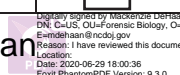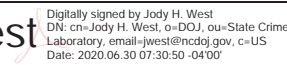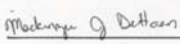# Deviation Request Form (DRF)

Directions: The Initiator will complete Sections A through C. Additional continuation pages can be included if necessary.

Initiator	Amanda Overman	**Date**	6/29/2020

A. Requested deviation applies to (Technical Procedure – include specific section):

Procedure for CODIS Reports

B. Requested deviation:

3.0 Definitions

Confirmed Match - a match where the internal match confirmation process verifies the offender/arrestee's identity and offense

5.1 In accordance with the current NDIS Operational Procedure Manual, personally identifying information can be released when a CODIS Match is confirmed.

C. Necessity for the deviation:

Updates for QAS 2020 compliance

D. Technical review and Authorization (to be completed by the Quality Manager and/or Technical Leader) Comments(to include merits and impacts):

Approved	✓	Yes		No	Duration	until next version
Signature	Mackenzie DeHaan	Digitally signed by Mackenzie DeHaan DN: C=US, OU=Forensic Biology, O=NCSCL, CN=Mackenzie DeHaan, E=mdehaan@ncdoj.gov Reason: I have reviewed this document Location: Date: 2020-06-29 18:00:36 Foxit PhantomPDF Version: 9.3.0			Date	06/29/2020

E. Quality Assurance Authorization (to be completed by the Quality Manager, Forensic Scientist Manager or designee)

Acceptable within general QA guidelines and good laboratory practice?	✓ Yes		No
Significant negative impact to Crime Laboratory Quality System?		Yes	✓ No

Restrictions/limitations:

Effective 7/1/2020

✓	Authorized		Rejected	Signature	Jody H. West	Digitally signed by Jody H. West DN: cn=Jody H. West, o=DOJ, ou=State Crime Laboratory, email=jwest@ncdoj.gov, c=US Date: 2020.06.30 07:30:50 -04'00'	Date	6-30-20

Deviation Request Form (DRF)

Directions: The Initiator will complete Sections A through C. Additional continuation pages can be included if necessary.

Initiator	Amanda Overman	**Date**	12/13/2019

A. Requested deviation applies to (Technical Procedure – include specific section):

Sections 5.1, 5.2, and 5.3 of the Procedure for CODIS Reports

B. Requested deviation:

See attached sheet

C. Necessity for the deviation:

To provide instructions for how to document the deletion or upload of a profile when additional information regarding the investigation has been obtained after the original case record has been completed

D. Technical review and Authorization (to be completed by the Quality Manager and/or Technical Leader)
Comments(to include merits and impacts):

Approved	✓	Yes		No	Duration	until next version
Signature	Mackenzie G DeHaan Digitally signed by Mackenzie DeHaan DN: cn=Mackenzie DeHaan, o=NC SCL, ou=FB, email=mdehaan@ncdoj.gov, c=US Date: 2019.12.16 08:15:03 -05'00'				Date	12/16/2019

E. Quality Assurance Authorization (to be completed by the Quality Manager, Forensic Scientist Manager or designee)

Acceptable within general QA guidelines and good laboratory practice?	✓ Yes	☐ No
Significant negative impact to Crime Laboratory Quality System?	☐ Yes	✓ No

Restrictions/limitations:

✓	Authorized	☐	Rejected	Signature	Jody H. West Digitally signed by Jody H. West DN: cn=Jody H. West, o=DOJ, ou=State Crime Laboratory, email=jwest@ncdoj.gov, c=US Date: 2019.12.16 22:04:23 -05'00'	Date	12-16-19

Form approved for use by: Timothy G. Suggs Digitally signed by Timothy G. Suggs DN: cn=Timothy G. Suggs, o=North Carolina State Crime Laboratory, ou=Quality Manager, email=tsuggs@ncdoj.gov, c=US Date: 2014.12.19 09:01:52 -05'00'

Page 1 of 1

5.1.3 CODIS Deletion/Upload Request

      5.1.3.1 A case record in FA shall be created for all CODIS Deletion or Upload Requests.

      5.1.3.2 Select "DNA CODIS Letter" for the exam type.

      5.1.3.3 Assign the evidence item entered into CODIS to the case record and worksheet.

      5.1.3.4 On the main page, select the Item from the drop down menu to populate the item description.

      5.1.3.5 Place a check mark in the box "Notification of CODIS Hit" and modify the automatically generated statement to reflect the appropriate report wording.

5.2.4 **CODIS Deletion/Upload Report Wording**

      5.2.4.1 **Deletion:**

Based upon information received from (Notifying Officer) with the (Agency) on (Date), the DNA profile from (evidence description (Item #)) has been deleted from the CODIS database and will no longer be routinely queried.

If you need further information regarding the deletion of this CODIS profile, please do not hesitate to contact Forensic Scientist (name of) or the Casework CODIS Administrator at (XXX-XXX-XXXX).

      5.2.4.2 **Upload:**

Based upon information received from (Notifying Officer) with the (Agency) on (Date), the DNA profile from (evidence description (Item #)) 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.

If you need further information regarding the upload of this CODIS profile, please do not hesitate to contact Forensic Scientist (name of) or the Casework CODIS Administrator at (XXX-XXX-XXXX).
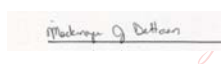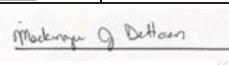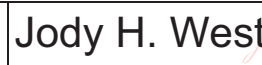
Note: Prior to a DNA profile being uploaded to CODIS, a technical review will be conducted.

5.3.3 Release/publish Deletion/Upload Request case record.

      5.3.3.1 Add "Initial Publication – CODIS Deletion/Upload Notification" as a comment for publication.

Deviation Request Form (DRF)

Directions: The Initiator will complete Sections A through C. Additional continuation pages can be included if necessary.

Initiator	Cortney Cowan	**Date**	10/11/19

A.   Requested deviation applies to (Technical Procedure – include specific section):

Procedure for CODIS Reports

B.   Requested deviation:

5.2.3 Negative One-Time Searches:

Upon a one-time search of the (_____State DNA Database (SDIS)/FBI's National DNA Index System (NDIS)), no investigative leads were obtained regarding Item _____.
- or -
A manual, one-time, search of Item _____ was requested of all State DNA CODIS-participating laboratories. Based on the responses received, there were no investigative leads obtained.

C.   Necessity for the deviation:

To allow for the reporting of a negative one-time search.

D.   Technical review and Authorization (to be completed by the Quality Manager and/or Technical Leader)
Comments(to include merits and impacts):

Digitally signed by Mackenzie DeHaan
DN: cn=Mackenzie DeHaan, o=NC SCL,
ou=FB, email=mdehaan@ncdoj.gov, c=US
Date: 2019.10.11 14:42:26 -04'00'

Approved	☑	Yes	☐	No	Duration	until next version
Signature	*Mackenzie DeHaan* Digitally signed by Mackenzie DeHaan / DN: cn=Mackenzie DeHaan, o=NC SCL, ou=FB, email=mdehaan@ncdoj.gov, c=US / Date: 2019.10.14 07:53:57 -04'00'				Date	10/14/2019

E.   Quality Assurance Authorization (to be completed by the Quality Manager, Forensic Scientist Manager or designee)

Acceptable within general QA guidelines and good laboratory practice?	☑ Yes	☐ No
Significant negative impact to Crime Laboratory Quality System?	☐ Yes	☑ No

Restrictions/limitations:

☑	Authorized	☐	Rejected	Signature	Jody H. West Digitally signed by Jody H. West / DN: cn=Jody H. West, o=DOJ, ou=State Crime Laboratory, email=jwest@ncdoj.gov, c=US / Date: 2019.10.11 16:16:22 -04'00'	Date	10/11/19

Version 3
Effective Date: 03/12/2018

Procedure for CODIS Reports
Forensic Biology Section
Issued by the Forensic Biology Forensic Scientist Manager and CODIS Administrator

Procedure for CODIS Reports

1.0 **Purpose** – To outline the steps for reporting, reviewing, and publishing CODIS Reports.

2.0 **Scope** – This procedure applies to forensic scientists who are qualified to write and review CODIS Reports.

3.0 **Definitions**

- **Arrestee Hit -** A match between an arrestee's DNA profile and the DNA profile from a forensic unknown or forensic mixture profile in an unsolved forensic case which aids the investigation.
- **Forensic Hit -** A match between a forensic unknown or forensic mixture profile in an unsolved case and a forensic unknown or forensic mixture profile from another solved or unsolved case. The match is considered a forensic hit if the match aids the investigation in some way.
- **Investigative Information -** This disposition is used as a generic category for matches that do not provide probative information and/or does not readily fit the other disposition categories.
- **Offender Hit -** A match between a convicted offender's DNA profile and the DNA profile from a forensic unknown or forensic mixture profile in an unsolved forensic case which aids the investigation.
- **Subject Information Assessment (SIA) -** An evaluation of a subject's criminal history conducted by a DNA Database Section Criminal Justice Specialist.

4.0 **Equipment, Materials, and Reagents**

- Forensic Advantage Software
- SpecMan
- CODIS software

5.0 **Procedure**

5.1 **Forensic Advantage**

5.1.1 A case record in FA shall be created for all confirmed CODIS hits.

5.1.2 Assign the evidence item entered into CODIS to the case record and worksheet.

5.1.3 On the main page, select the Item from the drop down menu to populate the item description.

5.1.4 For Case Records involving CODIS Hit notifications only, place a check mark in the box "Notification of CODIS Hit" and modify the automatically generated statement to reflect the appropriate report wording.

5.1.5 Add CV and match details report to the case record.

5.1.6 When generating the report, add a header entitled "NOTIFICATION OF CODIS HIT." Ensure the District Attorney and the Chief of Police/Sheriff are added as Carbon Copy Officers. For any SBI assisted cases, ensure that the SBI Case Agent and SBI Records are also added as Carbon Copy Officers in FA.

Procedure for CODIS Reports
Forensic Biology Section
Issued by the Forensic Biology Forensic Scientist Manager and CODIS Administrator

Version 3
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5.2 Report Writing

5.2.1 Offender/Arrestee Hits: Upon a (routine/one-time) search of the (FBI's National DNA Index System (NDIS)/ North Carolina state DNA database (SDIS)), a (high/moderate) stringency match occurred between the (mixture/partial) DNA profile obtained from _____(Item) and the DNA profile contained within the (name of state/Federal) DNA Database identified as belonging to:

Name:
DOB:
SSN:
SID:
FBI:

This information is to be used only as an investigational lead and may support probable cause to obtain a DNA standard from the above individual. Analysis in this case is not considered complete until a DNA standard has been obtained from this individual and submitted for comparison purposes.

This profile will continue to be routinely queried in the CODIS database unless you notify the NCSCL that this individual is not a subject of your investigation (e.g., a consensual sex partner or a witness)

If you need further information regarding this CODIS hit, please do not hesitate to contact Forensic Scientist (name of) or the Casework CODIS Administrator at 919-582-8860.

Note: Ensure any disclaimers present in the Subject Information Assessment (SIA) provided in SpecMan CODIS Hit record Notes section are included in the CODIS Hit Notification Report.

5.2.2 Forensic Hits/Investigative Information: Upon a (routine/one-time) search of the (FBI's National DNA Index System (NDIS)/ North Carolina state DNA database (SDIS)), a (high/moderate) stringency match occurred between the (mixture/partial) DNA profile obtained from_____ (Item) and the casework DNA profile contained within the (name of state/Federal) DNA Database with specimen ID#__. The investigator's contact information is as follows:

Agency:
Name:
Telephone:
Email:
Case#:

This information is to be used only as an investigational lead and suggests that these cases may be connected. If you need any further information regarding this CODIS hit, please do not hesitate to contact (name of Forensic Scientist) or the Casework CODIS Administrator at 919-582-8860.

5.3 Reviewing CODIS Hit Notifications

5.3.1 In-State Offenders

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Forensic Biology Section
Issued by the Forensic Biology Forensic Scientist Manager and CODIS Administrator

5.3.1.1 Technical/Administrative Review

5.3.1.1.1 Review the match detail report.

5.3.1.1.2 Verify the DNA Database CODIS hit confirmation has been completed and reviewed.

5.3.1.1.3 Review the Casework Forensic Scientist's report and the RFLE to ensure the item meets CODIS eligibility.

5.3.1.1.4 Review SpecMan details including identification information, qualifying offenses and if the individual was incarcerated at the time of the offense.

5.3.1.1.5 Review the notification report for accuracy. Ensure that all appropriate individuals are added as carbon copy officers.

5.3.2 **Out-of-State Offenders or Forensic Hits**

5.3.2.1 Technical/Administrative Review

5.3.2.1.1 Review the match detail report.

5.3.2.1.2 Look for the presence of the confirmation letter/case information from the out of state agency in the Case Record Object Repository.

5.3.2.1.3 Review Casework Forensic Scientist's report and the RFLE to ensure the item meets CODIS eligibility.

5.3.2.1.4 Ensure that a CODIS Hit record has been created in SpecMan.

5.3.2.1.5 Review the notification report for accuracy. Ensure that all appropriate individuals are added as carbon copy officers.

5.3.3 **In-State Forensic Hits**

5.3.3.1 Technical/Administrative Review

5.3.3.1.1 Review the match detail report.

5.3.3.1.2 Review Casework Forensic Scientist's report and the RFLE to ensure the item meets CODIS eligibility.

5.3.3.1.3 Review the notification report for accuracy. Ensure that all appropriate individuals are added as carbon copy officers.

5.4 **Publishing results**

5.4.1 Release/publish CODIS hit notification case record.

5.4.2 Release/publish DNA database confirmation case record.

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Forensic Biology Section
Issued by the Forensic Biology Forensic Scientist Manager and CODIS Administrator

5.4.3 Update CODIS Hit record status in SpecMan.

6.0 **Limitations-** N/A

7.0 **Safety-** N/A

8.0 **References**

DNA Database Section Procedure for CODIS Hits

Forensic Biology Section Procedure for CODIS – DNA Casework

NDIS Appendix F – NDIS acceptable definitions

9.0 Records- N/A

10.0 Attachments – N/A

Revision History		
Effective Date	Version Number	Reason
12/20/2016	1	Original Document
06/02/2017	2	Throughout document - specified requirement for creation of case records in FA; clarification on carbon copy officers; 5.2.1 - removed search warrant reference
03/12/2018	3	5.2.1 – added 'may' to probable cause statement; clarified statement that profiles will continue to be queried unless SCL is notified otherwise; 5.4.2 – updated case record reference.