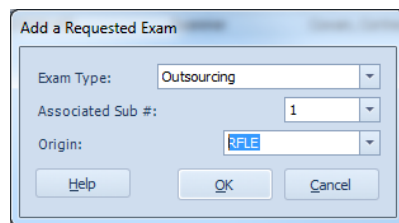1. **Testing Approval & Pre-Screening**:
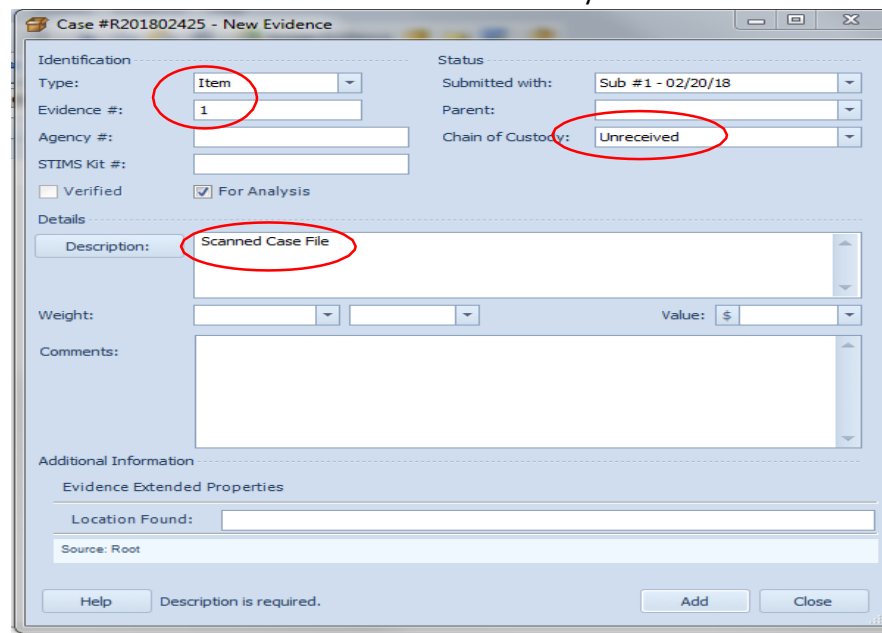   - o Cases should be entered into FA according the the "Instructions for Prescreening Data Entry" once approved for testing at a vendor lab.
   - o All case information provided on the request form should be entered into FA (to include suspect name and investigating officer, if applicable). The DA's office will be added as a CC officer.
   - o Vendor Lab Special Notice should be added to OR and published upon testing approval (*or as soon as practicable on previously approved cases*). Ensure that you are adding a Publication comment.

2. **Retrieval of Vendor Lab Data** - Navigate to "Cases Pending Technical Review" in SharePoint to retrieve data:
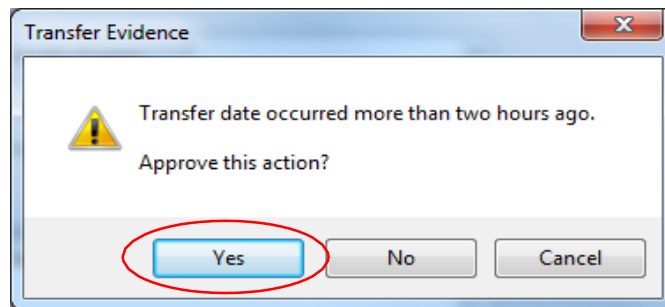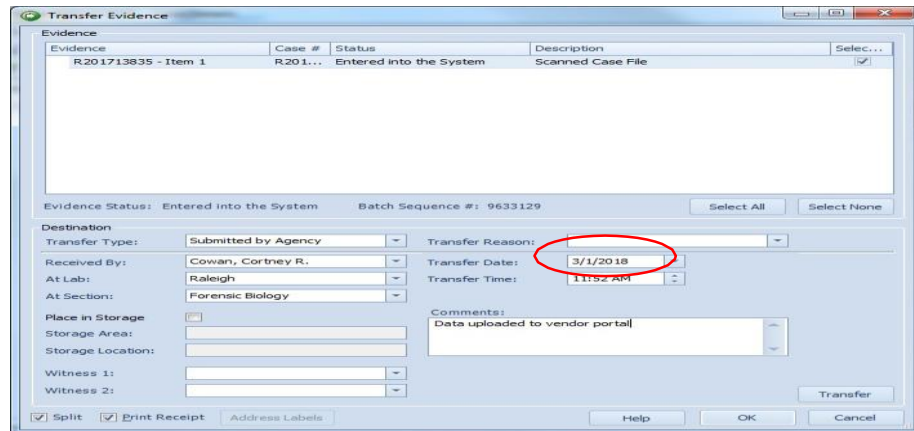   - o If not done so already, you will need to create a new case record in FA.
   - o In the case record details, ensure that the section: Forensic Biology and the priority code: 56 or 57 are selected/completed.
   - o You will then need to add a requested exam:

   - o
   - o In the Case details tab, you will need to create an item # for the case file:
     - ▪ Evidence: Evidence should remain in the **Unreceived Status** until the technical reviewer transfers the case file into their custody.

- RFLE – refer to the initial pre-screening submission for the RFLE.
  - Click Submit to complete the submission. Ensure that the appropriate files are added to the case record object repository.
  - The technical reviewer will then need to "receive" the item of evidence. **Please use the date the batch was uploaded to the portal** (See Outsourcing Request Spreadsheet). This is very important so that we can accurately track TAT metrics.

- Complete the transfer by entering in your password. The Item will then be in your Personal Custody.

3. **Review of vendor case file/bench notes**– The outsourced case will be technically reviewed solely for the purposes of CODIS entry. The purpose of this step is to independently verify the vendor's data and conclusions.
   - Since most vendor labs batch their cases, for ease of review and possible future testimony, only the paperwork associated with the sample/controls of interest will be printed (to PDF) or otherwise noted in the Case Record OR.
   - Any vendor lab generated documentation should be renamed to include the SCL Lab # in the OR file name.
   - Ensure that sensitive information in batched files (e.g. victim/suspect names not associated with the case) are redacted prior to placing in the Object Repository.

4. Print **Vendor Allele Call Table(s)** – This will also serve as a way to document the profile to be entered into CODIS and which loci/statistic would be used if/when a positive association is

made. If the vendor lab applies a reference as part of their interpretation, ensure that the reference profile is included in the review/allele call table documentation.

- o Documentation of statistical choices: In the event a standard is submitted for comparison to the CODIS eligible profile, ArmedXpert documentation or justification of statistics via allelic characteristics shall be present in the case record.

    - ▪ ArmedXpert data can be used for the documentation of statistical choices in cases where a known reference is applied during mixture interpretation. On the Allele Call Table, note "See ArmedXpert." You will need to import the GMID-X project created by the vendor into GMID-X and then create a .txt file for import into ArmedXpert. An ArmedXpert Allele Call Table, ArmedXpert Data, and ArmedXpert project file will then be included in the case record.

    - ▪ If a vendor lab mixture deduction worksheet is present, Statistical choices may be documented directly on the standalone Allele Call Table. Each locus with data shall be covered by a statistical choice and the justification for why that choice was made will be included. This information must be supported by profile characteristics, such as peak height in relation to stochastic threshold, peak height ratio, stutter position, etc. Any loci including obligates will include the combinations supported by the genetic data in the case file.

- o The limitation of future comparisons will be clearly designated on the ACT by including this statement or similar: "All future comparisons will only be made to the profile entered into CODIS, unless a reference is used in interpretation." (e.g. an indistinguishable mixture or if the foreign profile is the minor, etc. and that interpretation is documented as such.)

5. **FA Case Details/Evidence** – Create an (sub-)item number for each DNA profile to be reviewed for CODIS entry or if used by vendor lab for interpretation or comparison (e.g. a victim, consensual partner reference or suspect standard)
    - o "*DNA profile obtained from (Item) (as provided by (vendor lab name)/ case number; Item number)*"

6. **Case record details** –
    - o In the comments field, add: "SAK Outsourcing Project - <Vendor Lab Name>"
    - o Add Vendor Lab Case Number in "Note" field

7. **Main Page** -
    - o Type of Analysis – "Technical Review for CODIS Entry"
    - o list each item on the main page
    - o describe any packaging (if any)

8. **DNA results page** – In the DNA result statements text box, use the appropriate wording from the Procedure for DNA Data Acceptance from a Vendor Laboratory to indicate:
    - o **CODIS entry** – "*The DNA profile obtained from (Item) (as provided by) has been*

entered into the Combined DNA Index System (CODIS) in accordance with state and national regulations, where regular searches will be performed. Notification will be issued if there is a hit in the database or if the profile is removed from CODIS at any time in the future."

- o **No CODIS entry** – "*The DNA profile obtained from (Item) (as provided by) is not suitable for search or entry in the CODIS (Combined DNA Index System) Database.*"
- o **Assumed Contributor** – "*The DNA profile obtained from (Item) (as provided by) is an assumed contributor to this mixture.*"
- o **Comparison by Vendor Lab** – "The DNA profile obtained from _____(Item) (as provided by [vendor laboratory]) was analyzed and reported by a laboratory other than the NCSCL. Please refer to the vendor laboratory report in regards to any results and conclusions involving this item."

9. **Disposition**–
   - o Disposition should read "*No physical evidence existsfor Item(s), therefore no evidence is being returned.*"

10. **Laboratory Report** –
    - o Items submitted should reflect the specific vendor laboratory, the method of delivery and the date of receipt
    - o Change the "Results" header to "RESULTS OF EXAMINATION AND CONCLUSIONS"
    - o Remove "OF EVIDENCE" from "Disposition" header.

11. **CODIS** -
    - o If CODIS eligible, enter the DNA profile in the "Unreviewed Casework" specimen category per the Procedure for CODIS – DNA Casework.
    - o If funding for the outsourcing is tied to a particular grant or budget (e.g. SAECK, SAKI, DANY, etc.), incorporate that acronym into the Specimen ID#.
    - o Include the vendor lab case and item number in the Case ID field.
    - o CODIS Eligibility Documentation - Emails to agencies must specifically request that the appropriate elimination standards be collected and submitted, if possible.
      - ▪ Example: *Upon reviewing this case for CODIS entry, it appears as though the victim had a consensual encounter _____day(s) prior to the assault. If possible, please submit an elimination standard from this consensual partner for elimination purposes.*
      - ▪ It is not a requirement for CODIS entry that a standard actually be submitted, only that the request has been made for the agency to attempt to collect.

12. **Reviews scheduled in FA** – Once the Lab report is written and the files in the Object Repository are approved, the technical reviewer will create:
    - o Both a verification **and** combined review for cases in which a DNA profile is entered in CODIS. The combined review will be scheduled first.
    - o Only a combined review for cases with no CODIS entry.
    - o Once the combined review is approved, the technical reviewer will (if applicable):
      - ▪ Update the specimen category in CODIS and save add and updated copy of the SDIS report to the Object Repository
    - o Once the "CODIS Upload" file is added to the OR, the technical reviewer will schedule

the verification review to the combined reviewer. If the CODIS upload is accurate, to include:

- o Specimen category
- o Marked for NDIS (if applicable)
    - ▪ The verification reviewer will agree to the following comment, "*CODIS upload reviewed for accuracy.*"
- o Once all reviews are completed, publish the Case Record to include the following comment: "*Initial Publication – Sexual Assault Kit Vendor Data*"

Sorenson Object Repository	**Bode Object Repository**
Agency Email	Agency Email
Agency Email Response	Agency Email Response
Allele Call Table	Allele Call Table
ArmedXpert Allele Call Table*	ArmedXpert Allele Call Table*
ArmedXpert Data*	ArmedXpert Data*
ArmedXpert Project*	ArmedXpert Project*
CODIS	CODIS
CODIS Upload	CODIS Upload
CV (L.Name Year)	CV (L.Name Year)
Outsourcing Technical Review Checklist	Outsourcing Technical Review Checklist
R(Lab #) (Agency Case # Sorenson File #) PDF	R(Lab #) (Bode Case #) (*entire case-specific PDF as provided*)
R(Lab #) CE data (*zipped*)*	R(Lab #) Bode Case Notes
Stats Reference and Expected Results	R(Lab #) CE data (*zipped*)*
	R(Lab #) Review Forms (*Case & Core*)
	Stats Reference and Expected Results

*Required only if ArmedXpert is used in documenting statistical choices

Case Object Repository – ensure that the vendor letter is added for the appropriate lab.

Vendor Lab Special Notice (Sorenson)**

Vendor Lab Special Notice (Bode)**