



# **Convicted Offender/CODIS Program**

## **Standard Operating Procedures**

April 2015

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## INTRODUCTION

The Washington State Patrol Crime Laboratory Division (WSPCLD) program for the typing of DNA in biological materials has three related, but distinct aspects:

1. The DNA typing of biological evidence recovered from a crime scene with the results potentially being introduced in court as part of a criminal proceeding.
2. The DNA typing of biological samples received from the following individuals:
  - Anyone convicted of a felony.
  - Anyone convicted of any of the following misdemeanor offenses: stalking, harassment, communicating with a minor for immoral purposes, assault 4 with sexual motivation, custodial sexual misconduct 2, patronizing a prostitute, sexual misconduct with a minor 2, and violation of a sexual assault protection order granted under chapter 7.90 RCW.
  - Anyone required to register as a sex/kidnapping offender.

The above listed samples will hereafter be referred to as convicted offender samples.

3. DNA typing to aid in the identification of human remains and missing persons.

The authority for this work is provided by Washington RCW [43.43.752](#), [43.43.753](#), [43.43.7532](#), [43.43.754](#), [43.43.7541](#), [43.43.756](#), [43.43.758](#), and [43.43.759](#). Both adult and juvenile offenders are covered under this RCW. The Washington Administrative Code establishing the rules of operation for this program are contained in [Chapter 446-75](#).

The primary source of information for the guidelines related to the CODIS Program is the FBI's "NDIS Operational Procedures Manual" along with guidance provided by NDIS (National DNA Index System).

The DNA typing results from both evidentiary samples and convicted offender samples are entered into a computer data bank which is referred to as CODIS (Combined DNA Index System). This data bank can then be searched when DNA typing results are obtained from crime scene evidence of unknown origin. This aspect of the DNA program is used as an investigative tool to assist law enforcement agencies in developing potential suspects in criminal cases and/or linking cases with matching DNA profiles where no link was previously known. STR profiles developed from human remains, missing persons and relatives of missing persons can also be entered into the CODIS data bank and searched to aid in the investigation of unidentified human (remains) and missing persons.

The Combined DNA Index System (CODIS) is a collection of DNA databases from forensic laboratories around the United States. CODIS consists of various levels of indexes. The Local DNA Index System (LDIS) contains the DNA records for searching for DNA matches and for inserting into higher levels of CODIS. The State DNA Index System (SDIS) contains the state-level DNA records for searching by local DNA laboratories within the state. SDIS is the state's repository of DNA identification records including convicted offender DNA profiles, forensic profiles, unidentified human (remains) profiles, missing person profiles, and DNA profiles from relatives of missing persons. SDIS is the responsibility of the CODIS Manager. All searches done within Washington State are done through SDIS on peer reviewed profiles. SDIS also serves as the central point of contact for access to NDIS. The National DNA Index System (NDIS) is the FBI-administered centralized system of DNA identification records contributed by all

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state and local participating laboratories. NDIS receives records from every lower level index and supports the searching function of CODIS.

The five CODIS local Washington State Patrol Crime Laboratories in Marysville, Seattle (casework), Spokane, Tacoma and Vancouver conduct DNA typing on evidentiary samples and enter those profiles into LDIS in their respective laboratories. These profiles can be compared to other profiles within their own laboratory and are submitted to the state CODIS laboratory in Seattle where they will be searched against all other case profiles developed within the state as well as the state convicted offender database. They are also forwarded to NDIS for interstate searching if the profile meets NDIS eligibility criteria.

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## CODIS PROGRAM

All biological samples collected from convicted offenders in Washington State are submitted to the Washington State Patrol CODIS Laboratory in Seattle for DNA typing. DNA typing of these samples is either done by CODIS Laboratory staff or sent out to an accredited (such as ASCLD/LAB or FQS) private contract laboratory. All DNA typing results from convicted offender samples are either reviewed by a qualified DNA analyst employed by the WSPCLD or passed by the CODIS Laboratory's Expert System prior to entry into CODIS.

### ORGANIZATION AND MANAGEMENT

#### CODIS DNA Analyst (Forensic Scientist)

The CODIS forensic scientists generate and interpret DNA typing profiles from convicted offender samples and provide peer review on convicted offender samples that have been contracted out to a private laboratory. As necessary, CODIS DNA Analysts will also assist with administrative tasks.

#### CODIS Office Assistant

The CODIS Office Assistant performs a variety of routine duties in support of CODIS Laboratory operations. Their primary duties are administrative processing of incoming convicted offender samples and preparing and sending out any samples that are to be typed by a contract laboratory.

#### Casework DNA Analyst (Forensic Scientist)

The casework DNA analyst generates DNA profiles from evidentiary samples and has the responsibility to determine whether or not there is a DNA profile that is appropriate for entry into CODIS in his/her case. It is the responsibility of the DNA analyst to alert the CODIS Administrator within the local laboratories or the CODIS Manager to any CODIS related actions on their casework. Such actions would include subsequent determination that an unknown profile belongs to an elimination source (e.g. husband/boyfriend) and therefore must be removed from CODIS.

#### CODIS Manager

The CODIS Manager manages and operates the CODIS Laboratory.

The CODIS Manager is responsible for ensuring that the DNA sections in each laboratory within the division are in compliance with the terms and conditions for participation in the National DNA Index System.

The CODIS Manager is responsible for all operations of the CODIS system and has ultimate authority over the state's security and quality of data stored in CODIS. The security and quality of data in CODIS shall be maintained in accordance with state and/or federal law and NDIS operational procedures. Responsibilities of the CODIS Manager include, but are not limited to: software updates, user maintenance, executing searches, setting match dispositions in accordance with NDIS operational procedures, sending uploads to NDIS, and communicating with other agencies as needed.

The CODIS Manager has the authority over all CODIS laboratories in the WSPCLD to terminate an analyst's or laboratory's participation in CODIS until the reliability and security of the computer data can be assured in the event an issue with the data is identified. Any such action shall require immediate notification to the DNA Technical Leader and the Quality Assurance Manager.

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The CODIS Manager is responsible for the supervision of staff assigned to the CODIS Laboratory and ensuring that CODIS DNA Analysts have completed the necessary CODIS computer training.

The CODIS Manager is responsible for the maintenance and filing of all documentation required for NDIS participation.

The CODIS Manager is responsible for ensuring that data related to hits is sent to the NDIS Custodian by the 10<sup>th</sup> of each month (or as otherwise specified by the NDIS Custodian).

The CODIS Manager is responsible for ensuring that the DNA (FAX) Search Requests downloaded via the CJISWAN (Criminal Justice Information Services Wide Area Network) website are searched on a quarterly basis.

The CODIS Manager may designate another individual to perform CODIS-related duties as needed. The alternate will receive appropriate training to perform the tasks.

The CODIS Manager is responsible for the Convicted Offender/CODIS Program Standard Operating Procedures Manual which provides general guidelines. Allowances to adapt a CODIS-related policy may be necessary and will be determined on a case by case basis by the CODIS Manager in consultation with the DNA Technical Leader.

Qualifications, training requirements and general responsibilities of CODIS administrators and alternates are further described in the NDIS Procedure "NDIS Laboratories".

Local CODIS Administrator (LDIS Administrator/Casework CODIS Administrator)

A local CODIS Administrator (LDIS Administrator/Casework CODIS Administrator) will be designated in the Marysville, Seattle (casework), Spokane, Tacoma and Vancouver laboratories by the DNA supervisor with approval from the CODIS Manager and Laboratory Manager. The LDIS Administrator is responsible for the operations of the CODIS system within their laboratory and also administers the local laboratory's CODIS network. Their responsibilities include, but are not limited to: software updates, user maintenance, supervision of outgoing search requests and resulting State Match Detail Reports, sending uploads to SDIS, deletion of profiles when necessary, scheduling and documenting the CODIS computer training of Casework DNA Analysts, and setting match dispositions in accordance with NDIS operational procedures. In addition, the LDIS Administrator shall ensure the security and quality of the data stored in CODIS and that it is in accordance with state and/or federal law and NDIS operational procedures. Support for these functions is provided by the CODIS Manager and by the CODIS Help Desk.

The LDIS Administrator has the authority to terminate an analyst's or their laboratory's participation in CODIS until the reliability and security of the computer data can be assured in the event an issue with the data is identified. Any such action shall require immediate notification to the CODIS Manager, DNA Technical Leader and Quality Assurance Manager.

The LDIS Administrator is responsible for providing the needed documentation on audits and new or existing CODIS users in their laboratory to the CODIS Manager.

The DNA supervisor may designate, with the CODIS Manager and Laboratory Manager's approval, another scientist to perform CODIS-related duties as needed. The backup LDIS Administrator will receive appropriate training to perform the tasks.

Qualifications, training requirements and general responsibilities of CODIS administrators and alternates are further described in the NDIS Procedure "NDIS Laboratories".

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## **RECEIPT AND PROCESSING OF CONVICTED OFFENDER SAMPLES**

### Receipt and Storage

As of July 1, 2002 the Washington State Convicted Felon Law allows for the collection of a "biological sample" as opposed to the previous law which specifically required the collection of a whole blood sample. The Crime Laboratory Division changed the preferred method of collection of a sample from whole blood to buccal swabs rolled onto FTA paper. While the vast majority of samples received are now buccal swabs we do occasionally receive and will accept a whole blood sample. Both types of samples are received via the U.S. Postal Service, United Parcel Service, hand delivery or other means of transport. Whole blood samples are stored in a laboratory refrigerator while buccal samples on FTA paper are stored at room temperature.

Each convicted offender sample received by the laboratory is accompanied by a data card in the case of buccal samples, or a data sheet in the case of whole blood samples. Both the card and the sheet contain basic information on the offender including name and date of birth as well as information on where the sample was collected and who collected it.

At the time of receipt each offender sample is assigned a laboratory number. (See the CODIS Laboratory STR Analysis Procedures manual for details of the administrative processing of convicted offender samples.)

### Processing of Whole Blood Samples

Whole blood samples are normally received in EDTA vacutainer tubes. Upon receipt, each whole blood sample is prepared as follows:

1. Ten to twelve 75 microliter stains are prepared on paper (e.g. Schleicher & Schuell 903). The stains are air dried, sealed in plastic bags, and frozen at -20 to -80 degrees C pending analysis.
2. Any remaining whole blood is destroyed by pouring into a disinfectant solution.
3. The dried bloodstains and corresponding submission paperwork are retained indefinitely by the laboratory.

### Processing of Buccal Samples

Buccal samples are received as two dried stains on Whatman FTA<sup>®</sup> cards. A portion of one of the stains is either punched out or cut out if the sample is to be typed within the laboratory. If the sample is being sent out to a contract laboratory for typing, then an entire stain is removed and repackaged for sending out. The buccal samples and corresponding submission paperwork are retained indefinitely by the laboratory.

## **DNA TYPING OF CONVICTED OFFENDER SAMPLES**

STR typing procedures used are detailed in the WSPCLD document entitled "CODIS Laboratory STR Analysis Procedures". STR profiles developed from convicted offender samples that are typed in-house are either peer-reviewed by qualified DNA analysts employed by the Crime Laboratory Division or passed by the CODIS Laboratory's Expert System. As needed, the WSPCLD may decide to contract out the DNA typing of convicted offender samples.

Whenever the typing of convicted offender samples is contracted out, the contract established between the Crime Laboratory Division and the vendor will specify the technical requirements for the analysis of the samples. All samples contracted out will undergo a technical review by a

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qualified DNA analyst employed by the Crime Laboratory Division. The requirements of the review process will be established in writing by the DNA Technical Leader once the format of the data being returned by the contract laboratory is determined.

The reviewed profiles are entered into the Convicted Offender Index (or Multi-allelic Offender Index where appropriate) at SDIS by the CODIS Manager. Profiles entered manually using STR Data Entry shall be verified in CODIS by another CODIS analyst. The entry and verification (if applicable) shall be documented in the case file with the individual's initials and date. The CODIS Manager is responsible for uploading eligible profiles to NDIS.

## **CASEWORK PROFILES**

### Forensic STR

Specimen identification numbers for forensic STR samples entered into CODIS utilize the laboratory case number followed by a designator which specifies a specific sample (or part of a sample) such as an item number or brief description of the item. Forensic STR profiles are normally entered into LDIS (using the Specimen Category "Forensic, Unknown", "Forensic Partial" or "Forensic Mixture" as appropriate) by the DNA analyst prior to peer review. A copy of the "LDIS Specimen Detail Report" will be printed and included in the case file. Once the profile and the specimen category listed on the "LDIS Specimen Detail Report" is peer reviewed, the profile can be searched at SDIS and/or uploaded by the LDIS Administrator.

### Missing Persons, Relatives of Missing Persons and Unidentified Human (Remains)

Since mitochondrial DNA testing is usually required for these indices, it is recommended that evidence associated with these types of cases be submitted to the FBI or other NDIS participating laboratory that offers both mitochondrial and STR typing. On occasion, STR typing for these samples may be done within the WSP crime laboratory system, therefore, analysts should be aware that NDIS has additional requirements for these types of cases as follows:

1. In missing persons investigation, references may be requested from family members. Family reference samples submitted to a WSP Crime Laboratory shall be accompanied with a [Consent for Family Reference Samples Collection, Reference and CODIS Entry Form](#).
2. The analyst should obtain the NCIC (National Crime Information Center) number associated with the case from the submitting agency representative. This is a unique 10 digit alphanumeric number that is generated when a law enforcement agency enters information about the case into NCIC to assist in locating or identifying the person. The NCIC number should be listed on the laboratory report under the agency case number.
3. Specimen identification numbers for entry into CODIS should not include the individual's name as an identifier. An appropriate identifier would be the case number and item number.
4. In addition to the laboratory report, a letter on agency letterhead notifying the submitting agency of the STR results obtained is required (see Appendix A, Sample Letters 1, 2 and 3 for examples). Information in this letter should be used by the submitting agency representative to update the Miscellaneous or MIS field in NCIC with DNA information.
5. If an STR and/or Y-STR profile has been generated by a WSP CLD DNA analyst, .cmf files on a CD can be provided to the law enforcement agency if requested. The data provided will enable the NDIS participating laboratory conducting additional technology testing (e.g. mitochondrial) to link the profiles in the CODIS software.

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## SEARCHES

Casework DNA profiles must be reviewed before being uploaded or searched at SDIS or NDIS. The review shall include (at a minimum) GeneMapper® data for all appropriate samples and controls to ensure that all allele calls are correct and that mixtures have been properly resolved. This review must also ensure that the profile meets eligibility requirements and the specimen category is correct. The reviewer's initials and date of the review shall be noted on the LDIS Specimen Detail Sheet prior to upload or a search of the profile.

Forensic Partial and Forensic Mixture DNA profiles must be assessed using the CODIS Match Prediction Tool prior to a search request or upload to SDIS. Profiles which have the potential of generating too large a number of matches (determined on a case by case basis) may be inappropriate for searching at SDIS. For NDIS eligibility of Forensic Partial and Forensic Mixture profiles, the CODIS Match Prediction Tool must estimate no more than approximately one match in the size of the NDIS database. The printout from the spreadsheet shall become part of the documentation for the case file and will be reviewed prior to any searching.

Any comparison of a casework profile to a convicted offender profile should be done by searching the casework profile against the database. The following table summarizes search configurations at the state (SDIS) level. Information for NDIS searches can be found on the CJIS WAN or by contacting a CODIS administrator.

INDEX	Forensic*	Convicted Offender, Multi-Allelic Offender	Unidentified Human (Remains)	Missing Person	Relatives of Missing Person	Employee (includes staff and elimination, known)
Forensic*	X	X	X	X		X
Convicted Offender, Multi-Allelic Offender	X		X	X		X
Missing Person	X	X	X			X
Relatives of Missing Person			X			
Unidentified Human (Remains)	X	X	X	X	X	X

<b>Employee (includes staff and elimination, known)</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>		<b>X</b>
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\* = Forensic includes the Forensic Index, Forensic Partial Index and Forensic Mixture Index.

## TYPES OF SEARCHES

### Manual Search

Manual searches may be conducted by the CODIS Manager when requested by a DNA analyst. The result of this search will be documented in the case file. If the results of the manual search yields a match that needs confirming, the casework analyst will give a copy of the "State Match Detail Report" and a "[CODIS DNA Match Data Request Offender Match \(SDIS/NDIS\)](#)" or "[CODIS DNA Match Data Form Casework Match \(SDIS/NDIS\)](#)" form, as appropriate, to the CODIS Manager. For further information see the section, "Matches".

### Public Remote Search

In circumstances deemed appropriate by the LDIS Administrator, a public remote search, which searches eligible profiles at SDIS, may be executed at the request of a casework DNA analyst. (Note: A public remote search shall not be conducted on a six locus profile that includes D19S433. The CODIS Manager may authorize a manual search in this circumstance.) The profile shall be entered into LDIS by the DNA casework analyst (using the Specimen Category "Forensic, Unknown", "Forensic Partial" or "Forensic Mixture" as appropriate). A copy of the "LDIS Specimen Detail Report" shall be printed for the case file and subsequent peer review. Once peer reviewed, a public remote search will be conducted by the LDIS Administrator. The result of this search will be documented in the case file. If the results of the remote search yield a match that needs confirming, a copy of the "[CODIS DNA Match Data Request Offender Match \(SDIS/NDIS\)](#)" or "[CODIS DNA Match Data Form Casework Match \(SDIS/NDIS\)](#)" form, as appropriate, will be sent to the CODIS Manager. For forensic hits, this information will also be provided to the other casework DNA analyst. For further information see the section, "Matches".

### SDIS Onetime Search of Suspect Profile

Suspect references, if typed, will be onetime searched against eligible profiles in the SDIS database except when the suspect reference profile has already produced a casework match to a single source or deduced single source profile that will be entered into CODIS. All suspect reference samples in criminal paternity investigations shall be onetime searched (including those matching a deduced haplotype profile). Submitted reference samples from deceased suspects (e.g. murder/suicide investigations) will be typed and onetime searched unless there is a casework match to a single source or deduced single source profile to be entered into CODIS. The purpose is to determine if the suspect's profile matches any of the forensic samples in SDIS. (Note: For CODIS purposes, a secondary reference is not considered a "Suspect, Known" and shall not be onetime searched.)

Casework DNA analysts shall enter the suspect's profile into LDIS (using the Specimen Category of "Suspect, Known") and print the "LDIS Specimen Detail Report". A copy of the "LDIS Specimen Detail Report" shall be printed for the case file and subsequent peer review. Once peer reviewed, the LDIS Administrator will perform a public remote search of the suspect's profile against eligible

profiles at SDIS. Search results shall be documented in the case file. The LDIS Administrator is responsible for the prompt deletion of the suspect profile in the LDIS database.

Any matches to a specimen from the Forensic Index, Forensic Partial Index, or Forensic Mixture Index will be evaluated by a casework DNA analyst. If the search results in new investigative information, then the following steps will be completed:

- A "[CODIS DNA Match Data Form Casework Match \(SDIS/NDIS\)](#)" shall be completed. On the form, add "Onetime suspect search" in the Comments box.
- A copy of the completed form will be supplied to the CODIS Manager.

Note: See "[Conviction Matches](#)" if the search results in a match to a solved case.

The onetime search will not be conducted on persons other than a named suspect whose reference sample has been submitted in association with a criminal case under investigation.

#### SDIS Autosearch

The CODIS Manager initiates a moderate stringency, no mismatches search of the SDIS database utilizing the "Autosearcher" program within the CODIS software on regular business days. Periodically the CODIS Manager shall execute a low stringency search of the SDIS database to identify possible matches between Relative of Missing Persons and Unidentified Human (Remains) profiles.

The "Autosearcher" program searches all eligible profiles and automatically places any matches that are found into the "Match Manager" program. Matches that occur between profiles entered from another Washington State lab will also appear in that lab's "Match Manager" program. It is the responsibility of the LDIS Administrator in the laboratory involved in the match to initially evaluate the match. A CODIS disposition is required for all matches in "Match Manager" and should be entered within 30 business days of the match date. Setting a disposition is the responsibility of the LDIS Administrator or the CODIS Manager. For matches that need confirming, a "State Match Detail Report" will be printed and provided to the casework analyst. The CODIS Manager will also retain a copy of this report. For further information on the guidelines when a match that needs confirming occurs, see the section, "Matches". (Note: At the discretion of the LDIS Administrator, "State Match Detail Reports" on matches other than offender or forensic hits may be provided to casework analysts for their review.)

#### NDIS Autosearch

Information on NDIS searches can be found on the CJIS WAN or by contacting a CODIS administrator. The CODIS software automatically forwards the results of any matches to the laboratories that submitted the matching samples. These matches are recorded in the "Match Manager" program. It is the responsibility of the CODIS Administrator or CODIS Manager in the laboratory involved in the match to initially evaluate the match and determine if it may need to be confirmed. A CODIS disposition is required for all matches in "Match Manager" and should be entered within 30 business days of the match date. Setting a disposition is the responsibility of the LDIS Administrator or the CODIS Manager. For all matches that need confirming, the "National Match Detail Report" will be printed and given to the DNA scientist assigned to the case for inclusion in their case file. The CODIS Manager will also retain a copy of this report. For further information on the guidelines when a match that needs confirming occurs, see the section, "Matches".

#### High Stringency/One Mismatch Search

As a quality assurance tool, the CODIS Manager will conduct a high stringency/one mismatch search of the SDIS database on a monthly basis.

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### NDIS Manual Keyboard Search

The CODIS Manager may request that the NDIS Custodian perform a manual keyboard search of an appropriate peer-reviewed sample. This type of search is warranted in situations where a national search is needed on a rush basis. It may also be requested when a forensic DNA profile does not meet the minimum number of loci for NDIS upload if the profile meets a statistical threshold for match rarity of approximately one in the size of the NDIS database. (Note: The NDIS Custodian may be able to achieve this statistical threshold by changing the search stringency at the locus level.)

To request an NDIS Manual Keyboard search, fax a completed and peer reviewed Request for Manual Keyboard Search by NDIS Custodian form (located on the CJIS WAN to the CODIS Manager. The form should be filled out electronically.

### International Search

Analysts should be aware that it is possible to have an STR profile searched in other countries. For further information, contact the CODIS Manager.

### DNA Search (FAX) and NDIS Batch Target File

To request an SDIS search in another state (or states), fax a completed and peer reviewed DNA Search Requests Official Form (located on the CJIS WAN) to the CODIS Manager. The form should be filled out electronically and include the type of case (next to "STR Profile").

The NDIS batch target file contains single source or deduced single source profiles submitted and searched on a voluntary basis by NDIS participating laboratories. To request a Forensic profile be added to the NDIS batch target file, fax a completed and peer reviewed DNA Search Requests Official Form to the CODIS Manager. The form should be filled out electronically and must include a minimum of seven core STR loci and the type of case.

Once the "Source ID" can be set to "Yes" for a Forensic profile existing in the NDIS batch target file, the analyst shall notify the CODIS Manager and request that the profile be deleted.

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## ENTRY AND UPLOAD OF STR PROFILES INTO CODIS

DNA profiles that can be entered into CODIS and uploaded to a higher level are restricted in terms of their source. The DNA Identification Act of 1994, as amended, specifies the following indexes and files of allowable data at NDIS:

1. DNA identification records of persons convicted of qualifying state crimes and juveniles required by the relevant jurisdiction to provide DNA samples. (Convicted Offender Index)
2. DNA identification records of persons who have been arrested or indicted or charged in an information with a crime and are required by law to provide DNA samples. (Arrestee Index/Multi-allelic Offender Index)
3. DNA identification records of persons whose DNA samples are collected under applicable legal authorities. (Legal Index)
4. DNA records from non-United States (U.S.) persons detained under the authority of the U.S. and required by law to provide a DNA sample. (Detainee Index)
5. DNA profiles originating from and associated with evidence found at crime scenes. For example, evidence associated with a crime scene includes DNA that may be carried away from a crime scene. (Forensic, Forensic Partial and Forensic Mixtures Indexes)
6. DNA records from recovered living persons (e.g., children who can't and others who can't or refuse to identify themselves), and recovered dead persons (including their body parts and tissues), whose identities are not known. [Unidentified Human (Remains) Index]
7. DNA records from missing persons and deduced missing persons. (Missing Person Index)
8. DNA records from the biological relatives of individuals reported missing. (Relatives of Missing Person Index)
9. DNA records from the presumptive parent of a common child of a missing person. (Spouse Index)

When there is a DNA profile developed in a case that fits one of the above authorized indexes and the case file has undergone a technical review by another qualified DNA analyst employed by the Crime Lab Division, the profile can be uploaded to the SDIS database and, if qualifying, to NDIS. The upload of a profile from LDIS to SDIS is done by the LDIS Administrator. Uploads to NDIS are executed by the CODIS Manager.

Information regarding searches and the uploading of a DNA casework profile will be included in the laboratory report (see the Casework STR Analysis Procedures Manual for suggested wording). In addition, the deletion of a casework profile previously reported as an uploaded sample will be documented in a laboratory report. The LDIS administrator is responsible for the prompt deletion of a profile once a casework DNA analyst provides notification that a deletion is necessary.

There are also sources of DNA profiles that cannot be entered into CODIS. These include the following types of samples:

1. Victim profiles

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2. Samples submitted for exclusionary purposes (e.g. consensual sexual partners)

Further information on eligibility requirements for entry and upload of a specimen into CODIS is as follows:

**CONVICTED OFFENDER INDEX AND MULTI-ALLELIC OFFENDER INDEX (CONVICTED OFFENDER AND MULTI-ALLELIC SPECIMEN CATEGORIES)**

Indexes consists of DNA profiles from adults and juveniles convicted of qualifying state crimes and individuals required to register in Washington State as a sex/kidnapping offender.

STR loci requirements:

NDIS: thirteen CODIS core loci. Offender profiles with twelve CODIS core loci shall also be uploaded to NDIS, but will only be searched periodically against the Forensic Indexes in a high stringency, one mismatch search by the NDIS Custodian.

SDIS: minimum of ten loci excluding amelogenin (D19S433 may count towards the minimum of ten STR loci; D2S1338 may be entered but does not count towards the minimum)

NOTES:

- Offender profiles with three or more alleles at two or more loci shall be entered in the Multi-allelic Offender specimen category/index.
- In instances where a sample has been consumed and a full profile was not developed, but a more complete or full profile may be constructed by considering multiple results of that sample, those iterations may be used to generate a composite profile. See the CODIS Laboratory STR Analysis Procedures "Composite Profiles" for further details.

**FORENSIC INDEX (SPECIMEN CATEGORY FORENSIC, UNKNOWN)**

Forensic, Unknown profiles shall be either single source or a fully deduced profile originating from a mixture which is attributable to the putative perpetrator.

STR loci requirements:

NDIS and SDIS: thirteen CODIS core loci with no more than three alleles at one locus while the remaining loci can have up to two alleles.

Sub-threshold alleles are permitted as long as a statistic other than one can be provided.

**FORENSIC PARTIAL INDEX (SPECIMEN CATEGORY FORENSIC PARTIAL)**

Forensic Partial profiles shall be either single source or a fully deduced profile originating from a mixture which is attributable to the putative perpetrator with either locus or allelic dropout at any of the thirteen core CODIS loci.

Criminal paternity cases: A deduced DNA profile (i.e. a haplotype) from a criminal paternity investigation with a Source ID of "No" shall be entered in the Forensic Partial specimen category assuming it meets the eligibility requirements listed below. If the contributor is subsequently identified, then the specimen shall be deleted from CODIS. A deduced profile matching the known reference sample from a putative perpetrator (Source ID "Yes") shall not be entered into CODIS.

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STR loci requirements:

NDIS: minimum of ten CODIS core loci; no more than three alleles at one locus while the remaining loci can have up to two alleles.

SDIS: minimum of six loci excluding amelogenin; no more than three alleles at one locus while the remaining loci can have up to two alleles. (D19S433 may count towards the minimum of six STR loci; D2S1338 may be entered but does not count towards the minimum)

Sub-threshold alleles are permitted as long as a statistic other than one can be provided.

Forensic Partial profiles must be assessed using the CODIS Match Prediction Tool prior to a search request or upload to SDIS. For the profile to be eligible for NDIS, the CODIS Match Prediction Tool must estimate no more than approximately one match in the size of the NDIS database. For SDIS, the analyst must ensure that a statistic can be calculated if a match or inclusion resulted.

**FORENSIC MIXTURE INDEX (SPECIMEN CATEGORY FORENSIC MIXTURE)**

Forensic Mixture profiles contain DNA contributed from more than one source attributable to a putative perpetrator(s). (For further information on the interpretation of forensic mixture profiles, see the WSPCLD Casework STR Procedures Manual.)

STR loci requirements:

NDIS: minimum of ten CODIS core loci; no more than four alleles at any locus. (A locus with > 4 alleles may be dropped if needed.)

SDIS: minimum of six loci excluding amelogenin, no more than four alleles at any locus. (D19S433 may count towards the minimum of six STR loci; D2S1338 may be entered but does not count towards the minimum). (A locus with > 4 alleles may be dropped if needed.)

Per WSPCLD policy, sub-threshold alleles are not permitted for Forensic Mixture profiles.

Forensic Mixture profiles must be assessed using the CODIS Match Prediction Tool prior to a search request or upload to SDIS. For the profile to be eligible for NDIS, the CODIS Match Prediction Tool must estimate no more than approximately one match in the size of the NDIS database. For SDIS, the analyst must ensure that a statistic can be calculated if a match or inclusion resulted.

Additional considerations for Forensic Mixture profiles:

Once peer-reviewed, mixtures may be searched, however, careful consideration needs to be given to any mixture where allele drop out/straddle is suspected. The peer-reviewer shall review both the complete mixture profile and the profile to be searched in CODIS (listed on the "LDIS Specimen Detail Report") prior to the search. If, at a locus with two or more alleles, one of the putative perpetrator's alleles has straddled, then the search will return a "not a match" at that locus. If this occurs with two or more loci in a sample, a remote search will not return a hit on that specimen since remote searches only allow for one mismatch. (See [Public Remote Search](#) for further details.) SDIS autosearches do not allow any mismatches; therefore even one locus with straddle as described above will result in no matches. This problem can be addressed in two different ways:

1. At the locus in question only enter the single allele suspected of coming from the putative perpetrator or
2. Drop the locus from the search.

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An additional tool to use when searching mixtures is designating obligate alleles. These are alleles that can be deduced as originating from the putative perpetrator and are designated by placing a plus sign (+) after the allele value. Only one obligate allele can be designated at a given locus but there is no limit on the number of loci in the profile that can have an obligate allele. (Note: the "+" designation serves no purpose for loci with only one allele and should not be used.) It should be recognized that the same considerations be given to drop out/straddle even when using obligate alleles.

**UNIDENTIFIED HUMAN (REMAINS) INDEX (SPECIMEN CATEGORY UNIDENTIFIED PERSONS) AND MISSING PERSON INDEX (SPECIMEN CATEGORIES MISSING PERSON AND DEDUCED MISSING PERSON)**

The Unidentified Human (Remains) Index consists of DNA profiles from the recovered deceased (including body parts and tissue) or individuals who are unidentified (e.g. children who can't and others who can't or refuse to identify themselves).

The Missing Person Index consists of known reference DNA profiles from individuals that are missing and DNA profiles of reported missing individuals that have been generated by examining intimate items purported to belong to the missing person such as a toothbrush and compared to close biological relatives (if possible).

STR loci requirements:

NDIS: minimum of seven CODIS core loci plus amelogenin (Note: If < seven CODIS core loci are obtained with an UHR, the data may be provided as a .cmf file to another NDIS participating laboratory to upload along with another technology for pedigree searching).

SDIS: minimum of six loci (amelogenin not required) (D19S433 may count towards the minimum of six STR loci; D2S1338 may be entered but does not count towards the minimum)

Sub-threshold alleles are allowed.

**RELATIVE OF MISSING PERSON INDEX**

Index consists of DNA profiles from the biological relatives of individuals reported missing.

STR loci requirements:

NDIS and SDIS: requires all thirteen CODIS core loci plus amelogenin.

**EMPLOYEE INDEX (SPECIMEN CATEGORIES "ELIMINATION, KNOWN" AND "STAFF")**

As outlined in the Genetic Information Nondiscrimination Act (GINA) of 2008, 42 U.S.C. § 2000ff, a forensic DNA laboratory may require the genetic information of employees when it is used for analysis of DNA identification markers for quality control to detect sample contamination and is maintained and disclosed in a manner consistent with such use. Therefore, in accordance with GINA, the WSPCLD shall maintain internal DNA databases for the purpose of identifying potential contamination. These database samples are not uploaded to the national CODIS database.

All CLD employees are required to provide a DNA sample which is used to generate a known STR profile (and Y-STR haplotype/profile for males). Visitors may also be required to provide a DNA sample (CLD Operations Manual Revision 16 – Section 5.2 Security). DNA samples are typed in the CODIS Laboratory and are used for the purposes of comparison against profiles generated in casework and convicted offender DNA testing to identify potential contamination. (Note: Y-STR haplotype/profiles will be generated by a WSP CLD laboratory with Y-STR service capabilities.)

Any DNA profile that meets the minimum of six STR loci and is considered unidentified/extraneous contamination is also entered/uploaded into the Employee Index of

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CODIS. D19S433 is counted toward the minimum of six STR loci; D2S1338 may be entered/uploaded but does not count toward the minimum. A profile with suspected contamination may be keyboard searched against the Employee Index by the CODIS Manager at the request of a DNA analyst.

Staff DNA profiles are also kept as confidential records in a restricted access file. The file is only accessible by DNA staff that has clearance from the FBI to utilize CODIS. The CODIS Manager and CODIS Technical Lead are the only individuals with access to change, add, or delete profiles from the file.

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## MATCHES

Analysts shall review their case file and if necessary, contact the investigator and/or prosecuting attorney's office to determine if a match needs confirmation. This initial contact with the investigator and/or prosecuting attorney's office is not considered a verbal report since no specific information regarding the match (i.e. convicted offender's identifying information) is released.

When a match that needs confirming occurs between specimens either within Washington State (SDIS match) or between a Washington State specimen and a specimen from another state (NDIS match), a series of steps is initiated to verify the match. Washington State Offender Match Responses shall be administratively reviewed by a CODIS staff member prior to release (see Appendix B "Administrative Review of the Match Response Packet" procedure). Paperwork associated with any match response shall be retained by the CODIS Laboratory indefinitely.

Except in cases where there are extenuating circumstances, matches will be reported within thirty business days of receipt of the match request. The following match categories detail the steps to be followed.

### WASHINGTON STATE CASE SAMPLE MATCHES A WASHINGTON STATE CONVICTED OFFENDER SAMPLE

1. The analyst whose casework profile matches the Washington State convicted offender sample submits a ["CODIS DNA Match Data Request Offender Match \(SDIS/NDIS\)"](#) form to the CODIS Manager. No information about the convicted offender is released to the case investigator until the match response has been issued. Exceptions to this policy may be authorized by the CODIS Manager in consultation with the DNA Technical Leader in situations where public safety is at risk.
2. The convicted offender DNA sample is pulled from storage and retyped to confirm the original typing results. Exceptions to the policy of retyping the convicted offender DNA sample are as follows:
  - a. The convicted offender DNA sample has been previously confirmed by retyping.
  - b. Concordant typing results from a duplicate sample.
  - c. No remaining original convicted offender DNA sample.
3. If available and of suitable quality, a thumbprint on the Washington State Patrol Convicted Offender card will be examined by the Washington State Patrol Ten Print Unit to assist in the verification process.
4. A CODIS staff member shall request an Interstate Identification Index ("Triple I") background check on all offender confirmations. This search request, conducted by Criminal Records Division staff, queries the national criminal history of the offender which will trigger an alert to the U.S. Marshals Service if the offender is in the Witness Protection Program.
5. When the above steps have been completed, the CODIS Manager will fill out the ["CODIS DNA Match Data Response Offender Match \(SDIS\)"](#) form with the information regarding the convicted offender. The information on this form is obtained from the Washington State Patrol Convicted Offender card as well as information obtained through the Washington State Patrol WATCH website which provides criminal history information on individuals arrested and/or convicted of an offense in Washington State. This check will also verify that the individual was convicted of an offense covered under the applicable law. If a qualifying offense for the convicted offender cannot be determined, the CODIS

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Manager will note this on the hit confirmation paperwork. These matches will be reported pursuant to RCW [43.43.754 \(8\)](#). A copy of the match response form will be given to the casework analyst for inclusion in their case file.

6. The casework analyst will issue a laboratory report stating the match and include, at a minimum, name, date of birth, and WA State Identification number (WA SID). In the absence of a WA SID, another identifier may be used. A reference sample from the convicted offender will be requested to be submitted for typing. The DNA profile developed from this sample will then be compared to the casework profile by the DNA analyst.

**WASHINGTON STATE CASE SAMPLE MATCHES A CONVICTED OFFENDER (OR ARRESTEE, LEGAL, OR DETAINEE) SAMPLE FROM ANOTHER STATE**

1. The DNA analyst (or LDIS Administrator) sends a "[CODIS DNA Match Data Request Offender Match \(SDIS/NDIS\)](#)" form to the CODIS Administrator in the laboratory which has the convicted offender (or arrestee, legal, or detainee) profile. It is the responsibility of the casework analyst to provide a copy of this form to Washington's CODIS Manager.
2. The state with the convicted offender (or arrestee, legal, or detainee) profile will conduct their hit confirmation process and subsequently provide identifying information on the individual in a "CODIS DNA Match Data Response Offender Match" form to the requestor. It is the responsibility of the casework analyst to provide a copy of this form to Washington's CODIS Manager.
3. The casework analyst will issue a laboratory report indicating the match and include the name, date of birth and any identifying numbers provided (such as a state ID or FBI number). A reference sample from the convicted offender (or arrestee, legal, or detainee) will be requested to be submitted for typing. The DNA profile developed from this sample will then be compared to the casework profile by the DNA analyst.

**WASHINGTON STATE CASE SAMPLE MATCHES ANOTHER WASHINGTON STATE CASE SAMPLE OR A CASE SAMPLE FROM ANOTHER STATE**

1. The analysts involved shall communicate and verify they do have a match that needs confirming. Upon verification, one of the casework analysts involved in the match shall submit a "[CODIS DNA Match Data Form Casework Match \(SDIS/NDIS\)](#)" form to the other casework analyst. For out of state matches, the form may be submitted to the CODIS Administrator in the other laboratory. Once the form is completed, a copy of the form is placed into the appropriate case files. In addition, one of the casework analysts shall provide a completed copy of the form to Washington's CODIS Manager.
2. Report(s) must be generated for confirmed case to case samples. Positive associations involving a solved case(s) in which the agency representative is the same can be reported by issuing one report only. Both case files will retain the necessary CODIS paperwork and the analyst not generating the report will indicate in their documentation which laboratory request contains this reported information.

**WASHINGTON STATE CONVICTED OFFENDER SAMPLE MATCHES A CASE SAMPLE FROM ANOTHER STATE**

1. The out of state laboratory will initiate a request to perform a felon hit confirmation by submitting a "[CODIS DNA Match Data Request Offender Match \(SDIS/NDIS\)](#)" form to the CODIS Manager (Note: Other states may utilize their own version of this type of form.)

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2. The convicted offender sample will be retyped following the felon hit confirmation process and the thumbprint (if available and of suitable quality) will be verified by the Ten Print Unit. (See exceptions as noted above.)
3. An Interstate Identification Index ("Triple I") background check shall be requested on all offender confirmations.
4. When the above steps have been completed, the CODIS Manager will fill out the "[CODIS DNA Match Data Response Offender Match \(NDIS\)](#)" form with the information regarding the convicted offender. The information on this form is obtained from the Washington State Patrol Convicted Offender card as well as information obtained through the Washington State Patrol WATCH website which provides criminal history information on individuals arrested and/or convicted of an offense in Washington State. This check will also verify that the individual was convicted of an offense covered under the applicable law. If a qualifying offense for the convicted offender cannot be determined, the CODIS Manager will note this on the hit confirmation paperwork. These matches will be reported pursuant to RCW [43.43.754 \(8\)](#). The match response form will be sent to the out of state laboratory with a copy retained by the CODIS Manager.

### CONVICTION MATCHES

A conviction match occurs when CODIS matches a DNA profile developed from crime scene evidence to a DNA profile from a convicted offender, arrestee, detainee, or legal index specimen (or suspect in a 1x-suspect search), and the crime from which the evidence was collected has already been solved.

The process to verify a conviction match for solved crime scene samples is listed below:

- The name of the putative perpetrator and the offender shall be compared using information from LIMS or the case file to ensure they correspond. Other identifiers such as date of birth or FBI# may also be useful. Additionally, the criminal history record may be used to verify information, especially if any aliases or discrepancies are found.
- A disposition note shall be added in Match Manager for all NDIS conviction matches documenting what information was verified and the source of that information. Disposition notes are optional for SDIS.
- Match(es) to duplicate offender specimen(s) are also dispositioned as conviction matches.
- If the offender's name (or aliases) does not match the solved case, further steps may be warranted such as confirmation of fingerprints (if available) and/or retyping of the offender DNA sample.

### DUPLICATES AND DUPLICATE MATCHES

Duplicate: A match between any two profiles that does not provide probative information. Disposition used when a crime scene sample for an unsolved case matches to an offender and duplicate sample(s) for the same offender in the same search.

Duplicate Match: The same match between candidate and target profiles is already in the database.

### PARTIAL MATCHES

A partial match is currently defined by NDIS as a "moderate stringency candidate match between two single source profiles having at each locus at least one allele in common". It is recognized

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that a potential familial relationship may exist between the offender and the putative perpetrator in partial matches. As needed, the CODIS Manager, DNA Technical Leader and other casework DNA analysts, as appropriate, will review partial matches on a case by case basis.

#### SDIS Partial Match

Criteria to be considered for SDIS partial matches shall include:

- Only unsolved homicide, sexual assault, or other crimes with significant public safety concerns where all standard leads have been exhausted will be pursued.
- The evidentiary profile shall be from an item of evidence having an unambiguous connection to the crime in question and there is an acceptable level of certainty that the crime scene profile is relevant.
- The evidentiary profile shall have a minimum of 13 core loci.
- The evidentiary and offender samples must both be attributed to a male source and also have sufficient sample remaining for Y-STR testing. Note: For cases involving females, other arrangements for testing using an appropriate additional technology may be pursued.
- A statistical analysis conducted by the DNA technical leader with results that support a potential familial relationship between the suspected perpetrator and the offender.
- Documentation that the investigating agency and prosecutor's office have committed to further investigate the case if the name of the potentially related offender is eventually released.

If Y-STR typing on the partial match is warranted, a "[CODIS DNA Match Data Request Offender Match \(SDIS/NDIS\)](#)" will be completed by the casework DNA analyst who developed the forensic unknown profile (or the LDIS administrator in their absence) with the following comment adjacent to the Match ID # "Note: This association was made via a partial match". The Match Request will be submitted to the CODIS Manager with a copy to the casework DNA analyst who developed the forensic unknown profile. The casework DNA analyst who developed the forensic unknown profile shall make arrangements to transfer any remaining forensic unknown DNA extract (or portion of the forensic unknown sample) along with any corresponding reagent blank to the analyst at the WSP CLD laboratory performing the Y-STR testing.

Upon receipt of the Match Request, the convicted offender DNA sample will be retyped following the felon hit confirmation process and the thumbprint (if available and of suitable quality) will be verified by the Ten Print Unit. (See exceptions as noted above.) Once confirmed, the remaining convicted offender DNA sample extract (or portion of the convicted offender DNA sample) along with any corresponding reagent blank will be transferred to the analyst at the WSP CLD laboratory performing the Y-STR testing.

Upon completion of the Y-STR typing on the convicted offender extract (or DNA sample) and the forensic unknown sample, a "[CODIS DNA Match Data Response Offender Match \(SDIS\)](#)" form shall be filled out by the CODIS Manager. If the Y-STR profiles of the convicted offender sample and the forensic unknown match, then identifying information on the convicted offender may be released on the Match Response. If the Y-STR profiles do not match, the CODIS Manager will document "No Match" on the Match Response and no identifying information will be released. A copy of the Match Response will be provided to the Y-STR casework DNA analyst and to the casework DNA analyst who developed the forensic unknown profile.

#### NDIS Partial Match

For partial matches at NDIS, consult the NDIS Operational Procedures Manual Appendix G (Plan for the Release of Information in the Event of a "Partial Match" at NDIS). Note: "Appropriate

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cases” are defined as unsolved homicide, sexual assault, or other crimes with significant public safety concerns where all standard leads have been exhausted.

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## RELEASE OF CONVICTED OFFENDER RELATED INFORMATION

All information related to a match between a casework DNA profile and a convicted offender sample is released by the casework analyst once they have received the match response paperwork. This information must be released in a written report, however, the information may in addition be provided in a verbal report to the case investigator.

Exceptions to this policy may be authorized by the CODIS Manager in consultation with the DNA Technical Leader in situations where public safety is at risk.

A DNA profile with the name of the convicted offender can be released under certain circumstances: a request by the convicted offender through the Public Records Act, a court order or search warrant signed by a judge or through the Discovery Process.

Information as to whether the laboratory has received a sample from a particular individual and whether that sample has been typed can be accessed by members of the criminal justice community through Washington Access to Criminal History (WATCH) online at <http://watchcj.wsp.wa.gov/>. This information can also be provided to criminal justice agencies for law enforcement purposes by Washington State Patrol Crime laboratory staff with access to LIMS. The CODIS Manager can verify whether the DNA profile from a convicted offender is in the CODIS databank.

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## RELEASE OF CONVICTED OFFENDER DNA SAMPLE

A portion of a convicted offender's DNA sample may be released as follows:

1. Upon receipt of a court order or search warrant signed by a judge detailing the type of forensic DNA testing to be conducted for a specific law enforcement case.
2. For additional DNA testing such as Y-STRs or mitochondrial to assist in the evaluation of partial matches.

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## QUALITY ASSURANCE/QUALITY CONTROL

### PROFICIENCY TESTING

All qualified DNA analysts employed by the WSP Crime Laboratory Division will participate in two external proficiency tests per year. The Proficiency Testing Program is outlined in the WSP Crime Laboratory Division's Quality Manual and the DNA Quality Assurance Manual.

### AUDITS

Audit documentation will be maintained as required by the NDIS Operational Procedures Manual and the WSPCLD Quality Manual.

Audit documentation will be provided to NDIS on a yearly basis as required for NDIS participation.

The DNA casework laboratories will be audited annually as required by the FBI's "Quality Assurance Standards for Forensic DNA Testing Laboratories" and the CODIS Laboratory will be audited annually as required by the FBI's "Quality Assurance Standards for DNA Databasing Laboratories". Ensuring compliance with the standards is the responsibility of the DNA Technical Leader and the CODIS Manager. DNA data may be disclosed to an auditor for the purposes of determining the accuracy and acceptability of the DNA records contributed by that laboratory.

All WSP CLD NDIS participating laboratories are subject to an audit request by FBI CODIS auditors and the U.S. Department of Justice, Office of the Inspector General (OIG). If such an audit request is received, DNA data may be disclosed to the auditors for the purposes of determining the accuracy and acceptability of the DNA records contributed by that laboratory.

### CORRECTIVE ACTION RELATED TO AUDITS, NONCONFORMING WORK OR PROFICIENCY TESTING

Any findings identified in an audit related to CODIS or a problem with a CODIS analyst's technical work or proficiency test results will be handled as detailed in the WSP Crime Laboratory Division's Quality Manual and the DNA Quality Assurance Manual.

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## SYSTEMS OPERATIONS

### WSP Information Technology and Electronic Services Responsibilities

The Washington State Patrol (WSP) Information Technology Division (ITD) is responsible for the oversight and safeguarding of the agency's technology infrastructure. This includes but is not limited to:

- providing server and computer based-hardware support;
- configuring, managing and monitoring server-based backups; and
- configuring, managing and updating the agency's antivirus program.

The WSP Electronic Services Division (ESD) is responsible for the oversight and safe guarding of the agency's data network infrastructure. This includes, but is not limited to, configuring, managing and maintaining:

- the agency's network security devices which control CODIS firewall rules;
- CODIS IP addressing and Network Address Translation (NAT); and
- the agency interconnection to the CJIS network.

### CODIS Help Desk Responsibilities

The CODIS Help Desk is responsible for the oversight and safeguarding of the CODIS application. This includes, but is not limited to:

- addressing issues with the CODIS software
- providing updates to the CODIS software
- distribution of CODIS bulletins

The CODIS Help Desk can be contacted by either calling 1.877.263.4743 or emailing [CODIShelp@leidos.com](mailto:CODIShelp@leidos.com).

### Requesting Technical Support Assistance

Requesting support for CODIS related hardware (server, computer, printer, and peripherals), CODIS hardware related software (operating system, antivirus program, and backup software), and network related functions (IP addresses, firewall settings, etc.) are directed to ITD Customer Services Group (CSG) via the work order system by either calling 360.705.5999 or emailing [ITDHelp@wsp.wa.gov](mailto:ITDHelp@wsp.wa.gov). When contacting ITD CSG via email, include who the work order should be assigned to within the body of the email, if known.

All other support requests should be directed to the CODIS Help Desk.

### SERVER BACKUPS

#### WSP Backup System

The SDIS and LDIS servers are backed up using the agency provided backup system over the Wide Area Network (WAN) to a server in Olympia, WA (an offsite secured location for disaster recovery purposes).

The WSP backup system is the responsibility of ITD's Integrated Systems Server Support (ISSS) Group. Details pertaining to this system's backup schedules, as well as how these backups are managed, monitored, secured and protected are available on the FLSB IT Portal here:

<http://sharepoint/sites/flsb1/IT/CODIS/Forms/AllItems.aspx>

#### Symantec Backup System

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In addition to the agency provided backups, external hard drive based backups for each CODIS server occurs at each site. This backup process is performed via the Symantec Backup software installed on each server. Each laboratory has its own set of external drives which they rotate the use of during the backup process. The Symantec backup system is managed, monitored, secured, and protected by CODIS personnel and the CLD DNA Information Technology Specialist.

#### Symantec Backup – SDIS Server

Every day an incremental backup occurs. Every Friday a full backup occurs.

On a regular basis the external drive in use is removed and secured in a locked storage box and another external drive is connected to the server. This activity is the responsibility of the CODIS Manager.

#### Symantec Backup - LDIS Servers

Every Friday a full backup occurs. At least once a month, the external drive in use is removed and secured in a locked storage box and another external drive is connected to the server. This activity is the responsibility of the LDIS Administrator.

#### Symantec Backup Status Monitoring

Backup status monitoring is the responsibility of the CLD DNA Information Technology Specialist. The Symantec backup software is configured to issue alerts to specified personnel regarding the status of scheduled backups (successful and unsuccessful). If a problem is identified, the CLD DNA Information Technology Specialist will notify the CODIS SDIS manager and/or the appropriate LDIS administrator and will follow up on the reported problem.

#### Symantec Backup File Retention Schedule

Backup files for each CODIS server are stored on the external hard drives assigned to each server. When storage capacity limitations are reached (as indicated by the Symantec software), backup files 3 or more weeks older are automatically deleted by the Symantec software from the external hard drive.

#### Symantec Backup File Verification

##### **Symantec Backup File Verification**

Twice yearly a backup file from each CODIS server is restored and put through the Backup Verification Utility (a program called “Hash Comparison”) provided by the CODIS Help Desk. Instructions on how the verification is performed are located on the FLSB IT Portal here: <http://sharepoint/sites/flsb1/IT/CODIS/Forms/AllItems.aspx>

Performing the verification process is the responsibility of the CLD DNA Information Technology Specialist. Verification results are stored on each server in the “HashCompLog” file and can be viewed by any CODIS user that has access to the server. If the verification results indicate that there is a problem with a tested backup file, the CLD DNA Information Technology Specialist will notify the CODIS Manager and/or the appropriate LDIS administrator and will then follow up on the discovered problem.

#### Symantec Disaster Recovery

On a routine basis, one SDIS related external hard drive is sent to a secure offsite location for disaster recovery protection. Once a new drive is delivered for storage, the previous drive is returned to the SDIS facility for reuse. The CODIS Manager is responsible for these tasks.

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### File Storage

Files associated with the in-house typing of convicted offender samples as well as files and disks associated with the review of samples typed by a contract laboratory will be stored on site for at least two years. After two years these files may be archived to the Washington State Archive Center in Olympia. The convicted offender data sheet or data card will be retained by the CODIS Laboratory indefinitely.

### **ANTIVIRUS**

Antivirus software is installed and enabled on each server and workstation. The antivirus program is the responsibility of ISSS. Details pertaining to how the antivirus software is administered are available on the FLSB IT Portal here:  
<http://sharepoint/sites/flsb1/IT/CODIS/Forms/AllItems.aspx>

### **SECURITY**

Authorized CODIS users shall use their unique user name and password to login to a workstation and shall not grant CODIS access to others under their login. All CODIS users are responsible for the security of the software. When a user is finished with a CODIS work session the user will log out of CODIS.

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## REMOVAL OF DATA FROM CODIS

### ADMINISTRATIVE REMOVAL

There are occasions when it is necessary to remove data from CODIS. Such occasions would include, but are not limited to the following:

1. A member of the CODIS staff determines that a biological sample was collected from an individual who does not have a qualifying offense under RCW 43.43.754.
2. Casework analyst or CODIS Manager determines that a forensic profile that has been entered into CODIS does not meet eligibility requirements. For example, it is determined that the profile is from a consenting sexual partner or the profile is that of the victim.

In these situations the data shall be removed from CODIS by the LDIS Administrator or by the CODIS Manager, as appropriate.

### EXPUNGEMENT

The expungement procedure for the Washington State Patrol convicted offender program is available in WAC 446-75-070. Additional information is found in the NDIS Operational Procedures. Individuals who qualify for expungement shall have their DNA profile deleted from the CODIS database and their convicted offender submission card and biological sample destroyed. The LIMS (Laboratory Information Management System) specimen number will be retained with a notation in the Case Info tab that the sample was expunged per WAC 446-75-070; other LIMS documentation shall be deleted. A copy of the expungement request and supporting documentation, if applicable, will be retained.

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## APPENDIX A

### SAMPLE LETTERS FOR MISSING PERSONS/UNIDENTIFIED HUMAN REMAINS CASES

Letter to law enforcement agency notifying them of results on missing person/unidentified human (remains) case where complete profile has been obtained. The letter should be on Crime Laboratory letterhead following the [Correspondence Procedures Manual](#).

#### Sample Letter 1

This is to inform you that a DNA typing profile has been developed for Item [item #] (description of evidence) submitted to the Washington State Patrol [lab location] Crime Laboratory under case number [crime lab case #]. This evidence is associated with [agency and agency case number] and the National Crime Information Center (NCIC) record number [NCIC #]. This DNA typing profile has been entered into both the Washington State Patrol and National CODIS (Combined DNA Index System) databases.

The following information is provided to you to assist in locating and identifying your missing or unidentified person. Please update your NCIC missing person/unidentified person record by including this information in the NCIC record's Miscellaneous Field (MIS):

- Laboratory ORI number: [NDIS Participating Laboratory's ORI number]
- Type of DNA analysis: STR
- Specimen Category: [e.g. biological mother, father, sibling, unidentified person]
- CODIS Specimen ID number: [specimen ID number]

The sharing and coordination of data submitted to the two databases containing missing person-related information should assist future investigative activities. It is suggested that mitochondrial DNA typing also be performed on [item#]. At the present time, the FBI laboratory and the University of North Texas are the only CODIS approved accredited facilities available to local law enforcement for mitochondrial DNA typing. Please contact [name of analyst] at the WSP [lab location] Crime Laboratory at [phone number] for more information about CODIS. For specific NCIC-related questions, please refer to the NCIC Operating Manual or contact NCIC at (304) 625-3000.

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Letter to law enforcement agency notifying them of results on missing person/ unidentified human (remains) case where no profile has been obtained. The letter should be on Crime Laboratory letterhead following the [Correspondence Procedures Manual](#).

### Sample Letter 2

This is to inform you that a DNA typing profile was not developed for Item [item #] (description of evidence) submitted to the Washington State Patrol [lab location] Crime Laboratory under case number [crime lab case #]. This evidence is associated with [agency and agency case#] and the National Crime Information Center (NCIC) record number [NCIC #]. Thus, no DNA profile could be entered into the Washington State Patrol or National CODIS (Combined DNA Index System) databases.

Please update your NCIC missing person/unidentified person record by including this information in the NCIC record's Miscellaneous Field (MIS):

- DNA sample submitted for STR analysis but unable to obtain a DNA profile.

The sharing and coordination of data submitted to the two databases containing missing person-related information should assist future investigative activities. Please contact [name of analyst] at the WSP [lab location] Crime Laboratory at [phone number] for more information about CODIS. For specific NCIC-related questions, please refer to the NCIC Operating Manual or contact NCIC at (304) 625-3000.

Letter to law enforcement agency notifying them of results on missing person/ unidentified human (remains) case where a partial profile (not eligible for upload to NDIS) has been obtained. The letter should be on Crime Laboratory letterhead following the [Correspondence Procedures Manual](#).

### Sample Letter 3

This is to inform you that a partial DNA typing profile was developed for Item [item #] (description of evidence) submitted to the Washington State Patrol [lab location] Crime Laboratory under case number [crime lab case #]. This evidence is associated with [agency and agency case #] and the National Crime Information Center (NCIC) record number [NCIC #]. This DNA typing profile has been entered into the Washington State Patrol CODIS (Combined DNA Index System) database. Since only a partial DNA typing profile was obtained, it is not suitable for upload to the National DNA Index System (NDIS).

The following information is provided to you to assist in locating and identifying your missing or unidentified person. Please update your NCIC missing person/unidentified person record by including this information in the NCIC record's Miscellaneous Field (MIS):

- Laboratory ORI number: [NDIS Participating Laboratory's ORI number]
- Type of DNA analysis: STR (number of loci-partial profile)
- Specimen Category: [unidentified person, missing person or deduced missing person]
- CODIS Specimen ID number: [specimen ID number]

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The sharing and coordination of data submitted to the two databases containing missing person-related information should assist future investigative activities. Please contact [name of analyst] at the WSP [lab location] Crime Laboratory at [phone number] for more information about CODIS. For specific NCIC-related questions, please refer to the NCIC Operating Manual or contact NCIC at (304) 625-3000.

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## APPENDIX B

### ADMINISTRATIVE REVIEW OF THE MATCH RESPONSE PACKET

Verify the following and flag any discrepancies:

- Verify the correct version of the Match Response form is being used.
- Ensure the correct date is on the Match Response and the date on the Match Request is on or after the date of the Match Detail Report.
- Verify the name of the person the Match Response is addressed to is the same as the Match Request submitter.
- Compare the Match ID(s) and specimen ID(s) (offender and casework) on the Match Response to the Match Detail Report(s).
- Ensure a copy of the 10-print verified submission paperwork is present in the packet (if applicable).
- Verify the lab number on the submission paperwork is the same as the Offender Specimen ID on the Match Response.
- Verify the following information from the submission paperwork is accurate on the Match Response. Ensure that the source of any information added to the submission paperwork by the issuer of the Match Response is referenced on the submission paperwork:
  - Name (including note re: alternates, if applicable)
  - DOB (including note re: alternates, if applicable)
  - State ID number (including a note re: 10-print verification)
  - FBI number (for national hits only)
  - DOC number (if available)
  - Qualifying offense (to include documentation that the offense was confirmed)
  - Offender whereabouts
- Check that the allele table, if present, has documentation of confirmation by the individual issuing the Match Response. This is usually documented by the following: "FHC of (offender's name)".

By initialing the Match Response in the lower right corner, the administrative reviewer is acknowledging the above steps have been completed.

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## APPENDIX C

### CODIS ADMINISTRATOR'S TRAINING GUIDE

**Objective:** To perform duties associated with the role of an LDIS administrator

**Goals:**

- Search a sample
- Delete a sample
- Edit a sample
- Check that source id and partial profile boxes are set correctly
- Upload a sample
- When to notify SDIS that a sample should be unmarked for NDIS
- Disposition matches
- Check Message Center for new messages, understand reports/review
- Find name of lab and contact person for NDIS matches
- Become aware of settings in the Options tab
- Find information on the CODIS website
- Understand the CODIS backup system
- Resources-CODIS Help desk, ITD Customer Services Group, "CODIS Database Maintenance" protocol, and "CODIS Quick Reference Guide" (QRG)

**Exercises:** **Instructor will review/demonstrate the following:**

#### Specimen Manager

- Locate specimens
- Create sample views
- Change specimen properties (Source ID, Partial Profile ID, Partial Locus)
- Review how to delete a specimen (to include documentation in the "Comments" box)
- Edit a specimen (locus editing-details in QRG)

#### Searcher

- Contact the CODIS Manager for the appropriate Searcher search configuration settings and revise as needed.
- Conduct a remote search of a profile. Print and review the Specimen Detail Report paying careful attention to the Search Configuration information and Indexes/totals searched to ensure proper search execution.
- One time suspect remote search-delete specimen after search

#### Match Manager

- Locate new matches and retrieve previous matches
- Discuss match disposition choices (definitions), change a match disposition, and review appropriate entries for the "Note" field
- Demonstrate how to resend a match disposition
- Create sample views

#### Message Center

- Review the various reports
- Explain the "Outbox" and how to transmit a "stuck" message

#### Upload

- Mark/unmark a sample

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- Explain when/how to notify SDIS to unmark a profile (to include significance of timely notification to prevent accidental upload to NDIS on Wednesday and Friday's SDIS to NDIS upload)
- Send an upload
- Check the reconciliation report and review possible recon errors

Options

- Options tab-discuss the various subsections

CODIS website

- Navigate the website to include how to look up contact information for a lab and the location of NDIS forms
- View "New CODIS Administrator Training" PowerPoint

CODIS Backups

- Explain the data backup system and review the [CODIS IT documents](#) on the FLSB Portal

Resources/Miscellaneous

- Provide CODIS Help desk contact info
- Demonstrate the "Help" search feature in the CODIS software (e.g. search the terms "remote search", "partial match" and "partial locus" and review the information)
- Demonstrate use of Remote Desktop Connection
- Explain opening a work order using the ITD Customer Services Group (CSG)
- Share examples of previous contacts to the Help desk and ITD CSG
- Explain the purpose of the "administrator account" and demonstrate resetting a password
- "[LDIS Database Maintenance](#)" protocol-explain the value of performing the various tasks
- "[CODIS Quick Reference Guide](#)"-review and discuss with instructor as needed.
- CODIS administrator meeting minutes-review recent [meeting minutes](#) and discuss with instructor as needed.

Tasks	Analyst initials/date	Trainer initials/date
CODIS 7.0 online training		
Read CODIS administrator's handbook		
Read WATCH summary document		
Sign up/use WATCH		
Complete exercises		
Read Quick Reference Guide		
Complete Evaluation		
Evaluation	Answers	Trainer initials/date
Count the number of specimens belonging to <CODIS user ID>		
Count the number of specimens missing Amelogenin		
For specimen <specimen ID>, what are the D3 allele calls?		
Count the number of matches in 2010		
What is the match date for match ID <match ID>?		

Should profile <Forensic Partial specimen ID> be marked or unmarked for NDIS?		
What lab has the following ORI: MI8200121?		
Who is the State CODIS administrator for Rhode Island?		
What is the start date for CODIS user <CODIS user ID>?		

Trainee has completed review of all topics and tasks: \_\_\_\_\_  
Trainer Signature/Date