

THE FBI STANDARDS FOR THE OPERATION OF RAPID DNA BOOKING SYSTEMS BY LAW ENFORCEMENT BOOKING AGENCIES AUDIT DOCUMENT

IN ACCORDANCE WITH THE STANDARDS FOR THE OPERATION OF RAPID DNA BOOKING SYSTEMS BY LAW
ENFORCEMENT BOOKING AGENCIES
EFFECTIVE 09/01/2020

An Audit of:

Address of Booking Agency:

Dates of Audit:

Audit Team:

BOOKING AGENCY RAPID DNA AUDIT DOCUMENT

INTRODUCTION

The Rapid DNA Act of 2017 authorizes the Director of the Federal Bureau of Investigation (FBI) to “issue standards and procedures for the use of Rapid DNA instruments and resulting DNA analyses.” Working with the FBI’s Criminal Justice Information Services (CJIS) Division and the CJIS Advisory Policy Board (CJIS APB) Rapid DNA Task Force, the FBI Laboratory has been planning for the effective integration of Rapid DNA into the booking station process. Testing and evaluation of the Rapid DNA booking communications infrastructure began in 2019 and pilot law enforcement booking agencies participated in this process in 2020.

The Scientific Working Group for DNA Analysis Methods (SWGDM) Rapid Committee developed draft standards that were approved by the SWGDAM Executive Board for use during the pilot test project. Following discussions with the participating booking agencies and states, the pilot test standards were revised and public comment on the standards was solicited. Following a review and consideration of the public comments, SWGDAM recommended the “Standards for the Operation of Rapid DNA Booking Systems by Law Enforcement Booking Agencies” to the FBI Director who approved the standards to take effect September 1, 2020.

The standards are applicable to law enforcement booking agencies using Rapid DNA Booking Systems on buccal swabs collected from arrestees who are legally required to provide DNA samples for the purposes of entering and searching the resulting DNA profiles in the Combined DNA Index System (CODIS). The Rapid DNA System is a fully automated system capable of producing a CODIS acceptable DNA profile from an arrestee buccal swab without human interpretation in under two hours. When used by properly trained law enforcement personnel, the DNA profile generated by the Rapid DNA Booking System may be enrolled via a dedicated criminal justice information network to the State DNA Index System (SDIS) SDIS and automatically uploaded to the National DNA Index System (NDIS) where the arrestee DNA profile will be immediately searched against DNA profiles from unsolved crimes of special concern (sexual assaults, homicides, kidnapping and terrorism cases) at both SDIS and NDIS. The same arrestee DNA profile will be searched against all crimes in the next scheduled SDIS and NDIS searches, usually occurring within 24 hours of the enrollment. Under these legal and technical requirements, enrollment of DNA profiles from a Rapid DNA Booking System is a process managed by the State CODIS Agency.

In accordance with Standard 7.1, a booking agency shall be audited annually by an audit team designated by the State CODIS Agency. This Audit Document contains the checklists to be used by the audit team for assessing compliance with each standard.

In this Audit Document, the rating system for assessing the booking agency with respect to each standard contains the choices of "Yes" or "No", and, where appropriate, "Not Applicable (N/A)." In limited instances, additional guidance is contained following the standard to provide a further

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explanation or examples, as appropriate. In Appendix A, the findings associated with the audit will be detailed and summarized by the audit team, with an area available for response to such findings by the booking agency. Notes or comments, including observations and recommendations, should be mentioned during a final meeting with booking agency personnel or in a separate correspondence to the booking agency so that such comments are not confused with comments relating to a finding.

Instructions to Audit Team

Thank you for participating in this important process intended to evaluate compliance with minimum standards for the operation of Rapid DNA Booking Systems by law enforcement booking agencies.

As a general rule, compliance with a standard is assessed through a review of the booking agency's documentation and interviews with booking agency staff. Documents may be in hard copy, electronic or a combination of both formats.

When conducting an audit, please keep in mind the following general guidelines:

- Potential issues concerning compliance should be directed to the booking agency designated points of contact.
- Comments on the booking agency's operations should be reserved for the audit document if a "No" or "N/A" is marked and/or the exit interview with booking agency management; comments should not be made to booking agency staff.
- Contested or contentious issues should be brought to the attention of your audit team leader for follow-up, as necessary.

As a general rule,

- Issues deemed minor by the audit team that are addressed during the course of an audit may be determined by the auditor to satisfy a noncompliance so that a "Yes" is marked for that standard.
- Noncompliance with a standard identified by the booking agency prior to the audit should be assessed by the audit team for adequate documentation and/or corrective action. If determined to have been appropriately addressed, the auditor may mark the corresponding standard as "Yes".
- Comments should not be included for standards marked "Yes".
- Comments shall be included for standards marked "No" or "N/A".
 - For a standard marked "No", the comment shall describe the noncompliance with sufficient detail so that the booking agency can develop an appropriate corrective action for compliance.
 - For a standard marked "N/A", the comment shall describe why that standard is not applicable to that booking agency.

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After the audit is completed, the Lead Auditor or auditor(s) briefs booking agency management and the Rapid DNA Lead Operator regarding the results. This briefing should verbally detail specific findings (non-compliances) and observations (general comments and/or recommendations), as well as recognize commendable performances. The written report should be prepared by the Lead Auditor and/or auditor(s) and sent to the booking agency within 30 days of the audit. The Audit Document Report consists of the completed Audit Document Checklist. All findings of non-compliance must be clearly identified and referenced to the appropriate standard.

General Booking Agency Information

To be completed by the Booking Agency and provided to the audit team prior to the on-site visit.

1. Name of Booking Agency:
2. Rapid DNA Booking System Used:
3. Total # of Rapid DNA Systems at Booking Agency:
4. Staff
 - a. Total # of certified Rapid DNA Operators:
 - b. Rapid DNA Lead Operator:
 - c. Back-up Rapid DNA Lead Operator:
5. Level of Activity at Booking Agency:

24 hours/7 days
9-5/daily
daily (Monday-Friday)
Occasionally
Infrequent
6. Name of State CODIS Agency:
7. Name of State CODIS Administrator:
8. Date of Last Audit:

Additional Comments:

Standard 1. Introduction

No Auditable Requirements

Standard 2. Scope

No Auditable Requirements

Standard 3. Rapid DNA Booking Systems

		Yes	No	N/A
3.1	Does the booking agency use only NDIS approved Rapid DNA Booking Systems for arrestee DNA sample processing?			
3.2	Does the booking agency have a designated location to use the Rapid DNA Booking System in order to ensure the security and integrity of the Rapid DNA Booking System, arrestee samples, DNA profiles and DNA data?			
3.2.1	Is the Rapid DNA Booking System located in a secure area that is restricted to personnel designated by the booking agency and not physically accessible to the general public?			
3.2.2	a. Is the Rapid DNA Booking System placed on a stationary surface?			
	b. Is movement of the Rapid DNA Booking System minimized?			
	c. Is relocation of a Rapid DNA Booking System documented?			X
Additional Guidance:				
For Standard 3.2.2, once the Rapid DNA Booking System is installed on a stationary surface, movement of the Rapid DNA Booking System on the stationary surface must be minimized. Cleaning of the stationary surface should not require movement of the Rapid DNA Booking System. Slight adjustments of the Rapid DNA Booking System on its stationary surface does not require documentation but relocation of the Rapid DNA Booking System to a new stationary surface must be documented. Rapid DNA Booking Systems shall not be installed on a portable cart.				
3.3	Does the booking agency maintain and store the Rapid DNA Booking System in accordance with manufacturer specifications and State CODIS Agency requirements, as applicable?			
3.3.1	Does the booking agency ensure the power supply is appropriate for continuous operation of the Rapid DNA Booking System in			

		accordance with manufacturer specifications and State CODIS Agency requirements, as applicable?			
	3.3.1.1	Is the Rapid DNA Booking System connected to a battery powered uninterruptible power supply (UPS) capable of powering a run from start to finish?			
Additional Guidance:					
<p>For 3.3.1.1, the requirement for a UPS can be satisfied by any one of the options described below:</p> <ol style="list-style-type: none"> 1. A stand-alone battery powered UPS capable of powering a run from start to finish connected to the Rapid DNA Booking System. 2. A building integrated automatic starting generator coupled with a battery powered UPS capable of supporting the Rapid DNA Booking System from the time of a primary power failure until availability of stable generator power. 3. A building integrated battery powered UPS system designed for and capable of continuous and uninterrupted power to the Rapid DNA Booking System. <p>It is highly recommended that any UPS system be tested to ensure it is capable of powering a run from start to finish when connected to the Rapid DNA Booking System.</p>					
3.4	Does the booking agency provide for appropriate storage and disposal of the DNA samples and Rapid DNA Booking System reagents in accordance with manufacturer specifications and State CODIS Agency procedures and requirements, as applicable?				
	3.4.1	Are Rapid DNA cartridges and reagents used within their manufacturer specified expiration dates?			
	3.4.2	Does the booking agency have and follow a procedure to document the lot numbers, including the expiration date, of the Rapid DNA cartridge and other reagents used for each Rapid DNA Booking System run?			
	3.4.3	Are Rapid DNA cartridge(s), and any arrestee DNA sample remaining in Rapid DNA cartridges, disposed of in accordance with the procedures of the State CODIS Agency?			
	3.4.4	Does the booking agency have and follow a procedure to minimize contamination during arrestee sample collection and sample processing that includes the use of new gloves prior to, and the disposal of gloves after, each DNA sample collection?			
3.5	a. Does the booking agency have and follow procedures to conduct performance checks of each Rapid DNA Booking System?				

	b. Does the Rapid DNA Booking System satisfactorily pass performance checks prior to use on arrestee buccal swabs in accordance with the following criteria?				
	3.5.1	A performance check upon installation of a Rapid DNA Booking System?			X
	3.5.2	A performance check following the repair, service, and/or maintenance of a Rapid DNA Booking System?			X
	3.5.2.1	A performance check of a Rapid DNA Booking System following relocation of the Rapid DNA Booking System if recommended by the manufacturer or as established by the State CODIS Agency?			X
	3.5.3	A performance check if a Rapid DNA Booking System remains idle longer than the period recommended by the manufacturer or as established by the State CODIS Agency?			X
	3.5.4	A performance check if a Rapid DNA Booking System experienced an extended power outage that exceeds recommendations by the manufacturer or as established by the State CODIS Agency?			X
	3.5.5	a. A performance check before the use of new lot numbers of Rapid DNA cartridges and reagents?			
		b. A negative control during a performance check for new lot numbers of Rapid DNA cartridges and reagents; or documentation that the negative control performance check was centralized and/or coordinated by the State CODIS Agency?			
Additional Guidance:					
For Standard 3.5.5, the use of new lot numbers requires an additional performance check with a negative control prior to its use to confirm that the new lot is free from any contamination. The negative control performance check can be coordinated regionally between booking agencies, or by the State CODIS Agency, as long as documentation of the lot specific negative control performance check is available at each booking agency.					
3.6	Does the booking agency retain documentation of performance checks and the repair, service or maintenance of each Rapid DNA Booking System(s) as determined by the State CODIS Agency?				

Comment:

Standard 4. Rapid DNA Operators

		Yes	No	N/A	
4.1	Does the booking agency have at least one Rapid DNA Lead Operator who is accountable for the use of all the Rapid DNA Booking System(s) approved for use at the booking agency and serves as the designated point of contact with the State CODIS Agency?				
	4.1.1	Does the booking agency have at least one back-up Rapid DNA Lead Operator?			
4.2	Does the booking agency have only trained and certified Rapid DNA Operators operate the Rapid DNA Booking System(s)?				
4.3	a. Have the Rapid DNA Lead Operators and Rapid DNA Operators successfully completed the training requirements of the State CODIS Agency prior to approval as a certified Rapid DNA Operator?				
	b. Has the back-up Rapid DNA Lead Operator satisfied the training requirements for a Rapid DNA Lead Operator?				
	4.3.1	Have Rapid DNA Lead Operators and Rapid DNA Operators successfully completed a certification test before being certified to operate a Rapid DNA Booking System in accordance with the requirements of the State CODIS Agency?			
	4.3.1.1	Does successful completion of a certification test require that the Rapid DNA Operator demonstrate proficiency in the operation of the Rapid DNA Booking System in accordance with these Standards and the requirements of the State CODIS Agency to include, at a minimum, the following?			
		4.3.1.1.1	Ability to operate the Rapid DNA Booking System in accordance with the manufacturer’s requirements?		
		4.3.1.1.2	Ability to respond to the Rapid DNA Booking System’s messages and commands?		

		4.3.1.1.3	Knowledge of actions to take when the Rapid DNA Booking System produces an error message, or no result is obtained?			
		4.3.1.1.4	Knowledge of circumstances requiring performance checks and the ability to conduct a performance check of the Rapid DNA Booking System in accordance with these Standards?			
	4.3.2	Is refresher training conducted and documented in accordance with the State CODIS Agency requirements to include, but not limited to, the following circumstances?				X
	4.3.2.1	Do Rapid DNA Lead Operators and Rapid DNA Operators successfully complete refresher training upon major changes to the Rapid DNA Booking System or Rapid DNA procedures?				X
	4.3.2.2	Do Rapid DNA Lead Operators and Rapid DNA Operators successfully complete refresher training if issues develop due to infrequent or improper use of a Rapid DNA Booking System(s)?				X
Additional Guidance:						
For Standard 4.3.2.1, major changes that require refresher training include, at a minimum, the following: changes to the operation of the Rapid DNA Booking System; changes to the maintenance of the Rapid DNA Booking System; or changes to the workflow that deviate from current Rapid DNA procedure that may result in errors, affect results or affect chain of custody.						
4.4	Do the Rapid DNA Lead Operator and Rapid DNA Operators have the following duties and responsibilities?					
	4.4.1	Does the Rapid DNA Lead Operator have the following duties?				
	4.4.1.1	a. Oversee overall program operation and maintain certification to operate each Rapid DNA Booking System(s)?				
		b. Authority to suspend Rapid DNA operations within their booking agency?				
		4.4.1.1.1	Did the Rapid DNA Lead Operator notify the State CODIS Agency within 5 calendar days if Rapid DNA operations were suspended at their booking agency?			X
	4.4.1.2	Perform or oversee routine maintenance of Rapid DNA Booking System(s) in accordance with the requirements of the				

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			Rapid DNA Booking System manufacturer and State CODIS Agency?			
		4.4.1.3	Conduct and/or oversee performance checks of each Rapid DNA Booking System in accordance with these Standards and State CODIS Agency requirements?			
		4.4.1.4	Ensure the Rapid DNA Program complies with these Standards and all relevant Federal, State and Local laws and policies?			
		4.4.1.5	Consult with the State CODIS Agency, Information Technology (IT) Department and/or State Identification Bureau (SIB)/CJIS Systems Agency (CSA) staff when necessary to troubleshoot operational issues?			
		4.4.1.6	Provide or oversee training to Rapid DNA Operators in accordance with the requirements of the State CODIS Agency?			
		4.4.1.7	Maintain training, certification test, and refresher training documentation and records for certified Rapid DNA Operators and NDIS approved Rapid DNA Booking System(s)?			
		4.4.1.7.1	Determine, as necessary, if refresher training is needed for the Rapid DNA Operator(s) due to issues including, but not limited to, infrequent use of a Rapid DNA Booking System(s), improper use of a Rapid DNA Booking System(s), or major changes to Rapid DNA procedures?			
		4.4.1.8	Undergo refresher training as required by the State CODIS Agency?			
		4.4.1.9	Maintain documentation of the following in accordance with State CODIS Agency and applicable booking agency CJIS requirements?			
		4.4.1.9.1	Rapid DNA Booking System performance checks?			
		4.4.1.9.2	Rapid DNA Booking System maintenance and relocation logs?			
		4.4.1.9.3	Rapid DNA Booking System users and run logs?			
		4.4.1.9.4	CRE maintenance?			

Additional Guidance:					
For Standard 4.4.1.9.4, maintenance of the CRE includes software upgrades to the CRE application and any setting changes made to the CRE application in the application options.					
	4.4.2	Do Rapid DNA Operators have the following duties?			
	4.4.2.1	Maintain, operate and performance check the Rapid DNA Booking System(s) in accordance with these Standards, State CODIS Agency and applicable CJIS system and security requirements?			
	4.4.2.2	Contact the Rapid DNA Lead Operator in the event of an error with the Rapid DNA Booking System(s)?			
	4.4.2.3	Undergo refresher training as determined by the Rapid DNA Lead Operator or State CODIS Agency?			
Comment:					

Standard 5. Security and Data Protection

		Yes	No	N/A	
5.1	Does the booking agency have and follow procedures to safeguard the integrity of the Rapid DNA Booking System, the confidentiality of the data, the arrestee DNA sample, the resulting DNA profiles and DNA data in accordance with Federal and State laws and the following?				
	5.1.1	Only a Rapid DNA Lead Operator and Rapid DNA Operator(s) are authorized to log in and operate a Rapid DNA Booking System?			
	5.1.1.1	a. Are separate unique logins required for each Rapid DNA Lead Operator and Rapid DNA Operator accessing/utilizing a Rapid DNA Booking System in accordance with the CJIS Security Policy and the procedures of the State CODIS Agency?			
		b. Is the Rapid DNA Lead Operator or Rapid DNA Operator who is logged into the Rapid DNA Booking System the same individual operating the Rapid DNA Booking System?			

	5.1.2	The Rapid DNA Lead Operator and Rapid DNA Operator use advanced authentication to log in to the CRE and a Rapid DNA Booking System?			
Additional Guidance:					
For Standards 5.1.1 and 5.1.2, only the Rapid DNA Lead operator, Back-up Lead Operator, and/or appropriate State CODIS Agency personnel shall have administrative login rights to the Rapid DNA Booking System or CRE application. Authorized Rapid DNA Booking System manufacturer personnel also have login credentials to perform repairs/maintenance to the Rapid DNA Booking System.					
	5.1.3	The Rapid DNA Lead Operator or Rapid DNA Operator transmits the DNA data as defined by the State CODIS Agency in accordance with the applicable current CJIS System(s) and Security Policy(ies) and the procedures of the State CODIS Agency?			
5.2	a. Does the booking agency follow a data security procedure to ensure the integrity of the Rapid DNA analysis and resulting DNA profile and DNA data?				
	b. Does this procedure ensure the following?				
	5.2.1	Secure data transmission from the electronic fingerprint capture device to the Rapid DNA Booking System in accordance with the applicable current CJIS System(s) and Security Policy(ies)?			
	5.2.2	Secure data transmission when merging electronic fingerprint data with DNA data in accordance with the applicable current CJIS System(s) and Security Policy(ies)?			
	5.2.3	Secure data transmission to the CRE in accordance with the applicable current CJIS System(s) and Security Policy(ies)?			
	5.2.4	Secure data transmission from the CRE to the State CODIS Agency in accordance with the applicable current CJIS System(s) and Security Policy(ies)?			
5.3	a. Does the booking agency not file, maintain, store, disseminate, compare, or database (or similar activity) the DNA sample, the DNA profile, or DNA data from the Rapid DNA Booking System?				
	b. Does the booking agency dispose of any arrestee DNA sample remaining in a Rapid DNA cartridge in accordance with the procedures of the State CODIS Agency.?				
	c. Does the booking agency delete the DNA data in accordance with Federal and State laws and State CODIS Agency requirements?				

Additional Guidance:
For Standard 5.3, it is understood that transient data may be stored temporarily during the transfer and merging of electronic fingerprint data with appropriate DNA data during the Rapid DNA process.
Comment:

Standard 6. Sample Control and Integrity During Processing

		Yes	No	N/A
6.1	a. Does the booking agency follow documented sample handling and processing procedures to ensure sample integrity and verification of the identity of the arrestee providing the buccal swab sample?			
	b. Do these procedures comply with the following?			
6.1.1	Electronic fingerprint-based identification or other biometric identification of the arrestee at the time of DNA sample collection (record collection ID verification)?			
6.1.2	Electronic confirmation of the Qualifying Arrest Offense(s) authorizing the DNA collection?			
6.1.3	Confirmation that the sample is identified with the correct CODIS Specimen Identification Number in a format prescribed by the State CODIS Agency?			
6.1.4	Booking agency submission of additional arrestee buccal swabs to the State CODIS Agency as required by policies and procedures of the State CODIS Agency?			
6.1.5	Continuity of daily operations, including shift changes, so that all qualifying arrestee DNA samples are collected and analyzed?			
6.1.6	An alternate protocol in the event that a DNA sample is not analyzed, or the Rapid DNA Booking System does not generate a successful result?			

Additional Guidance:
For Standard 6.1.6, there must be a mechanism for continued sample collection and submission to the State CODIS Agency in the event that the Rapid DNA Booking System is not in service or the run was not successful in the Rapid DNA Booking System.
Comment:

Standard 7. Audits

		Yes	No	N/A
7.1	a. Is the booking agency audited at least annually in accordance with these Standards?			
	b. Does the annual audit occur every calendar year and is at least 6 months and no more than 18 months apart?			X
	c. Are the audits conducted by an audit team designated by the State CODIS Agency?			
	7.1.1 Did the booking agency submit the audit documents and, if applicable, corrective action(s), to the State CODIS Agency for review to ensure that findings, if any, were appropriately addressed within 30 calendar days of its receipt?			
7.2	Is the audit documentation retained by the State CODIS Agency in accordance with applicable record retention laws and policies, and available for inspection by the FBI?			
Comment:				

APPENDIX A: Findings and Responses

To be completed by the audit team (Findings) and the booking agency (Responses).

The audit team shall identify a standard(s) for which a noncompliance was found (“No”) and detail the noncompliance, providing sufficient detail so that the booking agency may respond to the finding. Notes, comments or recommendations shall not be included in Appendix A.

The booking agency’s response(s) to the finding(s) of noncompliance shall be included in Appendix A.

Finding(s):

Response(s):