Procedure for Sample Accessioning and Processing

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

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

3.0 Definitions – See Section Definitions List

4.0 Equipment

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

5.0 Procedures

5.1 Documentation

5.1.1 Corrections to collection cards shall be made with a single strike through of the record and shall be initialed and dated.

5.1.2 Any additional information added to the collection card shall also be initialed and dated.

5.1.3 Any typed notes added to a specimen record in SpecMan shall be initialed and dated. Comments are not required for attachments that are scans of documents from the agency.

5.1.4 Any telephone call made to the submitting agency to obtain information about a sample shall be documented in the notes section of the specimen record. At a minimum, the following shall be included: the name of the individual and agency, the date of call, and a summary of the conversation. The note shall be initialed and dated by the individual making the call.

5.2 Aseptic Technique and Contamination Control

5.2.1 See the DNA Database Procedure for Sample Processing Quality Control.

5.3 Sample Origin

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

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

5.4 Receipt of Database Samples

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

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

5.5 Retrieval of Samples

5.5.1 Samples shall be retrieved from the Evidence Control Unit at least once daily.

5.5.2 Blood samples from DPS/Division of Adult Correction may be accompanied by a DNA Database Sample Inventory Form.

5.5.3 All liquid blood samples (along with corresponding inventory sheets) shall be stored and refrigerated until ready to be stained. Buccal samples shall be stored at room temperature until ready to be processed.

5.6 Sample Security and Storage

5.6.1 All work products shall be stored as stated in the applicable DNA Database Section procedures.

5.6.2 Samples shall be maintained in a secure area at all times. When being analyzed, samples shall remain in the care and custody of the DNA Database employees working the samples.

5.6.3 DNA Database employees shall lock the mobile storage systems containing arrestee and offender samples when not in use.

5.7 Accessioning Buccal Samples

5.7.1 Open the DNA sample submission packet and remove the collection card and collector (still within its paper pouch). Samples received with substantial issues (e.g., no card present) shall be processed as described in the "Accessioning Samples Requiring Rejection" section of this procedure. Samples that can be accessioned but that require additional information shall continue through this portion of the procedure. Scan the front and back of the collection card. Save the file as a .pdf with the specimen number as the file name.

5.7.2 Initial and date the card in box 2 near the barcode label.

5.7.3 Search to see if a "New – Pending Receipt" record is available. If so, verify that the information in the specimen record is the same as on the collection card. Verify that the qualifying event on the card is the same as the qualifying event listed in the record. Scan the collector's white transport pouch barcode into the envelope barcode # field, scan the collection card specimen barcode into the card barcode # field, and scan the collector barcode into the specimen number field. Record sample receipt information.

5.7.4 If no "New – Pending Receipt" record is available, create a new record. Then scan the collector's white transport pouch barcode into the envelope barcode # field, scan the collection card specimen barcode into the card barcode # field, and scan the collector

barcode into the specimen number field. Record sample receipt information. Enter the data from the collection card.

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

5.7.5 Attach the scanned collection card in the notes of the specimen record. Ensure file size is sufficient for proper resolution. When uploading the scanned collection card, do not enter a date and initials to the note. If a note is needed regarding the condition of the sample, add a note to the specimen record and initial and date. Any additional documentation received from the submitting agency shall be scanned, saved as a .pdf, and attached in the notes of the specimen record.

5.7.5.1 An associated print card (generated from the agency during arrest) may be accepted in lieu of thumbprints on the DNA Database Collection Card. If the fingerprints are not present, the sample is still acceptable and shall be tested.

5.7.6 For samples with missing information, proceed to the "Accessioning Samples with Missing Information" section of this procedure.

5.7.7 For samples with no missing information, update the sample status to "Received." Proceed to the "Viewing the Person-Donor Duplicate Report" section of this procedure.

5.8 Accessioning Blood Samples

5.8.1 Open the DNA sample submission packet and remove the collection card and blood tube. Samples received with substantial issues (e.g., no card present) shall be processed as described in the "Accessioning Samples Requiring Rejection" section of this procedure. Samples that can be accessioned but that require additional information shall continue through this portion of the procedure.

5.8.2 Inspect the card to ensure that it is filled out correctly and inspect the blood tube to ensure that the proper information is included. Compare information on the card, blood tube, and inventory form from correctional institutions to verify that the information on the sample and card are consistent. The blood tube must be a purple top tube and must contain the person's name. If other identifiers are present (e.g., Social Security Number (SSN), State Identification Number (SID)), these shall be verified as well.

5.8.2.1 For samples from correctional institutions, if all the sample information that appears on the inventory form is correct, initial/date the top of the form and place the form in a storage location within the DNA Database Section.

5.8.2.2 If the inventory form needs a correction(s), contact the submitting agency and correct the inventory form based on the information obtained. Initial/date any information added to the form. Once corrected, place the form in a storage location within the DNA Database Section.

5.8.3 For alternate blood draws (e.g., a fingerstick, in which a stain is received versus liquid blood), the S&S paper (or equivalent) or the sample container must contain the donor's name. If other identifiers are present (e.g., Social Security Number (SSN), State Identification Number (SID)), these shall be verified as well.

5.8.4 A card may be flagged to note minor discrepancies between the identifiers on the blood tube and card (e.g., the spelling of the first/last name or a one-digit difference in the DOB or SSN). The disposition of the sample shall be resolved during the eligibility verification process.

5.8.5 If there are major discrepancies (e.g., name does not match, wrong secondary identifier) between the identifiers on the blood tube and card or if any pertinent information does not match, proceed to the "Accessioning Samples Requiring Rejection" section of this procedure.

5.8.6 Choose the next available specimen number on the preprinted barcode label roll.

5.8.7 Scan the front and back of the collection card. Save the file as a .pdf with the specimen number as the file name.

5.8.8 Retrieve a clean weigh boat and a new piece of filter paper.

5.8.9 Affix one copy of a preprinted specimen number barcode label to the top of the filter paper. Initial and date the filter paper.

5.8.10 Affix the second copy of the preprinted specimen number barcode label with the same specimen number to the area indicated for the NCSCL barcode on the collection card. Initial and date the card beside the barcode.

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

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

5.8.12 Attach the scanned collection card in the notes of the specimen record. Ensure file size is sufficient for proper resolution.

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

5.8.14 Once the sample is accessioned, use the "Run Reports" menu to print a blood envelope label for the sample. Affix the label to a multi-barrier pouch.

5.8.15 The filter paper and blood tube shall remain in the weigh boat and be transported with the multi-barrier pouch to the designated area for staining.

5.8.16 For samples with missing information, proceed to the "Accessioning Samples with Missing Information" section of this procedure.

5.8.17 For samples with no missing information, update the sample status to "Received." Proceed to the "Viewing of the Person-Donor Duplicate Report" section of this procedure.

5.9 Accessioning Samples with Missing Information

5.9.1 If the card is missing required information (e.g., date of birth, race, gender, card preparation date, arrest/conviction date) or there are no offenses listed on the card, attempt to obtain the information from any additional documentation received with the sample. Additionally, an attempt may be made to obtain the information from DPS/Division of Adult Correction or another law enforcement database. Enter the information from the law enforcement database into the notes of the specimen record and update the collection card.

NOTE: Do not obtain arrest/conviction date solely using the DPS/Division of Adult Correction website. If the card prepared date or the card prepared by information is missing from the card, the sample sealed by date and/or signature located on the back of the white transport pouch may be used. A note shall be made in the specimen record if the sample collection information is used in lieu of the card prepared information.

5.9.2 If the information is not found or card is missing required information that cannot be obtained from a law enforcement database or no offense(s) is listed on the card, select "Received-Pending Request for Missing Information" as the specimen status and save the record.

5.9.3 Once the sample is in a status of "Received – Pending Request for Missing Information," contact the submitting agency by using the Fax Requesting Missing Information report or a telephone call. If a fax is sent, attach the scanned fax as a note in the specimen record. If a telephone call is made, record the conversation as a note in the specimen record. In lieu of contacting the agency, employees designated to perform Secondary Verification may access a law enforcement database to obtain certain information (e.g., DOB, sex, and race), update the record and proceed with verifying the eligibility.

5.9.4 Change the specimen status to "Received – Awaiting Missing Information Response." Once the missing information has been received and documented in SpecMan, change the specimen status to "Received." If the sample is being rejected, continue with Rejection Processing.

5.9.5 If the information is found, update the sample status to "Received" and proceed to the "Viewing of the Person-Donor Duplicate Report" section of this procedure.

5.10 Accessioning Samples Requiring Rejection

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

5.10.2 Buccal samples shall not be accepted if the collector/white transport pouch/mailing envelope is damaged, the outer mailing envelope is unsealed, the sample appears to have

been tampered with, the card/collector/white transport pouch is missing, or the card is not filled out. If the three barcodes do not match for a buccal sample or if one of the three barcodes is missing, the sample shall be rejected. In the event the three barcodes are not concordant, the barcode provided on the cheek cell collector shall be used to populate all required fields in SpecMan.

5.10.2.1 Select the rejection reason(s) for the sample and add a note to the notes section of the specimen record specifying the reason(s) for the rejection. Place a red dot on the top of the card (indicating that the sample shall be set aside for "Rejection Processing" after accessioning is complete.)

5.10.2.2 In the event that a barcode is missing, the specimen number shall be hand-written in the appropriate place to ensure that the item can be associated with the correct specimen record.

5.10.3 Blood samples shall not be accepted if the card is missing, the sample appears to have been tampered with, or the wrong type of card is received. If there are major discrepancies (e.g., name does not match, wrong secondary identifier) between the identifiers on the blood tube and card or if any pertinent information does not match, the sample shall not be accepted. If the amount or quality of blood is insufficient for testing, the sample shall not be accepted.

5.10.3.1 Select the rejection reason(s) for the sample and add a note to the notes section of the specimen record specifying the reason(s) for the rejection. Place a red dot on the top of the card (indicating that the sample shall be set aside for "Rejection Processing" after accessioning is complete.)

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

5.11 Resubmissions

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

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

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

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

5.11.2 If a resubmission letter was not included with the sample, search for the sample by scanning the electronic fingerprint number (EFN) barcode, if available, on the collection card.

5.11.2.1 If the corresponding specimen record in "New – Pending Receipt" status is found, open the record and receive the newly received specimen.

5.11.2.2 If the specimen record is not found using the EFN barcode, other identifiers are available for searching prior to creating a new specimen record.

5.11.2.3 If the specimen record is not found, create a new specimen record.

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

5.12 Blood Sample Staining

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

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

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

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

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

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

5.12.6 The weigh boats (each containing a bloodstain) shall remain in the biosafety hood to dry overnight. The labeled multi-barrier pouch shall remain with the bloodstain while drying.

5.12.7 Once dry, place the bloodstain inside the labeled multi-barrier pouch. Discard the weigh boat.

5.12.8 Using a paperclip, attach the filled pouch to the sample collection card.

5.13 Rejection Processing

5.13.1 Review the status and rejection reasons for the sample.

5.13.2 If the sample is in a status of "Received – Pending Request for Missing Information," contact the submitting agency by using the Fax Requesting Missing Information report or a telephone call. If a fax is sent, attach the scanned fax as a note in the specimen record. If a telephone call is made, record the conversation as a note in the specimen record. In lieu of contacting the agency, employees designated to perform Secondary Verification may access a law enforcement database to obtain certain information (e.g., DOB, sex, and race), update the record and proceed with verifying the eligibility.

5.13.2.1 Change the specimen status to "Received – Awaiting Missing Information Response." Once the missing information has been received and documented in SpecMan, change the specimen status to "Received." If the sample is being rejected, continue with Rejection Processing.

5.13.3 For any other sample status, follow procedures outlined in the "Viewing Person Donor Duplicate Report" portion of this document.

5.13.4 If the sample does not need to be resubmitted because there is an acceptable sample on file, verify the duplicate as outlined in the Duplicate Processing section of this procedure**.** The sample will remain in the current status and shall be set aside until it is ready for storage or destruction. Proceed to the "Rejected Sample Agency Notification and Destruction of Rejected Samples" section of this procedure.

5.13.5 If the sample was rejected because no complete profile was obtained or a mixed profile was obtained and another potential duplicate sample has been located and may be analyzed in its place using the Person-Donor Duplicate Report, assign the potential duplicate sample to a regular batch for analysis using the "Analysis Batch Assignment" section. The sample shall be stored until it is ready for destruction.

5.13.6 If the sample needs to be resubmitted and does not have an acceptable sample on file, verify eligibility following procedures outlined in the "Eligibility Verification" section of this procedure.

5.13.6.1 If the sample is ineligible due to no qualifying event, ensure rejection reasons are correct for the sample. Verify that the status is "Rejected – Pending Return." Proceed to the Rejected Sample Agency Notification and Destruction of Rejected Samples section of this procedure.

5.13.6.2 If the sample is being rejected but the qualifying event is eligible, a resubmission request is required.

5.13.6.2.1 If a resubmission is being requested from another agency, enter additional resubmission contact information.

5.13.6.2.2 Change the resubmission option to "yes." Save specimen record, but do not close it. SpecMan automatically creates a new specimen record for the resubmission in a status of "Resubmit–Pending Receipt." If the sample has a red dot (rejection reason indicating that the sample cannot be accepted (e.g., no qualifying event, no barcode

on collection card, broken blood tube, improper identifiers, damaged), ensure the sample status is "Rejected-Pending Return."

5.13.6.2.3 Generate the rejection/resubmission letter for the sample from the Reports menu on the sample form. Save and print the letter(s). If a separate resubmission agency, as opposed to the original submitting agency, was selected for the sample, a rejection letter prints for the original submission agency, while a resubmission request letter prints for the specified resubmission agency. Attach the saved letter as a note in the specimen record. NOTE: If a rejection/resubmission letter(s) for the sample is/are generated offline using MS Word, ensure that the letter(s) is/are addressed to the correct agency/agencies and is/are formatted correctly. Print the letter(s) on letterhead. Attach a .pdf copy of the letter(s) as a note in the specimen record.

5.13.6.2.4 If the sample has a red dot, proceed to the Rejected Sample Agency Notification and Destruction of Rejected Samples" section of this procedure.

5.14 Rejected Sample Agency Notification and Destruction of Rejected Samples

5.14.1 A rejection/resubmission letter regarding each sample in "Rejected – Pending Return" status requiring a resubmission or rejected for no qualifying offense shall be sent to the submitting agency by completing the following:

5.14.1.1 Generate a rejection letter as described in the Rejection Processing section of this procedure (if not already completed).

5.14.2 Place the printed letter in a mailing envelope addressed to the submitting agency. Change the specimen status to "Rejected – Returned to Agency."

5.14.3 After mailing the rejection letter, change the status of the record to "Rejected – Destroyed."

5.14.4 The sample will be placed in the biohazard waste to be incinerated and the DNA Database Collection Card will be destroyed.

5.14.5 If the Forensic Scientist Manager or designee determines that the sample shall be retained and not destroyed (e.g., sample without submitting agency information), change the specimen status to "Rejected – Pending Storage" before generation of the rejection letter (if applicable) and store the sample in the following manner:

5.14.5.1 Each sample in "Rejected – Pending Storage" status shall be assigned to a rejection storage batch of the appropriate batch type (blood or buccal). A rejection storage batch is defined as a HRB or HRS batch prefix (held rejected blood and held rejected swab, respectively). If an open batch of this type is not available, create a new one and print the batch label before beginning.

5.14.5.2 Print labels and label the sample as described in the Regular Batches section of

this procedure.

5.14.5.3 Change the specimen status to "Stored – Rejected." Once the batch is full, change the batch status to "Stored – Rejected." Place the batch in a storage location within the DNA Database Section.

5.15 Viewing the Person-Donor Duplicate Report

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

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

5.15.2.1 When accessioning, the Person Donor Duplicate Report is added to the specimen notes section in SpecMan as a .pdf when the status is changed to "Received."

NOTE: The Forensic Scientist Manager or designee shall be notified of any potential matching expunction requests for arrestee samples. The Forensic Scientist Manager or designee shall determine whether this sample shall be expunged or processed.

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

5.15.2.3 If potential duplicates are listed for the current sample, follow the procedures outline in the "Duplicate Processing" section of this procedure.

5.15.2.4 For any acceptable in-process samples or samples that are missing required information, if a listed potential duplicate is past the point of eligibility verification, analysis batch assignment, or is in a status of "Stored – Entered in CODIS," write the sample number of the potential duplicate sample on the card of the current sample and change the status of the current sample to "Duplicate-Pending Verification" and set aside for duplicate processing.

5.15.2.5 If the current sample is undergoing rejection processing, set the sample aside for eligibility verification and proceed to the Rejection Processing section of this procedure if one of the following is correct:

5.15.2.5.1 No potential duplicate samples are listed for the current sample.

5.15.2.5.2 None of the potential duplicate samples have reached the point of eligibility verification, analysis batch assignment or are in a status of "Stored-Entered in CODIS."

5.15.2.6 If the current sample is undergoing rejection processing and a listed potential duplicate sample is past eligibility verification, currently assigned to an analysis batch or is in the status of "Stored-Entered in CODIS," write the sample number of the potential duplicate sample on the card of the current sample and change the status of the current sample to "Duplicate-Pending Verification" and proceed to the Duplicate Processing section of this procedure.

5.15.3 If the current sample is in "Eligibility Verified" status, from the Person-Donor Duplicate Report screen, identify any potential duplicate samples that are in the status of "New-Pending Receipt," or samples in any status with the resubmit option marked as "yes." If there are none, no action is required. For any resubmit "yes" status found, process according to the steps cited below.

5.15.3.1 For samples identified above that are in the status of "New-Pending Receipt," the following shall be completed:

5.15.3.1.1 Open each "New-Pending Receipt" record.

5.15.3.1.2 Compare the "New-Pending Receipt" record to the current sample's record and determine if they are for the same qualifying event by comparing date of qualifying event, EFN/check digit numbers (for arrestees).

5.15.3.1.2.1 If they are from the same event, change the status of the "New-Pending Receipt" record to "Closed-Submission Received Separately."

5.15.3.1.2.2 If they are not from the same event, and the "New-Pending Receipt" record is more than 60 days old, change the status of the "New-Pending Receipt" record to "Closed-Submission Not Received in Expected Timeframe." Records less than 60 days old require no action.

5.15.3.2 For samples identified above that require a resubmission, the following shall be completed:

5.15.3.2.1 For all potential duplicates with resubmit "yes" option, change the Resubmissions option under the Processing tab to "No" and save. Click on the Pending Resubmission menu tab of this specimen record. If there is a sample in this field in a "Resubmit-Pending Receipt" status, change the sample to "Closed-Resubmission Received Separately." If not, no action is required.

5.16 Eligibility Verification

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

5.16.2 The conviction/arrestee information for the sample/person as well as the identifying

information may be verified, obtained and/or updated using the following sites.

5.16.2.1 North Carolina Department of Public Safety's website (DPS) http://www.doc.state.nc.us/offenders/

NOTE: Eligibility shall not be determined based only on information from DPS/Division of Adult Correction.

5.16.2.2 Administrative Office of the Courts (AOC)

5.16.2.3 Computerized Criminal History Records (CCH)

5.16.2.4 North Carolina General Assembly Website (NCGA) http://www.ncga.state.nc.us/gascripts/Statutes/Statutes.asp

5.16.2.5 Any law enforcement database resource containing criminal record information approved by the Forensic Scientist Manager.

5.16.3 In SpecMan, ensure that the date of qualifying event (date of arrest or conviction date) provided on the collection card is entered into the specimen record. The date of qualifying event, if not indicated on a convicted offender collection card, may be located using the resources listed above. If a qualifying event date is not found, add a note to the specimen record and change the specimen status to "Secondary Verification."

5.16.4 Change the specimen status to "Pending CCH Search" and save the record, but do not close it.

5.16.5 SpecMan queries CCH and changes the specimen status to "CCH Results Pending Eval." The Database employee shall use the information from the CCH Results and the information provided on the collection card to determine whether a sample is eligible for processing under the law. If the DNA Database employee is trained to process samples in "Secondary Verification," the employee may proceed to the Secondary Verification section of this Procedure without changing the status to "Secondary Verification."

5.16.6 SpecMan queries CCH using the data entered into the specimen record in the following order, with "Date" defined as date of qualifying event:

5.16.6.1 CCH searches for convicted samples using the following hierarchy:

(a) If SID plus Date is provided, search by SID + Date.

(b) If no results are generated from (a) above and FBI Number plus Date is provided, search by FBI number + Date.

(c) If no results from (a) or (b) and Offender Number (DPS) is provided, search by Offender Number + Date.

(d) If no results from (a), (b) or (c) and Name, Race, Sex and DOB are provided, search by Name, Race, Sex and DOB.

5.16.6.2 CCH searches for arrest samples using the following hierarchy:

(a) If EFN is provided, search by EFN.

(b) If no results are generated from (a) above, and Check Digit plus Date is provided, search by Check Digit + Date.

(c) If no results from (a) or (b) above, and SID plus Date is provided, search by SID + Date.

(d) If no results from (a), (b) or (c) above, and FBI Number plus Date is provided, search by FBI number + Date.

(e) If no results from (a), (b), (c) or (d), and Name, Race, Sex and DOB are provided, search by Name, Race, Sex and DOB.

5.16.7 View the CCH Results record(s) for the sample by clicking the CCH Results tab on the left side of the specimen screen.

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

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

NOTE: SpecMan CCH results are records that result from CCH information stored in a database operated by the Criminal Information and Identification Section (CIIS) and appear as entries in the CCH Results tab on the specimen screen.

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

NOTE: CCH offenses are part of each CCH result and appear as entries in the CCH Offenses tab on the CCH results screen.

5.16.8.1 If no matching CCH results are found, non-matching offenses that are consecutive, consolidated, or concurrent with the offense provided on the card shall be verified.

5.16.8.2 If the offenses do not match and cannot be verified, add a note to the specimen record and change the specimen status to "Secondary Verification."

5.16.8.3 If the offenses do match, qualifying event eligibility is verified using several steps that take into account the following factors: date of qualifying event, G.S. number, offense description, disposition or verdict, and the specimen reason (arrestee or convicted offender). All of these steps must be taken to ensure that each sample is accepted pursuant to Article 13 of Chapter 15A of the NC General Statutes.

5.16.8.3.1 If there is not a date in the Begin DNA field for the type of sample being processed (convicted or arrested), SpecMan considers that G.S. number ineligible for convicted offender or arrestee collection, respectively. In some cases, the G.S. is eligible for collection, but the Begin DNA date is not populated. This is due to variation in how records are entered by different agencies. In these cases, the Database employee shall consult a law enforcement database to ensure that the conviction or arrest event occurred. If the event occurred, add the appropriate Begin DNA date utilizing the NCGA website and add a note to the specimen record.

5.16.8.3.2 If there is a date in the Begin DNA field for the type of sample being processed (convicted or arrested), then ensure that the date of qualifying event is on or between the respective dates in the Begin DNA and the End DNA fields. If there is no end date indicated, then SpecMan considers that collection for that G.S. has not ended.

5.16.8.3.3 The Database employee may need to consult the NCGA website when the Begin DNA date is any date other than the known collection Begin date for the G.S. associated with the offense(s) and Article 13 of Chapter 15A of the NC General Statutes.

5.16.8.3.4 For arrestees, the CCH disposition or CCH verdict fields contain values to indicate the arrest is still eligible. If the fields have references to one of the following, or any other court process or judgment used to eliminate or dismiss the arrest charge, add a note to the specimen record and change the specimen status to "Secondary Verification."

5.16.8.3.4.1 Guilty to Lesser Offense

5.16.8.3.4.2 Dismissed With Leave

5.16.8.3.4.3 Dismissed Without Leave

5.16.8.3.4.4 Dismissal by DA

5.16.8.3.4.5 Dismissed by the Court

5.16.8.3.4.6 Never Served

5.16.8.3.4.7 No Probable Cause

5.16.8.3.4.8 No True Bill

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

Verification."

5.16.8.3.5.1 Guilty

5.16.8.3.5.2 Guilty Alford Plea

5.16.8.3.5.3 Guilty to Lesser Offense

5.16.8.3.5.4 No Contest

5.16.8.3.6 For arrestees and convicted offenders, if the CCH disposition or verdict fields are blank, proceed to 5.16.10.

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

5.16.10 If the Database employee determines that the CCH Result records indicate that the sample is eligible, change the specimen status to "Eligibility Verified" and save the record. Only one CCH result returned by SpecMan may be captured and saved permanently in the specimen record. If more than one CCH result is returned, select the record that matches the information provided by the agency and was used to determine that the sample is eligible for collection. Setting the specimen status to "Eligibility Verified" results in the numerical identifiers for the sample and its donor being updated to be consistent with the CCH values. This does not cause name, SSN, date of birth, or any other descriptive information fields to be overwritten.

NOTE: The correct CCH result is selected by removing the additional CCH results from the specimen record. CCH offenses are not to be removed.

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

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

5.16.10.2 Upon changing the specimen status to "Eligibility Verified," SpecMan determines if the selected CCH Results meet statutory requirements for the sample to be processed. If not, the system automatically changes the specimen status to "Secondary Verification." If so, the sample remains in "Eligibility Verified" status.

5.16.11 If the sample remains in "Eligibility Verified" status, indicate the correct qualifying event G.S. (i.e., 14-54(a), 14-87.1, "common law") on the collection card, the source of the information, initial and date.

5.17 Secondary Verification

5.17.1 All samples in "Secondary Verification" status shall be processed by designated Database employees.

5.17.2 Open each specimen record and review the notes and the SpecMan CCH results, if any, to determine the reason for the secondary verification.

5.17.3 Run the Person Donor Duplicate Report. If a listed potential duplicate is past the point of eligibility verification, analysis batch assignment, or is in a status of "Stored – Entered in CODIS," write the sample number of the potential duplicate sample on the card of the current sample and change the status of the current sample to "Duplicate-Pending Verification" and set aside for duplicate processing.

5.17.4 Search AOC, CCH, or another law enforcement database in order to determine if a qualifying event (arrest or conviction) exists for the sample. This process uses the same decision-making process as the "Eligibility Verification" section of this procedure; however, it is performed without the assistance of SpecMan. The following factors shall be considered to ensure that all samples are accepted pursuant to Article 13 of Chapter 15A of the NC General Statutes.

5.17.4.1 Identifying information associated with the specimen (e.g., name, DOB, race, gender)

5.17.4.2 Numerical identifiers associated with the specimen (e.g., Offender Number, DPS, SID, FBI, check digit number)

5.17.4.3 Specimen reason (arrested or convicted)

5.17.4.4 Date of qualifying event (date of arrest or date of conviction)

5.17.4.5 Offense information documented on the card

5.17.4.6 Offense description and G.S. found in the query(s)

5.17.4.7 Collection begin date for the G.S. associated with the offense(s) and Article 13 of Chapter 15A of the NC General Statutes.

5.17.4.8 Court records or documentation received with the sample and attached to the specimen record

5.17.4.9 Additional notes provided by the agency on the collection card

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

5.17.5.1 Print to .pdf and attach the documentation from query(s) to the specimen record.

5.17.5.2 Add numerical identifiers obtained from the query(s) as relevant to the event on

the card to the specimen record. This shall include SID and FBI numbers, if available.

5.17.5.3 Add a note to the specimen record indicating the correct qualifying event G.S. (i.e., 14-54(a), 14-87.1, "common law"), the source of the information, initial and date.

5.17.5.4 Ensure that the correct CCH results/offenses at eligibility are entered into the specimen record.

5.17.5.5 Remove any relevant rejection reasons.

5.17.5.6 Change the specimen status to "Eligibility Verified."

5.17.5.7 Indicate the correct qualifying event G.S. (i.e., 14-54(a), 14-87.1, "common law") on the collection card, the source of the information, initial and date.

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

5.17.6.1 Print to .pdf and attach to the specimen record the documentation from at least two queries. Alternatively, the documentation may be printed as a hardcopy and retained within the DNA Database Section.

5.17.6.2 Add numerical identifiers obtained from the query as relevant to the event on the card to the specimen record. This shall include SID and FBI numbers, if available.

5.17.6.3 Add a note to the specimen record indicating the reason for rejection, the source of the information, initial and date.

5.17.6.4 Remove any existing CCH results. This ensures that the ineligible offense is documented in the notes section for secondary verifications.

5.17.6.5 Edit rejection reason(s) to ensure all relevant reasons are present.

5.17.6.6 Change the specimen status to "Rejected – Pending Return."

5.17.6.6.1 For samples rejected because the card was prepared before the date of qualifying event, and the subject has no subsequent qualifying conviction in his/her criminal history, proceed to the "Rejection Processing" section to determine if a resubmission is required.

5.17.6.6.2 For all other samples, proceed to the "Rejected Sample Agency Notification and Destruction of Rejected Samples" section.

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

employee cannot determine if the sample has a qualifying event, laboratory legal counsel provides a legal recommendation which shall be followed by the Database employee.

5.18 Analysis Batch Assignment

5.18.1 Regular Batches

5.18.1.1 Samples that reach this step shall be in a status of "Eligibility Verified."

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

5.18.1.3 To create a batch utilizing the SpecMan Import process, open the Batch Assignment Template Excel file and enter or scan the specimen numbers in the appropriate cells. For batches with less than 80 specimens, delete the entire row not containing a specimen number.

5.18.1.4 Save the Excel file as a ".csv" file.

5.18.1.5 Import the file into SpecMan. The Record Type should be set to "Batch Assignment Import."

5.18.1.6 After the specimens have been assigned a batch, run the "Batch Duplicates Report."

5.18.1.7 To remove any duplicate specimens and replace with a new specimen, go to the specimen record for the specimen to be deleted from the batch.

5.18.1.8 In the Processing tab remove the information in the "Batch", "Plate Position", and "Sequence Number" fields.

5.18.1.9 In the Admin tab delete the "Storage Envelope" number.

5.18.1.10 Save and close the record.

5.18.1.11 Add the replacement specimen using the same batch number currently in process and change the specimen status to "Stored-Pending Analysis."

5.18.1.12 Save and close the record.

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

5.18.1.14 A regular batch is defined as a COB, COS, ARB, ARS batch prefix (convicted blood, convicted buccal swab, arrested blood, arrested buccal swab, respectively). Samples in regular batches are not QC samples, rejected or duplicate samples, or confirmation samples.

5.18.1.15 To add specimens to a batch without using the SpecMan Import process, open each individual specimen record and add the batch number to the Batch field and add the appropriate sequence number to the Sequence Number field under the Processing tab. Then add the combined batch number and sequence number to the Storage Envelope field of the Admin tab. Save the specimen update. Once the batch has the correct amount of specimens assigned to it, change the batch status to "Stored - Pending Analysis."

5.18.1.16 For buccal samples, run the Storage Envelope Label report (or use the "Batch Storage Envelope Labels" report) and print the storage labels. Place one underneath the specimen number barcode on the envelope and one in the upper left hand corner of the collection card. Verify that the specimen numbers located on the envelope and collection card match. Never cover up any information on a card. If there is writing or information where the normal placement location is, place the barcode in another appropriate location.

5.18.1.17 For blood samples, run the Storage Envelope Label report (or use the "Batch Storage Envelope Labels" report) and print the storage labels. Place one label underneath the specimen number barcode on the multi-barrier pouch and one in the upper left hand corner of the collection card. Verify that the specimen numbers on the collection card and multi-barrier pouch match. Never cover up any information on a card. If there is writing or information where the normal placement location is, place the barcode in another appropriate location.

5.18.1.18 After batching is complete, the DNA collection card associated with each buccal sample shall be scanned as a .pdf and the image saved in SpecMan.

5.18.1.19 The DNA collection card associated with each blood sample shall be scanned and image saved.

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

5.18.2 Confirmation Batches

5.18.2.1 Each sample to be assigned to a confirmation batch shall be added to a batch with batch reason "Held Duplicate," the appropriate batch type (blood or buccal), and the appropriate amplification method (robotic or manual). A confirmation batch is defined as a HDB or HDS batch prefix (held duplicate blood and held duplicate swab, respectively) with the confirmation option marked as "yes." If an open batch of the appropriate type is not available, create a new one and print the batch label before beginning.

5.18.2.2 Add the batch number to the Batch field under the Processing tab and save to generate the sequence number.

5.18.2.3 Print and label the sample as described in the "Regular Batches" section of this procedure.

5.18.2.4 Change the specimen status to "Stored – Pending Confirmation."

5.18.2.5 Once the batch is full, change the batch status to "Stored – Pending Confirmation."

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

5.18.3 Other Batch Types

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

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

5.18.3.2.1 CH – Samples being confirmed as a result of a CODIS hit

5.18.3.2.2 STR – Samples being updated with additional STR loci data

5.18.3.2.3 YSTR – Samples being updated with YSTR data

5.18.3.2.4 FS – Samples being confirmed as a result of a hit from a familial search

5.19 Duplicate Processing

5.19.1 Each sample in "Duplicate – Pending Verification" Status shall be verified before it is stored or destroyed by visually comparing the information in the potential duplicate sample's specimen record (the original sample) or card with the information on the current sample's collection card or record to determine if they are from the same donor.

NOTE: For rejection processing, ensure that the original sample is acceptable and is available in the proper storage location. If the information contained within the records of the current sample and the potential duplicate sample (the original sample) is consistent, proceed to the "Rejection Processing" section.

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

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

5.19.4 If it cannot be determined that the samples are from the same donor, the current sample

shall be batched as described in the "Confirmation Batches" section of this procedure.

5.20 Storing Duplicate Samples

5.20.1 Each sample in awaiting "Duplicate –Pending Verification" status and designated to be retained in storage shall be assigned to a duplicate storage batch of the appropriate batch type (blood or buccal). A duplicate storage batch is defined as a HDB or HDS batch prefix (held duplicate blood and held duplicate swab, respectively). If an open batch of this type is not available, create a new one and print the batch label upon completion of batching.

NOTE: If the offense associated with the duplicate sample has not been verified for its eligibility, assign the sample to a storage batch with the "Non-Eligibility Verified" option marked as "Yes." Import all samples into the batch. Alternatively, the sample can be added to the batch individually as described in the "Regular Batches" section of this procedure.

5.20.2 Change the batch status to "Stored – Duplicate." Saving this batch status will generate sample sequence numbers.

5.20.3 Print labels and label the samples as described in the "Regular Batches" section of this Procedure.

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

5.21 Destruction of Duplicate Samples

5.21.1 If the Forensic Scientist Manager or designee determines that a duplicate sample shall not be retained, the sample shall be set aside for duplicate destruction batching.

5.21.2 Samples that reach this step shall be in a status of "Duplicate – Pending Verification."

5.21.3 A duplicate destruction batch is defined as a HDDB or HDDS batch prefix (held duplicate destroyed blood, or held duplicate destroyed buccal swab, respectively). Samples in duplicate destruction batches are not QC samples, rejected or confirmation samples.

5.21.4 To create the duplicate destruction batch utilizing the SpecMan import process, open the Batch Assignment Template Excel file and enter or scan the specimen numbers in the appropriate cells. For batches with less than 80 specimens, delete the entire row not containing a specimen number. Alternatively, the sample can be added to the batch individually as described in the "Regular Batches" section of this procedure.

5.21.5 Save the Excel file as a ".csv" file.

5.21.6 Import the file into SpecMan. The Record Type should be set to "Batch Assignment Import."

5.21.7 Change the status of the batch to "Stored – DUP Pending Destruction." At this point, the status of each specimen in the batch will be changed to "Stored – DUP Pending Destruction."

5.21.8 After the specimens have been assigned to the batch, run the "Batch Duplicates Report."

5.21.8.1 Ensure that the original specimen associated with the duplicate specimen is "Stored – Entered in CODIS."

5.21.8.2 To remove a sample inadvertently added to the destruction batch, go to the specimen record for the specimen to be deleted from the batch.

5.21.8.3 In the Processing tab remove the information in the "Batch," "Sequence Number" and "Plate Position" fields if present.

5.21.8.4 Save and close the record.

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

5.21.10 Change the batch status to "Duplicate - Destroyed." Changing the batch status to "Duplicate – Destroyed" will cascade down to all of the specimens.

5.22 Sealing

5.22.1 All samples shall be sealed prior to permanent storage.

5.22.2 Blood Sample Heat Sealing

5.22.2.1 Prior to sealing, each multi-barrier pouch shall receive a desiccant. Do not place the desiccant inside the coin envelope. The desiccant shall not be in contact with the blood stained S&S paper (or equivalent). Desiccants shall be alternated from the bottom portion of one pouch to the top half of the next pouch for ease in storing.

5.22.2.2 Push the coin envelope containing the bloodstain as far down in the pouch as possible. Press the power (on/off) button on the heat sealing machine. The controls shall be set to the following:

V (vacuum): 14

G (gas): 00

S (sealing): 2.0

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

5.22.3 Buccal Sample Sealing

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

5.22.3.2 Prior to placing the sample and the associated DNA collection card in a designated storage area, insert the white transport pouch into an appropriately labeled foil pouch. Add a desiccant to the foil pouch and seal it with transparent, adhesive tape.

5.22.3.2.1 To obtain a foil pouch label(s), go to the associated batch record, run the "Foil Pouch Labels for Batch" report and print the appropriate label(s).

5.23 Sample and Document Retention

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

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

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

5.24 Removal of Samples from Databank

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

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

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

6.0 Limitations – N/A

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

8.0 References

DNA Database Administrative Policy and Procedure

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

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

DNA Database Section Procedure for Sample Processing Quality Control

North Carolina Department of Cultural Resources Record Retention Schedule

State Crime Laboratory Quality Manual

Laboratory Safety Manual: Bloodborne Pathogen Compliance Program

9.0 Records

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

10.0 Attachments – N/A

Revision History		
Effective Date	Version Number	Reason
07/01/2020	11	Definitions-Moved to section definitions list; 5.16.8.3-Added disposition and verdict as factors to consider; Added 5.16.8.3.4-5.16.8.3.6; 5.17.5.2-5.17.5.2.2-Combined, Removed check digit number reference; 5.17.5.3-Removed requirement to note which numerical identifiers were added to the specimen record; 5.17.6.2-5.17.6.2.2-Combined, Removed check digit number reference; 5.17.6.3-Removed requirement to note which numerical identifiers were added to the specimen record; Added 5.18.3.2 and subsections; Records-Added DNA Database Duplicate Sample Destruction Form