



Quality Division Use Only

| | | | |
|------------------------|----------|-------------------|-------------------|
| Quality Tracking #: | 2022-027 | Classification: | Corrective Action |
| Non-Conformance Level: | Class II | Section: | Biology/DNA |
| Date of Discovery: | 02/22/22 | Date of Incident: | 12/20/19 |

| | |
|---|---------------------------------------|
| Forensic Case Number(s), if applicable: | Agency Case Number(s), if applicable: |
| L07-6810 2019-11786 2020-13366 | 040524188 085080219 128313420 |

Description of Non-conformance:
On 02/22/2022, it was discovered that three CODIS profiles had been unmarked for upload. The Assistant CODIS Administrator was researching a separate case when she ran a query for all unmarked profiles and discovered that these three CODIS profiles were unmarked. Upon discovery of this issue, all three profiles were marked for upload.

Additional Information/Follow-Up:
N/A

Summary of Root Cause Analysis:
Note: Incidents are documented for tracking purposes and trend analysis. Root Cause Analysis is not required for incidents.
The casefile files and CODIS audit trails were pulled to review the specific events that occurred with each specimen ID/profile.

Specimen ID: 2019-11786.IT.5.1.1 This profile was entered using the specimen category of "Forensic Mixture" and upon the original upload the subsequent CODIS reconciliation report indicated this profile did not meet the statistical threshold for upload into the national CODIS database. At that time CODIS Unit recognized the issue and revised the specimen category to be "SDIS Forensic Mixture" and assumed the profile would be uploaded during the next scheduled upload. However upon further investigation it appears that the profile was unmarked as a result of the reconciliation report and even though the specimen category was changed, the profile was unmarked and therefore never uploaded until discovery until in February 2022.

Specimen ID: 2020-13366_E02-SF This profile was entered using the specimen category of "Forensic Partial" and upon the original upload the subsequent CODIS reconciliation report indicated this profile did not meet the



statistical threshold for upload into the national CODIS database. At that time CODIS Unit recognized the issue and revised the specimen category to be "SDIS Forensic Partial" and assumed the profile would be uploaded during the next scheduled upload. However upon further investigation it appears that the profile was unmarked as a result of the reconciliation report and even though the specimen category was changed, the profile was unmarked and therefore never uploaded until discovery until in February 2022.

Specimen ID: L076810 ITL SP According to the profile's CODIS audit trail the profile was removed from SDIS in 2016 in order to change the specimen category from "Forensic Partial" to "SDIS Forensic Partial". The profile was then marked for upload but then subsequently unmarked later the same day and therefore never uploaded to SDIS until February 2022.

Actions Taken:

The CODIS Unit routinely runs a query for unmarked profiles however these three profiles were not previously observed in their routine query. The CODIS Administrator contacted the State CODIS Administrator on 2/28/22 to try and determine if there was a more complex issue with these three profiles however they were not able to definitively conclude what occurred.

Specimen ID: 2019-11786.IT.5.1.1 This profile had a local legal hit in December 2019 and this information was provided to the investigator at the time of the hit. Since being marked for upload in February 2022 this profile had a subsequent hit to a convicted offender sample. Research into this hit indicated that the convicted offender sample was entered into the database in August 2011. The CODIS Administrator contacted the investigator to determine if there was a potential impact caused by the delayed upload. The investigator indicated that he did not believe the case was negatively impacted.

Specimen ID: 2020-13366_E02-SF Since being marked for upload in February 2022 this profile had a subsequent hit to an individual who was ultimately determined to be a consensual partner. This profile was subsequently removed from CODIS.

Specimen ID: L076810 ITL SP Since marked for upload in February 2022 there have been no subsequent hits.

Section Manager: Courtney Head

Date: 07/08/22

Division Director: Amy Castillo

Date: 07/18/22

Incidents or Corrective Actions that involve the Biology/DNA section are reviewed by the Technical Leader and CODIS Administrator.

Technical Leader: Cheron Maxwell

Date: 06/27/2022

CODIS Administrator: Jennifer Clay

Date: 06/29/2022

Quality Director: Erika Ziemak

Date Closed: 07/19/22