

Forensic Biology COmbined DNA Index System
Standard Operating Procedure Manual
Version 1.0

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Forensic Biology COmbined DNA Index System Standard Operating Procedure Manual

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1.0 CODIS Terms and Abbreviations

9 NYCRR Part 6192

The policy which provides for the establishment and operation of the DNA Identification Index in New York State.

Autosearcher

Autosearcher is a CODIS program which automatically searches all DNA profiles in a user specified index against all profiles in one or more other user specified indexes.

Biological Father/Mother

The CODIS specimen category for DNA profiles generated from known reference samples provided voluntarily by the biological father/mother of a reported missing person. Profiles in this specimen category are stored in the CODIS index known as "Relatives of Missing Persons Index". This DNA profile is removed once the individual for whom this sample was submitted has been identified.

Biological Sibling

The CODIS specimen category for DNA profiles generated from known reference samples provided voluntarily by the biological sibling of a reported missing person. Profiles in this specimen category are stored in the CODIS index known as "Relatives of Missing Persons Index". This DNA profile is removed once the individual for whom this sample was submitted has been identified.

Case Disposition

The final arrangement of a criminal case (e.g. confirmed conviction, offender hit, forensic hit, etc.).

Case Report

A report generated by a forensic laboratory documenting the results of the analyses of the crime scene evidence.

Candidate Profile

A DNA profile matching the target DNA profile (see target DNA profile).

Candidate Match

A possible match between two or more DNA profiles discovered by CODIS or other database software. **Candidate matches must complete a confirmation process before being reported as a match or hit.**

Casework Laboratory

A forensic DNA laboratory responsible for DNA profiles developed from crime scene evidence.

CJIS-WAN

The FBI's Criminal Justice Information Services Wide Area Network that provides communications network for the United States law enforcement community. Originally designed to support the Integrated Automated Fingerprint Identification System (IAFIS), the FBI is expanding the scope of the CJIS-WAN to include all federal, state and local crime laboratories participating in the National DNA Index System.

CMF

Common message format, an ASCII text file format necessary for importing data into CODIS.

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CODIS

The Combined DNA Index System. CODIS is the entire system of DNA indexes (Convicted Offender index, Forensic index, Population index, Missing Persons index, etc.) CODIS also refers to the software. CODIS is maintained on a Local, State and National level.

CODIS Administrator

Members of the CODIS staff with administrative rights in CODIS as defined by the CODIS Supervisor.

CODIS Core Loci

13 DNA loci that are required and accepted by CODIS for a particular DNA testing method.

CODIS Supervisor

Responsible for overseeing the CODIS system and all its functions.

Contract Laboratory

A laboratory, usually in the private sector, performing DNA analyses under contract to a forensic laboratory.

Control Certification Form

This document certifies that the positive human DNA control and the negative controls satisfy the requirements established by NIST. One document must be completed and submitted annually to the CODIS Custodian before DNA profiles can be uploaded into SDIS.

Cold Hit

Two DNA profiles matching with no prior indication that the profiles are related.

Convicted Offender

The CODIS specimen category for a DNA profile generated from any person who has been convicted of a crime in Federal, State, and/or local courts where the applicable law permits establishment of a DNA record for this person. In New York State, this is a person convicted of one of the crimes listed in Executive Law, Section 995(7). Profiles in this specimen category are stored in the CODIS index known as the "Convicted Offender Index" (or Offender Index).

**Convicted Offender Index
(Offender Index)**

The CODIS index containing DNA profiles generated from convicted offenders stored in SDIS/NDIS.

Convicted Offender Lab

A forensic DNA laboratory responsible for DNA profiles developed from Convicted Offender samples. In New York State, this is the New York State Police Forensic Investigation Center in Albany.

Convicted Offender Sample

A biological sample containing DNA that is collected from a designated convicted offender for the purpose of DNA profiling.

Convicted Offender Profile

A DNA profile generated from a convicted offender sample. These DNA profiles are put into the CODIS specimen category "Convicted Offender" and are stored in CODIS index known as the "Convicted Offender Index". These profiles establish an index of DNA identification records that can then be searched for matches against the DNA profiles generated from crime scene evidence.

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Conviction Match

The DNA profile generated from crime scene evidence matches a DNA profile from a convicted offender, **but the offender has already been convicted of the crime for which that evidence was collected.**

Criminal Justice Agency

An agency or institution of the federal, state, or local government, other than the office of the public defender, which performs as part of its principle function, activities relating to the apprehension, investigation, prosecution, adjudication, incarceration, supervision and/or rehabilitation of criminal offenders.

Criminal History Record

Documents generated by DCJS that contain arrest, charges, conviction, sentence, location and identifying information of a convicted offender.

Databank Coordinator

An employee or designee of the Division of Criminal Justice Services responsible for administrative requirements related to the New York State DNA Databank.

DCJS

The Division of Criminal Justice Services. A liaison between local New York laboratories and the New York State Police Laboratory. DCJS manages the program responsible for collection of offender samples in New York State, handles requests to expedite samples and database searches, and handles legal requests for convicted offender information.

DCJS Match Letter

A letter generated by DCJS after a match between a forensic DNA profile and a New York State Police convicted offender profile has been confirmed. The purpose of this letter is to notify the laboratory and investigating agency of the confirmed match, provide case and agency information, the identity of the offender, and current offender location (if known).

Deduced Victim Known

The CODIS specimen category for DNA profiles generated from examining reference samples of a reported missing person (e.g. toothbrush, hair brush). Profiles in this specimen category are considered evidentiary and stored in the CODIS index known as "Unidentified Human Remains Index". This index is searched and compared against the "Relatives of Missing Persons Index".

DNA Analysis Backlog
Elimination Act

Authorized the collection of DNA samples from persons convicted of specified Federal Felony offenses, certain District of Columbia convicted offenders, and military offenders.

DNA Databank

The New York State Identification Index as used throughout Executive Law Section 995, which is comprised of DNA profiles in the Convicted Offender index, the Forensic index, and the Missing Persons index.

DNA Identification Act

The Federal DNA Identification Act of 1994 located at 42 U.S.C. § 4131 *et seq.*

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DNA Profile

The combination of DNA alleles carried by a particular individual at a specified set of genetic loci which permits the DNA of that individual to be distinguishable from the DNA of another individual.

DNA Record

Includes the DNA profile as well as data required to manage NDIS. This includes the names of DNA personnel associated with the DNA profile analyses, the date after which DNA records from which a given DNA analyst can be accepted, and, when applicable, the date after which associated DNA records are not accepted.

**Executive Law Article
49-B Section 995**

Provisions of New York State law establishing the Commission on Forensic Science and the DNA Identification Index.

Equivalent Allele Parameter

For PCR/STR, this parameter is used to determine whether a target allele matches a candidate allele. It is a PCR value that is defined to be the same as another PCR allele value. Equivalent allele values are reciprocal.

FBI

The Federal Bureau of Investigation

FB-LDAS or Linkage

Forensic Biology Local DNA Analysis System (LINKAGE) - the Paradox DNA database used to search preliminary DNA results for case links. LINKAGE contains both casework non-mixture profiles and suspect profiles.

Forensic DNA Laboratory

Any forensic laboratory operated by the state or unit of local government, that performs forensic DNA testing on crime scene evidence or materials derived from human body for use as evidence in a criminal proceeding or for purposes of identification (Executive Law section 995(2)).

Forensic DNA Testing

Any test that employs techniques to examine DNA derived from the human body for purpose of providing information to resolve issues of identification. (Executive Law section 995(2)).

Forensic DNA Profile

A DNA profile generated from the testing of crime scene evidence. These profiles are from persons whose identities are not known with certainty and who left DNA at the scene of a crime or whose DNA was carried away from the scene of a crime. These profiles are put in the CODIS specimen category "Forensic Unknown". Profiles in this category are stored in the CODIS index known as "Forensic STR Index".

Forensic Hit (FH)

CODIS case disposition when two or more forensic samples are linked; also called a case to case hit.

Forensic Match Letter

A letter from a laboratory documenting a confirmed Forensic Match. This letter provides information regarding the investigating agency and offender information (for solved cases).

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Forensic STR Index	The CODIS index that contains forensic DNA records.
Forensic Sample	A biological sample that is from a crime scene or crime scene evidence. DNA testing of these samples generate forensic DNA profiles.
Forensic Unknown	The CODIS specimen category for forensic DNA profiles generated from the testing of crime scene evidence. Profiles in this specimen category are stored in the CODIS index known as "Forensic STR Index".
GDIS	The General DNA Index System , contains DNA records selected from LINKAGE and other profiles not eligible for LINKAGE (e.g. mixture profiles). DNA records are selected from GDIS for insertion into a higher level CODIS index at the state (SDIS) and national (NDIS) level of the CODIS hierarchy.
High Stringency	The number of alleles and the corresponding allelic values must be the same between two DNA profiles at a given locus.
High Stringency Match	All alleles at all loci match at high stringency.
Hit	A confirmed match between two or more DNA profiles. Hits can occur at any level in the CODIS hierarchy: local, state, or national level. Hits can be either a Forensic Hit or an Offender Hit.
Identifying Information	Information on a convicted offender's personal characteristics and ID numbers, e.g. NYSID#, DOB, SS#, etc.
Index Offense	An offense defined in Executive Law Section 995, conviction of which determines eligibility for inclusion in the State DNA Databank.
Interpreting Analyst	Forensic Biology analyst responsible for interpreting the DNA results in a case. The Interpreting Analyst is generally the first signatory on a report.
Investigating Agency	See Submitting Agency.
Investigations Aided (IA)	A criminal investigation equates to a case, which equates to a submission to a laboratory. An investigation aided for a casework laboratory is the number of cases submitted to the lab that were assisted by CODIS. Investigations aided = Investigations assisted = Cases aided = Cases assisted
Keyboard Search	A manual search of CODIS initiated by a CODIS user. In SDIS or NDIS the search is initiated by the SDIS or NDIS Custodian.
Keyboard Search Request	A request from an agency for a keyboard search of the DNA Databank at SDIS or NDIS. This letter includes all of the information relating to the DNA profile and the requesting agency, and certification of the control values.
Keyboard Search Result Letter	A letter from the Databank Coordinator documenting the results of the Keyboard Search (match/no match).

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LDAS

Local DNA Analysis System, a Paradox database which contains the local DNA profiles. The LDAS for Forensic Biology contains all the forensic DNA profiles generated from casework and DNA profiles from suspects developed during the course of a criminal investigation.

Low Stringency

For a given locus, an allelic value for one allele from one profile is the same as an allelic value for one allele from another profile.

Low Stringency Match

At least one locus matches at low stringency.

Match Report

Electronic report generated by CODIS when a potential candidate match is made by CODIS software.

Match Confirmation

The process of determining if a potential candidate match generated by CODIS or other database software is a true match and should be reported to the investigating agency.

Match Manager

Match Manager (MatchMan) is the CODIS module that allows for the managing and sorting of matches discovered through the use of CODIS. Matches are added to Match Manager by the Searcher and Autosearcher programs.

Match Stringency

The actual locus-level stringency for a match (low, moderate or high). The match stringency for the match between two DNA profiles is determined by the lowest locus-level stringency for all loci of the match.

Marked/Unmarked Profile

Marked profiles in Specimen Manager are profiles selected for upload to SDIS. Unmarked profiles are those profiles deselected for upload to SDIS.

Missing Person

The known reference sample of an individual that is reported missing, voluntarily provided by a relative or the person who filed the missing person report. The source of the DNA has been verified as originating from the missing person, and is stored in the Missing Persons Index.

Moderate Stringency

For a given locus, a minimum number of common alleles and the corresponding allelic values must be the same between two profiles. The minimum number is determined by the profile with the fewest alleles. (This is the standard search stringency).

Moderate Stringency Match

A match between two DNA profiles in which the locus-level stringency match for all the loci of the match was either at moderate or high stringency. No loci matched at low stringency.

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NDIS	The National DNA Index System. NDIS is the FBI-administered, centralized system of DNA identification records contributed by all State and local participating laboratories. NDIS receives DNA records from every lower level index and supports the searching functions of CODIS. These DNA records are comprised of forensic DNA profiles, convicted offender DNA profiles, DNA profiles from missing persons, and anonymous DNA profiles contributed to a population database.
NDIS Standards for Acceptance of DNA Data	The document prepared by the FBI specifying the requirements for DNA data to be accepted for searching and storage at the national level.
Negative Amplification Blank	A negative control sample containing amplification reagents without added DNA, used to detect DNA contamination of the amplification reagents during testing.
Negative Control	A specimen included in a batch of specimens which, when tested using DNA testing methods, should give rise to negative test results.
Negative Reagent Blank	A negative control sample containing all testing reagents without added DNA, which is used to detect DNA contamination of any reagent during test.
NYS Administrator	The New York State Administrator is responsible for the oversight and approval of CODIS functions at the state level. This includes supervising the SDIS custodian.
NIST	The National Institute of Standards and Technology.
No Match	CODIS case disposition for a moderate stringency candidate match between two cases that are not a true match.
No suspect Case (Unsub case)	<ol style="list-style-type: none">1. A case with no suspect listed. This is determined by checking all paperwork associated with the evidence submission and case contacts.2. A case in which DNA has been conducted and the listed suspect(s) have been excluded.
NYSID Number	New York State Identification Number. Unique number assigned to an arrestee upon fingerprinting. NOTE: This number is only applicable to New York State convicted offenders, other states will have their own identifiers for offenders.
Offender Duplicate	CODIS case disposition when the same offender matches the a case more than one time.
Offender Hit (OH)	CODIS case disposition when a DNA profile generated from crime scene evidence in an open case (case with no conviction) matches a convicted offender profile at SDIS or NDIS.

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Offender Match Letter

A letter from DCJS (SDIS) or an offender lab (NDIS) documenting a confirmed Offender Match. Provides the offender's identifying information and the investigating agency. Used by the agency investigating the case to obtain a court order to acquire another biological sample from the convicted offender for comparison to crime scene evidence.

ORI

Originating Agency Identifier. Unique laboratory identification number that associates a specimen with a particular laboratory (OCME - NY030011K).

Other

The CODIS specimen category that the Department of Forensic Biology uses for forensic DNA profiles generated from the testing of crime scene evidence that are known to match other forensic DNA profiles in the LINKAGE database. These profiles are unmarked for upload to SDIS and only get searched in LINKAGE and/or GDIS.

Pending

CODIS disposition that is currently pending.

Perpetrator

The individual who commits a crime. The identity of the perpetrator may or may not be known to the police.

Positive Human DNA Control

A reference DNA sample traceable to the NIST standard reference material for which the DNA profile is known, and is used to demonstrate the acceptable performance of a DNA test.

Popstats

CODIS program available within the CODIS software to perform statistical calculations using the FBI population databases.

Privacy Act

Regulation which determines what information can be entered into CODIS in order to protect the rights of the individual.

Qualified DNA Analyst

Individual interpreting DNA analyses at a laboratory subject to the DNA Identification Act of 1994, qualified by the sponsoring laboratory. In Forensic Biology a Qualified DNA Analyst is defined as a Criminalist II or higher title completing a proficiency test every 183 days.

Relatives of Missing Persons Index

Consists of DNA records from the biological relatives of individuals reported missing and from the missing person.

Requesting Laboratory

A laboratory that sends a request to the SDIS or NDIS Custodian for a search of SDIS or NDIS.

"Scientific Reason"

This is a statement that supports a search using fewer than the required minimum of STR loci at the state or national level, such as the apparent presence of mixtures, sample degradation or limited sample availability.

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SDIS

State DNA Index System. The State's repository of DNA records under the control of State authorities. Typically the central point of contact between all New York State local labs and for access to NDIS. (See also convicted offender laboratory).

SDIS Custodian

An employee or designee of the New York State Police responsible for, among other duties, maintaining SDIS, fulfilling technical requirements of CODIS, and proper operation of the computer hardware on which the DNA Databank resides.

Search

A method for comparing target and candidate profiles to see if any match.

Search Stringency Parameters

Allows the user to define the number of alleles/bands per locus that the target profile and candidate profile must have in common. It is a user-defined setting that is used as a filter to only report 100% matches of equal or higher stringency (see Low Stringency, Moderate Stringency, High Stringency)

Search Results

After CODIS determines that two or more DNA profiles match, an electronic report is generated by CODIS and is distributed to the laboratories responsible for the matching profiles.

Searcher

Searcher is an application within the CODIS suite of software products. It provides a means of locating specific DNA profiles by searching the profiles within the CODIS indexes for potential matches to a target DNA profile.

Specimen/Sample

The biological sample, typically blood or semen, that is the object of DNA analysis for purposes related to forensic identification or statistical population sampling.

Specimen Category

Used to classify a DNA profile and determine into which index a specimen can be transferred. For example, unidentified person and forensic unknown categories will be inserted into the Forensic index.

Specimen ID

Number associated with a DNA profile entered into the CODIS system. Specimen ID numbers must be unique and can be no longer than 24 characters.

Specimen Manager

Specimen Manager (SpecMan) is a CODIS module that provides a simplified, central interface for managing specimens (DNA records). In SpecMan, views of specimens can be created using different criteria, specimens can be marked/unmarked for upload, uploads can be sent.

Statute of Limitation

A statute assigning a certain time after which rights cannot be enforced by legal action or offenses cannot be punished (5 years in NYS for sexual assault).

Stringency

Stringency levels define the number of bands that must match in order to produce a match (low, moderate, and high).

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Submitting Agency

The agency that submitted evidence to a forensic DNA crime laboratory. The submitting agency is responsible for investigating crimes.

Submission Form

The DNA Databank Specimen Submission Form. This form is submitted to the convicted offender laboratory along with the offender's DNA sample. This form contains the offender's identifying information, and the facility information which was responsible for the sample collection.

Suspect

An individual whose identity is known to the police and who is believed to be the perpetrator of a crime.

Suspect Case (Sub case)

1. A case in which DNA has been conducted and the listed suspect(s) have been included.
2. A case with a suspect listed and no DNA analysis has been performed to exclude them.

Target DNA Profile

A target profile is a DNA profile for which you are trying to find a matching DNA profile. This profile is submitted by a criminal justice agency for the purpose of searching against DNA profiles maintained by SDIS and NDIS which could match an indexed DNA profile.

Unidentified Human Remains Index

Consists of DNA records from recovered living persons (e.g., children who can't and other can't or refuse to identify themselves), and recovered dead persons (including their body parts and tissues), whose identities are not known.

Upload

The transfer of electronic data from a lower level of CODIS (GDIS or SDIS) to an upper level (SDIS or NDIS).

User

Personnel who have login access to CODIS and/or qualified DNA analysts who are responsible for producing the DNA profiles stored in NDIS.

User Defined 1, 2, 3

CODIS case dispositions that can be defined by the user in the event that the others are not appropriate.

Use and Dissemination Agreement

An official document allowing the transfer of Databank information from one agency to another. This document contains requirements for the confidentiality and dissemination of DNA information and procedures for laboratories participating in SDIS and NDIS.

Warm match

A warm match occurs when CODIS DNA profiles match based on prior knowledge. A typical example is when DNA profiles from several cases match that were submitted to the laboratory as a pattern.

2.0 Overview of the CODIS System

2.1 COmbined DNA Index System (CODIS)

COmbined DNA Index System (CODIS) is the Federal Bureau of Investigation Program that refers to the entire system of DNA indexes (convicted offender index, forensic index, etc.). CODIS is a hierarchy of DNA databases from forensic laboratories around the United States maintained at the Local, State and National levels. It contains DNA profiles of individuals previously convicted of serious crimes as well as forensic DNA profiles (collected from items of evidentiary value). Its function is to identify DNA matches between convicted individuals and forensic DNA profiles as well as DNA matches between forensic DNA profiles. As of January 2003, all 50 states and Puerto Rico participate in CODIS. The goal of CODIS is to provide investigative assistance to law enforcement investigators in the field.

2.2 Forensic Biology Local DNA Analysis System (LDAS or LINKAGE)

The Department of Forensic Biology maintains a Local DNA Analysis System (LDAS or LINKAGE). This is a Paradox database of DNA profiles generated during the analysis of cases. LINKAGE does not contain mixture profiles or DNA profiles from convicted offenders. It does contain DNA profiles from suspects identified during the investigation of offenses. LINKAGE is maintained separately from the CODIS software. Its function is to identify potential local hits quickly before case completion so that these cases may be expedited.

2.3 CODIS General DNA Index System (GDIS)

The CODIS General DNA Index System (GDIS) contains the DNA records selected from LINKAGE and mixture profiles. GDIS does not contain suspect profiles. One function of GDIS is to search for DNA matches involving mixture profiles (not previously identified in LINKAGE) as well as those matches already identified through LINKAGE. It also serves to select eligible profiles for inserting into higher levels of the CODIS hierarchy.

2.4 CODIS State DNA Index System (SDIS)

The CODIS State DNA Index System (SDIS) contains the DNA records from all local DNA laboratories within the state. SDIS is the next level after GDIS in the CODIS hierarchy. It is the state's repository of DNA identification records and is under control of state authorities. In New York, the SDIS is maintained by the New York State Police Forensic Investigation Center. In most states, including New York, SDIS has a Forensic index and a Convicted Offender index. SDIS typically serves as the central point of contact for the state and for access to NDIS.

2.5 CODIS National DNA Index System (NDIS)

The CODIS National DNA Index System (NDIS) is the FBI-administered centralized system of DNA identification records contributed by all State and local participating laboratories. NDIS is the highest level in the CODIS hierarchy, receives records from every lower level and supports the searching function of CODIS.

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2.6 Forensic Biology CODIS Mission

The Department of Forensic Biology of the New York City Office of the Chief Medical Examiner will enter DNA profiles from evidentiary items into LINKAGE and GDIS in accordance with New York State and FBI CODIS guidelines. These files will be compared to DNA profiles from other Forensic Biology cases. The information in GDIS will be eligible for entry into the New York State SDIS. These profiles will be compared to other forensic profiles as well as profiles from convicted offenders contained within the New York State SDIS and will be eligible for entry into NDIS. Potential matches or hits will be evaluated, subjected to a confirmation process, and reported to the Offices of the District Attorney and the New York City Police Department to provide investigative leads. Forensic Biology will track the usefulness of the CODIS databanking program with the assistance of the Offices of the District Attorney and the New York City Police Department.

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3.0 Organization and Management

3.1 Interpreting Analyst

- 3.1.1 The interpreting analyst has the responsibility to determine whether or not there is a DNA profile that is eligible for entry into LINKAGE and/or CODIS.
- 3.1.2 The interpreting analyst communicates his/her determination(s) to their designated supervisor (Criminalist IV), Assistant Director, CODIS program manager and the CODIS support staff through the use of the appropriate GDIS/LINKAGE Case Evaluation Form or CODIS sheet (see Appendix).
- 3.1.3 It is primarily the responsibility of the interpreting analyst to compare appropriate preliminary DNA profiles to those in LINKAGE, determine if there are any intra-laboratory case links (or local matches) and to ensure any new case links are transferred to the appropriate analyst for expedition of case.
- 3.1.4 It is the responsibility of the interpreting analyst to alert their supervisor of any CODIS related actions on their case work. Such actions would include subsequent determination a profile should be removed from CODIS (elimination sample from husband/boyfriend erroneously entered) or an incorrect interpretation was made and a profile must be modified. The supervisor will then alert the appropriate Assistant Director and the CODIS Program Manager. The supervisor will ensure the appropriate paperwork is filled out and provide this information to the CODIS support staff for processing.

3.2 Criminalist IVs

- 3.2.1 Criminalist IVs are responsible for reviewing CODIS sheets submitted with each case they review for accuracy, completeness, correct specimen numbers, and any local matches.
- 3.2.2 Criminalist IVs are responsible for notifying the Chief of Detectives/NYPD SVS Liaison Unit and the appropriate DAO bureau chief after completion of the match confirmation process for local DNA matches discovered in LINKAGE.
- 3.2.3 Criminalist IVs are responsible for communication with other laboratories and law enforcement agencies needed to investigate local, state, and national **confirmed** CODIS matches. The interpreting analyst will aid in this process.

3.3 Assistant Directors

- 3.3.1 Assistant Directors are responsible for reviewing appropriate CODIS sheet(s) submitted with each case they review for accuracy, completeness, correct specimen identification numbers, ensuring profiles are not from elimination sources and meet criteria for entry into CODIS. This includes bringing any CODIS considerations related to a case that may not be apparent from the CODIS sheet to the attention of CODIS support staff.
- 3.3.2 Assistant Directors are responsible for transferring appropriate DNA profiles into LINKAGE and routing the CODIS sheet to the CODIS support staff for entry in GDIS.
- 3.3.3 Assistant Directors are responsible for reviewing data required for match confirmations and hit notifications for local matches made in LINKAGE.

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3.4 CODIS Support Staff

- 4.1 The CODIS support staff is responsible for reviewing the data contained in the CODIS sheet submitted with each case for completeness before entering data into GDIS. A copy of each sheet will be made and placed in the case file; the original will be kept in a binder in the CODIS data entry area.
- 3.4.2 The CODIS support staff is responsible for performing autosearches of the database, sending the New York State SDIS a monthly upload of forensic profiles, processing CODIS data modifications, expungement, deletions, monthly hit counting and general maintenance of the database.
- 3.4.3 The CODIS support staff is responsible for the retrieval of Forensic Biology files involved in potential matches made through the CODIS software, evaluating potential matches and notifying appropriate agencies regarding all candidate matches.
- 3.4.4 CODIS support staff is responsible for maintaining system records including all relevant paperwork, maintenance of all binders containing the CODIS sheets, CODIS user information, and all other CODIS documentation. All binders will be maintained in the CODIS data entry area.
- 3.4.5 CODIS support staff is responsible for training system users and new CODIS staff concerning practical CODIS issues.
- 3.4.6 CODIS support staff is responsible for performing daily backups of the CODIS system.

3.5 CODIS Administrator

- 3.5.1 A CODIS Administrator is a member of the CODIS staff with administrative rights as defined by the CODIS Supervisor.
- 3.5.2 These rights include, but are not limited to: entering profiles into CODIS, software updates, autosearching in GDIS, keyboard searches in GDIS, deleting/modifying profiles in GDIS, user maintenance, processing uploads and system backups.

3.6 Criminalist IV - CODIS Custodian (Supervisor)

- 3.6.1 The CODIS custodian is the system administrator of the laboratory's CODIS network. The CODIS custodian is responsible for overseeing all operations of the CODIS system. This responsibility includes, but is not limited to: entering profiles into CODIS, software updates, user maintenance, processing uploads, evaluating candidate matches, system backups, hit notifications, oversight of CODIS computer training, quality assurance and security of DNA profile data stored in CODIS.
- 3.6.2. The CODIS custodian has the authority to terminate the laboratory's participation in CODIS in the event of a problem until the reliability of the computer data can be assured.
- 3.6.3 The CODIS custodian is the liaison between the Forensic Biology Department and the SDIS Custodian of the New York State Police Forensic Investigation Center.
- 3.6.4 The CODIS custodian is responsible for reviewing the monthly upload resolution and hit counting and ensuring that all candidate matches have been evaluated and dispositioned.

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3.6.5 The CODIS custodian is responsible for the oversight of maintenance and filing of all paperwork required for NDIS participation such as proficiency test and audit documentation.

3.6.6 The CODIS custodian is responsible for supervising the CODIS support staff and ensuring that all functions associated with CODIS staff are performed in a timely manner.

3.7 Deputy Director - CODIS Program Manager

3.7.1 The CODIS Program Manager is responsible for the supervision of the CODIS staff.

3.7.2 The CODIS Program Manager is responsible for insuring the Forensic Biology Department is in compliance with DNA Advisory Board (DAB) standards relevant to CODIS.

3.7.3 The CODIS Program Manager is responsible for determining if there is an acceptable need to request a keyboard search at SDIS/NDIS at the request of the NYPD or DAO.

3.8 Laboratory Director

3.8.1 The laboratory director is responsible for supervision of the CODIS program manager.

3.8.2 The laboratory director is responsible for resolving discrepancies between the CODIS program manager and the Assistant Directors.

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4.0 Profile Management

4.1 CODIS Identification Number (Specimen ID Number)

4.1.1 Each profile for entry into CODIS Local will have a unique identifier. Only letters and numbers will be used in the description. Do not use any other spaces or any other characters, except a dash (-) when indicated below. The standardized format for entering specimen information into CODIS is as follows:

The first eight to ten characters will encompass the Forensic Biology laboratory number (last two digits of the year, followed by a dash, preceding a four digit case number) followed by a dash. If the specimen is from a contract laboratory the year will be preceded by a laboratory abbreviation (Bode Technologies BT, Cellmark Diagnostics CD, Genescreen GS).

- **vouchered items**: add the last three digits of the voucher followed by a dash.

- **post mortem items**: add PM followed by the item number followed by a dash.

The final set of characters will be reserved for sample type and identification:

- **stained items (sheets, clothing, etc.)**: add two letters that describe the item, the item number, and the stain designation followed by a dash and **B** (if blood stain), **S** (if semen stain), **O** (if other, ex. amylase).

For stains with differential extractions the designations below will apply to the fractions.

- **sexual assault kit items**: the abbreviated descriptions below will be used. The sample type will be assumed as semen unless otherwise indicated with a dash, followed by the letter **B** (blood) or **O** (other) at the end of the abbreviated description.

dried secretions swabs described as **DS**

oral swabs or smears described as **OS**

vaginal swabs or smears described as **VS**

anal swabs or smears described as **AS**

sperm fraction described as **SF**

epithelial fraction described as **EF**

substrate remains fraction described as **SR**

underwear described as **UW**

4.1.2 Examples

example 1: case no: FB00-0003, voucher K123456, item #1: purple shirt, stain 1B; bloodstain specimen ID number will be: 00-0003-456-PS1B-B

example 2: case no: FB00-1257, post mortem kit item PM 2F, vaginal swab, sperm cell fraction. specimen ID number will be: 00-1257-PM2F-VSSF

example 3: case no: FB00-0034, voucher G124589, item #1B: glove, stain 1; amylase positive specimen ID number will be: 00-0034-589-GL1B1-O

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example 4: Cellmark Diagnostics backlog case CD01-0001, voucher K321123, sexual assault kit vaginal swab, sperm cell fraction
specimen ID number will be: *CD01-0001-123-VSSF*

There is a maximum limit of 24 characters for the specimen number in CODIS. The above specimen identification system should not be deviated from unless it is necessary to distinguish two samples.

4.2 General Guidelines for Entering STR Profiles into CODIS

- 4.2.1 Procedures for determining STR typing results are detailed in Forensic Biology PCR manual version 8.0
- 4.2.2 All STR profiles that are CODIS eligible must undergo technical review.
- 4.2.3 All 13 STR loci must be attempted on appropriate samples in order for that sample's data to be eligible for CODIS.
- 4.2.4 A minimum of 6 non-mixture loci are necessary for entry into CODIS.
- 4.2.5 The DNA result from each locus will be entered on the CODIS sheet in the form p,q for heterozygotes (in ascending order) and p,p for homozygotes (example TH01 6, 7 or 6, 6).
- 4.2.6 Only DNA data derived from analysis of NDIS accepted PCR loci/systems shall be entered into CODIS. NDIS accepted PCR loci/systems can be referenced in the *FBI NDIS Standards for acceptance of DNA Data*.

Note: This means if VWA and/or TH01 results were obtained in Quad, but not in Profiler and/or Cofiler, those loci are not eligible for entry into CODIS. Additionally, loci obtained from a sample amplified using Blue or Green STR multiplex kits are not accepted by NDIS standards.

- 4.2.7 As of April 2000, Forensic Biology Laboratory reports that contain STR profiles eligible for entry into CODIS will contain a statement that indicates such that this information has been added to and will be maintained in the CODIS system.

4.3 Mixture Guidelines for Entering STR Profiles Into CODIS

- 4.3.1 All mixtures refer to the situation where the DNA profile from the evidence is composed of alleles from more than one individual.
- 4.3.2 A minimum of six deduced loci must be present in a mixture sample for the mixture profile to be eligible for entry into CODIS.
- 4.3.3 A locus may be designated inconclusive ('INC' on the CODIS sheet) if an ambiguity exists at that locus at the discretion of the interpreting analyst and their supervisor (see section for Type II mixtures below). This locus, however, may still be used in the confirmation process once a candidate match is made.

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- 4.3.4 Type I mixture - the evidence is such that it is possible to determine/deduce a complete profile of the foreign contributor at all loci; either the victim can be used as a reference to deduce the foreign alleles or the allele intensities are such that the major component can be clearly distinguished from the minor component and can be deduced. The deduced profile of the major contributor or the major component will be entered into LINKAGE and GDIS.

Only if the allele intensities are such that the minor component can clearly be deduced at six or more loci will the deduced DNA profile of the minor component be entered into LINKAGE and GDIS.

Remember: the minor component can be harder to deduce.

- 4.3.5 Type II mixture - the evidence is such that it is not possible to determine/deduce a complete profile of the foreign contributor at all loci; the allele intensities are such that the foreign contributor can be deduced at some loci but not at other loci. Enter the alleles at all deduced loci (a minimum of 6 non-mixture loci required). Any loci that can not be deduced can be entered as a mixture with the obligate foreign allele (allele foreign to the victim) indicated on the CODIS sheet with a plus (+) sign. Because of possible allele sharing, all alleles at these loci must be listed on the CODIS sheet (even if you know they belong to the victim). However, if there are any unlabeled visible peaks (** results in table) below the threshold that may be from the foreign contributor, **do not enter any alleles for that locus - 'INC'** should be entered on the CODIS sheet. Entering loci with possible allele dropout will prevent possible profile to profile associations. This is generally when the foreign contributor is the minor component. The mixture loci cannot be entered into LINKAGE but will be entered into GDIS.

4.4 Entering STR Profiles Into LINKAGE

- 4.4.1 Profiles will be entered into LINKAGE by Assistant Directors or Criminalist IVs only.
- 4.4.2 LINKAGE will be maintained separately from the CODIS software in the LINKAGE database on the Forensic Biology network (G:\USERS\FBI\FORENSIC\DATABASE\LINKAGE)
- 4.4.3 LINKAGE contains STR loci from all STR systems on (or previously on) line in the Forensic Biology laboratory. LINKAGE does not require a minimum number of loci to be entered, but requires non-mixture loci only be entered.
- 4.4.4 Unambiguous profiles matching the victim will not be entered into LINKAGE.
- 4.4.5 Local suspect profiles will be entered into LINKAGE.

4.5 Entering STR Profiles Into GDIS

- 4.5.1 CODIS eligible profiles will be entered into GDIS by CODIS software trained staff only. The profiles entered into GDIS must fall into one of two CODIS categories: Forensic Unknown or Other (see section 1.0 - CODIS Terms and Abbreviations for definitions; for procedural guidelines on how to enter a profile into GDIS, refer to the *CODIS Training Manual*).

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- 4.5.2 Profiles matching the victim or elimination samples (e.g. consensual sex partner) unambiguously will not be entered into CODIS. For a profile to be unambiguously attributed to the victim or elimination sample, an exemplar must be tested and compared to the profile in question. *It is not sufficient to make an assumption based on case information that the profile in question matches the victim or consensual sex partner.*
- 4.5.3 Profiles that are clearly unrelated to a case or crime will not be entered into CODIS. For example, a semen profile from a condom from which a female profile was determined and the victim is excluded as the female contributor of DNA. This will be at the discretion of the appropriate Assistant Director and the CODIS Program Manager.
- 4.5.4 Local suspect profiles will not be entered into the CODIS system.
- 4.5.5 Entry of a profile into GDIS will be documented on the CODIS sheet. A copy of the CODIS sheet will be put in the file and the original will be filed in binders.
- 4.5.6 Off ladder alleles above or below the allelic ladder are entered as < (lowest allele at that locus) or > (highest allele), respectively.
- 4.5.7 Off ladder alleles in which the subtype can not be determined unambiguously should be entered in the form: repeat number.x (e.g. 23.x).
- 4.5.8 If a discrepancy exists on a CODIS sheet (e.g. writing is not legible, no signature of reviewer, specimen ID appears incorrect) the Interpreting Analyst (IA) for that sheet must resolve the discrepancy **before** the data from that sheet is entered. Specimen ID problems may be corrected by a member of the CODIS support staff. Interpretation issues should be discussed with the appropriate Assistant Director.

4.6 Modifying or Expunging a STR Profile From CODIS

- 4.6.1 Modification of data already entered into CODIS may be due to several reasons: additional testing has been completed on the sample, an interpretation error was discovered regarding the profile, etc. Once it has been determined that a profile must be modified in CODIS, a Profile Modification Form (see Appendix) should be filled out and submitted to the CODIS staff for processing. The original Profile Modification form will be maintained in the Profile Modification form binder and a copy will be placed in the case file.

Any modification to a DNA profile previously uploaded to SDIS will be documented in the profile modification log (see Appendix).

- 4.6.2 Reasons for expungement/deletion might include: a profile entered is later determined to be an elimination sample, legal expungement, a determination that the profile should not have been entered into CODIS due to a user problem (e.g. the IA has failed a proficiency test during the time the data was generated) or a systemic laboratory problem.

Once it has been determined that a profile must be expunged from CODIS, a CODIS Case Expungement form (see Appendix) must be filled out and submitted to the CODIS staff for processing. Unless there are time restraints surrounding the expungement*, the expungement will be processed with the next

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upload to SDIS. The original case expungement form will be maintained in the Case Expungement Form binder and a copy will be placed in the case file. The expungement will also be recorded in the Upload Expungement Log (see Appendix) at the time it is processed. The deletion portion of the reconciliation report from the upload will also be printed and placed in the case expungement form binder confirming that the deletion was received by SDIS.

* If an expungement is required in response to a court order before the next local upload, an Expungement Request letter will get sent to the SDIS custodian (see Appendix).

4.7 Routine Searches of LINKAGE and GDIS

- 4.7.1 Interpreting analysts and their supervisors will routinely compare appropriate preliminary DNA profiles to those in LINKAGE.
- 4.7.2 GDIS autosearches will be conducted after the addition of new profiles into GDIS and before an upload to SDIS. This search will serve to ensure that no intra-laboratory DNA matches were overlooked in LINKAGE and to track local DNA hits using the CODIS system. GDIS autosearches will be performed by the CODIS staff only.
- 4.7.3 All GDIS autosearches will be conducted at moderate or high stringency using a minimum of six loci.
- 4.7.4 All GDIS match candidates will be examined. The CODIS staff will investigate any matches not already documented and make all proper notifications.

4.8 Uploading Profiles to SDIS/NDIS and Search Policies

- 4.8.1 A minimum of non-mixture six (6) loci, not including amelogenin, is required for addition to SDIS. Any profiles with less than ten (10) loci, not including amelogenin, must be non-mixture in order to be added to SDIS. A minimum of ten (10) loci (non-mixture/mixture), not including amelogenin, is required for addition to NDIS.
- 4.8.2 All appropriate GDIS profiles will be uploaded into SDIS by the CODIS staff at the request of the SDIS Custodian and NYS Administrator. Currently New York State local DNA laboratories upload to SDIS twice a month with the SDIS search performed shortly after. CODIS profiles with ten (10) or more loci are searched at both high and moderate stringency. Profiles with <10 loci are searched at high stringency only. This means, any mixture profiles with 9 or less loci will not be eligible to be searched.
- 4.8.3 **In the instance a mixture has at least six deduced loci, but less than ten (10) core loci, enter only the deduced loci for the mixture profile.**
- 4.8.4 GDIS profiles for upload to SDIS will be from evidentiary samples only. **Under no circumstances will known human reference samples be uploaded to SDIS.**
- 4.8.5 Only one (1) putative perpetrator profile per Forensic Biology DNA pattern will be uploaded to SDIS.
- 4.8.6 Uploads to NDIS will take place as scheduled by the SDIS Custodian.

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4.9 Keyboard Searches

- 4.9.1 Keyboard search requests are addressed to the Databank Coordinator. This search is requested through the DCJS Databank coordinator and is executed at the discretion of the SDIS custodian.
- 4.9.2 There are three main reasons a keyboard search would be requested by a laboratory. All reasons must be accompanied by a Justification for Keyboard Search Request Form (see Appendix).

reason #1: The requesting laboratory wants to search a profile that does not meet the minimum loci requirements for SDIS or NDIS entry or would not be searched based upon SDIS or NDIS current search policy. Keyboard searches for this reason will be requested only at the discretion of the CODIS supervisor and appropriate assistant director accompanied with a documented scientific reason justifying the search (e.g. apparent presence of mixtures, sample degradation or limited sample availability). Scientific justification must include but is not limited to a statistical significance of the profile (deduced loci) being approximately 1 in greater than five hundred million.

reason #2: - The requesting agency wants to search a profile before the next search. This type of search is most often requested to SDIS when a known convicted offender is a suspect in a particular case and there is an urgency for an expedited search. These expedited search requests will be requested only at the discretion of the CODIS Supervisor and the appropriate Assistant Director. The initial request from a Bureau Chief from one of the District Attorney's Offices must be submitted in written form, **must be accompanied with a valid justification for the urgency and it must be confirmed that the suspect in question is, in fact, in the databank.** There must also be a documented conversation with an Assistant Director and appropriate case information. **Case information from the DAO must include:** the suspect's full name, NYSID number, social security #, and any known aliases. The following reasons are considered valid urgency justifications by the Department of Forensic Biology to request a keyboard search to expedite a CODIS search at SDIS or NDIS:

- a suspect has been arrested for a particular case and will be released without the search. Additionally, there is no other evidence (eyewitness, prints, etc.) to hold the suspect and attempts to obtain a DNA sample from the suspect have been exhausted.
- a strong investigative lead has developed a suspect in a particular case and the search will lead to an arrest. Additionally, there is no other evidence (eyewitness, prints, etc.) to arrest the suspect and attempts to obtain a DNA sample from the suspect have been exhausted.

NOTE: Even if the DAO or NYPD can confirm a potential suspect has qualified for entry in the convicted offender databank this does not insure the sample has been collected, processed, or entered into the offender databank. Expedition of a convicted offender sample by DCJS does not have to be in response to a keyboard request. If the suspect is based on a strong investigative lead and the investigator wants to insure the corresponding convicted offender sample is in the offender databank before the next routine search they should be referred to DCJS. Investigators should always be advised to attempt to obtain a DNA sample from the suspect and submit it to Forensic Biology.

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reason #3: The requesting laboratory is not CODIS-ready. This type of search method is performed for criminal justice agencies that do not have access to CODIS. **All requests for keyboard searches from agencies that do not have CODIS should be referred to the NYS DCJS Databank Coordinator.** This will enable the requesting agency to benefit from a state wide search and avoid duplicate local searches.

- 4.9.4 Both the CODIS Supervisor and an Assistant Director must both approve all keyboard search requests. Disagreements between the CODIS manager and Assistant Director will be resolved by the Laboratory Director. Once a keyboard search request has been approved, the interpreting analyst will fill out a Forensic Biology Keyboard Search Request Form (see Appendix) and forward it to the CODIS staff for processing. All keyboard search requests will be processed by the CODIS staff. If the keyboard search request is for SDIS, the CODIS supervisor will discuss the request and case information with the DCJS Databank coordinator via telephone and fax the request form accordingly. The original request form and search results will be kept in the case folder. Keyboard search requests from outside laboratories are kept in the Keyboard Search requests binder. **The interpreting analyst requesting the keyboard search will be responsible for evaluating all candidate match results from the search *within 15 days* of receiving the results from the CODIS staff.**

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5.0 Verifying and Reporting DNA Matches

Only the Chief of Detectives (via the Special Victim's Liaison Unit and/or Office of Management and Planning) and the corresponding Bureau Chief of the DAO are notified. *Do not notify Detectives or ADA's directly* - they will be notified by their superiors.

5.1 Verifying and Reporting LINKAGE/GDIS Matches

- 5.1.1 In the event an analyst suspects there is a cold hit between two cases or between a case and a suspect file, their supervisor should be notified **immediately**. *Cold means no one thought they were linked previously; if the analyst was specifically asked to compare cases that is not a hit and this process is not required.* If the match was discovered during the NYPD Backlog rotation, the supervisor on the rotation will make any and all notifications regarding NYPD Backlog cases.
- 5.1.2 For DNA matches involving Forensic Biology cases only (no NYPD Backlog cases) any additional testing should then be expedited. The original case may be pulled at this time to compare location of occurrence, description of assailant, details of assault, etc. If additional testing determines that the match is not fortuitous, the newly linked case is transferred to the analyst from the original case.
- 5.1.3 A CODIS sheet should be filled out for the new case with a cross-reference to the matching case. Both files must then be reviewed by the Assistant Director to confirm the match.
- 5.1.4 Once the match is confirmed by an Assistant Director, a notification letter must be made. If there are multiple matches to be notified, all can be made in one letter. The letter must contain (if available) the victim's name, date of occurrence, complaint number and year of complaint, precinct, Forensic Biology case number, type of sample (vaginal swab, shirt bloodstain, etc.) involved in match, matching specimen (other case number, offender name, etc.), any other DNA links, investigating NYPD Detective and ADA.
- 5.1.5 Use the template in G:\USERS\FBIOLOGY\CODIS\HITNOT\notify\TEMPLATE. Letters are named numerically and saved in the same drive, starting with 001, and followed by the either the letter 'f' for a LINKAGE/GDIS matches, 's' for SDIS matches or 'n' for NDIS matches

example #1: letter G:\USERS\FBIOLOGY\CODIS\HITNOT\notify\025f is the 25th notification letter written- it contains information regarding DNA matches made in LINKAGE.

example #2: letter G:\USERS\FBIOLOGY\CODIS\HITNOT\notify\026n is the 26th notification letter written- it contains information regarding DNA matches made at NDIS.

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- 5.1.6 Once the notification letter is written, the letter must be faxed to the appropriate offices. On the cover letter of the template are the names and fax numbers of the designated contacts from each division of the District Attorney's Office (Sex Crimes or Homicide) for every borough and the contact and fax number for the Special Victims Liaison Unit and OMAP (Office of Management and Planning). Check off the appropriate agencies accordingly:

Special Victims Liaison Unit - always receives one

Office of Management and Planning - receives one if any NYPD Backlog Project cases are involved

DAO Sex Crime Chiefs - receives one if any sexual assault cases occur in their borough

DAO Other Chiefs - receives one if non-sexual assault cases occur in their borough

- 5.1.7 The letter must be reviewed for accuracy (e.g. victim's names, case numbers, etc. are correct) and then signed by a supervisor or Assistant Director.

- 5.1.8 **Before** the notifications are faxed, a phone call to the Special Victims Liaison Unit must be made to inform someone in the office that a notification will be faxed. *Do not fax the letter to the Special Victims Liaison Unit unless they are notified via the telephone.*

- 5.1.9 Once the Special Victims Liaison Unit has been notified by phone and the letter faxed, the remaining agencies can be faxed the notification letter. Phone calls can be made if desired; document in case contacts.

5.2 Verifying and Reporting SDIS Matches

With DNA matches identified at SDIS, both laboratories involved in the match have confirmation responsibilities. Matches involving NYPD Backlog cases matching a NYS Databank Offender sample will be resolved by those on the NYPD Backlog rotation. All other matches will be resolved by the CODIS staff.

Responses to all candidate matches must be immediate. The final disposition of the candidate match to the SDIS custodian must be reported no later than 30 days after receiving the match report.

5.2.A. Verifying and Reporting SDIS Convicted Offender Matches

- 5.2.A.1 The CODIS staff will print out the Candidate Match Reports from the CODIS computer along with a Match Inventory list (a summary list of all the cases involved in the candidate matches) and retrieve the corresponding files.
- 5.2.A.2 Each candidate match report and corresponding file must be reviewed to confirm whether or not the two profiles indeed match. The analyst reviewing the file must fill out a Candidate Match Confirmation Checklist (see Appendix).
- 5.2.A.3 If any modifications to the DNA profile are needed, a Profile Modification Form must be filled out by the analyst reviewing the data (see section 4.6). It is not necessary to wait for the profile to be modified to continue in the confirmation process.

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5.2.A.4

After the match confirmation checklist is filled out and regardless of whether or not the profiles match, a NYS DNA Databank Candidate Match Confirmation form (see Appendix) must be filled out and completed. This form communicates to DCJS and the Databank Coordinator the case disposition (whether or not the candidate match is, in fact, a true match (or no match). Therefore, **one** NYS DNA Databank Candidate Match Confirmation form for **every** candidate match listed on the Match Inventory must be completed. The NYS DNA Databank Candidate Match Confirmation form is then faxed to DCJS.

5.2.A.5

Upon receipt of the NYS DNA Databank Candidate Match Confirmation forms from our laboratory, and upon receipt of confirmation of the offender sample from the NYS DNA Databank Coordinator, DCJS will release the convicted offender's name, via fax, in the form of a DCJS Match Letter (see Appendix, *New York State COmbined DNA Index System Procedures*). This letter will contain the name of the offender, any aliases, the NYSID # and convicted offender's current location.

5.2.A.6

Once all the cases are dispositioned and all the match letters are received, a notification letter must be written (refer to sections 5.1.4 - 5.1.8 for guidelines in making notifications). The DCJS match letters should also be faxed along with the notification letter to the appropriate offices.

5.2.A.7

If the confirmed match has linked a convicted offender to an unsolved case, the investigating agency must obtain an exemplar from the convicted offender and submit to the laboratory for retesting. This information is located on the DCJS match letter that is forwarded to the District Attorney's office. **The match letter should be used by the DAO to obtain the court order authorizing the collection of the exemplar.** The Department of Forensic Biology will perform testing on the exemplar to confirm the DNA match of the offender to the forensic sample(s) and to testify in court to the match. Questions from the DAO regarding offender information, offender blood draws, etc. should be directed to DCJS. **Analysis of the exemplar by Forensic Biology is generally not necessary for grand jury proceedings. This analysis, however, is necessary before trial.**

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5.2.B Verifying and Reporting SDIS Forensic Matches

- 5.2.B.1 The CODIS staff will print out the Candidate Match Reports from the CODIS computer along with a Match Inventory list (or a summary list of all the cases involved in the candidate matches) and retrieve the corresponding files.
- 5.2.B.2 Each candidate match report and corresponding file must be reviewed to confirm the profile data sent to SDIS is accurate. The analyst reviewing the file must fill out a Candidate Match Confirmation checklist (see Appendix).
- 5.2.B.3 If any modifications to the DNA profile are needed, a Profile Modification Form must be filled out by the analyst reviewing the data (see section 4.6). It is not necessary to wait for the profile to be modified to continue in the confirmation process.
- 5.2.B.4 After the data is reviewed, the other laboratory involved in the match must then be notified via telephone and the match (or no match) verified. Both laboratory case numbers and ORI numbers are on the Match Inventory list. The contact information for all CODIS laboratories can be found on the CJIS-WAN.
- 5.2.B.5 If it is verified the candidate match is a non-match, the process stops here. All case contacts should be documented on the checklist accordingly.
- 5.2.B.6 If it is verified to be a true match, information regarding the cases must be exchanged. The CODIS DNA Match Data Request and Response form (see Appendix) is faxed to the other laboratory. This form facilitates the exchange of information. Information on this form, if available, should include:
- contact information for your submitting police agency
 - contact information for your laboratory
 - laboratory and police identification numbers (e.g. FB#, complaint no., etc.)
 - suspect information (e.g. NYSID #, was he convicted, etc.)
 - general case information (e.g. date of occurrence, type of crime, etc.)
- 5.2.B.7 Upon receipt of the response from the other laboratory, the match is confirmed. This form documents that the candidate match between the two laboratories was acknowledged, each laboratory has finished their review process, both laboratories are confirming the match and that case information has been exchanged.
- 5.2.B.8 A notification letter must be written (refer to sections 5.1.4 -5.1.8 for guidelines in making notifications) containing any and all information obtained for the other case. A copy of the letter should also be forwarded to the other casework laboratory involved.

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5.3 Verifying and Reporting NDIS Matches

With DNA matches identified at NDIS, both laboratories involved in the match have confirmation responsibilities. All NDIS matches will be resolved by the CODIS staff.

Responses to all candidate matches must be immediate. The final disposition of the candidate match to the NDIS custodian must be reported no later than 30 days after receiving the match report.

5.3.A Verifying and Reporting NDIS Convicted Offender Matches

- 5.3.A.1 The CODIS staff will print out the Candidate Match Reports from the CODIS computer along with a Match Inventory list (a summary list of all the cases involved in the candidate matches) and retrieve the corresponding files.
- 5.3.A.2 Each candidate match report and corresponding file must be reviewed to confirm whether or not the two profiles indeed match. The analyst reviewing the file must fill out a Candidate Match Confirmation Checklist (see Appendix).
- 5.3.A.3 If any modifications to the DNA profile are needed, a Profile Modification Form must be filled out by the analyst reviewing the data (see section 4.6). It is not necessary to wait for the profile to be modified to continue in the confirmation process.
- 5.3.A.4 After the match confirmation checklist is filled out, the appropriate offender laboratory should then be contacted via telephone and the match (or no match) verified. Both laboratory's case numbers and ORI numbers are on the Match Inventory list. The contact information for all CODIS laboratories can be found on the CJIS-WAN.
- 5.3.A.5 If it is verified the candidate match is a non-match, the process stops here. All case contacts should be documented on the checklist accordingly.
- 5.3.A.6 If it is verified to be a true match, information regarding the cases must be exchanged. The CODIS DNA Match Data Request and Response form (see Appendix) is faxed to the offender laboratory. This form facilitates the exchange of information. Information on this form, if available, should include:
- contact information for your submitting police agency
 - contact information for your laboratory
 - laboratory and police identification numbers (e.g. FB#, complaint no., etc.)
 - suspect information (e.g. NYSID #, was he convicted, etc.)
 - general case information (e.g. date of occurrence, type of crime, etc.)
- 5.3.A.7 Upon receipt of the CODIS DNA Match Data Request and Response form from our laboratory, and upon the offender laboratory's confirmation of the offender sample, the match is confirmed. The offender laboratory will release the convicted offender's name, via fax, in the form of a match letter. This letter will contain the name of the offender, any aliases, the State ID #, current location, and usually their SS#.

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5.3.A.8 A notification letter must be written (refer to sections 5.1.4 -5.1.8 for guidelines in making notifications) containing any and all information obtained. The match letter from the offender laboratory should also be faxed along with the notification letter to the appropriate offices.

5.3.A.9 If the confirmed match has linked a convicted offender to an unsolved case, the investigating agency must obtain an exemplar from the convicted offender and submit to the laboratory for retesting. This information is located on the match letter that is forwarded to the District Attorney's office. **The match letter should be used by the DAO to obtain the court order authorizing the collection of the exemplar.** The Department of Forensic Biology will perform testing on the exemplar to confirm the DNA match of the offender to the forensic sample(s) and to testify in court to the match. Questions from the DAO regarding offender information, offender blood draws, etc. should be directed to the agency contact information given on the CODIS DNA Match Data Request and Response form. **Analysis of the exemplar by the Department of Forensic Biology is generally not necessary for grand jury proceedings. This analysis, however, is necessary before trial.**

5.3.B Verifying and Reporting NDIS Forensic Matches

5.3.B.1 The CODIS staff will print out the Candidate Match Reports from the CODIS computer along with a Match Inventory list (a summary list of all the cases involved in the candidate matches) and retrieve the corresponding files.

5.3.B.2 Each candidate match report and corresponding file must be reviewed to confirm the profile data sent to NDIS is accurate. The analyst reviewing the file must fill out a Candidate Match Confirmation checklist (see Appendix).

5.3.B.3 If any modifications to the DNA profile are needed, a Profile Modification Form must be filled out by the analyst reviewing the data (see section 4.6). It is not necessary to wait for the profile to be modified to continue in the confirmation process.

5.3.B.4 After the data is reviewed, the other laboratory involved in the match must then be notified via telephone and the match (or no match) verified. Both laboratory's case numbers and ORI numbers are on the Match Inventory list. The contact information for all CODIS laboratories can be found on the CJIS-WAN.

5.3.B.5 If it is verified the candidate match is a non-match, the process stops here. All case contacts should be documented on the checklist accordingly.

5.3.B.6 If it is verified to be a true match, information regarding the cases must be exchanged. The CODIS DNA Match Data Request and Response form (see Appendix) is faxed to the other laboratory. This form facilitates the exchange of information. Information on this form, if available, should include:

- contact information for your submitting police agency
- contact information for your laboratory
- laboratory and police identification numbers (e.g. FB#, complaint no., etc.)
- suspect information (e.g. NYSID #, was he convicted, etc.)
- general case information (e.g. date of occurrence, type of crime, etc.)

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5.3.B.7

Upon receipt of the response from the other laboratory, the match is confirmed. This form documents that the candidate match between the two laboratories was acknowledged, each laboratory has finished their review process, both laboratories are confirming the match and that case information has been exchanged.

5.3.B.8

A notification letter must be written (refer to sections 5.1.4 -5.1.8 for guidelines in making notifications) containing any and all information obtained for the other case. A copy of the letter should also be forwarded to the other casework laboratory involved.

5.4 Organization of CODIS Paperwork in Files:

5.4.1 Left side of file: if all paperwork was properly completed and photocopied, the left side of the file should contain:

- Forensic Biology, Cellmark, BODE or Genescreen report (original)
- Match report (printout from computer)
- Candidate Match Confirmation checklist (original)
- Match confirmation letter faxed to DCJS (copy - originals to CODIS staff for filing)
- DCJS match letter with convicted offender name (faxed copy - originals for filing will be mailed to the CODIS staff at a later time)
- notification letter (copy of letter only, fax confirmations are not needed in the file, these are forwarded with the original letter to the CODIS staff)

5.4.2 Right side of file: if all paperwork was properly completed and photocopied, the right side of the file should contain:

- GDIS/LINKAGE form (CODIS sheet)
- statistics sheet

5.4.3 All files matching other cases should cross-reference any and all matching cases - preferably on the outside of file jacket.

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6.0 Case Disposition and Hit Counting

6.1 Case Disposition

- 6.1.1 After the completion of all notifications, the CODIS staff will follow up on the disposition of all DNA matches notified during the month. This information is obtained from the Special Victims Liaison Unit
- 6.1.2 Depending on information given about each case, each DNA match is dispositioned as one of the following three: Forensic Hit, Offender Hit or Conviction Match (see section 1.0 CODIS Terms and Abbreviations for definitions).
- 6.1.3 Other dispositions that may be used are: Pending, Offender Duplicate, User Defined 1, 2, 3 or No Match (see section 1.0 CODIS Terms and Abbreviations for definitions).

6.2 Hit Counting

- 6.2.1 Hit statistics or hit counting is a requirement for participation in the CODIS program. These statistics are used to track the effectiveness of the program and the successes of the laboratories. The problem: how to give credit to all participants without inflating the total number of hits (e.g. if 2 local labs link their cases through a hit at State, both local labs and the state lab all want to claim hits - a total of three hits - when only one hit occurred).
- 6.2.2 Solution: hit counting tracks two metrics in CODIS: the number of investigations aided (or 'IAs') by CODIS and the number of hits made by CODIS (see section 1.0 CODIS Terms and Abbreviations for definitions).
 - 6.2.2.A. Investigations Aided: The primary metric is the number of investigations aided. The number of investigations aided is a better measure of CODIS program performance than the number of hits since the effectiveness of CODIS is ultimately measured by the crime it helps solve.
 - 6.2.2.B Hits: The secondary metric is the number of hits made by CODIS. Counting the number of hits gives laboratories credit for their investment in CODIS.
- 6.2.3 Rules of Hit Counting:
 - rule #1: The level in the CODIS hierarchy (GDIS, SDIS, NDIS) at which the hit occurs gets credit for the hit.
 - rule #2: *A single hit may aid more than one investigation.* A hit linking five separate crimes is still only one hit. However, for each case assisted, the laboratory gets credited one "investigation aided" (IA)
 - rule #3: An investigation may be aided only once - Offender hits take priority over Forensic hits.

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6.2.4 Example Scenarios and Corresponding Scorecard:

scenario 1: On Day #1, OCME uses CODIS to discover a match between two previously unlinked cases.

scorecard: 1 forensic hit (FH), 2 investigations aided (IA)

On Day #2, a new case is submitted to OCME and CODIS matches it to the two cases linked on Day #1.

scorecard: 1 forensic hit, 1 investigation aided

scenario 2: On Day #3, SDIS at Albany links a case from Westchester to a case at the OCME (neither case has been previously aided).

scorecard: 1 forensic hit for Albany (FH), 1 investigation aided for Westchester, 1 investigation aided for OCME, 1 investigation aided in another lab for Westchester (IA_s), 1 investigation aided in another lab for OCME, 1 forensic hit at SDIS for Westchester (FH_s) and 1 forensic hit at SDIS for OCME

scenario 3: On Day #4, a new case from OCME matches a convicted offender from NJSP (hit occurred at NDIS).

scorecard: 1 offender hit for NDIS, 1 offender hit at NDIS for NJSP (OH_n), 1 offender hit at NDIS for OCME, 1 investigation aided for OCME

scenario 4: On Day #5, a new case from OCME matches a new case at NJSP (hit occurred at NDIS)

scorecard: 1 forensic hit for NDIS, 1 investigation aided for OCME, 1 investigation aided for NJSP, 1 forensic hit at NDIS for OCME (FH_n), 1 forensic hit at NDIS for NJSP, 1 investigation aided in another state for OCME (IA_n) and 1 investigation aided in another state for NJSP

scenario 5: On Day #6, one of the three OCME cases linked on Days 1 and 2 match a convicted offender at SDIS (Albany), all three cases now solved

scorecard: 1 offender hit for Albany, 1 offender at SDIS for OCME, no investigations aided

Example score card for OCME for above 5 scenarios:

Match Date	FH	IA	FHs	FHn	OHs	OHn	IAs	IAn	OHI
Day #1	1	2							
Day #2	1	1							
Day #3		1	1				1		
Day #4		1				1			
Day #5		1		1				1	
Day #6		0			1				
Total	2	6	1	1	1	1	1	1	0

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- 6.2.5 Hit counting statistics in the form of a CODIS Hit Counting Scorecard (see Appendix) are to be submitted to the SDIS Custodian and DCJS no later than the 11th day of each month. The SDIS custodian forwards state information to the NDIS custodian. In addition to tracking CODIS hits, the number of non suspect cases that enter the Department of Forensic Biology each month are also tracked and reported to the SDIS Custodian and DCJS. NYPD Backlog cases are treated as non suspect cases and reported in addition to the number of non suspect Forensic Biology cases.

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7.0 User management

7.1 Users

- 7.1.1 Users are defined as personnel who have login access to the CODIS system and/or qualified DNA analysts who are responsible for producing the DNA profiles stored in NDIS.
- 7.1.2 The Designated State Official is responsible for collecting all information from participating laboratories within the state, maintaining copies, and forwarding required documentation to the FBI.
- 7.1.3 In the Department of Forensic Biology a Qualified DNA Analyst is defined as a Criminalist II or higher title completing a proficiency test every 183 days. The Department of Forensic Biology will add and remove users using the guidelines established by the FBI in the *NDIS Operational Procedures Manual* and forward the required documentation to the Designated State Official.
- 7.1.4 Users are required to fill out an Annual Review of DNA Records Acceptable at NDIS form (see Appendix). This form serves to define and clarify the types of DNA records that are acceptable at NDIS. This is a Federal requirement for participation in the CODIS program. In the Department of Forensic Biology, a CODIS Administrator will ensure that each user is reminded of the categories of DNA data accepted at NDIS. A CODIS Administrator will then have each user confirm they have received their annual reminder and understand and will abide by what DNA data is accepted at NDIS. These completed annual reminders will be maintained by the CODIS staff in binders and available for inspection upon request. These forms are forwarded at the request of the New York State CODIS Administrator. Failure to comply with this requirement may result in suspension of the Department of Forensic Biology's CODIS rights.
- 7.1.5 All paper records regarding CODIS users are maintained by the CODIS staff in binders and are available upon request.

7.2 Adding a User to NDIS

- 7.2.1 To add a user to NDIS, the Designated State Official will send a letter to the NDIS Custodian requesting the addition. The Department of Forensic Biology is responsible for forwarding to the Designated State Official the following documentation for each user being added:
- FD-484: Privacy Act explanation
 - FD-258: Fingerprint (10 print) card; two copies
 - FD-816: Background Data Information Form
 - CODIS User Information Form (see Appendix)
 - External Proficiency Testing Document for each Qualified DNA Analyst (see Appendix)
- 7.2.2 The start date for each new user should be within 183 days of their first proficiency test and will be added to the CODIS system by a CODIS Administrator.

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7.3 Removing a User From NDIS

7.3.1 There are two ways to remove a user from NDIS:

a Stop Date is set for the user: this allows previous data from the user to remain in the system, but no further data will be accepted - this is the method the Department of Forensic Biology currently uses

user identification is deleted: this will delete some or all data associated with the user

7.3.2 The Designated State Official will request the removal of a user if any of the following conditions occur:

- the user may leave employment at a participating laboratory or a change of duties makes it inappropriate to continue access to NDIS
- an NDIS user may fail a periodic security check and the FBI's rejection of the security check would require the State to remove the user
- there may be a problem with the data associated with the user, either because the user has received unsatisfactory ratings in external proficiency tests or because data was falsified. Removal of the user may be initiated by either the State or the FBI.

7.3.3 The stop date should be set to within 20 working days of when/if any of the above situations occur.

7.3.4 Request to remove a user should be submitted to the Designated State Official in written form stating a recommendation regarding all data associated with the user (see Appendix).

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8.0 Quality Assurance/Quality Control

8.1 Proficiency Testing

- 8.1.1 Proficiency testing will be conducted as detailed in the *Department of Forensic Biology's Administrative Manual*.
- 8.1.2 Proficiency test documentation will be maintained and provided annually to NDIS as required by the *NDIS Operational Procedures Manual*. A Qualified DNA Analyst External Proficiency Testing form is saved electronically for each analyst in G:/USERS/FBIOLOGY/CODIS/USERS/PTFORMS. These forms are filled out annually and forwarded to the SDIS Custodian no later than the date designated by the NYS SDIS Administrator. Failure to comply with this requirement may result in suspension of Forensic Biology's CODIS rights.
- 8.1.4 Problems related to proficiency testing will be addressed as detailed in the *Department of Forensic Biology's Administrative Manual*.

8.2 Audits

- 8.2.1 Audits of the laboratory will be conducted as detailed in the *Department of Forensic Biology's Administrative Manual*.
- 8.2.2 Audits test documentation will be maintained and provided annually to NDIS as required by the *NDIS Operational Procedures Manual*. Audit documentation will be provided yearly to the SDIS custodian for submission to the NDIS custodian in the form of a Laboratory Audit Certification accompanied with a letter signed by the Laboratory Director (see Appendix).
- 8.2.3 The Department of Forensic Biology and its CODIS program will be audited as required by "The Quality Assurance Standards for DNA Testing Laboratories and Convicted Offender DNA Databasing Laboratories", the national standards issued by the Director of the FBI.

8.3 9947A And Other Positive and Negative Control Monitoring

- 8.3.1 9947A and other applicable positive control STR profiles will be compared to the appropriate positive control profile(s) by the interpreting analyst at the time the case is processed, during technical review of the case file, and during the match confirmation process.
- 8.3.2 Negative controls will be examined by the interpreting analyst at the time the case is processed, during technical review of the case file, and during the match confirmation process.
- 8.3.2 A Positive Control Certification Letter (see Appendix) will be sent to the SDIS custodian annually as required by the *New York State COmbined DNA Index System Procedures*.

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9. LINKAGE/LDIS HIT NOTIFICATION PROCEDURE

The following procedure should be followed when reporting local OCME LINKAGE hits. Refer to the most recent version of the OCME HIT NOTIFICATIONS, g:\users\fbiology\codis\hitnot\hitinfo, for current names, phone numbers, and fax numbers.

1. If you suspect you have a cold hit between two cases or between a case and a suspect file, notify your supervisor **immediately**. *Cold means no one thought they were linked previously; if you were specifically asked to compare cases that is not a hit and this process is not required.* Expedite additional testing (including exemplars if needed) to determine if you have a true hit or a fortuitous match. The old case may be pulled at this time to compare location of occurrence, description of assailant, details of the assault, etc.

If the cold hit is discovered during the NYPD Backlog Project rotation, notify the Crim IV, who will take care of notifications once the entire shipment is reviewed.

If you still have a match after you have received Cofiler and Profiler results...

2. Transfer the newly linked case to the IA from the first case (if you are really nice, you can prepare some of the paperwork for the new IA). The new IA then continues the process.
3. Fill out an LDIS/LINKAGE (CODIS) form listing the case(s) your case is linked to. *Do not hold up notifications waiting for the profile to be entered into LDIS; although the hit was found by LINKAGE, it needs to get entered into LDIS to be counted officially as a CODIS investigation.*
4. Pull the older case(s) and have the cases reviewed by your Assistant Director to confirm that the cases match, or by MSD if the cold hit is discovered during the NYPD Backlog Project rotation. The report(s) do not have to be complete, just the testing needed to confirm a match.
5. Prepare a **single notification letter**, even if you have multiple notifications to make. Use the template in G:\users\fbiology\codis\hitnot\notify\temp and save the new letter using the format:

G:\users\fbiology\codis\hitnot\notify\xxxxf; starting with letter 001, f for LINKAGE/LDIS

Using the checklist on the cover letter, check off the people who will get the letter. Basically:

Special Victims Liaison Unit - always gets one

Office of Management and Planning - gets one if any NYPD Backlog Project cases are involved

DAO Sex Crime Chiefs - gets one if sexual assault cases from the appropriate borough are involved

DAO Other Chiefs - gets one if non-sexual assault cases from the appropriate borough are involved

The notification letter should be proof-read, then is signed by the Criminalist or Assistant Director.

6. Make the actual notifications, starting with the Special Victims Liaison Unit. Call and tell them of the matches, then fax the letter. *Do not fax the letter to the Special Victims Liaison Unit if you haven't spoken to them.*
7. Once the Special Victims Liaison Unit has been notified by phone and fax, the remaining agencies can be faxed the notification letter. Phone calls can be made if desired; document in case contacts.
8. Make copies of the notification letter and place in each file. Send the originals to the CODIS group along with

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the fax confirmations and the LDIS/LINKAGE (CODIS) form.

9. The Criminalist IV should ensure that the matching files have been cross referenced to each other in Paradox and send an E-mail to the lab letting them know about the match.

In summary: Only the Chief of Detectives (via the Special Victim's Liaison Unit and/or Office of Management and Planning) and the corresponding Bureau Chief of the DAO are notified. Do not notify Detectives or ADA's directly - they will be notified by their superiors.

10. SDIS HIT NOTIFICATION PROCEDURE

NYPD Backlog Project cases

When a candidate match is identified between a case and a convicted offender, both labs involved have confirmation responsibilities. The NYPD Backlog Project rotation has the responsibility for confirming offender hits involving NYPD Backlog Project; this means reviewing the DNA profile from the case and determining if the convicted offender DNA profile listed could be the male donor. Use the following procedure when reporting offender hits at the State level (SDIS).

1. The CODIS group will print out the candidate Match Reports involving NYPD Backlog Project cases and a summary table.
2. Print out a state confirmation check list (G:\users\fbiology\codis\forms\SDISchk) and a match confirmation letter (G:\users\fbiology\codis\forms\mtchcon) for each candidate match.
3. Have each file pulled; they may be at 520 (if older) or at Bellevue (if recent). Review the data to confirm that the DNA profile we uploaded is correct; fill out the check list. If any changes need to be made to the DNA profile, fill out a profile modification form (G:\users\fbiology\codis\forms\mod); continue the confirmation process.
4. Once the data has been confirmed, fill out the match confirmation letter; include any case information you have available. Fax all the match confirmation letters to both SDIS Custodian and DCJS. Make a photocopy of each match confirmation letter and place in the appropriate files. Send the originals to the CODIS group.

Meanwhile, the NYSP laboratory is performing their match confirmation process, which usually involves retesting of the convicted offender sample.

5. Once the confirmation process is completed by both labs, the names of the Convicted Offenders are released by DCJS in the form of DCJS match reports faxed to us. At this point, prepare a notification letter. Use the template in G:\users\fbiology\codis\hitnot\notify\template and save the new letter using the format:

G:\users\fbiology\codis\hitnot\notify\xxxxs; starting with letter 001, s for SDIS

Group the cases by borough in the table.

Using the checklist on the cover letter, check off the people who will get the letter. Basically:

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Special Victims Liaison Unit - always gets one

Office of Management and Planning - gets one if any NYPD Backlog Project cases are involved

DAO Sex Crime Chiefs - gets one if sexual assault cases from the appropriate borough are involved

DAO Other Chiefs - gets one if non-sexual assault cases from the appropriate borough are involved

Have the notification letter proof-read, then sign.

6. Make the actual notifications, starting with the Special Victims Liaison Unit. Call them tell them of the matches, and fax the letter along with the DCJS match reports. *Do not fax the letter to the Special Victims Liaison Unit if you haven't spoken to them.*
7. Once the Special Victims Liaison Unit has been notified by phone and fax, the remaining agencies can be faxed the notification letter, along with the DCJS match reports. Phone calls can be made if desired; document in case contacts.
8. Make copies of the notification letter and place in each file. Send the originals to the CODIS group along with the fax confirmations.
9. Place the faxed copies of DCJS match letters in the appropriate case files (the CODIS group receives the originals at a later date by mail).

In summary: Only the Chief of Detectives (via the Special Victim's Liaison Unit and/or Office of Management and Planning) and the corresponding Bureau Chief of the DAO are notified. Do not notify detectives or ADA's directly - they will be notified by their superiors.

If all paperwork was properly completed and photocopied, the left hand side of the file should contain (from bottom up):

- Cellmark, BODE or Genescreen report (original)
- LDIS/LINKAGE form
- Match report (printout)
- State or NDIS confirmation checklist (original)
- Match confirmation letter sent to DCJS (copy)
- DCJS match letter with convicted offender name (fax copy)
- notification letter

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11.0 References

- 11.1 *NDIS Operational Procedures Manual*, Forensic Bureau of Investigation Laboratory, Forensic Science Systems Unit.
- 11.2 *New York State COmbined DNA Index System Procedures*, New York State Forensic Investigation Center.
- 11.3 *Department of Forensic Biology Administrative Manual*, Office of Chief Medical Examiner, NYC.
- 11.4 *CODIS Training Manual*, U.S. Department of Justice, Federal Bureau of Investigation.

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Appendix

This appendix shows a list of forms that are used in the maintenance of CODIS at the OCME Forensic Biology Laboratory. All of these forms can be accessed on the Forensic Biology computer network.

CODIS-2	CODIS/LINKAGE Case Evaluation Form (CODIS sheet)
MOD	CODIS Profile Modification Form
MODLOG	Profile Modification Log
EXPUNGE	CODIS Profile Expungement Form
EXPLOG	Upload Expungement Log
DNAEXP	Expungement Request Letter
KEYJUST	Justification for Keyboard Search Form
KEYRQ	Keyboard Search Request Form
MTCHCHK	Candidate Match Confirmation Checklist
MTCHCON2	NYS DNA Databank Candidate Match Confirmation Form
DATAREQ	CODIS DNA Match Data Request and Response Form
SCORECRD	CODIS Hit Counting Scorecard (Casework Lab) Form
DNAACCEP	Annual Review of DNA Records Acceptable at NDIS Form
USERINFO	CODIS User Information Form
EXTPROF	Qualified DNA Analyst External Proficiency Testing Document
USRDELETE	CODIS User Removal Request Letter
POSCERT	Positive Control Certification Letter
AUDIT	Laboratory Audit Certification Form
AUDCERT	Audit Certification Acknowledgment Letter

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