



Forensic Biology Section

CODIS Match Confirmation

1. **Scope:**

Instructions for the review, verification, and dissemination of matches obtained through the State DNA Index System (SDIS) and the National DNA Index System (NDIS), collectively known as the Combined DNA Index System (CODIS). Most of these duties are performed by the State CODIS Administrator ("CODIS Admin").

2. **Requirements:**

- 2.1. All individuals involved in reading or entering data in CODIS must be entered as a "User" in the CODIS local and state systems and approved by the FBI as qualifying for CODIS access. The FBI must be notified in writing about the addition or deletion of any users. Refer to the FBI's NDIS Operational Procedures Manual for appropriate forms and fingerprint cards.
- 2.2. All NDIS Users must successfully complete the 'Annual Review of DNA Data Accepted at NDIS' online training (provided by FBI) and biannual proficiency tests.
- 2.3. CODIS Hit reports and memos must be technically and administratively reviewed prior to release.
- 2.4. In instances of urgent public safety concerns that require an immediate response, personal identification information (PII) for an individual in a CODIS Hit can be released to authorized individuals before the offender's DNA profile is confirmed.

3. **Procedural Notes:**

- 3.1. Documentation of communications and research for CODIS Hits (emails, memos, letters, communication logs, offender cards, CORIS searches, etc.) should be filed in one or more of the following locations:
 - 3.1.1. In the network drive folder J:\CODIS.
 - 3.1.2. In the casework folder.
 - 3.1.3. In the CODIS Admin's Hit Confirmation folder.
 - 3.1.4. Documentation previously stored in the LIMS Imaging Module (in older versions of JTrax) is accessed by right-clicking on the Case Info tab and choosing "Attachment Information".
- 3.2. The CODIS Admin should maintain copies of potential Local and National Matches awaiting responses from analysts or other CODIS Admins to ensure candidate matches are resolved in a timely manner.
- 3.3. The CODIS Admin will make a good faith effort to verify eligibility of candidates and contact investigators about a match's value to their investigation, but in the interest of expediency and public safety, reports should be issued even if an investigator or agent does not respond to the CODIS Admin's inquiries in a prompt manner.
- 3.4. To look up ORI numbers from Match Detail Reports and find contact information for CODIS Admins in other states, go to the secure CODIS webpage (web.codis.fbi.gov) and click on 'CODIS Administrator Contacts' in the CODIS Labs section, or go to the Analyst Work Bench on the CODIS Server.
- 3.5. An offender's offense can be researched through the Department of Correction's CORIS database, or by contacting the State Bureau of Identification or the State Prison, County Jail, or Probation Office where the sample was collected.



Forensic Biology Section

CODIS Match Confirmation

- 3.6. If CODIS Hit information is included in a General DNA Analysis report instead of a separate CODIS Hit Report, a “CODIS Hit counting” request should be created to document in LIMS that a CODIS Hit was obtained in the case. This is only a method for counting Hits and does not include a report for release that requires reviews.
4. **Setting Disposition of Potential Matches:**
 - 4.1. Approximately once a week, the local and national automatic search results should be checked in Message Manager and Match Manager. Potential matches will be set to “candidate match” by default.
 - 4.2. Using the scenarios outlined below, the Candidate Matches should be reviewed, researched, and verified as necessary. As information is gained on a match/hit, the disposition of each should be updated in Match Manager. Other NDIS labs will update their side of the disposition for National Hits.
5. **MAINE Forensic Unknown ↔ MAINE Forensic Unknown – Local Hit:**
 - 5.1. Case folders or DNA profile summaries from both cases (either scanned or original) must be acquired. Cases greater than five years old may need to be requested from State Archives.
 - 5.2. Compare the DNA profiles to confirm the potential forensic hit.
 - 5.3. If the match is confirmed, the Match Detail Report may be stored on the J:\CODIS network drive folder or in the casework folders. A copy may be kept in the Admin’s Hit Confirmation folder of match reports (electronic or hard copy).
 - 5.4. An email stating the match is confirmed will be sent to the DNA Analyst responsible for reporting the CODIS Hit. This email (or similar documentation) will be printed and placed in the case folder or on the J:\CODIS network drive folder to document the CODIS Hit has been confirmed (for Tech and Admin reviewers).
 - 5.5. The investigating agencies in both cases must be notified of the match via a DNA report or memo, each referencing the relevant Crime Lab case numbers and investigating agency case numbers.
6. **MAINE Forensic Unknown ↔ MAINE Offender - Local Hit:**
 - 6.1. Case folders or DNA profile summaries from both cases (either scanned or original) must be acquired. Cases greater than five years old may need to be requested from State Archives.
 - 6.2. Compare the DNA profiles to confirm the potential offender hit.
 - 6.3. If the match is confirmed, the Match Detail Report may be stored on the J:\CODIS network drive folder or in the casework folder. A copy may be kept in the Admin’s Hit Confirmation folder of match reports (electronic or hard copy).
 - 6.4. The offender’s offense is researched to confirm their conviction is a qualifying offense under Maine law at the time the biological sample was taken. Copies of communications or search results may be stored on the J:\CODIS network drive folder or in the casework folder.
 - 6.5. The DNA card for the offender must be re-sampled and profiled again to confirm their DNA profile unless there are duplicate offender samples from the same individual (i.e. same name, dob, etc.) and they have the same DNA profiles at the overlapping loci (which would confirm the offender’s profile).



Forensic Biology Section

CODIS Match Confirmation

- 6.6. An email stating the match is confirmed will be sent to the DNA Analyst responsible for reporting the CODIS Hit. This email (or similar documentation) will be printed and placed in the case folder or on the J:\CODIS network drive folder to document the CODIS Hit has been confirmed (for Tech and Admin reviewers).
- 6.7. Once the offender's DNA profile, identity and offense have been confirmed, a CODIS Hit report should be issued to the investigating agency, including pertinent information about the offender (e.g. name, date of birth). The report should state that another biological sample (either blood or oral swab) from the offender must be submitted to confirm their DNA profile.
7. **MAINE Forensic Unknown ↔ NDIS Forensic Unknown - National Hit:**
 - 7.1. Case folders or DNA profile summaries from the Maine case (either scanned or original) must be acquired. Cases greater than five years old may need to be requested from State Archives.
 - 7.2. Compare the DNA profiles to confirm the potential forensic hit.
 - 7.3. If the match is confirmed, the Match Detail Report may be stored on the J:\CODIS network drive folder or in the casework folder. A copy may be kept in the Admin's Hit Confirmation folder of match reports (electronic or hard copy).
 - 7.4. The CODIS Administrator (or designated contact) at the NDIS laboratory should be contacted via phone or email to obtain relevant details of their case. This should be documented by printing the email or writing a communication log for a phone call and storing them on the J:\CODIS network drive folder or in the casework folder. A copy may be kept in the Admin's Hit Confirmation folder of match reports (electronic or hard copy).
 - 7.5. An email stating the match is confirmed will be sent to the DNA Analyst responsible for reporting the CODIS Hit. This email (or similar documentation) will be printed and placed in the case folder or on the J:\CODIS network drive folder to document the CODIS Hit has been confirmed (for Tech and Admin reviewers).
 - 7.6. A CODIS Hit report describing the details of the match, including details obtained from the other corresponding NDIS laboratory, should be issued to the appropriate investigating agency in Maine as well as the State's CODIS Administrator from the state that uploaded the matching profile (or appropriate designee) who should forward it to their investigating agency.
8. **MAINE Forensic Unknown ↔ NDIS Offender/Arrestee - National Hit:**
 - 8.1. Case folders or DNA profile summaries from the Maine case (either scanned or original) must be acquired. Cases greater than five years old may need to be requested from State Archives.
 - 8.2. Compare the DNA profiles to confirm the potential forensic hit.
 - 8.3. If the match is confirmed, the Match Detail Report may be stored on the J:\CODIS network drive folder or in the casework folder. A copy may be kept in the Admin's Hit Confirmation folder of match reports (electronic or hard copy).
 - 8.4. A memo should be mailed and/or emailed to the other state's CODIS Admin requesting they confirm the DNA profile of their offender.
 - 8.5. Once the other state communicates that they've confirmed their offender's DNA profile, a CODIS Hit report should be issued to the investigating agency, including pertinent information about the



Forensic Biology Section

CODIS Match Confirmation

offender (e.g. name, date of birth, incarcerated or on probation, social security number and previous conviction information). The report should state that another biological sample (either blood or oral swab) from the offender must be submitted to confirm their DNA profile.

- 8.6. An email stating the match is confirmed will be sent to the DNA Analyst responsible for reporting the CODIS Hit. This email (or similar documentation) will be printed and placed in the case folder or on the J:\CODIS network drive folder to document the CODIS Hit has been confirmed (for Tech and Admin reviewers).
- 8.7. Once the match is confirmed with the new biological sample, a new casework report will be issued.
- 8.8. Communications from the other state should be stored on the J:\CODIS network drive folder or in the casework folder.

9. **MAINE Offender ↔ NDIS Forensic Unknown - National Hit:**

- 9.1. The CODIS Administrator from the other state needs to contact the Maine CODIS Administrator to request personal identifiers of the offender and ask Maine to confirm the offender's DNA profile. It is optional for Maine to confirm the Maine offender's DNA profile before being asked.
- 9.2. Once contacted by an outside agency, the CODIS Administrator will generate a new case number in JusticeTrax and begin a blue "Hit Confirmation" folder for the offender's confirmation.
- 9.3. The offender's offense is researched to confirm their conviction is a qualifying offense under Maine law at the time the biological sample was taken. Copies of communications or search results may be stored on the J:\CODIS network drive folder or in the casework folder.
- 9.4. The DNA card for the offender must be re-sampled and profiled again to confirm their DNA profile unless there are duplicate offender samples from the same individual (i.e. same name, dob, etc.) and they have the same DNA profiles at the overlapping loci (which would confirm the offender's profile).
- 9.5. An email stating the match is confirmed will be sent to the DNA Analyst responsible for reporting the CODIS Hit. This email (or similar documentation) will be printed and placed in the case folder or on the J:\CODIS network drive folder to document the CODIS Hit has been confirmed (for Tech and Admin reviewers).
- 9.6. Once the offender is confirmed, a memo or email will be sent to the other NDIS Lab stating the offender is confirmed and provide pertinent information about the offender (e.g. name, date of birth, incarcerated or on probation, social security number and previous conviction information). The CODIS memo and corresponding DNA analysis must be technically and administratively reviewed prior to release.

10. **Definitions:**

- 10.1. Types of matches: A "match" is when CODIS makes an association between two or more DNA profiles and a confirmation is performed by a qualified DNA analyst from each affected laboratory.
 - 10.1.1. Candidate Match (interim disposition) = a possible match between two or more DNA profiles discovered by CODIS software. A qualified DNA analyst from each affected laboratory must verify a candidate match. This is an interim disposition until the match is confirmed or refuted.



Forensic Biology Section

CODIS Match Confirmation

- 10.1.2. Pending (interim disposition) = a Candidate Match that is being confirmed by a qualified DNA analyst. Upon completion of the confirmation process, the analyst will declare or refute the Pending match.
- 10.1.3. No Match = a qualified DNA analyst has determined that a Candidate, Pending, or Waiting for More Loci Match is not a true DNA match.
- 10.1.4. Benchmark Match = CODIS identifies a match, however the laboratory has already linked the cases through the DNA profile before using CODIS (i.e. this match provides no new information to the investigation).
- 10.1.5. Conviction Match = CODIS matches a DNA profile developed from crime scene evidence to a DNA profile from an offender, but the crime from which the evidence was collected has already been solved. This match does not aid the investigation.
- 10.1.6. Investigative Information = a generic category for matches that do not readily fit the other disposition categories.
- 10.1.7. Offender Duplicate = a match between two offender profiles from the same offender that does not provide probative information.
- 10.2. Types of hits: A “hit” occurs when a confirmed or verified match aids an investigation, and one or more of the cases involved in the match was unsolved. A hit cannot be declared unless the investigating agency verifies the CODIS match adds value to their investigation.
 - 10.2.1. Forensic Hit = a match between a DNA profile from a forensic unknown in an unsolved case and a DNA profile from another forensic unknown. The match is considered a Forensic Hit if the investigators state this match assisted one or both investigations and the first confirmation that these cases were linked was the result of a CODIS match.
 - 10.2.2. Offender Hit = a match between an offender's DNA profile and the DNA profile from a forensic unknown in an unsolved forensic case and aids the investigation from the investigator's point of view, and the investigator states that they were unaware of the offender's involvement, had insufficient evidence to establish probable cause, or had not obtained a known reference standard yet. [hits to arrestees, suspects, and 'other legally collected samples' will be reported to NDIS as offender hits, but separate statistics for each of these categories should be maintained]
 - 10.2.3. Suspect Hit = a match between a forensic unknown in an unsolved case and a suspect known reference sample not previously associated with that case. Suspect profiles are only keyboard searched in Maine; they cannot be entered into SDIS (or NDIS). [reported as an offender hit]
 - 10.2.4. Arrestee Hit = a match between an arrestee's DNA profile and the DNA profile from a forensic unknown in an unsolved forensic case. Maine does not collect arrestees or have this category, but one could be uploaded to NDIS from other states. [reported as an offender hit]
 - 10.2.5. Legal Hit = a match between a legally collected sample (other than offender, suspect or arrestee) and a DNA profile from a forensic unknown in an unsolved forensic case. Maine does not have this category, but one could be uploaded to NDIS from other states. [reported as an offender hit]



Forensic Biology Section

CODIS Match Confirmation

10.3. Other definitions:

- 10.3.1. Forensic Unknown or Forensic Sample = a biological sample originating from a crime scene that is probative and attributable to a putative perpetrator. Known reference samples are NOT forensic samples and would NOT include a suspect's DNA profile from an item in their personal possession (e.g. their underwear or a weapon taken from them) that would reasonably produce their DNA profile, which are categorized as suspect known references by NDIS.
- 10.3.2. Investigation Aided = a metric that tracks the number of criminal investigations where CODIS has added value to the investigative process.
- 10.3.3. Offender = category in NDIS which includes convicted offenders, adjudicated juveniles, arrestees, detainees, and legally collected specimens.
- 10.3.4. Qualified DNA Analyst = a DNA Analyst who has satisfied and continues to satisfy the experience, education, training, proficiency testing and continuing education requirements of the FBI Director's Quality Assurance Standards. For the purpose of match evaluation, a Qualified DNA Analyst is someone who is currently or was previously a Qualified DNA Analyst.
- 10.3.5. Source ID = a field in the CODIS software used to indicate whether or not the source of a forensic unknown or forensic mixture is known. It may also be used to indicate whether or not the source of a DNA profile from an incomplete set of unidentified human remains is known. The source ID may be known at the time of entry into CODIS or as the result of a DNA match.
- 10.3.6. Solved Case = when a person's name is linked via DNA analysis with the forensic unknown sample (the Source ID field should be set to 'Yes'). This indicator does not imply guilt or innocence and is not related to the outcome of a judicial proceeding.
- 10.3.7. Unsolved Case = an investigation in which DNA results have been developed from a forensic sample(s) but no putative perpetrator has been identified.