



**THIS FORM IS FOR BIOLOGY/DNA REPORTING ONLY**

**Quality Division Use Only**

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|--|--------------|---------------------------------------|-----------|
| Quality Tracking #:                      | 2017-NDIS-02 | Date Quality Division Notified:       | 4/13/2017 |
| Date Submitted to Management for Review: | 6/5/2017     | Date Submitted to Quality for Review: | 6/9/2017  |

|                    |           |           |                      |
|--------------------|-----------|-----------|----------------------|
| Date of Discovery: | 4/13/2017 | Division: | Biology/DNA Division |
| Date of Incident:  | 4/13/2017 | Section:  | Biology/DNA          |

| Forensic Case Number(s), if applicable: | Agency Case Number(s), if applicable: |
|---|---------------------------------------|
| N/A                                     | N/A                                   |

**In this space, record details of the incident, include dates. Do not include analysts' names unless otherwise instructed by the Section Manager or Division Director(s):**

During the HFSC NDIS Participant Assessment conducted April 11-13, 2017, two CODIS Auditors from the FBI Laboratory's CODIS Unit identified that HFSC is not fully compliant with CODIS security requirements. This is a violation of NDIS Acceptance Standard 2.6.3 which states: 2.6.3 CODIS Administrator – General Responsibilities The CODIS Administrator is the central point of contact in the laboratory for CODIS and serves as the gatekeeper for the DNA records entered into CODIS. As part of his/her gatekeeper function, the CODIS Administrator is responsible for performing, or overseeing the performance of, the following, as applicable: Compliance with CODIS security requirements

**Immediate Actions Taken:**

The laboratory has completed all Windows updates on the CODIS server and CODIS workstations. The CODIS Administrator will monitor the CODIS server and check for any Windows update notifications pushed down from the FBI's WSUS website and install the updates as received. The CODIS Administrator will send a screen shot of Windows Update screen to NDIS for approximately 2 - 3 months to demonstrate that the laboratory is following the CODIS security requirements. Additionally, a monthly CODIS checklist was created that requires the CODIS Administrator or designee to document responsibilities, such as reviewing Match Manager for dispositioned matches and match discrepancies, verifying eligibility when dispositioning candidate matches, and installing and executing Windows Server Update Services.



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**Additional Information/Follow Up (If applicable):**

This action item was identified during the 2017 NDIS Participation Assessment of the Forensic Biology laboratory. An NDIS Assessment may result in either an action item or recommendations. An action item is an item of non-compliance requiring remediation by the laboratory.

**Section Manager:** Jennifer OCallaghan

**Date:** 6/8/2017

**Technical Leader:** Robin Guidry

**Date:** 6/6/2017

**CODIS Administrator:** Cleva West

**Date:** 6/7/2017

**Division Director:** Jennifer OCallaghan

**Date:** 6/8/2017

**Quality Director:** Lori Wilson

**Date Closed:** 6/12/2017