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| <b>CODIS Organization and Management</b> |                              |                   |
| Status:Published                         |                              | Document ID: 1252 |
| DATE EFFECTIVE<br>09/12/2025             | APPROVED BY<br>CODIS Manager | PAGE<br>1 OF 5    |

## **3.0 ORGANIZATION AND MANAGEMENT**

### **3.1 Interpreting Analyst (Qualified DNA Analyst)**

- 3.1.1 The interpreting analyst must be a CODIS user ( see CODIS User Management 7.1) that has the responsibility of determining whether or not a DNA profile is eligible for entry into CODIS. The FBI has prepared a flowchart which is available to aid in the determination of CODIS eligibility; it is available in the main CODIS directory on the network.
- 3.1.2 For those cases not easily resolved through the guidance provided in the flowchart, it is important to document your reasoning for determining eligibility. The DB (database) Profile documentation has a notes section that should be used to document any such reasoning.
- 3.1.3 The interpreting analyst communicates his/her determination(s) to the Technical Reviewer(s), Assistant Director, CODIS Program Manager and the CODIS support staff through the use of the DB Profile documentation in the LIMS system.
- 3.1.4 It is primarily the responsibility of the interpreting analyst to compare appropriate preliminary DNA profiles to those in LINKAGE, LDIS and Lab Types, determine if there are any local matches (to another case, a suspect, or profile in Lab Types), and expedite any further needed testing. If a pending match is confirmed, the analyst must enter the appropriate data on the DNA HITS secure website. The DNA HITS entry must be reviewed before it is approved, and notification made.
- 3.1.4.1 All associated DNA hits and match paperwork for pre-LIMS cases will be added to the case file by the individual who issued the hit (i.e. the DNA analyst/technical reviewer or the CODIS group). Any cases with a LIMS record will have the paperwork attached to the case record in LIMS. For pre-LIMS cases, it is the responsibility of the analyst certifying the case file or the interpreting/testifying analyst to ensure that this documentation is included in the case record before they certify the file or testify in court, respectively.
- 3.1.5 It is the responsibility of the interpreting analyst to alert their technical reviewer of any CODIS-related actions on their case work. Such actions would include subsequent determination that a profile should be removed from CODIS (sample known to have come from the victim, husband or boyfriend) or an incorrect interpretation was made so a profile must be modified. The technical reviewer will then alert the appropriate Assistant Director and the CODIS Program Manager. The technical reviewer will ensure the appropriate forms are filled out and provide this information to the CODIS staff for processing.

| CODIS Organization and Management |                              |                   |
|-----------------------------------|------------------------------|-------------------|
| Status:Published                  |                              | Document ID: 1252 |
| DATE EFFECTIVE<br>09/12/2025      | APPROVED BY<br>CODIS Manager | PAGE<br>2 OF 5    |

### 3.2 Technical Reviewers – profiles for entry into CODIS

- 3.2.1 Technical reviewers that is a CODIS user ( see CODIS User Management 7.1) are responsible for reviewing CODIS profiles submitted with each case they review for accuracy, completeness, correct specimen identification numbers, any local matches, ensuring profiles are not from elimination sources and meet criteria for entry into CODIS. The technical reviewer (or second technical reviewer, for those cases requiring enhanced review) is responsible for routing the DB Profile documentation to the CODIS support staff for entry into LDIS.
- 3.2.2 The review(s) of the database profile must be documented in the case record.

### 3.3 Technical Reviewers - matches

- 3.3.1 The final technical reviewer, that is a CODIS user ( see CODIS User Management 7.1), of a profile is responsible for notifying the NYPD designee and the appropriate DAO contact after completion of the match confirmation process for local DNA matches discovered in LINKAGE and/or LDIS. This is accomplished by ensuring that the DNA-HITS data entry has been reviewed, approved and the notification email sent.
- 3.3.2 The technical reviewer(s) 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.
- 3.3.3 Technical reviewer(s) are primarily responsible for requesting exemplars and elimination samples from victims, family members, employees of businesses or any other exemplars as needed. These requests go to the NYPD and/or the appropriate district attorney's office.
- 3.3.4 The technical reviewer(s) are responsible for reviewing CODIS profiles submitted with each case they review for accuracy, completeness, correct specimen identification numbers, any local matches, 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 DB Profile documentation to the attention of CODIS staff.
- 3.3.5 The technical reviewer(s) are responsible for routing the DB Profile documentation to the CODIS staff for entry in LDIS.
- 3.3.6 The technical reviewer(s) are responsible for reviewing data required for match confirmations and hit notifications for local matches made in LINKAGE and/or LDIS.

| CODIS Organization and Management |                              |                   |
|-----------------------------------|------------------------------|-------------------|
| Status:Published                  |                              | Document ID: 1252 |
| DATE EFFECTIVE<br>09/12/2025      | APPROVED BY<br>CODIS Manager | PAGE<br>3 OF 5    |

### **3.4 CODIS Staff**

- 3.4.1        Wherever possible the CODIS staff is responsible for reviewing the data contained in the DB profile documentation submitted with each case for completeness before entering and/or importing data into LDIS.
- 3.4.2        The CODIS staff is responsible for performing autosearches of the database, sending the New York State SDIS a regularly scheduled upload of forensic profiles, processing CODIS data modifications, expungements, deletions, monthly hit counting and general maintenance of the database.
- 3.4.3        The CODIS staff is responsible for the retrieval of Forensic Biology files involved in candidate matches made through the CODIS software, evaluating candidate matches and ensuring that the appropriate agencies are notified of all confirmed matches made through the CODIS software. Confirmed matches must be dispositioned in the CODIS software.
- 3.4.4        Exceptions to the above are made for candidate matches involving LCN profiles and Missing Persons/Unidentified Persons profiles. For LCN candidate matches, the evaluation of the candidate match is done by an LCN-trained analyst, with the match notification done by the CODIS staff. For MP/UP candidate ranks or matches, any kinship calculation, mitochondrial match review, and notification is done by a member of the Missing Persons group.
- 3.4.5        CODIS staff is responsible for maintaining system records including all relevant paperwork, and maintenance of all binders containing the DB Profile documentation, CODIS user information, and all other CODIS documentation. All binders will be maintained in the CODIS area.
- 3.4.6        CODIS staff is responsible for training system users and new CODIS staff concerning practical CODIS issues.
- 3.4.7        The LDIS database is backed up automatically, by the city's network systems.
- 3.4.8        Deleting/modifying profiles in Linkage, LDIS, user maintenance, software updates, and processing uploads.

### **3.5 Casework CODIS Administrator (Criminalist III or IV)**

- 3.5.1        The Casework CODIS Administrator is the system administrator of the laboratory's CODIS network. The Casework CODIS Administrator must meet all education, experience and training requirements as outlined in the current FBI Quality Assurance Standards.

Controlled versions of Department of Forensic Biology Manuals only exist in the Forensic Biology Qualtrax software. All printed versions are non-controlled copies.

## FORENSIC BIOLOGY CODIS MANUAL

| CODIS Organization and Management |                              |                   |
|-----------------------------------|------------------------------|-------------------|
| Status:Published                  |                              | Document ID: 1252 |
| DATE EFFECTIVE<br>09/12/2025      | APPROVED BY<br>CODIS Manager | PAGE<br>4 OF 5    |

- 3.5.2 The CODIS Casework Administrator 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, hit notifications, oversight and documentation of CODIS computer training for casework analysts, quality assurance and ensuring that the security of data stored in CODIS is in accordance with state and/or federal law and NDIS operational procedures.
- 3.5.3 The Casework CODIS Administrator is also responsible for ensuring that the quality of data stored in CODIS is in accordance with state and/or federal law and NDIS operational procedures. The Casework CODIS Administrator has the authority to terminate an analyst's or the laboratory's participation in CODIS in the event of a problem until the reliability and security of the computer data can be assured.
- 3.5.4 The Casework CODIS Administrator is the liaison between the Forensic Biology Department and the SDIS Custodian/Administrator of the New York State Police Forensic Investigation Center.
- 3.5.5 The Casework CODIS Administrator is responsible for reviewing the weekly upload resolution, monthly hit counting and ensuring that all candidate matches have been evaluated and dispositioned in accordance with NDIS operational procedures.
- 3.5.6 The Casework CODIS Administrator is responsible for the oversight of maintenance and filing of all documentation required for NDIS participation such as proficiency tests and audit documentation. Additionally, the Casework CODIS Administrator receives internal and external audit documentation and if applicable, corrective actions. They are also notified in the event of non-administrative discrepancies that affect the typing results and/or conclusions of a proficiency test.
- 3.5.7 The Casework CODIS Administrator and the CODIS Program Manager, together, have the authority to modify or remove profiles from the database which are causing an excessive amount of spurious (false) candidate matches. The CODIS Match Estimation Utility can be used to document such profiles.
- 3.5.8 Modifications could be accomplished by the addition of the obligate allele designation to one or more loci or by other methods as deemed appropriate to the sample.

### 3.6 Alternate Casework CODIS Administrators (Level II, III and IV)

- 3.6.1 Designated members of the CODIS group as designated by the CODIS Manager, may have Administrator rights. These rights include but are not limited to: entering profiles into LDIS, importing profiles electronically into LDIS, autosearches in LDIS, keyboard searches in LDIS, retrieval of Forensic Biology files involved in candidate matches made through the CODIS software, evaluating candidate matches and ensuring that the appropriate agencies are notified of all confirmed matches made through the CODIS software and disposition of matches in the CODIS software.

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| DATE EFFECTIVE<br>09/12/2025      | APPROVED BY<br>CODIS Manager | PAGE<br>5 OF 5    |

3.6.2 Alternate Casework CODIS Administrator(s) must meet the same education, experience and training requirements as the Casework CODIS Administrator as outlined in the current FBI Quality Assurance Standards.

### 3.7 CODIS Unit Supervisor (Criminalist IV)

- 3.7.1 The CODIS Unit Supervisor, as designated by the CODIS Manager, may have Administrator rights.
- 3.7.2 The CODIS Unit Supervisor is responsible for the supervision of the CODIS staff and ensuring that all functions associated with CODIS staff are performed in a timely manner.

### 3.8 CODIS Program Manager (Assistant Director)

- 3.8.1 The CODIS Program Manager is responsible for ensuring the Forensic Biology Department is in compliance with the FBI Quality Assurance standards relevant to CODIS.
- 3.8.2 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.
- 3.8.3 In the absence of the CODIS Program Manager, a keyboard search at SDIS/NDIS may be approved by the Casework CODIS Administrator or a member of the management team.

### 3.9 Network Support Staff

- 3.9.1 Information technology (IT) specialists from DOITT, the city's computer service, are responsible for day-to-day maintenance (including regular backups) and physical and electronic security of the CODIS servers and other hardware.
- 3.9.2 Those IT staff members with access to the CODIS server must undergo the FBI security clearance process and be added to the user list as CODIS IT users. They are not authorized to enter profiles or manipulate them.