

Management of DNA DB Submission Information

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Management of DNA DB Submission Information

1 INTRODUCTION

The Federal DNA Database Unit uses one of three (3 methods) to capture subject (offender, arrestee or detainee) and collection data for import into the Sample Tracking and Control System for DNA Database Labs (STACS-DB): (1) Open Box optical character recognition software scan of a Request for National DNA Database Entry (FD-936) form, (2) Quick Fields and Laserfiche software to decode the 2-D barcodes on the JABS/DHS version of the FD-936, (3) Electronic data files which include the required FD-936 fields. STACS-DB a) checks if the form(s) contains all of the required information, b) checks if the submission is a duplicate of a sample previously received by the FDDU, and c) checks if the submission is a Be On the Lookout (BOLO) submission. STACS-DB modules are available to manage submissions that are Missing Information, Pending Duplicates or BOLOs, in addition to the Pending Rejects identified during Sample Check-In. STACS-DB also has modules to view submission status and information and to record and respond to FDDU Sample Status and Expedite Requests.

2 SCOPE

These procedures apply to DNA personnel who process the Request for National DNA Database Entry (FD-936) data provided electronically and/or included as an FD-936 form in Federal DNA Database Unit (FDDU) collection kits and manage sample submission and status information.

3 EQUIPMENT/MATERIALS/REAGENTS

- National Crime Information Center (NCIC), Joint Automated Booking System (JABS), and/or Sentry System (Bureau of Prisons [BOP]), Read-Only Access
- Document Scanner (Kodak i2900 Scanner or equivalent)
- Laserfiche Software (Version 10.4 or above)
- Laserfiche Quick Fields Software (Version 10.4 or above)
- OCR/ICR Software (Open Box 4.4.1 or equivalent)
- STACS™ Database (STACS-DB) Software (Sample Tracking and Control Solutions [STACS DNA Inc.] part of InVita Healthcare Technologies), version 6.9 or above

4 PROCEDURES

4.1 Processing of FD-936 Data

4.1.1 Processing FD-936 Forms with Open Box OCR/ICR Software

- A. Retrieve forms to be processed. Data entered on an FD-936 is captured and prepared for import using the Laserfiche and/or Open Box Document Capture System. Saved image(s) may be defined as a batch once scanned.

1. If necessary, utilize the Enhancement module in the Open Box software to fix any imperfections in the images. This step may be automated by the software.
 2. If necessary, utilize the AutoIndex module in the Open Box software to manually process the data. This step may be automated by the software.
- B. Use the Open Box Verification module to verify and edit the fields that were recognized by the Open Box software, as needed. Upon completion of the verification of the batch, save.
- C. Use the Open Box Export module to export the data and images obtained from Open Box. This step may be automated by the software.
- D. Using STACS-DB, select appropriate batch for the *Default TurboScan (Open Box) Directory* and *Default File Images Directory* and import the data.
- E. Review the data for each submission.
1. Make any necessary modifications in STACS-DB or the Open Box export file.
 - i. If edits are made in STACS-DB, re-validate the data and ensure appropriate corrections have been made.
 - ii. If edits are made to the file, save the edited file and close Import window in STACS-DB. Re-import the Open Box file and ensure appropriate corrections have been made.
- F. Save the data in STACS-DB.
1. If the submission is valid and contains no errors, the samples will proceed to the laboratory to be processed.
 2. If the submission is identified as any of the following, additional attention is required. Refer to the appropriate section of this document to manage the submission.
 - Missing Information
 - Pending Duplicate
 - Be On the Look Out (BOLO)
 - Pending Reject

4.1.2 Processing FD-936 Forms with Quick Fields and Laserfiche Software

- A. Retrieve forms to be processed. Data entered on an FD-936 is captured and prepared for import using the Quick Fields and Laserfiche software.

- B. Use the Quick Fields software to review the processing summary of the scanned forms and review/edit the fields flagged by the software.
- C. Use the Laserfiche software to process the data and images obtained from Quick Fields. This step may be automated by the software.
- D. Using STACS-DB, select appropriate number of submissions and import the data.
- E. Review the data for each submission.
 - 1. Make any necessary modifications in STACS-DB or Laserfiche.
 - i. If edits are made in STACS-DB, re-validate the data and ensure appropriate corrections have been made.
 - ii. If edits are made in Laserfiche, save the edited data and close Import window in STACS-DB. Re-process the Laserfiche data for the submission, re-import into STACS-DB and ensure appropriate corrections have been made.
- F. Save the data in STACS-DB.
 - 1. If the submission is valid and contains no errors, the samples will proceed to the laboratory to be processed.
 - 2. If the submission is identified as any of the following, additional attention is required. Refer to the appropriate section of this document to manage the submission.
 - Missing Information
 - Pending Duplicate
 - Be On the Look Out (BOLO)
 - Pending Reject

4.1.3 Processing FD-936 Electronic Data

- A. Retrieve the electronic data file(s) to be processed. FD-936 data fields entered into the collection agency booking system may be captured and provided in an electronic data file.
- B. Add the electronic data file(s) to the default *Electronic Data Import Directory* and import the data.
- C. Review the STACS-DB summary of the file(s) imported.

- D. If the corresponding electronic data collection kit has not been received and/or completed Sample Check In, the electronic data will be maintained in a STACS-DB worklist/staging table until the collection kit is processed.
 - 1. STACS-DB associates the electronic data to the corresponding sample when the collection device barcode(s) is scanned and the kit has completed Sample Check In.

- E. If the corresponding electronic data collection kit completed Sample Check In prior to the import of the electronic data, the check in data will be maintained in a STACS-DB worklist/staging table until the electronic data is processed.
 - 1. STACS-DB associates the collection kit/sample to the corresponding electronic data when the electronic data file is imported.

- F. If the submission is valid and contains no errors, the samples will proceed to the laboratory to be processed.
 - 1. If the submission is identified as Pending Issues, review the data and make any necessary modifications in STACS-DB.
 - i. If edits are made in STACS-DB, re-validate the data and ensure appropriate corrections have been made.

- G. Save the data in STACS-DB.
 - 1. If the submission is identified as any of the following, additional attention is required. Refer to the appropriate section of this document to manage the submission.
 - Missing Information
 - Pending Duplicate
 - Be On the Look Out (BOLO)
 - Pending Reject

4.2 Submission and Status Information

Once the submissions have been imported into STACS-DB, the FD-936 image (if applicable) becomes available to view in STACS-DB and/or Laserfiche and changes may be made to the data fields for a submission in STACS-DB, as necessary. STACS-DB records and tracks all changes.

4.3 Missing or Invalid Information Submissions

- A. STACS-DB identifies a submission as having missing or invalid information based on criteria defined within the software. Some fields may be flagged by STACS-DB if the

submission contains missing or invalid information (e.g., Submitting Agency, Contributor type, Subject name, Date of Birth, Identification Number).

1. Missing information submissions are managed or resolved using any of the three available actions:
 - i. Issue a request to the submitting agency for the missing information
 - ii. Enter the missing information
 - iii. Override the Missing Information status of the submission

4.4 Pending Duplicate Submissions

- A. STACS-DB identifies a submission as a pending duplicate based on criteria defined within the software. Fields such as FBI Number, SSN, Alien Number, BOP Number, FINS Number, and DOB may be used to determine whether a new submission is a potential duplicate.
 1. Review the matching fields to determine if the pending duplicate is an actual duplicate. If there are multiple pending matches, the status (e.g., CODIS Confirmed, Pending Reject, Expunged, STR Complete, In Process) should be used as a ranking factor when determining which submission should be selected to confirm a duplicate.
 2. If additional information is required to resolve the status of the pending duplicate, contact the submitting agency or query an agency specific system (e.g., Sentry, JABS, NCIC) as appropriate.
 3. A pending duplicate may be resolved by marking it as an original submission or as a confirmed duplicate to an existing submission. DNA analysis is conducted on all original submissions and may be conducted on confirmed duplicates based on the status of the matching submission.

4.5 Pending Reject Submissions

- A. A pending reject may be identified in STACS-DB if:
 - o The kit was determined to be unacceptable at sample check in
 - o The submission was rejected from the Submission Import work list
 - o A sample retake request was approved
 - o A missing specimen alert was generated and approved to request another submission
1. Pending rejects may be managed or resolved using any of the four available actions:
 - i. Issue a notification to the submitting agency that a sample is a pending reject
 - ii. Issue a request to the submitting agency for a new sample

- iii. Reject the submission
- iv. Activate the submission

- 2. The status of a pending reject submission may be changed for a subset of samples based on rejection reason or for an individual submission.

4.6 BOLO Submissions

- A. If necessary, STACS-DB can create an alert with special instructions for a Be On the Look Out (BOLO) submission.
 - 1. A BOLO may be created by entering the available subject information (e.g., Kit Barcode, Last Name, First Name, DOB, FBI Number, SSN, Alien Number, BOP Number, FINS Number) as well as marking submission(s) with the appropriate instructions (e.g., Do Not Process, High Priority Sample, Normal Priority Sample).
 - 2. STACS-DB searches the database to determine whether a BOLO entry is a potential match to an existing submission or a new submission. If a match is found, the BOLO entry can be changed to a received status in the software and the submission may then proceed to the appropriate module.

4.7 Expedite and Sample Status Requests

- A. Expedite requests and/or sample status requests may be completed upon receipt of appropriate documentation from the requesting agency. STACS-DB allows the user to record and respond to these types of information requests. A response letter may be generated, as needed.
 - 1. If expedite request(s) are received, the sample(s) and/or plate may be marked as high priority. A reason must be entered in the comments field when setting the sample(s) or plate as high priority.

5 LIMITATIONS

Not applicable.

6 REFERENCES

Sample Tracking and Control Solutions [STACS DNA Inc.] part of InVita Healthcare Technologies. *STACS™ Database (STACS-DB) User's Guide*.

Symbol Technologies Inc. *Symbol Barcode Reader User's Guide*.

Exela Technologies. *Open Box User's Reference Manual*.

7 REVISION HISTORY

| Revision | Issue Date | Changes |
|----------|------------|---|
| 00 | 02/04/2022 | Reformatted DNA 302-7 into new template and assigned new Doc ID. Added 4.1.3 Processing FD-936 Electronic Data. |