
Procedure for Sample Processing

1.0 Purpose – To provide a procedure for handling, processing, and retaining DNA samples from individuals with qualifying convictions or arrests pursuant to Article 13 of Chapter 15A of the North Carolina General Statutes.

2.0 Scope – This document applies to personnel in the DNA Database Section at the State Crime Laboratory.

3.0 Definitions – See Section Definitions List

4.0 Equipment

- Various laboratory equipment used for these procedures (gloves, biohazard waste containers, S&S paper (or equivalent), multi-barrier pouches, desiccants, heat sealer, staplers, weigh boats, disposable transfer pipettes, coin envelopes, labels, tape, barcodes, biosafety hood, refrigerator, barcode scanners, label printers, etc.)
- Disinfecting solutions: 10% bleach, 70% isopropyl alcohol

5.0 Procedures

5.1 Sample Origin

5.1.1 Database samples originate from DPS/Division of Adult Correction and law enforcement agencies throughout the state. DNA samples received shall be in one of the following forms: a buccal collector or a purple-top tube of blood. Alternate DNA samples (in the form of a fingerstick kit) shall be allowed for submission for individuals from whom it is difficult to draw blood.

5.1.2 Database samples are not evidence. These samples are used as a reference library.

5.2 Receipt of Database Samples

5.2.1 Database samples shall be collected by use of State Crime Laboratory standardized, approved kits.

5.2.2 Database samples may be received in the Laboratory either in person via hand delivery, through the U.S. mail, or through other delivery methods (i.e., courier service, inter-office mail).

5.3 Retrieval of Samples

5.3.1 Samples shall be retrieved from the Evidence Control Unit.

5.3.2 All liquid blood samples (along with corresponding inventory sheets) shall be stored and refrigerated until ready to be stained. Blood samples from DPS/Division of Adult Correction may be accompanied by a DNA Database Sample Inventory Form.

5.3.3 Buccal samples shall be stored at room temperature until ready to be processed.

5.4 Accessioning Buccal Samples

- 5.4.1** Open the DNA sample submission packet and remove the collection card and collector (still within its paper pouch). Samples received with substantial issues (e.g., no card present) shall be processed as described in the “Accessioning Samples Requiring Rejection” section of this procedure. Samples that can be accessioned but that require additional information shall continue through this portion of the procedure.
- 5.4.2** Search to see if a “New – Pending Receipt” record is available. If so, verify that the information in the specimen record is the same as on the collection card. Scan the collector’s white transport pouch barcode into the envelope barcode # field, scan the collection card specimen barcode into the card barcode # field, and scan the collector barcode into the specimen number field. Record sample receipt information.
- 5.4.3** If no “New – Pending Receipt” record is available, create a new record. Then scan the collector’s white transport pouch barcode into the envelope barcode # field, scan the collection card specimen barcode into the card barcode # field, and scan the collector barcode into the specimen number field. Record sample receipt information. Enter the data from the collection card.
- NOTE: Hispanic is not recognized as a designated racial category; therefore, all samples received which are identified as Hispanic shall be entered into the SpecMan system as Caucasian, Black, Native American, etc. per DPS/AOC/CCH. Enter Hispanic in the Other Race Description field.
- 5.4.4** The collection card shall be scanned as it was received and saved as a .pdf file. The file name shall be the specimen number, and the file shall be attached to the record in the notes of the specimen record.
- 5.4.5** The initials and date of the individual accessioning the card shall be added near the barcode label.
- 5.4.6** If a note is needed regarding the condition of the sample, add a note to the specimen record and initial and date. Any additional documentation received from the submitting agency shall be scanned, saved as a .pdf, and attached in the notes of the specimen record.
- 5.4.6.1** An associated print card (generated from the agency during arrest) may be accepted in lieu of thumbprints on the DNA Database Collection Card. If the fingerprints are not present, the sample is still acceptable.
- 5.4.7** For samples with missing information, proceed to the “Accessioning Samples with Missing Information” section of this procedure.
- 5.4.8** For samples with no missing information, update the sample status to “Received.” The Person Donor Duplicate Report is automatically added to the specimen notes in SpecMan as a .pdf file. Proceed to the “Viewing the Person-Donor Duplicate Report” section of this procedure.

5.5 Accessioning Blood Samples

- 5.5.1** Open the DNA sample submission packet and remove the collection card and blood tube. Samples received with substantial issues (e.g., no card present) shall be processed as

described in the “Accessioning Samples Requiring Rejection” section of this procedure. Samples that can be accessioned but that require additional information shall continue through this portion of the procedure.

- 5.5.2** Inspect the card to ensure that it is filled out correctly and inspect the blood tube to ensure that the proper information is included. Compare information on the card, blood tube, and inventory form from correctional institutions to verify that the information on the sample and card are consistent. The blood tube must be a purple top tube and must contain the person’s name. If other identifiers are present (e.g., Social Security Number (SSN), State Identification Number (SID)), these shall be verified as well.
 - 5.5.2.1** For samples from correctional institutions, if all the sample information that appears on the inventory form is correct, initial/date the top of the form and place the form in a storage location within the DNA Database Section.
 - 5.5.2.2** If the inventory form needs a correction(s), contact the submitting agency and correct the inventory form based on the information obtained. Initial/date any information added to the form. Once corrected, place the form in a storage location within the DNA Database Section.
- 5.5.3** For alternate blood draws (e.g., a fingerstick in which a stain is received versus liquid blood), the S&S paper (or equivalent) or the sample container must contain the donor’s name. If other identifiers are present (e.g., Social Security Number (SSN), State Identification Number (SID)), these shall be verified as well.
- 5.5.4** A card may be flagged to note minor discrepancies between the identifiers on the blood tube and card (e.g., the spelling of the first/last name or a one-digit difference in the DOB or SSN). The disposition of the sample shall be resolved during the eligibility verification process.
- 5.5.5** If there are major discrepancies (e.g., name does not match, wrong secondary identifier) between the identifiers on the blood tube and card or if any pertinent information does not match, proceed to the “Accessioning Samples Requiring Rejection” section of this procedure.
- 5.5.6** Choose the next available specimen number on the preprinted barcode label roll.
- 5.5.7** Scan the front and back of the collection card. Save the file as a .pdf with the specimen number as the file name.
- 5.5.8** Retrieve a clean weigh boat and a new piece of filter paper.
- 5.5.9** Affix one copy of a preprinted specimen number barcode label to the top of the filter paper. Initial and date the filter paper.
- 5.5.10** Affix the second copy of the preprinted specimen number barcode label with the same specimen number to the area indicated for the NCSCL barcode on the collection card. Initial and date the card beside the barcode.

- 5.5.11** Scan the specimen barcode from the filter paper into the specimen number field. Scan the specimen barcode from the collection card into the card barcode # field. Enter the data from the collection card. Record sample receipt information.

NOTE: Hispanic is not recognized as a designated racial category; therefore, all samples received which are identified as Hispanic shall be entered into the SpecMan system as Caucasian, Black, Native American, etc. per DPS/AOC/CCH. Enter Hispanic in the Other Race Description field.

- 5.5.12** Attach the scanned collection card in the notes of the specimen record. Ensure file size is sufficient for proper resolution.
- 5.5.13** Any additional documentation received from the submitting agency shall be scanned, saved as a .pdf, and attached in the notes of the specimen record.
- 5.5.14** Once the sample is accessioned, use the “Run Reports” menu to print a blood envelope label for the sample. Affix the label to a multi-barrier pouch.
- 5.5.15** The filter paper and blood tube shall remain in the weigh boat and be transported with the multi-barrier pouch to the designated area for staining.
- 5.5.16** For samples with missing information, proceed to the “Accessioning Samples with Missing Information” section of this procedure.
- 5.5.17** For samples with no missing information, update the sample status to “Received.” Proceed to the “Viewing of the Person-Donor Duplicate Report” section of this procedure.

5.6 Accessioning Samples with Missing Information

- 5.6.1** If the card is missing required information (e.g., date of birth, race, gender, card preparation date, arrest/conviction date) or there are no offenses listed on the card, attempt to obtain the information from any additional documentation received with the sample. Additionally, an attempt may be made to obtain the information from a law enforcement database. Enter the information from the law enforcement database into the notes of the specimen record and update the collection card. Do not obtain arrest/conviction date solely using the DPS/Division of Adult Correction website.

NOTE: Viewing the Personal Donor Duplicate Report may allow a sample to be identified as a duplicate. If so, the missing information may no longer be necessary.

- 5.6.2** If the information is not found or the card is missing required information that cannot be obtained from a law enforcement database, select “Received-Pending Request for Missing Information” as the specimen status and save the record.
- 5.6.3** Once the sample is in a status of “Received – Pending Request for Missing Information,” contact the submitting agency by using the Fax Requesting Missing Information report or a telephone call. If a fax is sent, attach the scanned fax as a note in the specimen record. If a telephone call is made, record the conversation as a note in the specimen record.

- 5.6.4** Change the specimen status to “Received – Awaiting Missing Information Response.” Once the missing information has been received and documented in SpecMan, change the specimen status to “Received” and proceed to the “Viewing the Person-Donor Duplicate Report” section of this procedure. If the sample is being rejected, continue with Rejection Processing.

5.7 Accessioning Samples Requiring Rejection

- 5.7.1** For samples that require rejection, enter as much information into the specimen record as possible. This may require creating a new specimen record for the sample or it may require retrieving a “New – Pending Receipt” specimen record.

- 5.7.2** Buccal samples shall not be processed for analysis if:

- The sample appears to have been tampered with.
- The card/collector/white transport pouch is missing.
- The card is not filled out.
- The three barcodes do not match for a buccal sample or if one of the three barcodes is missing.

NOTE: In the event the three barcodes are not concordant, the barcode provided on the cheek cell collector shall be used to populate all required fields in SpecMan.

- 5.7.2.1** Select the rejection reason(s) for the sample and add a note to the notes section of the specimen record specifying the reason(s) for the rejection. Place a red dot on the top of the card. Proceed to the “Rejection Processing” section of this procedure after accessioning is complete.
- 5.7.2.2** In the event that a barcode is missing, the specimen number shall be hand-written in the appropriate place to ensure that the item can be associated with the correct specimen record.
- 5.7.2.3** If a sample is received without a collection card or additional documentation, a SpecMan record is not created for the sample. Generate a rejection/resubmission letter for the sample. Enclose a copy of the information on the back of the white transport pouch. Ensure the letter is addressed to the correct agency and is formatted correctly. Print the letter on letterhead.
- 5.7.3** Blood samples shall not be accepted if the card is missing, the sample appears to have been tampered with, or the wrong type of card is received. If there are major discrepancies (e.g., name does not match, wrong secondary identifier) between the identifiers on the blood tube and card or if any pertinent information does not match, the sample shall not be accepted. If the amount or quality of blood is insufficient for testing, the sample shall not be accepted.
- 5.7.3.1** Select the rejection reason(s) for the sample and add a note to the notes section of the specimen record specifying the reason(s) for the rejection. Place a red dot on

the top of the card (indicating that the sample shall be set aside for “Rejection Processing” after accessioning is complete.)

- 5.7.4** The Forensic Scientist Manager or designee shall be contacted if there is any question as to whether a sample is acceptable and shall determine the correct course of action (e.g., contacting the submitting agency for additional information, rejection, conferring with legal counsel).

5.8 Accessioning Resubmissions

- 5.8.1** If the sample is identified as a resubmission (meaning that a rejection letter was included with the sample), search for a specimen record with the status “Resubmit – Pending Receipt” by scanning the barcode on the rejection letter. A rejected sample that has previously been returned to an agency shall not be accepted as a resubmitted sample.

5.8.1.1 If the arrest or conviction dates are the same, populate the “Resubmit – Pending Receipt” record with the information from the newly received card.

5.8.1.2 If the arrest or conviction dates are not the same, change the status of the “Resubmit – Pending Receipt” record to “Closed – Resubmission Received Separately” and follow the steps as outlined in the “Accessioning Buccal Samples” or “Accessioning Blood Samples” section to receive the new specimen.

5.8.1.3 Any additional documentation received from the submitting agency shall be scanned, saved as a .pdf, and attached in the notes of the specimen record.

5.9 Blood Sample Staining

5.9.1 All liquid blood samples shall be stained under a biosafety hood. Turn on both the light and the blower in the biosafety hood before staining.

5.9.2 Verify that the donor’s name and other identifiers match on both the card and the blood tube. Initial and date the top portion of the S&S paper (or equivalent).

5.9.3 When staining, ensure the S&S (or equivalent) paper is in a clean weigh boat.

5.9.4 Gently invert the blood tube multiple times in order to mix the components that may have settled at the bottom of the tube. Using a fresh tissue wiper, carefully remove the rubber stopper from the blood tube by easing the grooved side of the stopper to the rim of the test tube.

NOTE: Tube tops are sealed with negative pressure and may spatter if not opened carefully. While pointing the tube away from you, open all tubes under the hood and behind the safety glass.

5.9.5 Stain approximately three-fourths of the S&S paper (or equivalent) with a clean, disposable pipette. When staining is complete, place the pipette inside the blood tube and carefully place both into the biohazard waste container. If it is determined that there is insufficient blood to stain three-fourths of the S&S paper (or equivalent), concentrate the blood at the bottom portion of the card.

- 5.9.6** The weigh boats (each containing a bloodstain) shall remain in the biosafety hood to dry overnight. The labeled multi-barrier pouch shall remain with the bloodstain while drying.
- 5.9.7** Once dry, place the bloodstain inside the labeled multi-barrier pouch. Discard the weigh boat.
- 5.9.8** Using a paperclip, attach the filled pouch to the sample collection card.

5.10 Rejection Processing

- 5.10.1** Review the status and rejection reasons for the sample.
- 5.10.2** View the Person Donor Duplicate Report.
- 5.10.3** If the sample does not have an acceptable duplicate sample on file, verify eligibility following procedures outlined in the “Eligibility Verification” section of this procedure.
 - 5.10.3.1** Agencies are notified in writing of the sample rejection in the following situations. Letters are generated by following procedures outlined in the “Resubmission Requests” section of this procedure.
 - 5.10.3.1.1** The sample is being rejected and the qualifying event is eligible.
 - 5.10.3.1.2** The sample is ineligible due to no qualifying event.
 - 5.10.3.1.3** The sample is ineligible due to the charges being dismissed.
- 5.10.4** If the sample has an acceptable duplicate and does not need to be resubmitted, follow the steps listed below.
 - 5.10.4.1** Update the status to “Duplicate Pending Verification.”
 - 5.10.4.2** Ensure the duplicate is in the correct storage location.
 - 5.10.4.3** Add the correct rejection reason indicating an acceptable sample is on file.
 - 5.10.4.4** Ensure the resubmit option is selected as “No.”
 - 5.10.4.5** Ensure the sample is in the status “Rejected – Destroyed.”
 - 5.10.4.6** Ensure a final scan of the card is attached to the notes section of the specimen record.
 - 5.10.4.7** Samples requiring destruction shall be placed in the biohazard waste to be incinerated and the DNA Database Collection Card shall be destroyed.
- 5.10.5** If the sample was rejected because a complete profile was not obtained or a mixed profile was obtained, a duplicate sample from the individual may be analyzed.
 - 5.10.5.1** If a duplicate is available, use the “Analysis Batch Assignment” section of this procedure to assign the potential duplicate sample to a regular batch for analysis. The rejected sample shall be held until it is ready for destruction.

5.10.5.2 If no duplicate is available, add the rejection reason. Proceed to the “Agency Notification” section of this procedure.

5.10.6 If the Forensic Scientist Manager or designee determines that the sample shall be retained and not destroyed, change the specimen status to “Rejected – Pending Storage” and store the sample.

5.10.6.1 Assign the sample to an appropriate rejected storage batch (HRB or HRS). If an open batch of this type is not available, create a new one.

5.10.6.2 Print labels and affix to the sample. Change the specimen status to “Stored – Rejected.” Place sample in the appropriate storage location within the DNA Database Section.

5.10.6.3 Once the batch is full, change the batch status to “Stored – Rejected.”

5.11 Agency Notification

5.11.1 Submitting agencies shall be notified of samples that are rejected.

5.11.2 Ensure the sample is in a status of “Rejected – Pending Destruction.”

5.11.2.1 If samples are eligible for resubmission, ensure the specimen resubmission option is selected as “Yes.” Save the specimen record but do not close it. SpecMan automatically creates a new specimen record for the resubmission in a status of “Resubmit–Pending Receipt.”

5.11.2.2 If samples are not eligible for resubmission, ensure the specimen resubmission option is selected as “No.” Save the specimen record but do not close it.

5.11.3 Generate a Reject Letter for the specimen. Ensure the letter has the correct information for the subject and the resubmission scenario.

5.11.4 Print the letter and seal it in an envelope to be mailed.

5.11.5 Ensure the sample is in the status “Rejected – Destroyed.”

5.11.6 Samples requiring destruction shall be placed in the biohazard waste to be incinerated and the DNA Database Collection Card shall be destroyed.

5.12 Viewing the Person-Donor Duplicate Report

5.12.1 At various stages, the samples associated with the same person or donor shall be reviewed to determine how the sample will be processed.

5.12.2 Run the Person-Donor Duplicate Report for the sample and view the samples associated with that person or donor. The report broadly searches for samples that may be from the same donor based on shared identifiers or based on a similar name and proximal date of birth pattern. The report also searches for existing potential matching expunction requests based on the same criteria.

5.12.3 If no potential duplicate samples are listed for the current sample, complete the accessioning process and determine offense eligibility. If the current sample is acceptable and is in “Eligibility Verified” status, assign the current sample to a regular batch as outlined in “Analysis Batch Assignment.”

5.12.4 If duplicates are listed, proceed to “Eligibility Verification” or “Duplicate Processing” based on the status of the duplicate.

5.12.4.1 If the potential duplicate for the current sample is in one of the following statuses, write “Dup” or “Duplicate” and the specimen number of the potential duplicate on the card and proceed to the “Duplicate Processing” section.

5.12.4.1.1 Stored – Entered in CODIS

5.12.4.1.2 Eligibility Verified

5.12.4.1.3 Other statuses indicating the potential duplicate sample is currently in process past the Eligibility Verification process.

5.12.4.2 If potential duplicates for the current sample is in one of the following statuses, proceed to the “Eligibility Verification” section.

5.12.4.2.1 CCH Results Ready

5.12.4.2.2 Secondary Verification

5.12.4.2.3 Stored – Rejected

5.12.4.2.4 Rejected – Destroyed

NOTE: If a potential matching expunction request exists for the arrestee sample, notify the individual processing the expungement. That individual shall determine the correct course of action for the sample.

5.12.5 SpecMan records in the status of “Resubmit – Pending Receipt” with a resubmission option of “Yes” do not require resubmission when another qualifying sample from the individual is in the status of “Eligibility Verification.” The record of the duplicate sample requires updating. Change the resubmission option to “No” and change the status to “Closed – Resubmission Received Separately.”

5.13 Eligibility Verification

5.13.1 All qualifying events shall be verified by Database employees to determine if they are acceptable according to Article 13 of Chapter 15A of the North Carolina General Statutes.

5.13.2 The conviction/arrestee information for the sample/person as well as the identifying information may be verified, obtained and/or updated using any law enforcement database resource containing criminal record information approved by the Forensic Scientist Manager.

5.13.3 Once a sample is saved in “Received” status, SpecMan automatically queries CCH and

changes the specimen status to “CCH Results Pending Eval.” The Database employee shall use the information from the CCH Results and the information provided on the collection card to determine whether a sample is eligible for processing under the law.

5.13.3.1 If the DNA Database employee is trained to process samples in “Secondary Verification,” the employee may proceed to the “Secondary Verification” section of this procedure without changing the status to “Secondary Verification.”

5.13.4 View the CCH Results record(s) for the sample by clicking the CCH Results menu option.

5.13.4.1 If a CCH record is not found in SpecMan, add a note to the specimen record and change the specimen status to “Secondary Verification.” Save and close the record.

5.13.4.2 If there are CCH records returned, open the CCH result corresponding to the qualifying event for the conviction or arrest and review the information in the general tab to ensure the information returned is for the same person. If the information in the CCH Result is not for the same person or there are significant discrepancies, add a note to the specimen record and change the specimen status to “Secondary Verification.”

5.13.5 Verify that the offense(s) found in the SpecMan CCH query matches the offense information provided by the submitting agency.

5.13.5.1 If the offenses do not match the card or cannot be verified, add a note to the specimen record and change the specimen status to “Secondary Verification.”

5.13.5.2 If the offenses do match, qualifying event eligibility is verified using several steps that take into account the following factors: date of qualifying event, G.S. number, offense description, disposition or verdict, and the specimen reason (arrestee or convicted offender).

5.13.5.2.1 If there is no date in the Begin DNA field for the sample being processed, SpecMan considers that G.S. number ineligible for collection. In some cases, the G.S. is eligible for collection, but the Begin DNA date is not populated. In these cases, the Database employee shall consult a law enforcement database to ensure the conviction or arrest event occurred. If the event occurred, add the appropriate Begin DNA date utilizing the NCGA website and add a note to the specimen record.

5.13.5.2.2 Ensure the date of qualifying event is between the Begin DNA date and the End DNA date (if present).

5.13.5.2.3 For arrestees, the CCH disposition or CCH verdict fields contain values to indicate the arrest is still eligible. If the fields have references to one of the following, or any other court process or judgment used to eliminate or dismiss the arrest charge, add a note to

the specimen record and change the specimen status to “Secondary Verification.”

5.13.5.2.3.1 Guilty to Lesser Offense

5.13.5.2.3.2 Dismissed With Leave

5.13.5.2.3.3 Dismissed Without Leave

5.13.5.2.3.4 Dismissal by DA

5.13.5.2.3.5 Dismissed by the Court

5.13.5.2.3.6 Never Served

5.13.5.2.3.7 No Probable Cause

5.13.5.2.3.8 No True Bill

5.13.5.2.4 For convicted offenders, the CCH disposition or CCH verdict fields contain values to indicate a conviction occurred. If there is a reference to any court process or judgment other than the following, or any indication that a conviction did not occur, add a note to the specimen record and change the specimen status to “Secondary Verification.”

5.13.5.2.4.1 Guilty

5.13.5.2.4.2 Guilty Alford Plea

5.13.5.2.4.3 Guilty to Lesser Offense

5.13.5.2.4.4 No Contest

5.13.6 If the Database employee determines that the CCH Result records indicate the sample is not eligible, add a note in the specimen record and change the specimen status to “Secondary Verification.” Save and close the record.

5.13.7 If the Database employee determines that the CCH Result records indicate the sample is eligible, change the specimen status to “Eligibility Verified” and save the record.

5.13.7.1 Only one CCH result returned by SpecMan may be captured and saved permanently in the specimen record. If more than one CCH result is returned, select the record that matches the information provided by the agency and was used to determine the sample is eligible for collection. Remove additional CCH results.

5.13.7.2 Upon changing the specimen status to “Eligibility Verified,” the system does not allow the record to be saved if the card prep date is before the date of qualifying event. If this occurs, add a note to the specimen record and set the specimen status to “Secondary Verification” and save and close the record.

NOTE: When processing a blood sample, both the card prepared date and sample collected/received date shall be evaluated. When processing buccal samples, the card preparation date and sample collection date on the white transport pouch shall be evaluated. If the card prepared date is prior to the qualifying event date, the sample collected/received date shall be entered into the system as long as it is on/after the qualifying event date. A note shall be added to the specimen record in SpecMan.

- 5.13.8** If the sample remains in “Eligibility Verified” status, indicate the correct qualifying event G.S. on the collection card. Include the source of the information as well as initials and date.

5.14 Secondary Verification

- 5.14.1** All samples in “Secondary Verification” status shall be processed by designated Database employees.
- 5.14.2** Open each specimen record and review the notes and the SpecMan CCH results, if any, to determine the reason for the secondary verification.
- 5.14.3** Run the Person Donor Duplicate Report. If the report returns a duplicate, follow the procedure for Viewing the Person Donor Duplicate Report.
- 5.14.4** Search any approved law enforcement database to determine if a qualifying event (arrest or conviction) exists for the sample. This process uses the same decision-making process as the “Eligibility Verification” section of this procedure; however, it is performed without the assistance of SpecMan. The following factors shall be considered to ensure that all samples are accepted pursuant to Article 13 of Chapter 15A of the NC General Statutes.
- 5.14.4.1** Identifying information associated with the specimen (e.g., name, DOB, race, gender)
 - 5.14.4.2** Numerical identifiers associated with the specimen (e.g., Offender Number, DPS, SID, FBI, check digit number)
 - 5.14.4.3** Specimen reason (arrested or convicted)
 - 5.14.4.4** Date of qualifying event (date of arrest or date of conviction)
 - 5.14.4.5** Offense information documented on the card
 - 5.14.4.6** Offense description and G.S. found in the query(s)
 - 5.14.4.7** Collection begin date for the G.S. associated with the offense(s) and Article 13 of Chapter 15A of the NC General Statutes.
 - 5.14.4.8** Court records or documentation received with the sample and attached to the specimen record
 - 5.14.4.9** Additional notes provided by the agency on the collection card

5.14.5 If the sample is determined to be eligible, the following steps shall be taken.

- 5.14.5.1** Print to .pdf and attach the documentation from query(s) to the specimen record.
- 5.14.5.2** Add numerical identifiers obtained from the query(s) as relevant to the event on the card to the specimen record. This shall include SID and FBI numbers, if available.
- 5.14.5.3** Add a note to the specimen record indicating the correct qualifying event G.S. (i.e., 14-54(a), 14-87.1, or “common law”), the source of the information, initial and date.
- 5.14.5.4** Ensure that the correct CCH results/offenses at eligibility are entered into the specimen record.
- 5.14.5.5** Change the specimen status to “Eligibility Verified.”
- 5.14.5.6** Indicate the correct qualifying event G.S. (i.e., 14-54(a), 14-87.1, “common law”) on the collection card, the source of the information, initial and date.

5.14.6 If the sample is determined to be ineligible, the following steps shall be taken.

- 5.14.6.1** Print to .pdf and attach the documentation from at least two queries to the specimen record. Alternatively, the documentation may be printed as a hardcopy and retained within the DNA Database Section.
- 5.14.6.2** Add numerical identifiers obtained from the query as relevant to the event on the card to the specimen record. This shall include SID and FBI numbers, if available.
- 5.14.6.3** Add a note to the specimen record indicating the reason for rejection, the source of the information, and initials and date.
- 5.14.6.4** Remove any existing CCH results. This ensures that the ineligible offense is documented in the notes section for secondary verifications.
- 5.14.6.5** Edit rejection reason(s) to ensure all relevant reasons are present.
- 5.14.6.6** Change the specimen status to “Rejected – Pending Destruction” and proceed to the “Rejection Processing” section of this procedure.
 - 5.14.6.6.1** For samples rejected because the card was prepared before the date of qualifying event and the subject has no subsequent qualifying conviction in his/her criminal history, proceed to the “Rejection Processing” section to determine if a resubmission is required.

5.14.7 If there are no qualifying events found or if there is insufficient information provided by the submitting agency to process the sample, an attempt to contact the appropriate law enforcement agencies may be made by a Database employee in an attempt to determine if the person has a qualifying event. If insufficient information is obtained from contacting

the appropriate agency regarding the reason for collecting a sample or if the Database employee cannot determine if the sample has a qualifying event, guidance from the section manager shall be obtained.

5.15 Analysis Batch Assignment

5.15.1 Regular Batches

5.15.1.1 Regular batches are for routine sample analysis. Samples in regular batches are not QC samples, rejected samples, or duplicate samples.

5.15.1.2 Regular batches are named with the following prefixes.

5.15.1.2.1 COB – Convicted Offender Blood

5.15.1.2.2 COS – Convicted Offender Swab

5.15.1.2.3 ARB – Arrestee Blood

5.15.1.2.4 ARS – Arrestee Swab

5.15.1.3 Samples that reach this step shall be in a status of “Eligibility Verified” or “Rejected – Reprocess.”

5.15.1.4 Each sample to be assigned to a regular batch shall be added to a batch with the appropriate batch type (blood or buccal) and batch reason (convicted or arrested). If an open batch of the appropriate type is not available, create a new one.

5.15.1.5 After the specimens have been assigned a batch, run the “Batch Duplicates Report.”

5.15.1.6 Duplicate samples shall be removed from the batch and replaced with an additional sample. Ensure the replacement sample contains the current batch number.

5.15.1.7 When the batch has the correct amount of specimens assigned to it, change batch status to “Stored – Pending Analysis.” At this point, the sequence numbers will be assigned to each specimen.

5.15.1.8 For buccal samples, run the “Batch Storage Envelope Labels” report and print the storage labels.

5.15.1.9 Verify that the specimen numbers located on the envelope and collection card match. Place one label underneath the specimen number barcode on the envelope and one in the upper left hand corner of the collection card. Ensure the label does not cover any writing or information.

5.15.1.10 For blood samples, run the “Blood Batching Labels” report and print the storage labels. Place one label underneath the specimen number barcode on the multi-barrier pouch and one in the upper left hand corner of the collection card. Verify

that the specimen numbers on the collection card and multi-barrier pouch match. Never cover up any information on a card. If there is writing or information where the normal placement location is, place the barcode in another appropriate location.

- 5.15.1.11** Place the batch in a storage location within the DNA Database Section. Regular batches shall be processed as outlined in the Procedure for Samples Analyzed In-House.

5.15.2 Other Batch Types

- 5.15.2.1** Legacy batches associated with QC samples and rerun samples have the prefixes QCB, QCS, RBR, RSR, RBM, and RSM. Samples were not assigned to these batch types during the accessioning process. These batch types are no longer in use.

- 5.15.2.2** Additional analysis batches exist in SpecMan and are created after a sample has been processed. Examples of these batch types are listed below.

- 5.15.2.2.1** CH – Samples being confirmed as a result of a CODIS hit

- 5.15.2.2.2** STR – Samples being updated with additional STR loci data

- 5.15.2.2.3** YSTR – Samples being updated with YSTR data

- 5.15.2.2.4** FS – Samples being confirmed as a result of a hit from a familial search

5.16 Duplicate Processing

- 5.16.1** Each sample in “Duplicate – Pending Verification” status shall be verified before it is stored or destroyed. Compare the information in the potential duplicate sample’s specimen record or card with the information on the current sample’s collection card or record to determine if they are from the same donor.

NOTE: For rejection processing, ensure the original sample is acceptable and is available in the proper storage location. Follow the “Rejection Processing” section of this procedure.

- 5.16.2** If a listed potential duplicate sample is in a status of “Stored –Entered in SDIS,” the current sample will not be marked as a duplicate. Once the current sample is in “Eligibility Verified” status, assign the current sample to a regular batch as outlined in “Analysis Batch Assignment.” If a complete profile is obtained, the profile from this sample will be uploaded to CODIS.

- 5.16.3** If the samples are from different donors, use the Person/Donor report to determine if the sample requires analysis. If so, assign the sample to the proper analysis batch type using instructions in the “Analysis Batch Assignment” section.

- 5.16.4** If it cannot be determined that the samples are from the same donor, the current sample shall be assigned to a batch and processed as outlined in the Procedure for Samples

Analyzed In-House.

5.17 Storage or Destruction of Duplicate Samples

5.17.1 Duplicate samples may be retained or destroyed as determined by the section manager or designee.

5.17.2 Samples that reach this step shall be in a status of “Duplicate – Pending Verification.”

5.17.3 Duplicate batches are named with the following prefixes.

5.17.3.1 HDS – Held Duplicate Swab

5.17.3.2 HDB – Held Duplicate Blood

5.17.3.3 HDDS – Held Duplicate Destroyed Swab

5.17.3.4 HDDB – Held Duplicate Destroyed Blood

5.17.4 Duplicate samples designated to be retained shall be assigned to HDS or HDB batches.

5.17.4.1 If an open batch of this type is not available, create a new one.

5.17.4.2 When the batch has the correct amount of specimens assigned, change the batch status to “Stored – Duplicate.”

5.17.4.3 Print labels and label the samples as described in the “Regular Batches” section of this Procedure.

5.17.4.4 Place the batch in a storage location within the DNA Database Section.

5.17.5 Duplicate samples designated to be destroyed shall be assigned to HDDS or HDDB batches. Samples in duplicate destruction batches are not QC samples, rejected samples, or confirmation samples.

5.17.5.1 Change the status of the batch to “Stored – DUP Pending Destruction.” The status of each specimen in the batch will be changed to “Stored – DUP Pending Destruction.”

5.17.5.2 Run the “Batch Duplicates Report.”

5.17.5.3 Ensure that the original specimen associated with the duplicate specimen is “Stored – Entered in CODIS.” Ensure the original sample is available in the proper storage location.

5.17.5.4 Samples that do not have a qualifying sample on file shall be removed from the destruction batch.

5.17.5.4.1 In the Processing tab, remove the information in the “Batch,”

“Sequence Number,” “Plate Position,” and “Storage Envelope” fields if present.

5.17.5.4.2 Based on the sample’s audit trail, update the sample to the correct status and storage location to continue sample processing. Save and close the record.

5.17.5.5 Generate and print the “Duplicates Destruction Form” for the batch. The Forensic Scientist Manager or designee shall witness the destruction of each sample. Once the form is completed, the form shall be scanned and attached as a .pdf to the batch record.

5.17.5.6 Change the batch status to “Duplicate - Destroyed.”

5.18 Sealing

5.18.1 All samples shall be sealed prior to permanent storage.

5.18.2 Blood Sample Heat Sealing

5.18.2.1 Prior to sealing, each multi-barrier pouch shall receive a desiccant. The desiccant shall not be in contact with the blood stained S&S paper (or equivalent).

5.18.2.2 Samples shall be sealed using the heat sealer set to the following:

V (vacuum): 14

G (gas): 00

S (sealing): 2.0

5.18.2.3 Place multi-barrier pouches on the left and right side bar of the machine with the open ends of the pouches lying on the heat sealing bars. Pull the top down using the metal handle in the front of the machine. Hold the handle down firmly until the pressure begins building within the machine. After a few moments, the pressure is released and the lid rises automatically. Remove the multi-barrier pouches and place them in sequential order for storage.

5.18.3 Buccal Sample Sealing

5.18.3.1 Seal the white transport pouch with a piece of transparent, adhesive tape.

5.18.3.2 Print foil pouch labels from the associated batch record by running the “Foil Pouch Labels for Batch” report in SpecMan.

5.18.3.3 Insert the white transport pouch into an appropriately labeled foil pouch. Add a desiccant to the foil pouch and seal it with transparent, adhesive tape.

5.19 Sample and Document Retention

5.19.1 Database samples shall be retained for a minimum of fifty years.

5.19.2 To preserve the integrity of the samples, Database samples which have been tested for their DNA profile shall be retained in a designated storage area within the State Crime Laboratory. All other samples being processed may be located in temporary storage areas within the State Crime Laboratory.

5.19.3 The DNA Database chain-of-custody sample inventory form received with samples from the North Carolina Department of Public Safety/Division of Adult Corrections shall be retained according to the record retention schedule as set forth by the North Carolina Department of Cultural Resources.

5.20 Removal of Samples from Databank

5.20.1 The Forensic Scientist Manager may authorize removal of database samples from the Databank under the following circumstances: routine testing of samples for inclusion in the Database, confirmation of CODIS hits, punching extra samples for QC testing or random reanalysis, training, verification of duplicate samples, and validations. Only sufficient specimen for testing purposes shall be removed. Removal of samples for any purpose other than those designated above shall be done only with the written approval of the Forensic Scientist Manager.

5.20.2 When removed from the Databank for analysis, the pouch containing the sample shall be opened, and sufficient sample for testing shall be removed. Aseptic technique shall be used to punch one sample at a time.

5.20.3 Pouches shall be resealed and returned to the DNA Databank.

6.0 Limitations – N/A

7.0 Safety – Exposure to blood borne pathogens may occur in performing of the procedures in this document. Therefore, use personal protective equipment (e.g., gloves, lab coats).

8.0 References

DNA Database Administrative Policy and Procedure

DNA Database Administrative Policy and Procedure for Safety and Hazardous Waste Disposal

DNA Database Section Procedure for Expungement of Arrestee and Convicted Offender Samples

DNA Database Section Procedure for Sample Processing Quality Control

North Carolina Department of Cultural Resources Record Retention Schedule

State Crime Laboratory Quality Manual

Laboratory Safety Manual: Bloodborne Pathogen Compliance Program

9.0 Records

- Correctional Inventory Sheets Notebooks/Files
- DNA Database Duplicate Sample Destruction Form

- DNA Database Sample Inventory Form
- Sample Processing Disinfection Log

10.0 Attachments – N/A

Revision History		
Effective Date	Version Number	Reason
08/09/2021	1	Original Document – Replaces Procedure for Sample Accessioning and Processing