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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**

### **(QAS 11.3, 11.3.1 – Testing and Database)**

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 [Appendix B](#). 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). ***(QAS 3.2.d – Database)*** The portion of the card containing the thumbprints is scanned and archived in the LIMS. The image is also uploaded to a print card repository where it can be accessed by department staff who verify the prints and make updates to the person's record in the Alaska Public Safety Information Network (APSIN). Verification results are recorded in the repository. For verifications made by lab staff, verification is recorded in the LIMS. Updates to the personally identifiable information for an individual are made in the LIMS record. All sample receipt and processing records are retained indefinitely. ***(QAS 3.2.c – Database)***

### ***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***

#### ***(QAS 5.3.4 – Testing and Database)***

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 and CODIS security requirements
- 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 and POC updates
- Attendance at required meetings/trainings
- Notify the NDIS Custodian (and/or other NDIS staff), 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
- The laboratory receives a motion or court order to disclose information that would violate federal and/or state law, the NDIS operational procedures or the lab's MOU with the FBI.

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. **(QAS 5.3.3 – Testing and Database)**

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. **(QAS 13.6.3 – Testing and Database)**

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. **(QAS 5.3.5 – Testing and Database)**

### **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. **(QAS 5.3.3 – Testing and Database)**

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. **(QAS 16.1.1 – Testing and Database)**

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](#). **(QAS 12.2.7.1 - Testing)**

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](#). **(QAS 12.5 – Database)**

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 C](#).

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, forensic unknown Alaska, 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, other SDIS labs or NDIS 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 D](#).

### ***CODIS Entry of Data Generated by a Contract Laboratory (QAS 3.1.1.15 –Database)***

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 F](#).

### ***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 Communication service type in the LIMS. Sample language may be found in [Appendix O](#).

### ***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 H](#).

### **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 Communication request in the LIMS. Sample language may be found in [Appendix O](#) and instructions for completing the removal are found in [Appendix P](#).

The CODIS delete reports (SDIS and NDIS) are retained as attachments under the evidence item in the LIMS. 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 I](#).

### ***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.

Additionally, at the discretion of an Alaska State Administrator, keyboard searches may be run for potential contaminant profiles or profiles that do not meet the MME/MRE thresholds for entry. A record of these searches is maintained in the annual CODIS log for suspected contaminants or in the case record for casework profiles that do not meet MME/MRE thresholds.

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 and archived annually in SharePoint. These matches do not need to be saved to Match Manager.

CODIS matches (not determined to be a No Match) generated because 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



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CODIS Administrative Manual

Version: 8.0

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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 F](#), 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 G](#).

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 and archived annually in SharePoint.

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. A conviction match is one means of verifying the profile obtained from the analysis of an offender sample. Once a conviction match is confirmed, the custom form for the buccal sample should be updated to reflect that the profile has been verified.

### ***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 J-L.

### ***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 J-L.

### ***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 M and N.

### ***Benchwork match***

Two profiles are identified as being from the same person or two cases are submitted as being related (cross-referenced by agency) and then, the profiles match in the database. This is only used when the link was known with certainty (i.e., by DNA) 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. This may include a specimen that was previously eligible, but is now ineligible for a statistical assessment as per current laboratory SOP. A match note should be added (ex. non-qualifying offender, consent partner, not stats eligible). 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 or a lab dissolves and another lab assumes ownership of the profiles)

### ***State and User defined***

The dispositions identified as State and 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. These 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 State or User Defined disposition is added as a match note.

**Keyboard search (formerly 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.

**Volunteer hit (formerly User defined #2)** – this disposition is used when a volunteer sample hits to a forensic sample in the database.

**High Stringency No Match (formerly 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). This disposition can also be used for moderate matches where all available information is consistent between the two profiles, but they are not from the same individual.

**MME/MRE ineligible (formerly 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.

**PII discrepancy (formerly 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).

**Mix with non-prob component (formerly State defined #2)** – this disposition is used when the match is with the non-probative component of an eligible, indistinguishable mixture.

The State Administrator will periodically run queries for matches with discrepant or pending dispositions. 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** *(QAS 11.2 – Database / QAS 12.5 – Testing)*

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.

When a known sample for an individual involved in a CODIS match is submitted prior to reporting the match, the CODIS Communication request will be cancelled, and the match dispositioned as Investigative Information. Alert a CODIS Administrator when this occurs, to ensure the proper actions are completed.

All CODIS related communications require an administrative review using the [CODIS Communication Review Checklist](#). (*QAS 12.3 –Database*)

Should a letter need to include language that is not addressed in the scripted reporting language, the analyst will need to manually write the letter as described in Appendix Q. Consult with a CODIS Administrator prior to using the FB Manual Entry result option.

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 confirmation.

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

### ***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 K](#).

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

### ***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 M](#).

### ***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 N](#).

### ***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 M](#) and [Appendix N](#) 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 from a single letter. The intent of the reprint is to provide the information about the related cases to all agencies who have a case referenced in the letter. Typically, the number of CODIS reprint requests will equal the number of forensic cases referenced in letter minus one.

### **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 per the [Match Dispositions](#) section of this manual. 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 related communications are distributed to all relevant agencies and case officers.

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 disposition in CODIS is changed to Investigative Information and the Investigation Aided is removed. The communication is recorded in the LIMS. The metrics in the LIMS (entered in results custom forms) cannot be modified once the request/letter has been released.





### *Recording CODIS Metrics*

The screenshot shows a web interface for 'Request Management' with a sub-tab for 'Request Dates and SOPs'. The form includes a date field for 'Date Originally Rolled to Draft Complete' (08-04-2023 12:00:00 AM) and a dropdown for 'Relevant SOP versions' (CODIS Administrative Manual version 5.0). A 'Close X' button is located at the bottom of the form.

Request Custom Form, for request management and recording of request level information:

- Date originally submitted for admin review
- SOP version under which communication created

FB Communication Result Custom Form, for match information

-  Referred to as the purple fields in the Appendices
-  Referred to as the green field in the Appendices
-  Referred to as the brown fields in the Appendices
-  Referred to as the blue fields in the Appendices

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.



### ***Metrics for Identification of Remains / Unidentified Persons***

For hits that result in the identification of remains/unidentified persons, the NDIS Investigative State is the NDIS lab location. The location from which the remains were recovered (if known) can be captured in the CODIS Communication Notes field. At the time of reporting, the Match Type will almost always be ID pending. ID Confirmed is only used when the laboratory is advised that the medical examiner has made an official identification based on the DNA match. This is not likely to be known prior to reporting of a match. The CODIS disposition can be updated to ID Confirmed at a later date, if appropriate.

### ***Review of CODIS Related Communications***

All CODIS related communications 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 related 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	<p>Corrected grammatical and spelling errors, hyperlinks and formatting as required.</p> <p>Added references to Quality Assurance Standards, where relevant</p>
<a href="#">Search Requests from/to Agencies Outside of Alaska</a>	Updated to include keyboard searches of potential contaminant profiles and casework profiles that do not meet MME/MRE thresholds for entry.
<a href="#">Appendix H</a>	Added that "Expunged" must be entered for the last name in the individual tab.
<a href="#">Appendix B</a>	<p>Removed requirement to advise CODIS Administrator when samples are received without a manifest.</p> <p>Removed requirement to note on card when inner envelope is not sealed.</p> <p>Replaced guidance to bundle in groups of ~20 with recommendation to bundle by agency.</p> <p>Added clarification about entering alias individuals.</p> <p>Added that samples collected for APSIN locates should be given an individual type of Convicted Offender.</p> <p>Added that additional ATNs and statute codes do not need to be transcribed from the back of the card.</p> <p>Removed requirement to update LIMS ethnicity for individuals with more than one ethnicity selected.</p> <p>Removed requirement to select Evidence Type in interface.</p>
<a href="#">Appendix K</a> <a href="#">Appendix L</a> <a href="#">Appendix N</a>	Clarified that last known whereabouts should be updated versus adding a new row to the individual grid.
<a href="#">Confirming and Reporting a Candidate Match</a>	Added actions to take when known is submitted for an individual prior to reporting match in which they are identified.
<a href="#">Appendix L</a> <a href="#">Appendix N</a>	Added steps for pending and unpending a CODIS Communication request while waiting for a response to an interstate request.

<a href="#">Appendix N</a>	Added instructions for when individual name is known to out of state agency, but not provided.
<a href="#">STR Data Entry</a> <a href="#">Appendix E</a>	Added specimen category of forensic unknown Alaska
<a href="#">Conviction match</a>	Added that conviction matches can be used as profile confirmations and the offender sample custom form should be updated accordingly.
<a href="#">Appendix C</a> <a href="#">Appendix D</a> <a href="#">Appendix E</a> <a href="#">Appendix F</a> <a href="#">Appendix G</a>	Updated appendices with respect to workflow for entry and review of profiles in CODIS, and location for storing records of entries.
<a href="#">Removal of Forensic Specimens from CODIS</a> <a href="#">Appendix P</a>	Updated to reflect that CODIS delete reports are retained under the evidence item in LIMS, rather than under a request.
<a href="#">Appendix B</a>	Updated with additional steps for accessioning samples that will not be tested and retained.
<a href="#">Appendix F</a>	Added legend to table on page 40.
<a href="#">Appendix J</a> <a href="#">Appendix L</a> <a href="#">Appendix M</a> <a href="#">Appendix N</a>	Added clarification to steps 4.c.vii, 1.d.vii, 2.c.vii and 1.c.vii regarding timing of source ID update in custom form.

## Appendix B Accessioning of DNA Database Samples

CODIS samples come into the laboratory through the evidence section, via hand delivery or the United States Postal Service. Samples are typically logged by criminal justice or forensic technicians and are stored in the designated location indefinitely.

Each sample is opened and inspected prior to entry in LIMS.

- Verify that the submitting agency is listed on the inside of the card. If not, write in the agency name [from the box or outer envelope] on the appropriate line and date & initial. The outer envelope may be thrown away or shredded if it contains PII.
- If a manifest was received with the shipment, reconcile each sample received with the manifest. Note any discrepancies (samples received but not on the manifest or samples on the manifest but not received) on the manifest and advise the submitting agency. Initial and date the manifest and scan to the designated location.
- Advise a CODIS Administrator of any unresolvable discrepancies.
- If the inner swab envelope is not sealed, place evidence tape across the opening to secure it, initial & date the evidence tape.
- Place the samples in a designated cabinet until they are ready to be entered into LIMS. Bundling by agency will facilitate entry into the LIMS.
- On occasion, the laboratory is advised by a collecting agency that a sample should not have been collected or that information contained on the card is not correct. These occurrences are handled as follows:
  - If sample not yet received, ensure that all persons who accession samples are aware of the notification. Once the sample is received, the information on the card is corrected and the initials and date of the person editing the card are noted on the card. Once the sample is entered in the LIMS, a case activity is recorded for the communication.

### LIMS entry

- CODIS samples are entered using the LIMS-APSIN Interface, which will automatically create DNA Database requests for samples that need testing. DNA Database requests are used for all samples that are being processed for CODIS entry, including samples that will be worked individually or as part of a casework batch. The log in for the interface is the second username/password used for APSIN.
  - Entry of CODIS samples requires APSIN access. Any individual training to enter samples must first receive APSIN clearance.
- Enter the APSIN number from the card and click Search APSIN. It may take a moment for the information to pull up.
  - **If the APSIN number is less than 7 digits long, add leading 0's to make it 7 digits. For example, 123456 would be entered as 0123456.**
- Ensure the information pulled up by the APSIN search is the same as the information on the card (name, DOB, etc.).
  - If the APSIN information appears to be the same individual as is on the card but has one or two minor differences (ex. different DOB), allow the sample to be created in LIMS and edit. The alias is then added as a second individual in the case record in LIMS (with an individual type of Alias) with the alternative name and/or DOB. It is not necessary to re-enter all the identical information for the "alias" individual. ***Ensure that the PII of individual type of alias corresponds to the alias in APSIN.***
  - For individuals who have selected more than one ethnicity, update the selection in the

interface to Other.

- ***If discordant information cannot be resolved, stop and consult a CODIS Administrator.***
- Select the Agency Name. The fastest way to do this is to begin typing it. Select \*Agent, CODIS as the agency representative.
  - If the sample is a duplicate, select the oldest case from the Case Number drop-down.
- Select the Individual Type.
  - If no type is listed, leave as the default of Arrestee.
  - If the sample was collected for an APSIN locate, use the type of Convicted Offender.
  - Juvenile cards do not include options for the individual type. Select “juvenile offender” for persons under 18 at time of collection, if known.
- Enter the ATN, if relevant and provided. When multiple ATNs are provided, only the first needs to be entered. Additional information from the back of the card does not need to be transcribed during accessioning.
- Click “Save”. For new offenders, a record will be created in LIMS, two barcodes will print, and show a pop up stating the record was created. For duplicate offenders, the pop up will indicate that the existing case was updated.
  - If there is an error, the barcodes may still print but the case will not be created/updated; make sure to read the pop up. If there is an error and the case isn’t created/updated, start over and discard the barcodes.
  - If there is an error where the case is created but not to completion, it will need to be done manually. See a CODIS Administrator if assistance is required.
  - As long as the Name, DOB, APSIN and Sex are in the LIMS, it is not necessary to enter additional available personal information (such as license no.) since the information card is scanned into the LIMS.
- Separate the print card from the side with the swab attached. Swabs are the “a” evidence (1a, 2a, etc.) and the print cards are the “b” evidence (1b, 2b, etc.). When applying barcodes to the “a” evidence, ensure the barcode is on the swab envelope, not the card, in case the envelope becomes detached from it.
- Record the following issues on the [prints item] using the Database Sample Issue drop-down in the evidence custom form in LIMS.
  - No/Incomplete Prints
  - Incomplete PII (APSIN, DOB, Sex, Name) – other missing information related to the collected individual is captured as Incomplete Supplemental Information
  - Agency/Agent Info Missing or Not Specific – it is not necessary to check this box when a phone number is missing, provided the case agent’s name is clearly legible
  - Qualifying Offense Info Incomplete – this is used to capture when an ATN is not provided for an arrest. If an ATN is provided, the box does not need to be checked for a missing statute code.
  - Incomplete Supplemental Information – license no., offender no., interstate compact, signature, place of birth, race, sample date
  - Packaging Issue – ex. Outermost container compromised, PII submitted as separate paper rather than on card.
  - No Swab
  - Seal Issue – if the outer envelope or container seal is intact, it is not necessary to capture when the inner seal is not.
  - Refusal
  - Other issue that may impact sample integrity or privacy issues – ex., PII on outermost

container (If other is selected, add brief comment to describe issue)

### Samples that Will Not Be Tested and Retained

Samples received without swabs or where it will not be possible to attribute the sample to an individual (no prints and no personally identifying information) will still be entered in the LIMS, but no testing will occur. Samples will also be logged but not tested when the lab is advised that the sample was collected in error, and testing has not yet occurred.

- Enter the sample in the LIMS as above when the sample has an APSIN number for entry.
- Edit the DB request(s) to capture the reason for cancelling and then cancel the requests.
- If no APSIN number was provided, the sample will need to be entered manually. A single DB request should be created to log the cancel reason, and then the request can be cancelled.
- Scan the print card (as below) to LIMS, but do not send it to the Document Archive.
- Remove the APSIN number from the individual in the Individuals tab.
- Transfer the sample(s) to the “Destroyed” location. Shred the portion of the card with the PII and dispose of the swab portion in biohazard.

**NOTE:** It will be necessary for the analyst or technician to log into the LIMS with their APSIN LIMS account to cancel a DB request.

If testing has already been completed, refer to the section on [administrative removal](#) of a sample and DNA profile.

### Scanning Print Cards

- CODIS print cards are scanned using the Epson Scan 2 software and EPSON DS-530II
- The settings for this program are:
  - Scanning Side: Double-Sided
  - Image Type: Auto
  - Resolution: 600 DPI
  - Image Format: PDF
  - Detect Double Feed: Off
  - File Name: DNA Print Card\_
- In File Name Settings:
  - Check Add Date box
  - Check Use File Counter box
    - Scanned files will be numbered in numerical order until 100 are complete
    - If scanning into a partial batch folder, check the last scanned print card # in batch folder and use the next # as the file counter start number
    - Folder: I:Drive>Discipline Shares>Forensic Biology>Scanned DNA Print Cards>DNA Card Batch X  
\*whichever batch folder is current\*
- Each time you restart Epson Scan 2 software, re-select the current DNA Card Batch folder, if the name has been changed (i.e. if the name of the folder has been updated to reflect the amount of scans are present in the folder) otherwise the software will give the error ‘Unable to save scanned files’





- Place print card into scanner upside down and facing inside the machine
- Scan print card either by pressing the blue diamond button on the scanner or pressing Scan on Epson Scan 2 software
- Ensure scan is retained in the correct folder on I:Drive
  - Batch folders will follow the naming scheme: DNA Card Batch X
  - Once a batch folder has been filled with 100 scans, the analyst will add an identifier to the end of the folder name (ex. done, complete, 100, etc.)
  - If an analyst finishes scanning for the day and does not have a complete batch folder, they will add the number of scans the folder has at the end of the folder name, ex: DNA Card Batch 1 (45)
- Attach print card scan to case in LIMS:
  - Pull up case in LIMS
  - Go to Attachments window, double check the name under Individuals matches that on the print card
  - Navigate to appropriate evidence item (1b, 2b, etc.) and right click
  - Select “Add New Attachments” and upload file
  - Use this window to scroll through scanned image and ensure there are no issues, and the correct file was selected to upload
- When finished scanning, containerize print card to appropriate container in LIMS and then place in the appropriate box

#### **Sending Print Cards to Document Archive**

- Scanned print cards will be sent to Document Archive 50 at a time (Outlook will not send all 100 files at once) utilizing the batch folders in which files were originally organized
- Batch folders will be emailed to DPS-DocumentArchive@alaska.gov using the subject line ‘DNA Batch X [today’s date] Part X of 2’
  - Make sure the email attachment is files and not just the folder
  - A maximum of 100 scanned print card files can be sent to Document Archive in a day
- Once a batch folder has been emailed to Document Archive, the batch folder in I: Drive will be moved temporarily to the “Previously Sent” folder until the successful completion of their upload has been confirmed

#### **Receiving Print Cards from R&I (Records and Identification)**

- Transfer custody of the received set of cards from R&I through oneself back to CODIS Storage.
- Inventory the set of cards to verify that all cards are accounted for. Notify the CODIS State Administrator if any cards were not returned in the set.
- Cards that were flagged by R&I for follow-up are addressed as follows and flags removed:
  - Incorrect APSIN number or APSIN merge: Correct the APSIN number in the offender record in LIMS and add a Case Information Update case activity
  - Deceased: Add the note “deceased as per R&I” in the Synopsis window in the offender record in LIMS.
  - “no prints on file” or cards with no prints: No further action is required.
  - Prints with poor quality that could not be verified: provide to a latent examiner to attempt print verification.
- Once above steps have been completed, cards are filed in CODIS storage.

### **APSIN Record Consolidation**

On occasion, the laboratory becomes aware that a case related individual has two records in APSIN, requiring a record consolidation. When the records are consolidated, the LIMS case(s) will need to be updated to ensure the correct APSIN number is recorded in the individual tab.

When the laboratory discovers, through the normal course of accessioning offender samples, that a single offender has two records in LIMS, the following steps can be taken to update the LIMS record.

- Send an e-mail to DPS APSIN Security ([DPSAPSINSecurity@alaska.gov](mailto:DPSAPSINSecurity@alaska.gov)) to advise them of the APSIN IDs that may require consolidation. Ask that they reply with the retained APSIN ID upon completion of the consolidation.
- Add a case activity type of Case Information Update to the relevant cases and include the e-mail sent to DPS APSIN Security.
- Once a response is received, if the records were merged then relate the LIMS cases with a note of "offender duplicate" or similar.
- Add the response to the previous case activities and update the activity end date.
- Edit the individual in the appropriate case and update the APSIN # to the retained # as per DPS APSIN Security.

If the lab receives an unsolicited merge e-mail for an offender sample, the above steps can still be taken. It may first be necessary to identify or search for the relevant LIMS cases. If the e-mail contains the individual's name, a LIMS name search can be performed. If the e-mail contains only the APSIN ID(s), the DNA Database APSIN Search crystal report is used to find LIMS cases with the relevant APSIN IDs.

- If the lab only has one case for the individual, then the e-mail is retained as a Case Information Update in the relevant case and the individual information is updated as described above.
- If the lab has multiple offender cases for the same individual, then the cases are related, the e-mail is retained as a Case Information Update and the individual information is updated in each affected case.

The laboratory may also become aware of the need to update an APSIN ID for a case related individual in routine casework (not an offender database case). The individual information is updated and documented as described above for offender samples.

### **Troubleshooting**

- If the information pulled up in the APSIN search does not match the information on the card, look up the offender in the APSIN program and check for aliases (F9 once you get to the profile). If the information on the card is that of the offender's alias, enter the case then make a note on the card and add the additional information under "Individuals" in the LIMS case with an individual type of "Alias".
- If the card does not list an APSIN number or lists an incorrect APSIN number, search for the offender by name in APSIN (with and without DOB if listed on the card). If unable to locate the offender in APSIN, contact the submitting agency to find out the APSIN number and verify the information on the card.
- Any corrections or notes on the CODIS cards must be accompanied by the initials of the person making the correction and the date the correction was made. The date and initials should be placed near the APSIN line on the left edge of the card.
- If unable to resolve any issues that arise, contact the CODIS administrator for assistance.

### **Appendix C 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, as an attachment on the evidence item. The attachment name must start with COD and should include a brief description.

## Appendix D 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
- The intended specimen category and any additional pertinent information is 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 following specimen information must be added to the relevant evidence custom form in the LIMS.
  - Specimen ID
  - Intended final specimen category in the Specimen Category field
  - Profile Type
- Separate .pdf files of the bench notes and the Forensic Unreviewed entry are added as attachments to the appropriate item in LIMS. The attachment name must start with COD and should include a brief description.
- The technical reviewer will review the attachments in LIMS.
  - If no changes are required, the technical reviewer marks the attachments as reviewed.
  - If changes are required, the reviewer can download the .pdf(s) to the review folder and add comments regarding the necessary changes.
- Upon completion of the initial review, the technical reviewer will update the evidence custom form with the entry approval date.
- Either the analyst or the technical reviewer can then update the specimen category is to the appropriate category and final .pdfs are added to the attachments on the item in the LIMS. The attachment name must start with COD and should include a brief description.
  - 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 other individual will then review the final attachments (with the updated specimen category) and mark as reviewed 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.

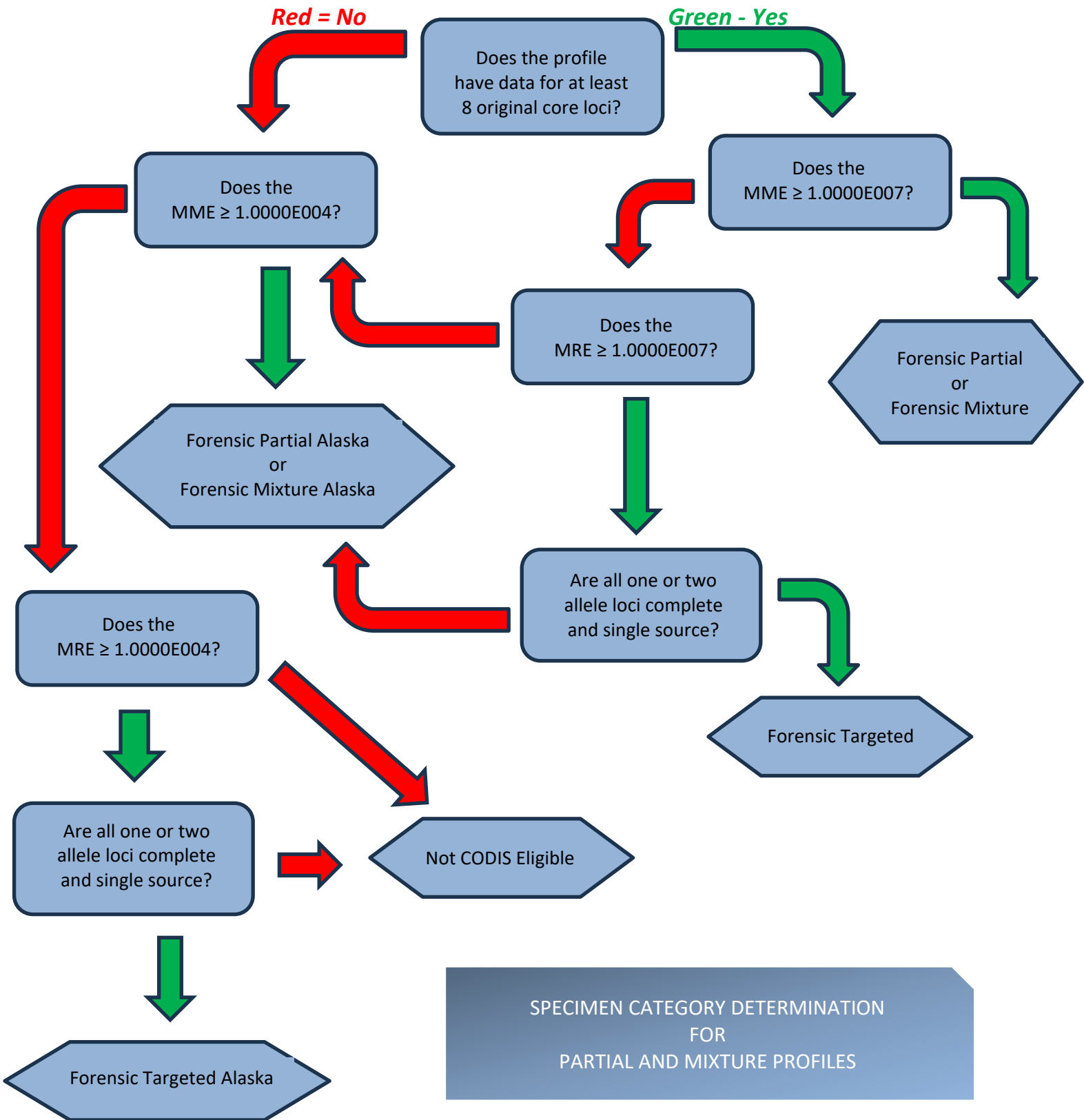
## Appendix E Manual Entry of Forensic Unknown (Complete, Single Source) Profiles

- 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 following specimen information must be added to the relevant evidence custom form in the LIMS.
  - Specimen ID
  - Intended final specimen category in the Specimen Category field
  - Profile Type
- The .pdf file of the Forensic Unreviewed entry is added as an attachment to the appropriate item in LIMS. The attachment name must start with COD and should include a brief description.
- The technical reviewer will review the attachments in LIMS.
  - If no changes are required, the technical reviewer marks the attachments as reviewed.
  - If changes are required, the reviewer can download the .pdf(s) to the review folder and add comments regarding the necessary changes.
- Upon approval of the proposed entry, the technical reviewer will update the evidence custom form with the entry approval date.
- Either the analyst or the technical reviewer can then update the specimen category to Forensic Unknown in CODIS, add the final .pdf to the attachments on the item in the LIMS and enter the Date Profile Live in CODIS in the evidence custom form. The attachment name must start with COD and should include a brief description.
  - The Forensic Unknown Alaska specimen category is reserved for complete single source profiles where extenuating circumstances preclude uploading the profile to NDIS. This category is used only at the direction of a CODIS administrator.
- The other individual must then review the final attachment in the LIMS and mark it as reviewed.
- A copy [physical or electronic] is provided to the State Administrator for upload to NDIS.

## Appendix F 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.
  - Note: When possible, a profile should be entered in such a way as to be eligible for upload to NDIS. This could include entering alleles/loci that are not suitable for inclusion in statistical calculations or not entering loci that are partial/mixed even though the data is suitable for interpretation/statistics. The MME/MRE for alternative entry strategies can be compared to make these decisions.
    - A single source profile with only a few partial loci may be in the Forensic Partial Alaska specimen category if all interpretable loci are entered. However, if the partial loci are dropped and the MME is still greater than the NDIS threshold, it can be included in the Forensic Targeted category and uploaded to NDIS.
    - A mixture profile entry with only a few possible mixed loci may be in the Forensic Mixture Alaska category. However, if the mixed loci are dropped and the MME is still greater than the NDIS threshold, it can be included in the Forensic Partial category and uploaded to NDIS.
  - 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 intended Specimen Category, the Specimen ID and the Profile Type on the relevant evidence custom form in the LIMS.

- 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, depending on whether the profile is believed to be a single source or a 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), **and** all one or two allele loci are believed to be complete **and** from a single individual, the specimen category will be Forensic Targeted.
  - Note: The Forensic Targeted category is designed to capture profiles that are not complete indistinguishable mixtures. All one and two allele loci for these specimens will be searched at high stringency.
- 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 (see above note r.e. Forensic Targeted)
- 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 .pdf file of the Forensic Unreviewed entry is added as an attachment to the appropriate item in LIMS. The attachment name must start with COD and should include a brief description.
- The technical reviewer will review the attachments in LIMS.
  - If no changes are required, the technical reviewer marks the attachments as reviewed.
  - If changes are required, the reviewer can download the .pdf(s) to the review folder and add comments regarding the necessary changes.
- Upon approval of the proposed entry, the technical reviewer will update the evidence custom form with the entry approval date.
- Either the analyst or the technical reviewer can then update the specimen category to the final category in CODIS, add the final .pdf to the attachments on the item in the LIMS and update the Live date in the evidence custom form.
- The other individual must then review the final attachment in the LIMS and mark it as reviewed.
- 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.



SPECIMEN CATEGORY DETERMINATION  
FOR  
PARTIAL AND MIXTURE PROFILES



## **Appendix G 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. Sitka 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. 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 casework profiles, the Specimen ID, intended final Specimen Category and profile type must be added to the relevant evidence custom form in the LIMS.
  - The .pdf file of the Forensic Unreviewed entry is added as an attachment to the appropriate item in LIMS. The attachment name must start with COD and should include a brief description.
  - The technical reviewer will review the attachments in LIMS.
    - If no changes are required, the technical reviewer marks the attachments as reviewed.
    - If changes are required, the reviewer can download the .pdf(s) to the review folder and add comments regarding the necessary changes.
  - Upon approval of the proposed entry, the technical reviewer will update the evidence custom form with the entry approval date.
  - Either the analyst or the technical reviewer can then update the specimen category to the final category in CODIS, add the final .pdf to the attachments on the item in the LIMS and update the Live date in the evidence custom form.
  - The other individual must then review the final attachment in the LIMS and mark it as reviewed.
- Staff profiles require a second review if entered manually. The entry and review information is captured on the elimination database tracking spreadsheet in SharePoint.
  - Upon completion of the initial review, the specimen category may be updated to the Staff specimen category.
  - Staff profiles uploaded via a .cmf file are immediately uploaded into the Staff specimen category after being “reviewed” by a CODIS Administrator.
- A copy [physical or electronic] is provided to the State Administrator for upload to NDIS.

## Appendix H 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 last name must be changed to "Expunged" for the record to save. 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 a Laboratory Chief (or designee), a 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 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. This letter is written outside of the LIMS system.
- 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 I 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.

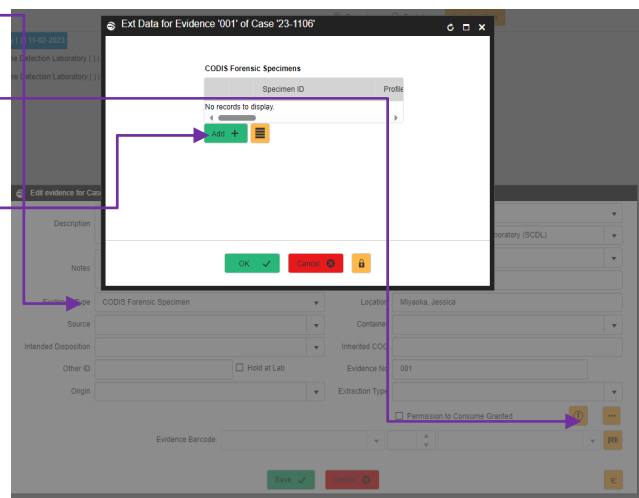
## Appendix J Confirming and Reporting Intrastate Offender/Arrestee to Unidentified Forensic

**Note:** FB CODIS Communication results are added to the item that is in the case where the letter is being written and will be Specimen 1 in the CODIS Communication letter. The Specimen 2 information will be added to the result under Specimen 1.

The following pieces of information control the supplemental language that is added [after the specimen 1 and 2 information] for each match: Profile type, Match type, new info type.

1. The confirmation steps may be completed concurrently to decrease the turnaround time for confirmation and reporting.
2. Update the match disposition to Pending. The initials of the analyst responsible for reporting may be added in the match notes.
3. Relate the offender and forensic case records in the LIMS, adding a note that the relation is owing to a CODIS match.
4. Verify the specimen eligibility of the forensic specimen (Alaska forensic specimen)
  - a. If the eligibility of the forensic specimen is in question, stop and consult a CODIS administrator.
  - b. A virtual item of evidence must be created to issue a hit letter for a profile from a sub-item of a parent item that was not itemized in the LIMS during analysis. For example, if a profile from a vaginal swab was entered in CODIS but the vaginal swab was not sub-itemized from the kit in the LIMS. Major/minor components and differential fractions do not require further itemization.
    - i. The (SCDL) Scientific Crime Detection Laboratory should be added as a case agency without an agency case number.
    - ii. Open the case in LIMS, go to the Evidence tab, and click  the green button to add the virtual item.
      1. Use the item # of the parent item, followed by "-VirtualA" (ex. P24001357-VirtualA). If another virtual item needed to be created it would end with "B" and so on.
      2. The submitting agency for the virtual item is SCDL and the agency representative is the analyst creating the virtual item.
      3. The item description should be a brief description of the item from which the profile was generated.
      4. It is not necessary to create the item with a chain of custody.
    - c. If not previously completed during casework, the casework specimen needs to be designated as an Evidence Type of CODIS Forensic Specimen (in the evidence tab in LIMS) and the applicable fields in the evidence custom form completed.
      - i. Right click the item the profile was generated from.
      - ii. Select Edit

- iii. Change Evidence Type to CODIS Forensic Specimen
- iv. Click the orange ... button on the right side of the window
- v. Click the green Add + button to add a row to the grid and fill out the fields as applicable
- vi. Specimen ID, profile type, date live in CODIS (when spec category flipped), check source ID if known at time of entry
- vii. If source ID via CODIS hit, check box and add date when hit letter is being submitted for review.



- viii. Add source ID method at appropriate time

5. Create a CODIS Communication request in the forensic case record in the LIMS.
  - a. Relate forensic specimen and offender buccal and prints, case related individuals and the most serious relevant offense
  - b. Add appropriate individuals to the CC list for the request
6. If not already populated, add Evidence Type of Conviction, Arrestee or Juvenile CODIS Collection for both the buccal swab and print items.
  - a. Right click the item the profile was generated from, Select Edit and Change Evidence Type to the appropriate type of CODIS Collection
7. Check the offender record in LIMS to determine if the print card has previously been scanned and attached to the evidence item.
  - a. If not, obtain the offender print card from CODIS storage
    - i. If the card has not been scanned and is at R&I, e-mail the DNA Notify group to request confirmation and upload to the document archive. Then download the image and add the image to the item in LIMS.
    - ii. If the prints on the card have not been previously verified, request print verification by a qualified latent examiner.
    - iii. Consult a CODIS Administrator when the prints are verified to an APSIN # other than the one on the print card
    - iv. 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 will be included in the CODIS communication
    - v. Scan the print card and attach to the evidence item in LIMS, as instructed in the [Scanning Print Cards](#) section of Appendix B. **Note:** Change the folder so that the scan is saved on the desktop rather than the DNA Card Batch folder. Once the print card is attached to the item in LIMS, the scan should be deleted from the desktop. The card is then returned to the container it was retrieved from.
  - b. If the card has previously been scanned, determine whether the prints were previously verified.
    - i. Cards not sent to R&I before 4.7.23 are now being scanned and transferred digitally. The following link accesses the repository of scanned cards, where R&I verification of new cards can be checked: [Document Archive \(alaska.gov\)](http://Document Archive (alaska.gov)). To see

- if a digitally transferred card has been verified by R&I, select the Document Type of DNA card, and enter the LIMS case #.
1. If a record is returned, click on the file folder at the left of the record to see an image of the card with verification results.
  2. If no records are returned, request verification by a qualified laboratory staff member.
  3. Ensure that verification information is captured in the custom form for the evidence item. Update the individual information in the LIMS case record, if needed, based on the verification results.
- ii. Request verification of the qualifying offense by the laboratory legal representative or designee.
    1. 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.
    2. Refer to the section on Expungements / Administrative removals for non-qualifying offenders when removal is advised.
    3. Matches to offender samples collected “in good faith” may be reported at the discretion of the legal representative.
    4. If advised that the match cannot be reported, the confirmation process is stopped. Requests related to the match are cancelled.
8. The evidence custom form for the appropriate print card is completed to reflect the status of identity confirmation.
- a. The form is accessed as described above for the buccal swab item.
  - b. As above, a row is added to the grid and the following fields are completed: Specimen ID, identity status, date and specimen notes. In the notes field, record the initials of the individual or group (R&I) who attempted/completed the verification.
9. Verification of the offender profile occurs via one of the following means.
- a. The offender and the named suspect have the same name (and DOB if available)
  - b. Profile verification to a previously analyzed duplicate offender sample
  - c. Profile verification to a previously analyzed casework known
  - d. Offender information verified via a previous NDIS conviction match
  - e. Offender previously matched to a case where they were named as a possible source (i.e. a warm hit)
  - f. If none of the above are available 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 and relate the item # requiring re-analysis. *NOTE: The item may first require editing to add an Extraction Type of Dir.* The requesting agent should be the laboratory staff member who will be authoring the CODIS communication. As per the [Forensic Biology Procedure Manual](#), the confirmation process may be via RapidHIT for samples that are less than five years old.
    - i. If the request is going in the queue for re-extracts, a complexity of DB-ReExtract is added to the request. 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.
- ii. 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.
  - g. 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.
10. If verification of the offender profile is not possible, this will be stated in the CODIS communication.
- a. 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.
11. The evidence custom form for the appropriate buccal swab item is completed to reflect the means/status of the profile confirmation.
- a. From the Edit evidence window click the orange ... button on the right side of the window, then click the green Add + button to add a row to the grid and fill out the following fields: Specimen ID, profile type (for the original CODIS entry), Date profile live and profile status.
  - b. Once a CODIS confirmation request has been technically reviewed, the request can be selected in the appropriate drop-down. It is also possible to manually type a request case and identity from another case where the profile was confirmed, or the match ID of a conviction match where the profile was verified.
12. Once all confirmation steps are completed and any discrepancies are successfully resolved, proceed with reporting of the CODIS Communication and recording of hit metrics.
- a. Update the match disposition and source ID of the forensic specimen in CODIS
    - i. 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.
    - ii. Record an Investigation Aided (IA) in CODIS, if appropriate, on the forensic specimen(s).
      1. An IA is only recorded once per laboratory case and only when the match identifies a potentially probative source of DNA. Therefore, if any item in the laboratory case was previously reported with an IA then an IA will not be recorded this time.
    - iii. A .pdf of the match details is exported and added as a case image (in LIMS) for the CODIS communication request.
  - b. Right click on the CODIS communication request to Edit findings.
    - i. Right click on the forensic item and add a Result Type of FB CODIS Communication and click save.
    - ii. In the result custom form (orange ...), select the forensic spec ID from drop down
    - iii. Click on the green Add + button to add a row to the grid. One row is added for each unique match ID to a particular forensic specimen.
      1. Populate the purple fields in the custom form
        - a. Only record an IA if appropriate, as described above
        - b. notes field is to capture something not included in another field
        - c. FSHOP box is checked for all AK forensic specimens



- d. Type of new information is source ID only
2. Populate the brown fields in the custom form
  - a. Since source linked to offender prints and buccal, either can be selected in the matched spec ID dropdown
  - b. FSHOP box not checked for offender samples
  - c. Type of new information for the offender is no new info
  - d. Click ok twice to close the grid and then the custom form
- iv. If there are multiple matches to a single forensic specimen, a new row is added to the grid for each match. This could occur when two different offenders match to a single mixture or if identical twins match to the same forensic unknown.
- v. If matches to two different forensic specimens are being reported in a single communication, each must have a FB communication result added to it.
13. Click Save and close the findings window
14. Prior to marking the request Draft Complete, populate the Request Dates and SOPs tab in the request custom form (Edit request, click orange ...)
15. Provide a completed review [checklist](#) for an administrative review.

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

**Note:** FB CODIS Communication results are added to the item that is in the case where the letter is being written (i.e. Specimen 1 in the CODIS Communication letter). The Specimen 2 information will be added to the result under Specimen 1.

The following pieces of information control the supplemental language that is added [after the specimen 1 and 2 information] for each match: Profile type, Match type, new info type.

1. The confirmation steps may be completed concurrently to decrease the turnaround time for confirmation and reporting.
2. Upon receipt of a confirmation request from the other lab, update the match note in CODIS to indicate that confirmation has been requested. Initials of the individual responsible for reporting may also be added.
3. Create a CODIS Communication request in the offender case record in the LIMS and relate the relevant offender buccal and print items, and the individual.
  - a. It may be necessary to have a CODIS administrator add the offender lab agency and/or agency representative if they don't already exist in the LIMS.
  - b. If the offender lab already exists, verify that the agency e-mail, agency representative and agency representative e-mails are current.
  - c. Add appropriate individuals to the CC list. If there are multiple available contacts for the offender lab, add the additional individuals to the cc list.
4. Check the offender record in LIMS to determine if the print card has previously been scanned and attached to the evidence item.
  - a. If not, obtain the offender print card from CODIS storage
    - i. If the card has not been scanned and is at R&I, e-mail the DNA Notify group to request confirmation and upload to the document archive. Then download the image and add the image to the item in LIMS.
    - ii. If the prints on the card have not been previously verified, request print verification by a qualified latent examiner.
    - iii. Consult a CODIS Administrator when the prints are verified to an APSIN # other than the one on the print card
    - iv. 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
    - v. Scan the print card and attach to the evidence item in LIMS, as instructed in the [Scanning Print Cards](#) section of the Forensic Biology Procedure Manual, Appendix Z. **Note:** Change the folder so that the scan is saved on the desktop rather than the DNA Card Batch folder. Once the print card is attached to the item in LIMS, the scan should be deleted from the desktop. The card is then returned to the container it was retrieved from.
  - b. If the card has previously been scanned, determine whether the prints were previously verified.
    - i. Cards not sent to R&I before 4.7.23 are now being scanned and transferred digitally. The following link accesses the repository of scanned cards, where R&I verification of new cards can be checked: [Document Archive \(alaska.gov\)](#). To see

if a digitally transferred card has been verified by R&I, select the Document Type of DNA card, and enter the LIMS case #.

1. If a record is returned, click on the file folder at the left of the record to see an image of the card with verification results.
2. If no records are returned, request verification by a qualified laboratory staff member.
3. Ensure that verification information is captured in the custom form for the evidence item. Update the individual information in the LIMS case record, if needed, based on the verification results.
- ii. Request verification of the qualifying offense by the laboratory legal representative or designee.
  1. 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.
  2. Refer to the section on Expungements / Administrative removals for non-qualifying offenders when removal is advised.
  3. Matches to offender samples collected “in good faith” may be reported at the discretion of the legal representative.
  4. 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.
5. The evidence custom form for the appropriate print card is completed to reflect the status of identity confirmation.
  - a. The form is accessed as described above for the buccal swab item.
  - b. As above, a row is added to the grid and the following fields are completed: Specimen ID, identity status, date and specimen notes. In the notes field, record the initials of the individual or group (R&I) who attempted/completed the verification.
6. Verification of the offender profile occurs via one of the following means. Ensure that the profile verification information is captured in the custom form for the evidence item.
  - a. The offender and the named suspect have the same name (and DOB if available)
  - b. Profile verification to a previously analyzed duplicate offender sample
  - c. Profile verification to a previously analyzed casework known
  - d. Offender information verified via a previous NDIS conviction match
  - e. Offender previously matched to a case where they were named as a possible source (i.e. a warm hit)
  - f. If none of the above are available 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 and relate the item # requiring re-analysis. *NOTE: The item may first require editing to add an Extraction Type of Dir.* The requesting agent should be the laboratory staff member who will be authoring the CODIS Communication. As per the [Forensic Biology Procedure Manual](#), the confirmation process may be via RapidHIT for samples that are less than five years old.
    - i. If the request is going in the queue for re-extracts, a complexity of DB-ReExtract


- is added to the request. 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.
- ii. 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.
  - g. 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.
7. If verification of the offender profile is not possible, this shall be stated in the CODIS Communication.
    - a. 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.
  8. The evidence custom form for the appropriate buccal swab item is completed to reflect the means/status of the profile confirmation.
    - a. From the Edit evidence window, click the orange ... button on the right side of the window and then click the green Add + button to add a row to the grid and fill out the following fields: Specimen ID, profile type (for the original CODIS entry), Date profile live and profile status.
    - b. Once a CODIS confirmation request has been technically reviewed, the request can be selected in the appropriate drop-down. It is also possible to manually type a request case and identity from another case where the profile was confirmed, or the match ID of a conviction match where the profile was verified.
  9. Once all confirmation steps are completed and any discrepancies are successfully resolved, proceed with reporting of the CODIS Communication and recording of hit metrics.
    - a. Update the match disposition in CODIS
      - i. A .pdf of the match details is exported and added as a case image (in LIMS) for the CODIS communication request.
    - b. Add additional information for the offender (FBI #, last known whereabouts, effective date) to the individual custom form (orange ...). This additional information is obtained via APSIN. If unable to obtain the information without assistance, consult a CODIS Administrator.
      - i. Last known whereabouts for an offender should be updated [if previous data existed] rather than adding a new row to the grid.
    - c. Right click on the CODIS communication request to Edit findings, add a Result Type of FB CODIS Communication to the buccal item and click save.
      - i. In the result custom form (orange ...), select the offender spec ID from drop down
      - ii. Click on the green Add + button to add a row to the grid. One row is added for each unique match ID to a particular forensic specimen.
        1. Populate the appropriate purple fields in the custom form
          - a. No IA is recorded
          - b. notes field is to capture something not included in another field
          - c. FSHOP box is **not** checked for all AK offenders
          - d. Type of new information is No new info

2. Populate blue fields with all available information.
    - a. Source ID checked if the source of the NDIS specimen was known before the match and the name was provided by the other lab
    - b. Type of new info is Source ID only.
    - c. Click ok twice to close the grid and then the custom form
  - iii. If there are multiple matches to a single offender specimen, a new row is added to the grid for each match. This could occur when an offender matches to a more than one forensic specimen from the same lab.
  - iv. If matches to two different offender specimens are being reported in a single communication, each must have a FB communication result added to it.
10. Click Save and close the findings window
  11. Prior to marking the request Draft Complete, populate the Request Dates and SOPs tab in the request custom form (Edit request, click orange ...)
  12. Provide a completed review [checklist](#) for an administrative review.

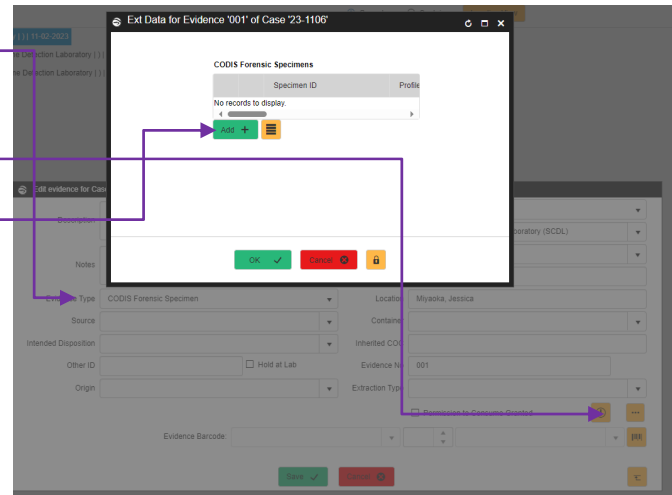
## Appendix L Confirming and Reporting Out of State Offender/Arrestee to Alaska Unidentified Forensic

**Note:** FB CODIS Communication results are added to the item that is in the case where the letter is being written (i.e. Specimen 1 in the CODIS Communication letter). The Specimen 2 information will be added to the result under Specimen 1.

The following pieces of information control the supplemental language that is added [after the specimen 1 and 2 information] for each match: Profile type, Match type, new info type.

1. Verify the specimen eligibility of the forensic specimen
  - a. If the eligibility of the forensic specimen is in question, stop and consult a CODIS administrator.
  - b. Update the match disposition to Pending in CODIS. The initials of the analyst responsible for reporting may be added in the match notes. A .pdf of the match details is added as a case image (in LIMS) for the CODIS communication request.
  - c. A virtual item of evidence must be created to issue a hit letter for a profile from a sub-item of a parent item that was not itemized in the LIMS during analysis. For example, if a profile from a vaginal swab was entered in CODIS but the vaginal swab was not sub-itemized from the kit in the LIMS. Major/minor components and differential fractions do not require further itemization.
    - i. The (SCDL) Scientific Crime Detection Laboratory should be added as a case agency without an agency case number.
    - ii. Open the case in LIMS, go to the Evidence tab, and click  the green button to add the virtual item.
      1. Use the item # of the parent item, followed by "-VirtualA" (ex. P24001357-VirtualA). If another virtual item needed to be created it would end with "B" and so on.
      2. The submitting agency for the virtual item is SCDL and the agency representative is the analyst creating the virtual item.
      3. The item description should be a brief description of the item from which the profile was generated.
      4. It is not necessary to create the item with a chain of custody.
  - d. If not previously completed during casework, the casework specimen needs to be designated as an Evidence Type of CODIS Forensic Specimen (in the evidence tab in LIMS) and the applicable fields in the evidence custom form completed.
    - i. Right click the item the profile was generated from.
    - ii. Select Edit

- iii. Change Evidence Type to CODIS Forensic Specimen
- iv. Click the orange ... button on the right side of the window
- v. Click the green Add + button to add a row to the grid and fill out the fields as applicable
- vi. Specimen ID, profile type, date live in CODIS (when spec category flipped), check source ID if known at time of entry



- vii. If source ID via CODIS hit, check box and add date when hit letter is being submitted for review.
- viii. Add source ID method at appropriate time

- 2. Create a CODIS Communication Request to the investigating law enforcement agency in the forensic case record in the LIMS.
  - a. Relate the forensic specimen, relevant case related individuals and the most serious relevant offense to the request.
  - b. Add appropriate individuals to the CC list for the request
  - c. Right click on the CODIS communication request to Edit findings, add a Result Type of FB CODIS Communication to the relevant forensic specimen and click save.
    - i. In the result custom form (orange ...), select forensic spec ID from drop down
    - ii. Click on the green Add + button to add a row to the grid. One row is added for each unique match ID to a particular forensic specimen.
      - 1. Populate the purple fields in the custom form
        - a. Only record an IA if appropriate, as described above
        - b. notes field is to capture something not included in another field
        - c. FSHOP box is checked for all AK forensic specimens
        - d. Type of new information is source ID only
      - 2. Populate the blue fields in the custom form with the Spec ID, Profile Type, NDIS State and No new info.
- 3. Create a CODIS Interstate Request to the offender lab and relate the relevant forensic specimen
  - a. It may be necessary to have a CODIS administrator add the offender lab agency and/or agency representative if they don't already exist in the LIMS.
  - b. If the offender lab already exists, verify that the agency e-mail, agency representative and agency representative e-mails are current.
  - c. Add appropriate individuals to the CC list. If there are multiple available contacts for the offender lab, add the additional individuals to the cc list.
  - d. Right click on the CODIS Interstate request to Edit findings.
    - i. Right click on the forensic item and add a Result Type of FB CODIS IIR and click save
    - ii. In the result custom form (orange ...), select the appropriate match ID from the drop down

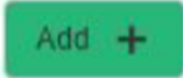
- iii. Click OK and then Save. Close the findings window.
4. Prior to marking the request Draft Complete, populate the Request Dates and SOPs tab in the request custom form (Edit request, click orange ...)
5. Pend the CODIS Communication request.
6. Provide a completed review [checklist](#) for an administrative review.
7. Upon receipt of the confirmation, unpend the CODIS Communication request and proceed with reporting to the investigating agency.
  - a. Update the match disposition and source ID of the forensic specimen in CODIS
    - i. 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.
    - ii. Record an Investigation Aided (IA) in CODIS, if appropriate, on the forensic specimen(s).
      1. An IA is only recorded once per laboratory case and only when the match identifies a potentially probative source of DNA. Therefore, if any item in the laboratory case was previously reported with an IA then an IA will not be recorded this time.
    - iii. A .pdf of the match details is exported and added as a case image (in LIMS) for the CODIS communication request. Add individual to forensic case record with individual type of CODIS match
  - b. Add the newly identified individual to the individual tab with an individual type of CODIS match. Add all provided information (name, DOB, etc.) into appropriate fields.
    - i. If additional information provided (like FBI #, last known whereabouts, etc) add to custom form (orange ...) after saving the individual.
      1. Last known whereabouts for an offender should be updated [if previous data existed] rather than adding a new row to the grid.
  - c. Return to the custom form in the CODIS Communication request by editing findings, selecting the FB CODIS Communication result and then clicking again on the orange ....
  - d. Edit the existing row in the grid for the relevant Match ID by clicking on the pencil icon.
    - i. Select the CODIS match individual from the drop down in the green field
    - ii. Populate the following blue fields for the offender sample:
      1. Source ID checked
      2. Remaining fields are left blank
    - iii. Click ok twice to close the grid and then the custom form
  - e. Click Save and close the findings window
  - f. Prior to marking the request Draft Complete, populate the Request Dates and SOPs tab in the request custom form (Edit request, click orange ...)
  - g. Provide a completed review [checklist](#) for an administrative review.



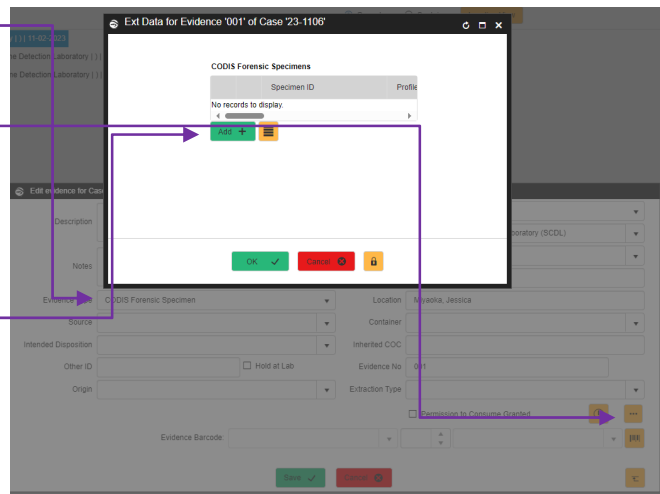
## Appendix M Confirming and Reporting Intrastate Forensic to Forensic

**Note:** FB CODIS Communication results are added to the item that is in the case where the letter is being written (i.e. Specimen 1 in the CODIS Communication letter). The Specimen 2 information will be added to the result under Specimen 1.

The following pieces of information control the supplemental language that is added [after the specimen 1 and 2 information] for each match: Profile type, Match type, new info type.

1. Relate the forensic case records in the LIMS, noting that the relation is owing to a CODIS match.
2. Verify the specimen eligibility of the forensic specimens
  - a. If the eligibility of one or both forensic specimens is in question, stop and consult a CODIS administrator.
  - b. A virtual item of evidence must be created to issue a hit letter for a profile from a sub-item of a parent item that was not itemized in the LIMS during analysis. For example, if a profile from a vaginal swab was entered in CODIS but the vaginal swab was not sub-itemized from the kit in the LIMS. Major/minor components and differential fractions do not require further itemization.
    - i. The (SCDL) Scientific Crime Detection Laboratory should be added as a case agency without an agency case number.
    - ii. Open the case in LIMS, go to the Evidence tab, and click  the green button to add the virtual item.
      1. Use the item # of the parent item, followed by "-VirtualA" (ex. P24001357-VirtualA). If another virtual item needed to be created it would end with "B" and so on.
      2. The submitting agency for the virtual item is SCDL and the agency representative is the analyst creating the virtual item.
      3. The item description should be a brief description of the item from which the profile was generated.
      4. It is not necessary to create the item with a chain of custody.
  - c. If not previously completed during casework, both casework specimens need to be designated as an Evidence Type of CODIS Forensic Specimen (in the evidence tab in LIMS) and the applicable fields in the evidence custom form completed.
    - i. Right click the item the profile was generated from.
    - ii. Select Edit

- iii. Change Evidence Type to CODIS Forensic Specimen
- iv. Click the orange ... button on the right side of the window
- v. Click the green Add + button to add a row to the grid and fill out the fields as applicable
- vi. Specimen ID, profile type, date live in CODIS (when spec category flipped), check source ID if known at time of entry
- vii. If source ID via CODIS hit, check box and add date when hit letter is being submitted for review.
- viii. Add source ID method at appropriate time




3. Create a CODIS Communication request in the case record of the unsolved case or in the case record of the most recently entered case when both cases had the same source ID status prior to the match.
  - a. Relate both forensic specimens, relevant case related individuals and the most serious relevant offense
  - b. Add appropriate individuals to the CC list for the request
4. Update the match disposition and source ID of the forensic specimen(s) in CODIS.
  - a. 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.
  - b. Record an Investigation Aided (IA) in CODIS, if appropriate, on the forensic specimen(s).
    - i. An IA is only recorded once per laboratory case and only when the match identifies a potentially probative source of DNA. Therefore, if any item in the laboratory case was previously reported with an IA then an IA will not be recorded this time.
  - c. A .pdf of the match details is exported and added as a case image (in LIMS) for the CODIS communication request.
5. Right click on the CODIS communication request to Edit findings.
  - a. Right click on the forensic item from the current case record and add a Result Type of FB CODIS Communication and click save.
  - b. In the result custom form (orange ...), select the forensic spec ID from drop down
  - c. Click on the green Add + button to add a row to the grid. One row is added for each unique match ID to a particular forensic specimen.
    - i. Populate the purple fields in the custom form
      1. Only record an IA (or two) if appropriate, as described above
      2. notes field is to capture something not included in another field
      3. FSHOP box is checked for all AK forensic specimens
      4. Type of new information is either multiple cases only (when both cases

- had the same source ID status prior to the match) or Both source ID and multiple cases (where one specimen was known and one was unknown prior to the match).
- ii. If the source of either specimen is known at the time of reporting, select the matched specimen name from the drop-down in the green field.
    1. If the individual was identified in the related case (not the case where the CODIS Communication is being written), they will need to first be added to the individual tab with an individual type of CODIS match.
  - iii. Populate all the brown fields in the custom form
    1. The specimen ID is the 2<sup>nd</sup> specimen in the match (not the one the result is added to). The sample must be related to the request to appear in the drop-down.
    2. FSHOP box is checked for all AK forensic specimens
    3. Type of new information is always multiple cases only
  - d. Click ok twice to close the grid and then the custom form
    - i. If there are multiple matches to a single forensic specimen, a new row is added to the grid for each match. This could occur when there are multiple matches to a single forensic specimen.
    - ii. If matches to multiple forensic specimens are being reported in a single communication, each must have a FB communication result added to it.
  - e. Click Save and close the findings window
  - f. Prior to marking the request Draft Complete, populate the Request Dates and SOPs tab in the request custom form (Edit request, click orange ...)
6. Create a CODIS Communication Reprint request in each additional forensic case record. Typically, the number of CODIS reprint requests will equal the number of forensic cases referenced in letter minus one.
- a. Relate the relevant evidence, individuals and most serious offense.
  - b. 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.
  - c. For each reprint request, complete the following steps:
    - i. Right click and click Additional Data. Select the case/request number for the current CODIS Communication Request.
    - ii. Right click to edit findings and then save and draft complete. No actual findings need to be entered.
  - d. Provide a completed review [checklist](#) for an administrative review.
    - i. 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.

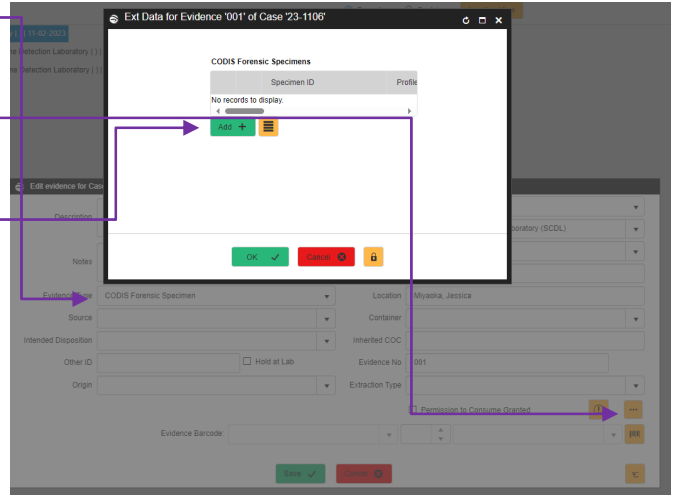
## Appendix N Confirming and Reporting Interstate Forensic to Forensic

**Note:** FB CODIS Communication results are added to the item that is in the case where the letter is being written (i.e. Specimen 1 in the CODIS Communication letter). The Specimen 2 information will be added to the result under Specimen 1.

The following pieces of information control the supplemental language that is added [after the specimen 1 and 2 information] for each match: Profile type, Match type, new info type.

1. Verify the specimen eligibility of the Alaska forensic specimen
  - a. If the eligibility of the forensic specimen is in question, stop and consult a CODIS administrator.
  - b. A virtual item of evidence must be created to issue a hit letter for a profile from a sub-item of a parent item that was not itemized in the LIMS during analysis. For example, if a profile from a vaginal swab was entered in CODIS but the vaginal swab was not sub-itemized from the kit in the LIMS. Major/minor components and differential fractions do not require further itemization.
    - i. The (SCDL) Scientific Crime Detection Laboratory should be added as a case agency without an agency case number.
    - ii. Open the case in LIMS, go to the Evidence tab, and click  the green button to add the virtual item.
      1. Use the item # of the parent item, followed by "-VirtualA" (ex. P24001357-VirtualA). If another virtual item needed to be created it would end with "B" and so on.
      2. The submitting agency for the virtual item is SCDL and the agency representative is the analyst creating the virtual item.
      3. The item description should be a brief description of the item from which the profile was generated.
      4. It is not necessary to create the item with a chain of custody.
  - c. If not previously completed during casework, the casework specimen needs to be designated as an Evidence Type of CODIS Forensic Specimen (in the evidence tab in LIMS) and the applicable fields in the evidence custom form completed.
    - i. Right click the item the profile was generated from.
    - ii. Select Edit

- iii. Change Evidence Type to CODIS Forensic Specimen
  - iv. Click the orange ... button on the right side of the window
  - v. Click the green Add + button to add a row to the grid and fill out the fields as applicable
  - vi. Specimen ID, profile type, date live in CODIS (when spec category flipped), check source ID if known at time of entry
  - vii. If source ID via CODIS hit, check box and add date when hit letter is being submitted for review.
  - viii. Add source ID method at appropriate time
2. Create a CODIS Communication Request to the investigating law enforcement agency in the forensic case record in the LIMS.
    - a. Relate the forensic specimen, relevant case related individuals and the most serious relevant offense to the request.
    - b. Add appropriate individuals to the CC list for the request
  3. Update the match disposition and source ID of the forensic specimen(s) in CODIS.
    - a. If no communication has occurred yet with the out of state lab, the disposition is set to pending at this time.
    - b. 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.
    - c. Record an Investigation Aided (IA) in CODIS, if appropriate, on the forensic specimen.
      - i. An IA is only recorded once per laboratory case and only when the match identifies a potentially probative source of DNA. Therefore, if any item in the laboratory case was previously reported with an IA then an IA will not be recorded this time.
    - d. A .pdf of the match details with the final disposition and source IDs will be exported and added as a case image (in LIMS) for the CODIS communication request.
  4. Right click on the CODIS communication request to Edit findings.
    - a. Right click on the forensic item from the current case record and add a Result Type of FB CODIS Communication and click save.
    - b. In the result custom form (orange ...), select the forensic spec ID from drop down
    - c. Click on the green Add + button to add a row to the grid. One row is added for each unique match ID to a particular forensic specimen.
      - i. Populate the purple fields in the custom form
        1. Only record an IA if appropriate, as described above
        2. Match type is the CODIS disposition
        3. notes field is to capture something not included in another field



4. FSHOP box is checked for all AK forensic specimens
5. Type of new information is either multiple cases only (when both cases had the same source ID status prior to the match) or Both source ID and multiple cases (where the source of the Alaska specimen was unknown prior to the match).
- ii. Populate the blue fields in the custom form with the available information.
  1. If case information has not yet been received from the out of state lab, only populate Spec ID, Profile Type, New info type (based on current source ID of NDIS specimen) and NDIS State at this time; then skip to Step 6.
  2. If the out of state lab has already provided their case information, continue with the blue fields.
    - a. Description, if provided
    - b. Source ID checked if the source of the NDIS specimen was known before the match and the name was provided by the other lab
    - c. Type of new information is either multiple cases only (when the specimens were either both known or both unknown) or Both source ID and multiple cases (when the source of the out of state specimen was unknown prior to the match, but ours was known).
    - d. Complete the fields for the out of state investigative agency with all available information.
- iii. If the source was not previously known in AK, but was identified by the out of state lab, add the newly identified individual to the individual tab with an individual type of CODIS match. Add all provided information (name, DOB, etc.) into appropriate fields.
  1. If the name is known to the outside lab but not provided, enter the individual with a last name of **for name**] and a first name of **[contact xxxxxx agency rep** where xxxxxx is the state for the other agency.
  2. If additional information provided (like FBI #, last known whereabouts, etc) add to custom form (orange ...) after saving the individual.
    - a. Last known whereabouts for an offender should be updated [if previous data existed] rather than adding a new row to the grid.
  3. This individual now needs to be related to the CODIS communication request.
- iv. If the source was already known to either lab, select the individual from the drop-down in the green field
- d. Click ok twice to close the grid and then the custom form
  - i. If there are multiple matches to a single forensic specimen, a new row is added to the grid for each match. This could occur when there are multiple matches to a single forensic specimen.
  - ii. If matches to multiple forensic specimens are being reported in a single communication, each must have a FB communication result added to it.
- e. Click Save and close the findings window
- f. If the out of state lab has already provided their case information, add the final match details to the request in Attachments, populate the Request Dates and SOPs tab in the

- request custom form (Edit request, click orange ...) and mark the request Draft Complete.
- g. The out of state agency representative is added to the cc list for the CODIS communication request.
    - i. It may be necessary to have a CODIS administrator add the offender lab agency and/or agency representative if they don't already exist in the LIMS.
    - ii. If the offender lab already exists, verify that the agency e-mail, agency representative and agency representative e-mails are current.
    - iii. If there are multiple available contacts for the offender lab, add the additional individuals to the cc list.
5. Once the CODIS Communication Request is at draft complete, provide a completed review [checklist](#) for an administrative review.
  6. If case information has not yet been received from the out of state lab, create a CODIS Interstate Request to the offender lab and relate the appropriate forensic specimen
    - a. It may be necessary to have a CODIS administrator add the offender lab agency and/or agency representative if they don't already exist in the LIMS.
    - b. If the offender lab already exists, verify that the agency e-mail, agency representative and agency representative e-mails are current.
    - c. Add appropriate individuals to the CC list. If there are multiple available contacts for the offender lab, add the additional individuals to the cc list.
    - d. Right click on the CODIS Interstate request to Edit findings.
      - i. Right click on the forensic item and add a Result Type of FB CODIS IIR and click save
      - ii. In the result custom form (orange ...), select the appropriate match ID from the drop down
      - iii. Click OK and then Save. Close the findings window.
  7. Prior to marking the request Draft Complete, add the pending match details to the request in Attachments, populate the Request Dates and SOPs tab in the request custom form (Edit request, click orange ...)
  8. Pend the CODIS Communication request.
  9. Provide a completed review [checklist](#) for an administrative review.
  10. Upon receipt of the confirmation, unpend the CODIS Communication request and return to step 4.c.ii.2.

## Appendix O Sample CODIS Related Communications

### General Letter Format for Match Information

Match ID: AA0000012345

Match Stringency: High

Specimen #1: Specimen ID XXXXXXXXXXXX, specimen description (if available), profile type

Agency Name:

Agency Case #:

Agency Contact Information:

Agency Case Type and Offense Date:

Specimen #2: Specimen ID XXXXXXXXXXXX, specimen description (if available), profile type

\*Individual Name: xxxxxxxxxxxxxx

\*DOB: XX/XX/XXXX

\*Alaska State ID: xxxxxxxx

+FBI #: xxxxxxxx

^XXXXXXXX State ID: if relevant

+Last Known Whereabouts: if known (as of XX/XX/XXXX)

\*Offender Profile: xxxxxxxxxxxxxx

\*Identity: xxxxxxxxxxxxxx

\* These fields are expected for communications reporting in-state offenders.

+ These fields are included when reporting an Alaska offender to an out of state laboratory.

^ This field may be provided by an out of state laboratory to include when reporting to Alaska law enforcement.

When reporting an Alaska offender to an out of state agency, specimen 1 will be the offender and specimen 2 will be the forensic specimen.

When reporting a case-to-case match, both specimens will contain agency information. An individual name may also be included for solved cases.

Alias information does not typically need to be reported. The APSIN # (Alaska State ID) and/or the FBI # will allow to investigating agency to properly identify the offender or person of interest.



### **Supplemental Letter Language**

This language is determined by the options selected in the following fields of the custom forms and is not otherwise editable by the reporting analyst: profile type, type of new information for the sample and match type. Should a letter need to include language that is not addressed in the scripted report, the analyst will need to manually write the letter as described in [Appendix Q](#). Consult with a CODIS Administrator prior to using the FB Manual Entry result option.

#### Offender/Arrestee/Legal to Unidentified Alaska Forensic/UHR [SOH NOH to AKLE]

This match has been confirmed and this is to inform you of a possible investigative lead.

**The laboratory must be notified if the offender named above is determined not to be a perpetrator in the investigation.**

**A legal reference buccal sample from the individual (with a documented chain of custody) should be submitted to the Alaska Scientific Crime Detection Laboratory in each case where a DNA report may be needed for use in future legal proceedings.**

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

#### Out of State Offender/Arrestee to Unidentified Alaska Forensic (to another lab) [NOH request]

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.

#### Alaska Offender/Arrestee/Legal to Unidentified out-of-state Forensic/UHR [NOH to OOS]

This match has been confirmed and this is to inform you of a possible investigative lead.

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

**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.**

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

Intrastate/Interstate Forensic to Forensic (both unknown source) to AK agency [SFH-NFH both UNK]  
This match has been confirmed and this is to inform you of a possible investigative lead.

**These profiles have not been previously reported to match a known individual.**

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

Intrastate Forensic to Forensic (one unknown source) [SFH 1K]  
This match has been confirmed and this is to inform you of a possible investigative lead.

The profile from {Spec\_ID} was previously reported to match Name (DOB xx/xx/xxxx, Alaska State ID # XXXXXXX).

**The laboratory must be notified if the individual named above is determined not to be a perpetrator in either investigation.**

**A legal reference buccal sample from the individual (with a documented chain of custody) should be submitted to the Alaska Scientific Crime Detection Laboratory in each case where a DNA report may be needed for use in future legal proceedings.**

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

Intrastate Forensic to Forensic (both known source) [SFH 2K]  
This match has been confirmed and is being reported in accordance with the laboratory's accreditation requirements.

These profiles were both previously reported to match Name (DOB xx/xx/xxxx, Alaska State ID # XXXXXXX).

**The laboratory must be notified if the individual named above is determined not to be a perpetrator in either investigation.**

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

Interstate Forensic to Forensic (both unknown source) confirmation request [NFH UNK request]

This match has been confirmed and this is to inform you of a possible investigative lead.

**The Alaska profile has not been previously reported to match a known individual.**

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

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

Interstate Forensic to Forensic (AK known source only) confirmation request [NFH K request]

This match has been confirmed and this is to inform you of a possible investigative lead.

**The Alaska profile was previously reported to match Name (DOB xx/xx/xxxx, Alaska State ID # XXXXXXXX, FBI #).**

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

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

Interstate Forensic to Forensic (AK known source only) to AK agency [NFH 1K]

This match has been confirmed and this is to inform you of a possible investigative lead.

**The Alaska profile was previously reported to match Name (DOB xx/xx/xxxx, Alaska State ID # XXXXXXXX).**

**The laboratory must be notified if the individual named above is determined not to be a perpetrator in your investigation.**

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

Interstate Forensic to Forensic (non-AK known source only) confirmation request [NFH UNK request]

This match has been confirmed and this is to inform you of a possible investigative lead.

**The Alaska profile has not been previously reported to match a known individual.**

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

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

Interstate Forensic to Forensic (non-AK known source only) to AK agency [NFH 2K]

This match has been confirmed and this is to inform you of a possible investigative lead.

**The XXXXXX profile was previously reported to match Name (DOB xx/xx/xxxx, etc).**

**The laboratory must be notified if the individual named above is determined not to be a perpetrator in your investigation.**

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

Interstate Forensic to Forensic (both known source) confirmation request [NFH both K request]

This match has been confirmed and is being reported in accordance with the laboratory's accreditation requirements.

**The Alaska profile was previously reported to match Name (DOB xx/xx/xxxx, Alaska State ID # XXXXXXX).**

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

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

Interstate Forensic to Forensic (both known source) to AK agency [NFH both K]

This match has been confirmed and is being reported in accordance with the laboratory's accreditation requirements.

**The Alaska profile was previously reported to match Name (DOB xx/xx/xxxx, Alaska State ID # XXXXXXX).**

**The laboratory must be notified if the individual named above is determined not to be a perpetrator in your investigation.**

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

**Notification of CODIS Removal**

Please be advised that the DNA profile previously entered in CODIS [Specimen ID .....] has been removed from CODIS and will no longer be searched because it has been attributed to an individual who may not be a probative contributor.

Please be advised that the DNA profile previously entered in CODIS [Specimen ID .....] has been removed from CODIS and will no longer be searched because it has been advised that the specimen no longer meets the CODIS eligibility criteria of being related to a crime under Alaska Statute.

Please be advised that the DNA profile previously entered in CODIS [Specimen ID .....] has been removed from CODIS and will no longer be searched as the profile is not suitable for interpretation under current SOP.

**Notification of Completed Expungement**

TO:

FROM: ....., CODIS Administrator

DATE:

CC:

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

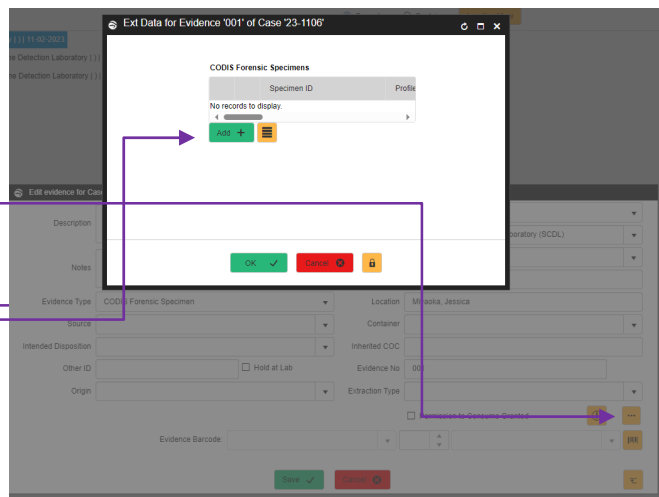
As requested in your letter dated [date], and in compliance with the court order issued by Superior Court Judge [name], the DNA sample and records pertaining to the DNA sample collected from [offender name] following his/her arrest in the above referenced case, have been destroyed. Please do not hesitate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

## Appendix P Reporting a CODIS Removal of a Forensic Specimen

When a forensic profile is removed from CODIS, a notification is issued to the investigating agency via a CODIS Communication request in the LIMS.

If not previously completed during casework, the casework specimen needs to be designated as an Evidence Type of CODIS Forensic Specimen (in the evidence tab in LIMS) and the applicable fields in the evidence custom form completed.

- Right click the item the profile was generated from.
- Select Edit
- Change Evidence Type to CODIS Forensic Specimen
- Click the orange ... button on the right side of the window
- Click the green Add + button to add a row to the grid and fill out the fields as applicable
- Specimen ID, profile type, date live in CODIS (when spec category flipped), check source ID if known at time of entry



Create a CODIS Communication Request to the investigating law enforcement agency in the forensic case record in the LIMS.

- Relate the forensic specimen, relevant case related individuals and the most serious relevant offense to the request.
- Add appropriate individuals to the CC list for the request
- Right click on the CODIS communication request to Edit findings, add a Result Type of FB CODIS Removal to the relevant forensic specimen and click save.
- In the result custom form (orange ...), select forensic spec ID from drop down
- Click on the green Add + button to add a row to the grid.
  - Populate the date and reason fields.
  - The notes are not required nor do they populate the communication
- Click ok, ok and then save.
- Add the CODIS delete reports as attachments under the evidence item in the LIMS. The attachment name must start with COD and should include a brief description.

Repeat the above steps for any additional removals for the same case. If additional results are being added to this communication, complete the additional results prior to draft completing and submitting with the [CODIS Communication Review Checklist](#) for an administrative review.

- As with other requests, the date submitted for review and SOP version are to be populated in

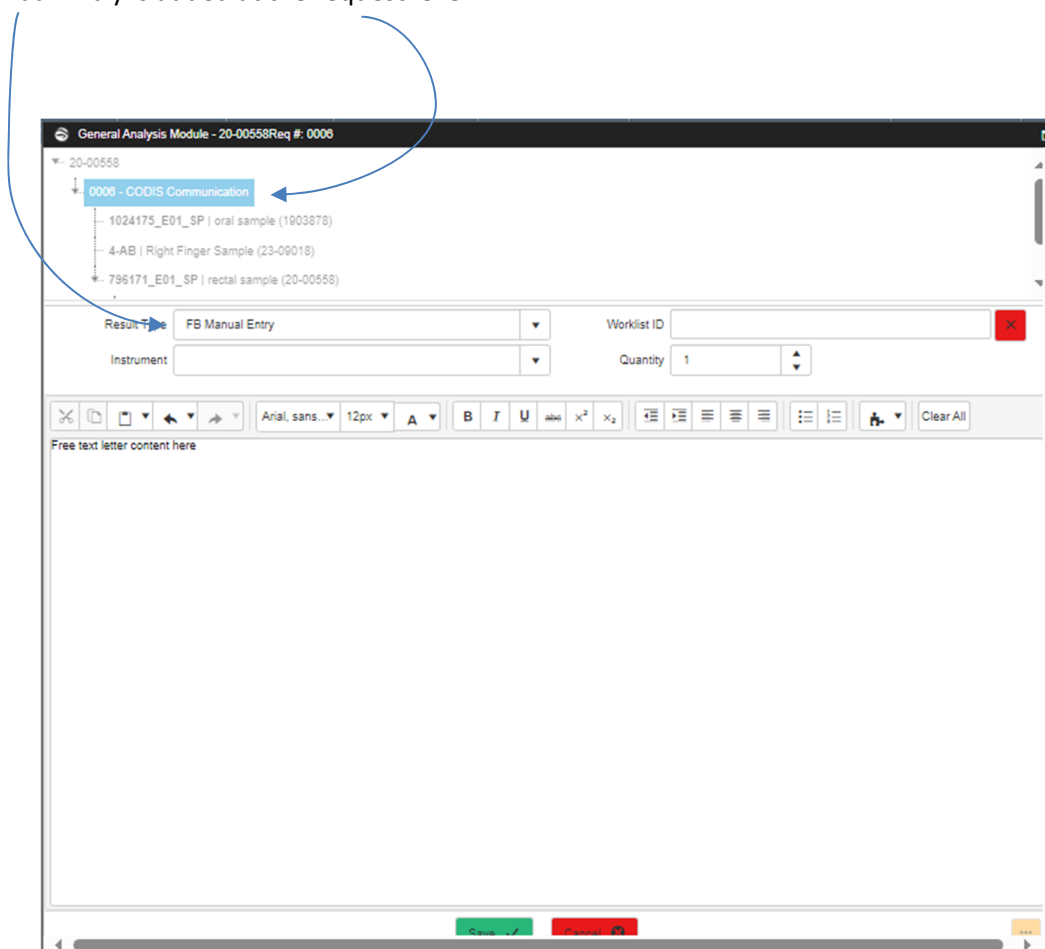
the request custom form.

## Appendix Q Reporting a CODIS Match via Free Text

When a CODIS Communication requires language that is not programmed into the report, it is possible to override the typical report language and free text the entire letter. The header and footer will not be altered by this method of reporting.

All of the confirmation steps shall occur and the results/metrics are to be recorded in the custom forms as previously described.

In addition to adding the FB CODIS Communication and/or FB CODIS Removal results, a result of FB Manual Entry is added at the request level.



Once the FB Manual Entry result is added, the entire content of the letter must be typed into the results box as shown above. The specimen information is formatted as shown in [Appendix O](#) and the supplemental language is modified as required.

A CODIS Administrator shall be consulted prior to using the FB Manual Entry option for reporting.