

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>NI-065-11-42</i>	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>9/24/11</i>	
1 FROM (Agency or establishment) Department of Justice		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U S C 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION Federal Bureau of Investigation			
3 MINOR SUBDIVISION Laboratory Division			
4 NAME OF PERSON WITH WHOM TO CONFER Tammy J Strickler	5 TELEPHONE NUMBER 540-868-4363	DATE <i>11 DEC 12</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
6 AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>3</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE <i>9/22/2011</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> John C Krysa		TITLE Chief, Records Automation Section
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	FBI Laboratory DNA Profiles Databases The attached pages provide disposition instructions for records relating to the FBI Laboratory-generated DNA profiles. These profiles represent electronic copies of DNA profiles which were originally generated by the FBI Laboratory and tracking records that are maintained either in paper or electronic format		

FBI Laboratory DNA Profiles Databases

Three FBI Laboratory Units analyze DNA samples and contribute DNA profiles to the local FBI DNA Databases for searching by three units of the FBI Laboratory the Federal DNA Database Unit (FDDU), the Mitochondrial DNA Unit (mtDNAU), and the Nuclear DNA Unit (nDNAU) The FBI data entered into the Local DNA Indexing Systems (LDIS) is split into two different LDIS FDDU maintains one DNA index database, and mtDNAU and nDNAU share another Samples that qualify for more stringent searching are automatically recognized by the base operating software and are uploaded to the next level, which is equivalent to a State-level DNA Indexing System (SDIS) At the SDIS level, FDDU profiles are compared with mtDNAU/nDNAU profiles Again, samples that qualify for more stringent searching are automatically recognized by the software and are marked for inclusion for searching at the National DNA Indexing System (NDIS) level against DNA profiles from other authorized agencies (see records schedule N1-065-06-09)

The FDDU receives and maintains analysis of DNA samples from individuals who are arrested, facing charges, or convicted, or non-United States persons who are detained under the authority of the United States and each individual in the custody of the Bureau of Prisons who is or has been convicted of a qualifying federal, military, or District of Columbia offense pursuant to 42 U S C §§ 14135a and 14135b The FDDU maintains an electronic record of all aspects of the DNA analysis process and the DNA profile in its Sample Tracking and Control System (STaCS) A paper form submitted with the DNA sample contains the personally identifiable information associated with the biological specimen, and this form is provided to the Criminal Justice Information System (CJIS) Division following the processing of the sample and is maintained as part of the Integrated Automated Fingerprint Information System biological data records

1. Sample Tracking and Control System

- a. **Master File.** The STaCS system monitors all aspects of the DNA analysis process for the FDDU (e g person who performed each procedure, date/time, reagents/instruments used, results, etc) All reagents and instruments are barcoded within STaCS, which facilitates the tracking of the quality control (QC) procedures and overall status of each reagent or instrument STaCS also provides an interface for the automated procedures, robotic systems and high throughput instrumentation utilized to streamline the DNA analysis process At the end of each analytical step (if applicable), the resulting log and/or output files generated by the robotic systems or instrumentation are imported and stored in the STaCS database

Disposition: Delete/destroy STaCS when the records indicate that the individual from which the sample was taken has reached 110 years of age or in cases where notification of death is received, when the subject would have been 110 years of age

- b ~~STaCS Statistical Reports.~~ STaCS generates internal Monthly Statistics Reports to track the progress of the FDDU and also generates Sample History Reports that detail the analysis of each DNA sample and the resulting DNA profile

~~Disposition:~~ Delete/destroy when no longer needed for reference or analysis

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- c ~~STaCS System Documentation.~~ Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to STaCS

~~Disposition:~~ Delete/destroy when superseded or obsolete, or upon authorized deletion of the related master file

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- d ~~Backups.~~ Backups of STaCS are maintained for potential system/server restoration in the event of a system/server failure or other unintentional loss of data

(1) Incremental backups ~~DELETE/DESTROY~~ incremental backups when superseded by a full backup, or when no longer needed for system restoration, whichever is later

(2) Full backups ~~DELETE/DESTROY~~ full backups when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later

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2. FBI-maintained Local DNA Indices

Three FBI Laboratory Units contribute DNA profiles to the two local FBI DNA Indices for searching the Federal DNA Database Unit (FDDU), the Mitochondrial DNA Unit (mtDNAU), and the Nuclear DNA Unit (nDNAU)

The FDDU receives DNA samples from individuals who are arrested, facing charges, or convicted or non-United States persons who are detained under the authority of the United States and each individual in the custody of the Bureau of Prisons who is or has been convicted of a qualifying federal, military, or District of Columbia offense pursuant to 42 U S C §§ 14135a and 14135b

The mtDNAU and nDNAU both process forensic casework DNA samples. Some of these samples may be eligible and marked for inclusion in SDIS and/or NDIS (the National DNA Index System, see records schedule N1-065-06-09) (These two separate local FBI DNA databases will have the same disposition)

Disposition: Delete/destroy 110 years after the sample was entered into the database

3. Related Records

- a **Hardcopy biographical data.** The mtDNAU and nDNAU both process forensic casework DNA samples. Both mtDNAU and nDNAU maintain paper records of all aspects of the DNA analysis process and the DNA profile as well as relevant, available personally identifiable information. The mtDNAU and nDNAU tracking records are maintained in paper file format in the Laboratory Division Case File Room

Disposition: Delete/destroy 110 years after the sample was entered into the appropriate DNA database

- b **FBI “SDIS”.** All DNA profiles marked for comparison in the FBI SDIS are managed as records in the source databases under the guidelines of item 2, however, if the SDIS produces a match report, the affected units will be notified and must then determine/confirm the match and/or assess investigative value

Disposition: Delete/destroy upon termination of the FBI “SDIS”