CODIS02 – CODIS Procedures Manual

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1. Background

1.1. The Combined DNA Index System (CODIS) is a software program developed and provided by the Federal Bureau of Investigation (FBI) to house DNA profiles (e.g., forensic cases, convicted offenders, arrestees) in various searchable indices. The CODIS software system allows for the storage and exchange of DNA information within and between federal, state, and local DNA laboratories.

1.1.1. The goal of CODIS is to provide investigative information to law enforcement representatives by linking crimes to one another and to offenders and arrestees. CODIS consists of three levels: LDIS, SDIS and NDIS.

1.1.1.1. The Local DNA Index System (LDIS) contains DNA profiles submitted by local laboratories (city or county) that can be searched for local DNA matches and uploaded (if eligible) into higher level (SDIS and NDIS) CODIS indexes.

1.1.1.2. The State DNA Index System (SDIS) contains DNA profiles submitted by the state laboratory and the local laboratories within the state. These profiles can be searched for state DNA matches and uploaded (if eligible) to NDIS.

1.1.1.3. The National DNA Index System (NDIS) is the highest level of CODIS and contains DNA profiles contributed from participating federal, state, and local laboratories. The NDIS is administered by the FBI and submitted DNA profiles can be searched for national DNA matches.
2. Definitions

2.1. For the purpose of this document, the following terms shall have the designated meanings:

<table>
<thead>
<tr>
<th>Original core CODIS loci:</th>
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<tbody>
<tr>
<td>CSF1PO</td>
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<tr>
<td>FGA</td>
</tr>
<tr>
<td>TH01</td>
</tr>
<tr>
<td>TPOX</td>
</tr>
<tr>
<td>vWA</td>
</tr>
<tr>
<td>D3S1358</td>
</tr>
<tr>
<td>D5S818</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>20 core CODIS loci:</th>
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</thead>
<tbody>
<tr>
<td>CSF1PO</td>
</tr>
<tr>
<td>FGA</td>
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<tr>
<td>TPOX</td>
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<tr>
<td>vWA</td>
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<tr>
<td>D1S1656</td>
</tr>
<tr>
<td>D2S441</td>
</tr>
<tr>
<td>D2S1338</td>
</tr>
<tr>
<td>D3S1358</td>
</tr>
<tr>
<td>D5S818</td>
</tr>
</tbody>
</table>

3. Scope

3.1. The District of Columbia (DC) Department of Forensic Sciences (DFS) Forensic Biology Unit (FBU) is an SDIS-level laboratory with no associated LDIS laboratories. FBU processes casework samples for DC. The FBI processes convicted offender samples for DC pursuant to federal law (DNA Analysis Backlog Elimination Act of 2000).

3.2. The use of CODIS in FBU is in accordance with the current versions of the NDIS Operational Procedures Manual and the NDIS Security Requirements Procedures along with instructions provided by the FBI and the FBI’s contractor.
3.3. The CODIS software is designed and provided by the FBI. Upgrades and modifications to the software are periodically provided by the FBI through the FBI’s contractor.

3.4. In accordance with the CODIS license agreement between DFS and the FBI, DFS is strictly prohibited from copying or distributing the CODIS software and associated written material to individuals or organizations outside of DFS.

4. Responsibilities and Qualifications

4.1. Forensic Biology Technical Leader
   4.1.1. Responsibilities, Qualifications and Training
       4.1.1.1. See the Forensic Biology Unit Quality Assurance Manual (FBUQA01)

4.2. State CODIS Administrator
   4.2.1. Responsibilities, Qualifications and Training
       4.2.1.1. See FBUQA01

4.3. Alternate State CODIS Administrator(s)
   4.3.1. Responsibilities
       4.3.1.1. Fulfill the CODIS Administrator role during the absence or unavailability of the CODIS Administrator. See FBUQA01.
   4.3.2. Qualifications and Training
       4.3.2.1. Meet the same qualifications and training requirements of the State CODIS Administrator. See FBUQA01.
       4.3.2.2. Attend the regularly scheduled annual CODIS Conference and semi-annual State Administrators meetings in the event the State CODIS Administrator is unable to attend

4.4. CODIS User
   4.4.1. Responsibilities
       4.4.1.1. Generate and/or review DNA profiles
       4.4.1.2. Determine CODIS eligibility of DNA profiles
       4.4.1.3. Read, add, modify, or delete DNA profiles in CODIS
       4.4.1.4. Notify the State CODIS Administrator of CODIS-related actions in their casework, as appropriate
   4.4.2. Qualifications and Training
       4.4.2.1. Obtain and maintain the required FBI security clearance
4.4.2.2. Be a qualified or previously qualified analyst. See FBUQA01.

4.4.2.3. Complete the annual review of DNA Data accepted at NDIS

4.5. CODIS Information Technology (IT) User

4.5.1. Responsibilities

4.5.1.1. Perform computer hardware/software and telecommunications maintenance

4.5.1.2. A CODIS IT User is **NOT** authorized to read, add, modify or delete DNA profiles in CODIS

4.5.2. Qualifications and Training

4.5.2.1. Be an IT employee of DFS

4.5.2.2. Obtain and maintain the required FBI security clearance

5. Procedures

5.1. FBU CODIS Profile Management

5.1.1. Case Evaluation

5.1.1.1. To satisfy eligibility for CODIS there shall be documentation of the following criteria:

5.1.1.1.1. A crime has been committed

5.1.1.1.2. The profile originates from or is associated with the crime scene and attributed to the putative perpetrator(s)

5.1.1.1.2.1. Information that an item or biological material is “believed to be” from the crime scene and/or the perpetrator is not sufficient documentation to satisfy CODIS eligibility. Additional information as to why it is believed must be documented.

5.1.1.1.2.2. It may be necessary to gather information about additional charges or offenses as this may help determine eligibility

5.1.1.1.2.3. Items where the suspect’s profile could reasonably be expected to
be found independent of the crime (e.g., suspect's vehicle or house, item collected from suspect's person) may not be CODIS eligible.

5.1.1.3. Elimination sample(s) have been requested, if applicable

5.1.1.3.1. An elimination sample is a sample from a known individual who may have contributed DNA to crime scene evidence but is not a putative perpetrator of the crime (e.g., the homeowner of a house that has been burglarized or a consensual sex partner in a sexual assault case).

5.1.2. Profile Evaluation:

5.1.2.1. The following shall not be eligible for CODIS:

5.1.2.1.1. Alleles unambiguously attributed to individuals other than the putative perpetrator(s)

5.1.2.1.2. Profiles (or components of profiles) which are not suitable for comparison purposes

5.1.2.1.3. Profiles from known reference samples

5.1.2.2. The most complete eligible profile associated with the putative perpetrator(s) should be entered into CODIS per case. Based on the case circumstances, multiple profiles may be entered into CODIS for a single case.

5.1.3. Specimen Categories

5.1.3.1. Prior to CODIS entry, profiles must be assigned to the appropriate specimen category. The following specimen categories are used by FBU:

5.1.3.1.1. Forensic Unknown: This category is for profiles originating from a single contributor. There should be no indication of locus or allelic dropout at any of the original core CODIS loci. Three alleles are allowable at one of the original core CODIS loci to account for a possible tri-allele. This specimen category is used for uploading to NDIS.
5.1.3.1.2. Forensic Partial: This category is for profiles originating from a single contributor with locus or allelic dropout at any of the original core CODIS loci. Three alleles are allowable at one of the original core CODIS loci to account for a possible tri-allele. A moderate match estimate (MME) must be calculated for this specimen category. This specimen category may be used for uploading to NDIS or, if the NDIS requirements are not met, to SDIS only.

5.1.3.1.3. Forensic Mixture: This category is for profiles that contain DNA from more than one contributor. Up to four alleles are allowable at a locus. An MME must be calculated for this specimen category. This specimen category may be used for uploading to NDIS or, if the NDIS requirements are not met, to SDIS only.

5.1.3.1.4. Forensic Targeted: This category is for single contributor and mixture profiles that do not meet the MME requirement for NDIS but do meet the loci and match rarity estimate (MRE) requirements. An MRE must be calculated for this specimen category. This specimen category should be used as a last option for uploading to NDIS.

5.1.3.2. The following table lists the minimum requirements for each specimen category used for entry/upload into SDIS and NDIS. Match estimation calculations are discussed in more detail in a subsequent section:

<table>
<thead>
<tr>
<th>Specimen Category</th>
<th>SDIS (DC) Requirements</th>
<th>NDIS Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Forensic Unknown</td>
<td>N/A</td>
<td>≥ 13 original core CODIS loci</td>
</tr>
<tr>
<td>Forensic Partial</td>
<td>N/A</td>
<td>≥ 8 original core CODIS loci</td>
</tr>
<tr>
<td>Forensic Mixture</td>
<td>N/A</td>
<td>MME ≥ 10 million</td>
</tr>
<tr>
<td>Forensic Targeted</td>
<td>N/A</td>
<td>≥ 8 original core CODIS loci</td>
</tr>
<tr>
<td></td>
<td></td>
<td>MRE ≥ 10 million</td>
</tr>
<tr>
<td>Forensic Partial, SDIS</td>
<td>≥ 7 original core CODIS loci</td>
<td>N/A</td>
</tr>
<tr>
<td>Forensic Mixture, SDIS</td>
<td>Average # matches ≤ 1 (Match Estimation Report)</td>
<td></td>
</tr>
</tbody>
</table>
5.1.4. Specimen Formatting

5.1.4.1. The following information may be provided for each profile entered into CODIS to assist with searching and match resolution:

5.1.4.1.1. Specimen ID: A unique specimen identifier must be assigned to each profile entered into CODIS. The specimen ID should include the case number, item number, and additional information (e.g., sperm fraction (SF), contributor number (C1)), if applicable.

- Example (case processed by FBU): DFS10-01234/2.1SF_C2
- Example (outsourced case): LSS2010-01234/1_C1

5.1.4.1.2. Source ID: Indicates if the profile has been associated with a named individual via the DNA analysis process or through a prior CODIS association

5.1.4.1.3. Partial Profile: Indicates if the profile entered is incomplete and there may be additional allelic information to aid in match resolution. Additional allelic information may be at both entered and non-entered loci, excluding sex determining markers.

5.1.4.1.4. Partial Locus Indicator: May be selected for each locus entered. Indicates the potential for missing allelic information at that locus. If any locus is designated as a partial locus, the Partial Profile field will be set to “Yes”.

5.1.4.1.5. Required Allele: Alleles in a profile that are required to generate a match. The symbol “+” may be entered alongside alleles in a profile that are required to generate a match. Each locus may have only one allele marked as required.

5.1.5. Match Estimation Calculation

5.1.5.1. This calculation estimates the expected number of matches should the profile be searched against a
database containing a specified number of single source samples

5.1.5.2. **NDIS Profiles:**

5.1.5.2.1. MME or MRE is calculated at the time of entry and provided on the *SDIS Specimen Details Report*

5.1.5.2.2. MME or MRE can also be calculated using the Match Estimation tool in the CODIS software and is displayed as the “Average Inverse MRE” on the *Match-Estimation Report*. NDIS MME or MRE calculations should use the following criteria:

- 5.1.5.2.2.1. Only data from the original core CODIS loci should be entered
- 5.1.5.2.2.2. For MME, moderate search stringency set for all loci
- 5.1.5.2.2.3. For MRE, high or moderate search stringency selected for each locus as applicable
- 5.1.5.2.2.4. Database specimen count set to 10,000,000
- 5.1.5.2.2.5. Number of loci allowed to miss set to “0”

5.1.5.3. **SDIS Profiles:**

5.1.5.3.1. SDIS MME can only be calculated using the Match Estimation tool and is displayed as the “Average Inverse MRE” on the *Match-Estimation Report*. The match estimation report should indicate the average number of matches ≤1 to be eligible for SDIS entry. SDIS MME calculations should use the following criteria:

- 5.1.5.3.1.1. Only data from the original core CODIS loci along with D2S1338 and D19S433 should be entered
- 5.1.5.3.1.2. Moderate search stringency set for all loci.
5.1.5.3.1.3. Database specimen count set to 5,000

5.1.5.3.1.4. Number of loci allowed to miss set to “1”

5.1.5.3.2. When an average number of matches of approximately 2 is indicated, consult with the State CODIS Administrator

5.1.6. CODIS Entry Case Documentation

5.1.6.1. An *FBU Database Entry Form for In-house Cases* will be included in the case file documenting the following, as applicable:

5.1.6.1.1. Profile(s) considered suitable for entry into CODIS

5.1.6.1.1.1. Profiles will be derived using the associated electropherograms and STRmix reports

5.1.6.1.1.2. For profiles entered under the Forensic Targeted specimen category, loci with one or two alleles that are not a complete genotype will be designated using the partial locus indicator

5.1.6.1.2. The entry, searching and review of profiles in the FBU Quality Assurance DNA Database. See *Use and Maintenance of the FBU Quality Assurance DNA Database* (FBQ45).

5.1.6.1.3. Prior to CODIS entry, verification that all profiles intended for CODIS have the correct DNA types, correct specimen category and are eligible

5.1.6.1.4. The entry of the CODIS eligible profile(s)

5.1.6.1.5. Prior to marking for NDIS upload, the review of the *SDIS Specimen Details Report* for accuracy

5.1.6.1.6. The applicable profile(s) has been marked for upload to NDIS
5.1.6.1.7. If a profile is enrolled in the DNA Index of Special Concern (DISC). DISC is discussed in more detail in a subsequent section.

5.1.6.2. *Match-Estimation Reports* will be included in the case file to support the use of the following specimen categories:

- Forensic Partial_SDIS
- Forensic Mixture_SDIS
- Forensic Targeted

5.1.6.3. *SDIS Specimen Details Reports* will be included in the case file following SDIS entry

5.1.6.4. Supporting documentation of CODIS eligibility (e.g., emails, request forms, case activity entries, crime scene reports) will be maintained electronically or in the case file

5.1.6.5. Statements regarding CODIS evaluation, entry and search of a profile will be conveyed in accordance with *FBU Report Wording* (FBS26) or *Procedures for Case Documentation and Report Writing* (LOM02).

5.1.7. DNA Index of Special Concern (DISC)

5.1.7.1. DNA profiles meeting certain criteria may be DISC enabled, allowing them to be searched against rapidly enrolled arrestee DNA profiles. DISC-enabled profiles will also be included in any routine search of Forensic Unknowns.

5.1.7.2. The criteria to DISC-enable a CODIS profile are as follows:

5.1.7.2.1. The profile must be associated with an unsolved homicide, sexual assault, kidnapping, or terrorism case

5.1.7.2.2. The source ID of the CODIS profile must be “No”

5.1.7.2.3. The profile must be assigned to the Forensic Unknown specimen category

5.1.7.3. Casework metadata (e.g., case identifier, offense, contact information) for DISC-enabled profile must be entered into CODIS

5.1.8. Administrative Removals

5.1.8.1. It is recognized that occasionally a profile that has been searched in CODIS will need to be administratively
removed (e.g., upon evaluation that the profile is not or is no longer eligible)

5.1.8.2. Administrative removal of a profile should occur after consultation with the State CODIS Administrator or Alternate(s)

5.1.8.3. Reason for profile removal will be documented electronically and/or in the case file

5.1.8.4. The SDIS Delete Summary Report will be added to the case file for documentation of the removal

5.1.8.4.1. The investigating agency will be notified if a profile is removed from CODIS. Documentation of this communication will be maintained in the FBU case file or electronically.

5.1.9. Profiles of Unidentified Human Remains, Unidentified Persons, and Missing Persons

5.1.9.1. FBU does not enter profiles into CODIS from unidentified human remains, unidentified persons (dead or alive), missing persons or relatives of missing persons

5.1.9.2. In the event FBU is contacted about the processing and entering of profiles from human remains, unidentified persons (dead or alive), missing persons or relatives of missing persons, notify the FBU Unit Manager and/or State CODIS Administrator

5.1.10. Legacy Data

5.1.10.1. Re-interpretation of legacy data may be necessary to enter a new CODIS profile or update an existing CODIS profile. See FBUQA01.

5.2. CODIS Ownership Review from Outsourced Testing

5.2.1. Criteria for Ownership Review

5.2.1.1. FBU may accept outsourced data for the purposes of searching in CODIS. See FBUQA01 for the criteria that must be met prior to the initiation of analysis by the vendor laboratory.

5.2.1.2. For rare instances where FBU is requested to take ownership and no outsourcing agreement exists between either the law enforcement agency, the vendor laboratory
or FBU, the Technical Leader shall document the following prior to acceptance of ownership of product(s) of forensic DNA analyses from the vendor laboratory:

5.2.1.2.1. Approval of the State CODIS Administrator and written permission from the NDIS Custodian for any scenario that involves CODIS entry or searching

5.2.1.2.2. Approval of the technical specifications of testing; and

5.2.1.2.3. The review of an on-site visit of the vendor laboratory. The on-site visit shall have been within 18 months of the conducted analysis.

5.2.1.3. The ownership review will be performed by a reviewer employed by or under contract with DFS who is qualified in the technology, platform and typing test kit used to generate the data and participates in the FBU proficiency testing program

5.2.1.3.1. Proficiency testing for contract employees may be administered by another NDIS participating laboratory. The Technical Leader shall document the review and approval for acceptance of these proficiency tests.

5.2.2. Elements of Ownership Review

5.2.2.1. To determine whether an ownership review is required, cases that have been outsourced to vendor laboratories shall be evaluated by a CODIS user for CODIS eligibility of any DNA profiles generated

5.2.2.1.1. Documentation of this evaluation may be maintained electronically and/or in the case file

5.2.2.1.2. FBU will take ownership of outsourced profiles where potentially CODIS eligible profiles were identified during evaluation

5.2.2.2. Prior to entry of a profile generated from a vendor laboratory, an ownership review will be performed and shall include the following, at a minimum:
5.2.2.2.1. A review of the DNA typing results as represented on the electropherograms

5.2.2.2.2. A review of associated analytical controls, internal size standards and allelic ladders to verify that the expected results were obtained

5.2.2.2.3. A review of the final report to verify that the results/conclusions are supported by the data

5.2.2.2.4. Verification of the CODIS profile, eligibility, and the correct specimen category

5.2.2.2.4.1. Verification of eligibility must be performed by a current CODIS user

5.2.2.3. The ownership review will be documented on the FBU Ownership Review Form and FBU Database Entry Form for Outsourced Cases. These forms will be maintained in the case file.

5.2.2.4. Following ownership review, a CODIS profile may be entered/searched in SDIS. CODIS entry documentation requirements are discussed in detail in the CODIS Entry Case Documentation section.

5.3. Database Searches

5.3.1. Autosearches of SDIS and NDIS are scheduled to be performed daily (Monday to Friday)

5.3.2. Approximately every quarter, profiles maintained at the DFS SDIS will be submitted to the FBI Laboratory for searching against Federal DNA Database Unit (FDDU) samples which include Washington, DC convicted offenders. Profiles submitted for this search must meet the following criteria:

5.3.2.1. MME $\geq$ 1.2 million

5.3.2.2. Source ID of "No"

5.3.2.3. Specimen Category of Forensic Mixture_SDIS or Forensic Partial_SDIS

5.3.3. Laboratory to Laboratory Search Requests

5.3.3.1. A manual keyboard search involves the search of a profile that does not reside in the database in which it is being searched. Generally, profiles searched in this manner are
not saved to the database and a new request must be made if the profile needs searched again in the future.

5.3.3.2. The State CODIS Administrator or Alternate(s) can request that a manual keyboard search of a profile be performed at LDIS and SDIS laboratories

5.3.3.2.1. The Laboratory to Laboratory DNA Search Request form located on the secure CODIS website must be used for this request. The form will be retained in the case file for documentation of the request.

5.3.3.2.2. Search requests should occur no more than once per year for a given profile

5.3.3.3. If a keyboard search request is submitted to FBU from another LDIS or SDIS laboratory, the State CODIS Administrator or Alternate(s) may perform a search of the submitted profile

5.3.3.3.1. The submitted profile shall satisfy the loci and MME requirements of the DFS SDIS and the submitter must certify that the profile is associated with a putative perpetrator

5.3.4. Emergency Search Requests

5.3.4.1. Under exigent circumstances, the State CODIS Administrator may perform an Emergency Upload and Search Request (EUSR) or request a manual keyboard search of a profile at NDIS if the profile meets NDIS eligibility requirements

5.3.4.1.1. A request may be made for matters of public safety if the profile must be searched before FBU’s scheduled upload of DNA data

5.3.5. International Search Requests through INTERPOL

5.3.5.1. The State CODIS Administrator or Alternate(s) will follow the Procedures for Requesting an International Search through INTERPOL that is located on the secure CODIS website

5.3.6. Familial Search

5.3.6.1. DC code § 22–4151 prohibits using DNA databases for familial searching
5.4. Match Management

5.4.1. A candidate match in CODIS may occur after any of the database search methods described previously. Upon notification of a candidate match, a CODIS user will verify the match.

5.4.1.1. To verify a match, the CODIS user will compare the DNA profiles listed on the match details report. The CODIS user shall use the available information from the case file (e.g., STRmix deconvolution, additional loci, nature of the evidence) and their experience in mixture interpretation (when applicable) to determine whether a candidate match is a no match or a verified match. A verified match means the manual comparison revealed no unexplained differences between the DNA profiles involved.

5.4.1.2. A verified match will be documented with the initials of the verifying CODIS user and the date of verification.

5.4.2. Verified matches require either hit or match confirmation depending on the specimen category of the profiles involved in the match and their source ID.

5.4.2.1. Offender/Arrestee Hit Confirmation

5.4.2.1.1. Initiated when there is a hit between a profile in a forensic specimen category with a source ID of “No” and an Offender or Arrestee profile from another laboratory.

5.4.2.1.2. The CODIS user will prepare a CODIS DNA Match Data Request form. This form will be submitted to the matching laboratory, requesting confirmation.

5.4.2.1.3. Receipt of the personally identifiable information (PII) of the Offender or Arrestee profile from the matching laboratory concludes the hit confirmation process.

5.4.2.2. Forensic Hit Confirmation

5.4.2.2.1. Initiated when there is a hit between two profiles in the forensic specimen categories irrespective of source ID. Both profiles may be from DFS or one may be from another laboratory.
5.4.2.2. For external forensic hits the CODIS user will prepare a CODIS DNA Match Data Request form. This form will be submitted to the matching laboratory, requesting confirmation.

5.4.2.2.3. For external forensic hits, the exchange of case information by both laboratories concludes the hit confirmation process.

5.4.2.3. Conviction Match Confirmation

5.4.2.3.1. Initiated when there is a match between a DFS profile in a forensic specimen category with a source ID of “Yes” and an Offender or Arrestee profile from another laboratory.

5.4.2.3.2. The CODIS user will email the matching laboratory, requesting confirmation of the name associated with their profile.

5.4.2.3.3. Receipt of the matching laboratory’s name confirmation concludes the match confirmation process.

5.4.3. Hit Notification

5.4.3.1. Following Offender/Arrestee or Forensic Hit confirmations a CODIS user will issue a CODIS Hit Notification.

5.4.3.1.1. Offender/Arrestee Hit Notifications shall inform the Submitting Law Enforcement Agency of the need for a legally obtained reference sample from the Offender/Arrestee.

5.4.3.1.2. For Offender/Arrestee Hit Notifications, distribution shall occur within 14 calendar days of receipt of the PII from the matching laboratory.

5.4.3.1.2.1. The notification cannot be released until after the FBU Report of Examination has been distributed.

5.4.3.1.3. For Forensic Hit Notifications, FBU will make a good faith effort to distribute the notification within 30 calendar days of receipt of the case information from the matching laboratory.
5.4.4. If a CODIS hit occurs and there is insufficient information to support CODIS eligibility, the profile will be removed from CODIS. The associated hit, once confirmed, may be released at the discretion of the State CODIS Administrator.

5.4.5. Confirmed hits and matches will be dispositioned in CODIS in accordance with NDIS policies and procedures. Source ID may be updated, when appropriate.

5.4.5.1. If a CODIS Hit Notification is prepared, dispositioning shall occur no later than 10 calendar days from distribution of the notification.

5.4.6. Hit and Match Documentation

5.4.6.1. The following (where applicable) will be maintained in the FBU case file(s) for confirmed hits and matches:

   5.4.6.1.1. Match Details Report
   5.4.6.1.2. Match Data Request Form(s)
   5.4.6.1.3. Electronic communication during the confirmation process
   5.4.6.1.4. Offender/Arrestee letters or case information letters received from matching laboratories
   5.4.6.1.5. CODIS Hit Notification

5.4.7. Hit Follow Up

5.4.7.1. After distribution of a CODIS Hit Notification or Unsolicited DNA Index of Special Concern Notification (UDN), the hit information will be captured in the CODIS match excel workbook

   5.4.7.1.1. The workbook will be routinely updated to reflect the most current case status information
   5.4.7.1.2. The workbook will be distributed to authorized law enforcement Command Staff and Investigators in conjunction with the interagency CODIS meeting

   5.4.7.2. Following the issuance of a UDN, the submitting investigative agency will be contacted to confirm receipt within three (3) business days. Documentation of this follow up will be maintained in the FBU case file and/or electronically.

5.4.8. Emergency Release of CODIS Hit Information
5.4.8.1. In exigent circumstances surrounding high priority public safety cases, it may be necessary to provide immediate release of CODIS hit information. In these circumstances, the State CODIS Administrator or designee may provide the investigating agency the CODIS letter FBU received directly from the NDIS participating laboratory.

5.4.9. DISC-enabled profiles that hit to an Arrestee at the time of booking do not require match verification, hit confirmation, or a CODIS Hit Notification. The submitting law enforcement investigative agencies will receive a UDN at the time of the hit.

5.5. NDIS CODIS statistics submitted by FBU

5.5.1. Submitting hit statistics is a requirement for participation in NDIS. These statistics are used to track the effectiveness of the CODIS program by the successes of the participating laboratories nationwide.

5.5.1.1. The primary metric tracked by the FBI is investigations aided (IA). This is the number of crimes in which CODIS provided assistance.

5.5.1.2. The secondary metric that is tracked is the number of forensic hits generated by CODIS, both within SDIS (FH_S) and at NDIS (FH_N).

5.5.2. Hit statistics will be counted in accordance with the NDIS policies and procedures. These statistics will be totaled and reported to the FBI’s CODIS Unit monthly.

5.6. Security and Backups

5.6.1. Physical Security

5.6.1.1. The CODIS server and workstation are located at DFS in a secure physical location (CODIS room, #3265) restricted to authorized personnel via security badge access.

5.6.1.2. The CJIS-SEN/WAN equipment provided by the FBI is located at DFS in a secure physical location (Telecom room, #3011) restricted to authorized personnel via security badge access.

5.6.1.3. Unauthorized individuals (e.g., maintenance, repair or IT personnel) needing access to the CODIS room will be escorted at all times.

5.6.2. CODIS server and workstation computer security
5.6.2.1. Login access to the CODIS computers is restricted to authorized CODIS Users and CODIS IT Users

5.6.2.2. The CODIS computers are not maintained on the DFS network and do not have access to the internet

5.6.2.3. CODIS Users and CODIS IT Users shall log off or lock the screen of the CODIS computers when leaving the CODIS room

5.6.2.4. The screen lock on the CODIS computers will enable after ten (10) minutes of non-use

5.6.2.5. CODIS Users and CODIS IT Users will be prompted to change their password a minimum of every three (3) months

5.6.3. CODIS Backups

5.6.3.1. The CODIS folder and SQL database shall be backed up a minimum of once per week. The backup files shall be encrypted.

5.6.3.2. At a minimum of once per month, a copy of the encrypted backup files shall be transferred to the MPD Criminal Investigations Division (CID) Commander or designee for storage in a lockbox located in the CID safe on the 3rd floor of the Metropolitan Police Department Headquarters. This is only accessible to authorized personnel to include the MPD CID Commander. These files shall be maintained for a minimum of 6 months and are periodically disposed of by the State CODIS Administrator or Alternate(s).

5.6.3.3. Documentation of the off-site transfer is maintained in the CODIS folder on the DFS network

5.6.4. CODIS Software Updates/Upgrades

5.6.4.1. FBU does not utilize the PopStats module of the CODIS software for statistical reporting. FBI-provided upgrades or updates require, at a minimum, a functional test. Functional tests will be reviewed and approved by the Technical Leader prior to implementation.

5.6.4.2. Functional Tests

5.6.4.2.1. If a post-installation checklist is provided by the FBI for an upgrade or update to the CODIS software, this will serve as the functional test
5.6.4.2.2. If a post-installation checklist is not provided by the FBI for an upgrade or update to the CODIS software, the following CODIS software modules will be opened to confirm functionality and documented on the FBU Computer Software Evaluation Form:

5.6.4.2.2.1. Message Center → refresh to ensure it can send and receive messages

5.6.4.2.2.2. Specimen Manager → open a specimen to ensure specimen details can be accessed

5.6.4.2.2.3. Match Manager → open a match to ensure match details can be accessed

5.6.4.2.2.4. STR Data Entry → open the module to ensure no error occurs

5.6.4.2.2.5. Autosearcher → open the module to ensure no error occurs

5.6.4.2.2.6. Match Estimation tool
→ open the tool and enter the profile for DNA Control (007) at the original core CODIS loci, D19S433 and D2S1338
→ set the Database Specimen Count to 10,000,000
→ ensure the Average Inverse MRE is calculated to be 3,266,600,000,000

6. Documentation

6.1. FBU Database Entry Form for In-house Cases
6.2. FBU Database Entry Form for Outsourced Cases
6.3. Match-Estimation Report
6.4. SDIS Specimen Details Report
6.5. SDIS Delete Summary Report
6.6. CODIS DNA Match Data Request
6.7. Laboratory to Laboratory DNA Search Request
6.8. CODIS Hit Notification
6.9. CODIS Entry Notification
6.10. CODIS Evaluation Notification
6.11. FBU Ownership Review Form
6.12. FBU Computer Software Evaluation

7. **References**

7.1. DNA Analysis Backlog Elimination Act of 2000
7.2. Forensic Biology Unit Quality Assurance Manual (FBUQA01)
7.3. FBU Report Wording (FBS26)
7.4. Use and Maintenance of the FBU Quality Assurance DNA Database (FBQ45)
7.5. Procedures for Case Documentation and Report Writing (LOM02)
7.6. NDIS Operational Procedures Manual
7.7. NDIS Security Requirements Procedures
7.8. DC Code § 22–4151. Qualifying Offenses – Chapter 41B. DNA Sample Collection