

RDNA SOP-01 Transfer of DNA Records from CT SDIS to Small Pond

Approved by Director: Dr. Guy Vallaro

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DNA SOP-01 Transfer of DNA Records from CT SDIS to Small Pond

1.1 PURPOSE

To maintain controlled access of DNA records contained in the CT SDIS database and to ensure the secure transfer of the Convicted Offender DNA records and the State's Forensic Unknown Profiles to the Small Pond database. To maintain consistency between the DNA records housed in CT SDIS and Small Pond databases.

1.2 RESPONSIBILITY

CODIS State Administrators and Small Pond Administrators

1.3 PROCEDURE

1.3.1 Data Transfer: Working in Specimen Manager of Analyst Workbench on a CODIS workstation, a CODIS State Administrator will query the Convicted Offender specimens to be exported. Please note that the same procedure will be done for the Forensic Unknown samples except the query will be for "Forensic Unknown" samples.

1.3.1.1 After the initial transfer of all Convicted Offender or Forensic Unknown records in CT SDIS to Small Pond, subsequent transfers of DNA records will generally occur on a monthly basis as near to the 1st of each month as is practicable. The monthly transfer will include both new Convicted Offender records and updated Convicted Offender records along with any new Forensic Unknown profiles.

1.3.1.1.1 New Convicted Offender records: To query the new specimens which have been added during the time frame since the previous transfer, open Specimen Manager and select the Newly Added Offenders view from the Specimen Views list. Select the Edit icon, verify that only Offender and Multi-Allelic Offender are selected. Click on the DNA Typing System tab and change the dates to the appropriate timeframe.

e.g. between 7/1/2021 and 7/30/2021

Click OK and follow steps 1.3.1.2 through 1.3.1.9.

1.3.1.1.2 Updated Convicted Offender records: To query the updated specimens which have been added during the time frame since the previous transfer, open Specimen Manager and select the Updated Offenders view from the Specimen Views list. Select the Edit icon, verify that only Offender and Multi-Allelic Offender are selected. Click on the Advanced tab and change the date in the SQL query box to the date of the last data transfer using the format **YYYY-MM-DD**. This SQL query (SMO16) can be found in the Advanced Query File located on the CODIS website.

The SQL query is as follows:

```
S.Spec_CD IN (
Select Spec_CD FROM Specimen
inner join Audit_Trail AT1 on AT1.Audit_Object_CD = Spec_CD
where AT1.Action_CD = 12 and AT1.Audit_Dt >= '2021-07-01' )
```

**State of Connecticut Department of Emergency Services and Public Protection
Division of Scientific Services**

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Click OK and follow steps 1.3.1.2 through 1.3.1.9.

1.3.1.2 Highlight the specimens and click on the EXPORT icon. The default Export Format is CMF 3.3; verify this option is selected. Click OK.

1.3.1.3 Insert one of the designated CODIS USBs (see DNA SOP 28.11.11) and map to this drive. Name the file to be exported using the following format, CTCSP3500 Convicted Offenders XXXX MMDDYYYY, where XXXX equals the number of samples to be exported and MMDDYYYY is the date of export. If more than one file is to be exported on the same date designate this by adding -1, -2, etc. to the number of samples, (e.g. CTCSP3500 Convicted Offenders 1500-1 06282021). Click SAVE.

1.3.1.4 Click YES when the window saying "CTCSP3500 Convicted Offenders XXXX MMDDYYYY.xml does not exist. Do you want to create it?"

1.3.1.5 Click OK when the Exported Complete window appears.

1.3.1.6 Safely remove the USB from the CODIS workstation and insert it in one of the workstations on the U: Drive (DNA Network) mapped to the Small Pond Server. Only the workstations of the CODIS Administrators will be mapped to the Small Pond Server.

1.3.1.7 Navigate to the Knowns folder on the Small Pond Server and copy the exported files to this location. Delete the exported files from the USB.

1.3.1.8 Record the details of the Exported Data in the CODIS Maintenance Log on the S: Drive. Include the name of the files. Email the Small Pond Administrators to inform them there is a new file(s) in the knowns folder.

1.3.1.9 A Small Pond Administrator will confirm the correct number of Convicted Offender DNA records were received and notify the CODIS State Administrators of any discrepancies.

1.3.2 Removal of DNA Record: When a Convicted Offender DNA record is removed from CT SDIS according to DNA SOP 10.9, the corresponding DNA record will have to be removed from the Small Pond database also. This process will be done for Forensic Unknowns when applicable.

1.3.2.1 A CODIS State Administrator will notify the Small Pond Administrators via email that a DNA record needs to be deleted.

1.3.2.2 When the DNA record has been removed from Small Pond, a Small Pond Administrator will send an email notification to the CODIS State Administrators. A CODIS State Administrator will print out this email, update the DNA QR-9 and file the email with the other purge documents/paperwork in the Expungements and Administrative Removals Notebook.