

## Deviation Request Form (DRF)

Directions: The Initiator will complete Sections A through C. Additional continuation pages can be included if necessary.

<b>Initiator</b>	Cori Martin			<b>Date</b>	3/25/2019					
<b>A. Requested deviation applies to (Technical Procedure – include specific section):</b>										
Procedure for CODIS Hits										
<b>B. Requested deviation:</b>										
See additional documentation.										
<b>C. Necessity for the deviation:</b>										
Allowing the DB analyst to update the SpecMan status to "CODIS Hit Confirmed" allows for the status to signal when all Database analysis is complete for the hit.										
<b>D. Technical review and Authorization (to be completed by the Quality Manager and/or Technical Leader)</b>										
<b>Comments(to include merits and impacts):</b>										
Approved	<input checked="" type="checkbox"/>	Yes	<input type="checkbox"/>	No	Duration	Next procedure revision				
Signature	Cori Martin			Digitally signed by Cori Martin Date: 2019.03.25 07:46:51 -04'00'		Date 3/25/2019				
<b>E. Quality Assurance Authorization (to be completed by the Quality Manager, Forensic Scientist Manager or designee)</b>										
Acceptable within general QA guidelines and good laboratory practice?					<input checked="" type="checkbox"/>	Yes	<input type="checkbox"/>	No		
Significant negative impact to Crime Laboratory Quality System?					<input checked="" type="checkbox"/>	Yes	<input type="checkbox"/>	No		
<b>Restrictions/limitations:</b>										
<input checked="" type="checkbox"/>	Authorized	<input type="checkbox"/>	Rejected	Signature	Zach Kallenbach		Digitally signed by Zach Kallenbach Date: 2019.03.25 07:49:29 -04'00'		Date	3/25/2019

5.10.1 For in-state hits, after the combined technical and administrative review is complete, the Forensic Scientist shall leave the hit case record in a status of "Pending Release" in FA, update the SpecMan CODIS Hit record status to "CODIS Hit Confirmed" and assign the SpecMan CODIS Hit record to the CODIS Administrator or designee. If there is a letter of reported results, that shall be given to the CODIS Administrator. For further processing of in-state hits (including notification of investigating agency), see the Procedure for CODIS-DNA Database.

5.10.1.1 Upon assignment of the SpecMan CODIS Hit record, the CODIS Administrator or designee shall issue a CODIS HIT notification report to the investigating agency. In conjunction with the release of the notification report, the DNA database confirmation case record shall be released in FA. This ensures that all pertinent information regarding the hit is released at approximately the same time.

5.10.2 For out-of-state hits/CMPD hits in which a laboratory report was generated, after the combined technical and administrative review is complete, the DNA Database Forensic Scientist shall release the lab report for the confirmation case record in FA. A letter is subsequently generated by the DNA Database Forensic Scientist to the requesting NDIS/LDIS laboratory and the SpecMan CODIS Hit record shall be updated to the status "CODIS Hit Confirmed" and assigned to the CODIS Administrator or designee. The CODIS Administrator or designee shall perform a combined technical and administrative review on the letter for clerical accuracy and sign the letter. The signed letter shall be scanned into the case record object repository in FA. The letter with the individual's identifying information is then disseminated to the requesting NDIS/LDIS laboratory.

## Procedure for CODIS Hits

**1.0 Purpose** – To outline the procedures for the CODIS hit confirmation process of the DNA Database Section.

**2.0 Scope** – The procedures in this document apply to the DNA Database Section at the State Crime Laboratory.

### 3.0 Definitions

- **Administrative Documentation** - Materials associated with Case Records which do not include technical records, but may include internal chain of custody documents, DNA Database Forensic Scientist statement of qualifications (CV), notes and communication logs of case-related conversations, and other pertinent information which relates to the Case Record.
- **Case Record** - Unit of work within a discipline performed by a Forensic Scientist resulting in a single Laboratory Report or memorandum.
- **CODIS Hit Record** – A record representing a CODIS hit in SpecMan which contains information including the CODIS Hit status, specimen number of the database sample the hit is in reference to, the evidence agency, the CODIS match ID, case number in FA, crime type, audit trail, and notes.
- **Combined Latent Verification and Technical Review** – An evaluation of notes, data, and supporting documentation to ensure that there is an appropriate and sufficient basis for the scientific conclusion.
- **Combined Technical and Administrative Review** – An evaluation of reports, notes, data, and supporting documentation to ensure that there is an appropriate and sufficient basis for the scientific conclusions as well as consistency with Laboratory policies and editorial correctness.
- **Comparator** – Equipment used to magnify fingerprints.
- **Examination Documentation** – Records of tests conducted, standards and controls used, printouts, hand-written notes and other material used by the DNA Database Forensic Scientist.
- **Exemplar (known inked impression)** – The known prints of an individual recorded electronically, photographically, by ink, or by another medium.
- **FA (Forensic Advantage)** – The laboratory information management system used for documenting and storing data, reports, and reviews.
- **Form** - A document with a fixed arrangement of captioned spaces designed for entering and extracting information. Forms become records once completed.
- **Magnifier** - Equipment used to magnify fingerprints (magnifying glass, loop, or dome).
- **NDIS Specimen Manager Module** – The CODIS program used to gain access to samples that have been uploaded to CODIS.
- **Post PCR Review** – Initial check of data generated by the primary Forensic Scientist as part of task-oriented analysis. The primary Forensic Scientist shall ensure complete profiles were generated for all samples and 2800M.
- **Technical Review** – An evaluation of reports, notes, data, and other documents to ensure there is an appropriate and sufficient basis for the scientific conclusion.

### 4.0 Equipment

- Comparator or magnifier
- Computer with the most current version of FA software
- Computer with the most current version of the DNA Database specimen manager software
- Photoshop Elements (or equivalent software to perform comparisons on screen)

### 5.0 Procedure

## **5.1 CODIS Hit Assignment**

- 5.1.1** For each CODIS hit, the CODIS Administrator, Assistant CODIS Administrator, Forensic Scientist Manager, or designee shall request that a subject information assessment be generated (see the Generation of Subject Information Assessments section of this procedure). The assessment may include a complete criminal history on the individual.
- 5.1.1.1** If it is determined during the generation of the subject information assessment that the individual may not have a qualifying conviction or arrest, follow the Subject Information Assessments Requiring Legal Review section of this procedure.
- 5.1.2** The CODIS Administrator, Assistant CODIS Administrator, Forensic Scientist Manager, or designee shall create a new CODIS hit record and input the pertinent information in SpecMan. This information may include but is not limited to: specimen (if known), type of hit (offender or forensic), specimen reason (offender or arrestee), SBI search warrant (yes/no), level of hit (NDIS/SDIS), the hit date, the evidence agency, the date of crime, indication of in-state vs. out-of-state, the crime type, and the Match ID. (Hits occurring to Charlotte-Mecklenburg Police Department (CMPD) are considered in-state in SpecMan.) The status shall be changed to "Pending Assignment."
- 5.1.3** Upon assignment in SpecMan, the DNA Database Forensic Scientist shall update the CODIS Hit status to "Hit Confirmation Pending."
- 5.1.4** The DNA Database Forensic Scientist shall check FA to see if the sample has been previously confirmed. If so, see the Previously Confirmed CODIS Hits section of this procedure. If the sample has not been previously confirmed, a new case record shall be created in FA.
- 5.1.4.1** For an in-state hit occurring between the State Crime Laboratory forensic unknown and a convicted offender/arrestee in the NC database, the case number assigned to the confirmation in FA is the same number as the original case number assigned to the forensic unknown.
- 5.1.4.2** For an out-of-state or CMPD hit occurring between a forensic unknown from another state or CMPD and a convicted offender/arrestee in the NC database, a new case number shall be generated in FA for the confirmation.
- 5.1.5** All confirmation analysis and review documentation shall be retained within FA. Each CODIS hit confirmation may contain multiple FA case records including a CODIS Hit case record, a CODIS Latent case record, and a notification case record.

## **5.2 CODIS Hit Sample Processing**

- 5.2.1** For CODIS hit confirmations worked as part of task-oriented analysis, the primary Forensic Scientist shall perform the lab work portion of the confirmation. A secondary (reporting) Forensic Scientist may analyze the data and issue a report. The primary Forensic Scientist or designee shall retrieve the database sample from the DNA Databank.

**5.2.2** The primary Forensic Scientist shall perform laboratory work following standard section procedures. Analysis shall be documented in the DNA Database Forensic Scientist's notes as it is conducted. If multiple hits are batched together, a CODIS hit batch number shall be used on the associated paperwork. Batches shall be named to include the date of punching, CH, and the primary or secondary Forensic Scientist's initials (e.g. ABC\_CH\_1.1.2011).

**5.2.3** After the primary Forensic Scientist has viewed the data to ensure no samples need to be reworked (a post PCR review), the primary Forensic Scientist shall add the following note to the 3500xL worksheet.

**5.2.3.1** "A post PCR review was performed."

**5.2.4** The primary Forensic Scientist shall place a copy of the 3500xL run data and a PDF copy of the bench notes into the CODIS Hit Documentation folder located on the shared drive.

### **5.3 DNA Analysis CODIS Hit Documentation**

**5.3.1** DNA Database Forensic Scientists shall create a worksheet in FA for a CODIS Hit confirmation.

**5.3.1.1** In lieu of documenting analysis in the FA worksheet tabs, current section worksheets shall be added to the Case Record Object Repository.

**5.3.1.2** The following notes shall be added to the FA worksheet:

**5.3.1.2.1** Amplification Tab: "Analysis documentation is not included in this FA worksheet. See the appropriate worksheets in the Case Record Object Repository."

**5.3.1.2.2** For Task-Oriented analysis of CODIS hit confirmations, the secondary Forensic Scientist shall make the following note in the Completed Tasks tab: "Original observations and data collected by FS (name of primary FS). See the object repository for notes."

**5.3.2** Case Record Object Repository - For each Case Record, the FA Case Record Object Repository shall include electronic versions of all notes or data generated during analysis of the hit confirmation including, but not limited to, the following information.

**5.3.2.1** Primary DNA Database Forensic Scientist's current curriculum vitae

**5.3.2.2** Secondary DNA Database Forensic Scientist's current curriculum vitae (if applicable)

**5.3.2.3** Scan of DNA Database card

**5.3.2.4** Individual Specimen report

**5.3.2.5** Match Detail Report

- All copies of this document are uncontrolled when printed.*

**5.4.6.3.4.1** No thumb prints on the DNA Database card.

**5.4.6.3.4.2** No known exemplars on file.

**5.4.6.4** Employee: the Forensic Scientist who performed the fingerprint comparison.

**5.4.6.5** Check the lock box once complete.

**5.4.7** Submit the worksheet.

**5.4.8** Add a Combined Latent Verification and Technical Review and assign the review to a Forensic Scientist in the Latent Section of the Laboratory.

**5.4.9** If it is determined after the Combined Latent Verification and Technical Review that the fingerprints associated with the DNA Database card are eliminated as being the same donor as the known exemplars on file, then the Forensic Scientist shall notify both the Forensic Scientist Manager and the CODIS Administrator who shall determine the correct course of action.

**5.4.10** The known exemplars shall be shred once the CODIS hit case record has been released.

## **5.5 Reporting Forensic Scientist Review of the Fingerprint Comparison**

**5.5.1** If the DNA Database Forensic Scientist performing the DNA analysis is not the Forensic Scientist performing the fingerprint comparison, the DNA Database Forensic Scientist must verify completion of the fingerprint comparison prior to putting the CODIS hit case record into technical review.

**5.5.1.1** The DNA Database Forensic Scientist shall:

**5.5.1.1.1** Verify that the CV for the Forensic Scientist performing the fingerprint comparison is present in the case record object repository.

**5.5.1.1.2** Verify that the fingerprint(s) from the DNA Database Card are present as a .tif scan. The specimen number listed on the DNA Database Card shall be the same as the specimen number listed on the Match Detail report.

**5.5.1.1.3** Verify that the known exemplar fingerprint(s) are present as a .tif scan. The SID number listed on the known exemplars shall be the same as the SID number listed on the Individual Specimen report.

**5.5.1.1.4** Open the Combined Latent Verification and Technical Review, verify that the review has been completed, and review the comments.

**5.5.1.1.5** Open the FA worksheet and verify that a fingerprint comparison note has been listed on the Completed Tasks tab of the FA worksheet.

**5.5.1.1.6** Ensure that the review comments are in agreement with the note listed in the Completed Tasks tab of the FA worksheet.

**5.5.1.1.7** Add the following comment to the Completed Tasks tab of the worksheet.

**5.5.1.1.7.1** “The fingerprint comparison and review are complete.”

**5.5.1.1.8** If no fingerprint comparison was completed (no prints available), the DNA Database Forensic Scientist shall add the following comment to the Completed Tasks tab of the worksheet.

**5.5.1.1.8.1** “A fingerprint comparison was not performed.”

**5.5.2** If the DNA Database Forensic Scientist is the Forensic Scientist performing the fingerprint comparison, verify that the Combined Latent Verification and Technical Review is complete and that the review comments are in agreement with the fingerprint comparison conclusions. No additional note is needed in the FA worksheet.

## **5.6 CODIS Hit Technical Review**

**5.6.1** The case record shall be scheduled for technical review. The technical review shall be completed in FA and shall include at a minimum:

**5.6.1.1** A review of the FA case record object repository to ensure that it includes all required documentation listed in the CODIS Hit Documentation section.

**5.6.1.2** A review of all worksheets to include verification of completion and the use of proper lot numbers.

**5.6.1.3** A review of all electronic data (used and unused) including all controls, internal lane standards, and allelic ladders to verify that the scientifically expected results were obtained.

**5.6.1.4** A review of any reworked samples to confirm that the samples have the required controls.

**5.6.1.5** A review of the reported allele calls to verify that they are supported by the electropherograms.

**5.6.1.6** A review of the allele call table to ensure only the profile associated with the hit is present.

**5.6.1.7** A review of the FA case record object repository to ensure that it includes all required fingerprint comparison documentation.

**5.6.2** Technical Issues: If during the course of a review of the DNA analysis the reviewer and reporting scientist are unable to resolve a technical issue, the Technical Leader shall be notified of the issue. The Technical Leader shall then determine and/or approve the appropriate course of action.

## **5.7 CODIS Hit Confirmation**

- 5.7.1** After the technical review is complete, perform the confirmation keyboard search of the profile in CODIS. The confirmation keyboard search shall allow verification of concordant profiles from the original analysis of the profile and secondary reanalysis due to the hit confirmation. The confirmation keyboard search of CODIS shall be imported into the case record object repository in FA for the confirmation in a non-editable format.
- 5.7.1.1** If the confirmation keyboard search of the convicted offender/arrestee profile produces anything other than a high stringency match at all loci searched or the original convicted offender/arrestee profile is incomplete in CODIS, then the Forensic Scientist shall notify a Forensic Scientist Supervisor or Forensic Scientist Manager before proceeding with the confirmation. The Forensic Scientist Supervisor or Forensic Scientist Manager shall review the results and determine the correct course of action.
- 5.7.1.2** If the confirmation keyboard search of the convicted offender/arrestee profile does not match the original convicted offender/arrestee profile within CODIS, then the Forensic Scientist shall notify both the Forensic Scientist Manager and the CODIS Administrator who shall determine the correct course of action. The CODIS Hit record status shall be changed to "CODIS Hit Not a Match" in SpecMan as determined by the CODIS Administrator and Forensic Scientist Manager.
- 5.7.1.3** If the CODIS hit is to a sample determined not to have a qualifying offense and the profile has been removed from CODIS, the confirmation will ensure the keyboard search does not match another convicted offender/arrestee profile.
- 5.7.2** After the confirmation keyboard search is complete, the DNA Database Forensic Scientist shall update the profile in CODIS with PowerPlex® Fusion data (if necessary).
- 5.7.2.1** If a sample cannot be updated via .xml, the allele calls shall be manually updated by the DNA Database Forensic Scientist. This shall be witnessed by a DNA Database Forensic Scientist, Supervisor, or Manager and noted in CODIS.

## **5.8 Generating a CODIS Hit Laboratory Report**

- 5.8.1** Before generating a CODIS hit laboratory report, the following items must be completed.
- 5.8.1.1** Technical review of the CODIS hit case record.
- 5.8.1.2** CODIS hit confirmation documentation has been added to the case record object repository.
- 5.8.1.3** The DNA Database Forensic Scientist shall verify that the fingerprint comparison note on the Completed Tasks tab of the FA worksheet is also listed in the Main Page tab of the FA worksheet.
- 5.8.2** A laboratory report shall be generated using the information populated in the Main Page tab of the FA worksheet.

**5.8.3** Laboratory reports shall be prepared in accordance with the State Crime Laboratory Procedure for Reporting Results. All laboratory reports shall include:

**5.8.3.1** Unique case identifier.

**5.8.3.2** A description of the sample examined (including the date the items were received and by whom). For offender and arrestee samples, the submitter is the North Carolina State Crime Laboratory via the DNA Repository.

**5.8.3.3** Type of examination requested.

**5.8.3.4** A description of the methodology for the DNA analysis.

**5.8.3.5** The results.

**5.8.3.6** Date Report is generated. The date listed on the Laboratory Report reflects the date the Laboratory Report was generated. Once the report is released, this date is posted in FA as the release or issue date.

**5.8.3.7** Disposition – For all CODIS confirmations, a database card or database sample shall be listed as returned to the repository. A punch or cutting taken from a database sample shall be listed as consumed.

## **5.9 CODIS Hit Combined Technical and Administrative Review**

**5.9.1** The CODIS hit case record shall be scheduled for a Combined Technical and Administrative Review. The Combined Technical and Administrative Review shall be completed in FA and shall include at a minimum:

**5.9.1.1** DNA Analysis Review

**5.9.1.1.1** Verification that examination documentation, a confirmation keyboard search, and any additional supporting documentation are present and accurate.

**5.9.1.1.2** The confirmation keyboard search page shall be reviewed to verify concordance between the convicted offender/arrestee's profile from reanalysis to the convicted offender/arrestee's profile in CODIS (if the profile remains in CODIS).

**5.9.1.1.3** A review of the CODIS hit SpecMan record to ensure the subject information assessment is present and reviewed.

**5.9.1.1.4** Verification that a technical review was completed and all corrections were incorporated.

**5.9.1.2** Fingerprint Comparison Review

**5.9.1.2.1** Verification that the CV for the Forensic Scientist performing the fingerprint comparison is present in the case record object repository.

**5.9.1.2.2** Verification that the fingerprint(s) from the DNA Database Card are present as a .tif scan. The specimen number listed on the DNA Database Card shall be the same as the specimen number listed on the Match Detail report.

**5.9.1.2.3** Verification that the known exemplar fingerprint(s) are present as a .tif scan. The SID number listed on the known exemplars shall be the same as the SID number listed on the Individual Specimen report.

**5.9.1.2.4** Verification that a Combined Latent Verification and Technical Review was completed.

**5.9.1.3** Laboratory Report Review

**5.9.1.3.1** The Lab report shall be reviewed to ensure that the information pertaining to the individual associated with the hit is documented appropriately and that the dates associated with the hit and disposition of the sample are in accordance with the chain of custody established in FA.

**5.9.1.3.2** The Lab report shall be reviewed to ensure that the fingerprint comparison note on the Completed Tasks tab of the FA worksheet is also listed on the Laboratory report.

**5.10** Completing a CODIS Hit

**5.10.1** For in-state hits, after the combined technical and administrative review is complete, the Forensic Scientist shall leave the hit case record in a status of "Pending Release" in FA and assign the SpecMan CODIS Hit record to the CODIS Administrator or designee. For further processing of in-state hits (including notification of investigating agency), see the Procedure for CODIS-DNA Database.

**5.10.1.1** Upon assignment of the SpecMan CODIS Hit record, the CODIS Administrator or designee shall issue a CODIS HIT notification report to the investigating agency. In conjunction with the release of the notification report, the DNA database confirmation case record shall be released in FA. This ensures that all pertinent information regarding the hit is released at approximately the same time. At this time, the CODIS Administrator or designee shall change the hit status to "CODIS Hit Confirmed" in SpecMan.

**5.10.1.2** If it is determined during the subject information assessment that there is no qualifying offense for the sample and the DNA Database is not entitled to a sample for a subsequent qualifying offense, the CODIS Administrator or designee shall notify the DNA Database Forensic Scientist to "Terminate" the case record in FA after all analysis and reviews are completed. The CODIS Administrator or designee shall change the hit status in SpecMan to "CODIS Hit

Terminated- Confirmed.” The record shall be reactivated and released at the direction of the CODIS Administrator or designee pursuant to an approved court order.

**5.10.1.3** For other instances, process the confirmation as instructed by laboratory legal counsel.

**5.10.2** For out-of-state hits/CMPD hits, after the combined technical and administrative review is complete, the DNA Database Forensic Scientist shall release the lab report for the confirmation case record in FA. A letter is subsequently generated by the DNA Database Forensic Scientist to the requesting NDIS/LDIS laboratory and the SpecMan CODIS Hit record is assigned to the CODIS Administrator or designee. The CODIS Administrator or designee shall perform a combined technical and administrative review on the letter for clerical accuracy and sign the letter and change the hit status to “CODIS Hit Confirmed” in SpecMan. The signed letter shall be scanned into the case record object repository in FA. The letter with the individual’s identifying information is then disseminated to the requesting NDIS/LDIS laboratory.

**5.10.2.1** If it has been determined during the subject information assessment that there is no qualifying offense, the letter shall only contain the specimen ID number.

## **5.11 Stop Work Requests for CODIS Hits**

**5.11.1** If a stop work request is received on a CODIS hit confirmation, the DNA Database Forensic Scientist shall terminate the CODIS Hit Record in FA. The reason for the CODIS hit termination shall be cited in the case record communication log. The status of the CODIS Hit shall be changed to “CODIS Hit Terminated – Confirmed” in SpecMan if confirmed or changed to “CODIS Hit Terminated – Not Confirmed” if it was terminated before analysis was complete in FA.

## **5.12 Previously Confirmed CODIS Hits**

**5.12.1** Previous CODIS hit documentation may be used in lieu of completing a new set of lab work.

**5.12.1.1** A new case record shall be created in FA. The previous and new CODIS hit FA records shall be linked using the Related Cases tab.

**5.12.1.2** The original punch or database sample shall be assigned to the new CODIS hit case record. A new punch or database sample shall not be created.

**5.12.1.3** Copy all required documentation from the original CODIS hit case record object repository into the new CODIS hit case record object repository. In addition, include a PDF of the original CODIS hit’s FA worksheets. The match detail report from the original CODIS hit shall not be included in the new CODIS hit case record object repository.

NOTE: Any case specific information from the original CODIS hit shall be redacted prior to adding the information to the new CODIS hit record.

**5.12.1.4** A new confirmation keyboard search, lab report, subject information assessment, and CODIS letter (out-of-state/CMPD hit) shall be created.

**5.12.2** Previous latent verification/fingerprint comparison documentation may be used in lieu of completing a new fingerprint comparison

**5.12.2.1** Copy all required documentation from the original latent verification/fingerprint comparison case record object repository into the new CODIS hit case record object repository. At a minimum this shall include the latent examination/fingerprint comparison documentation and the curriculum vitae (if available). In addition, include a PDF of the original latent verification/fingerprint comparison FA worksheets and a PDF of the original latent verification/fingerprint comparison memo (if applicable).

### **5.13 Generation of Subject Information Assessments**

**5.13.1** Only the Criminal Justice Specialist (CJS) or designated DNA Database employees who have completed the required Omnixx, CJLEADS and NCAWARE training shall generate a Subject Information Assessment.

**5.13.2** The request to generate a Subject Information Assessment (SIA) shall be sent via email to the CJS by the Forensic Scientist Manager or designee. The email may contain, but is not limited to, the following information:

**5.13.2.1** Offender or Arrestee Specimen ID number.

**5.13.2.2** Name, Race and Sex of the Offender/Arrestee.

**5.13.2.3** Date, Place, and Offense of the crime to which the hit occurred.

**5.13.2.4** Forensic Scientist to whom the SIA should be provided (in SpecMan CODIS hit record).

**5.13.3** To create the SIA the CJS shall:

**5.13.3.1** Ensure a current copy of the DNA Database Collection Card has been scanned into the specimen record.

**5.13.3.2** Access the Department of Public Safety/Division of Adult Correction website and query the individual. Any information obtained on the individual shall be printed to PDF and retained within the SIA file.

**5.13.3.3** Access Omnixx to obtain and verify the individual's qualifying event. During this time the CJS shall ensure the card prepared date for the sample corresponds to the arrest or conviction date of the individual. Any information obtained from the Omnixx query shall be printed to PDF and added to the SIA file. A note shall be added to the SpecMan CODIS hit record indicating whether there is a qualifying offense.

**5.13.3.4** All information obtained from the queries of law enforcement databases (e.g., CJLEADS, NCAWARE) shall be combined into one PDF document and attached to the SpecMan CODIS Hit record.

**5.13.4** The CJS shall perform a review of the individual's DPS/Division of Adult Correction (if applicable) and CCH records to verify the individual was not incarcerated on the date of crime to which the hit occurred. If needed, request the individual's movement record through DPS/Division of Adult Correction. A note shall be added to the SpecMan CODIS record indicating whether the individual was incarcerated on the date of offense.

**5.13.5** The SIA shall be peer reviewed and a note added to the SpecMan CODIS hit record indicating agreement with the SIA. The SIA shall be reviewed subsequently by the Forensic Scientist Manager or designee and a note added to the SpecMan CODIS Hit record.

#### **5.14 Subject Information Assessments Requiring Legal Review**

**5.14.1** The CJS responsible for generation of the SIA shall notify the Forensic Scientist Manager if a sample may not have a qualifying offense.

**5.14.2** The Forensic Scientist Manager (or designee) shall change the specimen status from "Stored – Entered in CODIS" to "In CODIS No QO – Pending Legal Review" and notify Laboratory legal counsel.

**5.14.3** Laboratory legal counsel shall review the subject information assessment and supporting documentation.

**5.14.3.1** Legal counsel shall forward any recommendation to the CODIS administrator for final resolution.

**5.14.3.2** If the determination is made that the sample does not have a qualifying offense, the CODIS Administrator shall delete the profile from CODIS as described in the Procedure for CODIS-DNA Database and a note shall be added to the specimen record in SpecMan explaining the reason for deletion and the CODIS Administrator's initials. In addition, the same note shall be made in the NDIS Specimen Manager Module.

**5.14.3.3** The CODIS Administrator shall change the specimen status to "Stored – Removed from CODIS" in SpecMan. The Forensic Scientist Manager shall be notified of the profile removal from CODIS.

**5.14.3.4** The Forensic Scientist Manager/or designee notifies the designated Database employee who changes the specimen status in SpecMan to "Stored – Rejected."

**6.0 Limitations – N/A**

**7.0 Safety - N/A**

**8.0 References**

DNA Database Administrative Policy and Procedure

DNA Database Administrative Procedure for Safety and Hazardous Waste Disposal

DNA Database Section Procedure for DNA Reagent Quality Control

DNA Database Section Procedure for GeneMapper® ID-X and STR Interpretation with PowerPlex® Fusion

DNA Database Section Procedure for Instrument and Equipment Quality Control

DNA Database Section Procedure for PCR Amplification with PowerPlex® Fusion

DNA Database Section Procedure for Qiagen BioRobot® Universal Using PowerPlex® Fusion

DNA Database Section Procedure for Sample Accessioning and Processing

DNA Database Section Procedure for Sample Processing Quality Control

DNA Database Section Procedure for Use of the 3500xL Genetic Analyzer

Procedure for CODIS-DNA Database

State Crime Laboratory Quality Manual

State Crime Laboratory Safety Manual

**9.0 Records – N/A**

**10.0 Attachments – N/A**

Revision History		
Effective Date	Version Number	Reason
03/03/2017	1	Original Document
03/23/2018	2	2.0-Updated to reflect that this procedure also covers fingerprint comparisons; 3.0-Added Combined Latent Verification and Technical Review, Comparator, Exemplar, and Magnifier; 4.0-Added equipment for fingerprint comparisons; Added 5.2.3-Requirement to perform and note a post PCR review; 5.3-Added DNA Analysis to section title; Added 5.4-CODIS Hit Fingerprint Comparisons; Added 5.5 Reporting Forensic Scientist Review of the Fingerprint Comparison; -5.6.1.1 Specific section name listed; Added 5.6.1.7-Fingerprint comparison documentation; 5.6.2-Clarified technical review is of the DNA analysis; 5.7-Order of steps updated to reflect that the confirmation keyboard search shall occur before the sample profile is updated; 5.7.2.1-Updated file type; 5.8.1-Added requirements to create a lab report; 5.8.3.4 – Clarified methodology is only listed for DNA analysis 5.8.3.7-removed reference to evidence disposition 5.9.1-Clarified DNA Analysis review requirements, Added Fingerprint Comparison Review requirements, Add lab report review for fingerprint comparison note; Updated CODIS procedure name throughout document; Updated no separate latent record throughout document