the comments, save and specimen and close Specimen Data Entry.
 - 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.
 - 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 a Laboratory Chief (or designee),

LIMS Administrator 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. 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.
- For expungement requests originating from an offender (or their legal representative), 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.

Appendix H Dispositioning Matches from the Offender Duplicate (auto)search

- When the samples were anticipated to match (one of the samples has a specimen category of CO duplicate), the matches simply need to be dispositioned as Offender Duplicate.
- When offender duplicates are in different case records in LIMS, relate the LIMS cases with a note indicating that the records are offender duplicates.
- 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 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.
 - Note: 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.
 - Note: If the original sample was not at NDIS, it will be necessary to manually mark it for upload.
 - Note: 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.
 - Note: This is done periodically by a CODIS Administrator.

Appendix I Confirming and Reporting Intrastate Offender/Arrestee to Unidentified Forensic

The confirmation steps may be completed concurrently to decrease the turnaround time for confirmation and reporting.

- Relate the offender and forensic case records in the LIMS, adding a note that the relation is owing to a CODIS match.
- Verify the specimen eligibility of the forensic specimen (Alaska forensic specimen)
 - If the eligibility of the forensic specimen is in question, stop and consult a CODIS administrator.
- Create a CODIS Communication request in the forensic case record in the LIMS.
 - Add appropriate individuals to the CC list for the request
- Obtain the offender print card from CODIS storage
 - If the prints on the card have not been previously verified, request print verification by a qualified latent examiner
 - Consult a CODIS Administrator when the prints are verified to an APSIN # other than the one on the print card
 - 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
- Scan the print card onto the individual report from LIMS and provide to the designated individual for verification of the qualifying offense
 - At the discretion of the legal representative or designee, if the sample was legally collected but a qualifying offense no longer exists, the laboratory may release information relating to the match if a court order to expunge the sample has not been received. The DNA profile and personal information may be retained until a court order to expunge is received by the laboratory.
 - Refer to the section on Expungements / Administrative removals for non-qualifying offenders when removal is advised.
 - Matches to offender samples collected “in good faith” may be reported at the discretion of the legal representative.
 - If advised that the match cannot be reported, the confirmation process is stopped. Requests related to the match are cancelled.
- Verification of the offender profile occurs via one of the following means:
 - The offender and the named suspect have the same name (and DOB if available)
 - Profile concordance with a previously analyzed duplicate offender sample
 - Profile concordance with a previously analyzed casework known
 - Offender information verified via a previous NDIS conviction match
 - Offender previously matched to a case where they were named as a possible source (i.e. a warm hit)
 - If none of the above are available and the offender sample was not consumed, the second swab of the offender sample is analyzed. Create a CODIS confirmation request in the offender record in LIMS. The requesting agent should be the laboratory staff member who will be authoring the CODIS communication. 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.

- 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.
- If verification of the offender profile is not possible, this shall be stated in the CODIS communication.
 - If the profile verification process results in a profile discrepancy, consult a CODIS administrator. Release of the match may not occur until/unless the discrepancy is resolved.
- Once all confirmation steps are completed and any discrepancies are successfully resolved, proceed with reporting of the CODIS Communication and recording of hit metrics.
 - Update the match disposition and source ID of the forensic specimen in CODIS
 - 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.
 - Record an Investigation Aided in CODIS, if appropriate.
 - Record all relevant metrics in the data extension fields of the CODIS Communication Request in LIMS
 - Draft the letter including all required information. Sample letters are provided in Appendix N of this manual.
 - Provide a completed review [checklist](#), updated match details report and the individual report (including the print card scan) for an administrative review.
 - The match details and individual report are added as attachments to the request in LIMS, prior to the final review and release of the letter.

Appendix J Confirming and Reporting Alaska Offender/Arrestee to Interstate Unidentified Forensic

The confirmation steps may be completed concurrently to decrease the turnaround time for confirmation and reporting.

- Upon receipt of a confirmation request from the other lab, update the match note in CODIS
- Create a CODIS Communication request in the offender case record in the LIMS.
 - It may be necessary to have a CODIS administrator add the requesting agency and/or agent if they don't already exist in the LIMS.
- Obtain the offender print card from CODIS storage.
 - If the prints on the card have not been previously verified, request print verification by a qualified latent examiner.
 - Consult a CODIS Administrator when the prints are verified to an APSIN # other than the one on the print card.
 - 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.
- Scan the print card onto the individual report from LIMS and provide to the designated individual for verification of the qualifying offense.
 - At the discretion of the legal representative or designee, if the sample was legally collected but a qualifying offense no longer exists, the laboratory may release information relating to the match if a court order to expunge the sample has not been received. The DNA profile and personal information may be retained until a court order to expunge is received by the laboratory.
 - Refer to the section on Expungements / Administrative removals for non-qualifying offenders when removal is advised.
 - Matches to offender samples collected "in good faith" may be reported at the discretion of the legal representative.
 - If advised that the match cannot be reported, the confirmation process is stopped. Requests related to the profile confirmation are cancelled. Refer to the reporting section for the appropriate CODIS Communication language.
- Verification of the offender profile occurs via one of the following means:
 - The offender and the named suspect have the same name (and DOB if available)
 - Profile concordance with a previously analyzed duplicate offender sample
 - Profile concordance with a previously analyzed casework known
 - Offender information verified via a previous NDIS conviction match
 - Offender previously matched to a case where they were named as a possible source (i.e. a warm hit)
 - If none of the above are available and the offender sample was not consumed, the second swab of the offender sample is analyzed. Create a CODIS confirmation request in the offender record in LIMS. The requesting agent should be the laboratory staff member who will be authoring the CODIS communication. 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.

- 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.
- If verification of the offender profile is not possible, this shall be stated in the CODIS communication.
 - If the profile verification process results in a profile discrepancy, consult a CODIS administrator. Release of the match may not occur until/unless the discrepancy is resolved.
- Once all confirmation steps are completed and any discrepancies are successfully resolved, proceed with reporting of the CODIS Communication and recording of hit metrics.
 - Update the match disposition in CODIS
 - Record all relevant metrics in the data extension fields of the CODIS Communication Request in LIMS
 - Draft the letter including all required information. Sample letters are provided in Appendix N of this manual.
 - The last known whereabouts can be obtained from APSIN
 - Provide a completed review [checklist](#), updated match details report, the individual report (including the print card scan), and APSIN printout for an administrative review.
 - The match details and individual report are added as attachments to the request in LIMS, prior to the final review and release of the letter.

Appendix K Confirming and Reporting Out of State Offender/Arrestee to Alaska Unidentified Forensic

- Verify the specimen eligibility of the forensic specimens
 - If the eligibility of either forensic specimen is in question, stop and consult a CODIS administrator.
- Create two requests in the forensic case record in the LIMS; an Interstate Information Request to the offender lab and a CODIS Communication Request to the investigating law enforcement agency.
 - It may be necessary to have a CODIS administrator add the offender lab agency and/or agent if they don't already exist in the LIMS.
 - Add appropriate individuals to the CC list for the request to the investigating agency.
- Complete the request to the offender lab
 - Draft the letter including all required information. Sample letters are provided in Appendix of this manual.
 - Provide a completed review checklist and pending match details report for an administrative review
 - The match details report is added as an attachment to the request in LIMS, prior to the final review and release of the letter.
- Upon receipt of the confirmation, proceed with reporting to the investigating agency and recording of hit metrics.
 - Update the match disposition and source ID of the forensic specimen in CODIS
 - 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.
 - Record an Investigation Aided in CODIS, if appropriate.
 - Record all relevant metrics in the data extension fields of the CODIS Communication Request in LIMS
 - Draft the letter including all required information. Sample letters are provided in Appendix N of this manual.
 - Provide a completed review checklist, updated match details report and the confirmation from the offender lab for an administrative review.
 - The match details and individual report are added as attachments to the request in LIMS, prior to the final review and release of the letter.

Appendix L Confirming and Reporting Intrastate Forensic to Forensic

- Relate the forensic case records in the LIMS, adding a note that the relation is owing to a CODIS match.
- Verify the specimen eligibility of the forensic specimens
 - If the eligibility of one or both forensic specimens is in question, stop and consult a CODIS administrator.
- 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.
 - Add appropriate individuals to the CC list for the request
- Create a CODIS Communication Reprint request in the second case record.
 - The CODIS Communication Reprint request allows the analyst to write a single letter that will be copied into the request for the second case in the match. The “reprint” header will indicate that the letter is a reprint and will contain the case information for the CODIS Communication request. Both agencies/agents will see the letter in their case record in Portal.
 - Right click on the reprint request and click Additional Data. Select the case/request number for the current CODIS Communication Request.
- Proceed with reporting to the investigating agencies and recording of hit metrics.
 - Update the match disposition and source ID of the forensic specimen(s) in CODIS
 - 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.
 - Record Investigation(s) Aided in CODIS, if appropriate.
 - Record all relevant metrics in the data extension fields of the CODIS Communication Request in LIMS. Metrics do not need to be added in the Reprint requests.
 - Draft the letter in the CODIS Communication request, including all required information. Sample letters are provided in Appendix of this manual.
 - In the reprint request, right click to edit findings and then save and draft complete. No findings need to be entered.
 - Provide a completed review checklist and updated match details report(s) for an administrative review.
 - The administrative review of the reprint request consists solely of verifying that the correct request is being “reprinted”. The review milestone must also be rolled in the reprint request.
 - The match details and individual report are added as attachments to the CODIS Communication request in LIMS, prior to the final review and release of the letter. The attachments do not need to be added to the reprint requests.

Appendix M Confirming and Reporting Interstate Forensic to Forensic

- Verify the specimen eligibility of the Alaska forensic specimen
 - If the eligibility of the forensic specimen is in question, stop and consult a CODIS administrator.
- Create two CODIS Communication requests in the forensic case record in the LIMS; one to the out of state lab and one to the investigating law enforcement agency.
 - It may be necessary to have a CODIS administrator add the other lab and/or lab agent if they don't already exist in the LIMS.
 - Add appropriate individuals to the CC list for the request to the investigating agency.
- Complete the request to the out of state lab with all required information.
 - The required information will vary depending on which specimens are known/unknown and whether the other lab has already provided their case information. Sample letters are included in Appendix of this manual.
 - Record metrics in the request as appropriate
 - Provide a completed review checklist and pending match details report for an administrative review.
 - The match detail report is added as an attachment to the request in LIMS, prior to the final review and release of the letter.
- Once case information is received from the out of state lab, proceed with reporting to the in state investigating agencies and recording of appropriate metrics.
 - Update the match disposition and source ID of the forensic specimen in CODIS, as appropriate
 - 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.
 - Record Investigation(s) Aided in CODIS, if appropriate.
 - Record relevant metrics in LIMS.
 - The required information will vary depending on which specimens are known/unknown and whether the other lab has already provided their case information. Sample letters are included in Appendix of this manual.
 - Provide a completed review checklist, updated match details report, and the case information from the out of state lab for an administrative review.
 - The match details and information from the out of state lab are added as attachments to the CODIS Communication request in LIMS, prior to the final review and release of the letter.

Appendix N Sample CODIS Related Communications

Intrastate Offender/Arrestee to Unidentified Forensic

Match Level: State DNA Index System

Match Stringency: High

Match ID: AA0000012345

Specimen #1: 22-01234, AK0020200, complete profile from qualifying offender¹

Specimen #2²: U22-12345_1234567, AK0020200, complete single source profile from vaginal sample³

This match has been confirmed⁴ and this is to inform you of a possible investigative lead related to the casework specimen. ***Please provide the reporting analyst with information regarding the status of your case and the probative nature of the match. You must notify the laboratory if the offender named below is determined not to be a perpetrator in this case.***

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.

Individual information for 22-01234

Name: John Doe⁵

DOB: 1.2.1964⁵

Alaska State ID: 9876543

Profile: confirmed^{6,7}

Identity: confirmed⁸

If you have any questions, please contact the reporting analyst.

The following notes apply to all communication types:

¹ "Offender" can be used as a general term to reflect either a convicted offender or an arrestee.

²Specimen 1 and Specimen 2 are arbitrary assignments and may not align with the match detail report.

³The sample descriptions do not need to be identical to the DNA report. What is essential to capture is whether the profile is a single source or a mixture, and whether it is complete or partial.

⁴A match is confirmed when the confirmation process is followed. Inability to confirm the profile or prints (as in the subsequent notes) does not change this.

⁵Known aliases for the name and DOB are included in () after the primary identifier.

⁶Alternative: 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.

⁷Alternative: In order to provide expedited notification of this hit, the offender profile has not yet been confirmed by reanalysis. You will be advised if the offender profile is not confirmed once the process is complete.

⁸Alternative: 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

Out of State Offender/Arrestee to Unidentified Alaska Forensic (to other lab)

Match Level: National DNA Index System

Match Stringency: Moderate

Match ID: DC0000012345

Specimen #1: 2201234, ND....., complete profile from qualifying offender

Specimen #2: U22-12345_1234567, AK0020200, partial single source profile

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.

If you have any questions, please contact the reporting analyst.

Out of State Offender/Arrestee to Unidentified Alaska Forensic (to Alaska law enforcement)

Match Level: National DNA Index System

Match Stringency: Moderate

Match ID: DC0000012345

Specimen #1: 2201234, ND....., complete profile from qualifying offender

Specimen #2: U22-12345_1234567, AK0020200, partial single source profile

This match has been confirmed and this is to inform you of a possible investigative lead related to the casework specimen. ***Please provide the reporting analyst with information regarding the status of your case and the probative nature of the match. You must notify the laboratory if the offender named below is determined not to be a perpetrator in this case.***

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.

Individual information for 2201234

Name: John Doe

DOB: 1.2.1964

Other State ID: if provided

FBI #: if provided

Last known whereabouts, if provided or known.

If you have any questions, please contact the reporting analyst.

Alaska Offender/Arrestee to Unidentified Out of State Forensic (to other lab)

Match Level: National DNA Index System

Match Stringency: Moderate

Match ID: DC0000012345

Specimen #1: 2201234, AK0020200, complete profile from qualifying offender

Specimen #2: U22-12345_1234567, ND....., partial single source profile

This match has been confirmed and this is to inform you of a possible investigative lead related to the casework specimen. ***Please notify the Alaska laboratory if the offender named below is determined not to be a perpetrator in this case.***

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.

Individual information for 2201234

Name: John Doe

DOB: 1.2.1964

Alaska State ID: 9876543

FBI #: from APSIN

Last known whereabouts: from APSIN (as of "date of update in APSIN")

Profile: confirmed^{5,6}

Identity: confirmed

If you have any questions, please contact the reporting analyst.

Intrastate Forensic to Forensic

Match Level: State DNA Index System

Match Stringency: Moderate

Match ID: AA0000012345

Specimen #1: U22-12345_1234567, AK0020200, complete single source profile

Specimen #2: 22-67891_1234567, AK0020200, partial mixture from steering wheel sample

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.

If you have any questions, please contact the reporting analyst.

Variations:

When the source of a specimen was previously identified by DNA: The source of [specimen #1, specimen #2, both specimens] was previously reported to match [NAME, DOB]

When both sources previously identified: This match is being reported in accordance with the laboratory's accreditation requirements.

Version: 2.0

Effective: 12/30/2022

Interstate Forensic to Forensic (to other lab)

Match Level: National DNA Index System

Match Stringency: Moderate

Match ID: DC0000012345

Specimen #1: 22-12345_1234567, ND....., complete single source profile

Specimen #2: U22-67891_1234567, AK0020200, partial mixture from steering wheel sample

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

The following agency contact information is being provided to forward to your law enforcement agency:

Agency name and POC:

Agency case #:

Agency case type and year:

Phone / E-mail:

If you have any questions, please contact the reporting analyst.

Variations:

When only the source of the Alaska specimen is known:

The source of our specimen was previously reported to match:

Name:

DOB:

Alaska State ID: if known

FBI #: from APSIN

Last known whereabouts: from APSIN (as of "date of update in APSIN")

Please notify the Alaska laboratory if the offender named above is determined not to be a perpetrator in this case.

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.

When both sources previously identified: This match is being reported in accordance with the laboratory's accreditation requirements. The source of our specimen was previously reported to match [NAME, DOB]

When other agency information not yet received: Please respond with contact information for your investigating agency and information regarding the identity of the source of your forensic specimen, if known.

Interstate Forensic to Forensic (to Alaska law enforcement)

Match Level: National DNA Index System

Match Stringency: Moderate

Match ID: DC0000012345

Specimen #1: 22-12345_1234567, ND....., complete single source profile

Specimen #2: U22-67891_1234567, AK0020200, partial mixture from steering wheel sample

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 and the probative nature of the match.

Your contact information has been provided to the [other state] lab to forward to their investigating agency and the following agency contact information has been provided to forward to you:

Agency name and POC:

Agency case #:

Agency case type and year:

Phone / E-mail:

If you have any questions, please contact the reporting analyst.

Variations:

When both sources previously identified: This match is being reported in accordance with the laboratory's accreditation requirements. The source of both specimens was previously reported to match [NAME, DOB].

When only the source of the Alaska specimen is known: The source of both specimens was previously reported to match [NAME, DOB].

Notification of Completed Expungement

TO:
FROM:, CODIS Administrator
DATE:
CC:

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].

Notification of CODIS Removal

Please be advised that the DNA profile previously entered into CODIS [from item] has been removed from CODIS and will no longer be searched because it has been attributed to a non-probative individual.

Based on changes to DNA interpretation guidelines since the report dated was issued, the DNA profile previously entered into CODIS [from item] has been removed from CODIS and will no longer be searched. This profile is not suitable for interpretation under current SOP due to (insufficient data, genetic complexity of the mixture, etc.).